



Office of the City Auditor

**Report to the City Council
City of San José**

**STATUS OF OPEN AUDIT
RECOMMENDATIONS AS OF
JUNE 30, 2022**

September 2022

This page was intentionally left blank

September 16, 2022

Honorable Mayor and City Council
City of San José
200 E. Santa Clara Street
San José, CA 95113

STATUS OF OPEN AUDIT RECOMMENDATIONS AS OF JUNE 30, 2022

RECOMMENDATION

We recommend the City Council accept the Status of Open Audit Recommendations as of June 30, 2022.

SUMMARY OF RESULTS

The City Auditor's Office monitors and reports on the status of open audit recommendations every six months. Since the last update, City staff implemented or closed 33 recommendations.

Over the past 10 years, the Administration has implemented 75 percent of all recommendations made by the Auditor's Office (target: 80 percent). 210 recommendations remain pending, the majority of which have been partly implemented.

Attached is a summary table of all recommendations by report over the past five years (Appendix A) and details of the 243 audit recommendations from our review as of June 30, 2022 (Appendix B).

243 recommendations in this report
25 were issued in new reports
33 implemented/closed since last update
210 partly or not implemented
\$10.7 million in potential budget savings or efficiency gains
75% of audit recommendations made over the last 10 years have been implemented or closed

Twelve Priority Recommendations

Per direction of the City Council, the Administration, in coordination with the City Auditor's Office, identified 12 open audit recommendations to prioritize, while continuing to make progress on implementing or closing out other open audit recommendations.¹ The current audit recommendation priorities (categorized by intended benefit, and listed with target dates) are:

Potential budgetary savings/revenue generation

- Reduce Police Department comp time balances (*Audit of Police Overtime*, 2016)

The number of sworn employees with comp time balances over 240 hours has increased from 410 at the time of our audit to 727 as of August 2022 (up slightly from 721 as of February 2022); the liability for compensatory time has increased from \$13 million to \$23.8 million (up slightly from \$23.5 million as of February 2022). In May 2021, the Department issued a memo reminding staff of the requirement to bring their comp time balances back to the 240-hour maximum level in accordance with the Memorandum of Agreement with the Police Officers Association. Recommendation #1608-10 target date: July 2023 (delayed from March 2018).

- Obtain more favorable contract terms from golf course operators (*Audit of Golf Courses*, 2015)

The Parks, Recreation and Neighborhood Services Department (PRNS) is conducting a Request for Proposal (RFP) and expects to award lease agreements for Los Lagos, Rancho Del Pueblo, and Muni by October 2022. PRNS reports that the new leases for all three City golf courses are expected to begin in early 2023. Recommendation #1508-01 target date: December 2022 (delayed from December 2018).

- Improve overtime controls in the Police Department (*Audit of Police Staffing, Expenditures, and Workload*, 2021)

The Police Department issued a memo outlining new overtime controls and new requirements that include Captains and Division Managers reporting out on the use of overtime in their division on a quarterly basis. The Department states that it will continue to review overtime, including how it is being used; review its overtime policies in consideration of the current staffing issues; and develop a plan that considers policy changes, clarification of discretionary and mandatory overtime, consistent messaging, training for staff, and management review. The Department also reports it will develop timecard training for line staff and supervisors on how to log discretionary, mandatory, or voluntary overtime codes in their timecards. Recommendation #2101-06 target date: June 2023 (delayed from June 2022).

¹ In June 2018, the City Council approved the *2018-19 Open Audit Recommendation Priorities* (<https://sanjose.legistar.com/LegislationDetail.aspx?ID=3512937&GUID=A59AA751-4DB2-4759-BE3A-03E8B26DB47F&Options=&Search>). To date, nine of the original 12 priority recommendations have been implemented, and new priority recommendations have been added.

Operational efficiency

- Develop Citywide policies and procedures for contract monitoring and management (*Audit of Consulting Agreements*, 2013)

The Administration engaged a consultant to assess the City's current procurement processes who made recommendations for the Finance Department's Purchasing Division to provide additional support to departments in consulting procurements. The City Manager's Office (CMO) reports that staff has also been coordinating with the City Attorney's Office to finalize a Citywide Contract Processing Manual for use by City staff. According to the CMO, this manual will address the different elements in the recommendation to improve contract management overall. Recommendation #1306-09 target date: December July 2023 (delayed from June 2018).

- Develop volunteer program guidelines (*Audit of the City's Use and Coordination of Volunteers*, 2016)

During the COVID-19 response, the City redirected volunteering from the City website and through the Emergency Operations Center (EOC) to Silicon Valley Strong to centralize efforts. With the decommissioning of the COVID-19 EOC, the City recreated its basic volunteering page directing to City opportunities in departments and their information. The Administration reports that it will designate a lead to coordinate the work around this recommendation, including creation of a Volunteer Policy, and development of guidance and a toolkit for volunteer coordinators in the City. The Administration reports that direction will be subject to funding and will be submitted as part of the FY 2023-24 Budget Process. Recommendation #1603-03 target date: December 2023 (delayed from June 2019).

- Update tow service agreements (*Audit of Towing Services*, 2018)

The City anticipates issuing an RFP for a technology platform and contract administration for tow services in Fall 2022. This had been planned for release previously, but was delayed because of the City's emergency response to COVID-19. The Administration reports that multiple recommendations from this audit, including methods to address agreement violations, will be incorporated into the RFP. Recommendation #1810-03 target date: December 2023 (delayed from July 2020).

Improved service delivery

- Update Police Activities League (PAL) agreement (*Audit of the San José Police Activities League*, 2018)

PRNS, the Police Department, and the CMO have worked to identify alternatives to the service delivery model in place at the time of the audit. In February 2020, the City Council approved plans for PRNS to move forward with PAL on a hybrid PAL/PRNS governance structure.

In January 2021, the City Council approved guiding principles for the new operating model. Using these guiding principles, staff negotiated a contract that details PAL operations and performance measures. The contract is waiting finalization. Recommendation #1802-01 target date: October 2022 (delayed from Fall 2019).

- Improve monitoring of homeless service providers (*Audit of City's Homeless Assistance Programs*, 2018)

The Housing Department has developed monitoring policies, procedures, and templates to conduct monitoring visits. The Department also currently has engaged a consultant to aid in monitoring service providers. The Department has been granted access to the County's HMIS system and staff have begun reviewing grantee reports against HMIS data. Lastly, the Department is working with the City's WebGrants vendor to develop a monitoring portal that will allow staff to upload all monitoring documents into that system. This is the last element of this recommendation. Recommendation #1807-11 target date: December 2022 (delayed from July 2020).

- Clarify Massage Program roles and responsibilities (*Audit of Code Enforcement Management Controls*, 2021)

Staff in the Department of Planning, Building and Code Enforcement (PBCE) drafted a work plan, including the creation of an MOU or other means of documentation to outline massage program goals and departmental responsibilities between PBCE and the Police Department. Staff report that PBCE and the Police Department are in the process of finalizing that work plan and timelines for completion. Recommendation #2104-07 target date: October 2022 (delayed from August 2022)

Citywide security/risk mitigation

- Revise procurement card policy (*Audit of City Procurement Cards*, 2010)

At the time of our 2019 follow-up audit of procurement cards (p-cards), the City had been spending roughly \$14 million annually through City-issued p-cards. 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 documents are currently under review. These revisions will address multiple open audit recommendations to ensure the ongoing appropriateness of p-card expenditures. Recommendation #1009-01 target date: June 2023 (delayed from June 2011).

- Procure software solution and sufficient supervisory staff to support wage compliance review (*Audit of the Office of Equality Assurance*, 2017)

The Office of Equality Assurance (OEA) posted an RFP to develop an integrated online platform to support wage compliance reviews. OEA has also executed minimum wage enforcement agreements with multiple local agencies. The revenue collected was allocated to fund a

Senior Analyst position. Additionally, OEA received funding for three Contract Compliance Coordinators in the FY 2022-23 Adopted Operating Budget. Recommendation #1702-01 target date: March 2023 (delayed from June 2018).

- Develop Citywide administrative guidelines or procedures for managing federal grants (*Audit of Citywide Grant Management, 2022*) – New priority added

The Finance Department has identified seven limit-dated positions to work on grants related work including closeout responsibilities and developing Citywide grant management guidelines. The Department reports it is working on identifying more permanent staffing to adequately maintain and update these resources on a continuous basis. Recommendation #2203-01 target date: June 2023.

More detail about each of the priority recommendations is shown in our online dashboard and in Appendix B of this report.

Departments Implemented or Closed 33 Recommendations in the Last Six Months

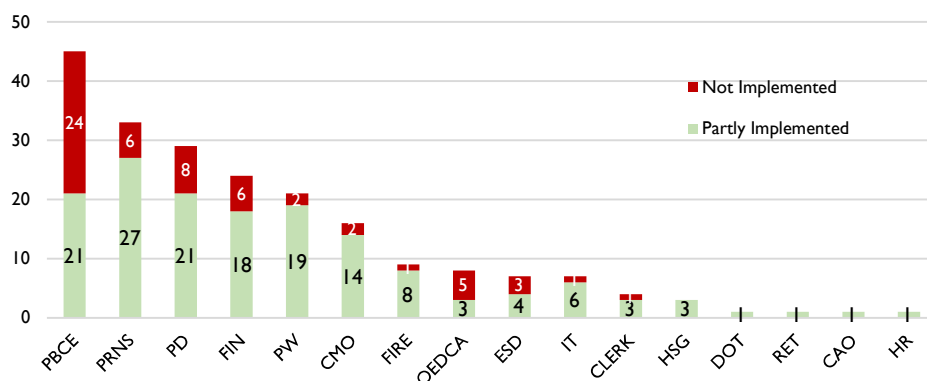
In addition to their work on the priority items listed above, departments continued to make progress toward implementing other open audit recommendations. Examples include:

- PRNS has made progress on recommendations from our 2020 audit of Park Maintenance. They have updated guidelines for its annual Park Condition Assessment process and developed standard operating procedures around the timeliness of corrective work orders. (*Audit of Park Maintenance, 2020*)
- The Police Department updated its Duty Manual and standard operating procedures around the advocate referral process, and domestic violence and sexual assault resource cards have been updated including the availability of information in multiple languages. (*Audit of Advocate Referrals, 2021*)
- The Police Department has also updated internal guidelines that formalizes the role of the Special Victims Unit's Human Trafficking team within the massage program, including the process for case referrals by the Vice Unit. (*Audit of Code Enforcement Management Controls, 2021*)
- The Environmental Services Department, the Finance Department, and the Information Technology Department coordinated to centralize and compile important content for customers on the Muni Water website, including a Low Income and Vulnerable Customer Certification Form and information about late fees, how to open or close an account, and how to read bill statements. (*Audit of Municipal Water Billing and Customer Service, 2021*)

Total of 210 Recommendations Are Still Pending

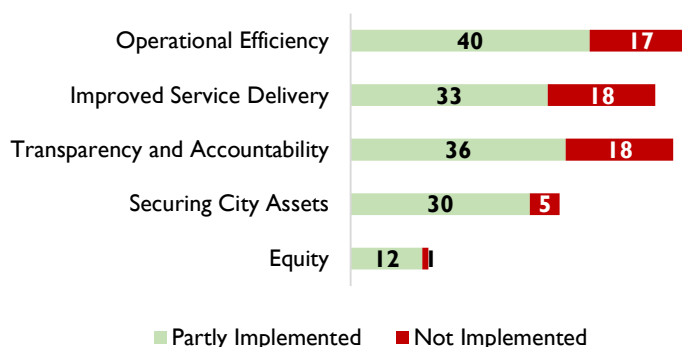
Of the 210 recommendations that are still pending, 151 (72 percent) are partly implemented and 59 (28 percent) are not implemented. PBCE has the largest number of open audit recommendations – many of which were issued within the past year.

All Open Audit Recommendations



When implemented, many recommendations will improve operational efficiency of City departments. Others will improve transparency and accountability, improve service delivery, help to secure City assets, or ensure equity in service delivery.

Open Audit Recommendations by Intended Outcome



Note: The equity category is new as of this report. Some recommendations have been recategorized from the other categories.

\$10.7 Million in Potential Savings from 17 Open Recommendations

Implementing recommendations can sometimes result in cost savings or additional revenue to the City. Examples include:

- Renegotiating the revenue sharing terms of the integration agreement with Santa Clara Valley Water District (estimated at \$2.8 million at the time of an audit in 2016)

- Improving management of overtime and reducing compensatory balances of sworn employees in the Police Department (an estimated \$2.5 million from multiple recommendations from audits in 2016 and 2021)
- Recovering 100 percent of the cost of the Police Department's secondary employment program (\$747,000 at the time of the audit in 2012)
- Creating a roster of massage businesses to help the City identify unpermitted businesses, and notifying businesses of the expiration of their licenses (estimated \$500,000 in initial permit application fees, and \$280,000 in ongoing annual permit fees)

These and other recommendations that could result in potential savings are shown in more detail in Appendix B and in our online dashboard.

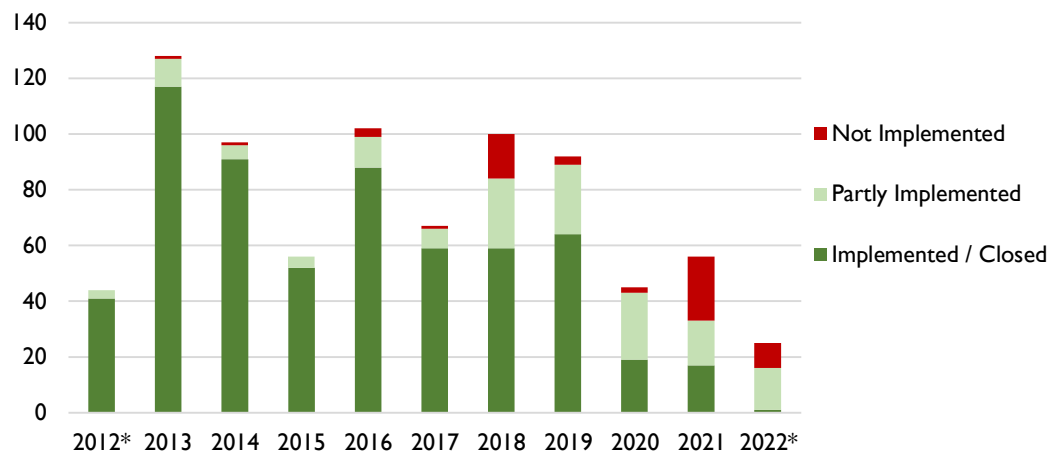
Three Pending Recommendations Are Potentially Subject to Meet and Confer

We forward open items that may be subject to meet and confer to the Office of Employee Relations for inclusion in their annual labor relations update to the City Council.² These are also identified in Appendix B as well as on our online dashboard.

Departments Have Implemented 75 Percent of Recommendations Made in the Last 10 Years

Over the last 10 years, the City Auditor's Office has made 812 recommendations to improve or enhance City services. Of those recommendations, 75 percent have been implemented or closed.

Recommendations Made Over the Last 10 Years



* Recommendations in 2012 represent July 2012-December 2012, and recommendations in 2022 represent January 2022-June 2022 to account for 10 full years

Note: The number of recommendations can vary from year to year based on the type and scope of audits, as well as the timing of the release.

² For more information, see the 2022 Annual Summary of Labor Negotiations (<https://www.sanjoseca.gov/your-government/departments/employee-relations/labor-relations-information>).

Over the past five years, departments have fully implemented 56 percent of the 373 audit recommendations made. (See Appendix A for a list of reports issued in the last five years and the status of their recommendations.)

CONCLUSION

Information about all open recommendations is available online:

- The *Dashboard of the Status of Open Audit Recommendations* contains information about the status of all pending recommendations as of June 30, 2022 – sortable by priority, department, year published, target date, and type/benefit.
- The *Dashboard of All Recommendations 2010 to Present* contains all recommendations (both open and closed) made since 2010 – sortable by report, department, year published, and status. A search feature allows users to search by keyword.

Both dashboards are online at:

www.sanjoseca.gov/your-government/appointees/city-auditor/audit-recommendations

The City Auditor's Office would like to thank the City Manager's Office and all the departments for their efforts to implement audit recommendations and for their assistance in compiling this report.

Respectfully submitted,



Joe Rois
City Auditor

Audit staff: Brittney Harvey, Michelle Ann Mallari, Gitanjali Mandrekar, Stephanie Noble, Ebelechukwu Obi, Michael O'Connell, Alison Pauly, Adrian Perez, and Ricky Tran

Appendix A: Summary Listing of Recommendations by Report (July 1, 2017 – June 30, 2022)

Appendix B: Detailed Listing of the Status of Open Recommendations as of June 30, 2022

Appendix A:

SUMMARY LISTING RECOMMENDATIONS BY REPORT
(JULY 1, 2017 – JUNE 30, 2022)

Report	Audit Title	Dept(s)	We made recommendations to:	Current Recommendation Status
#18-06	Community Center Reuse (now the Neighborhood Center Partner Program): Efficient Monitoring and Better Data Can Help Determine the Next Phase of Reuse	PRNS	Improve program monitoring and use of facility- and provider-level data to better assess services delivered to residents	<div><div></div></div> 19
#18-07	Audit of the City's Homeless Assistance Programs: More Coordination and Better Monitoring Can Help Improve the Effectiveness of Programs	HSG	Improve the City's oversight and management of its homeless assistance program	<div><div></div></div> 14
#18-08	Team San Jose Performance FY 2017-18	OEDCA	Establish and formalize the target for theater occupancy	<div><div></div></div> 1
#18-10	Audit of Towing Services: Changes to Contract Terms and Consolidated Oversight Could Improve Operations	PBCE	Address towing contract violations, standardize towing and storage fees, update contract terms, and improve oversight	<div><div></div></div> 17
#19-01	Audit of 9-1-1 and 3-1-1: Changes to Call Handling and Increased Hiring Efforts Could Improve Call Answering Times	PD	Improve emergency call answering times	<div><div></div></div> 19
#19-02	Employee Benefit Fund Administration: Opportunities Exist to Improve Controls	HR	Improve administration of employee benefit funds	<div><div></div></div> 8
#19-03	Development Noticing: Ensuring Outreach Policies Meet Community Expectations	PBCE	Update outreach policies to reflect current conditions, and improve mechanisms for reaching neighborhood associations and limited-English speaking populations	<div><div></div></div> 8
#19-04	The Mayor's Gang Prevention Task Force: Better Coordination and Use of Data Can Further the Task Force's Strategic Goals	PRNS	Support and enhance the Task Force's continuum of care strategy	<div><div></div></div> 17
#19-05	Employee Reimbursements: Strengthening and Streamlining the Reimbursement Process	FIN	Streamline and better monitor the employee reimbursement process	<div><div></div></div> 4
#19-06	Form 700s: Despite High Overall Filing Rates, the City Can Improve Timeliness and Completeness of Filings	CLERK	Streamline processes and standardize procedures to improve the timeliness and completeness of Form 700 filings	<div><div></div></div> 9

Report	Audit Title	Dept(s)	We made recommendations to:	Current Recommendation Status
#19-07	Procurement Cards: Clarification on Policies and Additional Oversight Can Improve the P-Card Program	FIN	Improve program controls and oversight, as well as monitoring of agreements	<div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div> 9
#19-08	Street and Utility In-Lieu Fees: Transparency and Coordination Can Improve the Administration of Fee Programs	PW	Improve the calculation, collection, and use of in-lieu fees for street and utility-related public improvements	<div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div> 8
#19-10	Technology Deployments: Processes Can Be Improved to Ensure Long-term Success of the City's Technology Vision	IT	Strengthen the City's technology deployments process by improving planning, tracking, and reporting of major technology projects throughout the City	<div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div> 10
#20-02	Fleet Maintenance and Operations: Public Works Can Continue to Improve Fleet Operations	PW	Continue to enhance fleet operations by utilizing data to identify fleet replacements and monitor operations, and streamlining the fleet acquisition process	<div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div> 13
#20-03	Audit of Fire Development Services: Staff Resources and Process Efficiencies Will Help to Reduce Backlog	FIRE	Improve customer service and the efficiency of the Fire development services program by reducing the backlog of work, improving processes, and addressing resource needs	<div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div> 14
#20-04	Park Maintenance: Improved Data Collection and Analysis Would Enhance Park Maintenance Operations	PRNS	Continue to better monitor and improve park maintenance operations by reassessing the Park Condition Assessment process and data collection protocols, and using targeted data to inform resource decisions	<div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div> 13
#20-05	Development Partners' Work-in-Progress Reserves: Better Monitoring Can Ensure Reserves Align with Resource Needs	MULTIPLE	Improve the workload and resource planning through better tracking of development work in progress	<div><div></div><div></div><div></div><div></div><div></div></div> 5
#21-01	Police Staffing, Expenditures, and Workload: Staffing Reductions Have Impacted Response Times and Led to High Overtime Costs	PD	Review and compare Police staffing, spending, and calls for service over time, and provide recommendations about managing overtime and staffing to meet Council and community priorities	<div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div> 10

This page was intentionally left blank

Appendix B:

DETAILED LISTING OF THE STATUS OF OPEN
RECOMMENDATIONS AS OF JUNE 30, 2022

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#09-08 Performance Management and Reporting in San José</p> <p>#01 The purpose of the “white paper” was to provide a roadmap for developing a performance management system that promotes data-driven decision making. Jointly signed by the City Manager and the City Auditor, it included “next steps” meant to reduce staff time compiling data while ensuring City staff and policy makers have the best information available for decision making and increasing accountability and transparency in the City’s public reporting. As outlined in the report, next steps included: scheduling frequent and regular meetings of top department managers and the City Manager’s Office to proactively discuss performance metrics, identify issues, and to evaluate solutions; periodic assessments of the performance management system itself; reviewing and reducing the number of performance measures; compiling methodology sheets for performance measures; reassessing reporting mechanisms; validating performance measures; establishing information systems to track performance data; clarifying core service names; clarifying the link between mission, goals, and objectives; obtaining the net cost of services; and increasing the use of efficiency measures.</p>	CMO	Closed	<p>The purpose of the “white paper” was to provide a roadmap for developing a performance management system that promotes data-driven decision making. It was jointly signed by the City Manager and the City Auditor. The City’s Budget Office has implemented many of the next steps identified in the report. This includes eliminating more than 100 performance measures that were no longer meaningful; clarifying or renaming many of the City’s core services; reallocating some costs from the City-Wide Expense budget category to department budgets, and organizing City-Wide Expenses by department; requiring up-to-date methodology sheets for all of the performance measures reported in the Budget; and developing City Service Area (CSA) dashboards with six key measures for primary services in each area. The Administration (along with the City Auditor) engaged True North Research for a new Community Opinion Survey for performance measures included in both the budget and in the City Auditor’s Annual Report on City Services. The City’s current City Roadmap includes a strategy for Outcomes, Equity Indicators and Performance Management to support the Strategic Fiscal Positioning + Resource Deployment Enterprise Priority. In addition, the City Auditor’s work plan includes projects to assess the validity and usefulness of performance metrics for City departments, programs, or City Service Areas. This is intended to be ongoing work that will continue beyond FY 2022-23. Because of these actions, and because performance management is an ongoing effort that will continue to evolve in the City, we recommend closing this recommendation but will continue to monitor performance management across the organization.</p>
<p>#10-09 City Procurement Cards</p> <p>#01 Revise the p-card policy to require simple descriptive annotations on receipts or statements that describe the intended use of the purchases, as well as the intended location, and if applicable, the number of people intended to use the purchased items or services.</p>	FIN	Partly Implemented - Priority	<p>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 documents are under senior staff review. Target Date: Jun-2023 (Delayed From: Jun-2011)</p>

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#11-04 Key Drivers of Employee Compensation</p> <p>#02 To reduce the cost of overtime, the City should</p> <p>(1) conduct a Citywide FLSA overtime review or at a minimum review job specifications for specific positions and whether they would qualify for an FLSA overtime exemption;</p> <p>(2) pursue reductions in overtime to align with FLSA requirements (including but not limited to calculating overtime on hours worked, not paying overtime to exempt employees, and not paying overtime to employees receiving executive leave); and</p> <p>(3) prepare full cost estimates of contract provisions that exceed FLSA provisions.</p>	CMO	Closed	<p>The City achieved changes in overtime eligibility for some employees during past negotiations with the City's bargaining units. For instance, some represented employees are paid overtime only after having worked 40 hours (excluding paid time off, with the exception of holiday leave). The City has not yet conducted a Citywide FLSA overtime review or a review of job specifications to determine whether some positions would qualify for FLSA overtime exemptions. We recommend this recommendation be closed, as these analyses and the remaining elements of this recommendation need to be considered in the context of overall contract negotiations with the City's 11 bargaining units. The Office of Employee Relations (OER) publishes an annual summary of labor negotiations each year in advance of negotiations.</p>
<p>#12-04 Police Department Secondary Employment</p> <p>#01 The Police Department should develop and immediately implement a written procedure for periodic review of off-duty employment timecards including comparisons of:</p> <p>(a) City timecards to off-duty timecards,</p> <p>(b) timecards for multiple off-duty jobs to each other to test for fraud, and</p> <p>(c) hours taken for administrative/disability/sick leave to hours worked off-duty. The Department should also hold supervisors accountable for paying attention to on-duty and secondary employment time keeping.</p>	PD	Implemented	<p>The Department updated procedures for the Secondary Employment Unit (SEU) to include audits of timecards to test for fraud and overlapping hours, as well as secondary employment worked simultaneously with disability or other leaves. Secondary employment coordinators are now able to enter and review the hours for SEU staff. Staff that exceed hourly limits will no longer be able to sign up for jobs. The Unit also plans to begin a pilot program for reserve officers using SimpliGov which will allow a cross check of hours by secondary employers to ensure hours are accurately reported.</p>
<p>#12-04 Police Department Secondary Employment</p> <p>#05 To promote transparency and accountability, the Police Department should know and post annually, on the City's web site, total compensation earned by Police Department employees working secondary employment in SJPd uniform. The Department should know and post information for each employee by name, each employer where that employee worked, and the amount earned from each employer during the year as reported by the employee to the Police Department.</p>	PD	Partly Implemented	<p>The Department reports that it has proposed a restructuring of the SEU program to the City Manager's Office which would address reporting of employee compensation. This is pending review. Target Date: Dec-2024 (Delayed From: Dec-2013)</p>

