



Status of Open Audit Recommendations

As of June 30, 2023

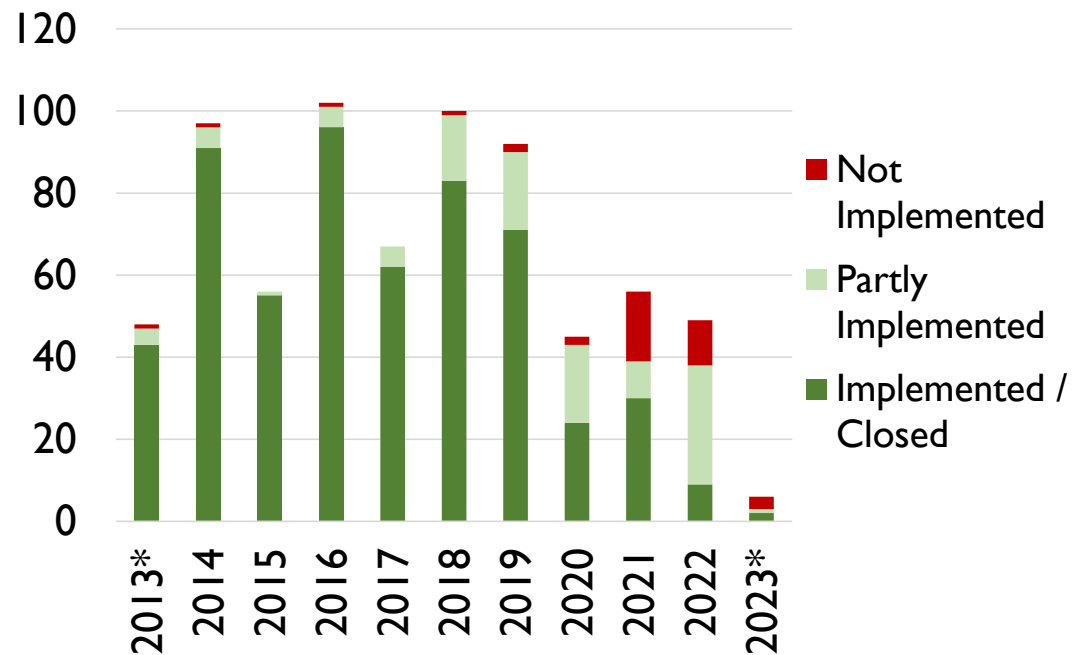
An update by the City Auditor
<http://www.sanjoseca.gov/auditor>

Summary of Results:

- **205** Recommendations
- **23** new recommendations made since last update
- **40** implemented or closed since last update
- **126** partly implemented, **39** not implemented

Percent of Recommendations Implemented / Closed:

- ✓ **79%** of recommendations over the last 10 years
- ✓ **56%** of recommendations over the last 5 years

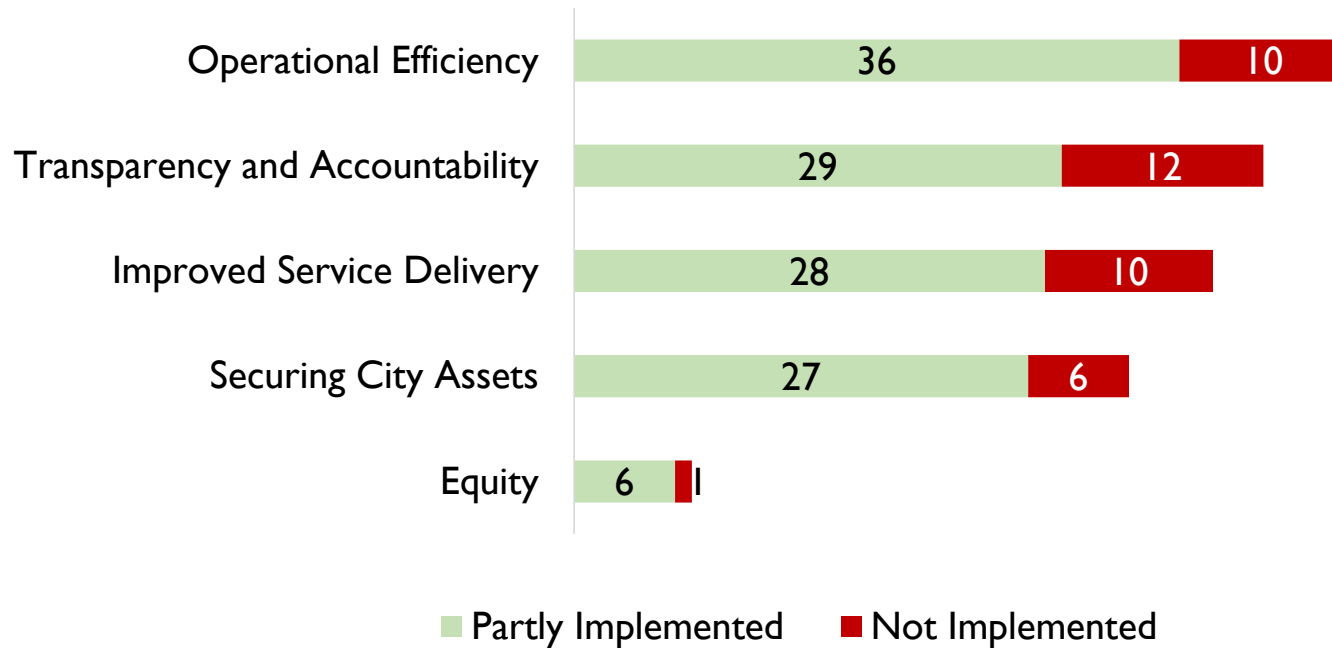


* Recommendations in 2013 represent July 2013-December 2013, and recommendations in 2023 represent January 2023-June 2023 to account for 10 full years.
Note: The number of recommendations can vary from year to year based on the type and scope of audits, as well as the timing of the release.

