CITY OF SAN JOSE
CAPITAL OF SILICON VALLEY

Office of the City Auditor

Report to the City Council

City of San José

STATUS OF OPEN AUDIT RECOMMENDATIONS AS OF JUNE 30, 2019

SEPTEMBER 2019

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CITY OF SAN JOSE
CAPITAL OF SILICON VALLEY

Office of the City Auditor
Joe Rois, City Auditor

September 27, 2019

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, 2019

RECOMMENDATION

We recommend the City Council accept the Status of Open Audit Recommendations as of June 30, 2019.

SUMMARY OF RESULTS

The City Auditor's Office conducts audits and makes recommendations to strengthen accountability and improve the efficiency and effectiveness of City programs. The Office monitors progress toward implementing recommendations and reports on the status of all open audit recommendations every six months.

City staff implemented or closed 58 recommendations in the last six months, and to date have implemented roughly 70 percent of open recommendations over the last 5 years. 240 recommendations are still pending.

Attached to this report is a summary table of all recommendations by report over the past 5 years (Appendix A) and details of the 298 audit recommendations[1] from our review as of June 30, 2019 (Appendix B).

As of June 30, 2019:

298 recommendations in this report

52 were issued in new reports

58 implemented/closed in the last six months

240 partly or not implemented

$9.1 million potential budget savings

7 subject to meet and confer

72 target dates within next 6 months

70% open recommendations over the last 5 years have been implemented or closed

[1] This report does not include four recommendations from the *Audit of Employee Reimbursements*, which was published in June 2019, but went to the City Council in August 2019. They will be included in subsequent status reports.

Twelve Priority Recommendations

In June 2018, the City Council approved the *2018-19 Open Audit Recommendation Priorities*[2] with direction to the City Manager to prioritize work on these outstanding audit recommendations, while continuing to make progress on addressing and working with the City Auditor to close out other open audit recommendations. Two of the originally chosen recommendations were implemented in the six-month period ending December 31, 2018.[3] The City Manager's Office and the City Auditor agreed upon two new recommendations as replacements, as noted below. 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)

  Although total overtime hours worked has declined, the number of sworn employees with comp time balances over 240 hours has increased from 410 at the time of our audit to 592 in August 2019; the liability for compensatory time has increased from $13 million to more than $18 million. Recommendation #1608-10 target date: June 2020 (delayed from March 2018).

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

  The estimated general fund transfer for golf courses in the 2019-20 Operating Budget totals $7.2 million. This includes $5 million to pay down debt associated with the golf courses. Staff expects to post the RFP for golf course operators in 2019, with results presented to City Council in the first quarter of 2020. Recommendation #1508-01 target date: March 2020 (delayed from December 2018).

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

  Public Works entered an agreement to develop, test, and implement a software solution to assist OEA staff with collection and review of certified payrolls and other compliance documents. The tool is currently in beta testing and should go live to contractors in the Fall 2019. As the new software platform comes online and staff gains experience with how the platform impacts OEA operations, the City will continue to evaluate supervisory capacity and needs within OEA and will look to adjust

[2] 2018-2019 Open Audit Recommendation Priorities, May 31, 2018 (https://sanjose.legistar.com/LegislationDetail.aspx?ID=3512937&GUID=A59AA751-4DB2-4759-BE3A-03E8B26DB47F&Options=&Search)

[3] The two recommendations were to invest in a Fire Department Safety Officer (*Audit of Fire Department Injuries*, 2012) and investment in street pavement funding (*Audit of Street Maintenance,* 2015).

resources as necessary. Recommendation #1702-01 target date: December 2019 (delayed from June 2018).

Operational efficiency

- Non-emergency medical call response (*Audit of the Fire Department's Strategic Plan*, 2001)

  Expanded application of priority response levels requires authorization from the Medical Director of the County's Local Emergency Medical Services Agency. Over the past 15 years, the Fire Department has made improvements that would allow the Department to potentially expand the use of priority response levels whenever authorization is granted. Recommendation #0105-03 target date: December 2019 (delayed from December 2018).

- Contract management policies (*Audit of Consulting Agreements*, 2013)

  The Administration plans to engage a consultant to document consultant procurement and management practices across departments and develop recommendations for improvements. Recommendation #1306-09 target date: June 2020 (delayed from December 2018).

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

  The Administration has created a draft volunteer policy and volunteer management guide. A cross-departmental working group was established in March 2018 and continues to review and add to the draft. More recently, through the Gen2Gen campaign, the Mayor's Office partnered with the Department of Parks, Recreation and Neighborhood Services (PRNS) and community organizations on three service-oriented pilot programs, which are expected to provide insights to City departments on engagement and strategies related to volunteer programs. Recommendation #1603-03 target date: May 2020 (delayed from June 2019).

Improved service delivery

- SJFD public education (*Audit of Fire Prevention*, 2013)

  The Fire Department's Strategic Business Plan includes goals to expand community partnerships and promote public education. The Department received a donation for $500,000 to install smoke detectors in mobile homes, and was awarded grant funding from the Department of Homeland Security for additional smoke detectors. The Department will work with the City Auditor's Office to review options to further meet its public education goals and the intent of this audit recommendation. Recommendation #1304-19 target date: June 2021. (delayed from June 2019)

- Reactivate Emergency Management CERT program (*Audit of the City's Use and Coordination of Volunteers*, 2016)

  As of June 30, 2019, there had been five 20-hour CERT courses delivered with additional training scheduled during FY 2019-20. Recommendation #1603-05: IMPLEMENTED.

- Housing Department outreach to tenants and landlords (*Audit of the Apartment Rent Ordinance*, 2016)

  The Housing Department has provided additional outreach to tenants and landlords explaining ordinance updates, updated its website, and has made communications available in multiple languages. It has also received approval to accept petitions online and has added an interactive map that allows the public to look up addresses covered by the Apartment Rent Ordinance. Housing is also in the process of exploring short- and long-term options for its lobby space to allow easier access to information for drop-in customers. Recommendation #1610-03 target date: January 2020 (delayed from December 2018).

Citywide security/risk mitigation

- Update expired leases *(Audit of the City's Oversight of Financial Assistance to Community-Based Organizations, 2008)*

  The Office of Economic Development (OED) procured a new leasing system, but staff is still working on its implementation. OED reports it is still in the process of renewing expired leases for both nonprofit and for-profit tenants, developing standard leasing templates, and bringing current the backlog of expired leases of City property. Recommendation #0804-11 target date: December 2020 (delayed from December 2018).

- Adopt an Information Security Policy (*Audit of Information Technology General Controls,* 2012)

  The Information Technology (IT) Department has updated credit card, password, and access protocols, and drafted revisions to the City's Information Security Policy, which was approved in April 2019. Training on this policy has been provided to department IT personnel. Recommendation #1202-04: IMPLEMENTED.

- Develop and implement a Disaster Data Recovery Plan (*Audit of Information Technology General Controls*, 2012)

  IT has developed and tested a Disaster Recovery Plan and continues to work with the Office of Emergency Management to identify and assess risk of key systems across the City. We encourage IT and the City Administration to continue to update and test the disaster recovery capability of the City on a continuous basis. Recommendation #1202-08: IMPLEMENTED.

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

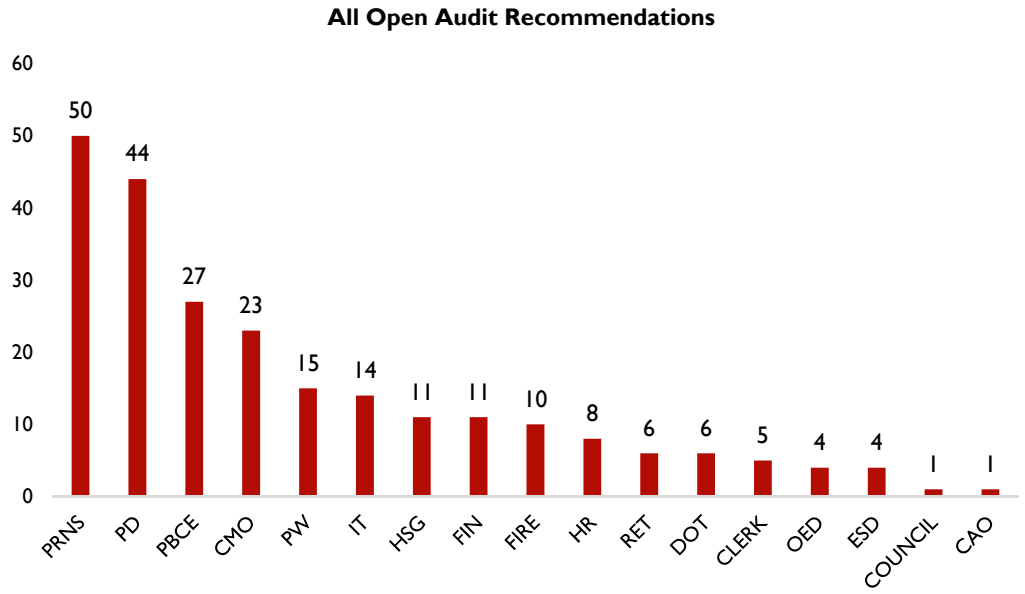
Departments Implemented or Closed 58 Recommendations in the Last Six Months

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

- To better represent the total support granted to organizations housed in community center reuse facilities, staff in OED and PRNS completed an assessment of the estimated fair market rents at the facilities.
- The Finance Department implemented online payment portals for invoices, citations, and fire permits.
- The Police Activities League (PAL) developed a concussion policy, requiring all coaches and assistant coaches to take an annual online course covering concussion awareness and protocols, and has distributed awareness materials to parents of participants.
- The Fire Department implemented a semi-annual health risk assessment to evaluate fitness of fire staff as well as potentially provide recommendations to address and improve their aerobic fitness.

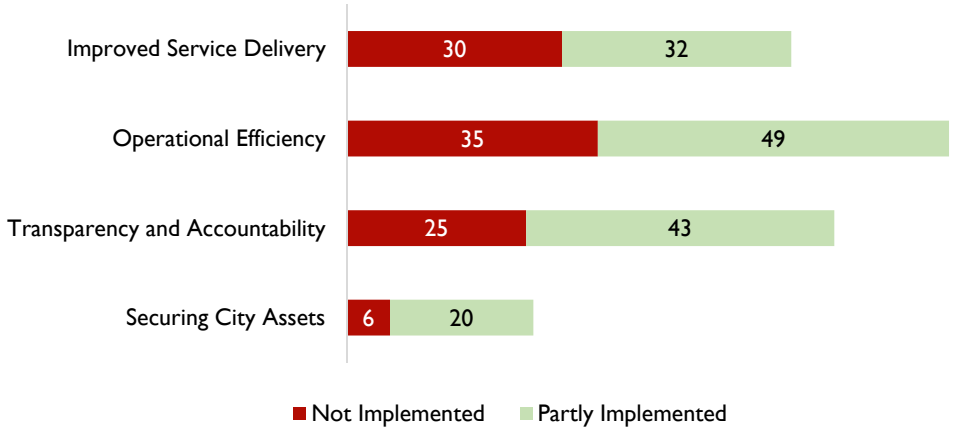
A Total of 240 Recommendations Are Still Pending

Of the 240 recommendations that are still pending, 144 (60 percent) are partly implemented and 96 (40 percent) are not implemented. PRNS has the largest number of open audit recommendations – many of them new recommendations issued within the last year.



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

Open Audit Recomendations by Intended Outcome



$9.1 Million in Potential Budget Savings from 11 Open Recommendations

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

- Renegotiating the integration agreement with Santa Clara Valley Water District to recognize needed funding for reliability projects ($2.8 million)
- Lowering the General Fund subsidy for golf course lessees/operators ($2.2 million)
- Pursuing reductions in overtime and compensatory time for supervisory employees ($1.6 million)
- Requiring sworn employees to lower compensatory time balances ($1.1 million)
- Recovering 100 percent of the cost of the Police Department's secondary employment program ($0.7 million)

These and other recommendations that could result in potential budget savings are shown in more detail in Appendix B and in our online dashboard. They are also forwarded to the Budget Office for consideration during the annual budget process.

Seven 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.[4] These are identified in Appendix B as well as on our online dashboard.

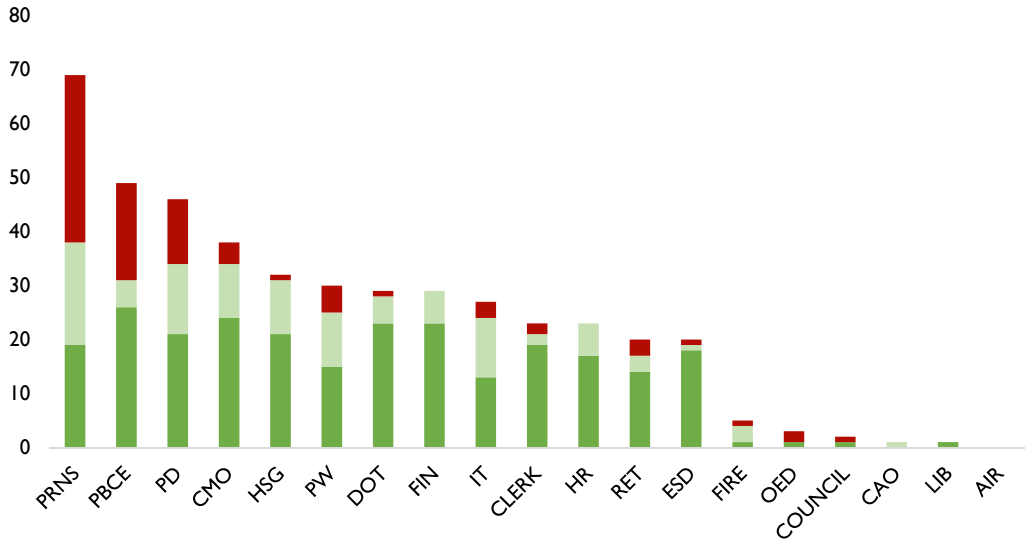
[4] For more information, see the *2018 Annual Summary of Labor Negotiations* at San Jose, CA - Official Website - Recent Updates.

Departments Implemented 57 Percent of Recommendations Made in the Last 5 Years

Over the last five years, the City Auditor's Office has followed up on nearly 750 recommendations to improve or enhance City services. This includes recommendations dating back to 2001. Of those recommendations, roughly 70 percent have been implemented since June 2014.

In the same period, we made over 400 new recommendations, of which 57 percent have been implemented or closed. As shown below, PRNS received more recommendations than any other office or department over the five-year period. The Department of Planning, Building, and Code Enforcement (PBCE) implemented more recommendations than any other office or department. (See Appendix A for a list of reports issued in the last five years and the status of their recommendations.)

Recommendations by Department Over the Last 5 Years
For Reports Issued between FY 2014-15 and 2018-19



Departments Expect to Implement 72 Recommendations Within the Next Six Months

Addressing open recommendations in a timely manner demonstrates management's commitment to address risk areas and improve City services. Departments are responsible for establishing target dates for each open audit recommendation.

While departments expect to implement a significant number of pending audit recommendations within the next six months, it should be noted that competing priorities may delay implementation. The target dates for 156 open recommendations in this report slipped from previous department-determined target dates.

CONCLUSION

In December 2016, the City Manager and City Auditor agreed to bring forward items that the administration recommends should be dropped or closed, but where the City

Auditor's Office disagrees that the problem has been fixed. There are no recommendations that fall into this category at this time.

More information about all open recommendations is available in the appendices to this report, and online:

- The *Dashboard of the Status of Open Audit Recommendations* contains information about the status of all pending recommendations as of June 30, 2019 – 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: http://www.sanjoseca.gov/index.aspx?NID=309.

The City Auditor's Office would like to thank the City Manager's Office and all of 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: Juan Barragan, Chris Bernedo, Shirley Duong, Brittney Harvey, Leonard Hyman, Maria Lin, Gitanjali Mandrekar, Stephanie Noble, and Alison Pauly

Appendix A: Summary Listing of Recommendations by Report (July 1, 2014 - June 30, 2019)
Appendix B: Detailed Listing of the Status of Pending Recommendations as of June 30, 2019

Appendix A:

SUMMARY LISTING RECOMMENDATIONS BY REPORT

(July 1, 2014 - June 30, 2019)

key: implemented partly implemented not implemented

Report	Audit Title	Dept(s)	We made recommendations to:	Current Recommendation Status
#14-06	Customer Call Handling	IT	Improve call monitoring and response to better customer experience and accessibility for all residents	13
#14-07	City Procurement Cards: Better Oversight and Streamlined Processes Would Improve Protection of Public Resources	FIN	Streamline the authorization process for purchases made using City-issued procurement cards, and improve the transparency and public accountability of government spending	7
#14-08	Development Services: Improving the Experience for Homeowners	PBCE	Improve homeowners' customer service experience at the permit center with improved staffing, streamlined coordination with development partners, and better information	22
#14-10	Facilities Maintenance	PW	Enable better lifecycle management for capital assets, and address the deferred maintenance backlog	10
#14-12	Accounts Receivable: The City Can Enhance Revenue Collections By Improving Its Billing & Collection Practices	FIN	Increase City revenues by improving controls surrounding the City's invoicing and collection processes	18
#15-01	Performance Measures Review	PW, HSG	Enhance the Department of Public Works and Housing Department performance measure calculations	2
#15-02	Street Pavement Maintenance: Road Condition Is Deteriorating Due to Insufficient Funding	DOT	Improve the condition of City streets and address the maintenance backlog by prioritizing funding, increasing inspection efficiency, and providing greater public accountability	4
#15-03	Fund Balance and Reserves	FIN	Increase safety net reserves in the General Fund and write more comprehensive reserve policies	2
#15-04	Employee Hiring: The City Should Streamline Hiring and Develop a Workforce Plan to Fill Vacancies	HR	Streamline the hiring process and develop a plan to fill the large number of vacant positions Citywide	14
#15-05	PRNS Fee Activity Program: The Department Can Better Reflect the City's Goals for Tracking and Recovering Costs, Setting Fees, and Promoting Affordable Access	PRNS	Improve cost recovery for recreational classes offered through the City while expanding access for low-income residents	6
#15-06	Curbside Recycling: The City Can Enhance Its Single-Family Residential Recycling Program to Improve Waste Diversion	ESD	Enhance the City's single-family residential recycling	6
#15-08	Golf Courses: Loss of Customers and Revenues Requires A New Strategy	PRNS	Improve the utilization and finances of golf courses through Council direction, increased staffing and oversight, and competitive contracting process	5

key: implemented partly implemented not implemented

Report	Audit Title	Dept(s)	We made recommendations to:	Current Recommendation Status
#15-09	Police Hiring: Additional Efforts to Recruit Qualified Candidates Urgently Needed to Fill Vacancies	PD	Bolster recruiting efforts and increase the efficiency of recruiting to fill the growing vacancies in the Police Department	14
#15-11	Team San Jose's Performance 2014-15	CMO	Clarify the City and Team San Jose's respective roles in managing the fee charged to fund facility improvements	1
#15-12	Personnel Investigation Structure	CMO	Improve the structure of personnel investigations	2
#16-02	Street Sweeping: Significant Investment and Re-Tooling Are Needed to Achieve Cleaner Streets	DOT	Improve the effectiveness of sweeping City streets through evaluating program costs, enhancing tools for data monitoring, and improving communication with the public	14
#16-03	The City's Use and Coordination of Volunteers: Volunteer Programs Provide Significant Benefits to the Residents of San José	CMO	Provide tools for City staff to better manage volunteers and allow for better coordination across volunteer programs	8
#16-04	Technology Deployments: Additional Resources Needed to Shorten Deployment Timelines	IT	Improve and establish additional resources for deploying new technology across the City organization	9
#16-05	South Bay Water Recycling: Better Information and Renegotiation of Contractual Obligations Will Increase Transparency and Aid Program Success	ESD	Provide more transparency over the accounting of South Bay Water Recycling revenues and expenses and help sustain revenues sufficient to cover costs	4
#16-07	Office of the City Clerk: Streamlining Processes and Clarifying Roles Can Better Ensure Compliance with Statutory Responsibilities	CLERK	Maximize organizational efficiency and consistency, as well as transparency and public accountability, by streamlining processes and clarifying roles	20
#16-08	Police Overtime: The San José Police Department Relies on Overtime to Patrol the City Due to Unprecedented Vacancies	PD	Increase efficiency of operations' staffing, improve tracking of hours worked by Police Department employees, and improve the tools for supervisors to monitor overtime worked	12
#16-10	The Apartment Rent Ordinance: Additional Investment, Improved Processes, and Strategic Resource Deployment Needed to Better Serve Tenants and Landlords	HSG	Better deploy resources, improve processes, and recover program costs	19
#16-11	Mobile Devices: Improvements Needed to Ensure Efficient, Secure, and Strategic Deployment	IT	Ensure efficient, secure, and strategic deployment of mobile devices through the policies and procedures, software solutions, and streamlining of processes	16
#17-01	Audit of Our City Forest	DOT	Ensure consistency and accountability with the City's grant agreements with OCF and improve the off-site tree replacement program	4

key: implemented partly implemented not implemented

Report	Audit Title	Dept(s)	We made recommendations to:	Current Recommendation Status
#17-02	Office of Equality Assurance: Increased Workload Warrants Reevaluation of Resource Needs	PW	Reallocate staff and update procedures considering the growing number of OEA responsibilities	8
#17-03	Audit of Residential High-Rises	HSG	Consistently assure health and safety, and ensure transparency of development reviews for high-rise development projects	3
#17-04	Open Government: The City Has Made Progress in Meeting the Goals of the Sunshine Reform Task Force	CMO	Promote government transparency and ensure compliance with the City's Consolidated Open Government and Ethics Provisions	12
#17-05	Audit of Environmental Services Department Consulting Services: Agreements Require Additional Oversight	ESD	Protect City resources by strengthening controls in the amended agreement with Stantec as well as improve contract monitoring	10
#17-06	Audit of Retirement Services: Greater Transparency Needed in the Budgeting Process, Interactions Among Stakeholders, Investment Policies, and Plan Administration	RET	Increase transparency in the budgeting process, interactions among stakeholders, investment policies, and plan administration	25
#17-08	Audit of Employee Travel Expenses	FIN	Clarify portions of the existing City travel policy to improve compliance; in addition, strengthen controls over the gas card program to protect city resources from potential abuse	4
#17-09	San José's Tier 3 Defined Contribution Plan: The City Should Clarify How Contributions Are Calculated	FIN	Clarify how contributions to employee accounts are calculated under the Municipal Code and determine whether the City is required to make retroactive corrections for past errors	1
#18-01	Pensionable Earnings: Tighter Controls and More Transparency Can Ensure Retirement Contributions Continue to be Accurate	FIN	Improve controls and transparency to ensure retirement contributions continue to be accurate	4
#18-02	Audit of the San José Police Activities League	PRNS	Improve the City's oversight and management of the San José Police Activities League	23
#18-03	Department of Public Works: Enhancing Management of Capital Projects	PW	Enhance management of capital projects through use of management tools, training, and better defined project scopes	10
#18-04	Audit of Vehicle Abatement: The City Could Improve Customer Service for Vehicle Abatement Requests	DOT	Improve customer service for vehicle abatement requests	12
#18-06	Community Center Reuse: 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	19

key: implemented partly implemented not implemented

Report	Audit Title	Dept(s)	We made recommendations to:	Current Recommendation Status
#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	14
#18-08	Team San Jose Performance FY 2017-18	OED	Establish and formalize the target for theater occupancy	1
#18-10	Audit of Towing Services: Changes to Contract Terms and Consolidated Oversight Could Improve Operations	DOT	Address towing contract violations, standardize towing and storage fees, update contract terms, and improve oversight	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	19
#19-02	Employee Benefit Fund Administration: Opportunities Exist to Improve Controls	HR	Improve administration of employee benefit funds	8
#19-03	Development Noticing: Ensuring Outreach Policies Meet Community Expectations	PBCE	Improve mechanisms for reaching neighborhood associations and limited-English speaking populations	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 the Task Force's continuum of care strategy	17

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Appendix B:

