



# Status of Open Audit Recommendations Item 3.3

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As of December 31, 2022

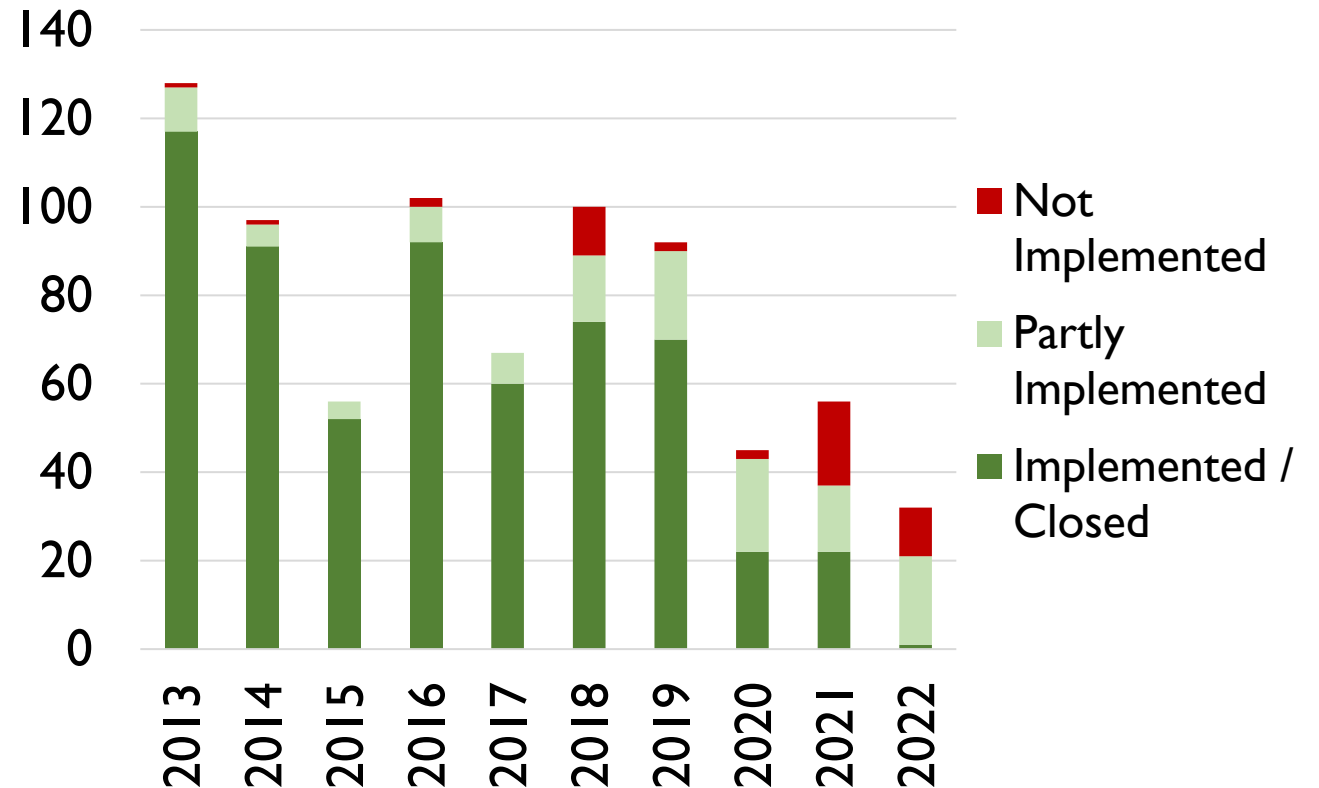
An update by the City Auditor  
<http://www.sanjoseca.gov/auditor>

## Summary of Results:

- **217** Recommendations
- **7** new recommendations made since last update
- **35** implemented or closed since last update
- **133** partly implemented, **49** not implemented

## Percent of Recommendations Implemented / Closed:

- ✓ **78%** of recommendations over the last 10 years
- ✓ **55%** of recommendations over the last 5 years

