



# Status of Open Audit Recommendations as of June 30, 2024

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An update by the City Auditor  
Issued September 2024

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

September 24, 2024, City Council item 3.3

Presented by Joe Rois, City Auditor and Brittney Harvey, Supervising Auditor



# Summary of Results

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**175** Recommendations

**23** new recommendations made since last update

**45** implemented or closed since last update

**108** partly implemented, **22** not implemented

**83%** implemented / closed over the last 10 years

# Departments Implemented 45 Recommendations

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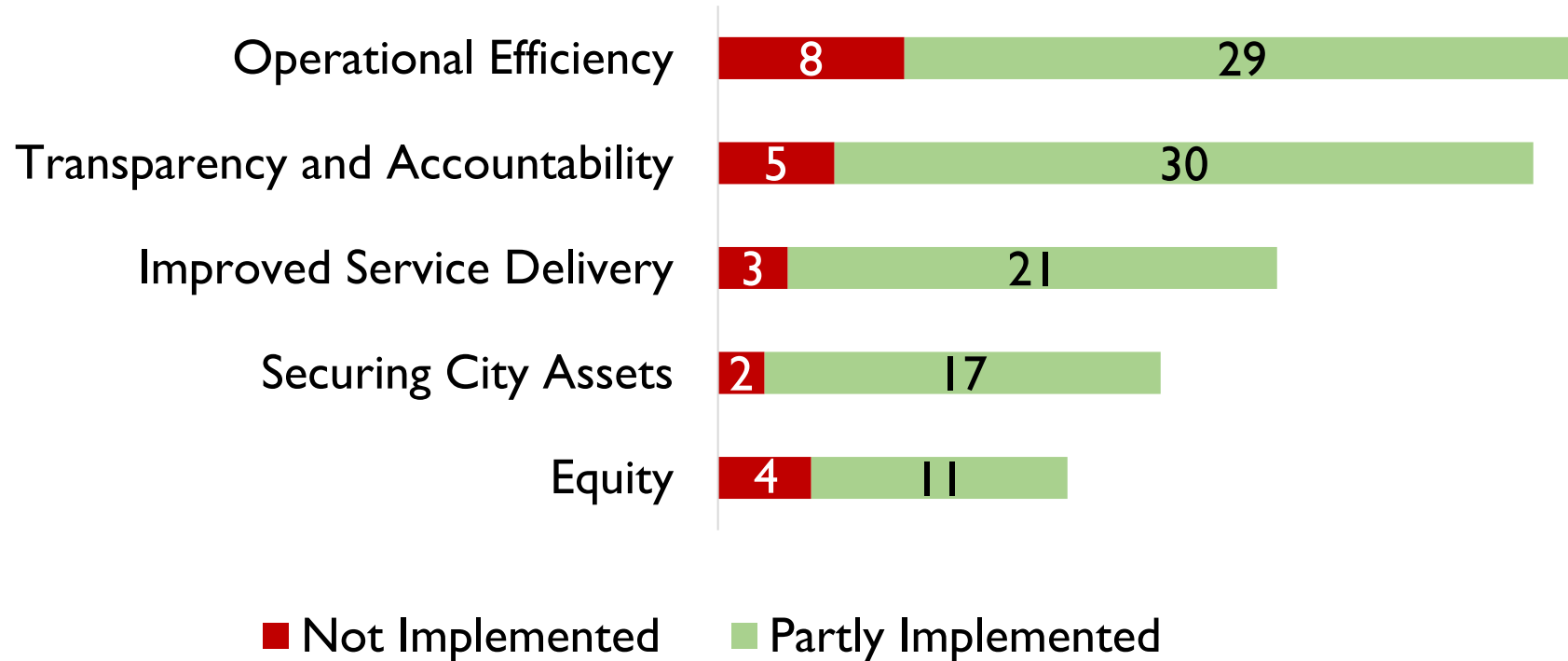
Examples of implemented recommendations in this period:

