CITY OF

SAN JOSE

CAPITAL OF SILICON VALLEY

Office of the City Auditor

Report to the City Council
City of San José

STATUS OF OPEN AUDIT RECOMMENDATIONS AS OF DECEMBER 31, 2020

March 2021

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CITY OF
SAN JOSE
CAPITAL OF SILICON VALLEY

Office of the City Auditor
Joe Rois, City Auditor

March 12, 2021

Honorable Mayor and City Council
City of San José
200 E. Santa Clara Street
San José, CA 95113

STATUS OF OPEN AUDIT RECOMMENDATIONS AS OF DECEMBER 31, 2020

RECOMMENDATION

We recommend the City Council accept the Status of Open Audit Recommendations as of December 31, 2020.

SUMMARY OF RESULTS

The City Auditor's Office monitors progress toward implementing audit recommendations and reports on the status of all recommendations every six months. [1] City staff implemented or closed 37 recommendations since the last update.

Over the past 10 years, the Administration has implemented 70 percent of all recommendations made by the Auditor's Office. 250 recommendations remain pending, the majority of which have been partly implemented.

Attached to this report is a summary table of all recommendations by report over the past five years (Appendix A) and details of the 287 audit recommendations from our review as of December 31, 2020 (Appendix B).

287 recommendations in this report

55 were issued in new reports

37 implemented/closed since last update

250 partly or not implemented

$10.1 million potential budget savings

70% of audit recommendations made over the last 10 years have been implemented or closed

52% of recommendations made over the last 5 years have been implemented or closed

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[1] Because of the workload impact of the City's response to the COVID-19 pandemic, the City Auditor did not issue a status report on open audit recommendations as of June 30, 2020.

Twelve Priority Recommendations

Per direction of the City Council, the Administration, in coordination with the City Auditor's Office, identified twelve open audit recommendations to prioritize, while continuing to make progress on implementing or closing out other open audit recommendations.[2] Two new priority recommendations are included in this update to replace those that were implemented as of December 31, 2019.   The current audit recommendation priorities (categorized by intended benefit, and listed with target dates) are:

Potential budgetary savings/revenue generation

- Reduce Police Department comp time balances (*Audit of Police Overtime*, 2016)

  Although total overtime hours worked is roughly the same as when we did our audit, the number of sworn employees with comp time balances over 240 hours has increased from 410 at the time of our audit to 710 in February 2021; the liability for compensatory time has increased from $13 million to $21 million. In addition, in FY 2019-20, the Department paid nearly $16 million in overtime as a result of officers reaching their 480 comp time balance limit. Recommendation #1608-10 target date: June 2021 (delayed from March 2018).

- Obtain more favorable contract terms from golf course operators (*Audit of Golf Courses*, 2015)

  The FY 2020-21 Adopted Operating Budget included the payoff of the outstanding debt related with the Los Lagos Golf Course. With the payoff of the debt as well as increased golf revenues, the Parks, Recreation and Neighborhood Services Department (PRNS) canceled its current plans for an RFP and staff are exploring options including short-term lease development for the operations of the courses. It plans to bid all three municipal golf courses in an RFP in 2022. Recommendation #1508-01 target date: December 2022 (delayed from December 2018).

- Procure a software solution and sufficient supervisory staff to support wage compliance review (*Audit of the Office of Equality Assurance*, 2017)

  Public Works finalized implementation of a software application in late 2019 that allows contractors to submit certified payrolls and other labor compliance documents electronically through a web portal. Public Works has identified needs for additional supervisory capacity and continues to look for funding opportunities as part of the City's annual budget process. Recommendation #1702-01 target date: December 2021 (delayed from June 2018).

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[2] In June 2018, the City Council approved the *2018-19 Open Audit Recommendation Priorities* (https://sanjose.legistar.com/LegislationDetail.aspx?ID=3512937&GUID=A59AA751-4DB2-4759-BE3A-03E8B26DB47F&Options=&Search). To date, six of the original twelve priority recommendations have been implemented.

Operational efficiency

- Contract management policies (*Audit of Consulting Agreements*, 2013)

    The Administration executed an amended service order in 2020 with a consultant to document the current processes for consultant procurements across various City departments, document cross-functional roles and responsibilities, identify inconsistencies across departments, and develop recommendations on process improvements. This information is expected to be used to establish a City policy for procuring consultant services and develop training materials. However, due to the COVID-19 emergency response, this has been put on hold as the CMO prioritized emergency response activities. Recommendation #1306-09 target date: December 2021 (delayed from June 2018).

- Volunteer program guidelines (*Audit of the City's Use and Coordination of Volunteers*, 2016)

    The Administration has created a draft volunteer policy and volunteer management guide. A cross-departmental working group was established in March 2018 and continues to review and add to the draft. The draft policy is in final review. Staff delayed final approval to allow time to incorporate volunteer protocols related to Citywide efforts such as BeautifySJ. However, due to the COVID-19 emergency response, this has been put on hold as the CMO prioritized emergency response activities. Recommendation #1603-03 target date: December 2021 (delayed from June 2019).

- Develop Technology Deployment Policy (*Audit of Technology Deployments,* 2019*) – new priority added*

    The Information Technology Department (ITD) has drafted a Technology Management and Deployment Policy, which has been presented to departments and is in final reviews with the Administration. The policy requires project charters that include a definition of roles and responsibilities in the deployment, and project sponsorship by an executive steering group. Charters also require a detailed and agreed-upon work breakdown and resourcing estimates based on the project approach, including staffing and timing, depending on the complexity of the initiative. Finally, the policy formalizes the role of ITD in reviewing/approving charters and overseeing formal project management, and addresses other recommendations from the audit. Recommendation #1910-04 target date: April 2021

Improved service delivery

- SJFD public education (*Audit of Fire Prevention*, 2013)

    The Fire Department's Strategic Business Plan includes goals to expand community partnerships and promote public education, and the Department has undertaken various activities to promote and install smoke detectors. The Department has hired a Public Information Manager and a Video/Multimedia Producer who are developing a work plan to expand public outreach related to fire prevention, education, and preparedness. In addition, an internal Public Information Advisory Committee was formed in 2020. Finalizing the work plan will complete this recommendation. Recommendation #1304-19 target date: June 2021 (delayed from June 2019).

- Housing Department outreach to tenants and landlords (*Audit of the Apartment Rent Ordinance*, 2016)

    The Housing Department has provided additional outreach to tenants and landlords explaining ordinance updates, updated its website, made communications available in multiple languages, received approval to accept petitions online, and created an interactive map that allows the public to look up addresses covered by the Apartment Rent Ordinance. Housing is also in the process of exploring options for its lobby space, including installing an iPad in the lobby for drop-in customers to search and call Housing staff for assistance once City Hall reopens. Recommendation #1610-03 target date: June 2022 (delayed from December 2018).

- Update Police Activities League (PAL) agreement (*Audit of the San José Police Activities League,* 2018) *– new priority added*

    PRNS, the Police Department, and the City Manager's Office have worked to identify alternatives to the service delivery model in place at the time of the audit. In February 2020, the City Council approved PRNS to move forward with PAL on a hybrid PAL/PRNS governance structure. In January 2021, the City Council approved guiding principles for the new operating model. Using these guiding principles, staff intends to negotiate a contract that details PAL operations and performance measures. Recommendation #1802-01 target date: July 2021 (delayed from Fall 2019).

Citywide security/risk mitigation

- Improving lease management, including updating expired leases *(Audit of the City's Oversight of Financial Assistance to Community-Based Organizations,* 2008)*

    The Office of Economic Development (OED) is working with the Finance Department to procure property management software. OED reports that currently all below-market leases are up to date. Recommendation #0804-11 target date: June 2021 (delayed from December 2018).

- Revise City Procurement Cards policy (*City Procurement Cards: Policies Can Be Improved,* 2010)

  > The City spends roughly $14 million annually through City-issued procurement cards (p-cards). 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 and a detailed p-card administrative guide. Both documents are currently in outline/draft form as Finance is incorporating recommendations from the September 2019 p-card audit. This revision will address multiple open audit recommendations to ensure the ongoing appropriateness of p-card expenditures. Recommendation #1009-01 target date: June 2021 (delayed from June 2011).

- Develop Mobile Device Policy (*Mobile Devices: Improvements Needed to Ensure Efficient, Secure, and Strategic Deployment,* 2016)

  > The Administration is working on a new Mobile Communication and Device Policy to account for the City's transition to FirstNet, which allows communication among City employees during disaster and recovery. The new policy is expected to address multiple recommendations in the Audit of Mobile Devices surrounding roles and responsibilities for mobile device management, stipends for the use of personal devices, and information security. Recommendation #1611-06 target date: June 2021 (delayed from December 2017).

More detail about each of the priority recommendations is shown in our online dashboard and in Appendix B of this report.

Departments Implemented or Closed 37 Recommendations Since the Last Update

In addition to their work on the priority items listed above, departments continued to make progress toward implementing other open audit recommendations. Examples of implemented recommendations include:

- The Fire Department formed a Public Information Advisory Committee in 2020. The committee's work involved developing a Jr. Firefighter Safety video series, social media outreach, and revising public outreach materials for children and high-risk groups. (*Audit of Fire Prevention*, 2013)

- The Planning, Building and Code Enforcement Department can now support electronic plan submissions and plan reviews for development projects. (*Audit of Development Services,* 2014)

- The Public Works Office of Equality Assurance improved their outreach to employees and employers about wage compliance. The Department's outreach included conducting a virtual Public Works Construction Academy and improving relationships with many businesses and other associations. (*Audit of Office of Equality Assurance*, 2017)

- PRNS has made progress on recommendations related to the Mayor's Gang Prevention Task Force, including improving coordination between BEST grantees and Youth Intervention Services programs, and developing new procedures to monitor Safe School Campus Initiative activities. (*Audit of the Mayor's Gang Prevention Task Force*, 2019)

- Finance has developed Citywide relationships with some high-volume vendors, such as Amazon and Home Depot, and created procedures to ensure the City receives agreed upon volume or pricing discounts. (*Audit of Procurement Card Expenditures*, 2019)

A Total of 250 Recommendations Are Still Pending

Of the 250 recommendations that are still pending, 173 (69 percent) are partly implemented and 77 (31 percent) are not implemented. PRNS has the largest number of open audit recommendations – many of them from audits issued within the last three years.

All Open Audit Recommendations
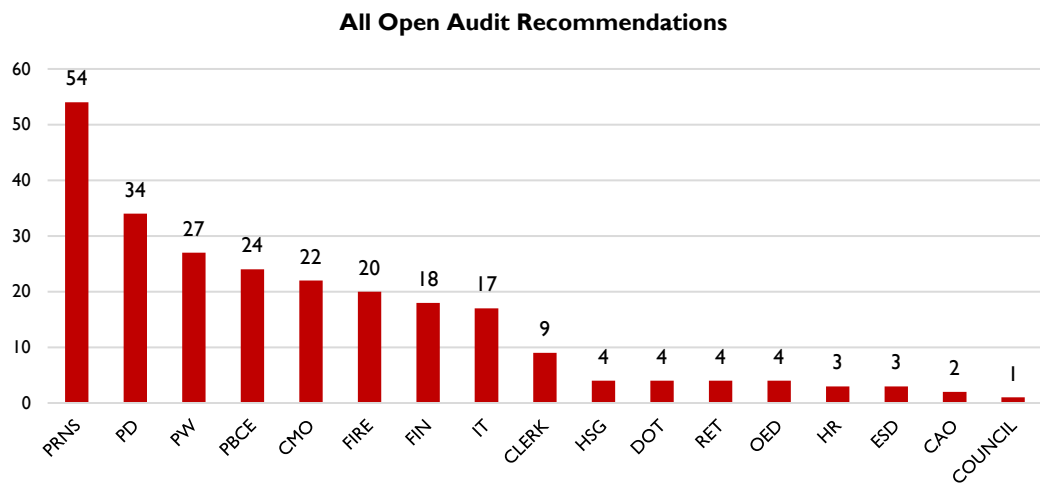
When implemented, many recommendations will improve operational efficiency of City departments. Others will improve transparency and accountability or improve service delivery. Others will help secure City assets.

Open Audit Recommendations by Intended Outcome

Intended Outcome	Not Implemented	Partly Implemented
Improved Service Delivery	21	41
Securing City Assets	7	27
Transparency and Accountability	22	49
Operational Efficiency	27	56

■ Not Implemented   ■ Partly Implemented
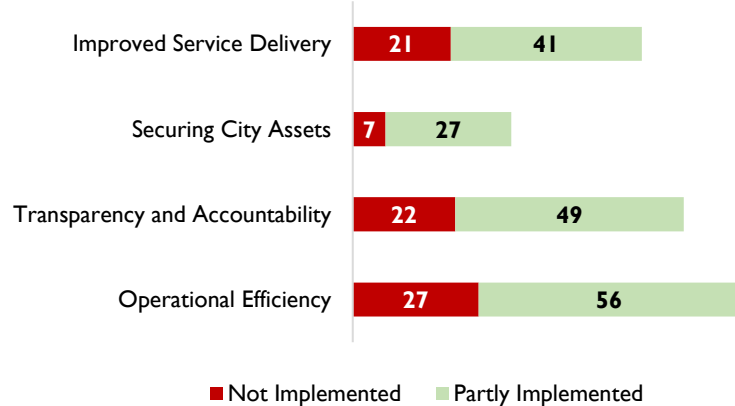
$10.1 Million in Potential Budget Savings from 250 Open Recommendations

Implementing recommendations can sometimes result in cost savings or additional revenue to the City. Among the recommendations with budget savings include:

- Renegotiating the integration agreement with Santa Clara Valley Water District to recognize needed funding for reliability projects ($2.8 million)
- Transferring in-lieu fee revenues collected for completed public improvements that remain unspent or that were deposited in an incorrect fund ($2.2 million)[3]
- Pursuing reductions in overtime and compensatory time for supervisory employees ($1.6 million)
- Requiring sworn employees to lower compensatory time balances ($1.1 million)
- Recovering 100 percent of the cost of the Police Department's secondary employment program ($0.7 million)

These and other recommendations that could result in potential budget savings are shown in more detail in Appendix B and in our online dashboard.

### Six Pending Recommendations Are Potentially Subject to Meet and Confer

We forward open items that may be subject to meet and confer to the Office of Employee Relations for inclusion in their annual labor relations update to the City Council.[4] These are also identified in Appendix B as well as on our online dashboard.

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[3] At the time of the audit, we identified around $930,000 of in lieu fee revenues that remained unspent or were deposited incorrectly and recommended that Public Works review the funds for other potential revenues. They identified a total of nearly $14 million in additional in lieu fee revenues; $9.5 million has already been transferred to other City funds and $1 million was returned to applicants. At the time of this status update, $2.2 million remained to be transferred to other City funds and an additional $1.2 million was to be returned to applicants.

[4] For more information, see the *2020 Annual Summary of Labor Negotiations* at San Jose, CA - Official Website – Labor Relations Information.

Departments Have Implemented 70 Percent of Recommendations Made in the Last 10 Years

Over the last 10 years, the City Auditor's Office has made 814 recommendations to improve or enhance City services. Of those recommendations, 70 percent have been implemented.