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#12-04 Police Department Secondary Employment</p> <p>#22 The Police Department should: (a) calculate the cost of bringing all coordination into SEU and the related impact on employers' fees, and (b) assess the impact on the hourly rate charged to employers, as well employer fees, if coordination were brought into SEU and employees were paid at an overtime rate. Given that information, the Department should seriously consider three options moving forward: (1) phasing into SEU the coordination of additional pay jobs, (2) bringing all coordination into SEU, (3) bringing all coordination into SEU and also paying employees on overtime through the City.</p>	PD	Partly Implemented	<p>The Department is in the process of conducting an analysis of the overall future of the secondary employment program and has proposed a restructuring of the program to the City Manager's Office. This is pending review. Target Date: Dec-2024 (Delayed From: Dec-2019)</p>
<p>#12-04 Police Department Secondary Employment</p> <p>#28 The Police Department should:</p> <p>(a) calculate the comprehensive cost of the secondary employment program (personnel, administrative costs, etc.),</p> <p>(b) compare those costs to the revenue generated by related fees, and</p> <p>(c) determine the fees that would be required to make the program 100% cost recovered and present this data to the City Council.</p>	PD	Partly Implemented	<p>The Department is in the process of conducting an analysis of the overall future of the secondary employment program and has proposed a restructuring of the program to the City Manager's Office. This is pending review. Target Date: Dec-2024 (Delayed From: Dec-2019)</p> <p>Potential Budget Savings: The personnel costs of operating SEU were estimated at \$747,000 in the audit. Recovery of these costs through fees would reduce the subsidy by the General Fund.</p>
<p>#12-04 Police Department Secondary Employment</p> <p>#29 The Police Department should fully recover the cost of secondary employment liability policy either through increased employee contributions or by a fee charged to secondary employers.</p>	PD	Partly Implemented	<p>The Department is in the process of conducting an analysis of the overall future of the secondary employment program and has proposed a restructuring of the program to the City Manager's Office. This is pending review. Target Date: Dec-2024 (Delayed From: Dec-2019)</p> <p>Potential Budget Savings: In 2019, the General Fund subsidy of the secondary employment liability policy was \$23,000.</p>
<p>#12-04 Police Department Secondary Employment</p> <p>#30 Assuming that the City continues to offer uniformed off-duty employment to private employers, the City should assess the public and private benefits of the current provision of uniformed security services to a broad range of private and public entities. The Department should analyze the costs and benefits of continuing to provide this service on such a broad scale as well as the potential effects of limiting the program to certain types of jobs. The Department should propose a plan for the future of the program to the City Council that includes the results of this analysis.</p>	PD	Partly Implemented	<p>The Department is in the process of conducting an analysis of the overall future of the secondary employment program and has proposed a restructuring of the program to the City Manager's Office. This is pending review. Target Date: Dec-2024 (Delayed From: Dec-2019)</p>

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#12-06 Environmental Services</p> <p>#13 The Administration should propose the City Council establish a City Council Policy which includes guiding principles so as not to raise rates in years in which ratepayer fund balances exceed reasonable targets.</p>	ESD	Partly Implemented	At the time of our audit, the City had accumulated large ending fund balances in its utility funds – totaling more than \$278 million at the end of FY 2010-11. The sources of the large balances were lower than expected capital spending, staff vacancies, and other budget savings. We recommended the Administration propose a policy to hold rates steady when fund balances exceed reasonable targets. In coordination with the City Managers' Budget Office and the City Attorney's Office, the Environmental Services Department (ESD) has begun developing a new City Administrative Policy Manual section, the goal of which will be to identify the guiding principles for developing utility rates to ensure rate increases are fair and appropriate, while also balancing key priorities such as safe and reliable services, cost efficiency, and supporting environmental outcomes. Target Date: Dec-2022 (Delayed From: Sep-2017)
<p>#12-06 Environmental Services</p> <p>#22 The Administration should propose the City Council adopt a City Council Policy which includes guiding principles for evaluating ratepayer costs and rate increases for fairness and appropriateness, and balancing priorities, such as safe and reliable services, cost efficiency, ratepayer impacts, and environmental outcomes.</p>	ESD	Partly Implemented	In coordination with the City Managers' Budget Office and the City Attorney's Office, the Environmental Services Department (ESD) is developing a new City Administrative Policy Manual section outlining the overall guidelines for evaluating ratepayer costs and important considerations involved in establishing utility rates. The goal of the new City Policy Manual section will be to identify the guiding principles for developing utility rates to ensure rate increases are fair and appropriate, while also balancing key priorities such as safe and reliable services, cost efficiency, and supporting environmental outcomes. Target Date: Dec-2022 (Delayed From: Dec-2016)
<p>#12-07 Fire Department Injuries</p> <p>#03 We recommend that the Administration review and update Fire Department job descriptions with more specific descriptions of the physical requirements of what employees actually do on a day-to-day basis, and make the job descriptions and physical requirements easily accessible to physicians.</p>	HR / FIRE	Partly Implemented	As discussed in the audit, the job descriptions for the firefighter series have not been updated since 1999, and have similar physical requirements for differing classifications and ranks that could needlessly limit getting employees back to work. The Human Resources Department has provided Fire with available consultant information from a previously conducted RFP to conduct the classification study. Fire plans to do a review of classifications with the most number of injuries, but report funding will be needed to do this review. Target Date: Dec-2023 (Delayed From: Jun-2018)
<p>#12-08 Ten Years of Staffing Reductions at the City of San José</p> <p>#01 We recommend eliminating bumping from the City's civil service rules as it is not cohesive with the City's modernized broadband classification structure nor with the complex and specialized work that many City employees do. If elimination is not possible, we recommend: limiting bumping to intradepartmental bumping only, limiting the number of people who can bump into a given position over a given time period, limiting the number of bumps and reinstatements into a given work unit over a given time period, and/or lowering the threshold for meeting position exemption requirements.</p>	CMO	Closed	This recommendation was made in the context of the severe budget and staffing cuts during the great recession. We recommend this recommendation be closed as the different elements of this recommendation need to be considered in the context of overall contract negotiations with the City's 11 bargaining units. The Office of Employee Relations (OER) publishes an annual summary of labor negotiations each year in advance of negotiations.

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#12-08 Ten Years of Staffing Reductions at the City of San José</p> <p>#02 Modify the reinstatement process to</p> <p>A) Allow departments to choose the most qualified candidate on the City reinstatement lists when such lists are in effect, regardless of seniority.</p> <p>B) Develop an exemption process for managers who have compelling cases for not filling critical positions from reinstatement lists.</p> <p>C) Allow employees to waive reinstatement for a certain time period or a certain number of opportunities.</p>	CMO	Closed	This recommendation was made in the context of the severe budget and staffing cuts during the great recession. We recommend this recommendation be closed as the different elements of this recommendation need to be considered in the context of overall contract negotiations with the City's 11 bargaining units. The Office of Employee Relations (OER) publishes an annual summary of labor negotiations each year in advance of negotiations.
<p>#12-08 Ten Years of Staffing Reductions at the City of San José</p> <p>#03 Pursue changes to the layoffs, bumping and reinstatement rules that subordinate seniority and factor in applicable job skills, recent job performance and disciplinary records.</p>	CMO	Closed	This recommendation was made in the context of the severe budget and staffing cuts during the great recession. We recommend this recommendation be closed as the different elements of this recommendation need to be considered in the context of overall contract negotiations with the City's 11 bargaining units. The Office of Employee Relations (OER) publishes an annual summary of labor negotiations each year in advance of negotiations.
<p>#13-06 Consulting Agreements</p> <p>#05 The City Manager's Office should revisit the role of the Finance Department with respect to consultant procurements, evaluating whether its current level of involvement and resources is adequate.</p>	CMO / FIN	Implemented	The Administration engaged a consultant, Guidehouse LLC, to assess the City's current procurement processes and make recommendations for improvements. The scope of the work included consultant procurements. The consultant made recommendations for the Finance Department's Purchasing Division to provide additional support to departments in consulting procurements. These recommendations included ad hoc guidance to departments, conducting spot audits to ensure policy compliance, and developing trainings around consulting procurements. The full scope of work for Purchasing will be determined based on resources. The Finance Department added three positions in the FY 2022-23 Adopted Operating Budget to begin implementing the consultant's recommendations.
<p>#13-06 Consulting Agreements</p> <p>#07 To lessen the burden on City staff while fostering improved competition in consultant procurements, the Finance Department should include in its annual procurement training simplified procurement processes for smaller consulting contract procurements while encouraging full and open competition, and define when these simplified processes can be used.</p>	FIN	Partly Implemented	The Administration engaged a consultant, Guidehouse LLC, to assess the City's current procurement processes and make recommendations for improvements. The scope of the work included consultant procurements. Included among the recommendations was a recommendation for Purchasing to "develop comprehensive training documents to educate departments on conducting compliant consulting services procurements." Target Date: Jun-2023 (Delayed From: Jun-2018)

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#13-06 Consulting Agreements</p> <p>#08 We recommend that the City:</p> <p>A) Reconcile overpayments as described above and get reimbursed for these overpayments,</p> <p>B) Document any changes in consulting contract terms or requirements through a formal contract amendment, and enforce existing contract terms. If the contract allows for changes in terms without amendments, such changes should be documented in writing, and</p> <p>C) Require contract managers to reconcile previously received deliverables to contract payments during the contract amendment process, prior to increasing contract amounts.</p>	CMO / FIN	Partly Implemented	<p>During this audit, we found that the City's oversight of consulting agreements was not adequate and developing policies and procedures would provide department staff with guidance on how to manage consulting agreements. The City Manager's Office (CMO) reports that staff has been coordinating with the City Attorney's Office to finalize a Citywide Contract Processing Manual for use by City staff. According to the CMO, this manual will address the various elements in the recommendation. With respect to part (a), in 2014, the Police Department executed a retroactive extension that approved prior year expenditures with at least one of the consultants we identified. Target Date: Jun-2023 (Delayed From: Dec-2019)</p>
<p>#13-06 Consulting Agreements</p> <p>#09 We recommend the Administration develop Citywide policies and procedures on contract monitoring and management including:</p> <ul style="list-style-type: none"> - a standardized contract management process, - organization of contract files, - checklists for tracking agreed-upon deliverables and line item budgets, - components of invoice review which link payments to contract deliverables, and - documenting deliverables prior to payment. <p>We further recommend that the City require contract administrators to annually certify they have reviewed and understand those policies and procedures.</p>	CMO / FIN	Partly Implemented - Priority	<p>During this audit, we found that the City's oversight of consulting agreements was not adequate and developing policies and procedures would provide department staff with guidance on how to effectively manage contracts. The City Manager's Office (CMO) reports that staff has been coordinating with the City Attorney's Office to finalize a Citywide Contract Processing Manual for use by City staff. According to the CMO, this manual will address the various elements in the recommendation. Target Date: Jun-2023 (Delayed From: Jun-2018)</p>
<p>#13-06 Consulting Agreements</p> <p>#11 We recommend the Administration ensure that:</p> <p>A) Staff managing contracts conform with current City contract retention policies and, consistent with those policies, keep all documents related to contract procurement, compliance and monitoring, including all documents related to contract renewals, amendments, continuation agreements, and other contract modifications; and</p> <p>B) Require staff to include a notation regarding the City's retention policies in each individual contract file.</p>	CMO / FIN	Partly Implemented	<p>During this audit, we found that the City's oversight of consulting agreements was not adequate and developing policies and procedures would provide department staff with guidance on how to manage consulting agreements. The City Manager's Office (CMO) reports that staff has been coordinating with the City Attorney's Office to finalize a Citywide Contract Processing Manual for use by City staff. According to the CMO, this manual will address the various elements in the recommendation. Target Date: Jun-2023 (Delayed From: Jan-2018)</p>

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#13-06 Consulting Agreements</p> <p>#13 We recommend that the City Administration include the City's Conflict of Interest and Ethics policies in its annual procurement and contract monitoring training.</p>	FIN	Partly Implemented	The Administration engaged a consultant, Guidehouse LLC, to assess the City's current procurement processes and make recommendations for improvements. The scope of the work included consultant procurements. Included among the recommendations was a recommendation for Purchasing to "develop comprehensive training documents to educate departments on conducting compliant consulting services procurements." Target Date: Jun-2023 (Delayed From: Jun-2018)
<p>#13-11 Code Enforcement</p> <p>#08 The City Administration should propose to expand the Residential Occupancy Permit program to include condominiums functioning as rental apartment complexes.</p>	PBCE	Partly Implemented	The goal of the Residential Occupancy Permit Program is to provide minimum safety and habitability standards for renters. At the time of the audit, about 41 percent of San Jose residents were renters in a total of about 125,000 renter-occupied units. However, the Multiple Housing Program issued Residential Occupancy Permits for only about 84,000 units. This net difference of 41,000 units could mean that as much as a third of San José's renters were not receiving the same level of service afforded to other rental residents. The current policy to exclude condominiums (potentially housing hundreds of renters) leaves a significant portion of San José's renters potentially at risk. More recently, Code Enforcement has worked with the Housing Department in its Housing Element draft workplan. The Housing Element includes five goals that create the framework for how the City of San José will address housing needs. Linked to each goal, strategies provide direction for how the City will achieve that goal. As part of the third goal -- "housing stability and opportunities to build wealth for all residents", Code Enforcement has proposed to study the cost, needed staffing, potential timeline for expansion and other resources to expand the types of housing units covered by proactive code inspections. These would include rented single homes, duplexes, condominiums, and townhomes. Target Date: Jul-2024 (Delayed From: Jul-2018)
<p>#13-11 Code Enforcement</p> <p>#12 To ensure tenants are aware of deficiencies found in their place of residence, Code Enforcement should formally inform tenants of the violations found and the deadline for compliance.</p>	PBCE	Not Implemented	Even though Code Enforcement resumed full Multiple Housing proactive inspections in April 2021, the proposed pilot to inform tenants of deficiencies found during the inspection process has not occurred. Target Date: Apr-2023 (Delayed From: Jul-2018)

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#13-11 Code Enforcement</p> <p>#16 Code Enforcement review options to replace or enhance its code enforcement database (CES) and include options for mobile units and interfacing with other city databases.</p>	PBCE	Partly Implemented	As described in the audit, Code Enforcement's current database does not have the capability of interfacing with Planning, Building and Code Enforcement's (PBCE) primary database to retrieve property related information while out in the field, research any residual permit information, or document information immediately after completing an inspection. Code Enforcement is in the final stages of releasing an RFP for a new case management system. Code Enforcement anticipates that the new system will provide the inspectors with the capability to access the Residential Occupancy Permit Program information in the field. In the interim, the Department reports that all inspectors have been provided laptops in which they can VPN to the current PBCE system if needed in the field. Target Date: Dec-2024 (Delayed From: Jul-2018)
<p>#13-11 Code Enforcement</p> <p>#17 In order to ensure that the Multiple Housing roster is complete, Code Enforcement should: A) Periodically update its Multiple Housing Roster with newly issued Certificates of Occupancy from the AMANDA database; and B) Automate the process when it replaces its database.</p>	PBCE	Partly Implemented	Code Enforcement staff continues to manually update the Multiple Housing roster by checking the City's integrated permitting system, AMANDA, for newly issued Certificates of Occupancy. This manual process can be unreliable. Code Enforcement had previously been part of a multi-departmental permitting system upgrade which would have provided staff with the ability to automate the process to update the multiple housing roster. However, because of implementation challenges, Code Enforcement was removed from the project scope and is currently in the final stages of releasing an RFP for a new case management system. Because the new case management system is outside the previously planned AMANDA upgrade, the Department will have to work on updating the roster outside of the system. Code Enforcement reports that it has begun discussions with the Building Division on ways to automate this process. Target Date: Dec-2022 (Delayed From: Jul-2018)
<p>#13-12 Audit of Employee Travel Expenditures</p> <p>#08 The Administration should require, through the City Procurement Card Policy, that procurement card approvers attach travel coordinator-approved Travel Statements as supporting documentation for travel-related procurement card expenditures.</p>	FIN	Partly Implemented	Finance staff have incorporated this recommendation into the draft Procurement Cards Policy (City Administrative Policy 5.1.2) and updated the Procurement Card Administrative Guide. Both documents are under senior staff review. Target Date: Jun-2023 (Delayed From: Jun-2017)
<p>#13-12 Audit of Employee Travel Expenditures</p> <p>#11 To minimize work effort and facilitate timely approvals, the Administration should implement an electronic travel authorization system, and until then should encourage departments to use electronic pre-trip and post-trip approval.</p>	FIN	Partly Implemented	The Finance Department completed an RFP for an electronic travel software solution, but was unable to reach agreement with the selected vendor. The Finance Department is considering reissuing an RFP or developing a Business Process Automation flow for approvals and travel reimbursements. In the interim the Department developed a Business Process Automation product to establish the flow for the mileage reimbursement function. Target Date: Jun-2023 (Delayed From: Jun-2018)

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#14-07 City Procurement Cards</p> <p>#01 We recommend that the Finance Department revise the Procurement Card Policy to:</p> <p>A) Emphasize the responsibility cardholders have to make prudent purchases;</p> <p>B) Include questions that guide cardholders to evaluate the reasonableness of their purchases;</p> <p>C) For purchases that require IT approval, require documentation of that approval be attached to p-card statements;</p> <p>D) Change the approval process for Council appointees to require review by the Finance Department and referral to the Mayor's Office or City Council in cases of potential policy violations;</p> <p>E) Clarify the department coordinator's responsibility to notify Finance of all violations and that Finance should only refer personal purchases to OER; and</p> <p>F) Establish a process to have frequent contact via email with department coordinators</p>	FIN	Partly Implemented	In 2015, the Finance Department began drafting revisions to the City Procurement Cards policy (Section 5.1.2 of the City Policy Manual) to reflect these recommended changes, aimed at enforcing prudent and responsible expenditure of City funds. Since then, the Department decided to rework the p-card policy, dividing it into two parts: a high-level administrative policy, and a detailed p-card administrative guide. Both documents are under senior staff review. In the meantime, Finance has incorporated several of the recommended items into quarterly p-card trainings and created a Citywide p-card email account for contact with department administrators. It also made an interim update to the p-card policy, which makes the Chief Purchasing Officer the final authority on p-card authorization, increased transaction limits, and all inappropriate p-card transactions. Target Date: Jun-2023 (Delayed From: Jun-2015)
<p>#14-07 City Procurement Cards</p> <p>#03 To improve transparency, accountability, and legibility, the Finance Department should create a pilot program that:</p> <p>a) Begins the transition to online approvals, payment code entries, annotations and general finance coding (office supplies, travel, etc.);</p> <p>b) Considers requiring monthly statements of activity be signed by cardholders and approving officials to ensure that all transactions are authorized;</p> <p>c) Allows individual departments to collect, store, and submit receipts in PDF; and</p> <p>d) States that sufficient documentation of p-card purchases includes line item transaction detail stored in Access Online for a list of approved vendors (e.g. Office Max).</p>	FIN	Partly Implemented	The Finance Department and Information Technology Department (ITD) have been working with the City's Financial Management System (FMS) vendor and report that the integration solution needed to implement this recommendation may be possible. The integration would be between the City's p-card payment processor's online module (US Bank) and FMS. Previously, it was uncertain whether the two systems could be integrated, but the City's FMS vendor reported that one of its other clients also uses US Bank, suggesting that the two systems are compatible. Target Date: Jun-2023 (Delayed From: Jun-2015)
<p>#14-07 City Procurement Cards</p> <p>#07 The City Administration should ensure that p-card expenditures accurately categorize expenditures by type of budgetary purpose.</p>	FIN	Partly Implemented	In 2015, the Finance Department included this recommendation in the revised City Procurement Cards policy, which is being reworked into a policy and companion guide. Both documents are under senior staff review. Target Date: Jun-2023 (Delayed From: Jun-2015)

Report and Recommendations	Dept (s)	Current Status	Comments
#14-08 Development Services	PBCE / ESD	Partly Implemented	The Environmental Services Department (ESD) reports it is pursuing changes to enhance and consolidate the CDD and CALGreen compliance review programs to simplify refund processing, among other benefits. The CDD program is being evaluated as part of Climate Smart San Jose's Zero Waste Element, which will outline programmatic changes. According to the Department, it is continuing outreach to permit holders eligible for CDD refunds. ESD plans to continue expanding outreach to disseminate information about the CDD programs. Target Date: Jun-2023 (Delayed From: Mar-2017)
#18 Eliminate the Construction & Demolition Diversion Deposit.			
#14-08 Development Services	PBCE	Not Implemented	The Information Technology Department (ITD) reports development of the SJPermits.org portal is ongoing with new features planned to be released as early as Q3 2022. ITD reports development of the online fee calculator feature could commence after the completion of the existing scope with the portal vendor which is expected to be completed in 2023. Target Date: Jun-2024 (Delayed From: Jun-2016)
#19 To increase accessibility of online fee estimation, PBCE should update and simplify the online fee calculator.			
#14-12 Accounts Receivable	FIN / IT / PBCE / FIRE	Partly Implemented	Finance reports it developed a summary "book of business" in collaboration with the Information Technology Department to prioritize this work, along with other business owner software systems in the City. Finance plans to review scopes of work for this book of business over the next quarter and go through a prioritization process to establish a path forward to implementing this recommendation. Target Date: Jun-2023 (Delayed From: Jun-2018)
#16 The Finance Department should work with the Information Technology Department to: Improve the interface between department billing systems and Revenue Results so that key information, such as the service date and other details about the service or citation, that will aid in the collection process is transferred. Work with Planning, Building, and Code Enforcement and the Fire Department to develop an interface or some other means of transferring data from the departmental billing systems into Finance's collections software to better manage collections for these departmental billings.			

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#15-05 PRNS Fee Activity Program</p> <p>#01 PRNS should work with the Budget Office to:</p> <p>A) Reassess the purpose of the Fee Activity Program (including cost-recovery targets),</p> <p>B) Provide reasonable justification for mid-year expenditure request,</p> <p>C) More clearly link revenues and expenses to their respective programs, and</p> <p>D) Determine which activities should be included in the Fee Activity Program.</p>	PRNS / CMO	Partly Implemented	<p>PRNS and the Budget Office continue to refine a Fee Activity Program Description and Administrative Guidelines document to address this recommendation. The guidelines aim to: summarize the program's purpose; identify the main fee programs/lines of business (e.g., camps, leisure classes, ROCK, etc.); identify which cost components are included in the fee program; state the cost-recovery targets (which may vary year-to-year based on City objectives and market conditions); and describe the process by which corresponding revenues and costs are tracked and reported so as to clearly justify proposed and mid-year adjustments to the fee program. This work will reflect updated Council guidance classifying child and youth-serving programs from "Category I" to "Category II" in the City's FY 2022-23 Fees and Charges Report. In addition, the City Council approved categorizing these programs as "Merit Based" services, as defined in City Council Policy 1-21, Pricing and Revenue Policy. With these changes in place, PRNS and the Budget Office plan to evaluate the distribution of resources allocated to Fee Classes/Activities and Family Camp programs versus other revenue-generating community programs. In doing this, staff report their goal will be to establish an agreed upon baseline of cost for each program, with a view towards establishing a consistent methodology for determining cost-recovery targets by program each year. In doing this, staff will no longer set pricing based on 100 percent cost recovery, but will balance program pricing with equitable access for residents who cannot afford market-based prices. Staff still need to complete work to understand costs contributing to each activity (including programs for children and youth) for baseline costs and then adjust the cost-recovery target. Target Date: Jun-2023 (Delayed From: Jun-2016)</p>
<p>#15-08 Golf Courses</p> <p>#01 To obtain more favorable contract terms, when the lease and management agreements expire, the Department of Parks, Recreation and Neighborhood Services should seek competitive proposals from potential golf course lessees/operators that lower the City's financial risks and grow customer usage.</p>	PRNS	Partly Implemented - Priority	<p>PRNS is conducting an RFP and expects to award lease agreements for Los Lagos, Rancho Del Pueblo, and Muni in fall 2022. PRNS reports that the new leases for all three City golf courses are expected to begin in early 2023. Target Date: Dec-2022 (Delayed From: Dec-2018)</p> <p>Potential Budget Savings: At the time of the audit, the golf courses required ongoing General Fund subsidies, in part to debt service. At that time, we estimated the monetary benefit of implementing this recommendation would be \$2.2 million annually.</p>

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#15-08 Golf Courses</p> <p>#05 To improve oversight of the golf courses and contracts, the Department of Parks, Recreation and Neighborhood Services should:</p> <p>A) Regularly audit Muni's gross revenues and capital improvement fund;</p> <p>B) Keep all golf records centrally and ensure they are obtained timely;</p> <p>C) Formalize the revised maintenance standard; and</p> <p>D) Formally approve the fees charged and discounts given to The First Tee and the schedule of access hours.</p>	PRNS	Partly Implemented	PRNS has been requesting financial audits of Muni's gross revenues since 2017, and has centralized golf records. Upon completion of the RFP process noted in the update for Recommendation #1, PRNS intends to include updated maintenance standards in new lease agreements. PRNS reports that the lessee of Rancho Del Pueblo will be expected to negotiate and establish fees, discounts, and access hours with The First Tee. Target Date: Dec-2022 (Delayed From: Jun-2017)
<p>#15-09 Police Hiring</p> <p>#06 After ensuring appropriateness of content and sufficiency of oversight of the Law Enforcement Unit (LEU) Cadet Program, SJPD should enhance and expand the program to encourage San José residents to become San José Police Officers.</p>	PD	Partly Implemented	The Department created a Police Cadet classification which was approved by City Council in March 2017. These positions are not currently funded. The Administration reports that it will revisit these position once staffing numbers within the Department increase. Target Date: Jul-2024 (Delayed From: Dec-2017)
<p>#16-02 Street Sweeping</p> <p>#01 DOT's in-house street sweeping operation should stop emptying street sweepings onto the street.</p>	DOT	Partly Implemented	The Public Works Fleet team developed specifications for a hook lift truck and bins; however, the procurement process was delayed due to the COVID-19 pandemic. The Fleet team also reports that ordering banks for new vehicles are closed and procurement of the hook lift truck and bins will be deferred to FY 2022-23 with a likely delivery in FY 2023-24. Target Date: Jun-2024 (Delayed From: Jun-2017)
<p>#16-02 Street Sweeping</p> <p>#05 DOT and ESD should deploy the new electronic inspection system and GPS-tracking devices to:</p> <p>A) Enable supervisory staff to track vehicle location, speed, and activity remotely;</p> <p>B) Link route conditions and problems, and street cleanliness to specific locations along street sweeping routes; and</p> <p>C) Include electronic tracking and inspection compatibility in future bids for contracted street sweeping services.</p>	DOT / ESD	Implemented	<p>A) DOT's in-house program has installed GPS telematics, which is used to remotely track vehicle location and speed, and confirm completion of sweeping routes.</p> <p>B) DOT hired a new Associate Construction Inspector (ACI) in April 2021 and is now fully staffed in the residential street sweeping inspection program. Sweeper operators identify sweeping obstructions and forward route conditions to inspection staff. High priority issues, defined as those where there is an obstruction and for which a complaint has been received, are typically addressed before the scheduled sweep. DOT reported that lower priority issues are addressed on an ongoing basis as time permits.</p> <p>C) ESD and DOT staff partnered to complete negotiations with GreenWaste and executed an Amended and Restated Agreement effective January 15, 2021 through June 30, 2036. The Agreement includes new language that at the City's option, GreenWaste shall implement GPS tracking and electronic inspection capabilities that would allow street sweepers to reporting obstructions. If the City exercises this option, GreenWaste and City shall mutually agree upon the compensation rate for implementation.</p>

