

Status of Open Audit Recommendations

As of June 30, 2019

A Report by the San José City Auditor
September 2019

www.sanjoseca.gov/auditor

Summary of Results:

- **298** recommendations (**52** issued during first six months of 2019)
- **58** implemented or closed in the last six months
- **144** partly implemented, **96** not implemented
- **72** have target dates within next 6 months
- **70%** of open recommendations over the last 5 years have been implemented or closed

Departments Implemented 58 Recommendations in the Last 6 Months

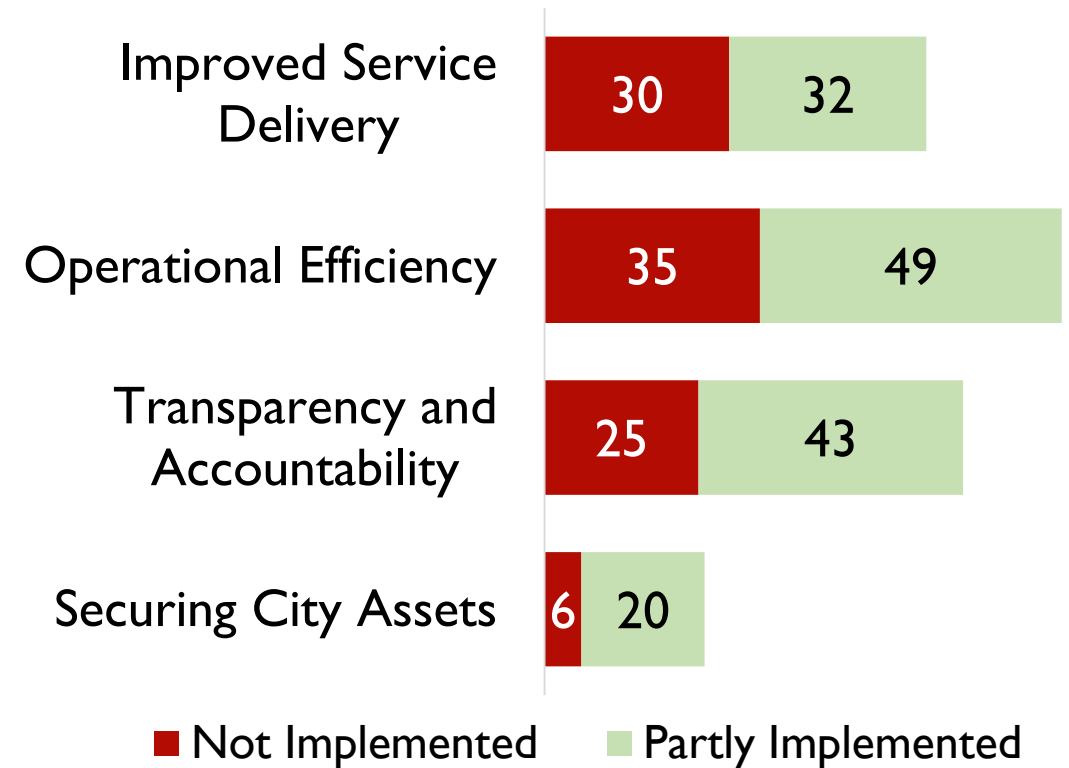
Highlights include:

- ✓ Finance Department online payment portal
- ✓ The Police Activities League's concussion policy and education efforts
- ✓ Fire Department health risk assessments

240 Recommendations are Still Pending

**\$9.1 Million
 Potential
 Budget Savings**

Open Audit Recommendations by Intended Outcome



Twelve Priority Recommendations

Potential Budget Savings:

- Reduce Police Department comp time balances (*Audit of Police Overtime, 2016*)
- Contract terms with golf course operators (*Audit of Golf Courses, 2015*)
- Office of Equality Assurance software and other resources (*Audit of the Office of Equality Assurance, 2017*)

Twelve Priority Recommendations

Operational Efficiency

- Non-emergency medical call response (*Audit of the Fire Department's Strategic Plan, 2001*)
- Contract management policies (*Audit of Consulting Agreements, 2013*)
- Volunteer program guidelines (*Audit of the City's Use and Coordination of Volunteers, 2016*)

Twelve Priority Recommendations

Improved Service Delivery

- SJFD public education (*Audit of Fire Prevention, 2013*)
- Reactivate Emergency Management CERT program (*Audit of the City's Use and Coordination of Volunteers, 2016*)
- Housing Department outreach to tenants and landlords (*Audit of the Apartment Rent Ordinance, 2016*)

Twelve Priority Recommendations

Citywide Security / Risk Mitigation

- Adopt an Information Security Policy (*Audit of Information Technology General Controls, 2012*)
- Develop and implement a Disaster Data Recovery Plan (*Audit of Information Technology General Controls, 2012*)
- Update expired leases (*Audit of the City's Oversight of Financial Assistance to Community-Based Organizations, 2008*)

Online Interactive Dashboards

Status of Open Recommendations as of June 30, 2019
See the latest full Report: bit.ly/June2019AuditRecommendations
Click anywhere to sort the rest of the dashboard.