DETAILED LISTING OF THE STATUS OF PENDING RECOMMENDATIONS AS OF June 30, 2019

Report and Recommendations	Dept (s)	Current Status	Comments
#01-05 An Audit of the City of San José Fire Department's Strategic Plan Regarding Proposed Fire Stations #03 Develop for City Council consideration plans for expanding its use of the Omega priority response level. These plans should include: obtaining the software necessary to fully implement the Omega priority response level; options and costs for dispensing non-emergency medical advice; and any other issues that need to be addressed.	FIRE	**Partly Implemented - Priority**	The San José Fire Department provides Advanced Life Support (ALS) and Medical Priority Dispatch System (MPDS) services through its agreement with the Santa Clara County Local Emergency Medical Services Agency. Expanded application of the Omega priority response level requires authorization from the Medical Director of the County's Local Emergency Medical Services Agency. Over the past fifteen years, the Department has made improvements that would allow the Department to potentially expand the use of the Omega priority response level whenever authorization is granted. This work has included: meeting certain prerequisites to implementation of MPDS (such as accreditation of Fire Communications and the use of updated CAD software); participating in EMS stakeholder group meetings to recommend changes to EMS delivery in Santa Clara County; reviewing its patient care data to determine what factors could identify an Omega level response; and successfully obtaining County EMS agency authorization to respond to lower priority medical aid service requests with Basic Life Support resources (BLS). In December 2018, the County exercised the option to extend the current agreement, which will now expire on June 30, 2022. Meanwhile, the Department continues to pursue dispatch policies and response alternatives with the County's Local Emergency Medical Services Agency to optimize EMS service delivery. Target Date: Dec-2019 (Delayed From: Dec-2017) Potential Budget Savings: Implementation of priority response levels could reduce the number of EMS responses, improve emergency response times, and save wear and tear on vehicles.
#03-10 An Audit of the San José Fire Department's Bureau of Fire Prevention #12 Develop a workload analysis to determine its inspection staff needs to achieve its inspection goals and objectives.	FIRE	Not Implemented	The Fire Department's has selected a consultant (NBS Government Finance) to study the Fire Department's non-development fee program. This study will include a new inspection service delivery model. The Department reports that the study is underway. Target Date: Jun-2020 (Delayed From: Dec-2017)
#08-04 Audit of the City's Oversight of Financial Assistance to Community-Based Organizations #09 Clarify when the 7-1 policy should apply to leases with CBOs of City facilities.	OED	Partly Implemented	City Council Policy 7-1 ("Below Market Rental Policy for Use of City-Owned Land And Buildings By Nonprofit Or Charitable Organizations or for Governmental or other Public Purposes") allows community-based organizations (CBOs) to occupy City properties for as low as $1 per month with certain requirements. The San José City Council first adopted Policy 7-1 in 1970; it was revised in 1994 and 2006. At the time of our audit, responsibility for management of CBO leases was decentralized, and application of Policy 7-1 (which was intended for short-term use of City property) was unclear. Staff report that they are working with the City Attorney's Office to update Policy 7-1. Staff anticipate the changes to be complete by July 2020. Target Date: Jul-2020 (Delayed From: Dec-2009)

Report and Recommendations	Dept (s)	Current Status	Comments
#08-04 Audit of the City's Oversight of Financial Assistance to Community-Based Organizations #11 We recommend the Real Estate Division: A) Develop a centralized spreadsheet to track the status of CBO leases and other long-term use agreements for City owned properties with CBOs including key terms and rental payments. B) Bring current all expired leases, rental payments, insurance certificates, and other required reporting documentation.	OED	**Partly Implemented - Priority**	A) The Real Estate Division created a centralized spreadsheet tracking all of the CBO leases and other long-term use agreements along with the lease description, the lease terms and payments. B) Real Estate staff report they are in the process of bringing current all expired leases, rental payments, insurance certificates, and other required reporting documentation. Real Estate staff also reports they are working with the City Attorney's Office on the development of three leasing templates for properties where the City acts as landlord, to streamline the renewal process. One template, for CBOs, has been drafted, and Real Estate reports that it will go to City Council for approval and execution in Fall 2019. Meanwhile, staff aims to implement a new lease tracking software to help staff proactively renew leases in the future, prior to the leases' expiration. Staff anticipates to bring current all expired leases, rental payments, insurance certificates, and other required reporting documentation by December 2020. Target Date: Dec-2020 (Delayed From: Dec-2009)
#09-08 Performance Management and Reporting in San José #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.	CMO	Partly Implemented	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; and requiring up-to-date methodology sheets for all of the performance measures reported in the budget. In addition, the City Auditor has completed reviews of reported performance measures for several departments, and continues to produce the Annual Report on City Services. In June 2018, the City Manager identified a half dozen high-priority metrics for each of the six City Service Areas, which continue to appear in the City's Operating Budgets as "CSA Dashboards" and also highlighted in the City Auditor's Office's Annual Services Report. The Budget Office intends to collaborate with departments to update these dashboards on a regular basis throughout the year with the intent of making them available to the City Council and public, hosted on either the City's Open Data Portal or other web-based location, and to leverage the refreshed data during the year to help monitor and improve public service delivery. Target Date: On-going

Report and Recommendations	Dept (s)	Current Status	Comments
#09-10 Audit of Pensionable Earnings and Time Reporting #12 Provide timekeepers with written procedures and consider having them conduct the periodic monitoring of time codes.	FIN	Implemented	Working together with the Office of Employee Relations, the Payroll Division of Finance developed guidance for City timekeepers and provided them with the following procedures to ensure proper use of the time codes: exception time reporting, task profiles, time reporting for alternative work schedules, time reporting codes with descriptions and intended uses, and a most used payroll queries document. These have been posted on Finance's intranet site.
#10-05 Audit of Community Center Staffing #08 Estimate the fair market value of re-use facilities.	OED	Implemented	The City's Annual Report of Funding to Community Based Organizations improves City oversight of public funds to non-profits and other organizations by consolidating the total value of City subsidies (in the form of financial grants, in-kind contributions, and below-market rent) granted to each organization. The annual CBO report presents lease subsidy amounts for 18 organizations that receive below-market rent. However, at least 26 non-profits have subsidized use of City buildings within the PRNS reuse program, the value of which has not been presented within the CBO report. To better represent the total support granted to these organizations, staff in OED and PRNS coordinated an assessment to estimate the fair market rent of these facilities. Based on the current citywide average market rent for "flex space" (1980 or older), a general facility condition classification of "poor" or "fair," and square-footage, staff estimated the monthly rental subsidies ranged from $831 (Backesto) to $40,380 (Edenvale). The cumulative, annual value of subsidized use of reuse space is $5.4 million.
#10-09 City Procurement Cards #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.	FIN	Partly Implemented	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 currently still in outline/draft form -- Finance had delayed changes pending any potential recommendations from the recent 2019 p-card audit. Target Date: Dec-2019 (Delayed From: Jun-2011)

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#10-13 Police Department Staffing #02 To better align staffing with workload, SJPD should propose additional shift start times.	PD	Closed (Subject to meet and confer)	Over the last 20 years a series of reviews by the City Auditor's Office and outside consultants have recommended changes in Police Department shift schedules and staffing. In April 2018, the Matrix Consulting Group released a report finding that the current 10-hour shifts have proven effective. However, to improve efficiency with the current shift schedule, mitigate staffing shortages, and shift types, the consultant recommended that the Department implement an alternative shift schedule that reallocates personnel and modifies the start and end times to 0730 for days, 1230 for swings, and 2200 for midnights. According to the Department, implementing these recommendations would be a costly and lengthy process that is currently not feasible. In response to this concern, the consultant recommended adding additional personnel in the districts and beats with the greatest workload, which the Department implemented. The Department hired over 250 officers since the audit and does not currently have the staffing issues that it faced when the audit was initiated. However, best practices suggest reviewing shift start times and workloads on a regular basis. We continue to encourage the Department to review shift schedules to ensure staffing is efficiently and economically deployed.
#10-13 Police Department Staffing #05 SJPD should assess and report on (to the Public Safety, Finance, and Strategic Support Committee of the City Council) the feasibility of changing the Patrol schedule to a potentially more efficient schedule.	PD	Closed	See recommendation #2.

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#11-04 Key Drivers of Employee Compensation #02 To reduce the cost of overtime, the City should (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; (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 (3) prepare full cost estimates of contract provisions that exceed FLSA provisions.	CMO	Partly Implemented (Subject to meet and confer)	(1) 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. (2) The City achieved changes in overtime eligibility for some employees. For instance, some represented employees are paid overtime only after having worked 40 hours (excluding paid time off, with the exception of holiday leave). Changing overtime eligibility for employees who receive executive leave may be subject to meet-and-confer and would be considered within the context of labor negotiations. (3) The Office of Employee Relations (OER) reports that it will prepare the recommended full cost estimates of contract provisions that exceed FLSA provisions in preparation for the upcoming contract negotiations. The target date varies by employee unit. Target Date: Jun-2021 (Delayed From: Dec-2018) Potential Budget Savings: Between May 2011 and August 2014, overtime costs to supervisory employees approached $4 million. At that time, we estimated pursuing reductions in overtime and comp time for supervisory employees could save over $1.6 mullion.
#12-02 Audit of Information Technology General Controls #02 To improve password and access controls over the City's network and data, ITD should: a) Establish minimum length and complexity requirements for users' passwords, automatic periodic expiration schedules, and "lock-outs" when users reach a predetermined number of consecutive unsuccessful login attempts. b) While granting access to additional server drives, etc., ITD should by default, terminate transferring employees' access to the drives of the departments they are departing, or explore a system through which employees' access levels are tied to their employment status as recorded in the City's personnel system. c) Develop a review process requiring departments to periodically review the users with access to their departmental drives.	IT	Implemented	a) IT has established minimum length and complexity requirements for passwords that need to be changed on a regular schedule including for the City's Financial Management System (FMS) and the City's human resource management system (PeopleSoft). The PeopleSoft password requirements will be rolled out after the end of the City's open enrollment period to minimize disruptions. b) IT implemented a Group ID project that would automate Active Directory for creation and disabling of employee accounts. c) IT reached out to departments to confirm or modify privileges for shared folders. IT plans to do this attestation on an annual basis.

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#12-02 Audit of Information Technology General Controls #04 In order to fully comply with Data Security Standards (PCI-DSS), immediately develop an Information Security Policy and include within this policy (applicable to all users who are connected to the City's network) the following minimum standards: a) Updated password and access protocols (see Recommendation #2); b) Required schedules for periodic reviews of people with access to data center (including restricting the number of people with access); c) Improved guidelines to departments for facilitating IT network changes during inter-departmental transfers and terminations; d) Training and implementation of the City's information security policy; e) After developing and implementing a Council-adopted Information Security Policy, initiate a citywide data security assessment to identify City's PCI-DSS status.	IT	**Implemented - Priority**	a) IT has updated password and access protocols and worked with relevant departments to develop procedures on processing credit cards that would be compliant with PCI-DSS standards. The Department also made two courses on credit card tampering prevention and best practices available through the City's CSJ University. b) The IT Administrative Officer conducts a semi-annual review of employees authorized to access the data center. c) IT has implemented a Group ID project that would automate Active Directory for creation and disabling of employee accounts and review the audit of security groups. d) The City's Information Security Policy was approved April 2019. Training on this policy has been provided to department IT personnel.
#12-02 Audit of Information Technology General Controls #05 The City should expand its Identity Theft Prevention Program to include all programs that collect personally identifiable information and: a) Annually review, amend and report on the status of handling private information. b) Annually review the business needs of employees with access to private information and update accordingly. c) Provide periodic training for all employees handling private information and/or annually highlight (through an email) and inform employees of their responsibilities on safeguarding this data. d) Include boilerplate language in its contracts to protect the City from liability when personally identifiable information is collected and ensure that the contractor has controls in place to secure and protect this information. e) Ensure that the ITPP guidelines are posted publicly and easily accessible by City employees.	IT / OER	Closed	The City no longer has an Identity Theft Prevention Program. Instead IT has adopted the NIST cybersecurity framework which are guidelines and best practices to manage cybersecurity risk. Those guidelines also include assessing systems with personally identifiable information (PII). IT assessed infrastructure for PII and has made this assessment available to other departments. Further, IT provided training to HR and IT staff on the City's Information Security Policy (adopted April 2019). In addition, IT has an agreement to use a cybersecurity training platform to provide training to all City employees. Finally, IT has worked with Purchasing and the City Attorney's Office to incorporate boilerplate language in its contracts where personally identifiable information is generated, collected or otherwise managed. We should note that the City's Office of Civic Innovation is working on a Citywide privacy policy which will provide guidance on reviewing and reporting status of handling private information, reviewing the business needs of employees with access to private information, and providing periodic training. The Office deliverables include the privacy policy, a data retention schedule, a privacy assessment toolkit, a training framework for City departments, developing a master list of sensing technologies, developing a sustainable privacy governance model and stakeholder engagement. Protecting privacy and providing training to City staff on privacy protection is an on-going effort and we encourage IT staff and the City Administration to continue its efforts in this area.

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#12-02 Audit of Information Technology General Controls #08 ITD take the lead to develop (and test) a Disaster Data Recovery Plan and ensure that end-user business needs are included in the final plan.	IT	**Implemented - Priority**	IT has developed and tested a Disaster Recovery Plan and continues to work with the Office of Emergency Management to identify and assess risk of key systems across the City. We encourage IT and the City Administration to continue to update and test the disaster recovery capability of the City on a continuous basis.
#12-02 Audit of Information Technology General Controls #10 Because computer equipment may contain personal identifiable information and other sensitive information, ITD should develop, distribute, and implement a Citywide policy for decommissioning computer equipment, and include it in the citywide surplus inventory policy.	IT	Implemented	IT has developed internal procedures to decommission computers including laptops, and servers. The Citywide Administrative Policy 5.2.1 (Transfer of Surplus Property) was updated in September 2019 and requires that any computing device containing City data will be disposed in accordance with the Information and Systems Security Policy 1.7.6.
#12-04 Police Department Secondary Employment #01 The Police Department should develop and immediately implement a written procedure for periodic review of off-duty employment timecards including comparisons of: (a) City timecards to off-duty timecards, (b) timecards for multiple off-duty jobs to each other to test for fraud, and (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.	PD	Partly Implemented	Following the audit, the Department updated procedures for the Secondary Employment Unit (SEU) to include audits of timecards to test for fraud, overlapping hours, as well as secondary employment worked simultaneously with disability or other leaves. The Department periodically reviews timecards. However, due to staffing constraints, SEU is unable to conduct additional reviews. The Duty Manual was updated after the audit to cover failure to report SEU hours. The Police Department is working with its software vendor to add software updates to enable the department to accurately track its employees' hours and pay rates. After this is done, the Department will need to review the process to test employee timecards to off-duty timecards. Target Date: Jul-2020 (Delayed From: Jun-2017)
#12-04 Police Department Secondary Employment #02 The Police Department should develop a system to compile real-time data regarding the number of hours worked and pay earned from off-duty work.	PD	Partly Implemented	In 2013, the Department purchased scheduling software that could potentially allow for real-time data as recommended. The Police Department is working with its software vendor to add software updates to enable the Department to accurately track its employees' hours and pay rates. See recommendation #1. Target Date: Jul-2020 (Delayed From: Dec-2013)

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#12-04 Police Department Secondary Employment #03 The Police Department should: (a) keep lists of work permits and employers updated and be able to provide summary data; (b) include tests in periodic reviews to ensure the completeness of pay job hours that are reported to the City; (c) specify in the Duty Manual the disciplinary consequences for both employees and supervisors for failure to consistently report off-duty hours worked; and (d) develop a way to track enforcement actions taken at pay jobs; one possibility is a special code or call sign in CAD to designate calls from those working secondary employment.	PD	Partly Implemented	(a) The Police Department is working with its software vendor to update its software in order to accurately track work permits, hours and employers. (b) After the audit, the SEU Procedures Manual was revised to require verification of hours worked based on secondary employers' records; SEU management advises that the unit has insufficient staffing to conduct more than periodic verifications. (c) After the audit, several sections of the Duty Manual were updated to outline disciplinary measures with regards to secondary employment. (d) SEU created specific call signs dedicated to secondary employment jobs. The Department reports that officers use these call signs to track enforcement actions taken at pay jobs, and SEU has continued to send reminders to its staff to use these call signs. The Department reports that the work permit system is online but further tests are needed on the approval notifications. Target Date: Jul-2020 (Delayed From: Dec-2019)
#12-04 Police Department Secondary Employment #04 The SEU should report to the Police Chief at least annually on the following data about the secondary employment program: (a) the number of hours worked, (b) the amount of pay earned by employee from each off-duty employer, (c) the number of employees who have off-duty work permits, (d) the total number of permits, and (e) the number of employers participating in the program. The report should also note major changes or challenges with program during the prior year.	PD	Partly Implemented	The Department purchased scheduling software in 2013 that it hoped could allow for tracking of hours worked and pay earned as recommended in parts (a) and (b). The Police Department is working with its software vendor to enable accurate tracking of secondary employee hours and pay rates. Once this is complete the Department will have to continue to work with the vendor to determine the types and format of reports that its software can run. Target Date: Jul-2020 (Delayed From: Dec-2013)
#12-04 Police Department Secondary Employment #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.	PD	Partly Implemented	SEU has advised that current staffing levels in SEU are inadequate to provide this information currently. The E-Resource update is expected to give the Department the ability to track compensation earned -- by company and by individual officer. Further discussion is needed to determine whether this information could be made public on the website, and at what level of detail. Target Date: Dec-2024 (Delayed From: Dec-2013)

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#12-04 Police Department Secondary Employment #09 The Police Department should enforce its procedure for periodic inspections of secondary employers. As specified in the procedure, such inspections should include reviews of: (a) current business license and proper regulatory permits, (b) other required licenses or professional certificates, (c) employer logs of officer work hours, (d) consistency of job with description on work permit and employer approval form, (e) whether officers at site have current/authorized work permits on file. Inspections of a sample of employers should occur at least quarterly, be documented, and notes maintained on the resolution of problems. The Police Department should inform employers and employees that such reviews will occur.	PD	Implemented	An Officer position was brought back in the Permits Unit and is tasked with conducting SEU site inspections while out in the field on permit inspections. The Department anticipates that the officer will conduct 2-4 inspections per month.
#12-04 Police Department Secondary Employment #10 The Police Department should clarify (in writing) the City's limited liability with regard to workers' compensation in the context of secondary employment.	PD	Partly Implemented	No written clarification has been provided to employees or employers regarding the liability associated with workers' compensation in the context of secondary employment. OER is currently in the process of working with stakeholders to develop a policy providing this clarification. Target Date: Jan-2020 (Delayed From: Jun-2019)
#12-04 Police Department Secondary Employment #11 The Police Department should immediately eliminate the practices of allowing Department employees to solicit off-duty work and allowing them to be paid in cash. The Department should develop and implement a written procedure that includes a business card SJPD employees can provide to businesses or individuals who inquire about hiring off-duty police. The card could include contact information for SEU and inform businesses that calling SEU is the only way to arrange the hiring of SJPD employees. A provision should also be added to secondary-employer agreements to prohibit cash payments to SJPD employees for off-duty work and to require employers to issue appropriate tax documents to pay job employees.	PD	Partly Implemented	The Duty Manual has been revised to prohibit Department members from soliciting secondary employment and from being paid in cash (with exceptions allowed if approved by the SEU commander or the Chief of Police). In addition, Department management advised that the secondary employer application was removed from the intranet, and that all applications were required to be processed through SEU. Notice of a tax document provision was not added to the secondary employer application. The Department plans to update the webpage once the implementation of its online software is complete. Target Date: Jul-2020 (Delayed From: Dec-2019)

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#12-04 Police Department Secondary Employment #12 Assuming that the City continues to offer uniformed off-duty employment to private employers, then the Department should contact local business organizations as well as existing approved employers and inform them of (a) revisions to the secondary employment program, and (b) new procedures that prohibit officers from soliciting jobs or accepting cash payments or gratuities, and (c) how to contact the Department if they are interested in secondary employment, (d) pay rates for secondary employment and prohibitions on gratuities or other forms of compensation, and (e) how to lodge a complaint or suggestion, and (f) the requirement that SJPD employees may only enforce the law and may not enforce employer rules. The Department should also provide guidance, in writing, about how employees should address potential situations in which there is a conflict between what a private employer requests of them and their role as a City employee.	PD	Partly Implemented	Although the Department has not yet conducted the outreach to local business organizations and existing approved employers as recommended in this recommendation, the Department has: a) Made forms and instructions regarding SEU officers available on the Department website. Businesses are required to go through this process to employ SEU officers. b) Revised the Duty Manual in 2012 to prohibit Department members from soliciting secondary employment and from being paid in cash. c) The SEU website posts Frequently Asked Questions that provides information on how to contact the Department if they are interested in secondary employment. d) While pay rates are posted on the application form, there is no posted information on prohibition on gratuity or other forms of compensation e) There is a link on the SEU website for complaints, questions or suggestions with a stated goal to respond within 5 business days. f) The Duty Manual clarifies that officers working SEU assignments, "May act to prevent a breach of the peace or to enforce the law, but officers shall not use their police authority to enforce a secondary employer's policies or regulations". Target Date: Jul-2020 (Delayed From: Dec-2019)
#12-04 Police Department Secondary Employment #16 The Police Department should develop and implement written guidelines that include criteria for how pay jobs are assigned by SEU and by coordinators. The Department should also prohibit employees who work in the Secondary Employment Unit from working pay jobs, even if they were working such jobs before being assigned to the unit. Reasonable exceptions should be included related to oversight of special events.	PD	Partly Implemented	The Department revised the Duty Manual in 2012 to prohibit employees who work in SEU from working pay jobs. Exceptions are made for SEU staff to work pay jobs coordinated through SEU after obtaining approval from the SEU commander. This was designed to allow SEU employees who were heavily involved in the oversight/planning of a special event to be able to work at that event and take advantage of their familiarity with it. In 2014, SEU staff reported that pay jobs had become harder to fill due to mandatory overtime requirements, and that the unit had not been receiving complaints about the process for filling secondary employment jobs. In our opinion, it is still essential that the Department have criteria for how to assign secondary employment jobs to ensure the perception of fair and equitable distribution of such jobs. Target Date: Jul-2020 (Delayed From: Dec-2013)

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#12-04 Police Department Secondary Employment #17 The Police Department should revise its written guidelines for the exercise of discretionary judgment in determining the number of police employees the Department requires event organizers to hire for special events. The guidelines should specify the criteria upon which the decisions will be made and should also address how the Department determines an appropriate mix of private security and police.	PD	Partly Implemented	In 2012, SEU advised that it was working with the Office of Cultural Affairs (OCA) to find an appropriate mix of security, non-sworn personnel, and police to staff events. In 2013, in collaboration with the Department of Transportation (DOT) and OCA, the Department created a new traffic control model. However, the model did not address the issue of written guidelines. The Department responded that it would continue to evaluate each event by looking at historical data related to repeat events, and by working closely with event promoters and DOT to determine the proper mix of personnel and equipment. In our opinion, written guidelines are important so as to be fully transparent in how the Department determines appropriate staffing levels and associated costs for events. Target Date: Jul-2020 (Delayed From: Dec-2013)
#12-04 Police Department Secondary Employment #20 The Police Department should fully implement the Independent Police Auditor's recommendation for ongoing ethics training and should try to do so as soon as possible.	PD	Implemented	The Department conducted ethics training in 2012. The Department reports that it provided training on Fair and Impartial Procedural Justice and 21st Century Policing. The curriculum includes concepts of quality of treatment, lawfulness vs legitimacy, Golden Rule, treating people with dignity, transparent decision making, etc. Finally, each officer along with their yearly evaluation also signs and acknowledges understanding of the Law Enforcement Code of Ethics and the City's Code of Ethics.
#12-04 Police Department Secondary Employment #21 If the Police Department retains the system of decentralized coordination, the SEU should be solely responsible for appointing coordinators and providing them with the lists of employees available to work pay jobs. The SEU should also maintain an up-to-date list of coordinators and the jobs they oversee. The Department should also establish and implement clear written guidelines regarding: (a) roles and responsibilities of coordinators and how they fit within the chain of command, (b) a prohibition against any form of compensation other than pay, (c) a fixed hourly rate for coordinators as well as not-to-exceed limits on coordinators pay, (d) clarify that coordinators can only be paid for actual hours of coordination rather than an agreed upon estimate or "plug", and (e) expressly prohibit coordination on City time.	PD	Partly Implemented	SEU management updated its list of all coordinators in 2012 but now advises that this is not currently occurring. The Duty Manual covers the roles and responsibility of the coordinator. While coordinators may schedule members of a higher rank to SEU, they will not schedule members of a higher rank that are in their immediate chain of command. The Duty Manual also prohibits coordination of secondary employment when a Department member is on duty. In August 2019, the Duty Manual was modified to standardize the rate of pay for coordinators. The coordinator pay now reflects the individual SEU pay set by the Police Chief. The Department continues to need policies to prohibit any form of compensation other than pay, and clarifying that coordinators can only be paid for actual hours of coordination rather than an agreed-upon estimate. Target Date: Jul-2020 (Delayed From: Dec-2019)