Departments Implemented 40 Recommendations

- ✓ PRNS finalized procedures to ensure its partners comply with fingerprinting, and other requirements for staff who work or interact with vulnerable populations in the Neighborhood Center Partner Program.
- ✓ OEDCA Real Estate Division completed its market analysis of telecommunications sites.
- ✓ Finance and ESD updated the Muni Water “How to Read Your Bill” information to align with the current rate structure and provide additional explanations.
- ✓ PBCE created new procedures to provide guidance for staff around tree removal applications and to verify that applicants are complying with permit conditions.
- ✓ SJPD updated its website to include information about the Gun Violence Restraining Order process and now includes information in its community outreach presentations. They also updated procedures for inspections of firearm businesses.

165 Recommendations are Still Pending



Twelve Priority Recommendations

Potential Budget Savings / Revenue Generation:

- Obtain more favorable contract terms from golf course operators (Audit of Golf Courses, 2015) **IMPLEMENTED**
- Improve overtime controls in the Police Department (Audit of Police Staffing, Expenditures, and Workload, 2021)
- Identify uses and develop procedures for spending in-lieu fees for tree plantings (Audit of Tree Removals and Replacements, 2022) – *New priority added*

Twelve Priority Recommendations

Operational Efficiency:

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

Twelve Priority Recommendations

Improved Service Delivery:

- Improve monitoring of homeless service providers (Audit of City's Homeless Assistance Programs, 2018) **IMPLEMENTED**
- Clarify massage program roles and responsibilities (Audit of Code Enforcement Management Controls, 2021)
- Procure a software solution and provide sufficient supervisory staff to support wage compliance review (Audit of the Office of Equality Assurance, 2017)

Twelve Priority Recommendations

Citywide Security / Risk Mitigation:

- Revise procurement card policy (Audit of City Procurement Cards, 2010)
- Develop Citywide administrative guidelines or procedures for managing federal grants (Audit of Citywide Grant Management, 2022)
- Fully document COVID-related procurements of food distribution contracts. (Audit of COVID-19 Food Distribution Expenditures, 2022) – *New priority added*



Online Interactive Dashboards

Status of Audit Recommendations as of June 2023 205 Reset

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

Priority 12

Monetary Benefit 15

Meet & Confer 2

Transparency and Accountability 49

Improved Service Delivery 51

Partly Implemented 126

Securing City Assets 42

Equity 9

Operational Efficiency 54

Implemented / Closed 40

Not Implemented 39

Primary Department	Count
Planning, Building, Code Enforcement (PBCE)	51
Police Department (PD)	29
Finance Department (FIN)	28
Parks, Recreation and Neighborhood Services (PRNS)	22
Public Works (PW)	20
Office of the City Manager (CMO)	16
Environmental Services Department (ESD)	7
Fire Department (FIRE)	7
Information Technology Department (ITD)	5
Department of Transportation (DOT)	4
Housing Department (HSD)	3
Office of the City Clerk (CLERK)	3
Office of the City Attorney (CAO)	2
Human Resources (HR)	1
Retirement Services (RET)	1

Year Published

Target Year

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

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

Summary of All Recommendations 2010 to Present 1033 Reset

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

Partly Implemented 122

Implemented/Closed 872

Year Published

Primary Department

07 - Recommendation

Search Report Number (eraser to clear) Search

Report #	Recommendation	Dept(s)	Status	Update	Link
#10-02	2 Adopt a civilianization policy based on that of the International Association of Chiefs of Police or other best practices the Police Department identifies.	PD	Implemented	Auditor Update as of December 2016: The Department had developed and adopted a civilianization policy based on the IACP model provided in the audit.	http://www.sanjoseca.gov/DocumentCenter/View/3327
#10-02	6 Analyze its employment and assignment options regarding Brady officers and then develop a policy accordingly, based on the International Chiefs of Police model policy and other best practices identified by the Police Department. Should also consider whether to retain those officers and whether the work they perform, if administrative, could instead be performed by civilians.	PD	Closed	Auditor Update as of December 2016: In June 2010, the Department conducted research on best practices across jurisdictions in California to determine what other agencies were doing internally with Brady officers. Based on this, the Department developed a policy, which by December 2010 had been approved by the City Attorney's Office and District Attorney's Office. However, the adopted policy differed from the International Association of Chiefs of Police model in that it did not address how or whether Brady status could affect a sworn	http://www.sanjoseca.gov/DocumentCenter/View/3327

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