298
COUNT

Priority 12
Budget Savings 14
Meet & Confer 7

Securing City Assets 36
Improved Service Delivery 72
Operational Efficiency 104
Transparency and Accountability 86

Primary Department	Count	Year Published	Target Year
Parks, Recreation and Neighborhood Services (PRNS)	59	2019	2020
Police Department (PD)	49	2018	2020
Planning, Building, Code Enforcement (PBCE)	32	2017	2020
Office of the City Manager (CMO)	27	2017	2020
Information Technology Department (IT)	20	2016	2020
Fire Department (FIRE)	17	2015	2020
Housing Department (HSG)	16	2015	2020
Public Works (PW)	16	2014	2020
Finance Department (FIN)	14	2013	2020
Human Resources (HR)	12	2012	2020
Retirement Services (RET)	11	2012	2020
Department of Transportation (DOT)	9	2011	2020
Office of Economic Development (OED)	5	2010	2020
Office of the City Clerk (CLERK)	5	2010	2020
Environmental Services Department (ESD)	4	2009	2020
City Council (COUNCIL)	1	2008	2020
Office of the City Attorney (CAO)	1	2008	2020
		2003	2021
		2001	2021

Search Report Number (eraser to clear) Search Recommendation Text (eraser to clear)

Use the scroll bars at the bottom and right to see more recommendations and their status.

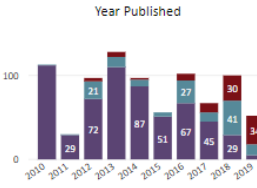
Report #	Recommendation	Budget Savings	Dept(s)	11 - Current Status
#01-05	3 Develop for City Council consideration plans for expanding its use of the Omega priority response level. These plans should include: obtaining the software necessary to fully implement the Omega priority response level; options and costs for dispensing non-emergency medical advice; and any other issues that need to be addressed.	TBD	FIRE	Partly Implemented
#03-10	12 Develop a workload analysis to determine its inspection staff needs to achieve its inspection goals and objectives.		FIRE	Not Implemented
#08-04	9 Clarify when the 7-1 policy should apply to leases with CBOs of City facilities.		OED	Partly Implemented
#08-04	11 We recommend the Real Estate Division: A) Develop a centralized spreadsheet to track the status of CBO		OED	Partly Implemented

Summary of All Recommendations 2010 to Present (Open and Closed)
Click anywhere to sort the rest of the dashboard.

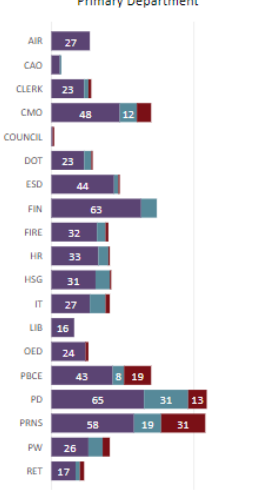
842
Count

Implemented / Closed: 607
Partly Implemented: 140
Not Implemented: 95

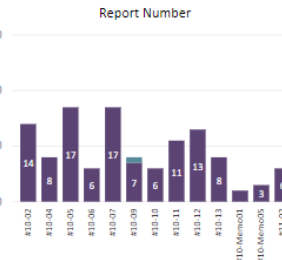
Year Published



Primary Department



Report Number



Search Report Number (eraser to clear) Search by Recommendation Text (eraser to clear)

Use the scroll bars at the bottom and right to see more recommendations and their status.

Report #	Recommendation	Dept(s)	Status	Status
#10-02	2 Adopt a civilianization policy based on that of the International Association of Chiefs of Police or other best practices the Police Department identifies.	PD	Implemented	Auditor
#10-02	6 Analyze its employment and assignment options regarding Brady officers and then develop a policy accordingly, based on the International Chiefs of Police model policy and other best practices identified by the Police Department. Should also consider whether to retain those officers and whether the work they perform, if administrative, could instead be performed by civilians.		Closed	Auditor
#10-02	2 Consider how Community Service Officers and Investigative Aides might be used in the future in San José and meet and confer with the SIPOA regarding this provision.		Implemented	Auditor
#10-02	11 Consider outsourcing the helicopter pilot duties as well as the fixed-wing airplane assignments on an hourly basis.	PD	Closed	Auditor