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#16-03 The City's Use and Coordination of Volunteers</p> <p>#01 To improve the accessibility of volunteer opportunities to the City's residents, the Administration should develop and post on the City's intranet an outreach "how-to" guide for volunteer coordinators across the City with information on social media strategies and how to update the City's website and events calendar. It should also reference the Citywide Language Access Policy (once it is finalized).</p>	CMO	Partly Implemented	<p>During COVID-19 response, the City redirected volunteering from the City website and through the Emergency Operations Center (EOC) to Silicon Valley Strong to concentrate and centralize efforts. With the decommissioning of the COVID-19 EOC, the City recreated its basic volunteering page directing to City opportunities in departments and their information-- https://www.sanjoseca.gov/residents/volunteer. Language Access was identified as a priority area in the City's COVID-19 Pandemic EOC response. The Administration plans to provide executive sponsorship and coordinate with operational departments that utilize volunteers to create a strategy that resolves audit recommendations regarding the volunteer coordinators guide, media, website, and events calendar guidance, and language support direction. The Administration plan to also examine products that would provide volunteering options and resources as an online portal. Target Date: Dec-2023 (Delayed From: Feb-2018)</p>
<p>#16-03 The City's Use and Coordination of Volunteers</p> <p>#02 To ensure more consistent management of volunteer programs, the Administration should develop a Volunteer Policy to be included in the City Administrative Policy Manual that formally recognizes the value volunteers contribute and includes minimum standards for the management of volunteer programs. The policy should include guidance on the use of volunteer agreements; health and safety requirements, such as fingerprinting and TB testing; volunteer recognition; and other topics as necessary.</p>	CMO	Partly Implemented	<p>The Administration's designated lead will coordinate this work, potential creation of the Volunteer Policy, and development of guidance and a toolkit for volunteer coordinators in the City. A draft policy was developed in FY 2018-19 that will be revisited. Direction will be subject to funding and will be submitted as part of the FY 2023-24 Budget Process. Target Date: Dec-2023 (Delayed From: Feb-2018)</p>
<p>#16-03 The City's Use and Coordination of Volunteers</p> <p>#03 To assist City staff in managing volunteer programs, the Administration should create and post on the City's intranet a volunteer guidebook or "toolkit" as a reference for staff during the development and management of volunteer programs.</p>	CMO	Partly Implemented - Priority	<p>The Administration's designated lead will coordinate this work, potential creation of the Volunteer Policy, and development of guidance and a toolkit for volunteer coordinators in the City. Direction will be subject to funding and will be submitted as part of the FY 2023-24 Budget Process. Target Date: Dec-2023 (Delayed From: Feb-2018)</p>

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#16-03 The City's Use and Coordination of Volunteers</p> <p>#04 The Administration should work with the departments of Parks, Recreation and Neighborhood Services, Environmental Services, and Transportation to coordinate efforts around place-based volunteer programs. In particular, the Administration should streamline the process and expand the options that allow volunteers to play an active role in cleaning and maintaining public spaces by:</p> <p>A) Developing a separate volunteer webpage for the City's place-based volunteer programs that includes (i) descriptions of the programs (ii) relevant contact information and (iii) specific directions on how to request materials and supplies. The website should also provide information to help groups interested in one-time clean up or similar events.</p> <p>B) Allowing volunteers to apply with multiple place-based programs at once.</p> <p>C) Identify resources to reactivate the Adopt a Street program and/or expand the types of spots that volunteers can adopt to clean or maintain, including storm drains and creek segments for which the City holds an easement.</p>	CMO / PRNS / ESD / DOT	Not Implemented	The Administration's designated lead will coordinate this work with PRNS, including potential ties to the Volunteer Policy and development of guidance and a toolkit for volunteer coordinators in the City. Direction and possible development of a solution will be subject to funding and will be submitted as part of the FY 2023-24 Budget Process. Target Date: Dec-2023 (Delayed From: Dec-2018)
<p>#16-03 The City's Use and Coordination of Volunteers</p> <p>#06 The Parks, Recreation and Neighborhood Services Department should provide broad oversight and management of its community center volunteer programs, including developing a volunteer recruitment strategy and standard policies and procedures that contain specific guidance on volunteer intake, ongoing assessments such as the tracking of hours, and the retention of key documents.</p>	PRNS	Partly Implemented	PRNS staff has drafted written guidelines for staff who work with volunteers across the Department, including community centers, as well as a handbook for community center volunteers. The draft guidelines and handbook were reviewed by community center supervisors and their feedback was incorporated. Staff also drafted a standard operating procedure to accompany these documents and implement these efforts consistently. These documents will be complete after final reviews and approvals. Target Date: Dec-2022 (Delayed From: Feb-2019)

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#16-05 South Bay Water Recycling</p> <p>#04 To sustain South Bay's operational and capital cost recovery status in the future, ESD should:</p> <p>A) Renegotiate the revenue sharing terms of the Integration Agreement to allow the City to access South Bay revenue to fund South Bay's projected capital costs sooner than is projected to occur under the Agreement as currently written; and</p> <p>B) Secure a recycled water wholesale cost of service study that can be used to maximize the ability to maintain cost recovery for South Bay.</p>	ESD	Partly Implemented	<p>A) South Bay Water Recycling (SBWR) staff have been in discussions with the Santa Clara Valley Water District (Valley Water) regarding the terms of the Integration Agreement, implementation of the Strategic Master Plan, and other agreements between the City and the District. Additional Council direction was given in September 2021 to negotiate with Valley Water until December 2021, with facilitator lead discussions occurring through Fall 2021. These discussions are continuing but have moved beyond simply renegotiating terms of existing contracts and instead have evolved into discussions about an additional water purification facility. Expected completion for this larger scope is Spring 2024.</p> <p>B) ESD participated in a statewide rate study sponsored by the WaterReuse Research Foundation, which was completed in December 2018. SBWR reviewed the study findings to determine an optimum fee study structure that will address program needs. SBWR reports that currently wholesale rates are sufficient to cover program needs. Pending a new Comprehensive Agreement with Valley Water, final modifications to the Integration Agreement, and/or increasing maintenance costs for aging infrastructure, the wholesale rate structure will be periodically re-evaluated. Target Date: Jun-2024 (Delayed From: Jan-2017)</p> <p>Potential Budget Savings: At the time of the audit, we estimated the City would be able to invest an additional \$2.8 million annually for needed reliability projects if the City renegotiated the Integration Agreement with the Water District.</p>
<p>#16-07 Office of the City Clerk</p> <p>#02 To increase the transparency of legislative actions taken, the City Clerk's Office should decrease the turnaround time to create and post action minutes. Specifically, the City Clerk should:</p> <p>A) Establish and document a more aggressive timeframe for approval of minutes by Council,</p> <p>B) Reconsider whether both Council meeting synopses and action minutes are still required, and C) Bring to the City Council recommendations to update the Open Government Resolution to reflect these changes.</p>	CLERK	Partly Implemented	<p>The purpose of this recommendation was to ensure that minutes are approved by Council within a reasonable timeframe. At the time of the audit, the Office of the City Clerk's internal goal to post action minutes was three months. Other jurisdictions' minutes were generally approved more quickly, often within two weeks. The City Clerk reports that the amount of text included in the action minutes has been reduced, and that the Council passed action minutes as the preferred format. Once the Office of the City Clerk has documented an appropriate timeframe for the approval of action minutes, this recommendation will be considered implemented. The City Clerk reports that she will work with the incoming Senior Deputy City Clerk to establish the timelines. The City Clerk expects that the position should be filled within the next couple of months as interviews are already scheduled. Target Date: Dec-2022 (Delayed From: Apr-2017)</p>
<p>#16-07 Office of the City Clerk</p> <p>#03 To ensure records of City Council proceedings are posted timely, the City Clerk should utilize existing technology to streamline the approval and posting of synopses and/or minutes.</p>	CLERK	Not Implemented	<p>The Office of the City Clerk reports that they are working with the Information Technology Department and Purchasing on replacement agenda and minutes management software. Taking into consideration the time to install the software, format it, and train in it, the City Clerk expects to have it fully functional in Spring 2023. Target Date: Jun-2023 (Delayed From: Apr-2017)</p>

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#16-07 Office of the City Clerk</p> <p>#20 The City Clerk's Office should:</p> <p>A) Develop consistent methodologies to track and calculate the performance measures for its statutory responsibilities that are reported in the City's Operating Budget,</p> <p>B) Identify staff leads tasked with maintaining these performance measures and reporting them on a frequent basis to the City Clerk, and</p> <p>C) Develop action plans to address areas where results do not meet established targets or expected results.</p>	CLERK	Partly Implemented	<p>The Office of the City Clerk has documented methodologies for calculating performance measures and assigned team leads to maintain these performance measures. The Office reports beginning work on addressing part (c) of the recommendation, but that due to increased workload because of COVID-19 impacts, work on that item was paused. Once action plans to address areas where results do not meet established targets or expected results are developed, this recommendation will be considered implemented. Target Date: Dec-2023 (Delayed From: Oct-2017)</p>
<p>#16-08 Police Overtime</p> <p>#09 To reduce the liability associated with high comp time balances, the San José Police Department should:</p> <p>A) Lower the allowable comp time balance from 480 hours,</p> <p>B) Explore a comp time buy-out program, and</p> <p>C) Consider a mandatory comp time balance buy-out upon promotion between sworn ranks.</p>	PD / OER	<p>Not Implemented</p> <p>(Subject to meet and confer)</p>	<p>The City and the Police Officers Association (POA) have begun discussions related to compensatory time off. While some MOA changes related to overtime usage have been made, the City and the POA have agreed to continue discussions related to compensatory time, including, but not limited to a possible buy down of an employees' outstanding compensatory time balance. Comp time liability has grown significantly since we did the audit--from \$13 million to \$23.8 million currently. Additionally, the payout for excess compensatory time (employees that reach 480 hours of accrued compensatory time get paid out) have also grown--from \$270,000 in FY 2010-11 to \$18.8 million in FY 2021-22. Controlling the growth in compensatory time usage remains a significant concern. Target Date: Jul-2023 (Delayed From: Jun-2019)</p> <p>Potential Budget Savings: At the time of our audit, we estimated that the City would save \$227,000 in future costs by buying out 10% of employee comp time balances, and \$138,000 by buying-out balances upon promotion.</p>
<p>#16-08 Police Overtime</p> <p>#10 The Police Department should enforce the requirement for employees to lower their comp balance to 240 hours by the end of the year or submit plans to reduce balances.</p>	PD	<p>Partly Implemented</p> <p>-</p> <p>Priority</p>	<p>The Department issued General Order #2017-031 reminding staff that they are responsible for bringing comp time balances to 240 hours or less by December 2017. On May 19, 2021, the Department issued Memo #2021-015 again reminding staff of the requirement to bring their compensatory time balances back to the 240-hour maximum level by the end of the calendar year in accordance with the memorandum of agreement (MOA) with the POA. However, despite this, the compensatory time balances have continued to grow. As of August 2022, the number of sworn employees with comp time balances over 240 hours had increased from 410 at the time of the audit to 727. The number of sworn employees with a balance of 480 hours had increased from 220 to 433. Also see recommendation #9. Target Date: Jul-2023 (Delayed From: Mar-2018)</p> <p>Potential Budget Savings: At the time of our audit, we estimated the cost of allowing employees to carry balances over 240 hours while granting wage increases was about \$740,000.</p>

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#16-08 Police Overtime</p> <p>#12 In order to ensure consistent enforcement, the City Administration should develop written policies on when and how much police overtime should be reimbursed by special events including political campaigns and when those requirements can be waived.</p>	PD / OEDCA	Implemented	SJPD has written policies for SEU event services. The Administration has worked with the City Attorney's Office and determined that if on-duty officers are assigned for public safety emergencies or 1st Amendment events the event organizers will not be billed. Event guidelines related to special events are posted on the Office of Economic Development and Cultural Affairs website.
<p>#16-10 The Apartment Rent Ordinance</p> <p>#15 To ensure customers are provided necessary services, the Housing Department should develop a strategic plan for the Rental Rights and Referrals Program that outlines desired goals and outcomes, and establishes measures of program effectiveness.</p>	HSG	Partly Implemented	The Housing Department (HSG) reports the Rent Stabilization Program completed a Request for Proposal process selecting RSG, Inc to serve as the consultant for the development of the Strategic Plan and provided an update on the project to the Neighborhood Services and Education Committee in June 2022. The Department reports they held a kickoff meeting with the consultant to outline next steps in the process. Over the next six months, HSG staff plan to work with RSG as they complete their research into the ordinances and program procedures. This effort is intended to lead into development and implementation of community and stakeholder outreach in the winter and a draft plan in Spring 2023. Target Date: May-2023 (Delayed From: Jun-2018)
<p>#16-11 Mobile Devices</p> <p>#01 To ensure appropriate controls over City-owned mobile devices (including cellphones, smartphones, hotspots, tablets, and laptops), the Administration should require departments to label City-owned mobile devices and maintain current inventories. The inventories should include the type of device, serial number, the name and ID of the employee to whom the device is assigned, the phone number (if applicable), the date of issuance, and the date returned (if applicable).</p>	IT	Partly Implemented	The Information Technology Department's (ITD) guidelines and recommendations for managing mobile devices and the City Administrative policy on Procurement of Laptops and Tablets (1.7.8) was presented to City departments. ITD has been working with departments to label assets as City-owned property. Meanwhile, inventory data uploads to the central asset database have been ongoing and staff report it continues to be enforced to departmental IT leadership on a quarterly basis. Out of the 19 departments, two are still pending. Target Date: Dec-2022 (Delayed From: May-2018)

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#17-02 Office of Equality Assurance</p> <p>#01 To better administer the prevailing and living wage compliance programs, the Office of Equality Assurance should:</p> <p>A) Procure a software solution to automate payroll review to free up staff time for other responsibilities (e.g., site visits, review of supplemental documentation);</p> <p>B) Adopt a risk-based strategy for conducting site visits and reviewing supplemental documentation to efficiently verify the accuracy of information in submitted payrolls; and</p> <p>C) Ensure the program has sufficient supervisory resources following the implementation of Recommendation #3.</p>	OEA	<p>Partly Implemented</p> <p>-</p> <p>Priority</p>	<p>A) In the adopted FY 2022-23 budget, the Office of Equality Assurance (OEA) received funding for an online data system to better administer prevailing and living wage compliance programs. OEA has finalized Request for Proposal (RFP) documents to develop an integrated online platform that 1) conducts automated monitoring of Prevailing and Living Wage requirements on Public Works projects; 2) stores and reports case information regarding OEA enforcement activity; and 3) collects worker demographics information for use in designing, implementing, evaluating, and enforcing present and future workforce participation policies and goals. The RFP was posted in August 2022 with an expected implementation in March 2023.</p> <p>B) Public Works has developed a tracking system using Excel to maintain a list of compliance infractions and violations. Public Works reports that this tracking system allows staff to be consistent with enforcement, including penalties assessed, while also allowing staff to see trends with construction and make determinations on the need for additional oversight and site visits. In addition, two OEA staff review potential high- and moderate-risk projects with all OEA Specialists to aid in determining site visits.</p> <p>C) OEA developed and executed minimum wage enforcement agreements with multiple local agencies. The revenue collected was allocated to fund a Senior Analyst position, which was filled in September 2021. Additionally, during the FY 2022-23 Budget Review, OEA received funding for three management level Contract Compliance Coordinators to develop sufficient supervisory resources throughout the division. OEA is scheduled to recruit for all three positions in early 2022. Target Date: Mar-2023 (Delayed From: Jun-2018)</p> <p>Potential Budget Savings: We estimate that a software solution would free time for two FTE to be redeployed to other OEA functions that are currently understaffed. Redeploying these staff will potentially reduce the need to hire additional staff to administer OEA responsibilities.</p>

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#17-02 Office of Equality Assurance</p> <p>#08 Once the City Council determines the desired scope of the City-wide contracting program, the local hire/apprentice utilization program, and Americans with Disabilities Act compliance program, the City should assign the resources needed to perform these responsibilities.</p>	OEA	Implemented	<p>The Department of Public Works completed the City-wide contracting program through development of the PW Construction Academy, which included Opportunity Awareness Events and Seminar series consisting of six lessons taught with current Public Works staff. Local hire was not selected as a priority during the City Council's annual priority setting process; however, engaging the local workforce on the City's Capital Improvement Program is a top priority for the Department. To this end, staff will continue to look for opportunities to increase local workforce participation, whether it be in the bidding process, through Project Labor Agreements, or other means. After receiving input from stakeholders on a new Office of Disability Affairs, the City Manager's Office posted the Disability Affairs Officer (Assistant to the City Manager) for recruitment in July 2022. The OEA Division Manager will be part of the interview panel and will assist in on-boarding/training of the position. Upon successful recruitment of the three Contract Compliance Coordinator FTEs approved in the FY 2022-23 budget, OEA will begin division organizational structuring with the focus on adequate supervision of OEA responsibilities, including but not limited to, prevailing, living, minimum wage enforcement and Council policy development and implementation.</p>
<p>#17-04 Open Government</p> <p>#01 The Administration should create an Open Government policy to be included in the City's Administrative Policy Manual. The policy should state the purpose and goals of the Open Government Ordinance and Resolution and cross reference with the specific procedures outlined in the resolution and other City policies as necessary.</p>	CMO	Partly Implemented	<p>The City Attorney's Office has reviewed a draft administrative policy that broadly outlines responsibilities under, and makes reference to, the Open Government Resolution. The Open Government Manager and the Office of Employee Relations will continue to coordinate on its finalization. Target Date: Mar-2023 (Delayed From: Dec-2018)</p>
<p>#17-04 Open Government</p> <p>#02 The Office of Economic Development, in coordination with the City Attorney's Office, should develop a policy and procedures to clarify whether and how to disclose cost-benefit information for provisions of economic benefit to private entities when: the provision is a part of a larger incentive program to be issued to entities that meet specified criteria, multiple provisions may benefit a single entity within a short timeframe, the City provides services on behalf of/for a private entity, and the entity receiving the benefit is a non-profit or public agency.</p>	OEDCA	Not Implemented	<p>The Office of Economic Development and Cultural Affairs (OEDCA) reports that staff turnover and lack of staff capacity has impacted progress on this recommendation. Since the previous update, OEDCA has received attorney review on a proposed internal policy memo. More discussion is needed with the City Attorney's Office and City internal partners to fully align on the proposed policy direction. A cross-department City Service Area meeting is scheduled for Fall 2022 to remind staff of the subsidy requirements and procedures. Target Date: Dec-2022 (Delayed From: Jun-2018)</p>

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#17-04 Open Government</p> <p>#04 The Administration should implement procedures to track public subsidy and tax abatement agreements to ensure compliance with state and Open Government after-action reporting requirements and financial statement disclosures.</p>	OEDCA / FIN	Partly Implemented	<p>The Office of Economic Development and Cultural Affairs (OEDCA) reports that staff turnover and lack of staff capacity has impacted progress on this recommendation. However, OEDCA reports a new staff member focused on program-administrative support was hired in February 2022 and has begun implementing the strategy for subsidy-reporting maintenance. This includes keeping the website updated with new subsidy disclosures and commencing work on overdue after-action reports. Since the last update, the website was updated with a new subsidy, a template for the after-action reports was developed, and over-due after action reports are in progress. An update to the City Council Memo Template is under review within the Office of Administration, Policy and Intergovernmental Relations (API). OEDCA worked with API to include a section outlining in greater detail the subsidy disclosure requirements and a procedure in which staff will notify the OEDCA Director when a qualifying subsidy is brought forward, so that it can be added to the internal tracker for compliance and monitoring. Target Date: Dec-2022 (Delayed From: Jun-2018)</p>
<p>#17-04 Open Government</p> <p>#08 The City Council should consider a change to the Revolving Door Ordinance that mitigates potential conflicts of interest and simplifies the rules surrounding former designated employees who work for non-profit organizations as lobbyists or on legislative or administrative matters which they worked on as part of their City employment. Potential policy directions include:</p> <p>A) Narrowing the non-profit exemption to 501(c)(3) organizations, regardless of whether the organization had received support from the City; or</p> <p>B) Striking the non-profit exemption, such that the same rules apply whether former designated employees go to work for non-profit or for-profit organizations.</p>	CAO / CLERK	Partly Implemented	<p>The City Council referred this recommendation to the Board of Fair Campaign and Political Practices (formerly the Ethics Commission) for further consideration, prior to the item's return to Council. The Board discussed the recommendation at its January 10, 2018 meeting, and decided to recommend that Council strike the non-profit exemption. This recommendation was referred to the February 12, 2020 Rules & Open Government Committee meeting. The Committee voted to incorporate the recommendation, along with other Title 12 recommendations from the Board, into the Mayor's Biennial Ethics Review. The item is expected to return to the full City Council with that review. Target Date: Dec-2022 (Delayed From: Jun-2019)</p>
<p>#17-04 Open Government</p> <p>#09 The Administration should update City policies and guidance on the retention and disposition of electronic records and City email to reflect the current technological environment and allow for more effective management of public records. This includes the storage of records to efficiently respond to public records requests and the disposition of records per approved retention schedules.</p>	CMO	Partly Implemented	<p>The purpose of this recommendation was to address the growth of electronic records, many of which are not public records, such as preliminary draft documents or old emails that may be routine, mass, or unsolicited. The Administration reports that it had met with senior staff and several departments to discuss future approaches to address electronic record management, including the initial steps needed to create a Citywide retention team. The Administration will continue with the creation of this retention team with the intent to create an updated program that can be applied Citywide. The Administration will continue to explore approaches to the disposition and retention of email and social media content, and meet with City staff in order to develop a uniform policy pertaining to electronic file management. Target Date: Jun-2023 (Delayed From: Jun-2018)</p>

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#17-04 Open Government</p> <p>#10 To better manage electronic records on the City's enterprise file share and email systems, the Administration should consider a combination of strategies, including but not limited to:</p> <p>A) Developing procedures for department records administrators to conduct electronic file clean outs to dispose of unnecessary electronic files as well as those saved past the City's approved retention schedules.</p> <p>B) Periodic reminders to City staff to clean out their email folders, along with guidance on what is a public record that should be saved, and what is not.</p>	CMO	Partly Implemented	The Administration reports that the Open Government Manager is continuing to work with departments to update their departmental retention schedule and discuss internal processes for the destruction and/or digitization of records. The Administration issued an RFQ in 2021 to obtain software specific to the management of electronic records. This software was purchased, and implementation started in January 2022. It is expected that this software will be implemented and rolled out in the next couple of months. The Open Government Manager will continue to meet with multiple departments as the software is implemented to update existing procedures and move towards the goal of creating a policy pertaining to electronic file management that is uniform across the City. The Open Government Manager will conduct departmental trainings once implementation is completed. Target Date: Jun-2023 (Delayed From: Dec-2018)
<p>#17-06 Audit of Retirement Services</p> <p>#15 The Retirement Boards should adopt a formal set of performance measures to be included in the retirement plans' budgets for both plan administration and the investment program. The Retirement Boards should provide the City Council with the opportunity to review and provide comment on the adopted performance measures.</p>	RET	Partly Implemented	In 2021, the Joint Personnel Committee approved CEO performance metrics and CIO investment staff metrics. The Office of Retirement Services plans to update the performance measures included in the City's FY 2023-24 Adopted Operating Budget accordingly. Additionally, the Office of Retirement Services has aligned current practices with existing Budget performance measures, including updates to customer satisfaction surveys given to members. Target Date: Jun-2023 (Delayed From: Dec-2018)
<p>#17-06 Audit of Retirement Services</p> <p>#25 To improve transparency, the Office of Retirement Services should post plan charters and policies, as well as audio recordings of committee meetings, online.</p>	RET	Implemented	Retirement Services reports that it began updating the contents of its website in June 2017. There is now a link to a Confluence site on the Retirement Services website that hosts the plan's policies and charters. Audio recordings for 2020, 2021, and 2022 are available online and staff report that they will continue to be posted. Staff will continue working to post audio recordings of meetings from prior years. In the meantime, audio recordings for prior years are available to the public by request.
<p>#18-02 Audit of the San José Police Activities League</p> <p>#01 The City should reconsider how and who should manage the PAL facilities and associated activities, and revise its 2007 agreement with the PAL organization accordingly.</p>	PRNS / PD	Partly Implemented - Priority	PRNS and PAL are operating in a hybrid model where PAL operates the facility and programs on a day-to-day basis. PRNS has begun providing additional programs and provides primary field maintenance. The upcoming agreement with PAL is in the process of being negotiated. Target Date: Oct-2022 (Delayed From: Fall-2019)
<p>#18-02 Audit of the San José Police Activities League</p> <p>#02 The City should clarify its relationship with the PAL Board, including the role of the Council liaisons and the role of police staff on the PAL Board.</p>	PRNS / PD	Partly Implemented	The City Council, in January 2021, approved guiding principles and revised roles and responsibilities for PAL, PRNS, and SJPd. A hybrid model between PAL and PRNS is now in effect. PRNS plans to include these in the new agreement with PAL. Target Date: Oct-2022 (Delayed From: Dec-2019)

Report and Recommendations	Dept (s)	Current Status	Comments
#18-02 Audit of the San José Police Activities League #03 The San José Police Department should inform and encourage officers regarding available volunteer opportunities at PAL.	PD	Partly Implemented	SJPD report they are working on a mentorship program where officers interested in each of the above sports will attend some practices, opening days/closing days and other significant milestones in each season to show support, mentor, and encourage our youth programs. This is based on officer volunteerism and availability, which will be challenging due to current staffing levels. At minimum, SJPD reports they are looking to be present when the opening/closing days are occurring and will be looking at the ability for officers to volunteer as each season progresses. Additionally, SJPD is in discussions with PRNS and the PAL board to be provided the schedule of all upcoming program/sports sign ups in an effort to promote those programs with Neighborhood Associations as well as schools. They hope that this collaborative effort will help facilitate an increased enrollment. Target Date: Jan-2023 (Delayed From: Fall-2019)
#18-02 Audit of the San José Police Activities League #04 The San José Police Department should determine if some opportunities for police officers to work with youth in PAL programs can be paid.	PD	Not Implemented	According to the Department, under the current staffing and budgetary restrictions, SJPD has been focusing on providing police core services to the city. Target Date: Jan-2023 (Delayed From: Jun-2020)
#18-02 Audit of the San José Police Activities League #05 The City should ensure that the PAL organization complies with the City's requirement to submit an annual audit and regularly follow-up.	PRNS	Partly Implemented	PAL had completed its 2015-2019 annual financial audits. PRNS is evaluating whether audited financial statements will be a requirement in the new contract. The status of this recommendation will be reviewed again, once the anticipated new agreement is finalized. Target Date: Oct-2022 (Delayed From: Jul-2021)
#18-02 Audit of the San José Police Activities League #07 The City should require that the PAL organization prepare and submit an annual budget.	PRNS	Partly Implemented	The PAL Board reviews monthly financial reports and informal program reports at monthly board meetings, which a representative from PRNS and SJPD attend. Additionally, PRNS reports that the PAL Board is developing Key Performance Indicators and full program reports to share at these monthly board meetings. PRNS and the PAL Board Executives plan to hold Quarterly and Annual joint planning and progress review meetings; these meetings are currently held ad hoc. Status of this recommendation will be revisited once the anticipated new agreement between the City and PAL is finalized. Target Date: Oct-2022 (Delayed From: Jul-2021)
#18-02 Audit of the San José Police Activities League #10 The City should work with the PAL Board to track and comply with revenue sharing provisions in its 2007 Agreement.	PRNS	Not Implemented	Accordant to PRNS, the revised agreement with PAL will not have the revenue sharing provisions of its 2007 Agreement. The proposed revisions outline that the PAL board reinvest revenue directly back into PAL programs and the facility. Status of this recommendation is contingent on the determined structure and potential new agreement between the City and PAL. Target Date: Oct-2022 (Delayed From: Fall-2019)