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#12-04 Police Department Secondary Employment #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.	PD	Partly Implemented	In 2012, SEU management advised that some cost-benefit analysis was conducted and that the Department was exploring options for the future structure of the secondary employment program. The Department advises its focus continues to be on maintaining core services. (See Recommendation #30) Target Date: Dec-2024 (Delayed From: Dec-2019)
#12-04 Police Department Secondary Employment #23 The Police Department should: (a) immediately develop and enforce a reasonable daily hour limit and should consider a rest period prior to a regular shift; (one possibility is to reinstate the 14-hour daily limit previously in place), and (b) apply the 24-hour weekly limit for off-duty jobs even in weeks when employees have taken time off, and (c) develop a way to ensure sufficient days off per month.	PD	Partly Implemented	In 2012, the Duty Manual was revised to limit the number of hours worked in a 24-hour period to 16 hours. The 24-hour weekly limit on secondary employment hours was increased to 30 hours per week. The Duty Manual makes an employee's supervisor responsible for monitoring the impact of secondary employment on the performance of the employee's duties. The Department currently does not mandate that employees take days off each month. The Department reports that this issue requires further discussion. Target Date: Dec-2020 (Delayed From: Dec-2019)
#12-04 Police Department Secondary Employment #25 Because engaging in secondary employment may prolong the recovery of a member who has been injured, the Police Department should (a) ensure that the existing Duty Manual provision prohibiting secondary employment while on disability leave is enforced, and (b) develop a process for identifying employees who are working secondary employment hours either concurrently or in the same time frame as taking disability leave hours.	PD	Partly Implemented	The SEU Procedures Manual includes a provision for auditing employee timecards to check whether an employee was on disability leave while working secondary employment. However this is not enforced. Furthermore, the Duty Manual prohibits officers from working any SEU jobs while on a disability. A violation of this would be enforced during the Department's periodic reviews. The Department advises that once E-Resource has been updated, it anticipates that officers on disability will not be able to sign up for SEU assignments. Target Date: Mar-2020 (Delayed From: Mar-2019)
#12-04 Police Department Secondary Employment #26 The SEU should be housed in the Police Chief's office with the appropriate mix of civilian and sworn employees, with an emphasis on civilians to perform administrative duties and an emphasis on stable staffing and sufficient staffing to provide oversight. Sworn employees should be of sufficient rank to oversee all lower ranks that work secondary employment.	PD	Partly Implemented	In 2012, SEU was moved to the Office of the Chief. The Administration will evaluate potential budget proposals to add civilian positions in SEU in the context of the overall budget situation and competing funding priorities. In our opinion, additional civilian staffing could help relieve sworn staff of administrative duties, and also provide stability to the unit. Target Date: Dec-2024 (Delayed From: Dec-2019)

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#12-04 Police Department Secondary Employment #27 The Police Chief should set clear goals and a timetable for restructuring the secondary employment program and should propose a plan as soon as possible to the City Council for secondary employment going forward.	PD	Partly Implemented	In 2012, SEU management advised that the Department was exploring possibilities for the future structure of the secondary employment program. The Department advises its focus continues to be on maintaining core services. Target Date: Dec-2024 (Delayed From: Dec-2013)
#12-04 Police Department Secondary Employment #28 The Police Department should: (a) calculate the comprehensive cost of the secondary employment program (personnel, administrative costs, etc.), (b) compare those costs to the revenue generated by related fees, and (c) determine the fees that would be required to make the program 100% cost recovered and present this data to the City Council.	PD	Partly Implemented	In 2012, SEU management advised that the Department was exploring options for the future structure of the secondary employment program. The Department advises its focus continues to be on maintaining core services. Target Date: Dec-2024 (Delayed From: Dec-2019) 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.
#12-04 Police Department Secondary Employment #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.	PD	Not Implemented	In 2012, SEU management advised that some cost-benefit analysis was conducted and that the Department was exploring options for the future structure of the secondary employment program. The Department advises that due to staffing shortages, work on this recommendation has not begun. Target Date: Dec-2020 (Delayed From: Dec-2019) Potential Budget Savings: In 2019, the General Fund subsidy of the secondary employment liability policy was $23,000.
#12-04 Police Department Secondary Employment #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.	PD	Partly Implemented	In 2012, SEU management advised that some cost-benefit analysis was conducted and that the Department was exploring options for the future structure of the secondary employment program. The Department advises its focus continues to be on maintaining core services. Target Date: Dec-2024 (Delayed From: Dec-2019)

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#12-05 Review of Fire Department Performance Measures #01 For those performance measures that it will continue to track, the Fire Department should document methodologies for calculating measures. In particular, the Bureau of Fire Prevention should document its methodologies for calculating and reporting key performance measures, including but not limited to measures for internal day-to-day management and public reporting.	FIRE	Implemented	The Fire Department has updated its methodologies for calculating performance measures, including validating data sources. Documentation includes the purpose, major users, source, and description of the data for each performance measure.
#12-05 Review of Fire Department Performance Measures #02 The Fire Department should continue to review—by core service—its performance measures and determine which are most important to monitor and track on an ongoing basis for internal use, management purposes, and for public reporting.	FIRE	Implemented	The Fire Department has updated its methodologies for calculating performance measures and has developed ongoing reports to monitor performance. These reports include data about turnout time, fire inspections, response times, and dispatch protocol compliance, and are used by management and staff to analyze and improve performance.
#12-05 Review of Fire Department Performance Measures #03 The Fire Department should assess—by core service—how performance data can be used by management and staff on an ongoing basis to help analyze past performance, establish next performance objectives, and examine overall performance strategies.	FIRE	Implemented	The Fire Department has updated its methodologies for calculating performance measures, including validating data sources. Documentation includes the purpose, major users, source, and description of the data for each performance measure. Additionally, the Department has developed ongoing reports which are used by management and staff to analyze and improve performance.
#12-06 Environmental Services #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.	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, 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. As of June 2019, ESD has continued working with the City Attorney's Office on this recommendation. Target Date: Jun-2020 (Delayed From: Sep-2017)

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#12-06 Environmental Services #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.	ESD	Partly Implemented	In coordination with the City Managers' Budget Office and the City Attorney's Office, 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. As of June 2019, ESD has continued working with the City Attorney's Office on this recommendation. Target Date: Jun-2020 (Delayed From: Dec-2016)
#12-07 Fire Department Injuries #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.	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. HR received funding during the FY 2019-20 budget process for a consultant to do a full citywide review of job classifications. Firefighter classifications will be part of that review. Target Date: Dec-2019 (Delayed From: Jun-2018)
#12-07 Fire Department Injuries #05 The Administration and Employee Health Services should streamline and refocus the annual physicals by: a) removing duplication and focusing on job-specific and State-mandated requirements, and b) developing a process for handling those individuals who are unable to meet pre-determined minimum fitness thresholds. This may be subject to meet and confer and could be applicable to other employees in physically demanding positions around the City.	HR	Implemented	The annual physicals follow the NFPA standards for physicals. Employee Health Services reports they follow-up with employees on the results of their annual physicals including discussing potential risk factors and changes in key markers. Employees are encouraged to follow-up with their physicians if needed. Since the audit, the Fire Department implemented a semi-annual health risk assessment fitness evaluation that provides an employee an assessment of their fitness and potentially recommendations to address and improve their aerobic fitness. If an employee gets a "fit score" of 2 or below, the Fire Chief may direct the employee to participate in a fitness program while on duty.

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#12-07 Fire Department Injuries #08 To ensure proper attention is given to the cost of workplace injuries, the Fire Department should A) work with the Workers' Compensation Division to develop and report on the total costs of disability leave (including the cost of backfilling employees on disability leave), and B) develop goals to reduce these costs by getting employees back to work as soon as possible.	FIRE	Implemented	The City's Workers' Compensation Division Manager works closely with the Fire Department to track and report on the total costs of disability leave. The Fire Department has developed an internal tracking mechanism to determine the costs of backfilling employees on disability leave. The Fire Department reports that these costs will be reported to the Public Safety, Finance and Strategic Support Committee on an annual basis. HR has developed a citywide goal of reducing recordable injuries, lost time accidents, workers' compensation costs and related costs by five percent. The Division Manager sends monthly reports of injury costs and the 4850 costs to the Fire Department. The City is also in the process of working with the Firefighters' Union (Local 230) to "fasttrack" firefighter injury diagnostics to ensure that injuries are addressed as soon as possible. The Fire Department's overall workers' compensation costs have been reducing. There has been a 10 percent reduction in total number of recordable injuries in calendar year 2018 compared to 2017. The 2018-19 Fire Department workers' compensation costs have decreased by over $700,000 from the previous fiscal year.
#12-08 Ten Years of Staffing Reductions at the City of San José #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.	CMO	Not Implemented (Subject to meet and confer)	This recommendation would have to be considered as part of labor negotiations. Target Date: Jun-2021 (Delayed From: Dec-2018)
#12-08 Ten Years of Staffing Reductions at the City of San José #02 Modify the reinstatement process to A) Allow departments to choose the most qualified candidate on the City reinstatement lists when such lists are in effect, regardless of seniority. B) Develop an exemption process for managers who have compelling cases for not filling critical positions from reinstatement lists. C) Allow employees to waive reinstatement for a certain time period or a certain number of opportunities.	CMO	Not Implemented (Subject to meet and confer)	This recommendation would have to be considered as part of labor negotiations. Target Date: Jun-2021 (Delayed From: Dec-2018)

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#12-08 Ten Years of Staffing Reductions at the City of San José #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.	CMO	Not Implemented (Subject to meet and confer)	This recommendation would have to be considered as part of labor negotiations. Target Date: Jun-2021 (Delayed From: Dec-2018)
#13-02 Deferred Compensation #04 The City Attorney's Office and Human Resources should review the Deferred Compensation Plans and draft amendments to the Municipal Code as follows: A) Assign responsibility for administering the Plans to the City Manager or her designee, including the operation and interpretation of the Plans in accordance with their terms and contractual authority to enter into contracts for the administration of the Plans. B) Clarify the oversight role and responsibilities of the Deferred Compensation Advisory Committee, including reviewing and advising on annual budgets and proposed changes to the Plan document, the Investment Policy, and the investment menu, and reduce the Committee's required meeting frequency to a semiannual or as-needed basis. C) Leave the basic provisions of the Deferred Compensation Plans in the Municipal Code (Name, Purpose, Establishment of Trust, Definitions, Deferral of Compensation, Participation in the Plan, and Administration of the Plan, etc.), and remove the specifics of the Plans so that they can be put in stand-alone Plan documents. D) Authorize the City Manager or her designee to prepare and adopt the stand-alone Plan documents and update the Plan documents as necessary to conform with necessary legal or operational changes (while requiring any benefit changes to be approved by the City Council).	HR / CAO	Not Implemented	The City Attorney's Office, in consultation with outside counsel, has finished revisions for the Deferred Compensation 457 Plan. The City Attorney's Office and staff are reviewing proposed revisions to the PTC Plan. It is anticipated that the changes to both the Deferred Compensation 457 Plan and PTC Plan will be brought to the Deferred Compensation Advisory Committee (DCAC) for comment in 2019. Target Date: Dec-2019 (Delayed From: Jun-2017)
#13-04 Fire Prevention #09 The Department should reexamine its non-development fire permit fee structure to charge San José facilities based on fire safety risk.	FIRE	Not Implemented	Analysis of a risk-based inspection/fee model and their applicability to the City of San José is included in the scope of work for of a study by NBS Government Finance currently underway. Target Date: Jun-2020 (Delayed From: Jun-2017)

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#13-04 Fire Prevention #10 The Fire Department should work with the Finance Department to ensure timely and sufficient follow-up on overdue accounts. The Finance and Fire Departments should work together to develop written policies and procedures that outline the division of responsibility for accounts between the Fire Department and the Finance Department.	FIRE / FIN	Implemented	Since 2018, the Finance and Fire Departments have met quarterly to complete an analysis of aging receivables for the fire permits program and facilitate a write-off of uncollectible accounts. The Finance and Fire Departments developed a document that outlines the division of responsibility for accounts between the two departments. Additionally, Finance revised the City Administrative Policy Manual Chapter 5.3.6 General Guidelines for Account Receivable / Revenue Collection Policy and developed the Accounts Receivable / Revenue Collection Procedures. These policies and procedures establish the guidelines for delinquent accounts follow-up. Potential Budget Savings: The audit identified $1.2 million in one-time savings that could be generated by collecting revenue from overdue accounts.
#13-04 Fire Prevention #12 The Fire Department should update the organizational chart of Fire Administration, ensure that the appropriate separation of duties is in place, and develop written policies and procedures regarding billing processes. Such policies and procedures should address functions such as account: (a) invoicing (b) adjustments and credits (c) collections and (d) write-offs.	FIRE / FIN	Implemented	The Fire Department updated an organizational chart for Fire Administration in 2018, and has created policies and procedures related to a) invoicing, b) adjustments and credits, and d) write-offs. In response to part c) and as described in Recommendation #10, the Finance and Fire Departments developed a document that outlines the division of responsibility for accounts between the two departments. Additionally, Finance revised the City Administrative Policy Manual Chapter 5.3.6 General Guidelines for Account Receivable / Revenue Collection Policy and developed the Accounts Receivable / Revenue Collection Procedures. These policies and procedures establish the guidelines for following up on delinquent accounts.
#13-04 Fire Prevention #17 To implement a risk-based inspection approach, the Fire Department should develop a workload analysis that assesses: (a) staffing requirements in the Bureau of Fire Prevention, (b) the effective use of light-duty firefighters and line staff in fire prevention activities including public education, and (c) how much additional time could become available if the Department conducted fewer re-inspections.	FIRE	Partly Implemented	A) The consultant study underway by NBS Government Finance will include recommendations for a new inspection service delivery model. B) To the extent possible, the Department has been utilizing light duty personnel who have been trained in fire safety code inspections, analytics, and fire prevention education. Through a return-to-work program, the Department is working to match light duty personnels' skills with available positions. C) To ensure that inspector time is spent efficiently, Fire Prevention has a policy in place that an Administrative Citation shall be issued upon the third site inspection for any violation that has not been corrected. Target Date: Jun-2020 (Delayed From: Jun-2017)

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#13-04 Fire Prevention #19 The Fire Department should develop a public education program based on the fact that many fires and most of the fire deaths in recent years occurred in multifamily residences. Public education efforts should include working with the community to provide education to children and other high-risk groups as well as education about and access to smoke detectors.	FIRE	**Partly Implemented - Priority**	The Fire Department's Strategic Business Plan (Vision 2023) was presented to the City Council in June 2016. Part of the focus of Vision 2023 was Community Alliance -- including goals to expand community partnerships and promote public education. Additionally, the Fire Department has undergone an organizational review by an external consultant. Public education is critical to fire prevention because many fires and fire deaths occur in multifamily dwellings, which are subject to limited fire inspections (at the time of our audit, multi-family dwellings and hotels/motels made up about a quarter of the facilities with outstanding fire code violations). Currently, the Department makes smoke detectors available when possible for line staff to distribute to residents. The Department has an ongoing partnership with the American Red Cross to help provide smoke detectors in mobile homes through the Sound the Alarm program. The Department received a donation for $500,000 to install smoke detectors in mobile homes, and was awarded grant funding from the Department of Homeland Security for additional funding for smoke detectors. The Department plans to work with the City Auditor's Office to review options to further meet its public education goals and the intent of this audit recommendation. Target Date: Jun-2021 (Delayed From: Jun-2019)
#13-04 Fire Prevention #20 The Fire Department should continue to develop a Public Relations Committee as a way to connect with the community and provide targeted public education. The Department should assess the extent to which light or modified-duty firefighters could perform public education activities.	FIRE	Partly Implemented	Shortly after the publication of the audit, the Department's public education staff and a public relations committee developed an initial work plan to reach out to neighborhood associations throughout the City. The Fire Department's Strategic Plan incorporates public education into the Department's goals. In the 2019-20 Adopted Operating Budget, a Public Information Manager position was added. The Department reports that this position, along with representatives from the Bureaus of Field Operations, Fire Prevention and Training, will work together to reestablish the Public Relations Committee. Currently, the Department conducts a number of public education events, including: Halloween Glow Necklace and safety tip sheet distribution for safe trick-or-treating, Illegal Fireworks Campaign, National Night Out, "Every 15 Seconds" Drinking and Driving educational event, Fire Prevention Safety Week, and Wildfire Awareness Month. Target Date: Jun-2020 (Delayed From: Jun-2018)
#13-06 Consulting Agreements #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.	CMO / FIN	Not Implemented	The City Manager's Office is in the process of executing a service order with a consultant to document the current process for consultant procurements across various City departments, document cross-functional roles and responsibilities, identify inconsistencies across departments, and develop recommendations on process improvements. The City Manager's Office reports that this information will be used to establish a City policy for procuring consultant services. Target Date: Mar-2020

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#13-06 Consulting Agreements #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.	FIN	Partly Implemented	Finance has engaged Human Resources (HR) and the City Manager's Office (CMO) on discussions for the consulting-based training. The CMO is in the process of engaging a consultant to update policies and procedures. Finance plans to work with the CMO and HR to develop a training. Additionally, Finance is in the process of procuring a new e-Procurement system which will contain templates that will help streamline the e-Procurement process. Target Date: Jun-2020 (Delayed From: Jun-2018)
#13-06 Consulting Agreements #08 We recommend that the City: A) Reconcile overpayments as described above and get reimbursed for these overpayments, 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 C) Require contract managers to reconcile previously received deliverables to contract payments during the contract amendment process, prior to increasing contract amounts.	CMO / FIN	Partly Implemented	With respect to item (a), in 2014, the SJPD executed a retroactive extension that approved prior year expenditures with at least one of the consultants we identified (Corona Consulting). Policies and procedures have not yet been drafted to cover the circumstances outlined in parts (b) and (c) of this recommendation. The City Mangers Office (CMO) is in the process of executing a service order for a consultant to evaluate current practices and to develop recommendations. The CMO intends to use this information to establish consistent City policy for procuring consulting services. These items should also be included in upcoming trainings. Also see Recommendation 1306-09. Target Date: Mar-2020 (Delayed From: Dec-2019)
#13-06 Consulting Agreements #09 We recommend the Administration develop Citywide policies and procedures on contract monitoring and management including: - 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. We further recommend that the City require contract administrators to annually certify they have reviewed and understand those policies and procedures.	CMO / FIN	**Not Implemented - Priority**	The City Manager's Office is in the process of executing a service order with a consultant to document the current process for consultant procurements across various City departments, document cross-functional roles and responsibilities, identify inconsistencies across departments, and develop recommendations on process improvements. The City Manager's Office reports that this information will be used to establish a City policy for procuring consultant services. Once finalized, the Finance Department intends to include these updated policies in their trainings. Target Date: Jun-2020 (Delayed From: Jun-2018)

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#13-06 Consulting Agreements #10 For inter-departmental contracts, we recommend the Administration require staff to designate a responsible staff member who would be accountable for all aspects of contract monitoring, including invoice approval and review.	CMO / FIN	Implemented	The City Manager's Office updated the contract transmittal sheet to include an option to select "Multiple departments", and designate one lead department and contact. The updated form is posted to the Clerk's intranet page for City staff use and is available here: http://sanjoseca.gov/DocumentCenter/View/42308.
#13-06 Consulting Agreements #11 We recommend the Administration ensure that: 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 B) Require staff to include a notation regarding the City's retention policies in each individual contract file.	CMO / FIN	Not Implemented	At this time, contract management and document retention has largely been delegated to individual department staff. The City Manager's Office is in the process of executing a service order with a consultant to document the current process for consultant procurements across various City departments, document cross-functional roles and responsibilities, identify inconsistencies across departments, and develop recommendations on process improvements. The City Manager's Office reports that this information will be used to establish a City policy for procuring consultant services. See recommendation 1306-09. Target Date: Mar-2020 (Delayed From: Jan-2018)
#13-06 Consulting Agreements #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.	FIN	Partly Implemented	Finance has engaged Human Resources (HR) and the City Manager's Office (CMO) on discussions for the consulting-based training. The CMO is in the process of engaging a consultant to update policies and procedures. Finance plans to work with the CMO and HR to develop a training. Additionally, Finance is in the process of procuring a new e-Procurement system which will contain templates that will help streamline the e-Procurement process. Finance intends for the training to include City's conflict of interest and ethics policies in its consultant training. Target Date: Dec-2020 (Delayed From: Jun-2018)
#13-06 Consulting Agreements #15 Once a new electronic data management system is available, we recommend the City Clerk prepare and annually post a listing of payments to consultants over the previous year, including: (a) the consultant's name, (b) the general nature of the work performed, (c) the type of procurement process used, (d) the department, and (e) the amount paid.	CLERK	Partly Implemented	The City's new electronic data management system, GILES, went live in March 2018, and is available to the public. The Clerk reports that a checkbox was added to GILES which allows tracking of consultants (for new agreements) with a description of service, the department, and total amount of the process. This does not include the ability to track payments or the type of procurement process. The means other options for preparing the recommended report will need to be pursued for tracking payments and procurement process. Target Date: Jun-2020 (Delayed From: Dec-2017)

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#13-11 Code Enforcement #08 The City Administration should propose to expand the Residential Occupancy Permit program to include condominiums functioning as rental apartment complexes.	PBCE	Not Implemented	The goal of the Residential Occupancy Permit Program is to provide minimum safety and habitability standards for renters. As reported in 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 are not receiving the same level of service afforded to other rental residents. The current City policy to exclude condominiums (potentially housing hundreds of renters) defeats the underlying purpose of the program and leaves a significant portion of San José's renters potentially at risk. Code Enforcement had previously been part of a multi-departmental permitting system upgrade. However, because of implementation challenges, in June 2019 Code Enforcement was removed from the project scope and will now begin work on securing its own database and case management system. Code Enforcement anticipates that the new system will provide the capability to incorporate condominiums into the Residential Occupancy Permit Program. Target Date: Jul-2021 (Delayed From: Jul-2018)
#13-11 Code Enforcement #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.	PBCE	Partly Implemented	Code Enforcement inspectors contact property owners or their representatives to schedule inspections. However, no information is provided to tenants as to the purpose of this inspection, what types of violations have been found, or even to alert them that an inspection occurred in their place of residence. Code Enforcement is exploring options to provide tenants information when an inspection occurs at their place of residence and to give them options on receiving the results of those inspections. Target Date: Jul-2021 (Delayed From: Jul-2018)
#13-11 Code Enforcement #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.	PBCE	Partly Implemented	As described in the audit, Code Enforcement's current database does not have the capability of interfacing with PBCE's 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 had previously been part of a multi-departmental permitting system upgrade. However, because of implementation challenges, in June 2019 Code Enforcement was removed from the project scope and will now begin work on securing a its own database and case management system. Code Enforcement anticipates that the new system will provide the capability to incorporate condominiums into the Residential Occupancy Permit Program. Code Enforcement anticipates that the new database will provide inspectors with full access to this information. In the interim, some inspectors have been provided laptops in which they can VPN to the current PBCE system if needed in the field. Target Date: Jul-2021 (Delayed From: Jul-2018)

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#13-11 Code Enforcement #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.	PBCE	Partly Implemented	Code Enforcement staff has to manually update the Multiple Housing roster by checking the AMANDA database for newly issued Certificates of Occupancy. This manual process can be unreliable. Code Enforcement was previously part of the Planning, Building and Code Enforcement permitting system upgrade. However, in June 2019 Code Enforcement was removed from the project scope and will begin work on securing its own database and case management system. Code Enforcement is exploring different options to determine how this automation can occur. Target Date: Jul-2021 (Delayed From: Jul-2018)
#13-12 Audit of Employee Travel Expenditures #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.	FIN	Partly Implemented	Finance staff is reviewing how to best incorporate this recommendation into the Procurement Card Policy (City Administrative Policy 5.1.2). Target Date: Dec-2019 (Delayed From: Jun-2017)
#13-12 Audit of Employee Travel Expenditures #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.	FIN	Partly Implemented	The Finance Department released an RFP for an Electronic Travel and Expense Management Solution in June 2019. Upon vendor selection, Finance will develop an implementation plan. Target Date: Jun-2020 (Delayed From: Jun-2018)
#14-07 City Procurement Cards #01 We recommend that the Finance Department revise the Procurement Card Policy to: A) Emphasize the responsibility cardholders have to make prudent purchases; B) Include questions that guide cardholders to evaluate the reasonableness of their purchases; C) For purchases that require IT approval, require documentation of that approval be attached to p-card statements; 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; E) Clarify the department coordinator's responsibility to notify Finance of all violations and that Finance should only refer personal purchases to OER; and F) Establish a process to have frequent contact via email with department coordinators	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 currently in outline/draft form -- Finance had delayed changes pending any potential recommendations from the recent 2019 p-card audit. 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: Dec-2019 (Delayed From: Jun-2015)