Recommendations Made Over the Last 10 Years
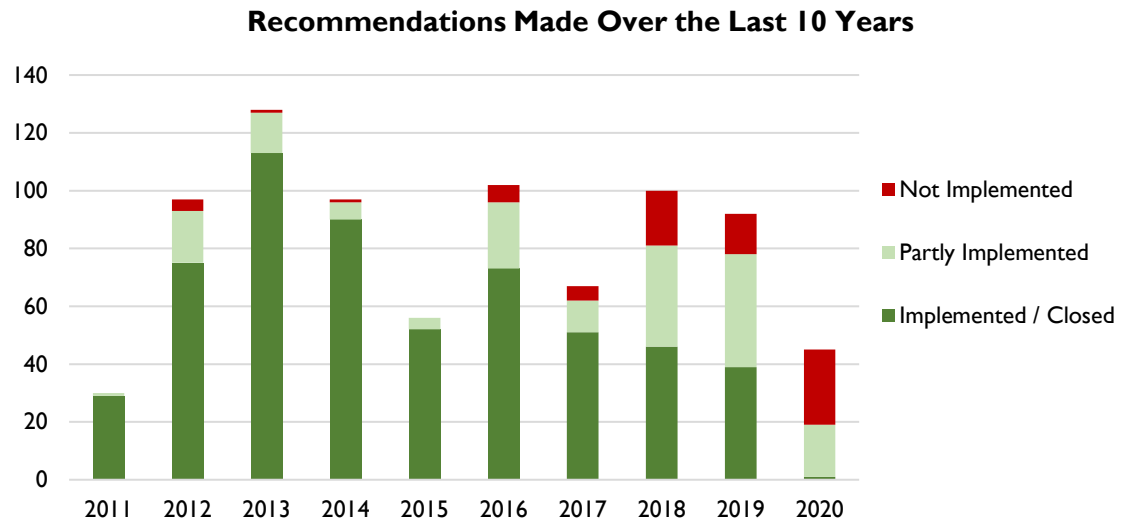
Note: The number of recommendations can vary from year to year based on the type and scope of audits, as well as the timing of the release.

Over the past five years, departments have implemented 52 percent of the 406 audit recommendations made. (See Appendix A for a list of reports issued in the last five years and the status of their recommendations.)

Departments Expect to Implement 89 Recommendations Within the Next Six Months

Addressing open recommendations in a timely manner demonstrates management's commitment to address risk areas and improve City services. While departments expect to implement many pending audit recommendations within the next six months, competing priorities may delay implementation.

CONCLUSION

More information about all open recommendations is available in the appendices to this report and online:

- The *Dashboard of the Status of Open Audit Recommendations* contains information about the status of all pending recommendations as of December 31, 2020 – sortable by priority, department, year published, target date, and type/benefit.

- The *Dashboard of All Recommendations 2010 to Present* contains all recommendations (both open and closed) made since 2010 – sortable by report, department, year published, and status. A search feature allows users to search by keyword.

Both dashboards are online at:
www.sanjoseca.gov/your-government/appointees/city-auditor/audit-recommendations

The City Auditor's Office would like to thank the City Manager's Office and all of the departments for their efforts to implement audit recommendations and for their assistance in compiling this report.

Respectfully submitted,

Joe Rois
City Auditor

Audit staff: Brittney Harvey, Juan Barragan, Shirley Duong, Leonard Hyman, Marisa Lin, Gitanjali Mandrekar, Stephanie Noble, Ebelechukwu Obi, Alison Pauly, Vicki Sun, and Caroline Wurden

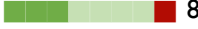Appendix A: Summary Listing of Recommendations by Report (January 1, 2016 – December 31, 2020)
Appendix B: Detailed Listing of the Status of Pending Recommendations as of December 31, 2020

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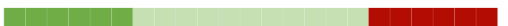
Appendix A:

SUMMARY LISTING RECOMMENDATIONS BY REPORT
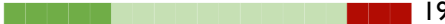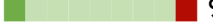
(January 1, 2016 - December 31, 2020)

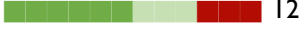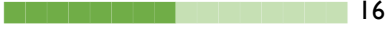| Report	Audit Title	Dept(s)	We made recommendations to:	Current Recommendation Status
#16-02	Street Sweeping: Significant Investment and Re-Tooling Are Needed to Achieve Cleaner Streets	DOT	Improve the effectiveness of sweeping City streets through evaluating program costs, enhancing tools for data monitoring, and improving communication with the public	14
#16-03	The City's Use and Coordination of Volunteers: Volunteer Programs Provide Significant Benefits to the Residents of San José	CMO	Provide tools for City staff to better manage volunteers and allow for better coordination across volunteer programs	8
#16-04	Technology Deployments: Additional Resources Needed to Shorten Deployment Timelines	IT	Improve and establish additional resources for deploying new technology across the City organization	9
#16-05	South Bay Water Recycling: Better Information and Renegotiation of Contractual Obligations Will Increase Transparency and Aid Program	ESD	Provide more transparency over the accounting of South Bay Water Recycling revenues and expenses and help sustain revenues sufficient to cover costs	4
#16-07	Office of the City Clerk: Streamlining Processes and Clarifying Roles Can Better Ensure Compliance with Statutory Responsibilities	CLERK	Maximize organizational efficiency and consistency, as well as transparency and public accountability, by streamlining processes and clarifying roles	20
#16-08	Police Overtime: The San José Police Department Relies on Overtime to Patrol the City Due to Unprecedented Vacancies	PD	Increase efficiency of operations' staffing, improve tracking of hours worked by Police Department employees, and improve the tools for supervisors to monitor overtime worked	12
#16-10	The Apartment Rent Ordinance: Additional Investment, Improved Processes, and Strategic Resource Deployment Needed to Better Serve Tenants and Landlords	HSG	Better deploy resources, improve processes, and recover program costs	19
#16-11	Mobile Devices: Improvements Needed to Ensure Efficient, Secure, and Strategic Deployment	IT	Ensure efficient, secure, and strategic deployment of mobile devices through updated policies and procedures, software solutions, and streamlining of processes	16
#17-01	Audit of Our City Forest	DOT	Ensure consistency and accountability with the City's grant agreements with Our City Forest and improve the off-site tree replacement program	4

Report	Audit Title	Dept(s)	We made recommendations to:	Current Recommendation Status
#17-02	Office of Equality Assurance: Increased Workload Warrants Reevaluation of Resource Needs	PW	Reallocate staff and update procedures considering the growing number of OEA responsibilities	8
#17-03	Audit of Residential High-Rises	HSG	Consistently assure health and safety, and ensure transparency of development reviews for high-rise development projects	3
#17-04	Open Government: The City Has Made Progress in Meeting the Goals of the Sunshine Reform Task Force	CMO	Promote government transparency and ensure compliance with the City's Consolidated Open Government and Ethics Provisions	12
#17-05	Audit of Environmental Services Department Consulting Services: Agreements Require Additional Oversight	ESD	Protect City resources by strengthening controls in the amended agreement with Stantec as well as improve contract monitoring	10
#17-06	Audit of Retirement Services: Greater Transparency Needed in the Budgeting Process, Interactions Among Stakeholders, Investment Policies, and Plan Administration	RET	Increase transparency in the budgeting process, interactions among stakeholders, investment policies, and plan administration	25
#17-08	Audit of Employee Travel Expenses	FIN	Clarify portions of the existing City travel policy to improve compliance; in addition, strengthen controls over the gas card program to protect City resources from potential abuse	4
#17-09	San José's Tier 3 Defined Contribution Plan: The City Should Clarify How Contributions Are Calculated	CMO	Clarify how contributions to employee accounts are calculated under the Municipal Code and determine whether the City is required to make retroactive corrections for past errors	1
#18-01	Pensionable Earnings: Tighter Controls and More Transparency Can Ensure Retirement Contributions Continue to be Accurate	CMO	Improve controls and transparency to ensure retirement contributions continue to be accurate	4
#18-02	Audit of the San José Police Activities League	PRNS	Improve the City's oversight and management of the San José Police Activities League	23
#18-03	Department of Public Works: Enhancing Management of Capital Projects	PW	Enhancing management of capital project	10

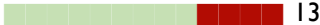| Report	Audit Title	Dept(s)	We made recommendations to:	Current Recommendation Status
#18-04	Audit of Vehicle Abatement: The City Could Improve Customer Service for Vehicle Abatement Requests	DOT	Improve customer service for vehicle abatement requests	12
#18-06	Community Center Reuse: Efficient Monitoring and Better Data Can Help Determine the Next Phase of Reuse	PRNS	Improve program monitoring and use of facility- and provider-level data	19
#18-07	Audit of the City's Homeless Assistance Programs: More Coordination and Better Monitoring Can Help Improve the Effectiveness	HSG	Improve the City's oversight and management of its homeless assistance program	14
#18-08	Team San Jose Performance FY 2017-18	OED	Establish and formalize the target for theater	1
#18-10	Audit of Towing Services: Changes to Contract Terms and Consolidated Oversight Could Improve Operations	DOT	Address towing contract violations, standardize towing and storage fees, update contract terms, and improve oversight	17
#19-01	Audit of 9-1-1 and 3-1-1: Changes to Call Handling and Increased Hiring Efforts Could Improve Call Answering Times	PD	Improve emergency call answering times	19
#19-02	Employee Benefit Fund Administration: Opportunities Exist to Improve Controls	HR	Improve administration of employee benefit funds	8
#19-03	Development Noticing: Ensuring Outreach Policies Meet Community Expectations	PBCE	Update outreach policies to reflect current conditions, and Improve mechanisms for reaching neighborhood associations and limited-English speaking populations	8
#19-04	The Mayor's Gang Prevention Task Force: Better Coordination and Use of Data Can Further the Task Force's Strategic Goals	PRNS	Support the Task Force's continuum of care strategy	17
#19-05	Employee Reimbursements: Strengthening and Streamlining the Reimbursement Process	FIN	Streamline and better monitor the employee reimbursement process	4
#19-06	Form 700s: Despite High Overall Filing Rates, the City Can Improve Timeliness and Completeness of Filings	CLERK	Streamline processes and standardize procedures to improve the timeliness and completeness of Form 700 filings	9

Report	Audit Title	Dept(s)	We made recommendations to:	Current Recommendation Status
#19-07	Procurement Cards: Clarification on Policies and Additional Oversight Can Improve the P-Card Program	FIN	Improve program controls and oversight, as well as monitoring of agreements	9
#19-08	Street and Utility In-Lieu Fees: Transparency and Coordination Can Improve the Administration of Fee Programs	PW	Improve the calculation, collection, and use of in-lieu fees for street and utility-related public improvements	8
#19-10	Technology Deployments: Processes Can Be Improved to Ensure Long-term Success of the City's Technology Vision	IT	Strengthen the City's technology deployments process by improving planning, tracking, and reporting of major technology projects throughout the City	10
#20-02	Fleet Maintenance and Operations: Public Works Can Continue to Improve Fleet Operations	PW	Continue to enhance fleet operations by utilizing data to identify fleet replacements and monitor operations, and streamlining the fleet acquisition process	13
#20-03	Audit of Fire Development Services: Staff Resources and Process Efficiencies Will Help to Reduce Backlog	FIRE	Improve customer service and the efficiency of the Fire development services program by reducing backlog of work, improving processes, and addressing resource needs	14
#20-04	Park Maintenance: Improved Data Collection and Analysis Would Enhance Park Maintenance Operations	PRNS	Continue to better monitor and improve park maintenance operations by reassessing the Park Condition Assessment process and data collection protocols, and using targeted data to inform resource decisions	13
#20-05	Development Partners' Work-in-Progress Reserves: Better Monitoring Can Ensure Reserves Align with Resource Needs	MULTIPLE	To improve the workload and resource planning through better tracking of development work in progress	5

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Appendix B:

DETAILED LISTING OF THE STATUS OF PENDING RECOMMENDATIONS AS OF DECEMBER 31, 2020

Report and Recommendations	Dept (s)	Current Status	Comments
#03-10 An Audit of the San José Fire Department's Bureau of Fire Prevention #12 Develop a workload analysis to determine its inspection staff needs to achieve its inspection goals and objectives.	FIRE	Not Implemented	The Fire Department has engaged a consultant (NBS Government Finance) to study the Fire Department's non-development fee program. The Department advises that staff has received a draft of the study, and are working to finalize remaining work, including review and implementation of the workload analysis recommendation. Target Date: Jun-2021 (Delayed From: Dec-2017)
#08-04 Audit of the City's Oversight of Financial Assistance to Community-Based Organizations #09 Clarify when the 7-1 policy should apply to leases with CBOs of City facilities.	OED	Partly Implemented	A revised 7-1 policy (the Below Market Rental Policy for Use of City-Owned Land and Buildings by Nonprofit or Charitable Organizations or for Governmental or Other Public Purposes) has been approved by the CAO and is currently under review by senior staff. Staff expects to take the updated policy to City Council on March 30, 2021. Target Date: Apr-2021 (Delayed From: Dec-2009)
#08-04 Audit of the City's Oversight of Financial Assistance to Community-Based Organizations #11 We recommend the Real Estate Division: A) Develop a centralized spreadsheet to track the status of CBO leases and other long-term use agreements for City owned properties with CBOs including key terms and rental payments. B) Bring current all expired leases, rental payments, insurance certificates, and other required reporting documentation.	OED	**Partly Implemented - Priority**	A) Real Estate is working with the Finance department to procure a property-management software. Real Estate's application to IT and Finance to procure this software was originally submitted in March 2020, and has been delayed due to COVID impacts. This software will fully automate tracking of leases and other long-term use agreements for City-owned properties including key terms and rental payments. This will allow the Finance Department to track payments and immediately route collections for past-due accounts. In the meantime, the Real Estate Division created a centralized spreadsheet tracking all of the CBO leases and other long-term use agreements it manages along with the lease description, the lease terms, and payments. B) Real Estate Staff has compiled all lease documents related to Council Policy 7-1. The CAO determined that all 7-1 leases that are no longer in their initial term are in a valid holdover status. Target Date: Jun-2021 (Delayed From: Dec-2009)

Report and Recommendations	Dept (s)	Current Status	Comments
#09-08 Performance Management and Reporting in San José #01 The purpose of the "white paper" was to provide a roadmap for developing a performance management system that promotes data-driven decision making. Jointly signed by the City Manager and the City Auditor, it included "next steps" meant to reduce staff time compiling data while ensuring City staff and policy makers have the best information available for decision making and increasing accountability and transparency in the City's public reporting. As outlined in the report, next steps included: scheduling frequent and regular meetings of top department managers and the City Manager's Office to proactively discuss performance metrics, identify issues, and to evaluate solutions; periodic assessments of the performance management system itself; reviewing and reducing the number of performance measures; compiling methodology sheets for performance measures; reassessing reporting mechanisms; validating performance measures; establishing information systems to track performance data; clarifying core service names; clarifying the link between mission, goals, and objectives; obtaining the net cost of services; and increasing the use of efficiency measures.	CMO	Partly Implemented	The purpose of the "white paper" was to provide a roadmap for developing a performance management system that promotes data-driven decision making. Jointly signed by the City Manager and the City Auditor, it included next steps like: • scheduling frequent and regular meetings of department managers and the City Manager's Office to proactively discuss performance metrics, identify issues, and evaluate solutions, • periodic assessments of the performance management system, • reviewing and reducing the number of performance measures, • compiling methodology sheets for performance measures, and • establishing information systems to track performance data. The City's Budget Office has implemented many of the next steps identified in the report. This includes: eliminating more than 100 performance measures that were no longer meaningful; clarifying or renaming many of the City's core services; reallocating some costs from the City-Wide Expense budget category to department budgets, and organizing City-Wide Expenses by department; and requiring up-to-date methodology sheets for all of the performance measures reported in the Budget. Planning continues on the development of more regular performance reporting and update to the CSA Dashboards, with the intention of leveraging the refreshed data throughout the year to help monitor and improve public service delivery. The Administration reports that it will also begin the process of evaluating how equity-focused measures could be incorporated into future performance reporting. Target Date: On-going
#10-09 City Procurement Cards #01 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 - Priority**	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 and a detailed p-card administrative guide. Both documents are currently in outline/draft form as Finance is incorporating recommendations from the September 2019 p-card audit. Target Date: Jun-2021 (Delayed From: Jun-2011)