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#18-02 Audit of the San José Police Activities League</p> <p>#11 The City should require compliance with its rules on naming and advertising rights, and require policies and procedures to require written agreements regarding signage.</p>	PRNS	Not Implemented	The PAL Board is in the process of redefining its sponsorship program. In accordance with guiding principles approved by the City Council in January 2021, PRNS plans to include compliance with City rules on naming and advertising rights and the development of a sponsorship program that complies with City policies in the anticipated new agreement with PAL. Target Date: Oct-2022 (Delayed From: Jun-2019)
<p>#18-02 Audit of the San José Police Activities League</p> <p>#12 The City should require a comprehensive strategy to maximize fundraising opportunities through naming and advertising rights.</p>	PRNS	Not Implemented	PRNS plans to include details on the fundraising plan, including sponsorships and their goals in the new agreement with PAL. Further, PRNS noted that this will be work done or coordinated by a new Executive Director which the PAL Board is starting to organize a recruitment for. Target Date: Oct-2022 (Delayed From: Fall-2019)
<p>#18-02 Audit of the San José Police Activities League</p> <p>#13 The City should either require PAL board members to sign the City's volunteer code of ethics, or work with the City Attorney's Office to eliminate that provision from the Agreement.</p>	PRNS	Not Implemented	The City has decided to eliminate the clause in the upcoming agreement. According to PRNS, the PAL Board plans to include a code of ethics in their by-laws and have all volunteers sign a code of ethics. Target Date: Oct-2022 (Delayed From: Fall-2019)
<p>#18-02 Audit of the San José Police Activities League</p> <p>#16 The City should formalize the fees that are charged for use of the facilities including the required documents to be completed. Further, address whether free use of the PAL facilities is allowed and what waivers would be required when providing that free use.</p>	PRNS	Partly Implemented	PRNS anticipates including a provision that PAL's program fees or waivers are approved by the PAL board which includes seats for PRNS and PD. Status of this recommendation will be revisited once a potential new agreement is finalized. Target Date: Oct-2022 (Delayed From: Fall-2019)
<p>#18-02 Audit of the San José Police Activities League</p> <p>#17 PRNS and Public Works should review the facilities, develop a list of long-term and short-term priority improvements, and determine the funding mechanism to address those improvements.</p>	PRNS / PW	Partly Implemented	PRNS and Public Works are undertaking a master plan update for the PAL facility (Facilities Plan). PRNS and Public Works had developed a list of short-term capital improvement priorities. The FY 2021-22 Adopted Capital Budget included \$4.5 million for installing an artificial field (which is now moving forward into the design phase), other associated improvements, and funding to complete a master plan update (Facilities Plan) for the PAL site. Additionally, The Parks and Community Facilities Development 2023-2027 Capital Improvement Program included \$3 million for PAL Stadium electrical improvements, including the replacement of the existing switch gear that controls the power to the sports fields, which is a critical project to extend the useful life of the facility. Several minor projects and improvements have been completed since this recommendation was made. Target Date: Dec-2023 (Delayed From: May-2020)

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#18-02 Audit of the San José Police Activities League</p> <p>#18 The City should require a process to ensure consistent and cost-equivalent fees and expenditures among all districts.</p>	PRNS	Partly Implemented	PAL equalized soccer registration rates for all districts in 2018, and provided uniforms to each district. The Police Department reports that PAL worked to refund many participants the \$27 cost of uniforms, and \$25 to participants who had a parent volunteer. PRNS anticipates including a provision that PAL's program fees or waivers are approved by the PAL board which includes seats for PRNS and PD. Status of this recommendation will be revisited once a potential new agreement is finalized. Target Date: Oct-2022 (Delayed From: Fall-2019)
<p>#18-02 Audit of the San José Police Activities League</p> <p>#19 The City should enforce fingerprint background checks of all adults serving in a supervisory or disciplinary role over children to ensure that all coaches and relevant volunteers comply with the California Public Resource Code 5164 and relevant City policies.</p>	PD / PRNS	Partly Implemented	Since publishing the audit, the SJPd Police Chief reported that "the DOJ/SMS [Department of Justice] system has flagged one volunteer, who has since been suspended. Over the last six months, the PAL Custodian of Records has received several subsequent arrest notifications from DOJ; however, these coaches were determined to no longer volunteer/coach for PAL". Depending on future responsibilities, status of this recommendation will be revisited once the anticipated new agreement is finalized. Target Date: Oct-2022 (Delayed From: Fall-2019)
<p>#18-02 Audit of the San José Police Activities League</p> <p>#20 The City should require maintenance of an updated roster of all players, coaches, and other relevant volunteers participating in each of PAL's activities.</p>	PRNS	Partly Implemented	After the audit, PAL updated rosters of all players, coaches, and assistant coaches participating in each of PAL's activities for 2018 and 2019. PRNS plans to include this requirement in the anticipated new agreement with PAL and set up a system to receive and review these rosters. Target Date: Dec-2022 (Delayed From: Fall-2019)
<p>#18-02 Audit of the San José Police Activities League</p> <p>#23 The City should require formal agreements with the various sports leagues that govern the relationship and responsibilities of each of the leagues.</p>	PRNS	Not Implemented	PRNS plans to include formalized agreements in the new contract with PAL, and reports that the PAL Board anticipates it will develop a system of receiving and reviewing these agreements by the end of 2022. Status of this recommendation will be revisited once the anticipated new agreement is finalized. Target Date: Dec-2022 (Delayed From: Dec-2019)
<p>#18-03 Department of Public Works</p> <p>#01 To better allocate training and non-project costs to capital projects, Public Works and the City Manager's Budget Office should appropriate a portion of capital staff time for such charges in the Public Works Program Support Fund (150), and allocate such costs to projects through the Public Works Cost Allocation Plan.</p>	PW / CMO	Partly Implemented	In coordination with the City Manager's Budget Office, Public Works initially allocated \$50,000 for training costs within the Public Works Program Support Fund (150). The Department reports that additional funding is necessary to fully cover training and other non-project costs within Fund 150 and are still determining how best to account for these costs. Target Date: Jun-2023 (Delayed From: Jul-2019)

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#18-03 Department of Public Works</p> <p>#02 Public Works can better ensure that lessons learned improve future performance by:</p> <ul style="list-style-type: none"> a) Ensuring that project completion reports containing lessons learned are distributed to department and client staff, b) Regularly meeting with client departments to share lessons learned from projects, c) Including standard language in the project completion report, following the lessons learned section, that ensures department manuals and project guidance are updated if necessary 	PW	Implemented	Public Works has developed a software solution within its Capital Project Management System (CPMS) to track and monitor lessons learned across all capital projects and throughout project development. The software is available for Project Managers to utilize and to provide lessons learned. Staff also have access to the report that provides all the lessons learned and can sort by projects or type of projects. The Department reports that staff hold regular meetings with partner departments and share the lessons learned.
<p>#18-03 Department of Public Works</p> <p>#05 To support consistent project management delivery, knowledge transfer during staff turnover, and accessibility for future reference, Public Works should use a standard electronic file structure for capital projects and determine what files should be kept to ensure that key documents are maintained for each phase of the capital delivery process.</p>	PW	Partly Implemented	The Capital Project Management System (CPMS) team is working to standardize electronic file structures and document retention. Additionally, Public Works is in the planning phase of centralizing project documents within SharePoint to further support staff in maintaining key project documents and providing retention guidelines. The Department also reports that it is developing a software solution within CPMS to help project managers report project updates and milestones. Target Date: Jun-2023 (Delayed From: Jul-2019)
<p>#18-03 Department of Public Works</p> <p>#06 To ensure consistent project delivery, Public Works should:</p> <ul style="list-style-type: none"> a) Update its project management manual using existing project management guidelines and checklists as well as current practices, b) Expand the manual to include guidance for each project phase and include duties of all divisions that are responsible for project delivery, and c) Establish a process to regularly review and update the manual as needed. 	PW	Partly Implemented	Public Works reports that the project management manual is on hold until a new training and development manager is hired to assist in this effort. Its work group is in the process of standardizing project management forms and templates, but the Department reports that additional resources will be needed to fully implement this recommendation. Target Date: Jun-2023 (Delayed From: Mar-2019)
<p>#18-03 Department of Public Works</p> <p>#07 Public Works should review and update its Standard Details and Specifications, in coordination with the City Attorney's Office and other departments, to ensure it contains up-to-date specifications, and establish a process to regularly review and update the manual as needed.</p>	PW / CAO / DOT / ESD	Partly Implemented	Public Works reports that several technical construction specifications and details have been updated, but that the effort is on hold. The Department reports that staff plan to bring back retiree rehires to support this effort. Target Date: Dec-2023 (Delayed From: Dec-2020)

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#18-03 Department of Public Works</p> <p>#08 To improve its metrics used to assess performance, Public Works should:</p> <p>a) Clarify that the performance metrics “on-budget” and “on-schedule” for capital projects refer to the construction phase of project delivery, and</p> <p>b) Track the categories of change orders over time across all projects.</p>	PW	Partly Implemented	The Department tracks individual project change orders as part of its project closeout process, and will attempt to monitor change orders across all of its capital projects through its Capital Project Management System (CPMS). Staff is also working with the benchmarking team and the Admin group to clarify 'on-budget' and 'on-schedule' performance measures to ensure the criteria for determining these measures are consistent throughout the department. Target Date: Jun-2023 (Delayed From: Mar-2019)
<p>#18-04 Audit of Vehicle Abatement</p> <p>#02 To improve customer service to My San Jose app requests, the Department of Transportation should prioritize the timeliness of visiting a vehicle for an initial visit. This could include continuing to use contracted staff to perform initial visits.</p>	CMO / DOT	Partly Implemented	During the COVID-19 emergency, vehicle abatement within DOT changed to focus on inoperable, hazardous, or extremely blighted vehicles. This includes proactive patrolling, as well as responding to resident reports received through SJ311. Under the new approach, all SJ311 vehicle abatement service requests are reviewed. However, only cases where submitted photos demonstrate that the vehicle is inoperable, hazardous, or contributing to extreme blight are investigated and receive first visits. Staff reports this hybrid approach is the most cost-effective way to address the most egregious vehicles. In FY 2020-21, DOT prioritized the investigation of these vehicles and reports completing initial field visits, on average, within 4.3 days of receiving the request through SJ311 versus 11 days prior. Use of contractors was assessed, implemented, and funding was added in FY2022-23 to support this ongoing use. The Administration reports that the City's approach to vehicle abatement is being expanded for multi-departmental coordination and response to the broader set of vehicle complaints the City now sees, in addition to vehicles currently covered under DOT's vehicle abatement program, with the goals of increasing customer satisfaction and efficiencies. This item is being retained as open pending that project work and potential improvements to prioritization and timeliness that response departments identify in the design of coordinated services. Target Date: Jun-2023 (Delayed From: Jul-2019)
<p>#18-04 Audit of Vehicle Abatement</p> <p>#12 The Police Department should:</p> <p>a) revisit the calculation of impound costs and recommend that the City Council approve an adjustment to the vehicle release fee accordingly, and</p> <p>b) bring forward to the City Council a recommendation for the City to institute a subsidized vehicle release fee for low-income vehicle owners.</p>	PD	Partly Implemented	After reviewing the vehicle release fee, the Police Department adjusted the fee to \$122 per vehicle; the Council adopted the revised fee, effective February 2019. The Administration reports that due to the City's emergency response to COVID-19, it delayed its RFP for a technology platform and contract administration for tow services. Following implementation of this platform, the Administration plans to use data gathered through this platform to review costs and evaluate a subsidized vehicle release fee. Target Date: Dec-2023 (Delayed From: Jun-2019)

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#18-06 Community Center Reuse (now the Neighborhood Center Partner Program)</p> <p>#01 To inform future capital investment decisions and better understand the subsidy value to reuse service providers, PRNS should work with Public Works to periodically assess the condition and calculate the deferred maintenance of reuse facilities.</p>	PRNS	Partly Implemented	PRNS has hired a Senior Maintenance Worker and a Building Management Administrator to support the management and infrastructure assessments needed for the Neighborhood Center Partner Program (formerly the Community Center Reuse program) and other PRNS facilities. Public Works-City Facilities Architectural Services (PW-CFAS) executed a consultant master agreement for the building assessments consultants. PRNS reports that staff provided a priority list of NCPP sites to PW and consultants and the first site visit for Alma Community Center is complete. Once the consultant provides the completed report, the PRNS-Building Management Administrator and Senior Maintenance Worker plan to review the report and information in detail to ensure compliance, needs, department requirements, and report format is acceptable and proceed with the building condition assessment reports for the remaining NCPP sites. Target Date: Jun-2024
<p>#18-06 Community Center Reuse (now the Neighborhood Center Partner Program)</p> <p>#02 To better track the net costs of individual facilities in the Reuse Program, PRNS should improve tracking of maintenance costs and revenues, periodically review the City's cost for re-use facilities, and assess the continued value of reuse sites.</p>	PRNS	Partly Implemented	PRNS' Building Management Administrator (BMA) and Senior Maintenance Worker are tasked with addressing building infrastructure, equipment needs, and facility improvements. The BMA evaluates and analyzes available database systems to review work orders and associated facility operational and maintenance costs of Neighborhood Center Partner Program buildings. At a 6-month and 12-month mark, the BMA plans to track and access a full year of facility costs. In addition, the BMA has completed the first phase of a comprehensive 2022 dashboard that details 2nd quarterly summary of work orders - site, type, and costs. Target Date: Jan-2023 (Delayed From: Dec-2021)
<p>#18-06 Community Center Reuse (now the Neighborhood Center Partner Program)</p> <p>#03 To provide policy makers with information about the Reuse Program in all districts, PRNS should include information on contracted and actual reported services by program activity across all service providers and facilities in their annual reuse updates.</p>	PRNS	Partly Implemented	PRNS has developed reporting and monitoring requirements that were included in a 2021 RFQ and incorporated into service providers' executed contracts. Staff report that service providers submitted a mid-year report in April 2022 and will submit an end of year report in November 2022. Subsequently, annual site visits will be conducted to cross-reference reported deliverables. PRNS plans to provide an update on program performance to the Neighborhood Services and Education Committee (NSE) after a full program year. Target Date: Jun-2023 (Delayed From: Jul-2020)
<p>#18-06 Community Center Reuse (now the Neighborhood Center Partner Program)</p> <p>#08 PRNS should immediately ensure verification or certification of background checks of reuse providers' paid and unpaid staff, in accordance with the reuse agreement.</p>	PRNS	Partly Implemented	An "Attestation of Background Check" form was developed by PRNS and approved by the City Attorney's Office to confirm partner compliance with fingerprinting, background checks, TB testing requirements, and Trustline registration (if applicable) for all employees and volunteers working and/or interacting with vulnerable populations at Neighborhood Center Partner Program (formerly Reuse) sites. Staff have been working with the City Attorney's Office to issue non-compliance notices to agencies that have not yet met the background check requirement. The notice outlines areas of non-compliance and actions required by the agency to meet compliance. NCPP administrative staff plan to continue to monitor background check compliance and determine if any further actions outlined in the monitoring and requirements guidelines are required. Target Date: Dec-2022 (Delayed From: Dec-2019)

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#18-07 Audit of the City's Homeless Assistance Programs</p> <p>#07 To analyze the effectiveness of the City's homeless assistance efforts, the Housing Department should use HMIS to:</p> <p>a) Aggregate City of San Jose data by strategy area (rapid rehousing, permanent housing, crisis response, and prevention) and report on key performance indicators including: exits to permanent housing, returns to homelessness, number of participants enrolled per strategy area; and</p> <p>b) Compare the performance of the City's homeless assistance by strategy area to identified targets and the performance of the CoC on a semi-annual basis.</p>	HSG	Partly Implemented	<p>The Department reports an analyst in the Homeless Response Team has completed HMIS training and is working with agencies to monitor performance and data entry into HMIS. The Annual Homeless Report includes key performance indicators including exits to permanent housing and number of participants enrolled per strategy. The next annual report is expected in March 2023. Target Date: Mar-2023 (Delayed From: Aug-2019)</p>
<p>#18-07 Audit of the City's Homeless Assistance Programs</p> <p>#11 To effectively manage monitoring activities and utilize monitoring results to improve project delivery of its homeless response grants, the Housing Department should:</p> <p>a) Develop monitoring procedures including an annual monitoring plan, grantee performance summary, and upload monitoring reports and risk assessment to the City's grants management system;</p> <p>b) Conduct on-site monitoring visits for each homeless assistance contract at least every two years as has been described in its annual action plan; and</p> <p>c) Compare grantee progress reports against HMIS reported data on a semi-annual basis to ensure the accuracy of grantee reported performance metrics.</p>	HSG	Partly Implemented - Priority	<p>a) The Department developed a Grants Monitoring Policies and Procedures Manual, last revised in July 2020, to include the COVID-19 Emergency Monitoring Plan. Staff are in the process of updating the manual to include best practices acquired from the current monitoring exercise. The Grants Management Analysts complete annual risk assessments and performance summaries. Currently these reports are filed in the Grants Management SharePoint library. The team utilizes WebGrants to assist in managing all agreements/projects. Staff are working with the WebGrants vendor to establish a monitoring portal. The monitoring portal will allow staff to upload all monitoring documents into WebGrants.</p> <p>b) The Department reports that due to the COVID-19 pandemic, on-site monitoring visits were suspended during FY 2019-20 to FY 2021-22. The Department reports the Grants Management division has completed risk assessments to facilitate developing the 2022 monitoring plan. In February 2022, the Department engaged an outside firm to assist with monitoring of agreements/projects based on level of risk, reviewing the existing monitoring policies and procedures, and the creation of a cyclical plan for annual monitoring.</p> <p>c) The Department reports two Homelessness Response Team members have completed HMIS training and work with contracted agencies to monitor performance and data entry into HMIS. Staff have begun comparing quarterly performance reports in WebGrants against reports from HMIS. The Department reports that it has identified and grouped contracts into categories by strategy area to focus monitoring activities, and drafted a quarterly reporting procedures manual on how to review quarterly performance reports in WebGrants to data in HMIS. Additionally, Homelessness Response Team has trained staff from the Grants Team to perform basic audits of submitted WebGrants reports that include demographics data using the prebuilt reports in HMIS. Target Date: Dec-2022 (Delayed From: Jul-2020)</p>

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#18-10 Audit of Towing Services</p> <p>#01 To provide a method to address violations, the City should include in future towing services agreements:</p> <p>a) An escalating penalty structure of liquidated damages, suspensions, and contract termination. Liquidated damages should be increased over time.</p> <p>b) Provisions requiring towing contractors to respond to another tow zone in case of a tow refusal or suspension (with a different timeliness standard).</p>	PBCE	Not Implemented	Due to the City's emergency response to COVID-19 and changes to the scope of services, the Administration delayed an RFP for a technology platform and contract administration for tow services. The Administration anticipates the release of the RFP proposal in fall 2022. The Administration reports that requirements to meet this recommendation will be incorporated in the RFP proposal and implementation of new model as appropriate. Target Date: Dec-2023 (Delayed From: Jul-2020)
<p>#18-10 Audit of Towing Services</p> <p>#03 The City should issue a new RFP for the towing services agreements, taking into consideration the issues identified and recommendations made in this report.</p>	PBCE	Not Implemented - Priority	Due to the City's emergency response to COVID-19 and changes to the scope of services, the Administration delayed an RFP for a technology platform and contract administration for tow services. The Administration anticipates the release of the RFP proposal in fall 2022. The Administration reports that requirements to meet this recommendation will be incorporated in the RFP proposal and implementation of new model as appropriate. Target Date: Dec-2023 (Delayed From: Jul-2020)
<p>#18-10 Audit of Towing Services</p> <p>#04 The City should consider allowing contractors to submit proposals for a contract fee, paid by the contractor to the City per towed vehicle, as part of the Request for Proposal process. The amount of the contract fee should be evaluated along with other aspects of a potential contractor's proposal.</p>	PBCE	Not Implemented	Due to the City's emergency response to COVID-19 and changes to the scope of services, the Administration delayed an RFP for a technology platform and contract administration for tow services. The Administration also brought forward a Fifth Amendment to the City Generated Tow Services Agreements in March 2021, which continued the reduction of the contract compensation fee to zero, to ensure continuity of tow services. The Tow Services Agreements were extended through March 31, 2023. The Agreements may be extended year-by-year through March 31, 2026 at the City's option. Target Date: Dec-2023 (Delayed From: Jul-2020)
<p>#18-10 Audit of Towing Services</p> <p>#05 In future towing services agreements, the City should continue the junk vehicle reimbursement program or, in conjunction with Recommendation #4, request that proposed contract fees account for the costs of junk vehicle disposal.</p>	PBCE	Partly Implemented	Due to the City's emergency response to COVID-19 and changes to the scope of services, the Administration delayed an RFP for a technology platform and contract administration for tow services. The Administration anticipates the release of the RFP proposal in fall 2022. The Administration brought forward a Fifth amendment to the City Generated Tow Services Agreements to Council in March 2021 to ensure continuity of tow services. Staff anticipates that the issues which warranted a junk vehicle reimbursement program will be addressed as part of the tow software and contract administration RFP and new City Generated Tow Services Delivery Model as appropriate. Target Date: Dec-2023 (Delayed From: Jul-2020)
<p>#18-10 Audit of Towing Services</p> <p>#06 The City Administration, in consultation with appropriate departments, should establish clear guidelines for the appropriate disposal of hazardous waste and junk vehicles.</p>	PBCE	Partly Implemented	On June 25, 2019, City Council approved a second amendment to the tow services agreements to clarify hazardous waste disposal and documentation requirements in order for towing contractors to be eligible for compensation. The Administration intends to develop additional guidelines for disposal of junk vehicles as it moves forward with a new RFP and service delivery model. Target Date: Dec-2023 (Delayed From: Jul-2020)

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#18-10 Audit of Towing Services</p> <p>#09 The City should modify future towing services agreements to allow towing contractors to have tow yards located outside of their assigned zones, such as anywhere within the City limits.</p>	PBCE	Not Implemented	Due to the City's emergency response to COVID-19 and changes to the scope of services, the Administration delayed an RFP for a technology platform and contract administration for tow services. The Administration anticipates the release of the RFP proposal in fall 2022. The Administration extended the existing City Generated Tow Services Agreements through March 2023. The Administration reports that requirements to meet this recommendation will be incorporated in the RFP proposal and implementation of new model as appropriate. Target Date: Dec-2023 (Delayed From: Jul-2020)
<p>#18-10 Audit of Towing Services</p> <p>#10 The City should consider additional changes to future towing services agreements, such as:</p> <ul style="list-style-type: none"> a) Specifying that tow yard capacity must be sufficient, and having respondents propose tow yard capacity; b) Allowing towing contractors to engage in private business towing; c) Specifying that the number of tow trucks must be sufficient; and/or d) Redrawing the tow zone boundaries such that they have an equal number of expected tows. 	PBCE	Not Implemented	Due to the City's emergency response to COVID-19 and changes to the scope of services, the Administration delayed an RFP for a technology platform and contract administration for tow services. The Administration anticipates the release of the RFP in fall 2022. The Administration extended the existing City Generated Tow Services Agreements through March 2023. The Administration reports that requirements to meet this recommendation will be incorporated in the RFP proposal/new model as appropriate. Target Date: Dec-2023 (Delayed From: Jul-2020)
<p>#18-10 Audit of Towing Services</p> <p>#11 The City should require towing contractors to submit all information as specified in the City's towing services agreements (including claimed vehicles), regardless of whether payments are missed or late.</p>	PBCE	Not Implemented	Due to the City's emergency response to COVID-19 and changes to the scope of services, the Administration delayed an RFP for a technology platform and contract administration for tow services. The Administration also brought forward a Fifth Amendment to the City Generated Tow Services Agreements in March 2021, which continued the reduction of the contract compensation fee to zero, to ensure continuity of tow services. The Tow Services Agreements were extended through March 31, 2023. The Agreements may be extended year-by-year through March 31, 2026 at the City's option. Target Date: Dec-2023 (Delayed From: Jul-2020)
<p>#18-10 Audit of Towing Services</p> <p>#12 In future towing services agreements, the City should require towing contractors to provide tow records in an electronic format or consider requiring the use of a towed vehicle database system (either procured by the City or by towing contractors with access granted to City staff).</p>	PBCE	Not Implemented	Due to the City's emergency response to COVID-19 and changes to the scope of services, the Administration delayed an RFP for a technology platform and contract administration for tow services. The Administration anticipates the release of the RFP proposal in fall 2022. The Administration reports that requirements to meet this recommendation will be incorporated in the RFP proposal and implementation of new model as appropriate. Target Date: Dec-2023 (Delayed From: Jul-2020)