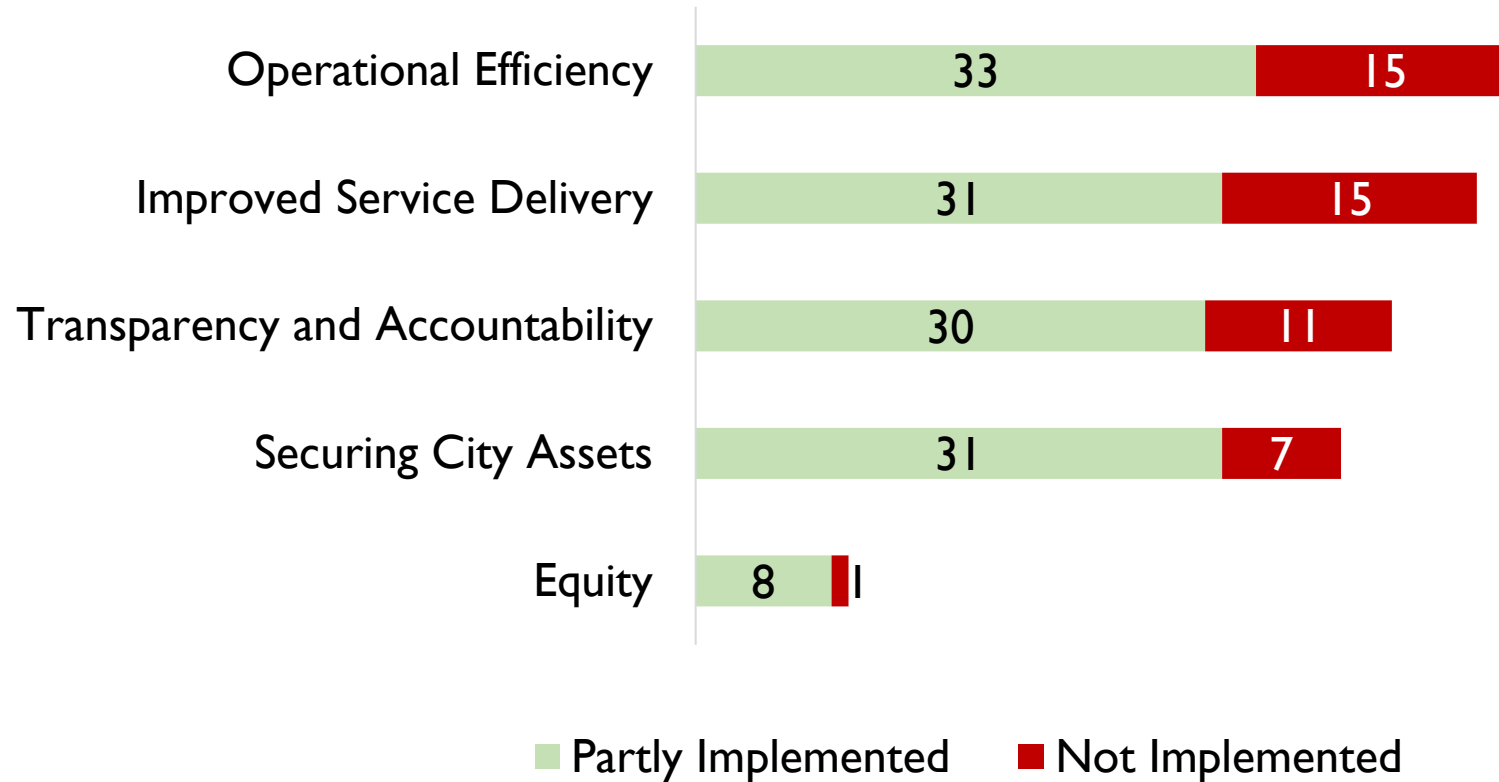


Note: This does not include 10 recommendations from the *Audit of Tree Removals and Replacements* and seven recommendations from the *Audit of Firearm Regulations* which were published in November and December 2022 and went to Council in January 2023.

## Departments Implemented 35 Recommendations

- ✓ OEDCA finalized procedures around reporting and tracking of disclosures of public subsidies.
- ✓ ITD created a public, interactive dashboard showing the progress of Citywide technology projects.
- ✓ The strategic plan for the San José Youth Empowerment Alliance (formerly known as the Mayor's Gang Prevention Task Force) outlines a broader approach to youth violence prevention than had been in place previously.
- ✓ SJPD posted on its website a multilingual brochure describing the role of Code Enforcement, and specifying the goals, processes, and potential penalties associated with massage permit inspections.
- ✓ Through the California Water and Wastewater Arrearages Program, ESD and Finance provided bill credits to more than 950 customers totaling \$541,000 to alleviate the financial burdens on customers that arose during the pandemic.

## 182 Recommendations are Still Pending



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## Twelve Priority Recommendations

### Potential Budget Savings / Revenue Generation:

- Enforcing compensatory time balance requirements in the Police Department (Audit of Police Overtime, 2016) CLOSED
- Obtain more favorable contract terms from golf course operators (Audit of Golf Courses, 2015)
- Improve overtime controls in the Police Department (Audit of Police Staffing, Expenditures, and Workload, 2021)

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## Twelve Priority Recommendations

### Operational Efficiency:

- Develop Citywide policies and procedures for contract monitoring and management (Audit of Consulting Agreements, 2013)
- Develop volunteer program guidelines (Audit of the City's Use and Coordination of Volunteers, 2016)
- Update tow service agreements (Audit of Towing Services, 2018)

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## Twelve Priority Recommendations

