

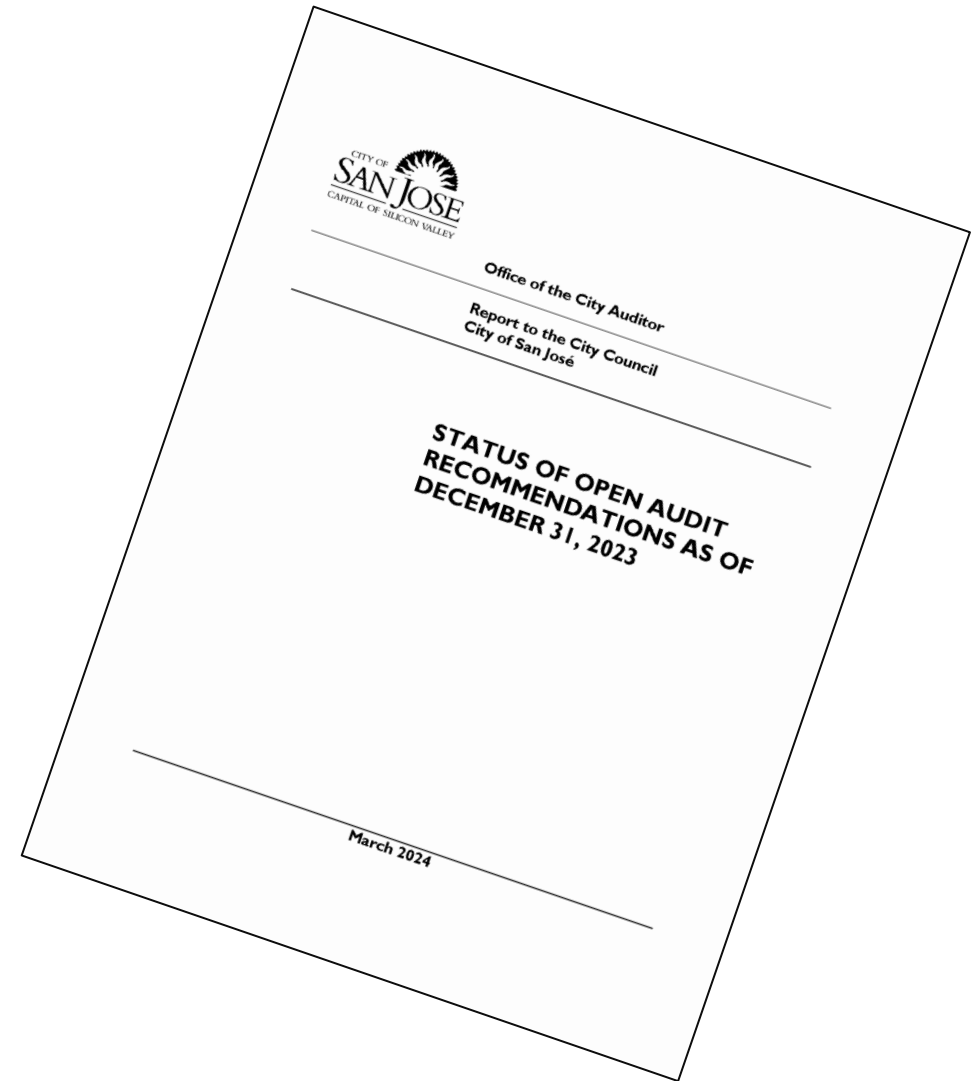


# Status of Open Audit Recommendations as of December 31, 2023

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An update by the City Auditor  
Issued March 2024