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#18-10 Audit of Towing Services</p> <p>#13 In future towing services agreements, the City should clarify the collection process for the contract fee.</p>	PBCE / FIN	Not Implemented	Due to the City's emergency response to COVID-19 and changes to the scope of services, the Administration delayed an RFP for a technology platform and contract administration for tow services. The Administration also brought forward a Fifth Amendment to the City Generated Tow Services Agreements in March 2021, which continued the reduction of the contract compensation fee to zero, to ensure continuity of tow services. The Tow Services Agreements were extended by the Administration through March 31, 2023. The Agreements may be extended year-by-year through March 31, 2026 at the City's option. Target Date: Dec-2023 (Delayed From: Jul-2020)
<p>#18-10 Audit of Towing Services</p> <p>#14 To reduce time required to oversee contract terms, in future towing services agreements the City should charge one consolidated fee to towing contractors based on the number of towed vehicles.</p>	PBCE	Not Implemented	Due to impacts of the City's emergency response to COVID-19 and changes to the scope of services, the Administration delayed its RFP for a technology platform and contract administration for tow services. The Administration anticipates the release of the RFP proposal for tow software and contract administration in fall 2022. The Administration brought forward an amendment to the City Generated Tow Services Agreements to Council in June 2020, which reduced the contract fee to \$0. The Administration also brought forward a Fifth Amendment to the City Generated Tow Services Agreements in March 2021, which continued the reduction of the contract compensation fee to zero, to ensure continuity of tow services. The Tow Services Agreements were extended by the Administration through March 31, 2023. The Agreements may be extended year-by-year through March 31, 2026 at the City's option. Target Date: Dec-2023 (Delayed From: Jul-2020)
<p>#18-10 Audit of Towing Services</p> <p>#15 For improved oversight over the towing services agreements, the administration of the contract should be consolidated in the Police Department with an evaluation of the resources needed to perform this responsibility.</p>	PD	Not Implemented	Due to impacts of the City's emergency response to COVID-19 and changes to the scope of services, the Administration delayed its RFP for a technology platform and contract administration for tow services. The Administration anticipates the release of the RFP proposal for tow software and contract administration in fall 2022. The Administration brought forward an amendment to the City Generated Tow Services Agreements to Council in March 2021 to ensure continuity of tow services. Staff report that the Police Department currently does not have staffing or capacity to support the administration and management of City Generated Tow Services agreements. As part of the 2023-24 annual budget process, the Police Department Fiscal Unit, in coordination with PBCE, intends to explore proposals to secure the required staffing and resources to support contract administration as appropriate. Target Date: Jun-2024 (Delayed From: Jul-2020)
<p>#19-01 Audit of 9-1-1 and 3-1-1</p> <p>#02 Fire Communications should pull regular performance reports and monitor average answering times.</p>	FIRE	Not Implemented	The Fire Department reports that they have hired a Fire Communications Analyst. The Department anticipates that the analyst will work on formalizing the Fire Communications performance measure reporting process and ensuring reports are generated and distributed at regular intervals. Target Date: Jan-2023 (Delayed From: Jun-2020)

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#19-01 Audit of 9-1-1 and 3-1-1</p> <p>#05 To increase focus on outreach and recruiting for Communications staff, Police Communications and Fire Communications should each develop a recruiting plan for their respective divisions, and explore opportunities for collaboration and joint recruitment opportunities.</p>	PD / FIRE	Partly Implemented	The Police Department has updated their Recruiting Unit Procedure Manual to include a recruiting plan for Communications staff. According to the plan, Communications positions will be advertised on the recruiting website www.SJPDYOU.com and on social media. Additionally, the Department has hired a Communications Recruiter to attend job fairs, symposiums, and recruiting events. The Fire Department reports that they have hired a Fire Communications Analyst. The Department anticipates that the analyst will work on developing a formalized recruitment plan. Target Date: Jun-2023 (Delayed From: Jun-2021)
<p>#19-01 Audit of 9-1-1 and 3-1-1</p> <p>#06 The Police and Fire Department should utilize external marketing firms to bolster marketing efforts to recruit communications staff for both Police and Fire staff.</p>	PD / FIRE	Partly Implemented	The Sworn Police Department Recruiting Unit has an agreement with Civilian, Inc. to help with recruiting. The Police Department reports that Civilian is working on videos and social media. Additionally, the Department reports that the Unit's Senior Dispatcher has attended hiring fairs with the Police Department, created a recruiting team to attend events, and hosted Q&A sessions about employment opportunities. The Fire Department reports that they hired a Fire Communications Analyst. The analyst will assist in developing a formalized recruitment plan that will guide the Fire Department's use of an external marketing firm. Target Date: Jun-2023 (Delayed From: Jun-2021)
<p>#19-01 Audit of 9-1-1 and 3-1-1</p> <p>#07 The Police and Fire Departments should work with the Public Works Department to make closer parking options available to Communications staff that work night shifts.</p>	PD / FIRE	Partly Implemented	Parking options for both Police and Fire Communications personnel have increased for employees working outside of regular business hours. The Police Department reports that, due to an agreement with Santa Clara County, Police and Fire Communications personnel are permitted to park directly across the street in a County lot. The improvement project to the N. San Pedro Street and Mission Street parking lot has been completed and is another available parking area that is secured by Department card readers, with pedestrian gate access on the north side, and vehicle gate access on the east side. The Police Department continues to offer interior parking spots for Police Communications personnel working on swing and night shifts. Additionally, the Fire Department reports one-time funding was approved in the FY 2022-23 Adopted Budget for a provision of a security guard with the ability to provide escort between the employee parking lot and building during hours of darkness. The Fire Department reports they are in the process of procuring the vehicle and security guard services. Target Date: Jun-2023 (Delayed From: Dec-2020)
<p>#19-01 Audit of 9-1-1 and 3-1-1</p> <p>#09 To retain qualified staff that are more inclined to call taking versus dispatch, the Administration should explore the creation of a call taker position in the Fire Department.</p>	FIRE	Partly Implemented	The Fire Department continues to review and finalize a report from Mission Critical Partners pursuant to the Fire Communications Workforce Optimization Study. The Department reports that the study provides analysis on the staffing levels and call taking capacity. Target Date: Jun-2023 (Delayed From: Jun-2021)

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#19-01 Audit of 9-1-1 and 3-1-1</p> <p>#12 To remove report-taking responsibilities from emergency call takers, the Police Department should assess and potentially distribute report-taking responsibilities that could be handled by (a) the City Customer Contact Center, (b) police officers on modified duty, (c) retiree rehires, or (d) Community Service Officers.</p>	PD	Partly Implemented	The Police Department continues to use retiree rehires and per-diem staff for call-taking, radio dispatching, and Telephone Report Automation Center (TRAC) calls. The Department reports that Community Service Officers are placed in the Police Department lobby to take in-person reports, but do not currently handle reports over the phone. The Department has determined that assigning these call-taking responsibilities to the City Customer Contact Center or police on modified duty is not feasible, but plans to continue reviewing other options. Target Date: Dec-2022 (Delayed From: Jun-2020)
<p>#19-01 Audit of 9-1-1 and 3-1-1</p> <p>#13 To lessen SJPd Communications Center staff workload and provide the public with additional service/reporting options, the Police Department should publicize online reporting options to the community and review current online reporting options and determine if additional reporting can be handled online.</p>	PD	Implemented	The Department has updated its online reporting page since the time of the audit. Online reporting is available at http://www.sjpd.org/reportingcrime/online-report/ . During the Covid-19 Pandemic, additional online reporting options were added including non-injury traffic accidents and hit and run accidents.
<p>#19-01 Audit of 9-1-1 and 3-1-1</p> <p>#16 Police non-emergency services should provide information and translation services for customers who do not speak English.</p>	PD	Partly Implemented	The Police Department reports that it has offered interpretation services for non-emergency calls. However, the Department does not offer interpretation services for police reports by phone, citing resource and time constraints. The Department anticipates interpretation services will be reviewed for telephone reporting following the transition of these calls out of the Emergency Operations Center. Target Date: Dec-2022 (Delayed From: Jun-2020)
<p>#19-03 Development Noticing</p> <p>#01 Planning should propose updates to Council Policy 6-30 that set realistic goals for the timing of on-site notices, and require evidence of on-site posting prior to setting a hearing date.</p>	PBCE	Not Implemented	According to the Department, implementation of this recommendation would be included in a full review of Policy 6-30, which would require staffing resources and Council prioritization. The City's response to the COVID-19 pandemic highlighted opportunities for closer coordination across the City regarding engagement with, and outreach to, the community and its residents. Staff is currently assessing whether to reprioritize amendments to Policy 6-30 with ongoing efforts to align organization-wide policy on outreach and engagement. Target Date: Dec-2024 (Delayed From: Dec-2021)
<p>#19-03 Development Noticing</p> <p>#03 Planning should propose updates to Council Policy 6-30 and develop and implement procedures to:</p> <ul style="list-style-type: none"> A. Proactively identify projects and dominant neighborhood languages to ensure hearing notices are properly translated, B. Include guidance on when interpretation services for hearings should be provided, and C. Remove the requirement that requesting parties pay for the translation of hearing notices, and determine an appropriate funding source. 	PBCE	Partly Implemented	The Planning Division's Fees and Charges Resolution includes three fees that applicants must pay when projects require interpretation services. These fees became active after the audit (becoming effective August, 2021). According to the Department, implementation of this recommendation would be included in a full review of Policy 6-30, which would require staffing resources and Council prioritization. The City's response to the COVID-19 pandemic highlighted opportunities for closer coordination across the City regarding engagement with, and outreach to, the community and its residents. Staff is currently assessing whether to reprioritize amendments to Policy 6-30 with ongoing efforts to align organization-wide policy on outreach and engagement. Target Date: Dec-2024 (Delayed From: Dec-2021)

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#19-03 Development Noticing</p> <p>#04 To clarify expectations on noticing practices, Planning should propose changes to Council Policy 6-30 to provide additional guidance on mailing radii and permit types.</p>	PBCE	Not Implemented	According to the Department, implementation of this recommendation would be included in a full review of Policy 6-30, which would require staffing resources and Council prioritization. The City's response to the COVID-19 pandemic highlighted opportunities for closer coordination across the City regarding engagement with, and outreach to, the community and its residents. Staff is currently assessing whether to reprioritize amendments to Policy 6-30 with ongoing efforts to align organization-wide policy on outreach and engagement. Target Date: Dec-2024 (Delayed From: Dec-2021)
<p>#19-03 Development Noticing</p> <p>#05 Planning should propose changes to Council Policy 6-30 to set goals to increase the availability of online information prior to a public hearing.</p>	PBCE	Partly Implemented	Development Services Partners and the Information Technology Department completed the technical requirements that enhances the availability of online information. The Department reports that these features went live on SJPermits in September 2021. According to the Department, implementation of this recommendation would be included in a full review of Policy 6-30, which would require staffing resources and Council prioritization. Target Date: Dec-2024 (Delayed From: Dec-2021)
<p>#19-04 The Mayor's Gang Prevention Task Force</p> <p>#03 In addition to its goal of reducing youth gang violence, the Administration should determine the role of the Task Force (BEST and Youth Intervention Services) in the context of overall juvenile crimes and youth violence prevention.</p>	PRNS	Partly Implemented	Staff plan to include Objectives and Key Results (OKRs) on strategies and outcomes related to youth violence and crime within the Mayor's Gang Prevention Task Force (MGPTF) 2025 Strategic Plan. Gang-related violence and crime will be a subset within the overall context of youth violence, arrests, and recidivism. The MGPTF Policy Team reviewed the proposed changes to the plan in August 2022. Staff expect to present the finalized plan to City Council in November 2022. According to staff, any update to eligible services for BEST funding under the new plan will relate to overall risk factors for youth violence and crime, not solely risk for gang involvement. Target Date: Dec-2022 (Delayed From: Jul-2021)
<p>#19-04 The Mayor's Gang Prevention Task Force</p> <p>#04 The Department of Parks, Recreation and Neighborhood Services should ensure participant needs are consistently assessed by developing processes to:</p> <ul style="list-style-type: none"> a) Assess youth participants through the adoption of a standardized assessment tool to be used for all Task Force programming, b) Create corresponding service plans based on those risk levels, and c) Track and report enrollment by risk level including pre and post results for all Task Force services. 	PRNS	Partly Implemented	A consultant completed a screening tool and piloted it with two BEST funded agencies and two YIS programs. Based on the feedback from the pilot stage, the consultant adjusted the tool to align risk categories with risk levels identified by the screener. The goal of the pilot was to obtain a minimum of 100 completed screeners across all six programs. The consultant report that they received 174 completed screeners. Following the adjustment, staff report the consultant developed training for YIS and BEST program staff to support consistent implementation of the tool across MGPTF programs. They anticipate the training will take place in October 2022. Screening tool implementation began September 2022 for YIS programs; staff anticipate BEST will implement the survey in program year 2023-24, the first year after an RFQ process to identify new agencies. Target Date: Mar-2024 (Delayed From: Jun-2021)

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#19-04 The Mayor's Gang Prevention Task Force</p> <p>#08 The Department of Parks, Recreation and Neighborhood Services should work with the City Attorney's Office to update the current Memoranda of Agreement with school districts to include:</p> <ul style="list-style-type: none"> a) All services provided by City staff on school campuses, b) Roles and responsibilities for City staff and school administrators, including criteria for Safe School Campus Initiative activations, and c) Key documents that would be required to enroll participants, including parental consent forms. 	PRNS	Partly Implemented	<p>The Task Force services 17 school districts. PRNS has updated and executed agreements for six school districts including East Side Union High School District, Alum Rock, Franklin-McKinley, Moreland, San Jose Unified, and the Santa Clara County Office of Education (alternative schools). Staff report that discussions have been completed and draft agreements prepared with the Fremont Union High School District, the Campbell Union High School District, and the Cambrian School District. These agreements have been submitted to the City's contract review process, with execution pending. Draft agreements have been submitted to Oak Grove School District and Morgan Hill Unified School District for review. Staff report that they continue to reach out to the remaining seven districts to complete new agreements while previous agreements to provide services to each district remain in force. Target Date: Apr-2023 (Delayed From: Jul-2020)</p>
<p>#19-04 The Mayor's Gang Prevention Task Force</p> <p>#14 The Department of Parks, Recreation and Neighborhood Services should:</p> <ul style="list-style-type: none"> a) Reassess reported program outcomes and units of service for all Task Force programs, and b) Re-define and annually report key program outcome measures. 	PRNS	Partly Implemented	<p>PRNS hired a consultant to develop a performance measurement framework for all Task Force programs (BEST and Youth Intervention Services) to reassess program outcomes and units of service. The framework was meant to align with the preliminary theory of change developed by the MGPTF evaluation consultant (Social Policy Research Associates), City audit recommendations, and program capacity for data collection. Staff report the planning process for reassessing program outcomes and re-defining program outcome measures for both YIS and BEST funded program was completed July 2022. After the consultant had recommended the performance metrics and data collection processes, and tools, PRNS staff reviewed the outcomes and determined existing data collection tools remain viable. Staff plan to use the new performance outcome measure framework for 2023-24 program evaluations for BEST. This aligns with a new cycle for BEST agencies, following the first year after the agency selection process. Target Date: May-2025 (Delayed From: Jul-2021)</p>
<p>#19-04 The Mayor's Gang Prevention Task Force</p> <p>#15 To evaluate the satisfaction of services provided to youth participants and their families, the Department of Parks, Recreation and Neighborhood Services should establish a formal mechanism for youth to provide feedback through the annual administration of participant surveys. The results of the surveys should be included in the annual report to Council on Task Force activities.</p>	PRNS	Partly Implemented	<p>For the BEST program, PRNS has been conducting youth surveys and reporting results in the annual report presented to the Neighborhood Services and Education Committee and City Council. Staff report that Youth Intervention Services (YIS) completed a revised pilot survey, based on the BEST survey, with a sample of Safe School Campus Initiative and Female Intervention Team clients. The survey included 11 statements participants agreed or disagreed with, to varying degrees, in reporting their view of the programs, and outcomes they achieved. Staff plan to expand use of this survey instrument, and develop evaluation instruments for other YIS programs, during the next phase of the evaluation system project. Staff report that they are preparing a scope of work to select a consultant for this work. They anticipate including results of this survey in the next annual report to City Council. Target Date: Jun-2023 (Delayed From: Jul-2020)</p>

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#19-05 Employee Reimbursements</p> <p>#04 The Finance Department should work with the Office of Employee Relations and the Information Technology Department to simplify the employee reimbursement process by:</p> <p>a) Reviewing the approval process for small dollar reimbursements (e.g., parking, tolls, and local transportation), potentially requiring a dollar threshold.</p> <p>b) Including commonly requested expense reimbursements and timeliness requirements, either in the upcoming electronic travel and expense management system or another electronic solution.</p> <p>This may require updating the associated City policies to reflect the revised processes.</p>	FIN / OER	Implemented	The Finance Department, in coordination with the Office of Employee Relations and Information Technology Department, initiated an Employee Reimbursement Business Process Automation project in January 2022. Two departments participated in the pilot program, and Citywide implementation occurred in 2022.
<p>#19-06 Form 700s</p> <p>#01 To help streamline the City's process of identifying Form 700 filers, the City Clerk's Office should reestablish regular department liaison meetings and:</p> <p>a) Update and document expectations for department liaisons regarding entering employee assuming and leaving office information into the e-filing system; and/or</p> <p>b) Work with the Human Resources and Information Technology Departments and the e-filing system vendor to automate the process for updating employee information.</p>	CLERK / HR / IT	Implemented	The purpose of this recommendation was to ensure that departments liaisons, who are tasked with identifying Form 700 filers and ensuring they are correctly entered into the City's Form 700 e-filing system, are aware of their responsibilities for the Form 700 process. The Office of the City Clerk reports that a Form 700 training was held in January 2020. Another training for department liaisons was held in June 2022 and a recording of the training is posted in the Form 700 section of the Clerk's Office intranet site. Additional resources related to the Form 700 process are also linked on the site, and the Form 700 coordinator has been working with departments to answer their questions. Furthermore, staff has worked with the CMO to create an improved Form 700 workflow in SimpliGov for contracts. It better incorporates Form 700 filer review steps into the platform, rather than staff having to do separate back and forth via e-mail.
<p>#19-06 Form 700s</p> <p>#02 The City Clerk's Office should establish standard procedures surrounding the assessment of late fines and referral of non-filers to the Fair Political Practices Commission (FPPC). The procedures should include using its e-filing system to track follow up activities, such as assessing late fines and sending non-filing notices.</p>	CLERK	Partly Implemented	The City Clerk's Office reports that late notices were sent, second notices are to be sent in September, and that late fines are to be assessed in the fall. Procedures are being updated in the meanwhile. The Clerk's Office anticipates that this should be complete by the beginning of the next annual filing period. Target Date: Jun-2023 (Delayed From: Jun-2020)

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#19-06 Form 700s</p> <p>#03 To ensure consistency with annual filing requirements, the City Clerk's Office should:</p> <ul style="list-style-type: none"> a) Regularly compare the numbers of annual Form 700 filers and Family Gift Report filers and reconcile any differences. b) Document expectations for department liaisons that annual filers be notified of requirements to file a Family Gift Report. 	CLERK	Implemented	The Office of the City Clerk reconciled the roster of Form 700 and Family Gift Report filers, and reported working with the Form 700s database vendor to correct inconsistencies. The Family Gift Report selection happens automatically for City staff, so the liaisons do not need to make a manual selection to include the Family Gift Report.
<p>#19-06 Form 700s</p> <p>#04 The Administration, as it develops Citywide guidelines on contract management, should clarify responsibilities for consultant Form 700 filing compliance, including:</p> <ul style="list-style-type: none"> a) Coordinating with the City Clerk's Office to ensure all consultants are appropriately identified in the e-filing system, b) Verifying that consultants meet all filing requirements and following up with non-filers, and c) Collecting alternative/personal email addresses to facilitate follow-up for consultant leaving office filings. 	CMO / CLERK	Implemented	The City Manager's Office (CMO) has worked with the City's Business Process Automation team to satisfy the requirement under part a through the SimpliGov platform. Before staff can submit a contract for signature, they must attest to the fact that the consultant either: 1) does not have to file, or 2) does have to file and that a department's Form 700 Liaison will be entering the information into the system. (On the form, staff are instructed to contact their department attorney contact if they are not sure whether a contractor/consultant/vendor is required to file a Form 700.) At that time, the platform will send the information to the Department's Form 700 Liaison who enters the filer information into the system. After the contract is signed, it is sent to the Clerk's Office for confirmation that it has been entered into the system correctly. The Clerk's Office coordinates with the department if there are inaccuracies. This includes the Clerk sending out notifications to each department notifying them if a consultant is out of compliance, in addition to assisting with consultants leaving office. A field for the filer's alternative email address was added to the SimpliGov workflow to facilitate follow-up for consultant leaving office filings.
<p>#19-06 Form 700s</p> <p>#05 The City Attorney's Office should modify relevant sections of the standard consulting agreement templates to include a business email address for each consultant filer listed.</p>	CAO	Implemented	The modified standard consultant agreement forms, that include a business email address for each consultant filer listed, went "live" on the City intranet April, 2022.
<p>#19-06 Form 700s</p> <p>#07 The City Clerk's Office should develop procedures for the review of Form 700s, in accordance with the Political Reform Act and FPPC regulations, and the use of the e-filing system to facilitate amendment requests.</p>	CLERK	Implemented	The Office of the City Clerk added to its procedures the review of Form 700s. The e-filing system automatically validates electronic filings. Presently all filings are done electronically.

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#19-06 Form 700s</p> <p>#08 The City Clerk's Office should generate reports from the e-filing system identifying employees with reportable interests, and provide to department liaisons and department heads for appropriate review.</p>	CLERK	Implemented	In 2021, the Office of the City Clerk generated reports from the e-filing system identifying employees with reportable interests and provided them to department liaisons and department heads for review. The Office of the City Clerk has documented generating these reports in its policies and procedures. The Office of the City Clerk will be sending these reports on a quarterly basis to department heads and liaisons.
<p>#19-06 Form 700s</p> <p>#09 The Administration, in consultation with the City Attorney's Office, should develop guidance for departments to review employee Form 700s for potential conflicts of interest.</p>	CMO / CAO	Partly Implemented	The City Attorney's Office and the City Manager's Office met to discuss an internal process for a periodic review of Form 700s, and drafted internal administrative procedures. The City Manager's Office also intends to finalize the internal administrative procedures for roll out. Target Date: Mar-2023 (Delayed From: Jun-2020)
<p>#19-07 Procurement Cards</p> <p>#01 The Finance Department should:</p> <ul style="list-style-type: none"> a) Periodically (at least monthly) review list of separated employees and ensure that p-cards of employees on that list are immediately deactivated, and b) Reassess and clarify policy expectations to deactivate p-cards when employees are on leaves. 	FIN	Partly Implemented	The Finance Department has started to perform monthly reviews of separated employee lists to ensure that p-cards assigned to former City employees are deactivated. The Department plans to clarify policy expectations as part of the revised p-card policy and new administrative guide. Both documents are under senior staff review. Target Date: Jun-2023 (Delayed From: Jun-2020)
<p>#19-07 Procurement Cards</p> <p>#02 The Finance Department should:</p> <ul style="list-style-type: none"> a) Develop a process to annually share recertification data with p-card coordinators so departments can easily cross-check and verify compliance with the recertification quiz, b) Require p-card holders that have not completed the recertification to immediately do so, and c) Suspend p-cards for employees that do not comply with the recertification requirements within an agreed-upon timeframe. 	FIN	Partly Implemented	The Finance Department is now responsible for administering and monitoring the annual recertification quiz Citywide, including enforcing suspensions as needed. The Department plans to address items b) and c) of this recommendation as part of the p-card policy update or p-card administrative guide. Both documents are under senior staff review. Target Date: Jun-2023 (Delayed From: Jun-2020)
<p>#19-07 Procurement Cards</p> <p>#03 To help employees comply with applicable purchase requirements, Finance should:</p> <ul style="list-style-type: none"> a) Aggregate all policies and guidelines applicable to p-card purchases, including furniture purchases, in an easy and user friendly resource available on the City's intranet site; and b) Work with Public Works to clarify restrictions on vehicle related p-card expenses and that any questions regarding such purchases be directed to Public Works' Fleet Division, and include such guidance in the p-card administrative guide. 	FIN / PW	Partly Implemented	Finance plans on aggregating all p-card related policies and guidelines, including those related to furniture purchases, and making them available on Purchasing's intranet site. The Department is also working with Public Works' Fleet Division to clarify restrictions on vehicle-related p-card purchases and the correct procurement methods for vehicle-related purchases. This clarification will be included as part of the aggregation of p-card related policies and guidelines. Target Date: Jun-2023 (Delayed From: Jun-2020)

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#19-07 Procurement Cards</p> <p>#04 The Finance Department should work with the Information Technology Department to clarify whether cloud based subscriptions are considered services and whether these types of services require Information Technology Department approval.</p>	FIN	Partly Implemented	<p>San José's Municipal Code defines software as a service. The Finance Department will clarify in its p-card policy and administrative guide that cloud-based subscriptions require approval from the Information Technology Department. Both documents are under senior staff review. Target Date: Jun-2023 (Delayed From: Jun-2020)</p>
<p>#19-07 Procurement Cards</p> <p>#05 We recommend Finance work with Office Depot to review past pricing and purchasing data to determine and ensure the City received:</p> <ul style="list-style-type: none"> a) Discounts on non-contracted items; b) Appropriate rebates, including those based on the sales of "piggybacked" cities; and c) Appropriate pricing under the terms of the agreement. 	FIN	Partly Implemented	<p>Finance has reviewed with Office Depot past City pricing and purchasing data for contracted items and has reached a settlement of \$63,000 with Office Depot to account for missed discounts and unpaid rebates on these items. Due to staffing challenge at both the Department and Office Depot, as well challenges arising from the COVID-19 pandemic, the Department has not yet been able to review pricing and purchasing data for non-contracted items or confirm rebates for "piggybacked" cities. Target Date: Jun-2023 (Delayed From: Jun-2020)</p> <p>Potential Budget Savings: At the time of the audit, we estimated the City may have lost out on at least \$176,00 in savings.</p>
<p>#19-07 Procurement Cards</p> <p>#07 The Finance Department should:</p> <ul style="list-style-type: none"> a) Include in its department p-card coordinator training expectations about on-going monitoring of p-card purchases to ensure that departments are appropriately utilizing Citywide and department-specific open purchase orders when applicable; b) Work with the Information Technology Department to ensure that related purchase order information is available in all browsers, or that purchase orders specifically clarify that the related information is only available through Internet Explorer Browsers. 	FIN / IT	Partly Implemented	<p>Finance is including in its p-card training sessions the expectation that departments use Citywide and department-specific open purchase orders when applicable and practical. The Department will incorporate this expectation within its revised p-card policy or administrative guidelines. Both documents are under senior staff review. The Department has published instructions to help City staff view complete purchase order information on all internet browsers. Target Date: Jun-2023 (Delayed From: Jun-2020)</p>