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#14-07 City Procurement Cards #03 To improve transparency, accountability, and legibility, the Finance Department should create a pilot program that: a) Begins the transition to online approvals, payment code entries, annotations and general finance coding (office supplies, travel, etc.); b) Considers requiring monthly statements of activity be signed by cardholders and approving officials to ensure that all transactions are authorized; c) Allows individual departments to collect, store, and submit receipts in PDF; and 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).	FIN	Partly Implemented	The Finance Department began working with U.S. Bank in 2015 to determine whether it should wait to begin using online modules until the update of the City's financial reporting software was complete. At the time, the Department determined that the online approval module was not workable with the City's financial reporting software, however US Bank later updated its online reporting tool and staff reviewed it anew, meeting with U.S. Bank in March of 2018. At the time, Finance determined the online reconciliation would not be feasible until the City's financial reporting software was upgraded. The upgrade is complete, but staff now report that integration with U.S. Bank modules is not feasible due to staff and policy constraints. The draft p-card policy makes reference to measures for improved transparency, which are to be detailed within a p-card administrative guide. Both documents are currently in draft form -- Finance had delayed changes pending any potential recommendations from the recent 2019 p-card audit. Target Date: Dec-2019 (Delayed From: Jun-2015)
#14-07 City Procurement Cards #07 The City Administration should ensure that p-card expenditures accurately categorize expenditures by type of budgetary purposes.	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 still in draft form, as Finance had delayed changes pending any potential recommendations from the recent 2019 p-card audit. Target Date: Dec-2019 (Delayed From: Jun-2015)
#14-08 Development Services #13 Implement the technological infrastructure needed to support electronic plan submittal and review.	PBCE / IT	Partly Implemented	PBCE reports that the implementation of this recommendation is dependent on the successful launch of the AMANDA 7 upgrade for the Integrated Permitting System (IPS). Once upgraded, the electronic plan review software can be deployed with an expected completion date in 2020. Target Date: May-2020 (Delayed From: Jun-2015)
#14-08 Development Services #15 To improve communication with project participants, PBCE should upgrade the online permit interface to provide relevant project information to anyone affiliated with the project.	PBCE	Partly Implemented	As referenced in the update to Recommendation 13, PBCE reports that the implementation of this recommendation is dependent on the successful launch of the AMANDA 7 upgrade, after which the public portal can be deployed. Target Date: June-2020 (Delayed From: Jun-2015)
#14-08 Development Services #18 Eliminate the Construction & Demolition Diversion Deposit.	PBCE / ESD	Not Implemented	ESD reports that it is continuing to explore and test potential solutions to automate and streamline the Construction & Demolition Diversion Deposit (CDDD) refund for homeowners. Meanwhile, the Department has increased its outreach to customers by sending follow-up letters to permit holders who are eligible for refunds. So far, 3 percent of these customers applied for approximately $39,000 in refunds and approximately $13,000 has been approved. Target Date: Jun-2021 (Delayed From: Mar-2017)

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#14-08 Development Services #19 To increase accessibility of online fee estimation, PBCE should update and simplify the online fee calculator.	PBCE	Not Implemented	PBCE reports that it is currently exploring new online tools to allow customers to easily calculate and estimate their fees. The Department aims to procure a vendor to build the online fee estimator in Fall 2019 with full implementation by the end of 2020. Target Date: Dec-2020 (Delayed From: Jun-2016)
#14-12 Accounts Receivable #08 To maximize collections, Finance should finalize and implement its revenue collection procedures (City Administrative Policy). These should include criteria and time frames to pursue specific collections activities, including: Automatically sending accounts to the City's outside collections agencies; Pursuing legal remedies; Liening properties; and Writing off old accounts. The procedures should also identify supervisory or management roles for reviewing delinquent accounts and collections activities.	FIN	Implemented	The Finance Department has updated and revised General Guidelines for Accounts Receivables/Revenue Collection (City Administrative Policy 5.3.6). This policy includes criteria and time frames to pursue specific collections activities such as sending accounts to outside collections agencies and liening properties. Finance has developed internal Accounts Receivable/Revenue Collection Procedures. These policies and procedures establish the guidelines for delinquent accounts follow-up. Potential Budget Savings: At the time of the audit we estimated the City could recover $42,000 a year by automatically sending accounts to the City's outside collections agencies.
#14-12 Accounts Receivable #10 To aid the collection process, the Finance Department should work with the City Attorney's Office to explore expanding lienable activities, such as with Planning, Building, and Code Enforcement's neglected and vacant homes program.	FIN / CAO	Partly Implemented	SJMC Section 17.38.340 requires a property owner subject to registration under Chapter 17.38 to pay a monitoring fee as set forth in the City Council Schedule of Fees resolution. If a property owner fails to pay the fee, it is a debt owed to the City. In 2016, Finance requested that the Appeals Hearing Board ("Board") authorize a lien for an unpaid monitoring fee. The Board denied the request stating that there is no authority in the Municipal Code authorizing such lien. However, Code Enforcement can issue a Compliance Order under Chapter 1.14 and Finance can then request a lien pursuant to the administrative remedies process. Code Enforcement is in the process of updating procedures for the Neglected and Vacant Building and Storefronts Program to issue Compliance Orders to property owners for non-payment of monitoring fees so Finance can pursue liens before the Appeals Hearing Board, as appropriate, pursuant to the administrative remedies process. Target Date: Dec-2019
#14-12 Accounts Receivable #12 The Finance Department should work with: • The Information Technology Department to develop an online payment option for accounts owing to the City and managed in Revenue Results. • The Fire Department and Information Technology to develop an online payment option for invoices billed through FireHouse.	FIN / IT / FIRE	Implemented	The Finance Department has implemented online payment portals for RevQ invoices and citations as well as a payment portal for FireHouse fire permits. The portals are accessible to the public on the Finance Department website. RevQ payment portals are accessible via the links "Pay Administrative Citations" and "Pay Invoices for City Services and Fees." The FireHouse payment portal is accessible via the link "Pay Commercial Fire Permits."

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#14-12 Accounts Receivable #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.	FIN / IT / PBCE / FIRE	Partly Implemented	Finance is coordinating with the IT Department to prioritize upgrades and improvement to its financial systems. Interfaces between FireHouse and PBCE to RevQ is expected to be delivered in Phase II of RevQ implementation, which is expected to occur in FY 2019-20 after other financial systems replacements and upgrades. Target Date: Jun-2020 (Delayed From: Jun-2018)
#14-12 Accounts Receivable #18 Once Revenue Results is implemented, the Finance Department should develop and implement procedures for periodic departmental account reviews to determine collection rates and assess performance of the revenue collection process. These results should be shared with departments to help identify potential problems and solutions to improve the revenue collection cycle.	FIN	Partly Implemented	In January 2015, the Finance Department updated and posted its General Guidelines for Accounts Receivables/Revenue Collection (section 5.3.6 of the City Administrative Policy Manual). This policy includes periodic departmental account reviews. Finance is developing procedures and is working with IT and the vendor to finalize reports for departments to review on a periodic basis. Target Date: Dec-2019 (Delayed From: Dec-2018)
#15-04 Employee Hiring #11 Work with departments to update minimum qualifications and job specifications to ensure they are pertinent to job requirements, starting with those that are out-of-date.	HR	Partly Implemented	Human Resources contracted with Koff & Associates to review and update 69 job classifications that are most frequently recruited for and/or have more than 50 incumbents. These updates were completed by the consultant in October 2016 and forwarded to the bargaining units. HR reports that this first phase of classification review has been completed. HR is continuing to update classifications as issues are brought forward during the recruitment process. As part of the 2019-20 Proposed Operating Budget, HR received funding to utilize consulting services to continue a second phase of updating additional job classifications city-wide. HR will work with a consultant to initiate this second phase of classification updates. Target Date: Jun-2020 (Delayed From: Dec-2015)

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#15-05 PRNS Fee Activity Program #01 PRNS should work with the Budget Office to: A) Reassess the purpose of the Fee Activity Program (including cost-recovery targets), B) Provide reasonable justification for mid-year expenditure request, C) More clearly link revenues and expenses to their respective programs, and D) Determine which activities should be included in the Fee Activity Program.	PRNS / BUDGET	Partly Implemented	PRNS has previously worked to refine its financial modeling for various fee programs that change based on community interest and demands. With much of this work complete, PRNS is developing a Fee Activity Program Description and Administrative Guidelines document in coordination with the Budget Office. This document aims 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. Target Date: Dec-2019 (Delayed From: Jun-2016)
#15-08 Golf Courses #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.	PRNS	**Partly Implemented - Priority**	The 2019-2020 Proposed Operating Budget includes the pay down of $5.0 million of debt associated with golf courses, including the remaining debt ($3.4 million) associated with Rancho Del Pueblo Golf course and a portion of the debt ($1.6 million) associated with the Los Lagos Golf Course, leaving approximately $13.7 million in debt outstanding. Staff expects to post the RFP for golf course operators in 2019, with results presented to City Council in the first quarter of 2020. Target Date: Mar-2020 (Delayed From: Dec-2018) Potential Budget Savings: The estimated General Fund transfer for both golf courses for 2019-20 is $7.2 million--$5 million of which is the debt pay down.
#15-08 Golf Courses #05 To improve oversight of the golf courses and contracts, the Department of Parks, Recreation and Neighborhood Services should: A) Regularly audit Muni's gross revenues and capital improvement fun; B) Keep all golf records centrally and ensure they are obtained timely; C) Formalize the revised maintenance standard; and D) Formally approve the fees charged and discounts given to The First Tee and the schedule of access hours.	PRNS	Partly Implemented	Upon completion of the Request for Proposal process noted in the update for Recommendation #1, staff will include updated maintenance standards in new Qualified Management Agreements. Subsequently, staff plans to renegotiate the City's agreement with The First Tee to formalize the organization's fees, discounts, and access hours. Target Date: Mar-2020 (Delayed From: Jun-2017)

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#15-09 Police Hiring #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.	PD	Partly Implemented	The Department created a Police Cadet classification which was approved by City Council in March 2017. The Administration will evaluate potential budget proposals to advance a cadet program in the context of the overall budget situation and competing funding priorities. Target Date: Jul-2020 (Delayed From: Dec-2017)
#16-02 Street Sweeping #01 DOT's in-house street sweeping operation should stop emptying street sweepings onto the street.	DOT	Partly Implemented	Best practices advise that sweep waste should be stored in containers to minimize pollutants and debris in the air, on roadways, and in waterways. DOT received a previous estimate of $300,000 for a contractor to provide bins and hauling service to eliminate on-street sweep waste dumping. Due to funding constraints, DOT continues using a revised approach, which still involves emptying street sweepings onto the street. DOT's Heavy Equipment team picks up the sweepings from designated dumping sites daily and a street sweeping crew will pick up residual debris during the next sweeping shift. The City Council approved funding in the FY 2019-20 Operating Budget for additional staff and the purchase of a vehicle and bins. DOT reports that they are evaluating purchasing options and are in the process of hiring the additional staff. Target Date: Jan-2020 (Delayed From: Jun-2017)
#16-02 Street Sweeping #04 The City should identify additional funding to improve street sweeping service citywide.	DOT / BUDGET	Implemented	DOT reports they have obtained additional funding for various service improvements, including one-time funding in FY 2017-18 for an additional 44+ curb miles of parking restriction signage. The signage was installed and fully enforced as of October 2018. DOT reports they hired a temporary Associate Construction Inspector to support the new signage and enhanced sweeps and are in the process of hiring a permanent staff. Also, the department received an additional street sweeper in 2018, with another expected by the end of 2019. For 2019-20, DOT received funding for staff and equipment to minimize street waste dumping, which may help to address a separate recommendation. We encourage DOT and the Administration to continue prioritizing service improvements for citywide street sweeping and identifying additional funding as needed.

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#16-02 Street Sweeping #05 DOT and ESD should deploy the new electronic inspection system and GPS-tracking devices to: A) Enable supervisory staff to track vehicle location, speed, and activity remotely; B) Link route conditions and problems, and street cleanliness to specific locations along street sweeping routes; and C) Include electronic tracking and inspection compatibility in future bids for contracted street sweeping services.	DOT / ESD	Partly Implemented	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. B) DOT reports that all operators have been equipped with tablets that enable them to link obstructions (tree branches, debris) to specific locations for follow-up. However, currently only higher priority issues (debris blocking streets, sidewalks, or bike lanes) are being routed to a team for follow-up. DOT reports that lower priority issues (tree trimming, debris in park strips) will require additional resources to allow adequate follow-up. In the interim, the Department reports they hired a temporary staff person to identify obstructions in conjunction with pavement inspection teams, and is in the process of hiring a permanent position. C) On June 18, 2019 Council directed staff to negotiate and execute an agreement through June 30, 2036 with GreenWaste, in accordance with term sheets presented to Council, for citywide residential yard trimmings and street sweeping collection and processing, and backend processing of municipal solid waste. ESD and DOT staff will continue negotiations with GreenWaste to explore residential street sweeping enhancements, including incorporating electronic inspection and GPS tracking capabilities. Target Date: Dec-2019 (Delayed From: Jan-2018)
#16-02 Street Sweeping #06 Based on staff input, route data, the results of past studies, and equipment needs, DOT should: A) Review and revise street sweeping schedules and routes; B) Consider additional enhanced sweeps in particularly dirty areas as funds and resources become available; and C) Develop a plan to periodically review street sweeping schedules and routes that consider street conditions.	DOT	Partly Implemented	A) DOT reports they have reviewed and revised street sweeping schedules and routes to the extent that funding and resources allow. The residential street sweeping program maintains a once per month sweeping schedule as part of the current contract. B) DOT reports that enhanced sweeps were completed for 16 streets in FY 2017-18. DOT is also in the hiring process for an Associate Construction Inspector, which is expected to facilitate up to 20 enhanced sweeps per year for the residential street sweeping program. C) DOT reports that minor adjustments can be made to sweeping routes, but these do not occur as part of a systematic review. DOT intends to develop a plan for a regular review of sweeping routes and schedules by the end of 2019-20, which may include identifying funding needs to facilitate this type of review. Target Date: Jun-2020 (Delayed From: Jun-2018)

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#16-03 The City's Use and Coordination of Volunteers #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).	CMO	Partly Implemented	In 2017, the Administration utilized an Encore Fellow to create a draft volunteer policy which is expected to be useful in developing materials to help volunteer coordinators conduct outreach or promote their volunteer programs more effectively. In March 2018, a cross-departmental Volunteer Service Initiative Working Group was established by the CMO in partnership with the Mayor's Office to build on the work of the Encore Fellow. The working group has continued and includes representatives from the CMO, PRNS, Library, HR, OER, Attorney, and the Mayor's Office. In 2018, through the Gen2Gen campaign and with grant support, the City also began piloting an SMS text message volunteer outreach tool for older adults. The pilot allows for participants to develop a profile of volunteer preferences via the tool and receive volunteer opportunities through text message. Although this pilot is initially intended for volunteer outreach to older adults, there is the potential for this tool to improve accessibility of volunteer opportunities for all residents and be included in the future guidance for City staff. Target Date: May-2020 (Delayed From: Feb-2018)
#16-03 The City's Use and Coordination of Volunteers #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.	CMO	Partly Implemented	In 2017, the Administration utilized an Encore Fellow to develop a draft volunteer policy that includes minimum standards for the management of volunteer programs, including fingerprinting requirements, TB testing, the use of volunteer agreements, and other health and safety requirements. In March 2018, a cross-departmental Volunteer Service Initiative Working Group was established to review the draft volunteer policy developed by the Fellow. The policy is currently still in draft form and is being reviewed in light of current service-oriented pilot projects, such as those related to the ongoing Gen2Gen campaign. Target Date: May-2020 (Delayed From: Feb-2018)
#16-03 The City's Use and Coordination of Volunteers #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.	CMO	**Partly Implemented - Priority**	In 2017, the Administration utilized an Encore Fellow to create a draft volunteer policy and identify best practices and tips that was the basis for the beginning of a volunteer management guidebook. In March 2018, a cross-departmental Volunteer Service Initiative Working Group was established to review and add to the drafted Volunteer Management Guide. Through the Gen2Gen campaign and with grant support from the Health Trust, the Mayor's Office has partnered with PRNS and community organizations on three service-oriented pilot programs, an outcome of which is the creation of a blueprint, or toolkit, based on lessons learned and best practices. It is intended that the blueprint will provide insights to city departments on engagement and operational strategies related to volunteer programs. This document is intended to serve as a volunteer guide or "toolkit" for staff during the development and management of volunteer programs. Target Date: May-2020 (Delayed From: Feb-2018)

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#16-03 The City's Use and Coordination of Volunteers #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: 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. B) Allowing volunteers to apply with multiple place-based programs at once. 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.	CMO / PRNS / ESD / DOT	Not Implemented	A cross-departmental Volunteer Service Initiative Working Group was established in March 2018. Among the issues the group explored was the use of technology to better promote, manage, and evaluate volunteer experiences. In 2018, through the Gen2Gen campaign and with grant support, the City also began piloting an SMS text message volunteer outreach tool for older adults. The pilot allows for participants to develop a profile of volunteer preferences via the tool and receive volunteer opportunities through text message. Although this pilot is initially intended for volunteer outreach to older adults, there is the potential for this tool to improve accessibility of volunteer opportunities for all residents to engage in neighborhood volunteerism. In addition, an outcome of this and other Gen2Gen campaign pilot programs is expected to be the creation of a blueprint, or toolkit, based on lessons learned and best practices. It is intended that the blueprint will provide insights on operational strategies related to volunteer programs. Target Date: May-2020 (Delayed From: Dec-2018)

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#16-03 The City's Use and Coordination of Volunteers #05 The Administration should work with the Fire Department's Office of Emergency Services to define specific roles for volunteers in the City's updated emergency operations plan and reactivate the Community Emergency Response Team (CERT) program.	CMO	**Implemented - Priority**	The CERT program obtained one-time funding for 12 CERT training courses during FY 2016-17 and a second round of funding for FY 2017-18. As the City did not have internal staff available to conduct CERT programs, the City issued three separate RFPs during 2017 and 2018 for a consultant to conduct the trainings. Unfortunately, all three RPP processes were unsuccessful. The Office of Emergency Management (OEM) brought in State certified trainers to train 32 volunteers (including 12 City firefighters) to become trainers. OEM also worked with City Attorney's Office and the California Office of Emergency Services to evaluate City ordinances, resolutions, and policies to determine compliance with Volunteer Disaster Service Worker (DSW) policies and rules. In December 2018, the Emergency Services Council was reconvened. In February 2019, the City Council approved an updated City of San José Emergency Operations Plan, Base Plan, which includes volunteer management over CERT trained volunteers, search and rescue, and the Radio Amateur Civil Emergency Services (RACES) program. The Emergency Services Council has also approved (a) creation of a DSW Volunteer Program, which would ensure volunteers are properly registered and covered by workers' compensation and (b) a CERT training schedule that was to begin in the spring of 2019. As of June 30, 2019, there had been five 20-hour CERT courses delivered with additional training scheduled during FY 2019-20.

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#16-03 The City's Use and Coordination of Volunteers #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.	PRNS	Partly Implemented	In FY 2016-17, PRNS convened a meeting of all community center Recreation Supervisors to share an overview of community center volunteer programs, followed by site visits where center staff discussed their policies and procedures, how to improve their programs, and best practices and feedback on the use of the Better Impact software. PRNS hired a Volunteer Coordinator in September 2017 and began moving towards department-wide coordination of volunteer efforts. In 2018, PRNS convened a working group of staff from each community center to improve communication and coordination, and share insights, practical limitations and implementation ideas. Staff has begun to study utilizing software that will allow for electronic signature and storage of liability forms, which will eliminate the need for physical storage of documents and help enable broad oversight of community center volunteer programs. Staff continues to make progress as the details of the program are analyzed and implemented. Staff is focused on creating a workable process for TB testing for volunteers in community centers. Additionally, staff is involved in discussions about the Citywide coordination of volunteers, the move towards online signatures, the finalization of a draft Citywide volunteer handbook, volunteer recruitment, social media and recognition. Once completed, these many aspects of the Citywide volunteer program will greatly enhance the volunteer's experience at the community center level. Target Date: Dec-2019 (Delayed From: Feb-2019)
#16-04 Technology Deployments #09 IT and Finance should review and update policies on technology procurement (including the purchase of PCs and monitors), make all required forms available centrally in one location, and train relevant staff on technology procurement processes.	IT / FIN	Partly Implemented	IT is in the process of updating the Procurement of Information Technology policy (City Administrative Policy 5.1.9). Guidelines on technology procurement are available on IT's intranet site. Target Date: Nov-2019 (Delayed From: Dec-2017)

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#16-05 South Bay Water Recycling #04 To sustain South Bay's operational and capital cost recovery status in the future, ESD should: 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 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.	ESD	Not Implemented	A) SBWR is in ongoing conversations with the Santa Clara Valley Water District regarding the terms of the Integration Agreement, implementation of the Strategic Master Plan, and other agreements between the City and the District. Due to timeline extensions for negotiation of a Memorandum of Understanding for an Expanded Potable Reuse facility, and subsequent Comprehensive Agreement, the resulting modifications to the Integration Agreement requires additional time. B) ESD participated in a statewide rate study sponsored by the WateReuse Research Foundation, which was completed in December 2018. South Bay Water Recycling is reviewing the study findings, to recommend the optimum fee study structure that will address program needs. Target Date: Dec-2020 (Delayed From: Jan-2017) Potential Budget Savings: If the City renegotiated the Integration Agreement with the Water District to retain funding for needed reliability projects, we estimate the City would be able to invest an additional $2.8 million annually in these projects.
#16-07 Office of the City Clerk #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: A) Establish and document a more aggressive timeframe for approval of minutes by Council, 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.	CLERK	Partly Implemented	The City Clerk reports that staff shortages have limited the turnaround time for formal minutes. As of September 18, 2019, the most recent minutes posted were from December 10, 2018, indicating a nearly 10 month backlog. However, the City Clerk's Office has been posting synopses of Council meetings by the end of the week (3 day turnaround). Target Date: Sept-2020 (Delayed From: Apr-2017)
#16-07 Office of the City Clerk #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.	CLERK	Not Implemented	The City Clerk reports no progress has been made at this time due to staffing shortages. See also Recommendation #2. Target Date: Sept-2020 (Delayed From: Apr-2017)
#16-07 Office of the City Clerk #13 The City Clerk's Office should develop policies and procedures for the collection of outstanding lobbyist and other fees, which should be approved by the Department of Finance and be in accordance with General Guidelines for Accounts Receivable / Revenue Collection (City Policy 5.3.6).	CLERK	Partly Implemented	The City Clerk reports no progress has been made at this time. Target Date: Dec-2019 (Delayed From: Mar-2017)

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#16-07 Office of the City Clerk #20 The City Clerk's Office should: A) Develop consistent methodologies to track and calculate the performance measures for its statutory responsibilities that are reported in the City's Operating Budget, B) Identify staff leads tasked with maintaining these performance measures and reporting them on a frequent basis to the City Clerk, and C) Develop action plans to address areas where results do not meet established targets or expected results.	CLERK	Not Implemented	The City Clerk reports no progress has been made at this time due to turnover and shortage of staff. Target Date: Jun-2020 (Delayed From: Oct-2017)
#16-08 Police Overtime #04 To reduce the risk that police officers are fatigued due to excessive City police work or secondary employment, the San José Police Department should: (a) Define the circumstances under which overtime is exempt from work limits in the Duty Manual; and (b) Review and enforce work limits for scheduled City overtime and secondary employment.	PD	Partly Implemented	The Department's Fiscal Unit has begun to send each Bureau Chief a biweekly report listing each of the officers who work more than 30 hours of overtime in the pay period to inform the Bureau Chiefs which employees are at a greater risk for fatigue. The Department's use of overtime continues to increase and was $40 million in 2018-19. The Department reports that at this time it will address overtime internally without updating the Duty Manual. Target Date: Jun-2020 (Delayed From: Jun-2018)
#16-08 Police Overtime #05 To facilitate supervisory review of time worked, the San José Police Department should centralize the tracking of all work done in the Department and through secondary employment in a centralized software package. To do this, the Department should obtain additional information technology expertise to fully deploy eResource or an alternative software solution.	PD	Not Implemented	The Department is in the process of updating eResource to address the concerns raised by the audit. The Police Department reports that identified changes in eResource would require software updates. The Police Department has worked with its software vendor to facilitate event planning, and tracking. The Department is working with the City's Purchasing Division to add these updates to the software. The first step in this process is to accurately track SEU hours and rates. Once this is done the Department plans to review and follow-up on the backend process that needs to be changed. Target Date: Mar-2020 (Delayed From: Feb-2018)
#16-08 Police Overtime #08 While vacancies remain high and operational needs require high use of overtime, the Police Department should allow more overtime to be worked for pay and/or require the first ten hours of overtime to be worked for pay.	PD / OER	Partly Implemented (Subject to meet and confer)	The purpose of the recommendation was to limit the future liability that results from high comp time balances and that continues to be a concern. Since the time of the audit, comp time balances have continued to grow--from 220,000 hours to 300,000 hours; the liability for compensatory time increased from $13 million to $18.7 million. The number of staff with balances over 240 also increased -- from 410 to 592. Staffing in the Police Department has also increased which should reduce the ongoing need for overtime and comp time. Currently the Department is staffed at 1,116 sworn staff with an authorized staffing of 1,151 sworn positions. As more sworn staff complete their field training program and become street ready, it will be in a better position to address overtime and compensatory time increases as part of a comprehensive strategy to draw down comp time balances. Target Date: Jun-2020 (Delayed From: Jun-2018)

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#16-08 Police Overtime #09 To reduce the liability associated with high comp time balances, the San José Police Department should: A) Lower the allowable comp time balance from 480 hours, B) Explore a comp time buy-out program, and C) Consider a mandatory comp time balance buy-out upon promotion between sworn ranks.	PD / OER	Not Implemented (Subject to meet and confer)	See recommendation #8. Target Date: Jun-2020 (Delayed From: Jun-2019) 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.
#16-08 Police Overtime #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.	PD	**Partly Implemented - Priority**	Although total overtime hours worked has declined, the number of sworn employees with comp time balances over 240 hours increased from 410 at the time of our audit to 592 in August 2019. The number of sworn employees with a balance of 480 hours increased from 220 to 320. As mentioned in prior updates, 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. The Department however exempted the Bureau of Field Operations (about 337 employees) from this order. Also see recommendation #8 and #9. Target Date: Jun-2020 (Delayed From: Mar-2018) 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.
#16-08 Police Overtime #11 The San José Police Department should clarify the process for denying requests for comp time off.	PD	Not Implemented	The Department will evaluate the process for denying requests for comp time off. Target Date: Jun-2020 (Delayed From: Jun-2019)
#16-08 Police Overtime #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.	PD / OED	Not Implemented	The Police Department advises that at the direction of the City Administration, the Department will meet with the City Attorney's Office to address the formulation of a proposed policy that considers current law enforcement practices and case law. Target Date: Jan-2021 (Delayed From: Jun-2017) Potential Budget Savings: Reimbursement for the two campaign events referenced in the audit would have saved the City $140,000.