Report and Recommendations	Dept (s)	Current Status	Comments
#11-04 Key Drivers of Employee Compensation #02 To reduce the cost of overtime, the City should (1) conduct a Citywide FLSA overtime review or at a minimum review job specifications for specific positions and whether they would qualify for an FLSA overtime exemption; (2) pursue reductions in overtime to align with FLSA requirements (including but not limited to calculating overtime on hours worked, not paying overtime to exempt employees, and not paying overtime to employees receiving executive leave); and (3) prepare full cost estimates of contract provisions that exceed FLSA provisions.	CMO	Partly Implemented (Subject to meet and confer)	(1) The City has not yet conducted a Citywide FLSA overtime review or a review of job specifications to determine whether some positions would qualify for FLSA overtime exemptions. (2) The City achieved changes in overtime eligibility for some employees. For instance, some represented employees are paid overtime only after having worked 40 hours (excluding paid time off, with the exception of holiday leave). Changing overtime eligibility for employees who receive executive leave may be subject to meet-and-confer and would be considered within the context of labor negotiations. (3) The Office of Employee Relations (OER) reports that it will prepare the recommended full cost estimates of contract provisions that exceed FLSA provisions in preparation for the upcoming contract negotiations. The target date varies by employee unit. Target Date: Jun-2021 (Delayed From: Dec-2018) Potential Budget Savings: Between May 2011 and August 2014, overtime costs to supervisory employees approached $4 million. At that time, we estimated pursuing reductions in overtime and comp time for supervisory employees could save over $1.6 million.
#12-04 Police Department Secondary Employment #01 The Police Department should develop and immediately implement a written procedure for periodic review of off-duty employment timecards including comparisons of: (a) City timecards to off-duty timecards, (b) timecards for multiple off-duty jobs to each other to test for fraud, and (c) hours taken for administrative/disability/sick leave to hours worked off-duty. The Department should also hold supervisors accountable for paying attention to on-duty and secondary employment time keeping.	PD	Partly Implemented	The Department updated procedures for the Secondary Employment Unit (SEU) to include audits of timecards to test for fraud, overlapping hours, as well as secondary employment worked simultaneously with disability or other leaves. The Department periodically reviews timecards; however, because of staffing constraints SEU is unable to conduct additional reviews. The Duty Manual was updated after the audit to cover failure to report SEU hours. The Police Department is working with its software vendor to add software updates to enable the Department to accurately track its employees' hours and pay rates. After this is done, the Department will need to review the process to test employee timecards to off-duty timecards. Target Date: Jul-2021 (Delayed From: Jun-2017)
#12-04 Police Department Secondary Employment #02 The Police Department should develop a system to compile real-time data regarding the number of hours worked and pay earned from off-duty work.	PD	Partly Implemented	In 2013, the Department purchased scheduling software, eResource, that could potentially allow for real-time data as recommended. The Police Department is working with its software vendor to add software updates to enable the Department to accurately track its employees' hours and pay rates. See recommendation #1. Target Date: Jul-2021 (Delayed From: Dec-2013)

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#12-04 Police Department Secondary Employment **#03** The Police Department should: (a) keep lists of work permits and employers updated and be able to provide summary data; (b) include tests in periodic reviews to ensure the completeness of pay job hours that are reported to the City; (c) specify in the Duty Manual the disciplinary consequences for both employees and supervisors for failure to consistently report off-duty hours worked; and (d) develop a way to track enforcement actions taken at pay jobs; one possibility is a special code or call sign in CAD to designate calls from those working secondary employment.	PD	Partly Implemented	(a) The Police Department is working with its software vendor to update its software in order to accurately track work permits, hours, and employers. (b) The SEU Procedures Manual has been revised to require verification of hours worked based on secondary employers' records; SEU management advises that the unit has insufficient staffing to conduct more than periodic verifications. (c) Several sections of the Duty Manual have been updated to outline disciplinary measures with regards to secondary employment. (d) SEU created specific call signs dedicated to secondary employment jobs. The Department reports that officers use these call signs to track enforcement actions taken at pay jobs, and SEU has continued to send reminders to its staff to use these call signs. The Department reports that the work permit system is online but further tests are needed on the approval notifications. Target Date: Jul-2021 (Delayed From: Dec-2019)
#12-04 Police Department Secondary Employment **#04** The SEU should report to the Police Chief at least annually on the following data about the secondary employment program: (a) the number of hours worked, (b) the amount of pay earned by employee from each off-duty employer, (c) the number of employees who have off-duty work permits, (d) the total number of permits, and (e) the number of employers participating in the program. The report should also note major changes or challenges with program during the prior year.	PD	Partly Implemented	The Department purchased scheduling software in 2013 that it hoped could allow for tracking of hours worked and pay earned as recommended in parts (a) and (b). The Police Department is working with its software vendor to enable accurate tracking of secondary employment hours and pay rates. Once this is complete the Department will have to continue to work with the vendor to determine the types and format of reports that its software can run. Target Date: Jul-2021 (Delayed From: Dec-2013)
#12-04 Police Department Secondary Employment **#05** To promote transparency and accountability, the Police Department should know and post annually, on the City's web site, total compensation earned by Police Department employees working secondary employment in SJPD uniform. The Department should know and post information for each employee by name, each employer where that employee worked, and the amount earned from each employer during the year as reported by the employee to the Police Department.	PD	Partly Implemented	SEU has advised that current staffing levels in SEU are inadequate to provide this information currently. The eResource update is expected to give the Department the ability to track compensation earned -- by company and by individual officer. Further discussion is needed to determine whether this information could be made public on the website, and at what level of detail. Target Date: Dec-2024 (Delayed From: Dec-2013)

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#12-04 Police Department Secondary Employment #10 The Police Department should clarify (in writing) the City's limited liability with regard to workers' compensation in the context of secondary employment.	PD	Partly Implemented	No written clarification has been provided to employees or employers regarding the liability associated with workers' compensation in the context of secondary employment. The Office of Employee Relations is currently in the process of working with stakeholders to develop a policy providing this clarification. Target Date: Jun-2021 (Delayed From: Jun-2019)
#12-04 Police Department Secondary Employment #11 The Police Department should immediately eliminate the practices of allowing Department employees to solicit off-duty work and allowing them to be paid in cash. The Department should develop and implement a written procedure that includes a business card SJPD employees can provide to businesses or individuals who inquire about hiring off-duty police. The card could include contact information for SEU and inform businesses that calling SEU is the only way to arrange the hiring of SJPD employees. A provision should also be added to secondary-employer agreements to prohibit cash payments to SJPD employees for off-duty work and to require employers to issue appropriate tax documents to pay job employees.	PD	Implemented	The Duty Manual has been revised to prohibit Department members from soliciting secondary employment and from being paid in cash (with exceptions allowed if approved by the SEU commander or the Chief of Police). In addition, Department management advised that the secondary employer application was removed from the intranet, and that all applications were required to be processed through SEU. The Department updated its website to include a notice of a tax document provision and prohibition of cash payments, was added to the department's website (https://www.sjpd.org/about-us/organization/chief-executive-officer/secondary-employment). The secondary employment application also includes a prohibition on cash payments and gratuities.
#12-04 Police Department Secondary Employment #12 Assuming that the City continues to offer uniformed off-duty employment to private employers, then the Department should contact local business organizations as well as existing approved employers and inform them of (a) revisions to the secondary employment program, and (b) new procedures that prohibit officers from soliciting jobs or accepting cash payments or gratuities, and (c) how to contact the Department if they are interested in secondary employment, (d) pay rates for secondary employment and prohibitions on gratuities or other forms of compensation, and (e) how to lodge a complaint or suggestion, and (f) the requirement that SJPD employees may only enforce the law and may not enforce employer rules. The Department should also provide guidance, in writing, about how employees should address potential situations in which there is a conflict between what a private employer requests of them and their role as a City employee.	PD	Implemented	The Department has: a) Made forms and instructions regarding SEU officers available on the Department website. Businesses are required to go through this process to employ SEU officers. b) Revised the Duty Manual in 2012 to prohibit Department members from soliciting secondary employment and from being paid in cash. c) The SEU website posts Frequently Asked Questions that provides information on how to contact the Department if they are interested in secondary employment. d) Pay rates are posted on the application form, and the application and website posts information on prohibition of gratuity or other forms of compensation. e) There is a link on the SEU website for complaints, questions, or suggestions with a stated goal to respond within 5 business days. f) The Duty Manual clarifies that officers working SEU assignments, "May act to prevent a breach of the peace or to enforce the law, but officers shall not use their police authority to enforce a secondary employer's policies or regulations".

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#12-04 Police Department Secondary Employment #16 The Police Department should develop and implement written guidelines that include criteria for how pay jobs are assigned by SEU and by coordinators. The Department should also prohibit employees who work in the Secondary Employment Unit from working pay jobs, even if they were working such jobs before being assigned to the unit. Reasonable exceptions should be included related to oversight of special events.	PD	Partly Implemented	Secondary jobs are managed through eResource. When these jobs become available they are made available on eResource and are visible to staff that are available to work those hours. Interested officers rank their interest. eResource provides officers with opportunities to sign up for jobs based on their interest, seniority, and available time. Sworn officers are given priority over reserve officers. While many secondary jobs are available through eResource, coordinators may manage other jobs outside of it. Having criteria on how those jobs are assigned will be important to ensure fairness and consistency in job assignments. Target Date: Jun-2021 (Delayed From: Dec-2013)
#12-04 Police Department Secondary Employment #17 The Police Department should revise its written guidelines for the exercise of discretionary judgment in determining the number of police employees the Department requires event organizers to hire for special events. The guidelines should specify the criteria upon which the decisions will be made and should also address how the Department determines an appropriate mix of private security and police.	PD	Partly Implemented	The Department advises that it is in the process of revising guidelines to evaluate the proper level of police staffing at events based on the following criteria: --Past staffing needs of the event --Threat assessment --Expected crowd size and type --Whether alcohol is being served --Location and type of event --Time and length of event --Traffic conditions --Dignitary or high profile VIP. Target Date: Jun-2021 (Delayed From: Dec-2013)
#12-04 Police Department Secondary Employment #21 If the Police Department retains the system of decentralized coordination, the SEU should be solely responsible for appointing coordinators and providing them with the lists of employees available to work pay jobs. The SEU should also maintain an up-to-date list of coordinators and the jobs they oversee. The Department should also establish and implement clear written guidelines regarding: (a) roles and responsibilities of coordinators and how they fit within the chain of command, (b) a prohibition against any form of compensation other than pay, (c) a fixed hourly rate for coordinators as well as not-to-exceed limits on coordinators pay, (d) clarify that coordinators can only be paid for actual hours of coordination rather than an agreed upon estimate or "plug", and (e) expressly prohibit coordination on City time.	PD	Partly Implemented	SEU management updated its list of all coordinators in 2012 but now advises that this is not currently occurring. The Duty Manual covers the roles and responsibility of the coordinator. While coordinators may schedule members of a higher rank to SEU, they will not schedule members of a higher rank that are in their immediate chain of command. The Duty Manual also prohibits coordination of secondary employment when a Department member is on duty. In August 2019, the Duty Manual was modified to standardize the rate of pay for coordinators. The coordinator pay now reflects the individual SEU pay set by the Police Chief. The Department continues to need policies to prohibit any form of compensation other than pay, and clarifying that coordinators can only be paid for actual hours of coordination rather than an agreed-upon estimate. Target Date: Jul-2021 (Delayed From: Dec-2019)

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#12-04 Police Department Secondary Employment #22 The Police Department should: (a) calculate the cost of bringing all coordination into SEU and the related impact on employers' fees, and (b) assess the impact on the hourly rate charged to employers, as well employer fees, if coordination were brought into SEU and employees were paid at an overtime rate. Given that information, the Department should seriously consider three options moving forward: (1) phasing into SEU the coordination of additional pay jobs, (2) bringing all coordination into SEU, (3) bringing all coordination into SEU and also paying employees on overtime through the City.	PD	Partly Implemented	In 2012, SEU management advised that some cost-benefit analysis was conducted and that the Department was exploring options for the future structure of the secondary employment program. However, the Department advises its focus continues to be on maintaining core services. (See Recommendation #30) Target Date: Dec-2024 (Delayed From: Dec-2019)
#12-04 Police Department Secondary Employment #23 The Police Department should: (a) immediately develop and enforce a reasonable daily hour limit and should consider a rest period prior to a regular shift; (one possibility is to reinstate the 14-hour daily limit previously in place), and (b) apply the 24-hour weekly limit for off-duty jobs even in weeks when employees have taken time off, and (c) develop a way to ensure sufficient days off per month.	PD	Partly Implemented	In 2012, the Duty Manual was revised to limit the number of hours worked in a 24-hour period to 16 hours. The 24-hour weekly limit on secondary employment hours was increased to 30 hours per week. The Duty Manual makes an employee's supervisor responsible for monitoring the impact of secondary employment on the performance of the employee's duties. The Department currently does not mandate that employees take days off each month. The Department reports that this issue requires further discussion. Target Date: Jul-2021 (Delayed From: Dec-2019)
#12-04 Police Department Secondary Employment #25 Because engaging in secondary employment may prolong the recovery of a member who has been injured, the Police Department should (a) ensure that the existing Duty Manual provision prohibiting secondary employment while on disability leave is enforced, and (b) develop a process for identifying employees who are working secondary employment hours either concurrently or in the same time frame as taking disability leave hours.	PD	Partly Implemented	The SEU Procedures Manual includes a provision for auditing employee timecards to check whether an employee was on disability leave while working secondary employment. However this is not enforced. Furthermore, the Duty Manual prohibits officers from working any SEU jobs while on a disability. A violation of this would be enforced during the Department's periodic reviews. The Department advises that once eResource has been updated, it anticipates that officers on disability will not be able to sign up for SEU assignments. Target Date: Jul-2021 (Delayed From: Mar-2019)
#12-04 Police Department Secondary Employment #26 The SEU should be housed in the Police Chief's office with the appropriate mix of civilian and sworn employees, with an emphasis on civilians to perform administrative duties and an emphasis on stable staffing and sufficient staffing to provide oversight. Sworn employees should be of sufficient rank to oversee all lower ranks that work secondary employment.	PD	Partly Implemented	The Department advises that it is focused on hiring of sworn staff and budget limitations constrain the hiring of civilian staff. Target Date: Dec-2024 (Delayed From: Dec-2019)