- ✓ The Fire Department Development's Services team finalized a comprehensive website design to organize information by discipline and activity type, provide links to other useful sites, and provide dashboards showing average wait times for inspections. (Audit of Fire Development Services, 2020)
- ✓ To reduce travel time for park maintenance crews, Parks, Recreation and Neighborhood Services completed maintenance route assessments and redistributed parks among crews for greater efficiency. (Audit of Park Maintenance, 2020)
- ✓ Planning, Building and Code Enforcement developed a partner policy for non-routine or higher risk inspection activities, and updated performance targets for special programs such as the massage and cannabis inspection programs. (Audit of Code Enforcement Management Controls, 2021)
- ✓ Human Resources and the Office of Employee Relations updated City Policy 3.3.3 Non-Management Performance Program to clarify expectations for appraisals for part-time staff and the timeliness of appraisals. (Audit of Non-Management Performance Appraisals, 2024)
- ✓ The Office of Racial and Social Equity updated or developed guides and tools for departments to include language access considerations. (Audit of Language Accessibility, 2024)

# 130 Recommendations are still Pending

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## Open Audit Recommendations by Intended Outcome



# 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)
- Adding Community Service Officers to address lower priority Police calls (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) – IMPLEMENTED

## Operational Efficiency:

- Eliminate the Construction & Demolition Diversion Deposit (Audit of Development Services, 2014)
- Implement a database platform to better manage the City's real estate assets (Audit of Real Estate Services, 2021) – New priority added
- Adopt City policies and procedures by Retirement Services (Audit of Retirement Services, 2023)

# Twelve Priority Recommendations (...continued)

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## Citywide Security / Risk Mitigation:

- Revise procurement card policy (Audit of City Procurement Cards, 2010) – IMPLEMENTED
- Develop Citywide administrative guidelines or procedures for managing federal grants (Audit of Citywide Grant Management, 2022)
- Gather documentation for COVID-related procurements of food distribution contracts. (Audit of COVID-19 Food Distribution Expenditures, 2022) – CLOSED

## Improved Service Delivery:

- Procure a software solution and provide sufficient supervisory staff to support wage compliance review (Audit of the Office of Equality Assurance, 2017)
- Clarify massage program roles and responsibilities (Audit of Code Enforcement Management Controls, 2021) – IMPLEMENTED
- Increase language translations of vital documents and include language translation options in the Sjpermits.org website. (Audit of Residential Building Permits, 2023) – New priority added



# Online Interactive Dashboards

### Status of Audit Recommendations as of June 2024

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

**175** Reset

Primary Department	Count	Year Published	Target Year
Planning, Building, Code Enforcement (PBCE)	44	2024	23
Finance Department (FIN)	20	2023	25
Office of the City Manager (CMO)	20	2022	31
Public Works (PW)	17	2021	25
Police Department (PD)	16	2020	17
Parks, Recreation and Neighborhood Services (PRNS)	12	2019	20
Human Resources (HR)	9	2018	6
Environmental Services Department (ESD)	8	2017	4
Fire Department (FIRE)	8	2016	6
Department of Transportation (DOT)	4	2015	1
Housing Department (HSG)	4	2014	5
Retirement Services (RET)	4	2013	4
Office of the City Clerk (CLERK)	3	2012	7
Office of the City Attorney (CAO)	1	2010	1

### Summary of All Recommendations 2010 to Present

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

**1007** Reset

**Priority**  
12

**Monetary Benefit**  
14

**Meet & Confer**  
3

**Year Published**

**Primary Department**

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		FIN	Implemented		This recommendation has been addressed in the City Procurement Cards: Administrative Guide that was published on April 17, 2024. The guide requires that the cardholder provide descriptive annotations that must be reviewed by the approving official.	<a href="https://www.sanjoseca.gov/Home/ShowDocument?id=33732">https://www.sanjoseca.gov/Home/ShowDocument?id=33732</a>
#12-04	30		PD	Partly Implemented	Dec-2024	The Department conducted an analysis of the costs associated with the Secondary Employment Unit (SEU) and has developed an implementation proposal. The Department reports that it has proposed an amendment to Section 8.16.090 of Chapter 8.16 of Title 8 of the San José Municipal Code. This amendment would authorize	<a href="https://www.sanjoseca.gov/Home/ShowDocument?id=33768">https://www.sanjoseca.gov/Home/ShowDocument?id=33768</a>

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