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#16-10 The Apartment Rent Ordinance #03 To improve communication and outreach, the Housing Department should: A) Adopt a targeted approach to tenants and landlords, B) Improve language accessibility, C) Improve its lobby space, D) Improve websites, and E) Expand its online offerings including an on-line look-up tool, and the ability to file petitions online.	HSG	**Partly Implemented - Priority**	Housing reports that it has created an annual Outreach Plan for 2019 and is working with Bay Area Legal Aid to target outreach meetings within the community. Print communications are available in English, Spanish, and Vietnamese, with interpreters available for walk-in customers. In addition, earlier this year the Department began translating communications in Chinese. In its efforts to enhance online engagement, the Department has obtained approval from the City Attorney's Office to accept petitions online and has added an interactive map which allows the public to look up addresses to determine if those locations are covered by the Apartment Rent Ordinance. In the meantime, the Department is in process of exploring short- and long-term options for its lobby space redesign. Target Date: Jan-2020 (Delayed From: Jun-2018)
#16-10 The Apartment Rent Ordinance #05 The Housing Department should enter unit addresses into the citywide integrated permitting system.	PBCE	Partly Implemented	While the Department reports that it has completed the reconciliation between the rent registry and the City's Master Address Database (MAD), efforts are still pending in developing a streamlined way to incorporate continuous updates between the two databases. The MAD team in Public Works has reached out to the Department to understand what the next steps are to move this integration forward. Target Date: Jul-2020 (Delayed From: Jun-2018)
#16-10 The Apartment Rent Ordinance #06 The Housing Department should use its live access to the citywide integrated permitting system to answer routine questions about properties and receive alerts about changes to the Multiple Housing Roster, conversion or demolition permit applications, and code enforcement cases.	HSG	Partly Implemented	Housing reports that due to the delays in the upgrade of the Integrated Permitting System (IPS), the department cannot immediately implement automatic notifications. As an alternative, the Department uses its live access to AMANDA and communicates regularly with PBCE to identify permit applications and code enforcement cases related to properties covered by the Apartment Rent Ordinance. The Department has yet to formalize this process. Target Date: Jul-2020 (Delayed From: Jun-2018)
#16-10 The Apartment Rent Ordinance #10 Revise the fee exemption process by: A) Developing an online exemption option, B) Providing receipts or acknowledgements to landlords to confirm exemption requests have been submitted and granted/not granted, C) Establishing reasonable standards for landlords to prove eligibility for exemptions, and D) Developing a validation process to confirm exemption eligibility against building data in the citywide integrated permitting system and other authoritative sources.	HSG	Implemented	The City Attorney's Office has approved the use of electronic signatures for the exemption form, allowing the Department to receive exemptions via email. Housing has began issuing acknowledgements to landlords confirming that an exemption has been provided. As displayed on the fee exemption form, the Department has established standards to prove and confirm eligibility for exemptions and documented its processes to ensure consistency. Potential Budget Savings: TBD.

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#16-10 The Apartment Rent Ordinance #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.	HSG	Partly Implemented	The Rental Stabilization Program has developed a list of strategic activities and will continue developing its Strategic Plan to incorporate strategic goals, objectives, and performance measures, similar to its annual report. Target Date: Mar-2020 (Delayed From: Jun-2018)
#16-10 The Apartment Rent Ordinance #16 To track customer satisfaction, and the perceived effectiveness of services, the Housing Department should develop customer satisfaction and information surveys, feedback cards, and online feedback options.	HSG	Implemented	The Department developed a customer satisfaction survey in English, Spanish, Vietnamese, and Chinese. The survey is distributed at both outreach events and at the completion of the petition process through an online link. This electronic version will allow the Department to tabulate survey results going forward.
#16-11 Mobile Devices #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).	IT	Partly Implemented	IT has worked with direct-support departments to label assets and maintain asset data in an inventory. IT also reports that they shared the process and materials with departmental IT groups to complete asset tagging and data collection. IT will continue to work with all departments to complete the City's inventory. Target Date: Dec-2019 (Delayed From: May-2018)
#16-11 Mobile Devices #02 To ensure that cellphone stipends are cost-effective and reflect current technologies and the usage and needs of City employees, the Information Technology Department should work with the Finance Department to: A) Provide guidance for departments on how to assess the cost-effectiveness of offering a stipend as opposed to issuing a City-owned device; B) Update the eligibility criteria for stipends to reflect business need (i.e., the same criteria for City-owned devices) and delegate approval to the department level; and C) Review and adjust the amount and structure of the City's cellphone and data stipends.	IT / FIN	Partly Implemented	The City Council recently approved an agreement for FirstNet phones, which allow communication among City employees during disaster and recovery. IT reports that, when requesting mobile devices, departments can view the costs of voice and voice + data stipends and compare them to the costs of various City-owned mobile devices. IT and Finance still need to provide guidance for the cost-assessment of issuing a stipend as opposed to a City-issued phone, and criteria for employees' eligibility for a stipend or City-issued device will be included in the draft policy. However, with the upcoming implementation of FirstNet, IT anticipates changes to the draft policy to account for Federal rules governing the use of joint national network and specialized equipment and services. The Administration also anticipates few approvals for non-FirstNet phones, and the elimination of most stipends in favor of FirstNet phones. Target Date: Dec-2019 (Delayed From: Dec-2017)

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#16-11 Mobile Devices #06 The Information Technology Department should develop a Mobile Device Policy to supersede the current Cellular Telephone Policy (1.7.4) to: A) Reflect the use of all mobile devices by employees across the City, including both personal and City-owned cellphones, smartphones, tablets, hotspots, and laptops. B) Clarify the specific duties and responsibilities of mobile device liaisons within departments who are tasked with managing such devices. The new policy should cross-reference with the City's Information Security Policy, the Remote Access Policy, and any other relevant policies that relate to mobile devices.	IT	Partly Implemented	IT reports that the draft of the Mobile Device Policy will need to be revised to account for the transition to FirstNet. With the implementation of FirstNet, the Administration expects to eliminate most stipends for City use of personal phones. Additionally, IT expects the role of mobile device liaisons to change with the centralization of FirstNet orders and assignment. The draft policy will cross-reference and support other relevant policies. Target Date: Dec-2019 (Delayed From: Dec-2017)
#16-11 Mobile Devices #07 To ensure consistent application of the Mobile Device Policy, the Information Technology Department should develop and provide periodic training for department liaisons on their specified administrative duties and responsibilities outlined in the policy for both City-issued and personal devices used for City business.	IT	Partly Implemented	IT reports that the draft of the Mobile Device Policy will need to be revised to account for the transition to FirstNet, with training to follow. With the implementation of FirstNet, IT expects the role of mobile device liaisons to change with the centralization of FirstNet orders and assignment. Target Date: Dec-2019 (Delayed From: Dec-2017)
#16-11 Mobile Devices #08 To address information security risks associated with mobile devices, the Information Technology Department (IT) should develop, and include in the Mobile Device Policy, guidelines and procedures for both City-issued and personally owned devices that identify: A) The degree of access for various types of mobile devices and employee classifications in connecting to either cloud based City services or to the City's network; B) Any applicable support expectations by IT for personally owned mobile devices used for City business; C) Any applicable user conditions, especially if personally owned devices may be enlisted on a mobile device management software; and D) Any applicable IT controls over mobile devices, such as remote locking or wiping of device in case of theft or loss. Any authorization forms, such as the Remote Access Authorization Form, should be updated accordingly.	IT	Partly Implemented	IT reports that the draft of the Mobile Device Policy will need to be revised to account for the transition to FirstNet. With the implementation of FirstNet, the Administration expects to eliminate most stipends for City use of personal phones. Additionally, IT expects the role of mobile device liaisons to change with the centralization of FirstNet orders and assignment. The draft policy will cross-reference and support other relevant policies. Target Date: Dec-2019 (Delayed From: Dec-2017)

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#16-11 Mobile Devices #09 The Information Technology Department should: A) Develop user friendly guidelines on mobile device information security and include it as part of the Mobile Device Policy. B) Establish periodic information security awareness trainings for all personnel who access the City's network on City issued and personal devices.	IT	Partly Implemented	IT reports that the draft of the Mobile Device Policy will need to be revised to account for the transition to FirstNet. IT reports that the final policy will include user-friendly guidelines on information security and mobile security. IT executed the City's second cybersecurity awareness training in October as part of National Cybersecurity Awareness Month, releasing content each week of that month. According to the department, additional training resources and activities will come with the completion of the Advanced Cybersecurity Products and Services procurement. Target Date: Dec-2019 (Delayed From: Dec-2017)
#16-11 Mobile Devices #11 To reduce ordering turn-around and demands on staff time, we recommend the Administration: A) Allow departments to order mobile devices (cellphones, smartphones, hotspots, tablets, and laptops) and accessories directly, through appropriate citywide purchase orders; B) Develop a process for IT or department staff to configure devices to meet information security standards in the Mobile Device Policy. C) Update City policy accordingly	IT	Partly Implemented	IT reports that departments with internal IT support can order standard laptops and tablets directly; all departments can order phones and accessories online with approvals by department management. Currently, IT centrally manages Mobile Device Management (MDM) software. Departments with dedicated IT staff are able to manage mobile devices through the MDM management platform. IT anticipates mobile configurations and associated security standards will be included in the Mobile Device Policy (draft under review). Target Date: Dec-2019 (Delayed From: Dec-2017)
#16-11 Mobile Devices #12 To reduce ordering turn-around and demands on staff time, and to provide greater transparency and citywide inventory control, we recommend the Administration: A) Explore tools to develop online approval form(s) for the approval of City-issued cellphones, smartphones, hotspots, tablets, and laptops, including whether the device will require remote network access, to be authorized electronically and saved in a centralized, searchable database; and B) Revise the Procurement of Laptops and Tablets Policy (1.7.8) and reference the Remote Access Policy (1.7.3) accordingly.	IT	Partly Implemented	Departments with internal IT support can order standard laptops and tablets directly; all departments can order phone and accessories online with approvals by department management. IT reports that the City and its two primary cellular service providers have discussed mobile device ordering, required configurations for security, and a tool to centralize device ordering through vendors' portals. As part of its Business Process Automation project, IT plans to automate the Mobile Device Request form into an online workflow, such that new mobile policy requirements can be built into the ordering form and the business process can be centralized for review and approval. IT reports that it is in the process of procuring a tool for automation. Target Date: Dec-2019 (Delayed From: Dec-2017)

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#16-11 Mobile Devices #14 To address the information security risks of mobile devices, the Information Technology Department (IT) should work with departments citywide to implement Mobile Device Management (MDM) software citywide for the devices that pose the greatest information security risks for the City. Specifically, IT should: A) Prioritize devices that pose the greatest information security risks for the City to be enlisted on an MDM software, and work with departments to implement MDM software citywide for those devices; B) Establish basic minimum standards or settings within the MDM software to protect City data within the software; and C) Either directly manage mobile devices for departments or provide administrative access for departments to manage their own devices if they have the internal capacity to manage those devices.	IT	Partly Implemented	A combination of MDM tools (AirWatch, Apple MDM, and Intune) provide centralized controls over City-owned mobile devices. While some older devices still need to be enrolled in MDM, IT reports that new devices have consistently been enrolled since January 2018. IT has prioritized deployment to high-risk users and to staff with access to sensitive systems. Target Date: Dec-2019 (Delayed From: May-2018)
#16-11 Mobile Devices #15 In order to ensure that the City and/or departments control costs related to mobile device, the Information Technology Department (IT), in consultation with the Finance Department where applicable, should: A) Administer citywide review of mobile device bills for usage and potential cost savings (e.g. zero- and low-use, plan optimization, minute and data pooling, etc.), potentially through the acquisition and utilization of telecommunications expense management software. B) Clarify the management structure between IT and other departments in its updated Mobile Device Policy (see Recommendation #6)—including some level of departmental bill review—and provide procedures and annual trainings to responsible individuals. C) Ensure that appropriate individuals within departments receive vendor reports and communications. D) Ensure that all wireless service users in the City are informed of their plans' features and limitations.	IT / FIN	Partly Implemented	IT reports that it receives cost optimization reports from AT&T, Verizon, and Sprint. IT and vendors have worked on scheduled reports showing City lines with exceptional usage (no/low use or high use) to cancel, suspend, or change service options as appropriate to ensure wireless service costs align with usage and need. IT reports it has centralized mobile devices, and now has oversight of all AT&T and Sprint accounts, as well as partial oversight of Verizon. (The Police Department, rather than IT staff, maintain oversight of their primary Verizon account.) Finally, IT plans to procure a wireless telecommunications expense management solution, though it is still pending. According to staff, this solution will identify cost savings and standardize the plan features that are available to departments. IT reports that the draft of the Mobile Device Policy will need to be revised to account for the transition to FirstNet. With the implementation of FirstNet, IT expects the role of mobile device liaisons to change with the centralization of FirstNet orders and assignment. As processes mature, IT will document procedures and provide training to City departments. Target Date: Dec-2019 (Delayed From: May-2018) Potential Budget Savings: During the audit, we identified $189,000 per year in potential savings from eliminating zero or low use lines, use of pooled plans for devices with low data consumptions, and other active management of telecommunications expenses.

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#16-11 Mobile Devices #16 To support staff training, pool resources, and foster departmental innovation, the Administration should create an interdepartmental working group to serve as a forum for departments to share mobile solutions and processes, and facilitate mobile strategies across the City.	IT	Implemented	The purpose of this recommendation was to periodically bring together teams or representatives from different departments working on mobile strategies to learn from one another. IT has assembled an interdepartmental group focused on the FirstNet transition. The group's quarterly discussions on mobile device management and security facilitate mobile strategies across the City. The group plans a multi-phase implementation, with improvements in mobile phone and device management slated for implementation in December 2019, with broader improvements in devices and services by the end of 2020.
#17-01 Audit of Our City Forest #03 The City Administration should review and formalize its off-site tree replacement process. If the City desires to contract for these services, it should determine whether a competitive process is required to select a provider(s), establish an agreement(s) for these services (including a cost per tree), and require documentation of the tree plantings and maintenance provisions.	PBCE	Implemented	PBCE and DOT staff have developed a revised process for off-site tree replacement that will not require issuing an RFP. A new off-site tree planting fee, appropriate for the actual cost of planting and monitoring trees, was adopted by Council in November 2018. This fee has now been incorporated into the City's AMANDA permit software system. PBCE reports planners were trained at a staff meeting on how to use it. PBCE staff have been collecting the fee and transferred the $27,925 fees collected in FY 2018-19 to DOT in early July. DOT plans to use the funds to issue service orders through existing tree planting agreements for off-site tree plantings starting in October. Going forward the off-site tree fees collected will be transferred quarterly to DOT. DOT plans to provide a geocoded report to PBCE at the end of each fiscal year.
#17-01 Audit of Our City Forest #04 To ensure permit conditions are met, the Planning Division should: A) Require permittees (developers and homeowners/landowners) to provide proof of off-site tree mitigation plantings; B) For development permits, require proof of off-site replacement plantings prior to the issuance of building permits; C) For tree removal permits, continue to require proof of offsite replacement plantings within 30 days of removal of the trees, and utilize Code Enforcement to ensure compliance; D) Retain documentation of verification of compliance with offsite replacement tree conditions; and E) Require maintenance period for replacement trees and replanting if they fail within that period.	PBCE	Implemented	A), B), C), & D) Permittees are required to pay for off-site tree removal for each permit. These funds are transferred quarterly from PBCE to DOT which uses the funds for contract off-site tree plantings between October and June to give better chance for tree survival. At each quarterly transfer, DOT identifies locations needing tree plantings and issues a service order to a contractor. Following the planting, DOT will confirm location and quantity of trees then logs into a database. Each July, DOT plans to provide a geocoded report for each off-site tree planted the previous fiscal year. That report completes the internal process and serves as the final confirmation of off-site tree replacement. Further, PBCE has updated the City's AMANDA permit software to better track off-site tree replacement requirements, incorporating the new off-site tree replacement fee. E) The PBCE-recommended Tree Removal Control Ordinance revisions as it pertains to tree removals on private property were adopted by the City Council December 19, 2017. The revised Ordinance was effective February 9, 2018. Those Ordinance revisions include development of a minimum three-year maintenance process for tree replacement and a requirement for replacement if the tree fails during that time.

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#17-02 Office of Equality Assurance #01 To better administer the prevailing and living wage compliance programs, the Office of Equality Assurance should: 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); 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 C) Ensure the program has sufficient supervisory resources following the implementation of Recommendation #3.	OEA	**Partly Implemented - Priority**	A) Public Works, in coordination with the City Manager's Office, entered into an agreement with InnoActive Group to develop, test, and implement a software solution to assist OEA staff with collection and review of certified payrolls and other compliance documents. OEA staff worked with InnoActive to develop a software tool that will require contractors to submit electronic documents that will be filed and reviewed electronically. Public Works reports that the tool includes the creation of work plans with automatic notifications for requirements and timelines, electronic document submittals through PDF and XML, and an option to use web-based fillable forms. The software tool is currently in beta testing and should go live to contractors by October 2019. 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 be consistent with enforcement, including penalties assessed, while also allowing staff to see trends with certain types of construction and make determinations on the need for additional oversight and site visits. In addition, two OEA staff schedule site visits once a week by reviewing potential high and moderate risk projects with all OEA Specialists. These discussions determine the site visits performed in a given week. C) As the new software platform comes online and staff gains experience with how the platform impacts OEA operations, the City will continue to evaluate supervisory capacity and needs within OEA and will look to adjust resources as necessary. Target Date: Dec-2019 (Delayed From: Jun-2018) 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.

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#17-02 Office of Equality Assurance #02 The Office of Equality Assurance should develop a plan to conduct concerted and ongoing outreach to employees and employers about wage compliance, maximizing its current network with City departments, nonprofits, and community organizations.	OEA	Partly Implemented	Public Works launched the Public Works Academy in March 2019, which focuses on training, educating, and providing resources for both contractors and employees. The Academy had five Opportunity Awareness Events, a four-session seminar series, and a prevailing wage workshop. Public Works reports that a second seminar series took place in summer 2019. Public Works continues to partner with the Small Business Development Center, Hispanic Chamber of Commerce, Black Chamber of Commerce, SCORE Association, work2future, and BusinessOwnerSpace.com. Additionally, Public Works has begun building relationships with the Vietnamese Chamber of Commerce and the Vietnamese Small Business Development Center. The current outreach efforts have been primarily focused on the requirements for contracting with the City and prevailing and living wage, but Public Works reports that going forward, they will consider how to expand outreach for minimum wage and Opportunity to Work. Target Date: Jun-2020 (Delayed From: Jun-2018)
#17-02 Office of Equality Assurance #03 The Office of Equality Assurance should rededicate the 2.0 FTE originally budgeted to administer the Minimum Wage Ordinance. These staff should also aid with the implementation, administration, and enforcement of the City's Wage Theft Prevention Policy and Opportunity to Work Ordinance.	OEA	Implemented	Public Works has reallocated 1 FTE for review of the City of San José Minimum Wage Ordinance, Opportunity to Work Ordinance, and the Americans with Disability Act compliance. Along with supervisory staff dedicated to program oversight, OEA staff report that the 2.0 FTE originally budgeted to administer Minimum Wage have been rededicated. However, with the possible expansion of the City's wage theft program, more staff may still be needed to ensure that the policies have sufficient resources.

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#17-02 Office of Equality Assurance #04 To ensure continuity and consistency in practices, the Office of Equality Assurance should document the processes involved in: A) Determining wage requirements for a prevailing or living wage project and notifying Finance of the wage determination; B) Receiving purchase order information from Finance and sending documents to contractors for living wage projects; C) Conducting pre-construction meetings and sending documents to contractors for prevailing wage projects; D) Performing prevailing wage and living wage payroll reviews, including how to determine the wage rate based on labor compliance documents and how to review inspector logs; E) Escalating enforcement when labor compliance documents are not received, such as sending notices of noncompliance and withholding of payment (see Recommendation #5); F) Calculating restitution for prevailing, living, and minimum wage, and notifying required parties of violations; G) Completing the director review of violation appeals; H) Closing a project after completion; I) Conducting a minimum wage review; J) Conducting outreach for race-neutral disadvantaged business enterprise (DBE) projects and evaluating DBE good faith efforts for race-conscious projects; and k. Completing an Americans with Disabilities Act complaint investigation.	OEA	Not Implemented	Public Works has recently completed negotiations regarding Project Labor Agreements and the Private Workforce Standards Policy and has been developing a Disadvantaged Business Enterprise Program and Local Hire policies. Public Works reports that staff will begin working on the development of standard operating procedures based on the updated programs. Staff advise that previous procedures that had been drafted will need to be revised based on changes to policies and processes. Target Date: Jul-2020 (Delayed From: Jun-2018)
#17-02 Office of Equality Assurance #05 To avoid inconsistencies in the treatment of contractors, the Office of Equality Assurance (OEA) should document staff's decision-making criteria for: A) Timelines for payroll review process; B) Escalation of enforcement and appropriate use of enforcement tools; C) When payrolls are to be requested for service and maintenance projects; and D) The minimum value of a contract at which OEA must be notified.	OEA	Not Implemented	With the development of a violation tracking system (as described in Recommendation #1), OEA staff report that they will maintain a running list of contractors, infractions, and violations, which will be used to develop a policy and procedures manual to ensure consistency. This manual has not yet been developed. Target Date: Dec-2019 (Delayed From: Jun-2018)

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#17-02 Office of Equality Assurance #06 To ensure appropriate and uniform application of the City's formal enforcement mechanisms, the Office of Equality Assurance should: A) Work with the City Attorney's Office to clarify its policy that penalties or liquidated damages should be assessed on all payrolls with wage violations on City-funded projects, regardless of the timing of submission or Notice of Violation; and B) Require that payrolls should be submitted whenever a contract requests a payment.	OEA	Not Implemented	OEA has contacted the Department of Industrial Relations regarding their process for this situation, but staff reported that they received little information. OEA staff have contacted the Department of Labor Standards Enforcement (DLSE), the enforcement arm of the state in this area, for information regarding their process for this situation. Target Date: Jun-2020 (Delayed From: Jun-2018)
#17-02 Office of Equality Assurance #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.	OEA	Not Implemented	Public Works has been developing programs for the Citywide Contracting and Local Hire, and working on developing Project Labor Agreements and Private Workforce Standards. As these policies and programs are developed and approved by the City Council, Public Works reports that additional staffing resources will be needed. These resource needs will be addressed in the upcoming budget cycle. Target Date: Jun-2020 (Delayed From: Dec-2018)
#17-04 Open Government #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.	CMO	Partly Implemented	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. No action was taken since the last update. Target Date: Jun-2020 (Delayed From: Dec-2018)
#17-04 Open Government #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.	OED	Not Implemented	The Office of Economic Development and City Attorney's Office have identified reporting requirements and applicability of different subsidy disclosures. Staff from the Office of Economic Development have reported that they have been working on an internal memo to outline procedures and a records keeping process for disclosure of economic development subsidies, however this has been delayed due to staff turnover. There has been no change to this status. Target Date: Dec-2019 (Delayed From: Jun-2018)