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#12-04 Police Department Secondary Employment #27 The Police Chief should set clear goals and a timetable for restructuring the secondary employment program and should propose a plan as soon as possible to the City Council for secondary employment going forward.	PD	Closed	In 2012, SEU was moved to the Office of the Police Chief and it supervised by the Chief Executive Officer. All secondary jobs go through the SEU and are managed through eResource.
#12-04 Police Department Secondary Employment #28 The Police Department should: (a) calculate the comprehensive cost of the secondary employment program (personnel, administrative costs, etc.), (b) compare those costs to the revenue generated by related fees, and (c) determine the fees that would be required to make the program 100% cost recovered and present this data to the City Council.	PD	Partly Implemented	In 2012, SEU management advised that the Department was exploring options for the future structure of the secondary employment program. However, the Department advises its focus continues to be on maintaining core services. Target Date: Dec-2024 (Delayed From: Dec-2019) Potential Budget Savings: The personnel costs of operating SEU were estimated at $747,000 in the audit. Recovery of these costs through fees would reduce the subsidy by the General Fund.
#12-04 Police Department Secondary Employment #29 The Police Department should fully recover the cost of secondary employment liability policy either through increased employee contributions or by a fee charged to secondary employers.	PD	Not Implemented	In 2012, SEU management advised that some cost-benefit analysis was conducted and that the Department was exploring options for the future structure of the secondary employment program. However, the Department advises that due to staffing shortages, work on this recommendation has not begun. Target Date: Dec-2024 (Delayed From: Dec-2019) Potential Budget Savings: In 2019, the General Fund subsidy of the secondary employment liability policy was $23,000.
#12-04 Police Department Secondary Employment #30 Assuming that the City continues to offer uniformed off-duty employment to private employers, the City should assess the public and private benefits of the current provision of uniformed security services to a broad range of private and public entities. The Department should analyze the costs and benefits of continuing to provide this service on such a broad scale as well as the potential effects of limiting the program to certain types of jobs. The Department should propose a plan for the future of the program to the City Council that includes the results of this analysis.	PD	Partly Implemented	In 2012, SEU management advised that some cost-benefit analysis was conducted and that the Department was exploring options for the future structure of the secondary employment program. However, the Department advises its focus continues to be on maintaining core services. Target Date: Dec-2024 (Delayed From: Dec-2019)

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#12-06 Environmental Services **#13** The Administration should propose the City Council establish a City Council Policy which includes guiding principles so as not to raise rates in years in which ratepayer fund balances exceed reasonable targets.	ESD	Partly Implemented	At the time of our audit, the City had accumulated large ending fund balances in its utility funds – totaling more than $278 million at the end of FY 2010-11. The sources of the large balances were lower than expected capital spending, staff vacancies, and other budget savings. We recommended the Administration propose a policy to hold rates steady when fund balances exceed reasonable targets. In coordination with the City Managers' Budget Office and the City Attorney's Office, ESD has begun developing a new City Administrative Policy Manual section, the goal of which will be to identify the guiding principles for developing utility rates to ensure rate increases are fair and appropriate, while also balancing key priorities such as safe and reliable services, cost efficiency, and supporting environmental outcomes. Target Date: Dec-2022 (Delayed From: Sep-2017)
#12-06 Environmental Services **#22** The Administration should propose the City Council adopt a City Council Policy which includes guiding principles for evaluating ratepayer costs and rate increases for fairness and appropriateness, and balancing priorities, such as safe and reliable services, cost efficiency, ratepayer impacts, and environmental outcomes.	ESD	Partly Implemented	In coordination with the City Managers' Budget Office and the City Attorney's Office, ESD is developing a new City Administrative Policy Manual section outlining the overall guidelines for evaluating ratepayer costs and important considerations involved in establishing utility rates. The goal of the new City Policy Manual section will be to identify the guiding principles for developing utility rates to ensure rate increases are fair and appropriate, while also balancing key priorities such as safe and reliable services, cost efficiency, and supporting environmental outcomes. Target Date: Dec-2022 (Delayed From: Dec-2016)
#12-07 Fire Department Injuries **#03** We recommend that the Administration review and update Fire Department job descriptions with more specific descriptions of the physical requirements of what employees actually do on a day-to-day basis, and make the job descriptions and physical requirements easily accessible to physicians.	HR / FIRE	Partly Implemented	As discussed in the audit, the job descriptions for the firefighter series have not been updated since 1999, and have similar physical requirements for differing classifications and ranks that could needlessly limit getting employees back to work. HR completed an RFP and secured two consultants for classification work. However, due to budget cuts, HR no longer has the funding to proceed with the Citywide review of job classifications. The Fire department may fund and utilize either of the two consultants to review the Firefighter series' physical requirements. Target Date: Dec-2021 (Delayed From: Jun-2018)
#12-08 Ten Years of Staffing Reductions at the City of San José **#01** We recommend eliminating bumping from the City's civil service rules as it is not cohesive with the City's modernized broadband classification structure nor with the complex and specialized work that many City employees do. If elimination is not possible, we recommend: limiting bumping to intradepartmental bumping only, limiting the number of people who can bump into a given position over a given time period, limiting the number of bumps and reinstatements into a given work unit over a given time period, and/or lowering the threshold for meeting position exemption requirements.	CMO	Not Implemented (Subject to meet and confer)	This recommendation would have to be considered as part of labor negotiations. Target Date: Jun-2021 (Delayed From: Dec-2018)

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#12-08 Ten Years of Staffing Reductions at the City of San José #02 Modify the reinstatement process to A) Allow departments to choose the most qualified candidate on the City reinstatement lists when such lists are in effect, regardless of seniority. B) Develop an exemption process for managers who have compelling cases for not filling critical positions from reinstatement lists. C) Allow employees to waive reinstatement for a certain time period or a certain number of opportunities.	CMO	Not Implemented (Subject to meet and confer)	This recommendation would have to be considered as part of labor negotiations. Target Date: Jun-2021 (Delayed From: Dec-2018)
#12-08 Ten Years of Staffing Reductions at the City of San José #03 Pursue changes to the layoffs, bumping and reinstatement rules that subordinate seniority and factor in applicable job skills, recent job performance and disciplinary records.	CMO	Not Implemented (Subject to meet and confer)	This recommendation would have to be considered as part of labor negotiations. Target Date: Jun-2021 (Delayed From: Dec-2018)
#13-02 Deferred Compensation #04 The City Attorney's Office and Human Resources should review the Deferred Compensation Plans and draft amendments to the Municipal Code as follows: A) Assign responsibility for administering the Plans to the City Manager or her designee, including the operation and interpretation of the Plans in accordance with their terms and contractual authority to enter into contracts for the administration of the Plans. B) Clarify the oversight role and responsibilities of the Deferred Compensation Advisory Committee, including reviewing and advising on annual budgets and proposed changes to the Plan document, the Investment Policy, and the investment menu, and reduce the Committee's required meeting frequency to a semiannual or as-needed basis. C) Leave the basic provisions of the Deferred Compensation Plans in the Municipal Code (Name, Purpose, Establishment of Trust, Definitions, Deferral of Compensation, Participation in the Plan, and Administration of the Plan, etc.), and remove the specifics of the Plans so that they can be put in stand-alone Plan documents. D) Authorize the City Manager or her designee to prepare and adopt the stand-alone Plan documents and update the Plan documents as necessary to conform with necessary legal or operational changes (while requiring any benefit changes to be approved by the City Council).	HR / CAO	Implemented	The City Attorney's Office, in consultation with outside counsel, has finished revisions to the Deferred Compensation 457 Plan and PTC Plan. The proposed changes to both Plans were brought to the Deferred Compensation Advisory Committee (DCAC) for review and comment on December 14, 2020. The DCAC unanimously supported the recommended changes to the Plans. On January 6, 2021, staff notified the bargaining units of the proposed changes to the Plans and requested any questions/comments. This item was approved by the City Council on the February 23, 2021.

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#13-04 Fire Prevention #09 The Department should reexamine its non-development fire permit fee structure to charge San José facilities based on fire safety risk.	FIRE	Not Implemented	The Fire Department has engaged a consultant (NBS Government Finance) to study the Fire Department's non-development fee program. The Department advises that staff has received a draft of the study, and are working to finalize remaining work, including a evaluating a fire permit fee structure charged based on fire safety risk. Target Date: Jun-2021 (Delayed From: Jun-2017)
#13-04 Fire Prevention #17 To implement a risk-based inspection approach, the Fire Department should develop a workload analysis that assesses: (a) staffing requirements in the Bureau of Fire Prevention, (b) the effective use of light-duty firefighters and line staff in fire prevention activities including public education, and (c) how much additional time could become available if the Department conducted fewer re-inspections.	FIRE	Partly Implemented	A) The Fire Department has engaged a consultant (NBS Government Finance) to study the Fire Department's non-development fee program. The Department advises that staff has received a draft of the study, and are working to finalize remaining work, including reviewing an analysis of risk based inspections and staffing requirements. B) To the extent possible, the Department has been utilizing light duty personnel who have been trained in fire safety code inspections, analytics, and fire prevention education. Through a return-to-work program, the Department is working to match light duty personnel's skills with available positions. C) To ensure that inspector time is spent efficiently, Fire Prevention has a policy in place that an Administrative Citation shall be issued upon the third site inspection for any violation that has not been corrected. Target Date: Jun-2021 (Delayed From: Jun-2017)
#13-04 Fire Prevention #19 The Fire Department should develop a public education program based on the fact that many fires and most of the fire deaths in recent years occurred in multifamily residences. Public education efforts should include working with the community to provide education to children and other high-risk groups as well as education about and access to smoke detectors.	FIRE	**Partly Implemented - Priority**	The Department recently hired a Public Information Manager and a Video/Multimedia Producer to expand the Department's public outreach efforts related to fire prevention, education, and preparedness. The Department reports that staff are developing a workplan to ensure timely and consistent public messaging covering a wide range of fire safety topics. An internal Public Information Advisory Committee was also formed in 2020 with members focused on creating public safety videos as part of a newly created Jr. Firefighter Safety video series, social media outreach, and revising Department public education outreach materials for children and other high-risk groups. 2020 focused heavily on digital outreach but staff anticipate that future public outreach activities will include community events and school functions. Target Date: Jun-2021 (Delayed From: Jun-2019)
#13-04 Fire Prevention #20 The Fire Department should continue to develop a Public Relations Committee as a way to connect with the community and provide targeted public education. The Department should assess the extent to which light or modified-duty firefighters could perform public education activities.	FIRE	Implemented	The Department reports that an internal Public Information Advisory Committee was formed in 2020. The goal is to reach community members to provide public safety information and increase the public's awareness of the variety of work performed by the Fire Department. The committee's work in 2020 involved a newly created Jr. Firefighter Safety video series, social media outreach, and revising Department public education outreach materials for children and other high-risk groups. In addition, through a return-to-work program, the Department has an established process to place light-duty firefighters into positions based on personnel's skills to carry out various services within the Department, including fire prevention and public education.

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#13-06 Consulting Agreements #05 The City Manager's Office should revisit the role of the Finance Department with respect to consultant procurements, evaluating whether its current level of involvement and resources is adequate.	CMO / FIN	Partly Implemented	The City Manager's Office (CMO) executed a service order with a consultant in 2019 (amended in 2020) to document the current process for consultant procurements across various City departments, document cross-functional roles and responsibilities, identify inconsistencies across departments, and develop recommendations on process improvements. The CMO reports that this information will be used to establish a City policy for procuring consultant services, and that the CMO and Finance will work together to ensure that the updated policies are incorporated into procurement trainings. The CMO reports that planning for the next phase of the service order began with the consultant in February 2020. During this phase, the desired City procurement and contract processes would be documented. However, due to the COVID-19 pandemic and the ongoing Emergency Operations Center (EOC) response, the CMO has not had adequate capacity to continue with this work and the project is on hold. In addition, since this phase of the work relies on focus groups with departments, COVID-19 impacts to department staff availability also affected the project's progress. Target Date: Dec-2021 (Delayed From: Jun-2020)
#13-06 Consulting Agreements #07 To lessen the burden on City staff while fostering improved competition in consultant procurements, the Finance Department should include in its annual procurement training simplified procurement processes for smaller consulting contract procurements while encouraging full and open competition, and define when these simplified processes can be used.	FIN	Partly Implemented	The City Manager's Office (CMO) executed a service order with a consultant in 2019 (amended in 2020) to update policies and procedures regarding procuring consultants. The Finance Department plans to work with the CMO and Human Resources to ensure that these updated policies and procedures are incorporated into procurement training that is developed from the engagement. The CMO reports that planning for the next phase of the service order began with the consultant in February 2020 but was halted due to the COVID-19 pandemic and the ongoing Emergency Operations Center (EOC) response, which impacted staff availability. The Finance Department reports that it plans to bring in a representative from the City's e-procurement system, Biddingo, to hold two RFP trainings specific to the consulting portal. The target date for these trainings is Spring 2021. Target Date: Dec-2021 (Delayed From: Jun-2018)

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#13-06 Consulting Agreements #08 We recommend that the City: A) Reconcile overpayments as described above and get reimbursed for these overpayments, B) Document any changes in consulting contract terms or requirements through a formal contract amendment, and enforce existing contract terms. If the contract allows for changes in terms without amendments, such changes should be documented in writing, and C) Require contract managers to reconcile previously received deliverables to contract payments during the contract amendment process, prior to increasing contract amounts.	CMO / FIN	Partly Implemented	The City Manager's Office (CMO) executed a service order with a consultant in 2019 (amended in 2020) to update policies and procedures regarding procuring consultants. The CMO reports this information will be used to establish a City policy for procuring consultant services and develop training materials, which will be used to address parts (b) and (c) of this recommendation. With respect to part (a), in 2014, the San José Police Department (SJPD) executed a retroactive extension that approved prior year expenditures with at least one of the consultants we identified (Corona Consulting). The CMO reports that planning for the next phase of the service order began with the consultant in February 2020 but was halted due to the COVID-19 pandemic and the ongoing Emergency Operations Center (EOC) response, which impacted staff availability. Also see Recommendation 1306-09. Target Date: Dec-2021 (Delayed From: Dec-2019)
#13-06 Consulting Agreements #09 We recommend the Administration develop Citywide policies and procedures on contract monitoring and management including: - a standardized contract management process, - organization of contract files, - checklists for tracking agreed-upon deliverables and line item budgets, - components of invoice review which link payments to contract deliverables, and - documenting deliverables prior to payment. We further recommend that the City require contract administrators to annually certify they have reviewed and understand those policies and procedures.	CMO / FIN	**Partly Implemented - Priority**	The City Manager's Office (CMO) executed a service order with a consultant in 2019 (amended in 2020) to document the current process for consultant procurements across various City departments, document cross-functional roles and responsibilities, identify inconsistencies across departments, and develop recommendations on process improvements. The CMO reports that this information will be used to establish a City policy for procuring consultant services and develop training materials. Once finalized, the Finance Department plans to work with the CMO to ensure that the updated policies are included in their training. The CMO reports that planning for the next phase of the service order began with the consultant in February 2020. During this phase, the desired City procurement and contract processes would be documented. However, due to the COVID-19 pandemic and the ongoing Emergency Operations Center (EOC) response, the CMO has not had adequate capacity to continue with this work and the project is on hold. In addition, since this phase of the work relies on focus groups with departments, COVID-19 impacts to department staff availability also affected the project's progress. Target Date: Dec-2021 (Delayed From: Jun-2018)