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#19-07 Procurement Cards</p> <p>#09 PRNS should develop procedures for p-card usage that include:</p> <ul style="list-style-type: none"> a) A review of p-card usage to reevaluate the operational necessity of individual staff having a p-card and cancel p-cards if not necessary, b) Guidelines to establish the business need for purchases, including for food and beverages used for events or programs, c) Providing expectations for tracking and securing high-value items purchased with p-cards, d) Ensuring staff are using available purchase orders for food and beverage purchases, e) Developing guidelines surrounding the purchase of gift cards that set expectations on dollar limits, usage, and supporting documentation, and f) Ensuring that p-card payments are made in a timely manner. 	PRNS	Partly Implemented	<p>Part e) of the recommendation has been implemented. For the other elements of the recommendation, the Department reports using draft standard operating procedures (SOP's) for each, including: 9a) "Assessing Operational Necessity for P-Card Issuance and Limits"; 9b) "Guidelines for Using P-Cards for Food & Beverage Purchases"; 9c) "Guidelines for High-value Asset Inventory Tracking"; 9d) "Guidelines for Using Food & Beverage Purchase Orders"; and, 9f) "P-Card Payment Processing Submission Procedures/Timelines." Next steps include reviewing and validating the SOP's with PRNS executive staff to finalize implementation. With that, staff plans to post the SOP's on SharePoint for general reference. Target Date: Dec-2022 (Delayed From: Mar-2022)</p>
<p>#19-08 Street and Utility In-Lieu Fees</p> <p>#05 To ensure that the City's utility undergrounding fee is a fair estimate of the cost of utility undergrounding projects, Public Works should reassess the utility undergrounding in-lieu fee.</p>	PW	Partly Implemented	<p>In December 2021, staff adjusted the undergrounding fee to \$574 per linear foot of frontage, based on the City Average Construction Cost Index. While staff had anticipated updating the undergrounding fee based on recent project costs, staff report the two undergrounding projects were delayed due to the COVID-19 pandemic, unforeseen utility congestion, and design issues. Staff anticipates the subject projects to be completed by January 2023. This will provide cost data to be compared to the current fee to determine if an adjustment is required. Target Date: Feb-2023 (Delayed From: Jun-2021)</p>
<p>#19-10 Technology Deployments</p> <p>#06 In order to ensure that complex technology projects are adequately managed:</p> <ul style="list-style-type: none"> a. Departments should work with the City's Portfolio-Product-Projects Office (C3PO) to evaluate internal project management capacity within the project chartering process. b. If internal capacity is lacking and the project needs to use a consultant project manager, departments should identify staff at the beginning of the process to monitor and assess consultant performance and tie expenditures to overall project progress. c. Require consultant project managers to report project progress on a regular basis to an appropriate governing body (e.g., the executive steering committee). 	IT	Implemented	<p>The Technology Management and Deployments Policy (1.7.2) requires City departments to work with the City's Portfolio-Products-Projects Office (C3PO) to evaluate internal project management capacity within the project chartering process. The hiring and oversight of consultant project managers must involve the Chief Information Officer or their designee and consultant payments must be tied to overall project progress. Lastly, the policy requires the products-projects manager and C3PO to report project progress, with status reports produced on at least a quarterly basis, with a more frequent cadence based on the impact and criticality of a specific project. One consultant products-projects manager has been hired since February 2020. The consultant was hired with C3PO Division Manager oversight. The consultant reports regularly to the 3PO Division Manager and project team. The consultant also updates the external project reporting dashboard (refer to Recommendation #9(c)) on a bi-weekly basis.</p>

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#19-10 Technology Deployments</p> <p>#07 To limit loss of knowledge when key project staff leave the City, the Administration should develop procedures to require project staff Citywide to document (potentially using a shared platform) key technology deployment decision points, which include:</p> <ul style="list-style-type: none"> • Approval of specifications • Product customizations and their approvals • Progress against project plans • Changes to agreed-upon features • Key communications with the vendor 	IT	Partly Implemented	<p>The Technology Management and Deployments Policy (1.7.2) has been signed and posted. The policy requires project charters and amendments, key communications and approvals, and status reports to be documented by the Products-Projects Manager. This documentation must be stored in the project's SharePoint directory, which is linked in the project charter and must be accessible to all assigned City staff and vendor staff. Approvals, customizations, progress reports, agreed-upon changes and key communications with vendors are archived and searchable in these SharePoint directories. All major decision changes are also captured in a charter amendment for projects as needed, which is stored in multiple locations on SharePoint. ITD anticipates this recommendation to be implemented once Products-Projects Managers are consistently archiving decision points and documenting agreements within SharePoint. Target Date: Oct-2022 (Delayed From: Feb-2020)</p>
<p>#19-10 Technology Deployments</p> <p>#09 For transparency on the status of technology projects above a certain threshold of complexity, dollar value, or public impact, the Administration should develop guidelines to:</p> <ol style="list-style-type: none"> Require regular and detailed reporting to the appropriate Council Committee(s). Include budget and time metrics, as well as deviations from original estimates in reporting Create a dashboard, or other online tool, to track and publicly display the progress of key technology projects, incorporating metrics that are critical to the success of the deployment. 	IT	Partly Implemented	<p>According to ITD, high-level reporting with status to the Smart Cities and Services Committee occurs every other month. A more detailed reporting, including budget and time metrics, is on an internal dashboard that is visible to all City employees and elected officials. A PDF export of this dashboard is created and publicly available on the City's website, updated for every two-week sprint cycle. ITD anticipates this recommendation to be implemented after the public dashboard format is updated to focus on public facing projects and simplified details. ITD plans to include details based on input from Smart Cities and Services Committee and staff, as well as details highlighting the public benefit of projects. Target Date: Oct-2022 (Delayed From: Mar-2021)</p>
<p>#20-02 Fleet Maintenance and Operations</p> <p>#02 To help manage fleet asset levels and the allocation of fleet assets, Public Works should update the City Policy Manual 1.8.1 to:</p> <ol style="list-style-type: none"> Adjust or establish minimum utilization standards for all fleet assets, Require annual utilization reviews to identify underutilized assets, and Include procedures on coordinating utilization reviews with City departments and the use of underutilized assets, such as transferring underutilized assets to the Citywide motor pool, disposing them, or reallocating them as appropriate. 	PW	Partly Implemented	<p>Public Works is currently working on updating the policy, and plans to have the updates completed, reviewed, and approved by November 2022. Target Date: Jan-2023 (Delayed From: Mar-2022)</p> <p>Potential Budget Savings: At the time of the audit, we identified \$160,000 in work orders generated in FY 2018-19 from fleet assets identified as potentially underutilized.</p>

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#20-02 Fleet Maintenance and Operations</p> <p>#03 In the context of overall budget priorities, Public Works should work with the Budget Office to develop short- and long-term staffing strategies to achieve desired performance results, that may include:</p> <ul style="list-style-type: none"> a) Further use of the rehire retirees program, b) Use of contractual services for additional repair types or asset classes, and/or c) Additional overtime opportunities for current staff. 	PW/ CMO	Partly Implemented	While the FY 2022-23 Adopted Operating budget includes 2 Equipment Mechanic Positions to support shop operations, Public Works continues to use the rehire retiree program and contractual services to help offset staffing shortages. The Budget Office and Public Works report that more substantial staffing additions were contemplated before the onset of COVID-19. They also report that a long-term staffing strategy will be revisited during the development of the FY 2023-24 budget development process, though implementation of the plan will be subject to resource constraints and other competing City priorities. Target Date: Jul-2023 (Delayed From: Dec-2021)
<p>#20-02 Fleet Maintenance and Operations</p> <p>#04 To improve Citywide preventive maintenance (PM) compliance, Public Works' Fleet Division should:</p> <ul style="list-style-type: none"> a) Work with departments to confirm point of contacts for PM notifications and complete implementation of the automated PM notifications, b) Establish a Citywide PM compliance target, as well as internal PM compliance targets for departments/asset classes, and c) Implement a PM compliance incentive program, that could include expansion of the fuel shut-off program for noncompliant assets that meet criteria identified by the Fleet Division, or including departmental PM compliance performance into the fleet replacement prioritization process. 	PW	Partly Implemented	Public Works has implemented automated emails for preventative maintenance notifications, and is working with its vendor to create dashboards that will help the Department as well customer departments monitor preventative maintenance compliance. Target Date: Jun-2023 (Delayed From: Dec-2021)
<p>#20-02 Fleet Maintenance and Operations</p> <p>#05 To improve communication with other City departments, Public Works' Fleet Division should develop and implement procedures for communicating:</p> <ul style="list-style-type: none"> a) Asset unavailability and expected turnaround times for when assets are taken in for service, b) Updates for when there are delays because of staffing or the need to order parts, and c) The work that was completed in a work order. 	PW	Implemented	Public Works has created a customer portal within its fleet management system that allows City departments to view fleet work order status, including the work performed and reasons for any delay. The Department reports that it also continues to hold check-in meetings with City departments.
<p>#20-02 Fleet Maintenance and Operations</p> <p>#06 Public Works' Fleet Division should pilot an electronic work order intake process using AssetWorks to increase efficiency and remove duplication of efforts.</p>	PW	Partly Implemented	According to Public Works, this recommendation has been delayed due to an internal update of "labor tasks" in the fleet database and a shortage of funding to purchase handheld devices. Fleet plans to pursue the testing of electronic intake of work orders and testing of handheld devices for frontline staff. Target Date: Jan-2023 (Delayed From: Sep-2021)

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#20-02 Fleet Maintenance and Operations</p> <p>#07 To enhance performance monitoring and inform resource allocation decisions, Public Works' Fleet Division should develop internal performance measures and reports to monitor availability of specific assets at the department level.</p>	PW	Partly Implemented	Public Works reports it is in the final stages of development with its asset management vendor for analytics module for production. Once completed Fleet will reach out to department contacts to set up access and training within new module. Target Date: Jan-2023 (Delayed From: Mar-2022)
<p>#20-02 Fleet Maintenance and Operations</p> <p>#08 To enhance accountability and transparency, Public Works' Fleet Division should develop and report on performance measures on work order timeliness.</p>	PW	Partly Implemented	Public Works reports it continues to work with its asset management vendor to create dashboards to help monitor work order timeliness. Target Date: Mar-2023 (Delayed From: Jan-2022)
<p>#20-02 Fleet Maintenance and Operations</p> <p>#09 To support consistent data entry and reporting, Public Works' Fleet Division should create procedures around:</p> <ul style="list-style-type: none"> a) Classification of repair reason IDs in AssetWorks, b) Data entry of work orders and contracted services work orders, and c) Pulling reports on active assets, preventive maintenance compliance, vehicle utilization, work orders, and/or others as necessary. 	PW	Partly Implemented	Public Works reports they have performed several upgrades to how labor is captured in the fleet database and finished a clean up of labor tasks. Staff is currently drafting Standard Operating Procedures (SOP) to be approved prior to staff training. Target Date: Jun-2023 (Delayed From: Dec-2021)
<p>#20-02 Fleet Maintenance and Operations</p> <p>#12 Public Work's Fleet Division should develop performance targets related to the timeliness of fleet asset purchases and actual costs of acquisitions against budgeted funds. Performance against those targets should be reported in the department's Fleet Management Annual Report.</p>	PW	Not Implemented	Public Works reports that it has been unable to start working on this recommendation because of global supply chain issues, which has resulted in nearly all vehicle purchases schedule for FY 2021-22 to be carried forward to FY 2023-24. Target Date: Jan-2024 (Delayed From: Jun-2022)
<p>#20-02 Fleet Maintenance and Operations</p> <p>#13 To better allocate the costs of the maintenance and replacement programs, Public Works' Fleet Division should:</p> <ul style="list-style-type: none"> a) Track staff hours for the fleet acquisition process, and b) Charge City departments separate labor rates to recover the staff costs for (1) maintenance services and (2) acquisitions and build-outs of new or replacement assets. 	PW	Partly Implemented	Public Works reports it has finalized costs associated with procurement of vehicles and equipment and intends to provide data to partner departments for budget consideration in FY 2023-24. The Department has confirmed dual labor charge functionality within its database and can move forward in FY 2023-24. Target Date: Jun-2023 (Delayed From: Jun-2022)

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#20-03 Audit of Fire Development Services</p> <p>#03 To make it easier for customers to navigate the permitting process, the Bureau of Fire Prevention should update the website such that information is current and organized by discipline or customer type, and create simplified, concise resources for customers, similarly by discipline or project type.</p>	FIRE	Partly Implemented	The Bureau of Fire Prevention is working on a comprehensive website design and update to provide organization based on discipline. Staff report that the website will incorporate links to the permit submittal landing page, specific project guidance documents, Fire Department related ordinances, and the contact numbers for additional questions and project related assistance. Target Date: Jun-2023 (Delayed From: Aug-2022)
<p>#20-03 Audit of Fire Development Services</p> <p>#04 The Bureau of Fire Prevention should pilot an option for customers to schedule combination inspections, such that staff trained in multiple disciplines (i.e., alarms, sprinklers, life safety) can inspect multiple systems at one time.</p>	FIRE	Partly Implemented	The Bureau of Fire Prevention initiated the cross-training of existing inspectors to provide and perform multiple discipline inspections (i.e., alarms, sprinklers, life safety). Staff have also investigated the process to initiate the pilot option for combined inspection scheduling. After the scheduling option is created and implemented, staff report that there will be a 6-month evaluation period to determine if this is a useful customer tool. Based on discussions with project applicants, staff report that there does not appear to be a high need as sprinkler, alarm, and fire safety inspections are handled by different contractors and coordination is not standard. However, there may be some interest in multi-discipline inspections for smaller projects such as ADUs. Target Date: Jun-2023 (Delayed From: Jun-2021)
<p>#20-03 Audit of Fire Development Services</p> <p>#06 To ensure inspection time is used efficiently, the Bureau of Fire Prevention should develop policies to address unprepared customers, such as:</p> <ul style="list-style-type: none"> a) Incentivizing customers to cancel appointments when they are not prepared by piloting a reduced cancellation fee, and b) Clarifying expectations for when staff should leave a site that is not ready for full inspection. 	FIRE	Partly Implemented	<p>a) Bureau of Fire Prevention continues to use a pre-inspection procedure that evaluates site readiness and provides information on the Fire Department's "no fee" inspection cancellation. The current process allows for an applicant to cancel 48-hours prior to the inspection without a cancellation fee. The Bureau is exploring the feasibility of revising the fee schedule as a pilot study. Cancellations more than 5 days prior would have no fee; cancellations within 5 days to 48 hours prior would have a reduced fee.</p> <p>b) The Bureau of Fire Prevention has developed new guidelines which include requirements for when to cancel, fail, or partially pass an inspection along with a report tracking inspectors' compliance with these guidelines. The Bureau has modified their policies and procedures with the assistance of newly available reports. Staff are in the process of using this report to assess inspector performance and determine if additional training is necessary. Target Date: Dec-2022 (Delayed From: Jun-2021)</p>

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#20-03 Audit of Fire Development Services</p> <p>#07 To improve customer service, the Bureau of Fire Prevention should implement a more efficient and customer friendly scheduling process, that may include:</p> <ul style="list-style-type: none"> a) Developing an online scheduling system, potentially with limits on how far out inspections can be scheduled, b) Posting any limits on inspection scheduling along with expected wait times (for when new inspection slots are available) online, and c) Resolving call routing issues between the PBCE call center and Fire Development Services Division. 	FIRE	Partly Implemented	<p>The Department reports that staff continue to work with the Information Technology Department's Transformation Team Steering Committee to prioritize the online inspection scheduling module. The Bureau of Fire Prevention has established inspection scheduling limits when inspection times are impacted to prevent an applicant from reserving an entire week of inspections. By March 2022, a new phone tree for the Planning, Building and Code Enforcement Department's call center was implemented. One of the goals was to streamline the process for inspection scheduling and general questions for the Bureau. Staff report that further adjustments were made to the messaging that reduced call wait times and allowed returning customers to skip the recorded messages. Target Date: Jun-2023 (Delayed From: Aug-2022)</p>
<p>#20-03 Audit of Fire Development Services</p> <p>#12 The Fire Department should work with the Information Technology Department to:</p> <ul style="list-style-type: none"> a) Create reports or a dashboard tool utilizing AMANDA attempt data to show the number of plans pending review, under review, awaiting resubmittal, and staff assignments, and b) Implement a mechanism to identify unscheduled inspections within AMANDA to better track and manage inspections scheduling. 	FIRE / IT	Partly Implemented	<p>The Bureau of Fire Prevention worked with the Information Technology Department (ITD) to create plan review and inspection reports. The plan review report uses data from AMANDA to identify the number of projects submitted and the current project process status (intake, review, resubmittal) The inspection reports identify the permit issuance date, inspection attempts, results, and remaining fee balance as an indicator of potential inspection hours remaining for each project. The Bureau is currently working with the ITD to create report summaries using the data to provide a viewable snapshot for planning purposes in efforts to better track and manage unscheduled inspections. Target Date: Jan-2023 (Delayed From: Jun-2022)</p>
<p>#20-03 Audit of Fire Development Services</p> <p>#13 The Fire Department should revise its calculation of the fire inspection cycle time measure to reflect the time from when an inspection was requested until when the inspection occurred, and revise its target, as appropriate.</p>	FIRE	Partly Implemented	<p>Staff report receiving monthly status reports that provide information regarding inspections. Staff further report working to establish criteria to make changes to performance measures that better evaluate the Bureau's work processes. Target Date: Jun-2023 (Delayed From: Jul-2022)</p>
<p>#20-03 Audit of Fire Development Services</p> <p>#14 The Fire Department should review the methodology of its calculations of the number of plan reviews and the percent of time that plan check processing time targets are met, and should reset targets, as appropriate.</p>	FIRE	Partly Implemented	<p>Staff report receiving monthly status reports that provide information regarding plan reviews. Staff further report working to establish criteria to make changes to performance measures that better evaluate the Bureau's work processes. Target Date: Jun-2023 (Delayed From: Jul-2022)</p>

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#20-04 Park Maintenance</p> <p>#01 To ensure the Park Condition Assessment is complete, accurate, and useful for monitoring changes in parks, PRNS should:</p> <ul style="list-style-type: none"> a) Develop a standardized list of parks and park features for measuring and analyzing park condition, b) Regularly update this list as new parks and features are added or are closed, and c) Use this standardized list for the annual Park Condition Assessment on an ongoing basis. 	PRNS	Implemented	<p>The Department has reviewed the list of sites in its inventory list and removed parks which are not maintained by staff or the small parks landscape maintenance contractor; the remaining list of sites to assess will be reviewed annually as part of the PCA process and loaded/updated in the recently developed mobile PCA tool. The parks that were removed from the PCA list continue to receive regular inspections but do not reflect maintenance work efforts. The park features to be measured are listed in the Department's Park Maintenance Standards established in April 2021. The Department has approved a Park Condition Assessment (PCA) general procedure, which governs the annual PCA process and uses the Park Maintenance Standards.</p>
<p>#20-04 Park Maintenance</p> <p>#02 PRNS should develop policies surrounding use of Park Condition Assessment scores to strategically address low-scoring parks and features, and utilize allocated funding to make improvements in a timely manner.</p>	PRNS	Implemented	<p>The Department has finalized a procedure called "Strategic Utilization of Information from PCA Scores and Community Health Indicators for Equitable Resource Allocation for Park Maintenance Improvements." The procedure prioritizes low-scoring parks by placing them on park districts' work plans. Additionally, low-scoring parks will be prioritized for resources such as Volunteer Management Unit events and specialized funding. PRNS reports they will start using the procedure with Summer 2022 PCA scores.</p>
<p>#20-04 Park Maintenance</p> <p>#04 To ensure appropriate allocation of capital resources for park improvements in Council Districts and help prioritize capital budgeting, PRNS should:</p> <ul style="list-style-type: none"> a) Develop separate maintenance and capital/infrastructure Park Condition Assessment scores, and b) Use the capital/infrastructure Park Condition Assessment scores in the Construction and Conveyance Tax Fund allocation formula. 	PRNS	Partly Implemented	<p>The Department developed a maintenance-specific PCA process, based on Park Maintenance Standards established in April 2021, and conducted a pilot capital infrastructure assessment in 2021. Staff report that the 2021 capital infrastructure data was input into the Construction and Conveyance Tax Fund allocation formula for the 2022 allocation of funds. According to the Department, staff intends to continue developing these processes based on the piloting of new and separate maintenance and capital infrastructure PCA processes, with an intention of incorporating additional capital infrastructure results into the Construction and Conveyance Tax Fund allocation formula for the FY 2023-24 capital budget development process. Target Date: Aug-2023</p>
<p>#20-04 Park Maintenance</p> <p>#05 To ensure that data collection efforts adequately meet its needs, PRNS should:</p> <ul style="list-style-type: none"> a) Refocus data collection priorities, determine short-term and long-term data collection and data analytics goals, and set clear objectives on achieving those goals, b) Reassess the use of Infor EAM to determine if it meets those needs, and c) Develop an ongoing training program for staff to ensure that data entry is consistent and accurate and meets its business goals. 	PRNS	Not Implemented	<p>The Department reports hiring a Business Intelligence Manager, filling a key position that had been vacant since the audit. With this position filled, the Department has begun to evaluate what data are necessary for maintaining the new Park Maintenance Standards and goals for data collection. Staff has also received a demonstration of Infor EAM, and will explore other software options that allow for capital infrastructure lifecycle management. The Department intends to design a comprehensive training program for its data collection software including an annual recertification program to ensure correct staff use. Target Date: Jun-2023 (Delayed From: Jan-2022)</p>

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#20-04 Park Maintenance</p> <p>#06 To manage performance and analyze workload, PRNS should develop completion goals for corrective work orders and track performance against those goals.</p>	PRNS	Implemented	The Department has approved a Corrective Work Orders standard operating procedure that defines the process and completion targets for corrective work orders. Staff are expected to complete health and safety and critical repairs within their 24 hour and three-day timeframes, respectively, 100 percent of the time. Staff are expected to complete all other repairs within their timeframe 75 percent of the time. According to the Department, progress towards these goals will be reported in monthly status reports sent to relevant staff.
<p>#20-04 Park Maintenance</p> <p>#07 To ensure that staffing is appropriately and equitably distributed across Park Districts, PRNS should review and realign current staffing based on workload, such as type of park, acreage, park conditions, and other factors as appropriate.</p>	PRNS	Partly Implemented	The Department reorganized the Parks Division in July 2020, which created a "Destinations, Events and Sports" unit with core maintenance teams that is separate from neighborhood and regional park maintenance. In July 2022, the Department further reorganized the Parks Division, creating centralized teams for mowing and irrigation repair work. According to PRNS, this reorganization brings together staff who perform similar duties for efficiency through economies of scale. With the centralization complete, staff report that they have begun a long-term project to analyze park maintenance asset and performance data, which will enable staff to incorporate factors beyond acreage and amenities in the distribution of staff and resources across park districts. Target Date: Dec-2022 (Delayed From: Dec-2021)
<p>#20-04 Park Maintenance</p> <p>#08 PRNS should work with the City Attorney's Office to formalize an agreement with the Santa Clara County Sheriff's Office governing the Weekend Work Program, Public Service Program, and other similar donated labor arrangements.</p>	PRNS	Closed	The Department contacted staff with Santa Clara County Sheriff's Office about formalizing an agreement for donated labor such as the Weekend Work Program, and was told by County staff that it does not wish to engage in an agreement with the City at this point. This recommendation is considered closed as Department staff have no ability to formalize an agreement without County support.
<p>#20-04 Park Maintenance</p> <p>#09 PRNS should develop a formal process to track and reconcile its larger equipment and vehicles and improve internal coordination of vehicle purchases and asset management.</p>	PRNS	Partly Implemented	As part of the FY 2022-23 Adopted Operating Budget, the Department added an Automotive Equipment Specialist to coordinate the Department's equipment and vehicle fleet tracking, purchasing, and oversight. PRNS reports that the specialist will be responsible for completing a standardized operating procedure for tracking and reconciling the Department's larger equipment and vehicles. Target Date: Dec-2023 (Delayed From: Jun-2022)
<p>#20-04 Park Maintenance</p> <p>#11 To reduce travel time, PRNS should reassess routes with consideration for traffic peak times, park locations, and staffing.</p>	PRNS	Partly Implemented	The Department is in the process of shifting the park district that serves North San José from the Central Service Yard to the Guadalupe River Park Service Yard to shorten drive times for staff in that district. Department staff are coordinating with staff in the Department of Transportation to obtain average daily traffic data to plan routes according to local traffic patterns, and continue looking to software solutions for route optimization in light of existing resources. Target Date: Dec-2022 (Delayed From: Dec-2021)

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#20-04 Park Maintenance</p> <p>#13 PRNS should assess language access needs for parks in areas with higher concentrations of limited English speaking households and provide information and resources in multiple languages in those areas.</p>	PRNS	Partly Implemented	The Department reports that new park signs in every upcoming capital project have multilingual text in English, Spanish, and Vietnamese. Worn out signs and other park materials are also being updated in multiple languages upon request through the Department's communications team, on an ad hoc basis. Replacing all existing signage requires a dedicated budget and staffing to produce park signage guidelines, similar to the Trail Signage Guidelines, which the Department is currently exploring. Target Date: Jun-2023
<p>#20-05 Development Partners' Work-in-Progress Reserves</p> <p>#01 To better assess workload and resources, Planning, Building and Code Enforcement's Planning Division should develop and implement procedures to track the work in progress on current development projects, based on staff hours worked, milestones, or some other metric.</p>	PBCE	Partly Implemented	PBCE reports the Planning Division has created the structure and requirements for the work in progress report but continued staffing limitations has paused the development of this report. With the completion of other information technology projects, the expectation is that this work could resume in FY 2022-23. Target Date: Oct-2023 (Delayed From: Sep-2021)
<p>#20-05 Development Partners' Work-in-Progress Reserves</p> <p>#02 To better assess workload and resources, Public Works Development Services Division should develop and implement procedures to track the work in progress on current development projects, based on staff hours worked, milestones, or some other metric.</p>	PW	Partly Implemented	Public Works has developed procedures for time tracking in AMANDA for engineering and inspection staff. The Department has begun monitoring and reporting from this time tracking, and intends to correlate the time tracked with funds spent. As Public Works reports, time tracking and data collection is ongoing. Public Works intends to continue to coordinate between departments and development milestones to estimate current work in progress. Target Date: Jun-2023 (Delayed From: Jun-2020)
<p>#20-05 Development Partners' Work-in-Progress Reserves</p> <p>#04 To ensure that the Development Partners have adequate funding to support their development work, Public Works, the Fire Department, and Planning, Building and Code Enforcement should work with the Budget Office and the City Attorney's Office to develop reserve policies or guidelines around the appropriate uses of funds, including work-in-progress reserves.</p>	CMO / PW / PBCE / FIRE / CAO	Partly Implemented	The Administration has made progress by creating individual budgeted funds for each of the development fee programs. This recommendation is partly implemented because the Administration has not implemented a new process to account for the work-in-progress reserves. The City Manager's Budget Office, Finance Department, City Attorney's Office, and the Development Services partners plan to meet to discuss and develop a process following the development of work-in-progress reports from Planning, Public Works, the Fire Department, and the Finance Department. Target Date: Oct-2023 (Delayed From: Sep-2021)
<p>#20-05 Development Partners' Work-in-Progress Reserves</p> <p>#05 To properly account for development fee revenues, the Finance Department should work with the City's external financial auditor to determine the proper accounting treatment of development fee revenues that have been collected for projects still in progress.</p>	FIN	Partly Implemented	Progress has been made on the accounting treatment for work-in-progress Development Fees, but completion of this recommendation is dependent on the completion of recommendations 1, 2, and 3 from this audit. Following the development of the work-in-progress reports for the Development Services partners, the Finance Department will be able to make progress on implementing the new treatment. Target Date: Oct-2023 (Delayed From: Dec-2021)