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#17-04 Open Government #03 The City Manager's Office should update the Council memo template to include direction for required disclosures for proposed subsidies of more than $100,000 and more than $1 million, in accordance with the state law and Open Government Resolution, respectively.	CMO	Not Implemented	Agenda Services is working with the Office of Economic Development, the major stakeholder, to create instructions for the memo template. The Office of Economic Development has been delayed in implementing the recommendation due to staff turnover. There has been no change to this status. Target Date: Dec-2019 (Delayed From: Mar-2018)
#17-04 Open Government #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.	OED / FIN	Not Implemented	The City Attorney's Office worked with the Office of Economic Development to outline the reporting requirements and applicability of different subsidy disclosures. The Office of Economic Development reports that it has been working on an internal memo to outline procedures and a records keeping process for disclosure of economic development subsidies, but that implementation of the recommendation has been delayed due to staff turnover. There has been no change to this status. Target Date: Dec-2019 (Delayed From: Jun-2018)
#17-04 Open Government #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: A) Narrowing the non-profit exemption to 501(c)(3) organizations, regardless of whether the organization had received support from the City; or 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.	CAO / CLERK	Partly Implemented	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 has not yet been referred back to Council. It will be presented when the BFCPP takes its other recommended changes to Title 12, which is still to be determined. Target Date: Dec-2019 (Delayed From: Jun-2019)
#17-04 Open Government #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.	CMO	Partly Implemented	The purpose of this recommendation was to address the growth of electronic records, including old emails, many of which are not public records, but are routine, mass, or unsolicited, as well as preliminary draft documents. The City Manager's Office and City Attorney's Office updated the City's Public Records Policy and Protocol to include provisions for public records stored on personal devices or accounts and add reference to disposition and retention of email and social media content. The updated policy was posted on the City's Intranet on May 15, 2019. The Administration will continue to explore approaches to the disposition and retention of email and social media content. Target Date: Jun-2020 (Delayed From: Jun-2018)

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#17-04 Open Government #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: 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. 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.	CMO	Partly Implemented	In early 2018, departments began providing the City Manager's Office with input for revisions to their records retention schedules, which include electronic files for clean out. The City Manager's Office continues to work with departments to revise their records retention schedules, which include electronic files for clean out. In late 2019, the City Manager's Office plans to begin sending periodic reminders to public records and records retention coordinators in each department and to Council Offices. The City Manager's Office will also continue to explore ways to work with IT to implement a citywide reminder similar to key policy reminders from OER. Target Date: Dec-2019 (Delayed From: Dec-2018)
#17-05 Audit of Environmental Services Department Consulting Services #10 To improve consistency across all divisions, ESD should offer additional contract management training. Contract management training should include, but is not limited to the following: Invoice review Situations that require amendments Sales tax accrual process Standard operating procedures for contract monitoring Managing consultant relationships	ESD	Partly Implemented	ESD drafted a non-CIP Contract Management Standard Operating Procedures (SOPs) manual that included instructions and guidance on aspects of contract management. ESD is working with a third-party consultant to review the SOP to set up a standardized contracts management process, and to develop a contract management system for contract monitoring staff to use. The SOPs content and contracts management course curriculum will be completed with the assistance of the selected consultant. The curriculum will be finalized shortly after the contracts management system goes live, and department training on the process is tentatively scheduled for the Fall. Target Date: Dec-2019 (Delayed From: Jun-2019)
#17-06 Audit of Retirement Services #03 The Office of Retirement Services should prepare a comprehensive annual budget document covering the entire aggregate expense of administering each plan.	RET	Implemented	The Office of Retirement Services prepared a budget document that was submitted to the City Council in May 2018 in the form of a Manager's Budget Addendum (MBA). Following questions from the City Council, Retirement Services prepared a supplemental MBA that outlined the plans' expected investment expenses and attached the prior year investment expense report. In May 2019, Retirement Services provided updated budget documents as well as information from the plans' investment expense reports to the City Council.
#17-06 Audit of Retirement Services #04 In compliance with the City Charter, the Office of Retirement Services should formally request each retirement board annually adopt the annual budget document that has also been approved by the City Council.	RET	Implemented	In May 2018, the Office of Retirement Services submitted to the City Council (MBA #2) the budget documents that had been previously approved by the Retirement Boards. Following City Council request, the Office of Retirement Services submitted a supplemental MBA (MBA #3). In May 2019, Retirement Services submitted updated budget documents that included information from the plans' investment expense reports to the City Council. These documents had been previously reviewed and approved by the Retirement Boards at their March 2019 meetings.

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#17-06 Audit of Retirement Services #05 The Retirement Boards should establish formal budget adoption policies and procedures that include clear delegation of authority to staff to spend plan assets subject to certain limits defined by the Boards.	RET	Partly Implemented	The Office of Retirement Services has prepared formal budget adoption policies and procedures which were approved by the Retirement Boards at their August 2018 meetings. The policy states that the budget document will be forwarded to the City Council as a Manager's Budget Addendum (MBA) and will be accompanied by the most recent Investments Fee Report, as well as an estimate of the investment-related fees for the fiscal year of the budget. This was followed for the May 2019 budget process. However, the policy further states that "investment fees reduce the return on investments, they are not an expense of administering the funds... " This is in direct conflict with the opinion of the City Attorney stating that "the compensation paid to investment consultants and managers for investment consulting services relate to the administration of the retirement plans and per Measure G should be identified in Retirement Services' annual budget." We will hold this recommendation as partly implemented until this conflict is addressed. Target Date: Dec-2019
#17-06 Audit of Retirement Services #06 The City Manager's Office should update the City's Operating Budget to: a) include total employee and employer retirement contributions in the City's Operating Budget as summary or historical information, b) cross-reference its separate approval of the Retirement budget, and c) modify the presentation in the Operating Budget's Source and Use statements to display investment expense.	CMO / RET	Partly Implemented	a) The 2019-20 Proposed Operating Budget incorporated a Summary of Contributions to Retirement Funds (Pages III-12 and 13) that included total employee and employer retirement contributions. This summary information was also included in the 2018-19 Adopted Operating Budget. b) The Proposed Budget also included appendices (A24 – A48) with the Retirement Services Proposed Budgets submitted to the Federated and Police and Fire Plan Boards. In addition, the Office of Retirement Services prepared its 2019-20 Proposed Administrative Budget for City Council approval (Manager's Budget Addendum #4). The Auditor's Office notes that in the 2018-19 Adopted Operating Budget, a note was included in the Retirement Services chapter that clarified that the budget figures reflected in that section accounted for only a small portion of the total budget for the Office of Retirement Services. This note was not included in the 2019-20 Proposed Operating Budget, but the Budget Office advises that it will be included in budget documents going forward. c) The Office of Retirement Services did not break out the investment expenses in the Source and Use Statements provided to the Budget Office. The investment income figures presented in the Source and Use Statements were net of investment expenses. As part of MBA #4, the Office of Retirement Services included attachments with the most recent Comprehensive Annual Fee Reports that were presented to the Retirement Boards. Target Date: Jun-2020

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#17-06 Audit of Retirement Services #10 The City as the plan sponsor should provide the Retirement Boards, on a regular basis, with relevant budget documents, such as the City's 5-year budget forecast, the Mayor's budget messages, and the City's proposed operating budget.	RET	Implemented	The City's Budget Director and Director of Finance presented to the Retirement Boards regarding the City's budget and budget process, service level challenges, credit ratings, and budget forecast in October and November 2018. The Budget Director and the Director of Finance are expected to present again to the Boards in October/November 2019, and these presentations are expected to repeat annually. Additionally, the Office of Employee Relations reports that staff provided 2019-20 budget documents to the Retirement Boards as they were published, and will continue to do so.
#17-06 Audit of Retirement Services #11 The City Council should clarify their expectations of the Council representatives to the Retirement Boards, including the type of report and frequency of reporting that would be most useful to the Council.	COUNCIL	Not Implemented	The CMO will work on bringing forward an action that implements this recommendation in the next fiscal year. Target Date: Jun-2020 (Delayed From: Dec-2018)
#17-06 Audit of Retirement Services #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.	RET	Not Implemented	The Retirement Boards' Governance and Investment committees are discussing performance measure changes. The Office of Retirement Services reports that it has received clarification regarding performance measures from the City Manager's Budget Office but still needs to discuss the potential clarifications with the Governance and Investment Committees. Target Date: Dec-2019 (Delayed From: Dec-2018)
#17-06 Audit of Retirement Services #18 The Retirement Boards should clarify the different levels of investment decisions and which bodies have the authority to implement or approve them. The Boards should incorporate these clarifications into updates to the Investment Policy Statements, and if necessary, the Investment Committee Charter and Chief Investment Officer Charter.	RET	Implemented	Retirement Services revised the Investment Policy Statements to update policies on delegation of authority for investment decisions. The revisions were approved by their respective boards in March and April 2019.
#17-06 Audit of Retirement Services #19 The Retirement Boards should periodically provide copies of the retirement plans' investment policies to the City Council.	RET	Partly Implemented	Retirement Services worked with a consultant to update their Investment Policy Statements and posted the new policies to their website. Retirement Services reports that they plan to issue a memorandum with the updated policies when they present their Annual Fee Report to Council this year. Target Date: Dec-2019 (Delayed From: Nov-2018)

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#17-06 Audit of Retirement Services #22 The Office of Retirement Service should assess how to use workflow functionality in PensionGold Version 3 for case management, including routing beneficiary requests to subject matter experts or staff familiar with the case, and to track workload statistics (such as time to complete requests), or acquire a separate case management software system.	RET	Implemented	Retirement Services reports that the new PensionGold Version 3 system (a pension administration system) went live in February 2019. The Office reports that workflow functionality has been integrated into current processes, including the tracking of workload statistics.
#17-06 Audit of Retirement Services #23 The Office of Retirement Services should expand its newsletters to include more information about the plans, upcoming events, and information about retirement.	RET	Not Implemented	Retirement Services reports that they have begun working on updated newsletters and expect to complete them by the end of the 2019-20 fiscal year. Target Date: Jun-2020
#17-06 Audit of Retirement Services #24 The Office of Retirement Service should upgrade their website to promote transparency and ease of navigation for stakeholders and plan members to find information.	RET	Not Implemented	Retirement Services reports that the upgraded pensions administration system went live in February 2019 and implementation has been completed. The Office is in the process of hiring a new Department IT Manager and plans to upgrade the Retirement Services website by the end of the 2019-20 fiscal year. Target Date: Jun-2020
#17-06 Audit of Retirement Services #25 To improve transparency, the Office of Retirement Services should post plan charters and policies, as well as audio recordings of committee meetings, online.	RET	Partly Implemented	Retirement Services reports that it began updating the contents of its website in June 2017. Audio recordings for most of the committee meetings have been posted online on a go-forward basis since June 2017. However, some audio recordings for committee meetings since then have not yet been posted. There is now a link to a Confluence site on the Retirement Services website that hosts the plan's policies and charters. Target Date: Dec-2019 (Delayed From: Dec-2018)
#17-09 San José's Tier 3 Defined Contribution Plan #01 The Administration, in coordination with the City Attorney's Office, should clarify how the Tier 3 contribution base be defined and propose changes to the Municipal Code as necessary. The Administration should also determine whether to make retroactive adjustments or make corrections on a go-forward basis.	CMO / CAO	Implemented	On April 29, 2019, the IRS provided the City with a compliance statement that agreed with the City's proposed change to the definition of compensation and to make such change retroactive to January 1, 2013. On June 4, 2019, the City Council approved an ordinance to modify the definition of compensation to align with the City's practice retroactively to January 1, 2013. The ordinance became effective on July 18, 2019.
#18-01 Pensionable Earnings #01 The Office of Employee Relations and the City Attorney's Office should clarify the term FLSA premium pay in Municipal Code Section 3.36.020.3 C.	CMO / CAO	Not Implemented	The Office of Employee Relations and the City Attorney's Office are researching the issues and evaluating options on clarification of the current definition of FLSA premium pay. Target Date: Dec-2020 (Delayed From: Jun-2019)

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#18-02 Audit of the San José Police Activities League #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.	PRNS / PD	Partly Implemented	PRNS, SJPD, and the City Manager's Office worked to identify alternatives to PAL's current service delivery model. PRNS conducted community outreach and focus groups, and held several meetings with the PAL board to determine the governance of PAL on an ongoing basis. PRNS anticipates a new structure will be determined by Winter 2020, with a new agreement to follow this determination. In the interim, Police staffing has been removed and reassigned in the Police Department, and a former PAL board member is volunteering as part-time executive director of PAL. Target Date: Jun-2020 (Delayed From: Fall-2019)
#18-02 Audit of the San José Police Activities League #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.	PRNS / PD	Not Implemented	The Administration anticipates a new structure will be determined by Winter 2020, and a new agreement will be drafted once the final structure is determined. Target Date: Jun-2020 (Delayed From: Dec-2019)
#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	The Police Department reports that it continues to advertise and market PAL in their patrol briefings and department wide. The status of this recommendation will be reviewed again, once the anticipated new agreement is finalized. Target Date: Jun-2020 (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	The Police department reports that further evaluation of this recommendation is needed. Target Date: 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 / PD	Partly Implemented	PAL recently posted its 2015 and 2016 audits on PAL's website. PAL has hired new auditors for their remaining overdue audits (for 2017 and 2018). Further, PAL's new financial policies outline the requirement to complete financial audits and submit them to the City going forward. The status of this recommendation will be reviewed again, once the anticipated new agreement is finalized. Target Date: Jun-2020
#18-02 Audit of the San José Police Activities League #06 The City should require formal policies and procedures to ensure compliance with Federal and State financial reporting requirements.	PRNS / PD	Implemented	PAL has developed financial policies which include tax filing requirements.
#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 / PD	Partly Implemented	PAL has completed an annual budget for FY 2018-19 and is in the process of developing its annual budget for FY 2019-20. Status of this recommendation will be revisited once the anticipated new agreement between the City and PAL is finalized. Target Date: Jun-2020

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#18-02 Audit of the San José Police Activities League #08 The City should require financial policies and procedures addressing a two signature approval system and cash handling, including segregation of duties, proper cash count methodology, and tracking process.	PRNS / PD	Implemented	PAL has developed financial policies that include a two signature approval system. Further, new bank bags have been purchased for staff use, replacing the paper bag system.
#18-02 Audit of the San José Police Activities League #09 The City should require a formal process to receive donations and record the amount of the donation, the stated purpose of the donation, any restrictions, and final reports on how the funds were used.	PRNS / PD	Implemented	PAL has developed financial policies that address recording donation amounts. PAL has also developed a donation tracking form that includes the donation amount, purpose of donation, and any imposed restrictions. Further, PAL reports that reports are being made available at PAL board meetings.
#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 / PD	Not Implemented	Status of this recommendation is contingent on the determined structure and potential new agreement between the City and PAL. Target Date: Jun-2020 (Delayed From: Fall-2019)
#18-02 Audit of the San José Police Activities League #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.	PRNS / PD	Not Implemented	PAL is working with several companies with signs still up to determine if they would like to continue the relationship with PAL. For the signs remaining, PAL anticipates removing them by the end of the year. Target Date: Dec-2019 (Delayed From: Jun-2019)
#18-02 Audit of the San José Police Activities League #12 The City should require a comprehensive strategy to maximize fundraising opportunities through naming and advertising rights.	PRNS / PD	Not Implemented	Status of this recommendation is contingent on the determined structure and potential new agreement between PAL and the City. Target Date: Jun-2020 (Delayed From: Fall-2019)
#18-02 Audit of the San José Police Activities League #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.	PRNS / PD	Not Implemented	Status of this recommendation is contingent on the determined structure and potential new agreement between PAL and the City. Target Date: Jun-2020 (Delayed From: Fall-2019)
#18-02 Audit of the San José Police Activities League #14 The City should require that the PAL Board formalize conflict of interest policies and determine whether any conflict of interest laws were violated in PAL's previous use of a board member's family insurance or in paying for board member expenses.	PRNS / PD	Implemented	PAL reports the board members have signed conflict of interest policies. PAL has also included a section on conflict of interest in their financial policies, which details the procedure of selecting an insurance provider.

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#18-02 Audit of the San José Police Activities League #15 The City should enforce agreement terms regarding when the fields can be used and when they are allowed to "rest".	PRNS / PD	Partly Implemented	PAL reports that they shut the fields down for the rest period in Winter 2019, as specified in the current 2007 agreement. Status of this recommendation will be revisited once the new structure is determined and a potential new agreement is reached. Target Date: Jun-2020
#18-02 Audit of the San José Police Activities League #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.	PRNS / PD	Partly Implemented	PAL has established a standardized fee schedule, however this does not address free use at the PAL facility or what waivers are required. Status of this recommendation will be revisited once the new structure is determined and a potential new agreement is finalized. Target Date: Jun-2020 (Delayed From: Fall-2019)
#18-02 Audit of the San José Police Activities League #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.	PRNS / PW	Partly Implemented	PRNS and Public Works staff are jointly evaluating the facility and developing a master plan for the PAL facility. PRNS and Public Works developed a list of short-term capital improvement priorities. Some improvements to the facility have been made, and continue to be made. The FY 2019-20 adopted capital budget included $3 million for installing an artificial field, and making other associated improvements. Target Date: May-2020
#18-02 Audit of the San José Police Activities League #18 The City should require a process to ensure consistent and cost-equivalent fees and expenditures among all districts.	PRNS / PD	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. A process is still required to ensure consistent and cost-equivalent fees and expenditures in the future. Target Date: Jun-2020 (Delayed From: Fall-2019)
#18-02 Audit of the San José Police Activities League #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.	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". Currently the custodian of records is a member of SJPD. Depending on future responsibilities, status of this recommendation will be revisited once the anticipated new agreement is finalized. Target Date: Jun-2020 (Delayed From: Fall-2019)
#18-02 Audit of the San José Police Activities League #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.	PRNS / PD	Partly Implemented	PAL has updated rosters of all players, coaches, and assistant coaches participating in each of PAL's activities for 2018 and 2019. Depending on future responsibilities, status of this recommendation will be revisited once the anticipated new agreement is finalized. Target Date: Jun-2020 (Delayed From: Fall-2019)

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#18-02 Audit of the San José Police Activities League #21 The City should require compliance with the concussion awareness requirements in the California Health and Safety Code.	PRNS / PD	Implemented	PAL has developed a concussion policy and distributed concussion awareness education material. These can be found on PAL's website. PAL reports: all coaches and assistant coaches are required to take an annual online course covering concussion awareness and protocols; coaches must provide a copy of their certificate of completion to PAL; parents are provided with a Concussion Information Fact Sheet; and parents are required to sign a Concussion Awareness Form to acknowledge they have reviewed it.
#18-02 Audit of the San José Police Activities League #22 The City should require development and enforcement of policies and procedures for TB testing for relevant employees.	PRNS / PD	Implemented	PAL has internal policies and procedures on TB testing. The appropriate PAL concession employees underwent TB tests for 2018 and for the new employees in 2019.
#18-02 Audit of the San José Police Activities League #23 The City should require formal agreements with the various sports leagues that govern the relationship and responsibilities of each of the leagues.	PRNS / PD	Not Implemented	PAL reports that they are working to restructure their relationships with their various sports leagues, no agreements have been entered into at this time. Target Date: Dec-2019
#18-03 Department of Public Works #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.	PW / Budget	Partly Implemented	In coordination with the City Manager's Budget Office, Public Works has allocated $50,000 to the Public Works Program Support Fund (150) to fund training costs in FY 2019-20. The Department will track other non-project costs throughout FY 2019-20 to determine the allocation needed to account for these costs in Fund 150. Target Date: Dec-2020 (Delayed From: Jul-2019)
#18-03 Department of Public Works #02 Public Works can better ensure that lessons learned improve future performance by: a) Ensuring that project completion reports containing lessons learned are distributed to department an 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	Partly Implemented	Public Works has developed client meeting agenda templates that include sections to discuss Project Completion Reports and Lessons Learned. Additionally, the Department has updated its project completion report templates to capture whether department manuals and project guidance need to be updated as a result of a project's lessons learned. Client Departments are invited, and often attend, project closeout meetings where they receive a copy of project completion reports. Public Works is developing a process to ensure that project completion reports are always provided to client departments, irrespective of attendance to closeout meetings. Target Date: Dec-2019 (Delayed From: Jan-2019)

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#18-03 Department of Public Works #03 Public Works should provide project management training for implementation managers that covers general principles of project management as well as Department/Division procedures for managing projects through the various phases of project delivery.	PW	Partly Implemented	Public Works provided implementation managers project management training in April 2019 and will provide additional training in the Spring of 2020. The Department will update its internal guidelines to document that implementation managers are required to complete the project management trainings and that the trainings will be delivered annually. The Department has also created a Senior Analyst position whose responsibilities include managing and facilitating project management training. Target Date: Dec-2019 (Delayed From: Dec-2018)
#18-03 Department of Public Works #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.	PW	Partly Implemented	The Department is including project file structures and record retention as part of its project manager training, and is considering using its Capital Project Management System (CPMS) to help standardize electronic file structures and store key project documents. Target Date: Dec-2019 (Delayed From: Jul-2019)
#18-03 Department of Public Works #06 To ensure consistent project delivery, Public Works should: 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	The Department reports that it has taken steps to improve internal processes and departmental communication by creating a new project delivery checklist for both of its capital project divisions (CFAS and THS) and establishing bi-weekly roles and responsibility meetings between the design and construction inspection teams. The Department has also reviewed its existing project management resources and has identified the areas where the resources can be improved. Additionally, Public Works has created a new division manager position that will focus on providing departmental and project delivery trainings. Target Date: Dec-2020 (Delayed From: Mar-2019)
#18-03 Department of Public Works #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.	PW / CAO / DOT / ESD	Not Implemented	Public Works expects to complete this recommendation by December 2020, and reports that several technical construction specifications and details have been updated. The department also notes that, pending Council approval, Municipal Code changes resulting from the passing of Measure S will require further updates to the contracting portion of the Standard Details and Specifications. Target Date: Dec-2020

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#18-03 Department of Public Works #08 To improve its metrics used to assess performance, Public Works should: a) Clarify that the performance metrics “on-budget” and “or schedule” for capital projects refer to the construction phase of project delivery, and b) Track the categories of change orders over time across all projects.	PW	Partly Implemented	Public Works has clarified that 'on-budget' refers to the entire life cycle of a capital project and that 'on-schedule' refers only to the construction phase of project delivery. In FY 2019-20, the department started tracking and analyzing change orders, and will report on the results as part of its annual Capital Improvement Project (CIP) report. Target Date: Sep-2020 (Delayed From: Mar-2019)
#18-03 Department of Public Works #09 To improve the scope development process, Public Works should create, and require clients to submit, a comprehensive intake form that clearly identifies the project scope.	PW	Partly Implemented	All PRNS capital projects now include a standard intake form that identifies and defines a project's scope. The Transportation and Hydraulic Services (THS) division is beginning to implement the same intake form as part of its capital projects with the Department of Transportation. Target Date: Dec-2019 (Delayed From: Jul-2019)
#18-03 Department of Public Works #10 To improve coordination and understanding between Public Works and client departments, Public Works should create a standardized project planning document that includes: the scope, budget, and schedule, and identifies the services to be provided by Public Works as well as others. The project planning document should be signed by the client department and Public Works prior to beginning project design and saved in the project file.	PW / DOT	Partly Implemented	The standard intake form noted in recommendation #9 will also be used to address this recommendation. As noted previously, the department is in the process of including the form in all of its capital delivery projects. Target Date: Dec-2019 (Delayed From: Jul-2019)
#18-04 Audit of Vehicle Abatement #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.	DOT	Partly Implemented	Staff report that since January 2019, contract staff have been responsible for completing the majority of initial field visits, so initial visits have been conducted within 3.5 days of being received. A budget proposal to continue the pilot program funding for FY 2019-20 contract staff was approved during the 2019-20 budget process. However, this continues to be one-time funding. Target Date: Jul-2020 (Delayed From: Jul-2019)
#18-04 Audit of Vehicle Abatement #03 Based on the conditions observed at the first visit (such as number of AVASA points), the Department of Transportation should prioritize cases that are likely abandoned and warrant quicker follow-up.	DOT	Partly Implemented	The Department of Transportation reports that they prioritize hazardous and inoperable vehicles to ensure they can be removed within 48 hours. Aside from these vehicles, which are eligible for immediate tow, the department does not prioritize among its other cases based on conditions observed at the first visit. Target Date: Jun-2020 (Delayed From: Dec-2018)