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#13-06 Consulting Agreements #11 We recommend the Administration ensure that: A) Staff managing contracts conform with current City contract retention policies and, consistent with those policies, keep all documents related to contract procurement, compliance and monitoring, including all documents related to contract renewals, amendments, continuation agreements, and other contract modifications; and B) Require staff to include a notation regarding the City's retention policies in each individual contract file.	CMO / FIN	Partly Implemented	At this time, contract management and document retention has largely been delegated to individual department staff. The City Manager's Office (CMO) executed a service order with a consultant in 2019 (amended in 2020) to document the current process for consultant procurements across various City departments, document cross-functional roles and responsibilities, identify inconsistencies across departments, and develop recommendations on process improvements. The CMO reports this information will be used to establish a City policy for procuring consultant services and develop training materials. Once finalized, the Finance Department intends to work with the CMO to ensure that the updated policies are included in their training. The CMO reports that planning for the next phase of the service order began with the consultant in February 2020 but was halted due to the COVID-19 pandemic and the ongoing Emergency Operations Center (EOC) response, which impacted staff availability. Target Date: Dec-2021 (Delayed From: Jan-2018)
#13-06 Consulting Agreements #13 We recommend that the City Administration include the City's Conflict of Interest and Ethics policies in its annual procurement and contract monitoring training.	FIN	Partly Implemented	The City Manager's Office (CMO) executed a service order with a consultant in 2019 (amended in 2020) to update policies and procedures regarding procuring consultants. The Finance Department plans to work with the CMO and Human Resources on request for proposal (RFP) consultant training after this engagement and intends for the training to include the City's Conflict of Interest and Ethics policies. The CMO reports that planning for the next phase of the service order began with the consultant in February 2020 but was halted due to the COVID-19 pandemic and the ongoing Emergency Operations Center (EOC) response, which impacted staff availability. Target Date: Dec-2021 (Delayed From: Jun-2018)

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#13-11 Code Enforcement #08　The City Administration should propose to expand the Residential Occupancy Permit program to include condominiums functioning as rental apartment complexes.	PBCE	Partly Implemented	The goal of the Residential Occupancy Permit Program is to provide minimum safety and habitability standards for renters. As reported in the audit, about 41 percent of San Jose residents were renters in a total of about 125,000 renter-occupied units. However, the Multiple Housing Program issued Residential Occupancy Permits for only about 84,000 units. This net difference of 41,000 units could mean that as much as a third of San José's renters are not receiving the same level of service afforded to other rental residents. The current City policy to exclude condominiums (potentially housing hundreds of renters) leaves a significant portion of San José's renters potentially at risk. Code Enforcement had previously been part of a multi-departmental permitting system upgrade. However, because of implementation challenges, in June 2019 Code Enforcement was removed from the project scope and will now begin working on securing its own database and case management system. Code Enforcement anticipates that the new system will provide the capability to incorporate condominiums into the Residential Occupancy Permit Program. As part of the FY 2020-21 Budget process, Code Enforcement established a reserve to fund the replacement of its current system (CES). Code Enforcement also received budget approval for a consultant study to evaluate the fee structure and service delivery of the Multiple Housing Program tier model including exploring adding a fourth tier and incorporating condominiums functioning as rental apartment complexes into the inspection program. Code Enforcement anticipates that insights gained from the consultant study and the procurement of a new case management system will inform the workplan and provide the necessary data and technological capability to incorporate condominiums functioning as rental apartment complexes into the Residential Occupancy Permit Program. Target Date: Jul-2023 (Delayed From: Jul-2018)
#13-11 Code Enforcement #12　To ensure tenants are aware of deficiencies found in their place of residence, Code Enforcement should formally inform tenants of the violations found and the deadline for compliance.	PBCE	Partly Implemented	Code Enforcement has intended to complete a pilot for a Tier 3 property notification process. It is working to update the pilot work plan and implementation plan for such notifications. As a result of COVID-19 multiple housing inspections have been put on hold. Once inspections begin, Code Enforcement anticipates that it will finalize a template that it will use to provide notification to tenants if deficiencies are found in their place of residence. Target Date: Oct-2021 (Delayed From: Jul-2018)

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#13-11 Code Enforcement #16 Code Enforcement review options to replace or enhance its code enforcement database (CES) and include options for mobile units and interfacing with other city databases.	PBCE	Partly Implemented	As described in the audit, Code Enforcement's current database does not have the capability of interfacing with PBCE's primary database to retrieve property related information while out in the field, research any residual permit information, or document information immediately after completing an inspection. Code Enforcement had previously been part of a multi-departmental permitting system upgrade. However, because of implementation challenges, in June 2019 Code Enforcement was removed from the project scope and began work on securing its own database and case management system. As part of the FY 2020-21 budget process, Code Enforcement has set aside a reserve of $1.9 million to procure the new system. Code Enforcement anticipates that the new system will provide the capability to incorporate condominiums into the Residential Occupancy Permit Program and provide inspectors with full access to this information. In the interim, some inspectors have been provided laptops in which they can VPN to the current PBCE system if needed in the field. The project to replace CES and implement the new system is planned to begin in the current year. Target Date: Dec-2022 (Delayed From: Jul-2018)
#13-11 Code Enforcement #17 In order to ensure that the Multiple Housing roster is complete, Code Enforcement should: A) Periodically update its Multiple Housing Roster with newly issued Certificates of Occupancy from the AMANDA database; and B) Automate the process when it replaces its database.	PBCE	Partly Implemented	Code Enforcement staff has to manually update the Multiple Housing roster by checking the AMANDA database for newly issued Certificates of Occupancy. This manual process can be unreliable. Code Enforcement was previously part of the Planning, Building and Code Enforcement permitting system upgrade. However, in June 2019 Code Enforcement was removed from the project scope and will begin work on securing its own database and case management system. Code Enforcement has established a reserve of $1.9 million to replace its database as part of the FY 2020-21 Budget process. Code Enforcement also received budget approval for a consultant study to explore adding a fourth tier and incorporating condominiums functioning as rental apartment complexes into the inspection program. Code Enforcement anticipates that insights gained from the consultant study and the procurement of the new case management system will inform the workplan and provide the necessary data and technological capability to incorporate condominiums functioning as rental apartment complexes into the Residential Occupancy Permit Program. Target Date: Jul-2023 (Delayed From: Jul-2018)
#13-12 Audit of Employee Travel Expenditures #08 The Administration should require, through the City Procurement Card Policy, that procurement card approvers attach travel coordinator-approved Travel Statements as supporting documentation for travel-related procurement card expenditures.	FIN	Partly Implemented	Finance staff is reviewing how to best incorporate this recommendation into the Procurement Card Policy (City Administrative Policy 5.1.2). Target Date: Jun-2021 (Delayed From: Jun-2017)

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#13-12 Audit of Employee Travel Expenditures **#11** To minimize work effort and facilitate timely approvals, the Administration should implement an electronic travel authorization system, and until then should encourage departments to use electronic pre-trip and post-trip approval.	FIN	Partly Implemented	The Finance Department completed the RFP for an electronic travel software solution, but was unable to reach agreement with the selected vendor, so all responses were rejected. The Finance Department plans to reissue the RFP. In the interim the Department is pursuing a Business Process Automation product to establish the flow for the mileage reimbursement functionality. Target Date: Dec-2022 (Delayed From: Jun-2018)
#14-07 City Procurement Cards **#01** We recommend that the Finance Department revise the Procurement Card Policy to: A) Emphasize the responsibility cardholders have to make prudent purchases; B) Include questions that guide cardholders to evaluate the reasonableness of their purchases; C) For purchases that require IT approval, require documentation of that approval be attached to p-card statements; D) Change the approval process for Council appointees to require review by the Finance Department and referral to the Mayor's Office or City Council in cases of potential policy violations; E) Clarify the department coordinator's responsibility to notify Finance of all violations and that Finance should only refer personal purchases to OER; and F) Establish a process to have frequent contact via email with department coordinators	FIN	Partly Implemented	In 2015, the Finance Department began drafting revisions to the City Procurement Cards policy (Section 5.1.2 of the City Policy Manual) to reflect these recommended changes, aimed at enforcing prudent and responsible expenditure of City funds. Since then, the Department decided to rework the p-card policy, dividing it into two parts: a high-level administrative policy, and a detailed p-card administrative guide. Both documents are currently in outline/draft form as Finance is incorporating recommendations from the September 2019 p-card audit. In the meantime, Finance has incorporated several of the recommended items into quarterly p-card trainings and created a Citywide p-card email account for contact with department administrators. It also made an interim update to the p-card policy, which makes the Chief Purchasing Officer the final authority on p-card authorization, increased transaction limits, and all inappropriate p-card transactions. Target Date: Jun-2021 (Delayed From: Jun-2015)
#14-07 City Procurement Cards **#03** To improve transparency, accountability, and legibility, the Finance Department should create a pilot program that: a) Begins the transition to online approvals, payment code entries, annotations and general finance coding (office supplies, travel, etc.); b) Considers requiring monthly statements of activity be signed by cardholders and approving officials to ensure that all transactions are authorized; c) Allows individual departments to collect, store, and submit receipts in PDF; and d) States that sufficient documentation of p-card purchases includes line item transaction detail stored in Access Online for a list of approved vendors (e.g. Office Max).	FIN	Partly Implemented	The Finance Department reports that integration with US Bank's online module and the City's Financial Management System (FMS) does not appear feasible because FMS does not include an invoice/payment interface or vendor portal. Both of which are needed for the pilot program. Finance has been unable to further investigate integrating the two systems because of COVID-19 priorities, but is planning to meet with the Information Technology Department and FMS support vendor to confirm the feasibility of implementing this recommendation. Target Date: Jun-2021 (Delayed From: Jun-2015)

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#14-07 City Procurement Cards #07 The City Administration should ensure that p-card expenditures accurately categorize expenditures by type of budgetary purpose.	FIN	Partly Implemented	In 2015, the Finance Department included this recommendation in the revised City Procurement Cards policy, which is being reworked into a policy and companion guide. Both documents are still in draft form, as Finance is incorporating recommendations from the September 2019 p-card audit. Target Date: Jun-2021 (Delayed From: Jun-2015)
#14-08 Development Services #13 Implement the technological infrastructure needed to support electronic plan submittal and review.	PBCE / IT	Implemented	This recommendation was implemented in August 2020 when Development Services went live with electronic plan review for Planning and Public Works, with ongoing enhancements.
#14-08 Development Services #15 To improve communication with project participants, PBCE should upgrade the online permit interface to provide relevant project information to anyone affiliated with the project.	PBCE	Partly Implemented	The team deployed a beta version of the updated public portal (SJPermits 2.0) in November 2020. This beta release has helped identify issues that need to be resolved prior to a complete launch of the portal. The Department expects these issues to be fixed and tested with an anticipated official portal release in April 2021. Target Date: Apr-2021 (Delayed From: Jun-2015)
#14-08 Development Services #18 Eliminate the Construction & Demolition Diversion Deposit.	PBCE / ESD	Partly Implemented	ESD is not recommending the elimination of the CDDD deposit but is continuing outreach to permit holders eligible for CDDD refunds. It is also pursuing a waste tracking software pilot to increase the refund rate and improve data tracking. The cost recovery nature of this program requires additional evaluation on future fees and processes. The Department reports that progress has not been made due to COVID. Target Date: Jun-2021 (Delayed From: Mar-2017)
#14-08 Development Services #19 To increase accessibility of online fee estimation, PBCE should update and simplify the online fee calculator.	PBCE	Not Implemented	The pilot software identified in 2019 was deprioritized in the budget process for FY 2020-21. The Development Service Transformation is pivoting to include this feature in the new SJPermits portal, with this feature's release expected in late 2021. Target Date: Dec-2021 (Delayed From: Jun-2016)
#14-12 Accounts Receivable #10 To aid the collection process, the Finance Department should work with the City Attorney's Office to explore expanding lienable activities, such as with Planning, Building, and Code Enforcement's neglected and vacant homes program.	FIN / CAO	Implemented	SJMC Section 17.38.340 requires a property owner subject to registration under Chapter 17.38 to pay a monitoring fee as set forth in the City Council Schedule of Fees resolution. If a property owner fails to pay the fee, it is a debt owed to the City. In 2016, Finance requested that the Appeals Hearing Board ("Board") authorize a lien for an unpaid monitoring fee. The Board denied the request stating that there is no authority in the Municipal Code authorizing such lien. However, Code Enforcement can issue a Compliance Order under Chapter 1.14 and Finance can then request a lien pursuant to the administrative remedies process. Both Code Enforcement and the Finance Department have established procedures that enable staff from the respective departments to issue compliance orders for non-payment of monitoring fees and pursue liens through the administrative remedies process.

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#14-12 Accounts Receivable #16 The Finance Department should work with the Information Technology Department to: Improve the interface between department billing systems and Revenue Results so that key information, such as the service date and other details about the service or citation, that will aid in the collection process is transferred. Work with Planning, Building, and Code Enforcement and the Fire Department to develop an interface or some other means of transferring data from the departmental billing systems into Finance's collections software to better manage collections for these departmental billings.	FIN / IT / PBCE / FIRE	Partly Implemented	Finance has been coordinating with the Information Technology Department to assess the feasibility and cost effectiveness of developing interfaces between the remaining department billing systems and RevQ. Target Date: Jun-2021 (Delayed From: Jun-2018)
#15-04 Employee Hiring #11 Work with departments to update minimum qualifications and job specifications to ensure they are pertinent to job requirements, starting with those that are out-of-date.	HR	Implemented	Human Resources contracted with Koff & Associates to review and update 69 job classifications that are most frequently recruited for and/or have more than 50 incumbents. These updates were completed by the consultant in October 2016 and forwarded to the bargaining units. HR reports that this first phase of classification review has been completed. HR has since assigned a senior analyst and secured two consultants, Koff & Associates and CPS HR, to complete future work in this area on an as needed basis to address critical business needs.
#15-05 PRNS Fee Activity Program #01 PRNS should work with the Budget Office to: A) Reassess the purpose of the Fee Activity Program (including cost recovery targets), B) Provide reasonable justification for mid-year expenditure request, C) More clearly link revenues and expenses to their respective programs, and D) Determine which activities should be included in the Fee Activity Program.	PRNS / CMO	Partly Implemented	PRNS and the Budget Office continue to refine a Fee Activity Program Description and Administrative Guidelines document to address this recommendation. The guidelines aim to: summarize the program's purpose; identify the main fee programs/lines of business (e.g., Camps, Leisure Classes, ROCK, etc.); identify which cost components are included in the fee program; state the cost-recovery targets (which may vary year-to-year based on City objectives and market conditions); and describe the process by which corresponding revenues and costs are tracked and reported so as to clearly justify proposed and mid-year adjustments to the fee program. Budget and PRNS report that they are working together to formalize a consistent methodology to allocate fee-activity costs and revenues, which will help determine the cost-recovery rates for individual lines of business. Implementation of this recommendation has been delayed due to challenges related to filling position vacancies and training staff; the interim transition of leadership staff within the department; and the ongoing budget development and management challenges associated with the COVID-19 pandemic. Target Date: Dec-2021 (Delayed From: Jun-2016)