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#21-01 Police Staffing, Expenditures, and Workload</p> <p>#01 To better meet Priority 1 and 2 response times goals and address past staffing reductions, the Police Department should add sworn officers to field patrol in the context of the Department's and City's overall budget.</p>	PD	Implemented	The Administration has begun to address Department staffing and has developed a staffing plan for the near future. In FY 2022-23, the Police Department increased the number of police officers from 907 in 2021-22 to 927. Total staffing in the department also increased from 1,717 in FY 2021-22 to 1,740 in FY 2022-23. Additionally, in June 2022, the City Council approved an annual addition of 15 positions (a mix of sworn and civilian) in the Police Department including a committed addition to future Five-Year General Fund forecasts. However, the Department did not meet its Priority 1 and 2 call response time targets in FY 2021-22. Specifically, in FY 2021-22, the Priority 1 response time was 7.12 minutes (target 6 minutes) and Priority 2 response time was 22.8 minutes (target 11 minutes). Though this continues to be a concern, we recommend closing this recommendation because of the addition of new staff and the commitment for future additions.
<p>#21-01 Police Staffing, Expenditures, and Workload</p> <p>#02 To optimize police staffing, the Police Department should include an analysis of alternative schedules either in its current redistricting work or in a separate study, and report to the City Council on the results of the studies.</p>	PD	Not Implemented	The Department is currently working on issuing an RFP for consultant services to start the analysis for redistricting and intends to include the analysis of alternative work schedules based on redistricting recommendations as part of this process. Target Date: Jun-2024 (Delayed From: Jun-2023)
<p>#21-01 Police Staffing, Expenditures, and Workload</p> <p>#03 To determine the most suitable approaches for responding to certain types of calls, the Police Department should:</p> <ul style="list-style-type: none"> a. Begin tracking calls that may benefit from an alternative response, such as incidents involving individuals experiencing homelessness or individuals with disabilities. b. Determine whether some of the responses can be diverted to non-sworn staff or coordinated with other City departments or agencies. 	PD	Partly Implemented	The Department reports that it implemented a technology solution to track calls for service related to unhoused individuals and those with perceived disabilities. Once the data for one year is available, the Department plans to analyze and evaluate it further. Target Date: Jun-2023
<p>#21-01 Police Staffing, Expenditures, and Workload</p> <p>#04 To ensure that targets for community policing address Council and community priorities, the Police Department should develop a long-term community policing strategy that describes how performance targets address those priorities and work with the City Administration to identify consistent sources of funding for priority community policing positions, such as foot patrol.</p>	PD	Not Implemented	The Department reports that it plans to evaluate community policing opportunities through a consultant (which has not currently begun). However, the Department did add sworn staffing in the FY 2022-23 budget, and the City Council approved MBA #41 which included committed annual additions of Police Department resources of up to 15 positions (mix of sworn and non-sworn). Target Date: Jun-2024 (Delayed From: Jun-2023)

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#21-01 Police Staffing, Expenditures, and Workload</p> <p>#05 To limit the risk of fatigue and more evenly distribute overtime hours across the department, the Police Department should:</p> <ul style="list-style-type: none"> a. Enforce existing limits on total overtime hours worked in a day, week, and year, including which types of overtime can be worked beyond these limits. b. Update eResource to ensure all prescheduled and biddable overtime assignments are captured in the system. c. Develop a policy to address frequent violations of Duty Manual specified overtime weekly limits. 	PD	Partly Implemented	<p>On May 19, 2021, the Department issued Memorandum #2021-015 titled "Overtime Controls." This memorandum limited overtime to that which is absolutely mandatory and unavoidable. The memorandum further clarified that no discretionary overtime would be allowed and that all overtime is subject to management review. All Captains and Division Managers are required to submit a memorandum quarterly to the Chief Executive Officer justifying the use of overtime. The Department has updated eResource to include most biddable and prescheduled overtime and intends to continue to update it on an ongoing basis. However, the Police Department's overtime expenditures continue to be high and were over \$47 million in FY 2021-22. Overtime hours worked also continue to be high--over 500,000 hours. We will continue to follow-up to determine whether the new controls appropriately address use of overtime above allowed limits and duty manual violations. Target Date: Dec-2022 (Delayed From: Jun-2022)</p>
<p>#21-01 Police Staffing, Expenditures, and Workload</p> <p>#06 To ensure that supervisory staff can better assess the purpose and appropriateness of overtime use, the Police Department should:</p> <ul style="list-style-type: none"> a. Clearly define types of overtime considered mandatory and discretionary, including when follow up and report writing should be conducted on overtime. b. Develop guidelines for documenting Captain approval of discretionary overtime. c. Update internal procedures and train staff on how to log discretionary, mandatory, or voluntary overtime type codes in their timecards. 	PD	Partly Implemented - Priority	<p>The Department issued a memo, Memo #2021-015, which outlines overtime controls for the Department and new requirements that include Captains and Division Managers to report out on the use of overtime in their division on a quarterly basis. The Department states that it will continue to review overtime, including how it is being used, review its overtime policies in consideration of the current staffing issues, and develop a plan that considers policy changes, clarification of discretionary and mandatory overtime, consistent messaging, training for staff, and management review. The Department also reports that it will be developing timecard training for line staff and supervisors on how to log discretionary, mandatory, or voluntary overtime type codes in their timecards. Target Date: Jun-2023 (Delayed From: Jun-2022)</p> <p>Potential Budget Savings: With greater controls and approval over overtime for discretionary time (e.g., admin, report writing, training, and follow up), we estimate savings of \$1,147,350 if such overtime was reduced by 7.5 percent.</p>
<p>#21-01 Police Staffing, Expenditures, and Workload</p> <p>#07 To ensure transparency, the Police Department should clarify which overtime assignments can be worked for pay or compensatory time and review and update the Memorandum of Agreement and/or General Orders, as appropriate.</p>	PD	Not Implemented (Subject to meet and confer)	<p>The Department has not begun work on this recommendation. Target Date: Dec-2022 (Delayed From: Dec-2021)</p>

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#21-01 Police Staffing, Expenditures, and Workload</p> <p>#08 To enhance budgetary transparency and increase the controls surrounding compensatory time liability, the Police Department should pursue at least one or a combination of the following:</p> <ul style="list-style-type: none"> a. Work with the Budget Office to develop a reserve for future compensatory time liability, similar to sick leave pay out liability. b. Regularly report in the bimonthly financial reports to the Public Safety Finance and Strategic Support Committee, the Mid-Year Budget Review, and/or the City Manager's Annual Report: (1) the amount of overtime expenses attributable to staff that have reached the 480-hour compensatory accrual limit, (2) number of individuals who have reached both the 480-hour and 240-hour limits, and (3) the total compensatory time liability. c. Assess options to prioritize the use of compensatory time over vacation leave. 	PD	<p>Partly Implemented</p> <p>(Subject to meet and confer)</p>	<p>a. There is currently no reserve for compensatory time liability</p> <p>b. The compensatory time liability and the number of personnel with compensatory time of between 240 and 480 hours and staff that have reached the maximum allowable 480 hours is reported in the Bi-monthly Financial Report to the Public Safety, Finance and Strategic Support Committee. This report also documents the excess compensatory time payouts to personnel that have over 480 hours compensatory time balances. Compensatory time balances continue to be high and have been increasing. The compensatory time liability as of August 2022 was \$24 million, and compensatory time hours totaled 354,000 hours. In FY 2021-22, excess compensatory time payout was over \$18 million (from 237,000 hours).</p> <p>c. There is no progress reported on assessing options to prioritize compensatory time over vacation time. Target Date: Jun-2023 (Delayed From: Jun-2021)</p> <p>Potential Budget Savings: If the City were to reduce half of the comp time balances above 240 prior to the next agreed upon pay increase, we estimate the City could save \$222,000.</p>
<p>#21-01 Police Staffing, Expenditures, and Workload</p> <p>#09 To supplement sworn police services and manage overall workload challenges in the department, the Police Department should:</p> <ul style="list-style-type: none"> a. In the context of the overall budget, add more Community Service Officers (CSOs) to address Priority 3 and 4 incidents, and b. Develop guidelines to ensure more equitable distribution of CSOs across districts, such that districts with higher workloads receive appropriate coverage. This may include redistributing workload and assignments as vacancies occur. 	PD	<p>Partly Implemented</p>	<p>In November 2021, the CSO program proposed increased CSO staffing by January 2023. The Department reports that this will be considered as part of its redistricting review. Target Date: Jun-2023</p> <p>Potential Budget Savings: We estimate savings of \$751,500 if CSOs responded to additional calls rather than sworn officers using overtime. This is dependent on future hiring of additional CSOs.</p>

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#21-01 Police Staffing, Expenditures, and Workload</p> <p>#10 To better align Department call priorities with CSO work, the Police Department should update its Duty Manual to:</p> <ul style="list-style-type: none"> a. Reassess its priority list of CSO-dispatchable calls and determine how to better utilize CSOs to address those priorities. b. Include common types of calls not currently listed in the Duty Manual, such as "Suspicious Vehicles" and "Expired Registration". c. Develop a strategy for CSO involvement in community policing, as described in the SJPd Duty Manual. 	PD	Not Implemented	The Department has not begun work on this recommendation. Target Date: Jun-2023
<p>#21-02 Advocate Referrals</p> <p>#01 To improve how the City connects survivors to advocacy services, the Police Department should update:</p> <ul style="list-style-type: none"> a) The Duty Manual to include the advocate referral communication language recommended by Santa Clara County's Sexual Assault and Domestic Violence protocols, and to reference the applicable California penal codes, b) The domestic violence resource card to clearly state that the survivor has the right to an advocate and a support person in any interview during the investigation, c) The domestic violence and sexual assault resource cards to include language that a survivor's immigration status does not affect their right to advocacy services and that these services are offered at no cost to the survivor. <p>Both the domestic violence and sexual assault resource cards should also be fully translated into Spanish and Vietnamese.</p>	PD	Implemented	<p>a) The Police Department has updated the Duty Manual, its Sexual Assault Investigation Unit standard operating procedure, and its Family Violence Unit guidelines to include advocate referral language consistent with County protocols and reference the applicable Penal Codes. b) and c) The domestic violence and sexual assault resource cards have been updated to reflect the above-mentioned recommendations, including availability in multiple languages.</p>

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#21-02 Advocate Referrals</p> <p>#04 To better understand the timeliness of referrals and utilization of advocacy services, as well as to further ensure survivors who received a referral are accounted for, the Police Department should:</p> <p>a) Work with the YWCA to determine what data should be regularly provided to the Department for domestic violence and sexual assault survivors, as well as data on the high-risk response team. This could include data on timeliness, utilization, demographics, lethality assessment score, and services provided, and</p> <p>b) Ensure the YWCA is provided a report of all domestic violence and sexual assault survivors who consented to a referral on a monthly or other regular basis.</p>	PD	Partly Implemented	<p>a) YWCA, in collaboration with the SAIU, created an online reporting and exchange of information tool. SAIU and FVU now use this tool for advocate referrals. YWCA sends SAIU a monthly list of the referrals SAIU made, which includes some demographic information as well as the timeliness of YWCA responses. SAIU and FVU both receive information on the number of survivors served by YWCA and the services provided. Additionally, FVU is starting to receive regular reports on the High-Risk Response Team's activity from YWCA. Once FVU is receiving data on the timeliness of YWCA responses, the remaining part of the recommendation will be completed.</p> <p>b) FVU sends a monthly list of survivors who answered "Yes" to the question of whether they can share the survivor's information with FVU's YWCA advocate. This list serves as a check to confirm that reports concerning all survivors are forwarded to YWCA if the survivor wishes. This part of the recommendation is completed through SAIU's use of the referral tool and FVU's monthly list that it sends to YWCA. Target Date: Dec-2022 (Delayed From: Dec-2021)</p>
<p>#21-03 Real Estate Services</p> <p>#01 To better manage the City's real estate assets, the Real Estate Services Division should work with City departments to compile a comprehensive list of real estate assets that includes department ownership and intended or actual use of the property.</p>	OEDCA	Not Implemented	<p>According to Real Estate Services (RES), they have coordinated with the Information Technology Department (ITD) and partner departments, including DOT, Finance, PRNS, Housing, ESD, and Public Works. to identify needs for an enterprise solution. This work was presented to the Smart Cities Committee. RES is working with Purchasing to put a bid out to procure the software. The Finance Department currently estimates implementation of the software within eighteen months, or January 2024. This software will give RES the foundation to compile a comprehensive database of the City's real estate assets, including department ownership and uses. Target Date: Jan-2024 (Delayed From: Dec-2022)</p>
<p>#21-03 Real Estate Services</p> <p>#02 The Real Estate Services Division should work with the Information Technology Department, the Finance Department, and other City departments to implement a database platform to better manage the City's real estate assets that includes:</p> <p>a) Property management information such as lease terms, payments, and related information,</p> <p>b) Property-related agreements or other relevant information to identify ownership or management responsibilities, and</p> <p>c) Any other information that the Real Estate Services Division deems necessary.</p>	OEDCA	Not Implemented	<p>According to Real Estate Services (RES), they have coordinated with the Information Technology Department (ITD) and partner departments, including DOT, Finance, PRNS, Housing, ESD, and Public Works. to identify needs for an enterprise solution. This work was presented to the Smart Cities Committee. RES is working with Purchasing to put a bid out to procure the software. The Finance Department currently estimates implementation of the software within eighteen months, or January 2024. This software will give RES the foundation to compile a comprehensive database of the City's real estate assets, including department ownership and uses. Target Date: Jan-2024 (Delayed From: Dec-2022)</p>

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#21-03 Real Estate Services</p> <p>#03 The Real Estate Services Division should work with other City departments to identify all vacant lands within the City's real estate portfolio, and report on that land and their intended uses to the City Council on an annual basis.</p>	OEDCA	Not Implemented	Real Estate reports that the database software platform referenced in recommendations #1 and #2 can be developed in a way that stores the information needed for annual reporting on the City's vacant land inventory. Target Date: Jan-2024 (Delayed From: Dec-2022)
<p>#21-03 Real Estate Services</p> <p>#04 The Real Estate Services Division should work with the multiple departments involved in maintenance of City properties and the Information Technology Department to:</p> <p>a) Identify business process and service integration to ensure the data in its asset management software can be cross-referenced with other departments' databases, and</p> <p>b) Coordinate with other departments to ensure the City's vacant properties are provided with ongoing maintenance.</p>	OEDCA	Not Implemented	Real Estate reports that after it has completed the buildout of the database referenced in recommendation #2, Real Estate plans to engage the Information Technology Department to build the system in a manner that allows for optimal standardization of data across City departments. Once Real Estate's software database is established, Real Estate plans to work with other departments to standardize data and facilitate cross-referencing between departments. Target Date: Jan-2024 (Delayed From: Dec-2022)
<p>#21-03 Real Estate Services</p> <p>#05 To improve San José residents' access to cellular networks, after the Real Estate Services Division completes the market rate analysis of its telecommunication fees, it should bring recommendations for a new fee schedule to the City Council for approval.</p>	OEDCA	Partly Implemented	Real Estate reports it has completed a market analysis of Telecommunications facilities and is preparing to take an updated schedule to Council in the fall of 2022. Real Estate reports coordinating with the Office of Civic Innovation and other City staff to inform the best way to structure the new fee schedule and incentivize digital inclusion benefits. Target Date: Dec-2022 (Delayed From: Jul-2022)
<p>#21-03 Real Estate Services</p> <p>#06 In order to ensure compliance with California's Surplus Land Act, the Real Estate Division should work with the City Attorney's Office to update Council Policy 7-13 and the San José Municipal Code (Chapter 4.20) and bring to the City Council for approval.</p>	OEDCA / CAO	Partly Implemented	Real Estate reports it has collaborated with the staff and the City Attorney's Office (CAO) to prepare a revised draft of Council Policy 7-13 and Municipal Code 4.20. These proposed revisions are currently under review by senior CAO staff. Real Estate plans to take an update to Council once CAO review is complete, targeting fall 2022. Target Date: Dec-2022 (Delayed From: Dec-2021)
<p>#21-04 Code Enforcement Management Controls</p> <p>#01 The Department of Planning, Building and Code Enforcement should revise the Code Enforcement Division's incident policy to include direction around courses of action (e.g., temporary reassignment, partner-use, other actions) to address instances such as:</p> <p>a) extortion or bribery attempts made to staff,</p> <p>b) serious allegations and complaints, or</p> <p>c) other instances deemed appropriate by the Administration.</p>	PBCE	Not Implemented	Code Enforcement reports that the update of its incident policy, in coordination with the Office of Employee Relations, has been delayed. While these types of instances are rare, the Department of Planning, Building and Code Enforcement understands the potential, inherent risks associated with Code Enforcement work and recognizes the importance of providing formal direction to staff on how to appropriately address criminal and/or serious allegations or complaints of employee misconduct should they occur. Target Date: Oct-2022 (Delayed From: Jun-2022)

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#21-04 Code Enforcement Management Controls</p> <p>#03 To enforce the Massage Ordinance permitting requirements, the Administration should:</p> <p>a) Create a roster of massage businesses based on active Business Tax Certificates and/or the list of certified massage therapists under the California Massage Therapy Council, and procedures to regularly update the roster, and</p> <p>b) Based on the roster of businesses, implement an outreach program to inform and educate massage businesses on the Massage Ordinance.</p>	CMO	Not Implemented	<p>Staff report the Police Department is in the process of updating and reconciling the roster of massage businesses with the California Massage Therapy Council list of certified massage therapists and the City of San José Business Tax Certificate database. Once complete, Code Enforcement and the Police Department plan to coordinate work to expand outreach efforts to the community, including but not limited to: updating departmental websites, creating a program brochure in coordination with departmental public information officers, creating an informational letter to be sent with permit renewal invoices, and holding informational workshops. Target Date: Dec-2022 (Delayed From: Jul-2022)</p> <p>Potential Budget Savings: During the audit, we found over 200 businesses with business tax certificates without massage permits. We estimated initial applications for unpermitted massage businesses would generate \$500,000 in permit fees and \$280,000 in ongoing renewal fees.</p>
<p>#21-04 Code Enforcement Management Controls</p> <p>#04 To ensure massage businesses are aware of the permit and other requirements of the massage program:</p> <p>a) The Administration should create and post on the City's website multi-lingual informational brochures that provide information regarding the massage program goals, inspection process, and penalties or fines, and</p> <p>b) The Police Department should update the massage permit application to include details on Code Enforcement's role and inspection expectations.</p>	CMO / PD	Partly Implemented	<p>Police Department staff drafted an informational brochure, but it is pending finalization with Code Enforcement and translation. Staff in the Police Department plan to update the permit application based on future coordination with Code Enforcement. Target Date: Dec-2022 (Delayed From: Jul-2022)</p>
<p>#21-04 Code Enforcement Management Controls</p> <p>#05 To ensure massage businesses renew their massage permits timely, the Police Department should establish a procedure for ensuring permitted businesses are notified when they need to renew their massage permit and the consequences of not renewing their permit.</p>	PD	Not Implemented	<p>The Police Department reports that Permits Unit staff are currently building out an online permit form and have submitted a purchase request for software to enable notifications to be sent to permit holders regarding the expiration of their permits. Staff anticipate implementation in December 2022, following a competitive procurement process. Target Date: Dec-2022</p> <p>Potential Budget Savings: At the time of this audit, we estimated initial applications for unpermitted massage businesses would generate \$500,000 in permit fees and \$280,000 in ongoing renewal fees.</p>
<p>#21-04 Code Enforcement Management Controls</p> <p>#06 To ensure appropriate follow-up on massage cases with indications of human trafficking, the Police Department should formalize the role of the Special Victims Unit's Human Trafficking team within the massage program, including the process for case referrals by the Vice Unit.</p>	PD	Implemented	<p>SJPD has approved an updated internal guideline that formalizes the role of the Special Victims Unit's Human Trafficking team within the massage program, including the process for case referrals by the Vice Unit. That guideline is part of the Unit guidelines and is to be read by all incoming staff to SVU.</p>

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#21-04 Code Enforcement Management Controls</p> <p>#07 To clarify the purpose and responsibilities in the massage program, the Police Department and Department of Planning, Building and Code Enforcement should align on and create guidance through a Memorandum of Understanding or other means of documentation, to include:</p> <ul style="list-style-type: none"> a) Massage permit program goals; b) Roles and responsibilities of the different Police Department units and Code Enforcement; c) Expectations for code inspections upon application, renewal, and/or regular compliance; d) Protocols for how and when the Vice Unit should inform the Code Enforcement inspector and Code supervisor of investigatory activities; and e) Criteria and procedures for case referral between Code Enforcement, the Vice Unit, and the Permits Unit for businesses not in compliance with the Massage Ordinance or where there are indications of criminal activity. 	PBCE / PD	<p>Not Implemented</p> <p>-</p> <p>Priority</p>	<p>Staff in Planning, Building and Code Enforcement (PBCE) drafted a joint work plan to address the audit recommendations and related direction from Council, including the creation of an MOU or other means of documentation to outline massage program goals and departmental responsibilities between PBCE and the Police Department. Staff report that PBCE and the Police Department are in the process of finalizing that work plan and timelines for completion. Target Date: Oct-2022 (Delayed From: Aug-2022)</p>
<p>#21-04 Code Enforcement Management Controls</p> <p>#08 To mitigate risk associated with the massage program, the Police Department and the Department of Planning, Building and Code Enforcement should consider:</p> <ul style="list-style-type: none"> a) Backgrounding Code Enforcement inspectors assigned to the massage program, at a level determined appropriate by the Police Department's Background Unit, and/or b) Implementing a policy for partner use for complaint-based massage inspections and other non-routine, high-risk inspections (e.g., inspections of unpermitted businesses) for the massage program. 	PBCE / PD	Partly Implemented	<p>Planning, Building and Code Enforcement (PBCE) acquired funding in the FY 2022-23 Adopted Operating Budget for a Code Enforcement Inspector position to serve as a back-up and partner for complaint-based massage inspections and other non-routine, high-risk inspections for the massage program. However, due to high vacancies, staff report that the position has not yet been filled and that the massage program remains on hold pending implementation of this and other audit recommendations and controls. Code Enforcement reports that it has been conducting an ongoing recruitment effort and intends to restart the massage program in fall 2022. Target Date: Nov-2022 (Delayed From: Aug-2022)</p>
<p>#21-04 Code Enforcement Management Controls</p> <p>#09 To allow the Department of Planning, Building and Code Enforcement to track the permit status of massage businesses, the Police Department should grant access to the roster of permitted massage businesses to Code Enforcement.</p>	PD	Not Implemented	<p>Staff report that SJPd is in the process of updating its massage business program roster and that the Permits Unit and Code Enforcement will receive access after completion. Target Date: Dec-2022 (Delayed From: Jul-2022)</p>

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#21-04 Code Enforcement Management Controls</p> <p>#11 To aid in evaluating program performance, the Department of Planning, Building and Code Enforcement should:</p> <p>a) Establish performance measures and targets for special programs, like cannabis and massage, that relate to program goals (e.g., annual inspection targets, percentage of completed inspections based on the roster, percentage of businesses brought into compliance),</p> <p>b) Either create system-based reports for special program performance measures or establish a process to check inspector-reported data for accuracy, and</p> <p>c) Report performance measures to the appropriate City Council committee.</p>	PBCE	Not Implemented	Code Enforcement reports that staff have begun revising performance measures for the massage and cannabis programs. Upon completion of recommendations #3, #7, and #9, which relate to massage program goals and the roster of massage businesses in San José, the Department plans to further revise program performance measures and inspection targets for the massage program. Code Enforcement also plans to develop protocols for monthly system-based reporting to be completed by the program supervisor. The Administration will evaluate the appropriate Council Committee to report Code Enforcement's massage program performance measures (NSE or PSFSS) and will add the update to that committee's work plan. Target Date: Nov-2022
<p>#21-04 Code Enforcement Management Controls</p> <p>#12 To better set expectations for staff and address potential risks in its programs, the Department of Planning, Building and Code Enforcement should:</p> <p>a) Create and update Code Enforcement policies using a risk-based approach to identify where programs may not meet objectives, for example, incorporating policies or guidance for elements of supervisory review, documentation for deviating from policies, and for special programs,</p> <p>b) Combine the policies into a comprehensive digital manual, and</p> <p>c) Set a schedule for periodic review of policies and procedures to update as needed.</p>	PBCE	Partly Implemented	Staff report that they worked with a Fuse Fellow to create a comprehensive department digital policy manual, the "Policy Management Framework and Process (PMFP)," of all policies and procedures. The PMFP includes a policy for periodic review of policies. Staff report the PMFP is currently in the launch phase and is expected to be in use by all staff in Fall 2022. Target Date: Nov-2022
<p>#21-04 Code Enforcement Management Controls</p> <p>#13 To promote consistent case review practices, the Department of Planning, Building and Code Enforcement should develop training for new Code Enforcement supervisors.</p>	PBCE	Not Implemented	Code Enforcement reports that the development of a new comprehensive supervisor training program has been delayed. Staff is in the beginning stages of developing the training program, with work anticipated to be completed in December 2022. Target Date: Dec-2022 (Delayed From: Apr-2022)

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#21-04 Code Enforcement Management Controls</p> <p>#15 The Department of Planning, Building and Code Enforcement should revise Code Enforcement's "attempt to contact" letter template to include authority, complaint description, and purpose of inspection prior to inspection and, as appropriate, supervisors' contact information for questions or concerns.</p>	PBCE	Partly Implemented	<p>The "attempt to contact letter" is a standard, template letter used by Code Enforcement to contact a responsible party (i.e., property owner, tenant, or property manager) when other attempts to contact the responsible party, such as an in-person inspection, email, or phone call, have been unsuccessful. As recommended, the Code Enforcement Division revised the "attempt to contact letter" to include enforcement authority per the municipal code, complaint description, and, an option to add supervisors' contact information, as appropriate, for questions or concerns, and the purpose of the letter or inspection. The revised letter has been added to the Code Enforcement Case Management System and staff have been advised of the change. Target Date: Oct-2022 (Delayed From: Jun-2022)</p>
<p>#21-04 Code Enforcement Management Controls</p> <p>#16 To document Code Enforcement's complaint process and improve Division oversight, the Department of Planning, Building and Code Enforcement should maintain a confidential log of complaints related to inspector conduct, including the date of the complaint and how it was handled.</p>	PBCE	Implemented	<p>Code Enforcement has begun documenting formal complaints regarding inspector conduct, including the date of the complaint, how it was handled, and its resolution, in a confidential log.</p>
<p>#21-04 Code Enforcement Management Controls</p> <p>#17 Department of Planning, Building and Code Enforcement should develop targets and track Code Enforcement program performance to:</p> <p>a) Establish expectations for inspector activity and performance and incorporate into regular performance evaluations (e.g., time to case closure based on type of violation and number of open cases).</p> <p>b) Rebalance workloads or add resources, as needed.</p>	PBCE	Not Implemented	<p>According to the Department, Code Enforcement plans to research and review historical and current data, reports, and timelines to revise or update current case response times, case closure timelines by violations type, and manageable caseload level, as appropriate, to develop and establish clear and reasonable expectations for inspector activity and performance. The updated expectations and performance standards will be incorporated into staff performance evaluations. Due to ongoing vacancies, staff report that progress has been slow. Staff will continue to explore strategies to rebalance workloads, utilize resources more efficiently, and add staffing. Target Date: Dec-2022</p>
<p>#21-04 Code Enforcement Management Controls</p> <p>#18 The Code Enforcement Division within the Department of Planning, Building and Code Enforcement should complete all outstanding performance evaluations and set a schedule for regular evaluations going forward.</p>	PBCE	Partly Implemented	<p>Code Enforcement has made progress in the performance evaluation process and reports that it expects to complete all outstanding evaluations and establish an annual performance evaluation schedule for supervisors and managers to ensure all required evaluations are completed and timely going forward. Target Date: Dec-2022 (Delayed From: Jun-2022)</p>