<http://www.sanjoseca.gov/auditor>



# Summary of Results

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**191** Recommendations

**26** new recommendations made since last update

**39** implemented or closed since last update

**112** partly implemented, **40** not implemented

**79%** implemented / closed over the last 10 years / **64%** over the last 5 years

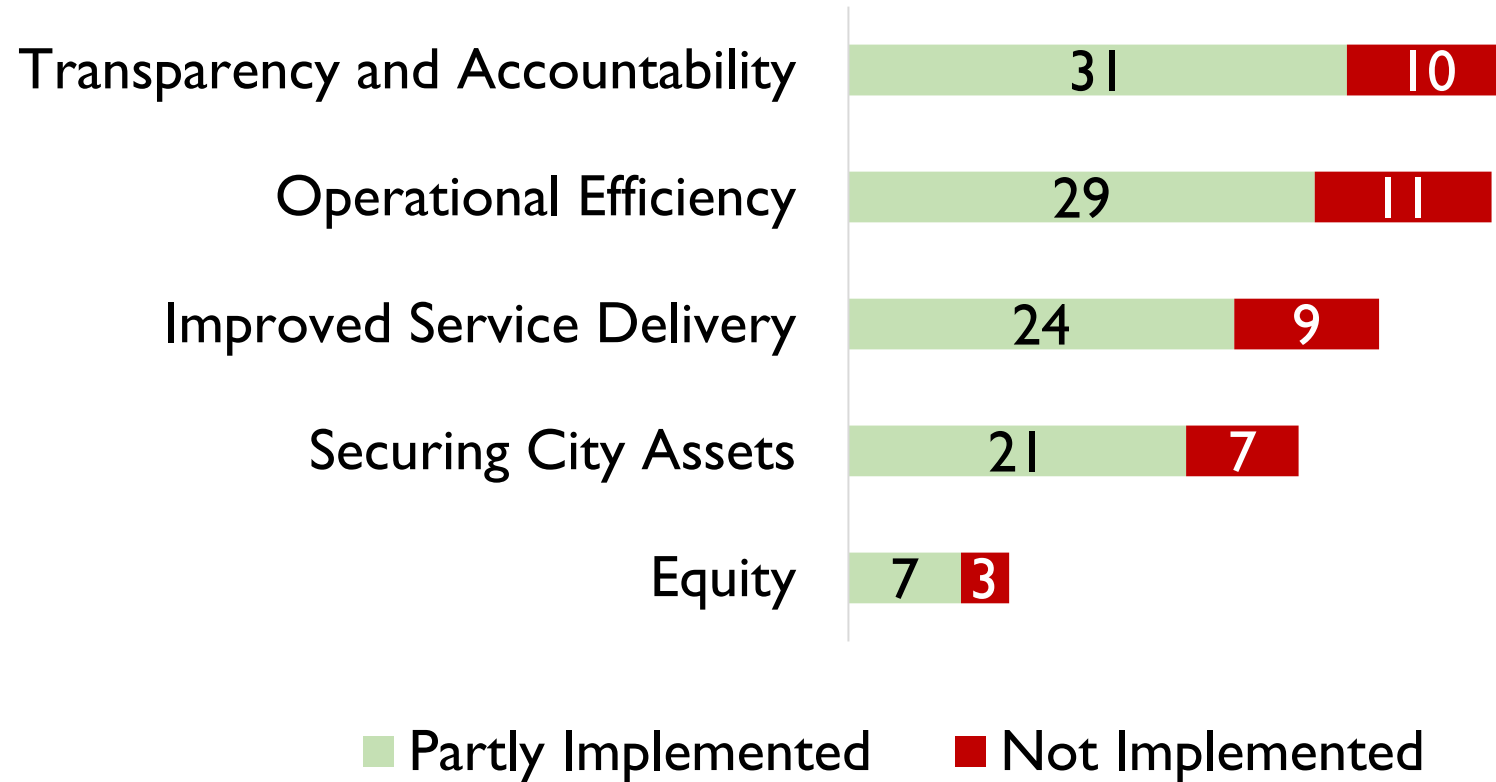
# Departments Implemented 39 Recommendations

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Examples of implemented recommendations in this period

- ✓ The City finalized an agreement for tow administrator services. (*Audit of Towing Services, 2018*)
- ✓ The City Manager's Office along with the City Attorney's Office and the Office of Employee Relations, finalized a new Open Government Policy within the City Policy Manual. (*Audit of Open Government, 2017*)
- ✓ The Police Department has taken steps to allow trained call takers to focus on emergency and non-emergency calls in the Communications Center. (*Audit of 9-1-1 and 3-1-1, 2019*)
- ✓ Finance worked with its outside vendors to allow utility customers to receive electronic billing statements (*Audit of Muni Water Billing and Customer Service, 2021*)
- ✓ PBCE implemented multiple recommendations from our 2022 audit of the CEQA review process. (*Audit of the Environmental Review for New Developments, 2022*)

# 152 Recommendations are still Pending



# Twelve Priority Recommendations

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## Potential Budget Savings / Revenue Generation:

- 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)
- Adding Community Service Officers to address lower priority Police calls (Audit of Police Staffing, Expenditures, and Workload, 2021) – New priority added

## Operational Efficiency:

- Develop Citywide policies and procedures for contract monitoring and management (Audit of Consulting Agreements, 2013) IMPLEMENTED
- Eliminate the Construction & Demolition Diversion Deposit (Audit of Development Services, 2014) – New priority added
- Adopt City policies and procedures by Retirement Services (Audit of Retirement Services, 2023) – New priority added

# Twelve Priority Recommendations (...continued)

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## 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*

## Improved Service Delivery:

- Improve governance around information technology systems (Audit of Information Technology, 2022) – New priority added  
**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)



# Online Interactive Dashboards

**Status of Audit Recommendations as of December 2023** 191 Reset

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

**Priority**  
11

**Monetary Benefit**  
15

**Meet & Confer**  
2

| Primary Department                                 | Count | Year Published | Target Year |
|--|-------|----------------|-------------|
| Planning, Building, Code Enforcement (PBCE)        | 60    | 2023           | 30          |
| Finance Department (FIN)                           | 24    | 2022           | 40          |
| Police Department (PD)                             | 20    | 2021           | 26          |
| Public Works (PW)                                  | 19    | 2020           | 21          |
| Parks, Recreation and Neighborhood Services (PRNS) | 14    | 2020           | 21          |
| Office of the City Manager (CMO)                   | 13    | 2019           | 21          |
| Environmental Services Department (ESD)            | 12    | 2018           | 17          |
| Fire Department (FIRE)                             | 6     | 2017           | 5           |
| Department of Transportation (DOT)                 | 4     | 2016           | 6           |
| Housing Department (HSG)                           | 4     | 2015           | 1           |
| Information Technology Department (ITD)            | 4     | 2014           | 6           |
| Office of the City Clerk (CLERK)                   | 3     | 2013           | 10          |
| Human Resources (HR)                               | 1     | 2012           | 7           |
| Office of the City Attorney (CAO)                  | 1     | 2012           | 1           |
| Retirement Services (RET)                          | 1     | 2010           | 1           |

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

Search  Search

| Report # | Recommendation | Monetary Benefit (Potential) | Dept(s) | Current Status     | Target Date | Status Update   | Report Link   |
|----------|----------------|------------------------------|---------|--------------------|-------------|---|---|
| #10-09   | 1              |                              | FIN     | Partly Implemented | Jun-2024    | 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 | <a href="https://www.sanjoseca.gov/Home/ShowDocument?id=33732">https://www.sanjoseca.gov/Home/ShowDocument?id=33732</a> |

**Summary of All Recommendations 2010 to Present** 1059 Reset

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

Year Published

Primary Department

Search Report Number (eraser to clear) 07 - Recommendation Search

Search  Search

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

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