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#15-08 Golf Courses #01 To obtain more favorable contract terms, when the lease and management agreements expire, the Department of Parks, Recreation and Neighborhood Services should seek competitive proposals from potential golf course lessees/operators that lower the City's financial risks and grow customer usage.	PRNS	**Partly Implemented - Priority**	The 2020-21 Adopted Operating Budget included the payoff of outstanding debt associated with the Los Lagos Golf Course. With the payoff of debt, the City can enter into a lease agreement for both the Los Lagos Golf Course and Rancho Del Pueblo Golf Course. Since the underlying conditions of the Los Lagos RFP changed and could be incorporated into a new solicitation, the RFPs were cancelled and staff are currently exploring options such as short-term leases. The Department plans to bid all three municipal golf courses in an RFP in 2022. Target Date: Dec-2022 (Delayed From: Dec-2018)
#15-08 Golf Courses #05 To improve oversight of the golf courses and contracts, the Department of Parks, Recreation and Neighborhood Services should: A) Regularly audit Muni's gross revenues and capital improvement fun; B) Keep all golf records centrally and ensure they are obtained timely; C) Formalize the revised maintenance standard; and D) Formally approve the fees charged and discounts given to The First Tee and the schedule of access hours.	PRNS	Partly Implemented	PRNS has been requesting financial audits of Muni's gross revenues since 2017, and has centralized golf records. Upon completion of the Request for Proposal process noted in the update for Recommendation #1, staff will include updated maintenance standards in new Qualified Management Agreements. Subsequently, staff will work with the lessee to determine The First Tee's future fees, discounts, and access hours. Staff is currently reviewing maintenance standards in other similar agreements in preparation for future agreements. Target Date: Jun-2021 (Delayed From: Jun-2017)
#15-09 Police Hiring #06 After ensuring appropriateness of content and sufficiency of oversight of the Law Enforcement Unit (LEU) Cadet Program, SJPD should enhance and expand the program to encourage San José residents to become San José Police Officers.	PD	Partly Implemented	The Department created a Police Cadet classification which was approved by City Council in March 2017. The Administration will evaluate potential budget proposals to advance a cadet program in the context of the overall budget situation and competing funding priorities. Target Date: Jul-2024 (Delayed From: Dec-2017)
#16-02 Street Sweeping #01 DOT's in-house street sweeping operation should stop emptying street sweepings onto the street.	DOT	Partly Implemented	DOT filled the Maintenance Worker II position assigned to manage the new sweep waste program in February 2021. The DPW Fleet team has completed developing specifications for the hook lift truck and bins and began the procurement process in February 2021. They anticipate delivery of the truck and bins by March 2022. Target Date: Jun-2022 (Delayed From: Jun-2017)

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#16-02 Street Sweeping #05 DOT and ESD should deploy the new electronic inspection system and GPS-tracking devices to: A) Enable supervisory staff to track vehicle location, speed, and activity remotely; B) Link route conditions and problems, and street cleanliness to specific locations along street sweeping routes; and C) Include electronic tracking and inspection compatibility in future bids for contracted street sweeping services.	DOT / ESD	Partly Implemented	A) Completed. No new update. B) DOT anticipates completing a recruitment by the end of March 2021 to fill the permanent Associate Construction Inspector position assigned to assist with identifying obstructions in conjunction with pavement inspection teams. As stated in the December 2020 update, DOT reports that lower priority issues (tree trimming, debris in park strips) will require additional resources to allow adequate follow-up. C) ESD and DOT staff partnered to complete negotiations with GreenWaste and executed an Amended and Restated Agreement effective January 15, 2021 through June 30, 2036. The Agreement includes new language that at the City's option, GreenWaste shall implement a GPS tracking and electronic inspection capabilities on street sweepers which allow for reporting obstructions available in a format compatible with existing City databases so that data between computer systems can be imported or exported without the need for custom translation software. If the City exercises this option, GreenWaste and City shall mutually agree upon the compensation rate for implementation. (Implemented) Target Date: Jun-2021 (Delayed From: Jan-2018)
#16-02 Street Sweeping #06 Based on staff input, route data, the results of past studies, and equipment needs, DOT should: A) Review and revise street sweeping schedules and routes; B) Consider additional enhanced sweeps in particularly dirty areas as funds and resources become available; and C) Develop a plan to periodically review street sweeping schedules and routes that consider street conditions.	DOT	Partly Implemented	A) DOT reports they have reviewed and revised street sweeping schedules and routes to the extent that funding and resources allow. The residential street sweeping program maintains a once per month sweeping schedule as part of the current contract. B) DOT reports that enhanced sweeps were completed for 9 streets in FY 2019-20 through March 2020 after which they were curtailed due to the COVID-19 shelter in place. DOT anticipates completing a recruitment by the end of March 2021 to fill the permanent Associate Construction Inspector position assigned to assist with identifying obstructions in conjunction with pavement inspection teams. C) Completed. DOT resumed monthly street sweeping coordination meetings in August 2020. Sweeping routes are discussed and minor schedule changes made during these meetings as needed. DOT has identified areas where there are street sweeping gaps and overlaps and anticipates resolving them by June 2021. Target Date: Jun-2021 (Delayed From: Jun-2018)

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#16-03 The City's Use and Coordination of Volunteers #01 To improve the accessibility of volunteer opportunities to the City's residents, the Administration should develop and post on the City's intranet an outreach "how-to" guide for volunteer coordinators across the City with information on social media strategies and how to update the City's website and events calendar. It should also reference the Citywide Language Access Policy (once it is finalized).	CMO	Partly Implemented	A "how-to" guide for volunteer coordinators across the City remains in draft form. This document will be rolled out in coordination with the Volunteer Policy. The Language Access Policy has been completed and has been uploaded onto the City's intranet site. The intranet site provides guidance and "how-to" information related to the Language Access Policy. According to the Administration, implementation of the "how to" guide has been delayed due to focus on the COVID-19 pandemic response. However, during the pandemic response, the City helped coordinate and track volunteers among local non-profits with Silicon Valley Strong, especially for food and necessities distribution. Target Date: Dec-2021 (Delayed From: Feb-2018)
#16-03 The City's Use and Coordination of Volunteers #02 To ensure more consistent management of volunteer programs, the Administration should develop a Volunteer Policy to be included in the City Administrative Policy Manual that formally recognizes the value volunteers contribute and includes minimum standards for the management of volunteer programs. The policy should include guidance on the use of volunteer agreements; health and safety requirements, such as fingerprinting and TB testing; volunteer recognition; and other topics as necessary.	CMO	Partly Implemented	In 2017, the Administration had an Encore Fellow develop a draft volunteer policy that outlines minimum standards for the management of volunteer programs, including fingerprinting requirements, TB testing, the use of volunteer agreements, and other health and safety requirements. In March 2018, a cross-departmental Volunteer Service Initiative Working Group was established to review the draft volunteer policy developed by the Fellow. The draft volunteer policy had been in final review, though staff delayed final approval to allow time to modify volunteer protocols related to large-scale, Citywide efforts such as BeautifySJ and Homeless Response. Final approval has been delayed due to Administration focus on the COVID-19 pandemic response. However, during the pandemic response, the City helped coordinate and track volunteers among local non-profits with Silicon Valley Strong, especially for food and necessities distribution. Target Date: Dec-2021 (Delayed From: Feb-2018)
#16-03 The City's Use and Coordination of Volunteers #03 To assist City staff in managing volunteer programs, the Administration should create and post on the City's intranet a volunteer guidebook or "toolkit" as a reference for staff during the development and management of volunteer programs.	CMO	**Partly Implemented - Priority**	In 2017, the Administration had an Encore Fellow create a draft volunteer policy and identify best practices and tips that were the basis for a draft volunteer management guidebook. In March 2018, a cross-departmental Volunteer Service Initiative Working Group was established to review and add to the drafted Volunteer Management Guide. Through the Gen2Gen campaign, the Mayor's Office partnered with PRNS and community organizations on three service-oriented pilot programs, one outcome of which was the creation of a toolkit based on lessons learned and best practices. It is intended that this toolkit will provide insights to City departments on engagement and operational strategies related to volunteer programs, and inform the development of a volunteer guide or "toolkit" for staff during the development and management of volunteer programs. According to the Administration, implementation of the toolkit has been delayed due to focus on the COVID-19 pandemic response. However, during the pandemic response, the City helped coordinate and track volunteers among local non-profits with Silicon Valley Strong, especially for food and necessities distribution. Target Date: Dec-2021 (Delayed From: Feb-2018)

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#16-03 The City's Use and Coordination of Volunteers #04 The Administration should work with the departments of Parks, Recreation and Neighborhood Services, Environmental Services, and Transportation to coordinate efforts around place-based volunteer programs. In particular, the Administration should streamline the process and expand the options that allow volunteers to play an active role in cleaning and maintaining public spaces by: A) Developing a separate volunteer webpage for the City's place-based volunteer programs that includes (i) descriptions of the programs (ii) relevant contact information and (iii) specific directions on how to request materials and supplies. The website should also provide information to help groups interested in one-time clean up or similar events. B) Allowing volunteers to apply with multiple place-based programs at once. C) Identify resources to reactivate the Adopt a Street program and/or expand the types of spots that volunteers can adopt to clean or maintain, including storm drains and creek segments for which the City holds an easement.	CMO / PRNS / ESD / DOT	Not Implemented	The City's website update added a centralized page for volunteer opportunities, ordered by department and program. Currently, the City's website does not have a page dedicated to place-based volunteering. The purpose of this recommendation is to make it easy for residents to find opportunities in their neighborhoods (such as adopting a park or other localized volunteer programs), rather than searching individual programs for nearby opportunities. The Administration had reported that it was evaluating scope and costs related to advancing this recommendation more comprehensively and that in the meantime, departments listed in this recommendation would work together to leverage volunteer resources. Implementation has since been delayed due to Administration focus on COVID-19 pandemic response. Target Date: Dec-2021 (Delayed From: Dec-2018)
#16-03 The City's Use and Coordination of Volunteers #06 The Parks, Recreation and Neighborhood Services Department should provide broad oversight and management of its community center volunteer programs, including developing a volunteer recruitment strategy and standard policies and procedures that contain specific guidance on volunteer intake, ongoing assessments such as the tracking of hours, and the retention of key documents.	PRNS	Partly Implemented	PRNS staff has drafted written guidelines for staff who work with volunteers across PRNS, including community centers, as well as a handbook for community center volunteers. These documents provide the overall program standards and include a recruitment strategy, policies and procedures, as well as specific guidance on volunteer intake, ongoing assessments, and the retention of key documents. As the Citywide effort to create a Volunteer Handbook is completed, PRNS plans to update its handbook, incorporating the Citywide rules and regulations. Next steps will be identifying site staff at each community center, training, and complete implementation. Target Date: Dec-2021 (Delayed From: Feb-2019)

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#16-05 South Bay Water Recycling #04 To sustain South Bay's operational and capital cost recovery status in the future, ESD should: A) Renegotiate the revenue sharing terms of the Integration Agreement to allow the City to access South Bay revenue to fund South Bay's projected capital costs sooner than is projected to occur under the Agreement as currently written; and B) Secure a recycled water wholesale cost of service study that can be used to maximize the ability to maintain cost recovery for South Bay.	ESD	Not Implemented	A) SBWR is in ongoing conversations with the Santa Clara Valley Water District regarding the terms of the Integration Agreement, implementation of the Strategic Master Plan, and other agreements between the City and the District. Due to timeline extensions for negotiation of a Memorandum of Understanding for an Expanded Potable Reuse facility, and subsequent Comprehensive Agreement, the resulting modifications to the Integration Agreement requires additional time. B) ESD participated in a statewide rate study sponsored by the WateReuse Research Foundation, which was completed in December 2018. South Bay Water Recycling is reviewing the study findings to recommend the optimum fee study structure that will address program needs. Target Date: Dec-2021 (Delayed From: Jan-2017) Potential Budget Savings: At the time of the audit, we estimated the City would be able to invest an additional $2.8 million annually for needed reliability projects if the City renegotiated the Integration Agreement with the Water District.
#16-07 Office of the City Clerk #02 To increase the transparency of legislative actions taken, the City Clerk's Office should decrease the turnaround time to create and post action minutes. Specifically, the City Clerk should: A) Establish and document a more aggressive timeframe for approval of minutes by Council, B) Reconsider whether both Council meeting synopses and action minutes are still required, and C) Bring to the City Council recommendations to update the Open Government Resolution to reflect these changes.	CLERK	Partly Implemented	The City Clerk reports that efforts have been made to improve the efficiency of completing minutes and has been addressing the backlog. However, the City Clerk reports that work on this issue has been paused due to increased workload related to COVID-19 virtual meetings as well as two new commissions. Target Date: Jun-2021 (Delayed From: Apr-2017)
#16-07 Office of the City Clerk #03 To ensure records of City Council proceedings are posted timely, the City Clerk should utilize existing technology to streamline the approval and posting of synopses and/or minutes.	CLERK	Not Implemented	The Office of the City Clerk reports that due to increased workload related to COVID-19 virtual meetings as well as staffing two new commissions, work on this issue will be paused until conclusion of the work of the new commissions. See also Recommendation #2. Target Date: Dec-2021 (Delayed From: Apr-2017)
#16-07 Office of the City Clerk #13 The City Clerk's Office should develop policies and procedures for the collection of outstanding lobbyist and other fees, which should be approved by the Department of Finance and be in accordance with General Guidelines for Accounts Receivable / Revenue Collection (City Policy 5.3.6).	CLERK	Partly Implemented	Since the audit, there was a change from quarterly to weekly reporting for lobbyist reports, and the City Clerk began to revisit how late fees were assessed, However, the City Clerk reports that due to increased workload because of COVID-19 impacts as well as staffing two new commissions, work on these procedures has been paused. Target Date: Dec-2021 (Delayed From: Mar-2017)

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#16-07 Office of the City Clerk #20 The City Clerk's Office should: A) Develop consistent methodologies to track and calculate the performance measures for its statutory responsibilities that are reported in the City's Operating Budget, B) Identify staff leads tasked with maintaining these performance measures and reporting them on a frequent basis to the City Clerk, and C) Develop action plans to address areas where results do not meet established targets or expected results.	CLERK	Partly Implemented	The Office of the City Clerk has documented methodologies for calculating performance measures, assigned team leads to maintain these performance measures, and was working on addressing part (c) of the recommendation. The Office of the City Clerk reports that due to increased workload because of COVID-19 impacts as well as staffing two new commissions, work on this item has been paused. Target Date: Dec-2021 (Delayed From: Oct-2017)
#16-08 Police Overtime #04 To reduce the risk that police officers are fatigued due to excessive City police work or secondary employment, the San José Police Department should: (a) Define the circumstances under which overtime is exempt from work limits in the Duty Manual; and (b) Review and enforce work limits for scheduled City overtime and secondary employment.	PD	Partly Implemented	The Department's use of overtime continues to increase and was $47 million in 2019-20. The Department reports that at this time it will address overtime internally without updating the Duty Manual. The Department is in the process of tracking secondary employment hours by managing it through eResource. Once a 30 hour overtime threshold has been met, officers will not have any further access to pay jobs for the work week. Target Date: Apr-2021 (Delayed From: Jun-2018)
#16-08 Police Overtime #05 To facilitate supervisory review of time worked, the San José Police Department should centralize the tracking of all work done in the Department and through secondary employment in a centralized software package. To do this, the Department should obtain additional information technology expertise to fully deploy eResource or an alternative software solution.	PD	Not Implemented	The Department is in the process of updating eResource to address the concerns raised by the audit. The Police Department reports that identified changes in eResource would require software updates. The Police Department has worked with its software vendor to facilitate event planning, and tracking. The Department is working with the City's Purchasing Division to add these updates to the software. The first step in this process is to accurately track SEU hours and rates. Once this is done the Department plans to review and follow-up on the backend process that needs to be changed. Target Date: Jul-2021 (Delayed From: Feb-2018)

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#16-08 Police Overtime #08 While vacancies remain high and operational needs require high use of overtime, the Police Department should allow more overtime to be worked for pay and/or require the first ten hours of overtime to be worked for pay.	PD / OER	Partly Implemented (Subject to meet and confer)	The purpose of the recommendation was to limit the future liability that results from high comp time balances and that continues to be a concern. The Department has not made any changes to the General Orders related to overtime worked for pay. Since the time of the audit, comp time balances have continued to grow--from 220,000 hours to 345,000 hours; the liability for compensatory time has grown to $21 million. The number of staff with balances of 480 hours has increased from 220 to 433. When staff reach the 480 balance any overtime that is worked is paid out of the Department's overtime budget. Specifically, in FY 2019-20, the Department paid nearly $16 million as a direct result of staff that had reached their 480 comp time balance. Finally, while staffing in the Department has increased, use of overtime and comp time has not decreased. We continue to be concerned about the use of comp time and the associated long-term liability for the City. Target Date: Jun-2021 (Delayed From: Jun-2018)
#16-08 Police Overtime #09 To reduce the liability associated with high comp time balances, the San José Police Department should: A) Lower the allowable comp time balance from 480 hours, B) Explore a comp time buy-out program, and C) Consider a mandatory comp time balance buy-out upon promotion between sworn ranks.	PD / OER	Not Implemented (Subject to meet and confer)	The City is beginning its discussions with the Police Officers Association (POA) and comp time will be included as part of those discussions. See recommendation #8. Target Date: Jun-2021 (Delayed From: Jun-2019) Potential Budget Savings: At the time of our audit, we estimated that the City would save $227,000 in future costs by buying out 10% of employee comp time balances, and $138,000 by buying-out balances upon promotion.
#16-08 Police Overtime #10 The Police Department should enforce the requirement for employees to lower their comp balance to 240 hours by the end of the year or submit plans to reduce balances.	PD	**Partly Implemented - Priority**	Although total overtime hours worked is roughly the same as when we did our audit, the number of sworn employees with comp time balances over 240 hours has increased from 410 to 710 in February 2021. The number of sworn employees with a balance of 480 hours increased from 220 to 433. As mentioned in prior updates, the Department issued General Order #2017-031 reminding staff that they are responsible for bringing comp time balances to 240 hours or less by December 2017. The Department, however, exempted the Bureau of Field Operations (about 337 employees) from this order. Also see recommendation #8 and #9. Target Date: Jun-2021 (Delayed From: Mar-2018) Potential Budget Savings: At the time of our audit, we estimated the cost of allowing employees to carry balances over 240 hours while granting wage increases was about $740,000.