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#21-04 Code Enforcement Management Controls</p> <p>#19 To align performance evaluations with Division goals, the Department of Planning, Building and Code Enforcement should review and revise its employee expectations and incorporate into Code Enforcement performance evaluations based on objective criteria and measurement (e.g., inspector use of photos, consistency in case notes; supervisor quality of supervisory case review).</p>	PBCE	Not Implemented	Code Enforcement reports that staff plan to complete the revision of employee expectations by October 2022, for use as criteria in performance evaluations beginning in FY 2022-23. Target Date: Oct-2022
<p>#21-05 Municipal Water Billing and Customer Service</p> <p>#01 To improve the City's leak notification process, the Environmental Services Department and the Information Technology Department should, in coordination with the City Attorney's Office and in accordance with the City's Digital Privacy Policy:</p> <ul style="list-style-type: none"> a) Develop a process to collect the email addresses and mobile phone numbers of existing customers, and b) Enroll customers to receive automated leak notices via text, voice message, mail, and/or email through WaterSmart or another mechanism as appropriate, while providing customers the option of opting-out from receiving such notices. 	ESD / IT / CAO	Not Implemented	Staff report they are developing an outreach campaign to collect email addresses and phone numbers for existing customers. Currently, staff is collecting email addresses and phone numbers for existing customers as they contact the City. Email leak notifications are sent to customers (whether or not the customer has enrolled in an online WaterSmart account) as long as an email address is on file within CIS and/or WaterSmart. The Environmental Services Department (ESD) intends to complete a review to ensure the program comports with the City's Information and Systems Security Policy (1.7.6) and Digital Privacy Policy (0-49) and complete the privacy initiative form to report the private information collected and how it is used. Target Date: Dec-2022 (Delayed From: Jun-2022)
<p>#21-05 Municipal Water Billing and Customer Service</p> <p>#02 The Environmental Services Department should coordinate with the Information Technology Department, to create an online form or a category in SJ 311 to notify the City of water leaks and the severity of the water leak.</p>	ESD / IT	Implemented	The Environmental Services Department (ESD) coordinated with the Information Technology Department (ITD) to create an online form to notify the City of water leaks, and the severity of the water leak. After submitting the online form, the City Customer Contact Center (CCCC) is alerted via email. For large leaks, CCCC contacts Municipal Water (MW) technicians via email and text messages to report an urgent response needed for a large leak. For smaller leaks, CCCC enters the request into CIS for regular dispatching by MW clerical staff.
<p>#21-05 Municipal Water Billing and Customer Service</p> <p>#03 To help manage meter investigation service orders, the Environmental Services Department should:</p> <ul style="list-style-type: none"> a) Develop a process for periodically assessing pre-exception parameters using data around past results and staff insight, and b) Adjust pre-exception parameters to better identify potential water leaks. 	ESD	Partly Implemented	According to the Department, staff drafted a process and schedule to periodically review CIS parameters and are on schedule to complete this recommendation by December 2022. They also plan to complete a privacy review with the Digital Privacy Office. Target Date: Dec-2022 (Delayed From: Jun-2022)

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#21-05 Municipal Water Billing and Customer Service</p> <p>#04 To streamline the service order process, the Environmental Services Department, in coordination with the Information Technology Department, should update the process to enable staff to coordinate service orders electronically.</p>	ESD / IT	Not Implemented	According to the departments, staff investigated using the Business Process Automation system to manage service orders with online forms. However, according to the departments, there is not a current method to automatically sync data between CIS and an online form without significant investment that department teams are evaluating. Staff plans to reach out to the vendor to confirm costs of upgrading CIS and adding interface options. Target Date: Dec-2023 (Delayed From: Jun-2022)
<p>#21-05 Municipal Water Billing and Customer Service</p> <p>#05 To better assess performance, the Environmental Services Department should revise the performance measure methodology for “% of customer service requests handled within 24 hours” to use operational data instead of customer survey data.</p>	ESD	Not Implemented	The purpose of this recommendation is to accurately measure the timeliness of customer service requests. According to the Environmental Services Department, progress on this recommendation is contingent upon completing an upgrade to CIS. Target Date: Dec-2023
<p>#21-05 Municipal Water Billing and Customer Service</p> <p>#06 The Environmental Services Department, the Finance Department, and the Information Technology Department should coordinate to centralize and compile key website content on the Muni Water website for customers, potentially including:</p> <ul style="list-style-type: none"> • Payment and account adjustments • Late fee charge and waiver policies • How to report water leaks • Information required to start and stop service • Overview of water shutoffs and reconnections policies and timeline, as well as water shutoff data as required by the Water Shutoff Protection Act (SB 998) • Other important information the departments deem necessary 	ESD / FIN / IT	Implemented	The Environmental Services Department (ESD), the Finance Department, and the Information Technology Department (ITD) coordinated to centralize and compile key website content on the Muni Water Website for customers, located at https://www.sanjoseca.gov/your-government/departments-offices/environmental-services/water-utilities/drinking-water/customer-service/water-shutoff-resources . This includes a Low Income and Vulnerable Customer Certification Form, late fees information, information on how to open or close an account, Water Service Policies and Procedures, and a document demonstrating how to read bill statements.

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#21-05 Municipal Water Billing and Customer Service</p> <p>#07 The Finance Department and the Environmental Services Department should increase access to Municipal Water-related materials through:</p> <p>a) Identifying materials that could benefit from translation into commonly spoken languages in San José and making the translations available (e.g., late payment notices, the Low Income and Vulnerable Designations application form, and/or online customer platforms such as E-Bill Express).</p> <p>b) Providing translated notes in commonly spoken languages on materials such as forms and bills, sent to customers with instructions on how to obtain translated versions or information.</p>	FIN / ESD	Partly Implemented	<p>The Low Income and Vulnerable Designations form has been translated and is available for customer use. According to the departments, the E-Bill Express platform does not have the capability to provide language translations of the user interface. Staff is finalizing remaining documents for improved clarity: Bill Appeal Form, Third Party Authorization Form, Late Payment Notice, Bill/Back of Bill. Staff will complete Recommendation #11 prior to translations of the Bill/Back of Bill, and will translate remaining documents and post them all online. Target Date: Dec-2022 (Delayed From: Jun-2022)</p>
<p>#21-05 Municipal Water Billing and Customer Service</p> <p>#09 To improve accessibility for customers to view and pay their bills, the Finance Department should work with the Information Technology Department, to:</p> <p>a) Enable Muni Water customers to view detailed statements online, and</p> <p>b) Provide customers the option to receive electronic statements.</p>	FIN / IT	Not Implemented	<p>The Finance Department is exploring options to establish a way for customers to view and receive detailed billing statements online. Target Date: Jun-2023</p> <p>Potential Budget Savings: Paper bills are estimated to cost about \$100,000 to print and mail annually for Muni Water's 26,000 accounts.</p>
<p>#21-05 Municipal Water Billing and Customer Service</p> <p>#10 The Finance Department should update the "How to Read Your Bill" instructions to align with the current payment/rate structure and include explanations for the additional charges line items (i.e., late payment charges, returned check).</p>	FIN	Not Implemented	<p>This has not started yet. The Finance Department and Environmental Services Department plan to collaborate on how to revise the "How to Read Your Bill" instructions and include translations. Target Date: Dec-2022</p>
<p>#21-05 Municipal Water Billing and Customer Service</p> <p>#11 To reduce the likelihood of late payments, the Finance Department and the Environmental Services Department should include consistent information on the bill, Muni Water's website, and the City's Pay My Bill webpage informing customers of the consequences of missed/late payments, including noting processing delays.</p>	FIN / ESD	Not Implemented	<p>This has not started yet. The Finance Department, Environmental Services Department (ESD), the Call Center, and the City Manager's Office (CMO) plan to discuss consistent messaging on bills and websites. The CMO Webmaster will assist in updating City's Pay My Bill webpage and assist, as needed, the ESD Web Manager with Muni Water page updates once messaging is completed. Target Date: Dec-2022</p>

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#21-05 Municipal Water Billing and Customer Service</p> <p>#13 To help alleviate the financial burdens of significant outstanding balances owed by Municipal Water customers, the Administration should implement a combination of strategies, including:</p> <ul style="list-style-type: none"> Automatically enroll customers with overdue balances into payment plans when the moratorium ends, Conduct outreach to customers about the Low Income and Vulnerable designation service options, potentially leveraging the City's communications outreach and other existing efforts (e.g., San José Clean Energy, CA Rental Relief), Work with the City's Budget Office to explore potential sources of ongoing funding for customer assistance, including excess late payment charges, and/or Develop a process to distribute aid from Federal and State funding sources, such as from the Low Income Household Water Assistance Program (LIHWAP), to qualifying households and align the Low Income thresholds as appropriate. 	CMO / ESD / FIN / IT	Partly Implemented	Extended payment plans (up to one year) are being offered to customers, as of January 2022. Customers will not be automatically enrolled in payment plans due to resource constraints, including staffing and billing system limitations. Multi-lingual information on how to register for low-income and medically vulnerable account status was included as a bill insert to residential customer bills from March-May, 2022. The Department reports that information on this opportunity will continue to be included in future customer outreach. On April 12, 2022, Council approved participation in the State's LIHWAP program and the allocation of \$500,000 of local City funds over a two-year period to support the program. Sacred Heart Community Service began local implementation of LIHWAP in July 2022. Other sources of financial assistance funding have yet to be determined. Target Date: Dec-2022
<p>#22-02 Environmental Review for New Developments</p> <p>#01 To improve the coordination of reviews, the Department of Planning, Building and Code Enforcement should:</p> <p>a. Develop a training plan that includes both formal and informal training options on project management, environmental review, and entitlement review, and</p> <p>b. Expand the model in which planners handle both the entitlement and environmental reviews, with a division dedicated to projects with more complex environmental review.</p>	PBCE	Partly Implemented	The Department of Planning, Building and Code Enforcement (PBCE) developed a draft training plan. Topics include a high-level overview of the CEQA review process in San José for all Planning staff, developing a project description for Citywide and Housing projects, an overview of common exemptions, project and time management best practices, and more. Training topics are divided by Environmental Review Team staff. Existing training materials will be updated and trainings given in Fall - Winter 2022-23, then they will be recurring. PBCE anticipates starting joint project management for new planners in Fall 2022. PBCE reports this was delayed due to staff turnover and a significant increase in workload in Spring 2022. PBCE plans to expand this effort to other planners during/after Q3 FY 22-23 due to a number of priority projects scheduled to be completed in Fall 2022. PBCE reports that training of staff (Recommendation 1a) will increase knowledge of CEQA for implementation project managers so they can start preparing more complex exemptions and addendums/determination of consistencies. Target Date: Dec-2023

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#22-02 Environmental Review for New Developments</p> <p>#02 To improve the project management of environmental reviews, the Department of Planning, Building and Code Enforcement should develop a set of procedures that includes:</p> <p>a. Having regularly-held meetings with key stakeholders,</p> <p>b. Establishing timelines with all key milestones, and</p> <p>c. Expectations on project roles and responsibilities for the environmental review planner, entitlement planner, and other City departments and teams (e.g., how project changes should be communicated, who is responsible for the overall timeline).</p>	PBCE	Partly Implemented	<p>a) PBCE has developed a working draft of a standard operating procedure (SOP) for environmental impact reports (EIRs), and reports developing working drafts for other document types and tasks (negative declarations/mitigated negative declarations, addendums, exemptions, and mitigation monitoring). The EIR SOP includes check-in expectations at certain milestones, such as after public comments are received from the circulation of the draft EIR. The SOPs will continue to be refined based on experience and feedback, and are expected to be completed in 2022. PBCE reports that regular check-in meetings are already held for major, controversial, and complex projects. b) PBCE reports that environmental review timelines from 2017 continue to be used by consultants and applicants when developing project timelines. Staff anticipate an updated timeline format to be completed in 2022 and posted to the website. Time will be measured in business days instead of weeks to account for City holidays/furlough. c) PBCE reports that a working draft of SOPs were developed Q4 FY 21-22, but they continue to be refined based on experience and feedback. Target Date: Dec-2023</p>
<p>#22-02 Environmental Review for New Developments</p> <p>#03 To improve performance measurement and guide project management, the Department of Planning, Building and Code Enforcement should set performance targets for environmental review, including timeliness overall and timeliness of achieving milestones, and measure performance against the targets.</p>	PBCE	Partly Implemented	<p>Staff used data from AMANDA and an Environmental Project Tracking sheet to determine a baseline for total project review time by environmental document type. Staff reviewed total review time data for environmental impact reports, negative declarations/mitigated negative declarations, and addendums for 2019, 2020, and 2021. PBCE reports that Environmental Review Team staff will continue tracking total review time on the completed projects page of the Environmental Project Tracking spreadsheet on SharePoint using AMANDA data. PBCE reports that planners are now entering review time for key milestones into AMANDA, and this is a task included in the standard operating procedures for internal staff (Recommendation #2). In the next year, PBCE anticipates that staff will calculate a baseline review time for key milestones similar to the calculations used to establish a baseline for total review time. This baseline will then be used to measure the impact of process improvements over subsequent years. Target Date: Mar-2023</p>
<p>#22-02 Environmental Review for New Developments</p> <p>#04 To promote consistency of environmental review data entry, the Department of Planning, Building and Code Enforcement should:</p> <p>a. Update and expand AMANDA guidelines and related expectations around data entry for areas such as recording of staff hours, use of entry codes, and use of comments, and</p> <p>b. Develop training for staff about the AMANDA guidelines.</p>	PBCE	Not Implemented	<p>a) PBCE reports that AMANDA 7 guidelines will be updated after updates are made to the ENV folder in AMANDA based on Recommendation #5. b) AMANDA 7 training was held for the Environmental Team in March 2022 regarding closing out the folder for the project. Training for the updated AMANDA 7 folder will occur after completion of Recommendation #5. Target Date: Dec-2023</p>

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#22-02 Environmental Review for New Developments</p> <p>#05 To effectively track project milestones, the Department of Planning, Building and Code Enforcement should establish a mechanism for consistently capturing necessary milestone data either using AMANDA or another tool, and update appropriate guidelines as necessary.</p>	PBCE	Partly Implemented	<p>Staff is tracking key environmental review milestones on its Environmental Tracking Sheet for major projects while waiting for the update to the AMANDA 7 folder. PBCE reports that the AMANDA 7 update will require the commitment of a planner and Information Technology staff, and that this work will not be able to start until Q4 FY 2022-23 at the earliest due to staff turnover and high volume of major projects in Q1 - Q3 FY 2022-23. Target Date: Dec-2023</p>
<p>#22-02 Environmental Review for New Developments</p> <p>#06 To make the environmental review process more standardized and consistent, the Department of Planning, Building and Code Enforcement should update and expand relevant tools and templates for the environmental review team, as well as develop related procedures on the expected usage, including:</p> <p>a. Establish a standard project schedule tracker that staff are expected to use for projects, and</p> <p>b. Create additional tools and templates to support project management, such as agenda templates for meetings with different stakeholders, a consolidated list of the City's thresholds of significance, and City resolution templates for adoption for the different types of environmental reviews.</p>	PBCE	Partly Implemented	<p>a) A standard project schedule tracker is still to be established. During the February 2022 Environmental Consultant's Roundtable, PBCE shared expectations for schedule maintenance using the City's review times. Consultants are expected to update schedules regularly at key milestones. Furthermore, the draft guidelines for consultants establish that consultants are to provide the updated schedule to the City. b) Additional tools and templates to support project management are still to be developed. PBCE reports that staff reviewed guidelines for other jurisdictions, such as San Francisco and Pasadena, which have thresholds of significance and expectations for quality of work and timeliness. PBCE reports that creating thresholds of significance is not achievable by City staff alone given staff turnover, workload, and competing priority projects. Therefore, it has been proposed to retain an environmental consultant to assist with this work. This is expected to start in Q2 or Q3 FY 2022-23 due to heavy workload. PBCE reports that thresholds of significance can be formally updated as part of next SEIR to the General Plan (i.e., Housing Element SEIR or next 4-Year Review). Target Date: Jun-2023</p>
<p>#22-02 Environmental Review for New Developments</p> <p>#07 To educate City staff about available resources and expectations for the environmental review process, the Department of Planning, Building and Code Enforcement's environmental review team should conduct annual trainings for City staff in other departments or teams.</p>	PBCE	Partly Implemented	<p>PBCE developed a draft training plan. Topics include a CEQA overview for external departments and Council memo citations, and focused CEQA training for departments with frequent project-level CEQA review. Training topics were divided by Environmental Review Team staff to increase experience and distribute responsibilities. Existing training materials will be updated and trainings will be given in Fall - Winter 2022/2023, then will be recurring. Target Date: Jan-2023</p>

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#22-02 Environmental Review for New Developments</p> <p>#08 To better manage the work done by environmental consultants, the Department of Planning, Building and Code Enforcement should:</p> <p>a. Establish project management requirements for the relationship with consultants, including regular check-ins, expectations for communication with the consultant, and guidelines for dealing with delays, and</p> <p>b. Consider instituting a list of required consultants.</p>	PBCE	Partly Implemented	<p>a) PBCE developed a working draft of a standard operating procedure (SOP) for environmental impact reports (EIRs). The EIR SOP includes check-in expectations with the consultant and other stakeholders at certain milestones, such as after public comments are received from the circulation of the draft EIR. Additionally, in Q4 FY 21-22, staff drafted interim Environmental Consultant Guidelines. It includes guidelines for consultants on maintaining the project schedule and instructs the consultant to update the schedule based on any delays. PBCE reports that staff also reviewed guidelines for other jurisdictions that have expectations for quality of work and timeliness. b) Staff plans on drafting a memorandum to the Planning Director that, effective a pre-determined date, establishes that environmental review for private development projects must be conducted by a consulting firm on the Qualified Consultant List. PBCE reports that the City will update the Qualified Consultant List through a new RFP process in Q3 FY 2022-23. Target Date: Jun-2023</p>
<p>#22-02 Environmental Review for New Developments</p> <p>#09 The Department of Planning, Building and Code Enforcement should finalize and publish guidelines about the City's CEQA requirements and process for environmental consultants to help them prepare environmental documents according to the City's standards.</p>	PBCE	Not Implemented	<p>In Q4 FY 2021-22, staff drafted interim Environmental Consultant Guidelines to help consultants develop their scope of work and schedule. PBCE reports that staff also reviewed guidelines for other jurisdictions that have thresholds of significance and expectations for quality of work and timeliness. PBCE reports that creating comprehensive Environmental Consultant Guidelines is not achievable by City staff alone given staff turnover, workload, and competing priority projects. The Department intends to retain an environmental consultant to assist with drafting and finalizing the guidelines, expected to start in Q2 or Q3 FY 2022-23. PBCE reports that thresholds of significance can be formally updated as part of next SEIR to the General Plan (i.e., Housing Element SEIR or next 4-Year Review). Target Date: Jun-2023</p>
<p>#22-02 Environmental Review for New Developments</p> <p>#10 To ensure costs are appropriately recovered, the Department of Planning, Building and Code Enforcement should:</p> <p>a. Review and update guidelines for how to track time spent on environmental reviews and what activities should be billed, and</p> <p>b. Review the cost recovery calculation for environmental review fees.</p>	PBCE	Partly Implemented	<p>a) PBCE has developed a working draft of a standard operating procedure (SOP) for environmental impact reports (EIRs), and reports developing working drafts for other document types and tasks (negative declarations/mitigated negative declarations, addendums, exemptions, and mitigation monitoring). The SOPs include guidelines for how to track time spent on environmental reviews and what activities should be billed. b) PBCE reports that this piece of the recommendation will be part of the next comprehensive update of the Planning Fee Schedule. Environmental Review Team staff will coordinate with Administrative Team staff to provide data on hours and fee collection to support this effort. Target Date: Jun-2024</p> <p>Potential Budget Savings: At the time of the audit, we determined that if the City was able to identify additional billable tasks (accounting for about 5 percent of planners' time), the City could save about \$63,000.</p>

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#22-02 Environmental Review for New Developments</p> <p>#11 To reduce workload on environmental review planners, the Department of Planning, Building and Code Enforcement should re-assign invoicing and other administrative duties to support staff, to the extent possible. This could include filling the administrative position assigned to the environmental review team.</p>	PBCE	Not Implemented	<p>PBCE reports that recruitment for the administrative position is in the queue with the priority recruitments for Fall 2022. Target Date: Dec-2022</p> <p>Potential Budget Savings: We estimate the cost of invoicing and other administrative duties would be \$49,000 less if conducted by administrative staff rather than planners.</p>
<p>#22-02 Environmental Review for New Developments</p> <p>#12 To enable the City Council to make informed decisions about strategic planning, the Department of Planning, Building and Code Enforcement should develop a process to regularly present to Council options for analyses that could streamline environmental reviews as part of the City's comprehensive planning efforts. This should include resources and tentative timelines needed to complete the work.</p>	PBCE	Not Implemented	<p>Although development of a process to regularly present options for analyses that could streamline environmental reviews has not been accomplished, PBCE reports that opportunities for program-level environmental review were presented during Citywide planning efforts (i.e., Affordable Housing on Assembly Use Sites Ordinance updates - YIGBY, future North San José efforts). Target Date: Dec-2022</p>
<p>#22-03 Citywide Grant Management</p> <p>#01 To assist departments that manage grants awards Citywide, the Administration should identify staffing resources to develop and maintain Citywide administrative guidelines or procedures, and training materials around the different phases of grant management, including:</p> <ul style="list-style-type: none"> i. Applying for grants, ii. Accounting, tracking, and monitoring of expenditures, including subrecipient and contractor management, iii. Grant closeout responsibilities, and iv. Preparing for federal audits and reviews, including notifying the Finance Department when the award is selected for an audit or review by a federal agency. 	FIN	Not Implemented - Priority	<p>As reported in our audit, Finance Department has identified seven limit-dated positions to work on grants related work including closeout responsibilities and developing Citywide grant management guidelines. The Department is working on identifying more permanent staffing to adequately maintain and update these resources on a continuous basis. Target Date: Jun-2023</p>
<p>#22-03 Citywide Grant Management</p> <p>#02 To provide a forum for inter-departmental coordination and training, the Administration should formalize the grant working group's role in coordinating training for grant managers across departments, and assessing and developing Citywide resources.</p>	FIN	Not Implemented	<p>The Finance Department reports it is currently developing a forum for inter-departmental coordination and training, including formalizing the Grant Working Group's role in coordinating training for grant managers across departments, and assessing and developing Citywide resources. Target Date: Dec-2022</p>

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#22-03 Citywide Grant Management</p> <p>#03 To comply with federal and state guidelines for reimbursable indirect costs, the Finance Department should develop a process to regularly submit the City's Indirect Cost Allocation Plan to the City's cognizant federal and state agencies.</p>	FIN	Not Implemented	The Finance Department reports that it will develop a process to regularly submit the City Indirect Cost Allocation Plan to the City's cognizant federal and state agencies to comply with federal and state guidelines for reimbursable indirect costs. Target Date: Jun-2023
<p>#22-04 Take-Home Vehicles</p> <p>#01 The Administration should clarify and update guidelines for take-home vehicles in City Policy Manual 1.8.1 Use of City and Personal Vehicles to:</p> <p>a) Better define roles and responsibilities of department liaisons, Public Works, and the City Manager's Office,</p> <p>b) Provide acceptable mechanisms to calculate call-backs, such as required documentation of reported numbers, and</p> <p>c) Require exemption requests, in instances where employees do not meet all the policy guidelines, to include justification and reasoning for the request, including cost/benefit analyses as appropriate.</p>	PW	Partly Implemented	Public Works reports it is currently working on updating the policy and plans to have the updates completed, reviewed, and approved by November 2022. Target Date: Nov-2022
<p>#22-04 Take-Home Vehicles</p> <p>#02 To streamline the authorization process, Public Works should work with the Information Technology Department to simplify and develop an electronic approval process. This should include standard processes to:</p> <p>a) Identify take-home vehicles, which should include departments providing updates to Public Works and the City Manager's Office on a periodic basis to account for changes to the roster of employees approved for take-home vehicles, and</p> <p>b) Submit exemption requests for employees that do not meet all the policy requirements.</p>	PW	Partly Implemented	Public Works reports that delays in development of an electronic process to approve take home vehicles caused by staffing availability have pushed the target back until January 2023. A draft of process will be presented to stakeholders in November 2022. Target Date: Jan-2023

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#22-04 Take-Home Vehicles</p> <p>#03 To monitor for potential personal use:</p> <p>a) Public Works should ensure take-home vehicles are equipped with telematics, as appropriate, and relevant department staff have access to telematics.</p> <p>b) The Administration should update the policy to require departments to monitor for personal use, such as through random audits to identify off-hour, evening, or weekend use, or requiring department directors to attest that controls are in place to prevent personal use of take-home vehicles.</p>	PW	Partly Implemented	Public Works reports that due to delays in available telematics hardware, this recommendation was delayed. Staff plan to request current take home fleet identified come in for telematics upgrade over the next few months. Target Date: Jan-2023
<p>#22-04 Take-Home Vehicles</p> <p>#04 To ensure clear expectations for employees who may be subject to taxable fringe benefits, the Administration should update City Policy Manual 1.8.1 Use of City and Personal Vehicles the Take-Home Policy C.P.M 1.8.1 to include IRS guidelines around what vehicles are exempt from fringe benefit calculations.</p>	PW / FIN	Not Implemented	Public Works reports it is currently working on updating the policy and plans to have the updates completed, reviewed, and approved by November 2022. Target Date: Nov-2022
<p>#22-04 Take-Home Vehicles</p> <p>#05 To ensure accuracy of IRS reporting of taxable fringe benefits, the Finance Department should:</p> <p>a) Work with Public Works to annually review the roster of take-home vehicles against IRS guidelines to identify vehicles subject to taxable fringe benefit reporting, and</p> <p>b) Revise the calculation of taxable fringe benefits to remove call-back events from the commute mileage.</p>	FIN / PW	Partly Implemented	The Finance Department revised the calculation of taxable fringe benefits (removed the call back events from commute mileage) to fully implement part b and plans to work with Public Works (Fleet Division) to establish a mechanism for identifying which take-home vehicles are subject to taxable fringe benefit reporting per IRS guidelines. Target Date: Dec-2022