### Improved Service Delivery:

- Update Police Activities League (PAL) agreement (Audit of the San José Police Activities League, 2018) IMPLEMENTED
- Improve monitoring of homeless service providers (Audit of City's Homeless Assistance Programs, 2018)
- Clarify massage program roles and responsibilities (Audit of Code Enforcement Management Controls, 2021)



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## Twelve Priority Recommendations

### Citywide Security / Risk Mitigation:

- Revise procurement card policy (Audit of City Procurement Cards, 2010)
- Procure software solution and sufficient supervisory staff to support wage compliance review (Audit of the Office of Equality Assurance, 2017)
- Develop Citywide administrative guidelines or procedures for managing federal grants (Audit of Citywide Grant Management, 2022)

# Online Interactive Dashboards

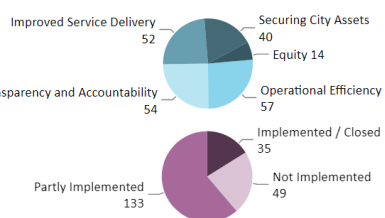
**Status of Audit Recommendations as of June 2022** 217 Reset

Click anywhere to sort the dashboard and hold Ctrl to filter for multiple items.

**Priority**  
12

**Monetary Benefit**  
16

**Meet & Confer**  
2



Primary Department	Count	Year Published	Target Year
Planning, Building, Code Enforcement (PBCE)	44	2022	2023
Parks, Recreation and Neighborhood Services (PRNS)	35	2021	
Police Department (PD)	30	2020	2024
Finance Department (FIN)	26	2019	
Public Works (PW)	21	2018	2024
Office of the City Manager (CMO)	19	2017	
Fire Department (FIRE)	9	2016	2024
Environmental Services Department (ESD)	7	2015	
Office of the City Clerk (CLERK)	4	2014	2024
Housing Department (HSG)	3	2013	
Department of Transportation (DOT)	1	2012	2024
Human Resources (HR)	1	2011	
Office of the City Attorney (CAO)	1	2010	2024
Retirement Services (RET)	1	2010	

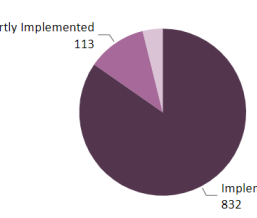
Search Report Number (eraser to clear)

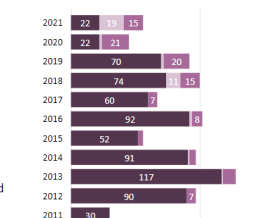
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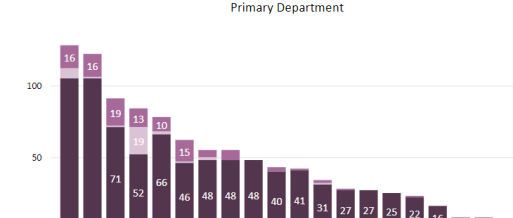
Report #	Recommendation	Monetary Benefit (Potential)	Dept(s)	Current Status	Target Date	Status Update	Report Link
#10-09	1		FIN	Partly Implemented	Sep-2023	In 2012, the Finance Department began informing departments that they should annotate receipts or statements from p-card purchases with simple descriptive annotations of the intended use of the purchase, the intended location, and if applicable, the number of people intended to use the purchased items or services. Finance recommends annotations in quarterly p-card trainings, as well. Additionally, the Finance Department is working on revising the City Procurement Cards policy (Section 5.1.2 of the City Policy Manual), dividing the policy into two parts: a high-level administrative policy and a detailed p-card administrative guide. Both	<a href="https://www.sanjoseca.gov/Home/ShowDocument?id=33732">https://www.sanjoseca.gov/Home/ShowDocument?id=33732</a>

**Summary of All Recommendations 2010 to Present** 983 Reset

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Search Report Number (eraser to clear)

07 - Recommendation

Report #	Recommendation	Dept(s)	Status	Update	Link
#10-02	2	PD	Implemented	Auditor Update as of December 2016: The Department had developed and adopted a civilianization policy based on the IACP model provided in the audit.	<a href="http://www.sanjoseca.gov/DocumentCenter/View/3227">http://www.sanjoseca.gov/DocumentCenter/View/3227</a>
#10-02	6	PD	Closed	Auditor Update as of December 2016: In June 2010, the Department conducted research on best practices across jurisdictions in California to determine what other agencies were doing internally with Brady officers. Based on this, the Department developed a policy, which by December 2010 had been approved by the City Attorney's Office and District Attorney's Office. However, the adopted policy differed from the International Association of Chiefs of Police model in that it did not address how or whether Brady status could affect a sworn employee's continued employment.	<a href="http://www.sanjoseca.gov/DocumentCenter/View/3227">http://www.sanjoseca.gov/DocumentCenter/View/3227</a>

<https://www.sanjoseca.gov/your-government/appointees/city-auditor/audit-recommendations>



# Status of Open Audit Recommendations

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