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#16-08 Police Overtime #11 The San José Police Department should clarify the process for denying requests for comp time off.	PD	Closed	Comp time liability continues to be a concern for the City. The Department reports that it utilizes a bi-yearly vacation bid to grant time off. These requests can be for a total of 320 hours per year. Additionally, officers can submit a time-off request with 45 days' notice. The City's MOA does not currently distinguish between vacation time and comp time and comp time balances have continued to grow with the number of sworn staff with a balance of 480 hours increasing. We note this concern in our upcoming audit Police Staffing, Expenditures and Workload: Staffing Reductions Have Impacted Response Times and Led to High Overtime Costs and will follow-up on the process to grant time off as part of that audit.
#16-08 Police Overtime #12 In order to ensure consistent enforcement, the City Administration should develop written policies on when and how much police overtime should be reimbursed by special events including political campaigns and when those requirements can be waived.	PD / OED	Not Implemented	The Office of Economic Development advises that it will begin work on formulating a policy to ensure consistent enforcement of reimbursement for special events including political campaigns. Target Date: Jun-2022 (Delayed From: Jun-2017) Potential Budget Savings: Reimbursement for the two campaign events referenced in the audit would have saved the City $140,000.
#16-10 The Apartment Rent Ordinance #03 To improve communication and outreach, the Housing Department should: A) Adopt a targeted approach to tenants and landlords, B) Improve language accessibility, C) Improve its lobby space, D) Improve websites, and E) Expand its online offerings including an on-line look-up tool, and the ability to file petitions online.	HSG	**Partly Implemented - Priority**	A) The Housing Department implemented an outreach plan for FY 2019-20 and is working to strategically target outreach meetings and content for all stakeholders within the community, including the Rental Rights Campaign for tenants and landlord workshops for Realtor Associations, Property Managers, and Neighborhood/Owners Associations. B) Printed communications are available in English, Spanish, and Vietnamese, as well as online webinars posted on the Department website. C) Initially the Department planned a buildout of its lobby space, but is currently not pursuing that due to COVID-19 and safety concerns for staff at the reception desk. However, it plans to install an iPad in the lobby for visitors to easily search and call Housing staff for assistance once City Hall is open again. The Department reports it is in process of procuring a tablet. In the meantime, staff has transitioned to a virtual setting using phones, emails, and the Zoom technology to assist the community. This is the only remaining element of this recommendation to be implemented. D) With the launch of the new City website, the Housing Department's site has been updated to simplify searches and offer better user navigation. E) The Department has obtained approval from the City Attorney's Office to accept petitions via email and the submission process has been implemented. In addition, customers can view a map of rent stabilized apartments online. Target Date: Jun-2022 (Delayed From: Jun-2018)

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#16-10 The Apartment Rent Ordinance #05 The Housing Department should enter unit addresses into the citywide integrated permitting system.	HSG	Implemented	The Department worked directly with PBCE IT staff to develop an "Ownership Change" report, which describes changes in ownership of properties in San Jose. The report is generated from AMANDA and staff can enter changes into Housing's Salesforce database. While manual, the Department reports that the data entry process is not overly burdensome and is formalized in its internal procedures.
#16-10 The Apartment Rent Ordinance #06 The Housing Department should use its live access to the citywide integrated permitting system to answer routine questions about properties and receive alerts about changes to the Multiple Housing Roster, conversion or demolition permit applications, and code enforcement cases.	HSG	Implemented	To track projects that may require ARO staff assistance, Housing staff report that they use their live access to AMANDA and communicate with PBCE to identify projects that trigger the Ellis Act Ordinance (demolitions or conversions of residential buildings). The Ordinance, which became effective in 2018 after this audit was published, has led to regular information sharing between Housing and PBCE. Housing staff also review various sites and resources to stay updated on new potential projects. The Department reports that this process is included in its internal procedures.
#16-10 The Apartment Rent Ordinance #15 To ensure customers are provided necessary services, the Housing Department should develop a strategic plan for the Rental Rights and Referrals Program that outlines desired goals and outcomes, and establishes measures of program effectiveness.	HSG	Partly Implemented	Housing has developed an outline for the Rent Stabilization Program Strategic Plan, which it anticipates bringing to the Neighborhood Services and Education Committee in May 2021. Target Date: May-2021 (Delayed From: Jun-2018)
#16-11 Mobile Devices #01 To ensure appropriate controls over City-owned mobile devices (including cellphones, smartphones, hotspots, tablets, and laptops), the Administration should require departments to label City-owned mobile devices and maintain current inventories. The inventories should include the type of device, serial number, the name and ID of the employee to whom the device is assigned, the phone number (if applicable), the date of issuance, and the date returned (if applicable).	IT	Partly Implemented	IT's Guidelines and Recommendations for Managing Mobile Devices and the City Administrative Policy on Procurement of Laptops and Tablets (1.7.8) requires departments to maintain inventory records that include the type of device, the serial number, the name of the employee to which the computer is assigned, the employee identification number, the date of issuance of the device, and the date the equipment is returned. IT has worked with direct-support departments to label assets and maintain asset data in an inventory, in tandem with an asset database used to manage licensing and configurations. These assets are tracked within IT's configuration management database, which includes such information as the device type, serial number, and employee assignment. IT is still working on a mechanism to improve the identification of staff associated with devices. IT also reports that they shared the process and materials with departmental IT groups to complete asset tagging and data collection, and just a couple of departments have not completed asset tagging. IT further reports that it is considering blocking all unknown and unregistered devices as a future cybersecurity step. Target Date: Jun-2021 (Delayed From: May-2018)

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#16-11 Mobile Devices #02 To ensure that cellphone stipends are cost-effective and reflect current technologies and the usage and needs of City employees, the Information Technology Department should work with the Finance Department to: A) Provide guidance for departments on how to assess the cost-effectiveness of offering a stipend as opposed to issuing a City-owned device; B) Update the eligibility criteria for stipends to reflect business need (i.e., the same criteria for City-owned devices) and delegate approval to the department level; and C) Review and adjust the amount and structure of the City's cellphone and data stipends.	IT / FIN	Partly Implemented	In June 2019, the City Council approved an agreement for FirstNet phones, which allow communication among City employees during disaster and recovery. With full implementation of FirstNet, the Administration anticipates few approvals for non-FirstNet phones, and the elimination of most stipends in favor of FirstNet phones. This will be reflected in an updated Mobile Communications and Device Policy of the City Administrative Policy Manual. Currently, however, any employee who receives a FirstNet phone and is currently receiving the stipend(s) provided in the current Cellular Telephone Policy will continue to receive the stipend until further evaluation of the stipend occurs. Target Date: Jun-2021 (Delayed From: Dec-2017)
#16-11 Mobile Devices #06 The Information Technology Department should develop a Mobile Device Policy to supersede the current Cellular Telephone Policy (1.7.4) to: A) Reflect the use of all mobile devices by employees across the City, including both personal and City-owned cellphones, smartphones, tablets, hotspots, and laptops. B) Clarify the specific duties and responsibilities of mobile device liaisons within departments who are tasked with managing such devices. The new policy should cross-reference with the City's Information Security Policy, the Remote Access Policy, and any other relevant policies that relate to mobile devices.	IT	**Partly Implemented - Priority**	The Administration is working on a new Mobile Communication and Device Policy to account for the transition to FirstNet. With the implementation of FirstNet, the Administration expects to eliminate most stipends for City use of personal phones. Additionally, IT expects the role of mobile device liaisons to change with the centralization of FirstNet orders and assignment. The draft policy cross-references and aims to support other relevant policies. Target Date: Jun-2021 (Delayed From: Dec-2017)
#16-11 Mobile Devices #07 To ensure consistent application of the Mobile Device Policy, the Information Technology Department should develop and provide periodic training for department liaisons on their specified administrative duties and responsibilities outlined in the policy for both City-issued and personal devices used for City business.	IT	Partly Implemented	The Administration is drafting a new Mobile Communication and Device Policy to account for the transition to FirstNet, with staff training to follow. With the implementation of FirstNet, IT expects the role of mobile device liaisons to change with the centralization of FirstNet orders and assignment. Target Date: Jun-2021 (Delayed From: Dec-2017)

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#16-11 Mobile Devices **#08** To address information security risks associated with mobile devices, the Information Technology Department (IT) should develop, and include in the Mobile Device Policy, guidelines and procedures for both City-issued and personally owned devices that identify: A) The degree of access for various types of mobile devices and employee classifications in connecting to either cloud based City services or to the City's network; B) Any applicable support expectations by IT for personally owned mobile devices used for City business; C) Any applicable user conditions, especially if personally owned devices may be enlisted on a mobile device management software; and D) Any applicable IT controls over mobile devices, such as remote locking or wiping of device in case of theft or loss. Any authorization forms, such as the Remote Access Authorization Form, should be updated accordingly.	IT	Partly Implemented	IT rolled out two phased pilots of the FirstNet devices, including the use of mobile device management software to support security updates, and has since expanded its rollout. As the FirstNet devices are implemented Citywide, IT is configuring the devices to comply with existing City and departmental security, data privacy, and retention policies. The Administration is also drafting a new Mobile Communication and Device Policy to account for the transition to FirstNet. With the implementation of FirstNet, the Administration expects to eliminate most stipends for City use of personal phones. Additionally, IT expects the role of mobile device liaisons to change with the centralization of FirstNet orders and assignment. The policy will cross-reference and support other relevant policies. Target Date: Jun-2021 (Delayed From: Dec-2017)
#16-11 Mobile Devices **#09** The Information Technology Department should: A) Develop user friendly guidelines on mobile device information security and include it as part of the Mobile Device Policy. B) Establish periodic information security awareness trainings for all personnel who access the City's network on City issued and personal devices.	IT	Partly Implemented	The Administration is working on a new Mobile Device Policy to account for the transition to FirstNet. In a February 2020 Smart Cities memo, the Administration identified "detailed communications around interim guidelines for users" on appropriate usage, device configuration, and support as a requirement "for deployment at scale." Since then, IT has created user-friendly set up guides for iOS and Android phones on FirstNet, which include password creation and MDM activation. IT has implemented annual cybersecurity awareness trainings, which address information security, for all City employees. Target Date: Jun-2021 (Delayed From: Dec-2017)
#16-11 Mobile Devices **#11** To reduce ordering turn-around and demands on staff time, we recommend the Administration: A) Allow departments to order mobile devices (cellphones, smartphones, hotspots, tablets, and laptops) and accessories directly, through appropriate citywide purchase orders; B) Develop a process for IT or department staff to configure devices to meet information security standards in the Mobile Device Policy. C) Update City policy accordingly	IT	Partly Implemented	IT reports that departments with internal IT support can order standard laptops and tablets directly; all departments can order phones and accessories online with approvals by department management. IT has updated its SharePoint site so departments may request FirstNet phones and tablets and laptops. IT rolled out two phased pilots of the FirstNet devices, including a process to configure mobile device management (MDM) software on the devices to support security updates. With full implementation of FirstNet, the Administration anticipates few approvals for non-FirstNet phones,. As the FirstNet devices are implemented Citywide, IT is configuring the devices to comply with existing City and departmental security, data privacy, and retention policies. The Administration is also drafting a new Mobile Device Policy to account for the transition to FirstNet. Target Date: Jun-2021 (Delayed From: Dec-2017)

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#16-11 Mobile Devices #12 To reduce ordering turn-around and demands on staff time, and to provide greater transparency and citywide inventory control, we recommend the Administration: A) Explore tools to develop online approval form(s) for the approval of City-issued cellphones, smartphones, hotspots, tablets, and laptops, including whether the device will require remote network access, to be authorized electronically and saved in a centralized, searchable database; and B) Revise the Procurement of Laptops and Tablets Policy (1.7.8) and reference the Remote Access Policy (1.7.3) accordingly.	IT	Implemented	Departments with internal IT support can order standard laptops and tablets directly. IT has made updates to the IT Ordering SharePoint site to provide greater clarity, consistency, and checks and balances around technology ordering and purchasing processes. As part of its Business Process Automation project, IT plans to automate the Mobile Device Request form into an online workflow, such that new mobile policy requirements can be built into the ordering form and the business process can be centralized for review and approval. With the implementation of FirstNet, City-issued cellphones will be centralized through a single agreement with AT&T. The Administration anticipates few approvals for non-FirstNet phones following the implementation of FirstNet.
#16-11 Mobile Devices #14 To address the information security risks of mobile devices, the Information Technology Department (IT) should work with departments citywide to implement Mobile Device Management (MDM) software citywide for the devices that pose the greatest information security risks for the City. Specifically, IT should: A) Prioritize devices that pose the greatest information security risks for the City to be enlisted on an MDM software, and work with departments to implement MDM software citywide for those devices; B) Establish basic minimum standards or settings within the MDM software to protect City data within the software; and C) Either directly manage mobile devices for departments or provide administrative access for departments to manage their own devices if they have the internal capacity to manage those devices.	IT	Implemented	IT has implemented controls to ensure that FirstNet devices will be secured with MDM software. IT has established basic minimum security standards for those phones such as passcode requirements, timeouts for screen locking, and app download restrictions. IT is working with departments to ensure that existing, non-FirstNet devices that pose security threats will also be secured by MDM.

