

TO: Public Safety, Finance and Strategic Support Committee
FROM: Sharon W. Erickson, City Auditor
SUBJECT: *Monthly Report of Activities for January 2014*
DATE: February 12, 2014

RECOMMENDATION

Approve the Auditor's Office Monthly Report of Activities for the month of January 2014.

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 January 2014.

Activities During the Month of January:

- Mia Lincoln joined the office for a fellowship placement as part of the CORO Fellows Program in Public Affairs. She is assisting on the Customer Call Handling audit.
- Presented the annual Service Efforts and Accomplishments Report 2012-13 to the City Council, and provided copies at the Neighborhood Priority Setting Session.
- Testified at Public Employee Relations Board (PERB) hearing regarding the auditor's 2010 report on Pension Sustainability.
- Presented the 2013 audit of taxi service to the Airport Competitiveness Committee.

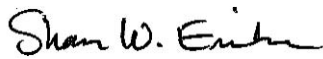
Assignments in Process:

1. **Children's Health Initiative** – Per the June Budget message, determine whether the City funds spent since 2001 on administrative expense and outreach efforts were spent on political outreach or in support of organizations or individuals who are engaged in any activities other than providing health insurance to children.
Project Status: Report writing in process.
Anticipated Release Date: February 2014.
2. **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: Report writing in process.
Anticipated Release Date: March 2014.

- 3. Senior Advisory Council Funds** – An audit was requested due to discrepancies discovered at the Southside Community Center.
Project Status: Report writing in process.
Anticipated Release Date: March 2014.
- 4. Housing Loan Portfolio** – Evaluation of the housing loan portfolio, including the efficiency and effectiveness of loan repayment, compliance monitoring, and administration.
Project Status: Report writing in process.
Anticipated Release Date: April 2014.
- 5. Revenue Management** – One in a series of audits of City revenues, this audit will focus on the billing and collection of accounts receivable that originate in City departments.
Project Status: Preliminary Survey in process.
Anticipated Release Date: TBD.
- 6. Development Center Application and Permitting Process and Wait Times** – Assess the efficiency and effectiveness of the application and permitting processes and wait times.
Project Status: Preliminary Survey in process.
Anticipated Release Date: TBD.
- 7. Customer Call Handling** - Assess the efficiency and effectiveness of customer call handling including the Customer Contact Center and 311.
Project Status: Preliminary Survey 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 Plan¹
as of January 2014**

	Preliminary Survey	Risk Assessment	Audit Field Work	Report Writing	Projected Issuance Date ²
Assignments Completed					
Employee Travel Expenditures	Completed	Completed	Completed	Completed	December 2013
Annual Audits of Bond and Parcel Tax Measures	N/A	N/A	Completed	Completed	December 2013
6 th Annual Service Efforts and Accomplishments	N/A	N/A	Completed	Completed	December 2013
Single Audit and Management Letter	N/A	N/A	Completed	Completed	December 2013
Biennial Peer Review	N/A	N/A	Completed	Completed	November 2013
Overhead Cost Allocation	Completed	Completed	Completed	Completed	November 2013
External Financial Audits	N/A	N/A	Completed	Completed	November 2013
Semi-Annual Review of City's Investment Program as of 6/30/13	N/A	N/A	Completed	Completed	November 2013
Community Code Enforcement	Completed	Completed	Completed	Completed	November 2013
Annual Review of Team San Jose Performance	N/A	N/A	Completed	Completed	October 2013
Recommendation Follow-Up For 6 Months Ended 6-30-13	N/A	N/A	Completed	Completed	September 2013
Assignments In Process					
Children's Health Initiative	Completed	Completed	Completed	In Process	February 2014
Library Hours and Staffing	Completed	Completed	Completed	In Process	March 2014
Senior Advisory Council Funds	Completed	Completed	Completed	In Process	March 2014
Housing Loan Portfolio	Completed	Completed	Completed	In Process	April 2014
Revenue Management	In Process				
Development Center Application and Permitting Process	In Process				
Customer Call Handling	In Process				
Assignments Not Yet Started					
Public Works Facility Maintenance					
Fund Balance and Reserve Policies					
Santa Clara County Cities Association					
Procurement Card Usage					
Stormwater Management					
Regional Wastewater Facility Maintenance					
Performance Measure Review					

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.