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#18-04 Audit of Vehicle Abatement #04 The Department of Transportation should establish performance expectations for site visits, and monitor program and employee performance against those expectations.	DOT	Implemented	The Department of Transportation has established performance expectations and developed internal dashboards to monitor the number of site visits completed on a monthly basis for employees, contractors and the division as a whole.
#18-04 Audit of Vehicle Abatement #05 The City should address data synchronization, user interface, customer communication, and language access issues in the development of My San Jose 2.0.	CMO / IT	Partly Implemented	The Administration reports that they are conducting user experience research and analyzing work requirements for My San Jose 2.0. Target Date: Dec-2020 (Delayed From: Dec-2019)
#18-04 Audit of Vehicle Abatement #06 The Department of Transportation should develop an alternative service request category or rename the “abandoned vehicle” category in My San Jose.	DOT / CMO	Closed	City staff report that they tested alternative labels for the “abandoned vehicle” category in My San Jose and determined that "abandoned vehicle" label ranked highest among potential users.
#18-04 Audit of Vehicle Abatement #09 The City’s vehicle abatement website and the My San Jose FAQs should provide information about Planning, Building and Code Enforcement’s private property vehicle abatement program.	CMO / PBCE	Implemented	Both My San Jose FAQs and the City's vehicle abatement website now provide information about PBCE's private property vehicle abatement program.
#18-04 Audit of Vehicle Abatement #10 To ensure that homeless outreach teams are providing support to homeless individuals as quickly as possible, the Department of Transportation should refer cases to the Housing Department following a first visit to a vehicle that appears to be inhabited.	DOT / HSG	Not Implemented	DOT and Housing are reviewing workload and timeliness impacts, but they have not developed procedures for contract staff to refer vehicles to Housing's outreach partner on the first visit. Target Date: Dec-2019 (Delayed From: Dec-2018)
#18-04 Audit of Vehicle Abatement #12 The Police Department should: a) revisit the calculation of impound costs and recommend that the City Council approve an adjustment to the vehicle release fee accordingly, and b) bring forward to the City Council a recommendation for the City to institute a subsidized vehicle release fee for low-income vehicle owners.	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 in 2018-19, the Police Department conducted preliminary research into the development of a subsidized vehicle release fee for low-income owners and identified fiscal and administrative challenges. The Police Department will collaborate with the City Manager’s Budget Office and, as needed, other departments that maintain fee programs subject to income criteria, to craft a subsidized fee program that will be considered during a future budget process in 2019-20. Target Date: Jun-2020 (Delayed From: Jun-2019)

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#18-06 Community Center Reuse #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.	PRNS	Partly Implemented	PRNS worked with staff in OED to estimate fair market rent of resuse facilities. These estimates were based on the current citywide average market rent for flex space (1980 or older), a general assessment of physical condition of the building (categorized as "fair" and "poor"), and square footage. Staff estimated the monthly rental subsidies ranged from $831 (Backesto) to $40,380 (Edenvale). The cumulative, annual value of subsidized use of reuse space is $5.4 million. To have complete facility-level information on deferred maintenance, PRNS has added a Building Management Administrator and Senior Maintenance Worker as well as $250,000 one-time funding in accordance with the 2019-2020 Adopted Operating Budget. These additions will support the management and infrastructure assessments needed for the Community Center Reuse program and other PRNS facilities. PRNS is currently recruiting for these roles and once filled, the positions will utilize the assessments and other methods to focus on the deferred maintenance needs and plans for all facilities. Target Date: Jun-2024
#18-06 Community Center Reuse #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.	PRNS	Not Implemented	PRNS has added a Building Management Administrator and Senior Maintenance Worker as well as $250,000 in one-time funding in accordance with the 2019-2020 Adopted Operating Budget. These roles will be tasked with developing a system to periodically track the net costs of individual reuse facilities as well as maintenance costs and revenues. Target Date: Dec-2021
#18-06 Community Center Reuse #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.	PRNS	Not Implemented	The 2019-20 Adopted Operating Budget added an Analyst to focus on contract performance and compliance in conjunction with the existing Recreation Program Specialist. The Specialist is developing a new program plan to coordinate, perform and report on service delivery and contract compliance. Each new or renewed contract will provide for updated performance standards. Once this position is filled, new roles and responsibilities will be defined for new and existing staff. The new program plan is expected to be reported to the Neighborhood Services and Education Committee in November 2019, and implementation is scheduled for July 2020. Target Date: Jul-2020

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#18-06 Community Center Reuse #04 PRNS should establish and implement procedures to regularly monitor reuse service providers. The procedures should identify roles and responsibilities for staff regarding contract management including establishing a master contract file with key documents, site visits, collecting performance reports, and tracking performance.	PRNS	Partly Implemented	The department has developed procedures to regularly monitor reuse service providers regarding key documents such as contracts with the City as well as tracking performance to ensure compliance and a better assess community benefits. PRNS has created a matrix that tracks contract statuses and key documents required under reuse contract agreements. PRNS is currently developing a new program plan with an amended agreement template and reevaluated performance measures. The program plan is expected to be finalized November 2019 and implementation will begin July 2020. The 2019-2020 Adopted Operating Budget added an Analyst who will be responsible for regularly monitoring reuse service providers. Target Date: Jul-2020
#18-06 Community Center Reuse #05 PRNS should revise reuse service provider performance reports to require information about changes in programming and staffing; and establish guidelines for approving changes in scopes of service, or implementing corrective actions if a reuse provider is not adhering to the terms of the agreement.	PRNS	Not Implemented	Adjustments in program services can range widely from minor changes (for example, shifting services to another day but having the same number of hours) to larger scope of services changes that would require a contract amendment. Once the Analyst position, added in the 2019-20 Adopted Operating Budget is filled, their role will focus on revising performance reports, establishing guidelines and corrective action steps. In the interim, during August and September 2019, staff hosted mandatory meetings with service providers to reestablish relationships and define expectations on contract compliance and performance reporting. Target Date: Dec-2020 (Delayed From: Jul-2019)
#18-06 Community Center Reuse #06 PRNS should immediately update all property use agreements, in coordination with the City Attorney's office, for all service providers under the reuse program.	PRNS	Partly Implemented	Out of a total of 35 reuse providers, PRNS reported six remain with outstanding agreements. These six agreements are either in the final stages of contract development or transitioning from temporary agreements to full service agreements. The number of total provider agreements was reduced by one from 36 agreements due to the mutual termination of one provider at Capital Park Goss Neighborhood Center on June 2019. Target Date: Dec-2019 (Delayed From: Dec-2018)
#18-06 Community Center Reuse #07 PRNS should immediately collect active certificates of insurance from all service providers under the reuse program.	PRNS	Partly Implemented	Active certificates of insurance are required in every current agreement with reuse service providers. PRNS is pending contracts for six service providers which will include certificates of insurance for the remaining providers. Target Date: Dec-2019 (Delayed From: Dec-2018)

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#18-06 Community Center Reuse #08 PRNS should immediately ensure verification or certification of background checks of reuse providers' paid and unpaid staff, in accordance with the reuse agreement.	PRNS	Partly Implemented	In consultation with the City Attorney's Office, PRNS amended agreements to be consistent with BEST and Safe Summer Initiative grant agreements, which do not require a list of names to be provided verifying the background check of all paid and unpaid staff. Instead, the amended agreements require providers to report that background checks have been conducted and verified prior to services commencing. The amended agreement allows for PRNS to request for additional documentation verifying the results if needed. Per recommendation #6, PRNS has not executed updated agreements with all 35 service providers and is pending executed agreements for all providers. Target Date: Dec-2019 (Delayed From: Dec-2018)
#18-06 Community Center Reuse #09 To ensure proper licensing of daycare programs, including after school programs, PRNS should modify its reuse agreements to require service providers to either provide proof of licensure or certify they are exempted from licensure under the Department of Social Services guidelines.	PRNS	Partly Implemented	In consultation with the City Attorney's Office, PRNS is finalizing an amended agreement that will include a section outlining the identification and verification process of all license-exempt child care service providers which will require all license-exempt providers to be registered into the TrustLine Registry. TrustLine is the State of California database that offers parents, employment agencies, and providers access to a background check conducted by the California Department of Social Services. By having license-exempt child care service providers available on TrustLine, this will increase public transparency and demonstrate a standard of quality expected of service providers. Target Date: Dec-2019 (Delayed From: Dec-2018)
#18-06 Community Center Reuse #10 To ensure service providers in the reuse program are abiding by the provisions of the City's Reuse Policy, PRNS should: a) Implement corrective actions for current service providers who offer fees above City standard rates, report revenues not being reinvested in reuse facility programs, rent facilities out on their own behalf, or provide benefits solely to members, and b) Develop procedures to review, on an annual basis, reuse providers' fee levels; revenues and expenses; and whether any benefits are offered solely to members and implement corrective actions.	PRNS	Not Implemented	According to the reuse agreement, if fees and charges or other revenues collected by service providers are not spent in accordance with the agreement (for example, subsidizing programs), they are to be paid to the City. During the time of the audit, at least three service providers appeared to be charging fees for services that were above City standards and one organization reported collecting significantly more revenue than expenses incurred. Once the Analyst position (added in the 2019-20 Adopted Operating Budget) is filled, PRNS will develop monitoring procedures that would include a review of reuse service providers' fees and establish corrective actions when service providers are not compliant. Target Date: Jul-2020

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#18-06 Community Center Reuse #11 To account for the differences between satellite and neighborhood reuse facilities, PRNS should create a new standard reuse agreement for neighborhood sites that revises the scope of financial and program reporting requirements to allow for more efficient reporting and monitoring.	PRNS	Not Implemented	PRNS is currently developing a new program plan that would include updates to the standard contracts, program structure and contract monitoring process. These changes will alleviate the burden of reporting on smaller service providers at neighborhood centers and help manage and monitor service providers more efficiently. Staff expects to present a proposal of the new program plan to the Neighborhood Services and Education Committee in November 2019. Target Date: Jul-2020
#18-06 Community Center Reuse #12 PRNS should establish targeted minimum standards for performance and open hours for satellite centers and work with current providers or potential providers from the satellite reuse pool to bridge gaps at satellite centers that do not meet those targets.	PRNS	Not Implemented	As mentioned in the status update for recommendation #11, PRNS' new program plan will also include updates to determine standards for performance and open-hours at satellite centers. This proposal is expected to be presented to the Neighborhood Services and Education Committee in November 2019. Target Date: Jul-2020
#18-06 Community Center Reuse #13 PRNS should ensure that all organizations receiving free or subsidized rent have a current property use agreement and be formalized under the reuse program to ensure consistency.	PRNS	Not Implemented	As mentioned for recommendation #6, there are six remaining agreements that are either in the final stages of contract development or transitioning from temporary agreements to full service agreements. Target Date: Dec-2019 (Delayed From: Dec-2018)
#18-06 Community Center Reuse #14 To more efficiently book meeting spaces, PRNS should utilize its online recreation software to track schedules of service providers or other users of reuse facilities.	PRNS	Not Implemented	PRNS continues to use its online recreation software and a separate master calendar for scheduling and reserving space at reuse facilities. The 2019-20 Adopted Operating Budget added a Community Coordinator position that will be tasked with streamlining all space reservations at reuse facilities within one internal system. Target Date: Dec-2019 (Delayed From: Jun-2019)
#18-06 Community Center Reuse #15 PRNS should advertise City programming at reuse sites, similar to how it advertises City programming at hubs.	PRNS	Implemented	To increase community awareness of programs at reuse facilities, PRNS has created inserts that include information of reuse providers and their services by Council district in each of the hub community center's Summer 2019 Community Activity Guides. For the Fall 2019 Community Activity Guides, information regarding reuse service providers, services offered and their schedule are included within the Activity Guides rather than inserts. PRNS will continue to include this information in future guides.
#18-06 Community Center Reuse #16 To facilitate community awareness and use of reuse facilities, PRNS should update the reuse facilities webpage to include links to service providers' websites and facility hours, and reference to financial assistance requirements.	PRNS	Partly Implemented	To increase community awareness of services at reuse facilities, PRNS has updated most of their reuse facilities webpages to include information regarding service providers, programs offered and contact information. Currently, Spartan Keyes does not have a facilities webpage and PRNS staff were unable to include reuse service provider information located at Spartan Keyes. PRNS plans to create a Spartan Keyes facilities webpage and will include reuse service provider information. Target Date: Dec-2019 (Delayed From: Jun-2019)

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#18-06 Community Center Reuse #17 PRNS should document reasons for selection and placement of current service providers as unique services as required by the Unique Services Purchases section of the Municipal Code and in keeping with Finance Department guidelines.	PRNS	Closed	PRNS has documented reasons for the selection and placement of all but one current reuse providers that were selected through the Unique Services Procurement. To ensure transparency in the selection of service providers, PRNS has standardized the process to document reasons and justifications for all future selection through Unique Services and only to be utilized after they have exhausted their existing list of qualified providers through the 2015 and 2017 RFQs.
#18-06 Community Center Reuse #19 To establish a process for future placements of reuse providers, PRNS should use the list of qualified providers that resulted from the 2015 and 2017 RFQs in the event space opens up prior to the next RFQ. In addition, PRNS should document any departure from the use of the results for the selections.	PRNS	Implemented	In February 2019, PRNS experienced a vacancy in one of their community centers and issued a letter of interest to the existing qualified pool of organizations who have applied through the prior reuse RFQ for satellite centers (2015) to ensure qualified providers, who have been ranked based on proposal and needs of the desired service locations, are placed in reuse facilities. PRNS has standardized the process to ensure transparency in the determination and placement of qualified providers.
#18-07 Audit of the City's Homeless Assistance Programs #01 To facilitate a more coordinated City-wide response to homelessness, the City Manager's Office should coordinate and schedule regular meetings of the City Manager's "Creating Housing and Preventing Homelessness" initiative with all relevant departments to share information, discuss response strategy and develop a proactive approach on homelessness response.	CMO	Partly Implemented	The Beautify SJ Inter-Departmental Working Group, as described in the Mayor's Budget Addendum #2 for FY 2019-2020, continues to meet biweekly to coordinate efforts to manage the impact of unsheltered homelessness, along with programs related to eliminating blight and trash. Included in this Working Group are representatives from the City Manager's Office, ESD, DOT, PRNS, and the Housing Departments. One of the strategies outlined in MBA #2 is the funding of a temporary data analyst, who started in August 2019, to explore metrics that can assess the operational impacts of homelessness and blight on City services, which will ultimately help improve resource allocation and development of policy solutions. Target Date: Feb-2021
#18-07 Audit of the City's Homeless Assistance Programs #02 To ensure all staff have relevant information to provide and respond to residents who are homeless or on the verge of homelessness, the Housing Department should work to formalize dissemination of information resources for field personnel, including up-to-date information on available services.	HSG	Partly Implemented	The Housing Department reports that it continues to facilitate monthly Joint Encampment Meetings with the departments of Parks, Recreation and Neighborhood Services; Environmental Services; Police; and Transportation, as well as the Santa Clara Valley Water District and Housing outreach teams. These meetings allow departments to provide updates about encampments along waterways as well as various "hot spots" across the city. In addition, Housing has attended briefings with the Police Department to provide information on the Homeless Concerns line, the Homeless Helpline, and other programs and services available to homeless individuals. The Department continues to formalize training materials and regular trainings on homelessness. Target Date: Dec-2019 (Delayed From: Feb-2019)

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#18-07 Audit of the City's Homeless Assistance Programs #03 To ensure a broader range of County and relevant stakeholders are involved in the coordinated approach to homeless response efforts the City Manager's Office should continue working with the County to include additional County agencies in the broader effort.	CMO	Partly Implemented	The City-County working group, which included 16 department directors, had their first round of meetings in late 2018. However, this group has not met recently due to a lack of capacity, as members are involved in other homelessness-related responsibilities. The City and the County, along with other stakeholders, have been collaborating on the five-year Community Plan to End Homelessness, which will be finalized in early 2020. Continuing this collaborative planning and coordination will be critical to addressing homelessness in the region. Target Date: Jul-2020 (Delayed From: Mar-2019)
#18-07 Audit of the City's Homeless Assistance Programs #05 The Housing Department should require grantees to report on: a) outreach conducted at encampments; b) encampment residents referred to shelters/services; c) number of residents who accepted referrals and the types of referrals accepted; and d) number of assessments completed. In addition, the Housing Department should summarize this by abatement and use this information to inform what kind of services encampment residents need, future service and allocations, whether resident concerns were addressed, etc.	HSG	Partly Implemented	The Housing Department has updated the Memorandum of Agreement (MOA) with the Santa Clara Valley Water District to include the expectation of collecting data on outreach, referrals to shelters/services, number and types of accepted referrals, and number of assessments completed. This information will be entered into the abatement form in the Department's Salesforce system, which will be presented in the first quarterly report in the Fall of 2019. Target Date: Dec-2019 (Delayed From: Dec-2018)
#18-07 Audit of the City's Homeless Assistance Programs #06 The City should use the upcoming funding cycle to assess emergency shelter or other interim housing solutions, and determine whether San José can do more to ensure residents have access to immediate, emergency housing solutions – particularly when they are the subject of an abatement action.	HSG	Partly Implemented	The Housing Department has executed various contracts with grantees to expand emergency shelter and other interim housing solutions. On March 26, 2019, the Council approved the first round of contracts to implement the State's one-time Homeless Emergency Aid Program (HEAP) by awarding a $4 million contract to Destination Home for homeless prevention and a $400,000 contract to LifeMoves for the expansion of the City's pilot safe parking program. The Department brought forward four additional contracts on the September 10 Council meeting to expand the motel voucher program, access to showers and laundry facilities, homelessness outreach, and the rapid rehousing program for youth. The Department also plans to bring an amendment to Council to expand overnight warming locations during the cold season, which will provide 60 additional emergency beds across two City-owned locations. Finally, the Department reports that it has begun development on two new Bridge Housing sites, with 40 tiny homes at each site. Target Date: Dec-2019

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#18-07 Audit of the City's Homeless Assistance Programs #07 To analyze the effectiveness of the City's homeless assistance efforts, the Housing Department should use HMIS to: 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 b) Compare the performance of the City's homeless assistance b strategy area to identified targets and the performance of the CoC on a semi-annual basis.	HSG	Not Implemented	The City and County are in discussion on agreement language for HMIS access that will allow the Housing Department to pull customized reports of data on key performance outcomes across strategy areas. According to the Department, this data will be compared with grantee performance data. Target Date: Dec-2019 (Delayed From: Aug-2019)
#18-07 Audit of the City's Homeless Assistance Programs #08 The City should obtain direct access to HMIS.	HSG	Partly Implemented	As noted in the update to Recommendation 7, the City is in progress of obtaining access to HMIS through the County. Target Date: Dec-2019 (Delayed From: Jan-2019)
#18-07 Audit of the City's Homeless Assistance Programs #09 The Housing Department should develop and implement performance management processes, including: a) A continuous feedback loop between grantees and Housing staff (program and grants teams); b) A template and standards for conducting quarterly reviews of grantee performance that would assess grantee progress towards targets, any obstacles to date, and areas for improvement; and c) Utilize project results to set realistic grantee performance targets and goals.	HSG	Partly Implemented	The Department has developed templates that it uses to conduct quarterly reviews of grantee performance. These reviews help the Department identify areas where the grantee may be struggling, with the analyst providing technical assistance to develop a plan to improve the grantee's performance. According to the Department, these quarterly grantee performance reviews are shared during the biweekly joint coordination meetings between the Grants and Homelessness Response Teams. Target Date: Dec-2019 (Delayed From: Jun-2019)
#18-07 Audit of the City's Homeless Assistance Programs #10 To ensure effective risk management for its homelessness assistance grants, the Housing Department should: a) Develop and implement procedures for an annual risk assessment of all active grants to include an annual monitoring plan for grantees; b) Assign sufficient staff resources to conduct annual risk assessments for all active grant agreements; and c)Develop training procedures on risk assessments.	HSG	Implemented	a) The Department has developed an annual risk assessment template, as well as procedures to implement the risk assessment tool. It has conducted risk assessments on all active grantees. b) The Department has hired two grants management analysts. The new analysts were trained in grants and contracts management, monitoring and compliance, and procurement. c) The risk assessment contains instructions on how to complete a risk assessment and appropriate courses of action based on various levels of risk.

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#18-07 Audit of the City's Homeless Assistance Programs #11 To effectively manage monitoring activities and utilize monitoring results to improve project delivery of its homeless response grants, the Housing Department should: 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; 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 c) Compare grantee progress reports against HMIS reported data on a semi-annual basis to ensure the accuracy of grantee reported performance metrics.	HSG	Partly Implemented	a) The Department developed and used monitoring policies, procedures, and templates to conduct monitoring visits. b) The Department created an annual monitoring plan and calendar of monitoring visits for 2018-19. c) Access to the County's HMIS system is still pending (see Recommendation #8). Target Date: Jul-2020
#18-07 Audit of the City's Homeless Assistance Programs #12 The Housing Department should formalize collaboration between the grants team and the program team to integrate overall program outcomes with criteria for risk assessment and grant monitoring.	HSG	Implemented	The Grants and Homelessness Response Teams continue to meet regularly about two times a month to discuss topics including status of contracts, forthcoming RFPs, Continuum of Care review panels, and HMIS report updates.
#18-07 Audit of the City's Homeless Assistance Programs #13 Housing should continue developing a system to track homeless assistance grant expenses by service/program and include this breakdown in its annual report to City Council.	HSG	Partly Implemented	The Department reports that it will present its annual homeless report to the Housing and Community Commission in the Fall of 2019. After exploring automation options, the Department has determined that it will need to rely on manual compilation of grant expenses by service and program. Target Date: Dec-2019
#18-07 Audit of the City's Homeless Assistance Programs #14 Develop processes to limit retroactive agreements and ensure grant agreements are executed in a timely manner.	HSG / CAO	Implemented	The Department continues to collaborate with the CAO to streamline the grant agreement approval process. In March 2019, the CAO conducted a training with Housing staff, which provided guidance on accurately completing contract templates so as to shorten the amount of time for attorney review. The Department reports that it has created an internal timeline to draft agreements, which has helped it consistently deliver contracts ahead of time for CAO approval. These efforts have reduced the need for retroactive agreements. In FY 2019-20, 70 percent of contracts that began on July 1 start date were executed ahead of their start date.

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#18-10 Audit of Towing Services #01 To provide a method to address violations, the City should include in future towing services agreements: a) An escalating penalty structure of liquidated damages, suspensions, and contract termination. Liquidated damages should be increased over time. b) Provisions requiring towing contractors to respond to another tow zone in case of a tow refusal or suspension (with a different timeliness standard).	PBCE	Not Implemented	The Administration reports that it plans to include provisions to better address violations in future towing contracts, and it is exploring alternative to improve services city-wide. Target Date: Jul-2020
#18-10 Audit of Towing Services #02 The City should structure future towing services agreements to clarify that towing contractors may charge no more than their California Highway Patrol (CHP)-approved tow rates.	PBCE	Implemented	On June 25, 2019, staff brought forward an amendment to Council Policy 9-8 to set city-wide tow rates at an amount not to exceed the CHP rates for the Golden-Gate Region-San Jose Offices, as amended without annual Council approval.
#18-10 Audit of Towing Services #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.	PBCE	Not Implemented	The City has not yet issued a new RFP for towing services agreements. Target Date: Jul-2020
#18-10 Audit of Towing Services #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.	PBCE	Not Implemented	As noted in the original Administration response to the audit, the implementation of this recommendation depends on which type of service delivery model the City establishes. Target Date: Jul-2020
#18-10 Audit of Towing Services #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.	PBCE	Partly Implemented	The City extended its junk vehicle reimbursement pilot program with its current towing contractors. This may change in future towing service agreements as it considers new service delivery models. Target Date: Jul-2020
#18-10 Audit of Towing Services #06 The City Administration, in consultation with appropriate departments, should establish clear guidelines for the appropriate disposal of hazardous waste and junk vehicles.	PBCE	Partly Implemented	On June 25, 2019, City Council approved a second amendment to the tow services agreements amending the current contract to clarify hazardous waste disposal and documentation requirements in order for towing contractors to be eligible for reimbursement credit. The Administration reports that, as it moves forward with a new RFP and service delivery model, it will develop additional guidelines for disposal of junk vehicles. Target Date: Jul-2020

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#18-10 Audit of Towing Services #07 The City should clarify future towing services agreements regarding tows of inoperable vehicles off private property.	PBCE	Implemented	On June 25, 2019 City Council approved a second amendment to the towing services agreements extending the Pilot Compensation Program and amended the current contract in alignment with this recommendation.
#18-10 Audit of Towing Services #08 The City should modify the terms of future towing services agreements to specify that the City will not pay a cancellation fee to towing contractors for responses that violate timeliness requirements.	PBCE	Implemented	On June 25, 2019 City Council approved a second amendment to the tow services agreements extending the Pilot Compensation Program and amending the current contract in alignment with this recommendation.
#18-10 Audit of Towing Services #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.	PBCE	Not Implemented	The Administration reports that it is in the process of evaluating requirements, including location of tow yards in its analysis of service delivery models. Target Date: Jul-2020
#18-10 Audit of Towing Services #10 The City should consider additional changes to future towing services agreements, such as: 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	The Administration reports that it is in the process of evaluating the requirements for its next towing services agreements. Target Date: Jul-2020
#18-10 Audit of Towing Services #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.	PBCE / FIN	Not Implemented	The Administration reports that it is in the process of updating the towing remittance form to include all applicable criteria as specified in the City's towing services agreements. Target Date: Jul-2020
#18-10 Audit of Towing Services #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).	PBCE	Not Implemented	The Administration reports that it is in the process of exploring best practices around tow records and towing vehicle database systems. Target Date: Jul-2020

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#18-10 Audit of Towing Services #13 In future towing services agreements, the City should clarify the collection process for the contract fee.	PBCE / FIN	Not Implemented	The Administration reports that it is considering a new service delivery model, so it has not made progress on this recommendation. Target Date: Jul-2020
#18-10 Audit of Towing Services #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.	PBCE	Not Implemented	The Administration reports that it is considering a new service delivery model, so it has not made progress on this recommendation. Target Date: Jul-2020
#18-10 Audit of Towing Services #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.	PD	Not Implemented	The Administration reports that it is in the process of developing an RFP to analyze the workload and staffing needs going forward. Target Date: Jul-2020
#18-10 Audit of Towing Services #16 To ensure that liquidated damages are appropriately charged, the Police Department should update its procedures to record a tow dispatch event as a violation when dispatchers are notified that any violation has occurred.	PD	Not Implemented	The Administration reports that the process and procedures are still under review. Target Date: Dec-2019 (Delayed From: Mar-2019)
#18-10 Audit of Towing Services #17 The City should re-establish a process for designated City staff to routinely sign-off on the disposal of low-value vehicles through more frequent visits to tow yards.	PD	Partly Implemented	The administration reports that it has trained additional patrol officers to sign-off on the disposal of low-value vehicles. However, due to current vacancies, the administration reports that frequency of visits to tow yards has decreased since the audit was released, so the target date has been delayed. Target Date: Jul-2020 (Delayed From: Jun-2019)
#19-01 Audit of 9-1-1 and 3-1-1 #01 Fire Communications should implement technology to automatically connect calls to call takers' phones through off-hook answering.	FIRE	Partly Implemented	The Fire Department reports that hardware is being installed to facilitate off-hook answering, and staff are being trained on the new call answering process. Target Date: Dec-2019
#19-01 Audit of 9-1-1 and 3-1-1 #02 Fire Communications should pull regular performance reports and monitor average answering times.	FIRE	Not Implemented	The Fire Department was approved for additional staffing in the 2019-20 Operating Budget to analyze response time data and generate response time performance reports. The Department reports that they expect to fill these positions within the fiscal year. Target Date: Jun-2020
#19-01 Audit of 9-1-1 and 3-1-1 #03 Police Communications should clarify its call answering time performance measure, include all components of call answering, and adjust its target accordingly.	PD	Implemented	The Police Department began reporting an adjusted call answering time measure that includes all components of call answering time as of its 2018-19 Quarter 3 Program Management Report.

