

TO: Public Safety, Finance and Strategic Support Committee **FROM:** Sharon W. Erickson, City Auditor
SUBJECT: *Monthly Report of Activities for August 2013* **DATE:** September 9, 2013

RECOMMENDATION

Approve the Auditor's Office Monthly Report of Activities for the month of August 2013.

SUMMARY OF RESULTS

Charter Section 8.05(e) requires the City Auditor to submit a monthly report to the City Council of our activities, findings, and recommendations. This report summarizes reports issued, other activities, assignments in process, and the status of the City Auditor's Fiscal Year 2013-14 Work Plan during the month of August 2013.

Activities During the Month of August:

- Cheryl Hedges joined the Office of the City Auditor as a Program Performance Auditor.

Assignments in Process:

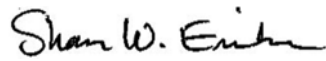
- 1. Annual Review of Team San Jose (TSJ) Performance** – Annual review to determine whether TSJ met its performance metrics for the fiscal year ended June 30, 2013.
Project Status: Fieldwork and report writing in process.
Anticipated Release Date: October 2013.
- 2. Travel Expenditures** – Routine audit of employee travel expenditures for appropriateness and compliance with City policies and procedures.
Project Status: Fieldwork in process.
Anticipated Release Date: TBD.
- 3. Overhead Cost Allocation** – Review the calculation and allocation of indirect or overhead costs among various City funds.
Project Status: Fieldwork in process.
Anticipated Release Date: TBD.
- 4. Community Code Enforcement** – Assess the efficiency and effectiveness of operations and consequences of staffing reductions.
Project Status: Fieldwork in process.
Anticipated Release Date: TBD.

- 5. Library Hours and Staffing** – Assess the impact of budget reductions on Library hours and staffing, and identify opportunities to increase the efficiency and effectiveness of scheduling and staffing.
Project Status: Fieldwork in process.
Anticipated Release Date: TBD.

- 6. Housing Loan Portfolio** – Evaluation of the housing loan portfolio, including the efficiency and effectiveness of loan repayment, compliance monitoring, and administration.
Project Status: Fieldwork in process.
Anticipated Release Date: TBD.

Information on the status of the City Auditor's FY 2013-14 Work Plan is attached. On behalf of the Auditor's Office, I would like to express my appreciation to City staff for their cooperation and assistance during our reviews.

Respectfully submitted,



Sharon W. Erickson
City Auditor

SE:bh

Status of the City Auditor's FY 2013-14 Work Plan

**Status of the City Auditor's FY 2013-14 Work Plan¹
as of August 2013**

	Preliminary Survey	Risk Assessment	Audit Field Work	Report Writing	Projected Issuance Date ²
Assignments In Process					
Recommendation Follow-Up For 6 Months Ended 6-30-13	N/A	N/A	Completed	In Process	September 2013
Annual Review of Team San Jose Performance	N/A	N/A	In Process	In Process	October 2013
Travel Expenditures	Completed	Completed	In Process		
Overhead Cost Allocation	Completed	Completed	In Process		
Community Code Enforcement	Completed	Completed	In Process		
Library Hours and Staffing	Completed	Completed	In Process		
Housing Loan Portfolio	Completed	Completed	In Process		
Assignments Not Yet Started					
Biennial Peer Review					
External Financial Audits					
Semi-Annual Reviews of the City's Investment Program					
Annual Audits of Bond and Parcel Tax Measures					
Single Audit and Management Letter					
6 th Annual Service Efforts and Accomplishments					
Performance Measure Review					
Children's Health Initiative					
Senior Advisory Council Funds					
Revenue Management					
Regional Wastewater Facility Maintenance					
Santa Clara County Cities Association					
Public Works Facility Maintenance					
Fund Balance and Reserve Policies					
Development Center Application and Permitting Process					
Customer Call Handling					
Procurement Card Usage					
Stormwater Management					

¹ The approved work plan is on the web at <http://www.sanjoseca.gov/DocumentCenter/View/20155>

² Projected Issuance Dates are usually six weeks after Report Writing is completed to accommodate exit conferences, draft report revisions and a three week allowance for the administration to prepare a written response. For the Assignments Completed, the date shown is the actual month of report issuance.