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#19-01 Audit of 9-1-1 and 3-1-1 #04 To eliminate the need to call the County to confirm every ambulance dispatch, the Fire Department should work with the County of Santa Clara to prioritize automated ambulance dispatching.	FIRE	Partly Implemented	The Fire Department reports that it had an initial meeting with the County of Santa Clara in March 2019 to discuss the feasibility of enhancing the existing interface between their two dispatch systems. Meanwhile, the County is in the process of acquiring a new Computer Aided Dispatch system, which should allow for an improved link with the City's system. Target Date: Dec-2021
#19-01 Audit of 9-1-1 and 3-1-1 #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.	PD / FIRE	Partly Implemented	The Police Department Recruiting Unit plans to work with Communications to develop a written recruitment plan. In the meantime, Recruiting and Communications have been working together on various initiatives to promote Communications opportunities. These include establishing relationships with local partners, such as colleges and universities; working to develop a workshop to provide applicants more guidance on the required CritiCall exam; recruiting at South Bay Regional Public Safety Consortium dispatch academies; working to implement a year-round application process, and utilizing their external marketing firm to develop a social media marketing strategy. For 2018-19, the Department reported a 55 percent increase in applicants compared to the prior fiscal year. Recruiting Unit staff have proposed the use of a larger training space in the event Communications academies exceed current capacity. The Fire Department received funding in 2019-20 for staffing to work on a Communications recruitment plan, and the Police Recruiting Unit has reportedly been in communication with the Fire Department regarding successful recruiting strategies. Target Date: Jun-2020
#19-01 Audit of 9-1-1 and 3-1-1 #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.	PD / FIRE	Partly Implemented	The Police Department Recruiting Unit has been working with an external marketing firm to develop a social media strategy and promote Communications opportunities through online advertising. These efforts reportedly contributed to an increase in total Communications applicants for 2018-19 compared to the prior fiscal year. Recruting Unit staff expect to continue and potentially expand the use of the external marketing firm in the coming fiscal year. The Fire Department reported that additional funding would be needed for an external marketing firm. Target Date: Jun-2020
#19-01 Audit of 9-1-1 and 3-1-1 #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.	PD / FIRE	Partly Implemented	The Police Department reports that, while closer parking options are not currently possible, as an interim solution, parking is provided within the gated campus for Police and Fire Communications staff who work night shifts. The Department plans to put out a project to bid to enclose the remaining parking lots behind fencing, with Public Works coordinating the eventual construction. Target Date: Dec-2020

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#19-01 Audit of 9-1-1 and 3-1-1 #08 The Police and Fire Departments should work with the City Manager's Budget Office and Human Resources department to make additional part-time and/or retiree-rehire opportunities available to qualified staff.	PD / FIRE	Not Implemented	The Police Department reports that they currently utilize part-time staff as well as retiree rehires who are former staff. The Department reports that once full-time staffing increases and vacant part-time positions are filled, they may explore increasing part-time positions. The Fire Department reports that they currently use retiree rehires to backfill for vacancies to maintain existing programs; these positions are funded by vacancy savings. In addition, the Department reports that retire rehire staff are used to advance special projects and maintain existing programs on an as-needed basis and as funding can be made available. Target Date: Dec-2020
#19-01 Audit of 9-1-1 and 3-1-1 #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.	FIRE	Partly Implemented	The Fire Department received funding in the 2019-20 Adopted Operating Budget for a staffing study to evaluate operational performance and recommend appropriate Communications staffing levels. While the Department agrees creating a call-taker position could help to retain staff, further action will depend on the results of the staffing study. Target Date: Jun-2021
#19-01 Audit of 9-1-1 and 3-1-1 #10 The Fire Department should finalize the transition of non-emergency after-hours calls to the City Customer Contact Center in the Information Technology department, and work with the relevant departments to develop policies and procedures on roles and responsibilities, processes to contact relevant staff, and expectations for response times, if any.	FIRE	Implemented	The IT Department reports that non-emergency calls have been transitioned to the City Customer Contact Center during business hours and to the City's contracted after-hours call service during non-business hours. The Department also reports that all policies, procedures, and scripting from affected departments have been transferred to the City Customer Contact Center.
#19-01 Audit of 9-1-1 and 3-1-1 #11 To reduce the workload on the Police Department's call takers, the Police Department should (a) work with the City Customer Contact Center to determine areas of overlapping service delivery and determine the appropriate customer service response, and (b) re-direct commonly requested general City requests to the City Customer Contact Center by modifying the call tree.	PD / IT	Not Implemented	The IT Department reports that they are finalizing a Request for Qualifications for a consultant to study non-emergency calls, resources, and staffing impacts, with results expected by January 2020. Also, the IT Department was approved for additional staffing in the Customer Contact Center as part of the FY 2019-20 operating budget. Pending the consultant study, IT and PD have not yet determined areas of overlapping service delivery or re-directed calls to the Customer Contact Center through the non-emergency call tree. Target Date: Jan-2020
#19-01 Audit of 9-1-1 and 3-1-1 #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.	PD	Not Implemented	The Police Department reported that they utilize retiree rehires for call-taking roles, including TRAC, but the Department considered this an interim solution. The Department stated that use of Customer Contact Center employees would require further research. Target Date: Jun-2020

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#19-01 Audit of 9-1-1 and 3-1-1 #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.	PD	Not Implemented	Online reporting is available at http://www.sjpd.org/reportingcrime/onlinereport/. However, the Police Department reports that they still need to explore how to add more reporting options online and this may take longer than originally anticipated. Target Date: Jun-2020
#19-01 Audit of 9-1-1 and 3-1-1 #14 Police non-emergency services should inventory its Interactive Voice Response (IVR) Phone Tree to ensure that it connects customers with the appropriate resource that can provide the needed service. Further, it should develop an ongoing management plan to ensure that the IVR stays up to date.	PD	Not Implemented	The Police Department reports they have been reviewing the non-emergency phone tree and are working to correct identified issues. The Department reports that while there is not a written management plan, they have scheduled bi-annual reviews of the call tree. Target Date: Dec-2019
#19-01 Audit of 9-1-1 and 3-1-1 #15 The Police Department should review the non-emergency call tree to resolve technical limitations and errors and provide a seamless transfer to residents.	PD	Partly Implemented	An issue where voice messages cut off after 45 seconds while accessing the call tree through 3-1-1 appears to have been addressed. However, the Department reports that several units had voice messages that exceeded a general 175-second limit for the non-emergency call tree and those units are working to streamline their recordings. Target Date: Dec-2019
#19-01 Audit of 9-1-1 and 3-1-1 #16 Police non-emergency services should provide information and translation services for customers who do not speak English.	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: Jun-2020
#19-01 Audit of 9-1-1 and 3-1-1 #17 The City should work with cell phone carriers to make the City's 3-1-1 line available to wireless callers.	IT	Not Implemented	IT reports that a Request for Qualifications is being finalized for a consultant study, which includes implementation of Verizon 3-1-1 service in San José by December 2019. Additional staffing was approved in the 2019-20 Operating Budget to support potential increased call volume at the Customer Contact Center. Target Date: Dec-2019
#19-01 Audit of 9-1-1 and 3-1-1 #18 The City should explore moving 3-1-1 to the City Customer Contact Center and make more City services available through 3-1-1	IT	Not Implemented	IT reports that a Request for Qualifications is being finalized for a consultant to review and assess the types of call to be moved, with recommendations expected by January 2020. The City Customer Contact Center was approved for additional staffing to absorb a potential increase in calls. Target Date: Dec-2020

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#19-01 Audit of 9-1-1 and 3-1-1 #19 If non-emergency calls are moved to the City Customer Contact Center, the Information Technology Department should continuously review and assess wait times and call volume at the City Customer Contact Center to address resource issues if needed.	IT	Not Implemented	IT reports that a Request for Qualifications is being finalized for a consultant to review and assess the types of call to be moved, with recommendations expected by January 2020. The scope of work includes updating standards and metrics for call handling. Also, the City Customer Contact Center was approved for additional staffing to absorb a potential increase in calls, and IT reports that it will continue to monitor and address staffing impacts as changes in call volume become known. Target Date: Dec-2020
#19-02 Employee Benefit Fund Administration #01 The Human Resources Department should: A. Establish policies and procedures for monitoring all transfers, revenues, and expenditures in the Benefit Funds, and B. In coordination with the Budget Office, formalize fund balance and reserve targets.	HR	Partly Implemented	In coordination with the Budget Office, Human Resources has formalized and documented fund balances and reserve targets for the Benefit Funds. Policies and procedures for monitoring the Benefit Funds are in progress. Target Date: Dec-2019
#19-02 Employee Benefit Fund Administration #02 The Administration should work with the City Attorney's Office to determine allowable uses of interest earnings and excess balances in the Employee Health Fund (fund 161).	HR	Partly Implemented	Human Resources and the Finance Department have reconciled a portion of the excess fund balance in fund 161. Human Resources, in coordination with the City Attorney's Office, has determined that the excess fund balance attributed to employee contributions will be returned to City employees. Human Resources expects to return the money to City employees in fiscal year 2019-20. Target Date: Jun-2020
#19-02 Employee Benefit Fund Administration #03 The Human Resources Department should work with the Budget Office to review and adjust allocations of staffing costs across the benefit funds.	HR	Implemented	Human Resources worked with the Budget Office to review and adjust staff costs allocation across the benefit funds. The adjustments align the actual distribution of work with how benefit positions are budgeted. The adjustments are effective for FY 2019-20.
#19-02 Employee Benefit Fund Administration #04 The Human Resources Department should prioritize hiring for the current vacant positions in the Benefits Division.	HR	Partly Implemented	Human Resources has filled one of the two vacant benefit positions reported in the audit. The Department is working to reclassify the remaining vacant position to better align with department needs. Target Date: Dec-2019
#19-02 Employee Benefit Fund Administration #05 To better align work with job classifications, the Human Resource Department should adjust work assignments of Senior Analysts in the Benefits Division from day-to-day transactions and service delivery roles to program management and oversight.	HR	Implemented	The work assignments of Senior Analysts have been adjusted from transactional and service delivery roles to ones of program management and oversight.

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#19-02 Employee Benefit Fund Administration #06 To ensure consistency for City employees, the Human Resources Department should finalize and implement proposed staff assignments that consolidates leave management duties among staff in the Benefits Division.	HR	Implemented	Human Resources has consolidated day-to-day leave management responsibilities to two analysts and two staff specialists.
#19-02 Employee Benefit Fund Administration #07 To manage the premium reconciliation process more efficiently, the Human Resources Department should work with the Finance and Information Technology Departments to create one specific report in the City's human resource management system that identifies missed premiums, and update office procedures accordingly.	HR	Partly Implemented	Human Resources is gathering data to identify the key elements needed in the report, and will work Finance and Information Technology Departments to develop the report once the key elements have been finalized. In the meantime, the department has streamlined the reconciliation process and has developed procedures for the new process. The procedures will be updated as the process continues to be refined. Target Date: Dec-2019
#19-02 Employee Benefit Fund Administration #08 To streamline workload and better determine the scope of work of existing staff, the Human Resources Department should: A. Finalize updates to the City leave policy; B. Develop procedures to manage outside administration of COBRA benefits; C. Determine the appropriate level of verification for cash in-lieu payments, and revise procedures for monitoring eligibility; and D. Update the Employee Benefits Manual and the Benefits intranet site, accordingly.	HR	Partly Implemented	Human Resources has updated the City's Leave Policy and developed procedures for managing the outside administration of COBRA benefits. The Department is pilot testing a simplified cash-in-lieu verification process and will finalize procedures after validating the new process. The department intends to update the Employee Benefits Manual and Benefits intranet site in accordance with its implementation of the recommendations. Target Date: Dec-2019
#19-03 Development Noticing #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.	PBCE	Not Implemented	Planning states that progress on this recommendation depends on resource allocation in FYI 2020-21. Currently, project managers follow up with the applicant if they have not provided confirmation of on-site posting by the time the applicant submits revised plans. Target Date: Dec-2021

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#19-03 Development Noticing #02 To ensure neighborhood associations are properly notified about new development proposals: A. The Administration should develop a list and map of neighborhood association contacts and create a mechanism for associations to add and update contact information. B. Planning should use this list and map to proactively notify neighborhood groups on proposed developments to involve interested parties early in the development review process.	CMO / PBCE	Not Implemented	The Administration estimates it will begin identifying neighborhood associations in early 2020. Target Date: Jun-2020
#19-03 Development Noticing #03 Planning should propose updates to Council Policy 6-30 and develop and implement procedures to: 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	Not Implemented	The language map is expected to be implemented into the Integrated Permitting System (IPS) in November 2019, after which Planning will formalize the process for when and how interpretation services will be provided. The Department notes that the implementation of this recommendation is dependent on budget allocation for FY 2020-21. Target Date: Dec-2021
#19-03 Development Noticing #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.	PBCE	Not Implemented	Planning states that progress on this recommendation depends on resource allocation in FY 2020-21. Target Date: Dec-2021
#19-03 Development Noticing #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.	PBCE	Not Implemented	Planning states that progress on this recommendation depends on resource allocation in FY 2020-21. Target Date: Dec-2021
#19-03 Development Noticing #06 Planning should develop and implement plain language guidelines for mailed and on-site public notices.	PBCE	Not Implemented	Planning intends to begin work on this recommendation in Fall 2019. Target Date: Dec-2019

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#19-03 Development Noticing #07 Planning should create a plain language, online guide for residents in multiple languages that outlines objectives of the public hearing process and provides direction for submitting public comments (before or during a hearing).	PBCE	Not Implemented	Planning intends to provide the recommended information in multiple languages through the IPS public portal, which is expected to launch in 2020. Target Date: Jul-2020
#19-03 Development Noticing #08 Planning should establish a mechanism (such as an online form) for community feedback on the public notice/hearing process to inform future process improvements and periodic updates to Council Policy 6-30.	PBCE	Not Implemented	Planning is currently developing questions for community feedback and expects to develop online and paper surveys in 2019. Target Date: Dec-2019
#19-04 The Mayor's Gang Prevention Task Force #01 To ensure services reach highest-risk youth and further strengthen the partnership, the Department of Parks, Recreation and Neighborhood Services should work with Santa Clara County Probation to: a) Set goals and criteria for expected referrals, b) Report on the results and outcomes achieved and units of service provided, and c) Amend its agreement to include all current activities performed by Youth Intervention Services.	PRNS	Not Implemented	PRNS has an agreement with Santa Clara County Probations to coordinate activities and share data for the Youth Intervention Services case management program. PRNS plans to meet with County Probation to further define the coordination by establishing goals, criteria, and appropriate reporting mechanisms for monitoring results of case management sessions. The Department plans to amend the existing agreement to include all current activities by Youth Intervention Services, such as the weekly sports league. Target Date: Jul-2020
#19-04 The Mayor's Gang Prevention Task Force #02 The Department of Parks, Recreation and Neighborhood Services should work with the Santa Clara County Office of Re-entry Services to establish and implement roles and responsibilities for coordination, and establish a formal process for referring clients eligible for re-entry services. This could potentially involve an amendment to the current agreement with Santa Clara County Probation.	PRNS	Not Implemented	As a part of the Task Force's continuum of care strategy, PRNS will work with the Santa Clara County Office of Re-entry Services to establish coordination so that clients will benefit from the County's re-entry services. Target Date: Jul-2020
#19-04 The Mayor's Gang Prevention Task Force #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.	PRNS	Not Implemented	In February 2019, SJPD reported an increase in overall juvenile crimes. To address the overall increase, the Department will work with the Task Force Policy Team and its external partners to better define its role in overall juvenile crimes and youth violence prevention. Target Date: Jul-2021

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#19-04 The Mayor's Gang Prevention Task Force #04 The Department of Parks, Recreation and Neighborhood Services should ensure participant needs are consistently assessed by developing processes to: 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	Not Implemented	A standardized assessment tool ensures that clients are receiving the appropriate services based on their risk levels (at-risk, high-risk, gang-impacted, gang-intentional). The Department has met with staff from LA's Gang Reduction and Youth Development program to explore best practices and tools for a standardized risk assessment. Additionally, they plan to speak to staff from Oakland Unite and University of Southern California (involved with creating LA's standardized risk assessment tool). Further, the Department plans to create service plans and track progress based on those risk levels through pre- and post- evaluations for services. Target Date: Jul-2021
#19-04 The Mayor's Gang Prevention Task Force #05 To ensure that intensive services are targeted to the appropriate population, in the next agreement cycle, the Department of Parks, Recreation and Neighborhood Services should revise BEST grantee agreements such that goals for services across target populations are clearly defined.	PRNS	Not Implemented	Target populations based on risk level (at-risk, high-risk, gang-impacted, gang-intentional) require different intensity level of services and goals. The Department plans to clarify and amend BEST grant agreements to include service goals for each target population. Target Date: Dec-2019
#19-04 The Mayor's Gang Prevention Task Force #06 The Department of Parks, Recreation, and Neighborhood Services should identify where Youth Intervention Services and BEST grantee services overlap and develop a mechanism to increase the number of referrals between BEST grantees and Youth Intervention Service participants based on need and services provided.	PRNS	Not Implemented	As a part of their Strategic Workplan goal to "enhance linkages to leverage youth violence initiatives", PRNS will evaluate opportunities to increase referrals between Youth Intervention Services (YIS) and BEST grantee services and create a system to track such referrals. With eighteen schools receiving both YIS and BEST services, this will ensure participants will receive services from BEST or YIS based on need. Target Date: Jul-2020
#19-04 The Mayor's Gang Prevention Task Force #07 To improve oversight and accountability of the Safe School Campus Initiative program, the Department of Parks, Recreation and Neighborhood Services should: a) Set expectations for follow-up, referrals, and after-care activities, and review if goals were met, b) Conduct a supervisory review of post-activation responses, and c) Develop a review process to assess sufficiency of staff incident reporting.	PRNS	Not Implemented	Safe School Campus Initiative incident reports document activations including actions taken to resolve the incident, follow-up and after-care activities. To ensure program success, PRNS will set expectations and develop procedures to review on a weekly basis if goals were met. The reviews will ensure that staff is on track to resolve issues related to the incidents. Target Date: Jul-2021

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#19-04 The Mayor's Gang Prevention Task Force #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: 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	Not Implemented	The Department plans to update all 17 school district MOU's to reflect current service levels, roles, responsibilities, and any key documents. Target Date: Jul-2020
#19-04 The Mayor's Gang Prevention Task Force #09 To improve the alignment of school visits with activations, the Department of Parks, Recreation, and Neighborhood Services should: a) Perform an annual review of the frequency and type of SSCI activations by school, and b) Develop and implement a risk-based approach to schedule weekly school visits.	PRNS	Not Implemented	To better align weekly Safe School Campus Initiative (SSCI) weekly visits with the number of school incidents, PRNS will perform an annual review and assessment of weekly school visits based on the number and type of SSCI activation. Target Date: Jul-2020
#19-04 The Mayor's Gang Prevention Task Force #10 To more clearly define expectations for Youth Interventionist case management services, the Department of Parks, Recreation and Neighborhood Services should: a) Define what constitutes a case management session such as one-on-one sessions, support groups, or similar activities, b) Develop targets for expected number of case management sessions, and c) Develop procedures to track the required number of sessions received by participants and monitor the results of individual service plans.	PRNS	Not Implemented	YIS case management programs are intensive services designed for higher risk populations. To ensure the success of the program, PRNS will define case management sessions, develop goals for expected number of sessions, and develop procedures to track and monitor the results of individual service plan results. Target Date: Jul-2021

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#19-04 The Mayor's Gang Prevention Task Force #11 The Department of Parks, Recreation and Neighborhood Services should revise and implement additional monitoring procedures and instructions for reviewing BEST quarterly workbooks and grantee site visits to include: a) Reviewing workbooks for duplicates and target populations served, and b) Consistent guidelines on when grantees should be placed on corrective action plans.	PRNS	Not Implemented	To improve the monitoring of BEST grantees, PRNS will revise and develop additional monitoring procedures. This includes assigning a unique identifier to individual participants that ensures a more accurate tracking of duplicates and target populations served. The Strategic Partnerships Unit (SPU) will develop additional grantee monitoring guidelines to evaluate grantee performance and thresholds for triggering corrective actions. Target Date: Jul-2020
#19-04 The Mayor's Gang Prevention Task Force #12 To improve monitoring of its BEST grantees, the Parks, Recreation and Neighborhood Services Department should: a) Require staff to perform initial site visits only for new grantees or programs and conduct monitoring site visits twice a year afterwards, and b) Include a comparison of prior year results (on the site monitoring forms) for multi-year grantees.	PRNS	Not Implemented	To improve site visits and effectively assess BEST grantee performance, PRNS will include these changes in the monitoring guidelines for BEST grant agreements. Target Date: Jul-2020
#19-04 The Mayor's Gang Prevention Task Force #13 The Department of Parks, Recreation, and Neighborhood Services should revise site its visit checklist to include contracted grantee scope of work and verification of key requirements including backgrounding.	PRNS	Not Implemented	PRNS will revise its site visit procedures to account for differences in site visit content based on the length of time a grantee has been funded. Staff will revise the site visit checklist to include the contracted grantee scope of work, as well as the verification of backgrounding to ensure more thorough monitoring. The Department will ensure these changes are in alignment with the Citywide Grant Management Handbook. Target Date: Jul-2020
#19-04 The Mayor's Gang Prevention Task Force #14 The Department of Parks, Recreation and Neighborhood Services should: 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	Not Implemented	PRNS will convene with key staff members to evaluate and reassess the appropriate outcomes and units of services for all Task Force programs. Once outcomes and units of service measures are agreed upon, PRNS plans to develop procedures to train staff on collecting and reporting the data appropriately. These key program outcome measures will be reported in the Annual Report to Council. Target Date: Jul-2021

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#19-04 The Mayor's Gang Prevention Task Force #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.	PRNS	Not Implemented	The Department will develop a survey or other formal mechanism to receive feedback from participants in order to assess program satisfaction. Staff will research best practices in youth surveys to determine the appropriate implementation plan. Target Date: Jul-2020
#19-04 The Mayor's Gang Prevention Task Force #16 The Department of Parks, Recreation and Neighborhood Services should monitor and report key performance measures in its annual report to the City Council and Task Force committees, including total expenditures and activities for the entirety of Task Force programs.	PRNS	Not Implemented	The Department will report on key performance measures and financial expenditures for all Task Force programs in its annual report to the City Council and Task Force committees. Target Date: Jul-2020
#19-04 The Mayor's Gang Prevention Task Force #17 The Department of Parks, Recreation and Neighborhood Services should develop formal guidelines on Task Force reserve fund expenditures including, potential uses, approval process and tracking of expenditures.	PRNS	Not Implemented	The Department will develop a formal process and guidelines on the BEST Reserve fund spending, uses, and tracking. Target Date: Dec-2019