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#16-11 Mobile Devices #15 In order to ensure that the City and/or departments control costs related to mobile device, the Information Technology Department (IT), in consultation with the Finance Department where applicable, should: A) Administer Citywide review of mobile device bills for usage and potential cost savings (e.g., zero- and low-use, plan optimization, minute and data pooling, etc.), potentially through the acquisition and utilization of telecommunications expense management software. B) Clarify the management structure between IT and other departments in its updated Mobile Device Policy (see Recommendation #6)—including some level of departmental bill review—and provide procedures and annual trainings to responsible individuals. C) Ensure that appropriate individuals within departments receive vendor reports and communications. D) Ensure that all wireless service users in the City are informed of their plans' features and limitations.	IT / FIN	Partly Implemented	IT centralized procurement, assignment, and billing of FirstNet devices Citywide. IT also procured a wireless telecommunication expense management solution, though implementation is still pending. With full deployment of FirstNet devices, and the centralization and standardization of billing, IT expects the role of mobile device liaisons in departments to change. IT has drafted policies and companion guidelines to reflect these roles. As processes mature, the Administration will update relevant policies and IT will document procedures and provide training to City departments. Target Date: Jun-2021 (Delayed From: May-2018) Potential Budget Savings: During the audit, we identified $189,000 per year in potential savings from eliminating zero or low use lines, use of pooled plans for devices with low data consumptions, and other active management of telecommunications expenses.

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#17-02 Office of Equality Assurance #01 To better administer the prevailing and living wage compliance programs, the Office of Equality Assurance should: A) Procure a software solution to automate payroll review to free up staff time for other responsibilities (e.g., site visits, review of supplemental documentation); B) Adopt a risk-based strategy for conducting site visits and reviewing supplemental documentation to efficiently verify the accuracy of information in submitted payrolls; and C) Ensure the program has sufficient supervisory resources following the implementation of Recommendation #3.	OEA	**Partly Implemented - Priority**	A) Public Works finalized a software application, named "DIRECT", in December 2020. DIRECT is a City-maintained application that allows contractors to submit certified payrolls and other labor compliance documents electronically through a web portal that can be reviewed, accepted, or denied by City staff. Prime contractor and subcontractor profiles are provided access to the project file at time of contract award and will be required to upload all payroll and employee data monthly. Staff is notified of the submittal by e-mail; one-click acceptance, denial, and clarifications from staff generate e-mail responses to the contractors. This feature allows contractors to know whether they are in compliance with City requirements and removes time intensive e-mail drafting or telephone calls by staff. B) Public Works has developed a tracking system using Excel to maintain a list of compliance infractions and violations. Public Works reports that this tracking system allows staff to be consistent with enforcement, including penalties assessed, while also allowing staff to see trends with construction and make determinations on the need for additional oversight and site visits. In addition, two OEA staff schedule site visits once a week by reviewing potential high- and moderate-risk projects with all OEA Specialists. These discussions determine the site visits performed in a given week. C) Public Works has identified needs for additional supervisory capacity and will continue to look for funding opportunities as part of the annual City Budget process. Target Date: Dec-2021 (Delayed From: Jun-2018) Potential Budget Savings: We estimate that a software solution would free time for two FTE to be redeployed to other OEA functions that are currently understaffed. Redeploying these staff will potentially reduce the need to hire additional staff to administer OEA responsibilities.

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#17-02 Office of Equality Assurance #02 The Office of Equality Assurance should develop a plan to conduct concerted and ongoing outreach to employees and employers about wage compliance, maximizing its current network with City departments, nonprofits, and community organizations.	OEA	Implemented	Public Works continued the Public Works Contracting Program under the name "Public Works Construction Academy" (Academy). Due to COVID-19, the Academy was held virtually through six (6), two (2) hour presentations provided by Public Works staff. Public Works continued partnerships with the Small Business Development Center and the Hispanic, Black, and Vietnamese Chambers, as well as SCORE Association, work2future, and BusinessOwnerSpace.com. Public Works reports that they have bi-annual meetings with Working Partnership USA on areas of support and partnership regarding trainings, outreach, targeted hire targets, and other opportunities. OEA staff also have cultivated partnerships with the Santa Clara County Wage Theft Coalition, the County of Santa Clara Office of Labor Standards Enforcement, and the California Division of Labor Standards Enforcement. Public Works developed outreach and educational documentation in the form of weather-resistant large posters, and issued them at multiple City of San Jose construction projects. The posters provide communication avenues for employees in four different languages (English, Spanish, Chinese, and Vietnamese). Public Works reports that upon reentry to standard work practices with the eradication of COVID-19, OEA staff has identified and developed additional outreach and networking opportunities.

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#17-02 Office of Equality Assurance **#04** To ensure continuity and consistency in practices, the Office of Equality Assurance should document the processes involved in: A) Determining wage requirements for a prevailing or living wage project and notifying Finance of the wage determination; B) Receiving purchase order information from Finance and sending documents to contractors for living wage projects; C) Conducting pre-construction meetings and sending documents to contractors for prevailing wage projects; D) Performing prevailing wage and living wage payroll reviews, including how to determine the wage rate based on labor compliance documents and how to review inspector logs; E) Escalating enforcement when labor compliance documents are not received, such as sending notices of noncompliance and withholding of payment (see Recommendation #5); F) Calculating restitution for prevailing, living, and minimum wage, and notifying required parties of violations; G) Completing the director review of violation appeals; H) Closing a project after completion; I) Conducting a minimum wage review; J) Conducting outreach for race-neutral disadvantaged business enterprise (DBE) projects and evaluating DBE good faith efforts for race-conscious projects; and k. Completing an Americans with Disabilities Act complaint investigation.	OEA	Not Implemented	Public Works continues to focus on improving the functionality of the DIRECT software application and work related to Council priorities and the City's COVID-19 response. Continued development of DIRECT requires OEA to standardize procedures, develop processes and timelines for all items identified in this recommendation. Upon completion of DIRECT, OEA will develop technical specifications and procedures for both internal and external stakeholders. Target Date: Dec-2021 (Delayed From: Jun-2018)
#17-02 Office of Equality Assurance **#05** To avoid inconsistencies in the treatment of contractors, the Office of Equality Assurance (OEA) should document staff's decision-making criteria for: A) Timelines for payroll review process; B) Escalation of enforcement and appropriate use of enforcement tools; C) When payrolls are to be requested for service and maintenance projects; and D) The minimum value of a contract at which OEA must be notified.	OEA	Not Implemented	Public Works reports that they continue to focus on improving the functionality of the DIRECT software application and work related to Council priorities and the City's COVID-19 response. Continued development of DIRECT requires OEA to standardize procedures, develop processes and timelines for all items identified in this recommendation. Upon completion of DIRECT, OEA will develop technical specifications and procedures for both internal and external stakeholders. Target Date: Dec-2021 (Delayed From: Jun-2018)

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#17-02 Office of Equality Assurance **#06** To ensure appropriate and uniform application of the City's formal enforcement mechanisms, the Office of Equality Assurance should: A) Work with the City Attorney's Office to clarify its policy that penalties or liquidated damages should be assessed on all payrolls with wage violations on City-funded projects, regardless of the timing of submission or Notice of Violation; and B) Require that payrolls should be submitted whenever a contract requests a payment.	OEA	Implemented	Public Works reported that they contacted the Department of Industrial Relations, the State Labor Commissioner, and the Division of Labor Standards Enforcement for information regarding the investigations, penalty or liquidated damage assessments, and payroll violations with no uniform set of rules/requirements. OEA staff developed standardized policy and procedure based on the practices outlined in the CA Labor Code and required by the City's Prevailing Wage Ordinance No. 29510. The document has been placed on the City's OEA website labeled "Penalties for Breach of Prevailing Wage Requirements."
#17-02 Office of Equality Assurance **#08** Once the City Council determines the desired scope of the City-wide contracting program, the local hire/apprentice utilization program, and Americans with Disabilities Act compliance program, the City should assign the resources needed to perform these responsibilities.	OEA	Partly Implemented	The Local Hire/ Apprentice Utilization program, currently Council Priority #1, will return to the Council's Community and Economic Development Committee in 2021. Public Works reports that since their last response, OEA was tasked with additional policy work, including the Wage Theft Prevention Policy (Council Priority #16) and the COVID-19 Paid Sick Leave Ordinance (April 7, 2020 through June 30, 2021). OEA reported that they did not receive staffing or resources during the approval of these two items. Upon completion of the Local Hire/Apprentice Utilization and the expiration of the COVID-19 Paid Sick Leave Ordinance, OEA report that is will assess staffing needs and make requests as necessary. Target Date: Dec-2021 (Delayed From: Dec-2018)
#17-04 Open Government **#01** The Administration should create an Open Government policy to be included in the City's Administrative Policy Manual. The policy should state the purpose and goals of the Open Government Ordinance and Resolution and cross reference with the specific procedures outlined in the resolution and other City policies as necessary.	CMO	Partly Implemented	The City Attorney's Office has reviewed a draft administrative policy that broadly outlines responsibilities under, and makes reference to, the Open Government Resolution. The Open Government Manager and the Office of Employee Relations will continue to coordinate on its finalization. No new action was taken since the last update. Target Date: Dec-2021 (Delayed From: Dec-2018)
#17-04 Open Government **#02** The Office of Economic Development, in coordination with the City Attorney's Office, should develop a policy and procedures to clarify whether and how to disclose cost-benefit information for provisions of economic benefit to private entities when: the provision is a part of a larger incentive program to be issued to entities that meet specified criteria, multiple provisions may benefit a single entity within a short timeframe, the City provides services on behalf of/for a private entity, and the entity receiving the benefit is a non-profit or public agency.	OED	Not Implemented	The Office of Economic Development and City Attorney's Office have identified reporting requirements and applicability of different subsidy disclosures. Staff from the Office of Economic Development have reported that they have been working on an internal memo to outline procedures and a records keeping process for disclosure of economic development subsidies; however, this has been delayed due to staff turnover. Target Date: Dec-2021 (Delayed From: Jun-2018)

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#17-04 Open Government #04 The Administration should implement procedures to track public subsidy and tax abatement agreements to ensure compliance with state and Open Government after-action reporting requirements and financial statement disclosures.	OED / FIN	Not Implemented	The City Attorney's Office worked with the Office of Economic Development to outline the reporting requirements and applicability of different subsidy disclosures. The Office of Economic Development reports that it has been working on an internal memo to outline procedures and a records keeping process for disclosure of economic development subsidies, but that implementation of the recommendation has been delayed due to staff turnover. Target Date: Dec-2021 (Delayed From: Jun-2018)
#17-04 Open Government #08 The City Council should consider a change to the Revolving Door Ordinance that mitigates potential conflicts of interest and simplifies the rules surrounding former designated employees who work for non-profit organizations as lobbyists or on legislative or administrative matters which they worked on as part of their City employment. Potential policy directions include: A) Narrowing the non-profit exemption to 501(c)(3) organizations, regardless of whether the organization had received support from the City; or B) Striking the non-profit exemption, such that the same rules apply whether former designated employees go to work for non-profit or for-profit organizations.	CAO / CLERK	Partly Implemented	The City Council referred this recommendation to the Board of Fair Campaign and Political Practices (formerly the Ethics Commission) for further consideration, prior to the item's return to Council. The Board discussed the recommendation at its January 10, 2018 meeting, and decided to recommend that Council strike the non-profit exemption. This recommendation was referred to the February 12, 2020 Rules & Open Government Committee meeting. The Committee voted to incorporate the recommendation, along with other Title 12 recommendations from the Board, into the Mayor's Biennial Ethics Review, slated for Spring 2020. After the Review, the item will return to the full City Council. Target Date: Jun-2021 (Delayed From: Jun-2019)
#17-04 Open Government #09 The Administration should update City policies and guidance on the retention and disposition of electronic records and City email to reflect the current technological environment and allow for more effective management of public records. This includes the storage of records to efficiently respond to public records requests and the disposition of records per approved retention schedules.	CMO	Partly Implemented	The purpose of this recommendation was to address the growth of electronic records, including old emails, many of which are not public records, but are routine, mass, or unsolicited, as well as preliminary draft documents. The Administration reports that it has met with several departments to review current practices and discuss future approaches to address electronic record management. The Administration will continue to explore approaches to the disposition and retention of email and social media content. Target Date: Dec-2021 (Delayed From: Jun-2018)

Report and Recommendations	Dept (s)	Current Status	Comments
#17-04 Open Government **#10** To better manage electronic records on the City's enterprise file share and email systems, the Administration should consider a combination of strategies, including but not limited to: A) Developing procedures for department records administrators to conduct electronic file clean outs to dispose of unnecessary electronic files as well as those saved past the City's approved retention schedules. B) Periodic reminders to City staff to clean out their email folders, along with guidance on what is a public record that should be saved, and what is not.	CMO	Partly Implemented	In December 2019, the Open Government Manager worked with the Human Resources Department to update their records retention schedule. The Open Government Manager will continue to work with departments to revise their records retention schedules and discuss processes for the destruction of records, which include electronic files for clean out. As of 2021, the Administration reports that it has begun exploring software solutions to support management of electronic records. The Open Government Manager reports having met with multiple departments to determine existing procedures, with a goal of creating a policy that is uniform across the City. Following the finalization of this policy, the Open Government Manager plans to conduct regular trainings. Target Date: Dec-2021 (Delayed From: Dec-2018)
#17-05 Audit of Environmental Services Department Consulting Services **#10** To improve consistency across all divisions, ESD should offer additional contract management training. Contract management training should include, but is not limited to the following: invoice review; situations that require amendments; sales tax accrual processes; standard operating procedures for contract monitoring; managing consultant relationships	ESD	Implemented	ESD developed and implemented a contract management training to its department managers and made available a non-CIP Contract Management Standard Operating Procedures (SOPs) manual. The SOP includes instructions, guidance, and situations on aspects of contract monitoring. ESD completed working with a third-party consultant who reviewed the SOP to initiate a standardized contracts management process and to develop a contract management system for contract monitoring staff to use. The contracts management system went live in 2020, and department trainings on the process were completed in Winter 2020.
#17-06 Audit of Retirement Services **#05** The Retirement Boards should establish formal budget adoption policies and procedures that include clear delegation of authority to staff to spend plan assets subject to certain limits defined by the Boards.	RET	Partly Implemented	The Office of Retirement Services (ORS) has prepared formal budget adoption policies and procedures which were approved by the Retirement Boards in August 2018. The policy states that the budget document will be forwarded to the City Council as a Manager's Budget Addendum (MBA) and will be accompanied by the most recent Investments Fee Report, as well as an estimate of the investment-related fees for the fiscal year. This has been followed for the past two budget cycles. However, the policy includes a definition of investment fees that is in conflict with the opinion of the City Attorney's interpretation of the language of the voter-approved Measure G. The Office of Retirement Services agrees that three is a conflict and is working to find a solution to the differences in the interpretation in their policy. Target Date: Dec-2021 (Delayed From: Aug-2018)

Report and Recommendations	Dept (s)	Current Status	Comments
#17-06 Audit of Retirement Services #06 The City Manager's Office should update the City's Operating Budget to: a) include total employee and employer retirement contributions in the City's Operating Budget as summary or historical information, b) cross-reference its separate approval of the Retirement budget, and c) modify the presentation in the Operating Budget's Source and Use statements to display investment expense.	CMO / RET	Partly Implemented	a) The 2020-21 Adopted Operating Budget incorporated a Summary of Contributions to Retirement Funds (Pages III-17 and 18) that included total employee and employer retirement contributions. This summary information was also included in the 2019-20 Adopted Operating Budget. b) The Adopted Budget also included appendices (A53–A76) with the Retirement Services Proposed Budgets submitted to the Federated and Police and Fire Plan Boards. In addition, the Office of Retirement Services prepared its 2020-21 Proposed Administrative Budget for City Council approval (Manager's Budget Addendum #9). A note was included in the Retirement Services chapter that clarified that the budget figures reflected in that section account for only a small portion of the total budget for the Office of Retirement Services (page VIII-400) c) The Office of Retirement Services did not break out the investment expenses in the Source and Use Statements provided to the Budget Office. The investment income figures presented in the Source and Use Statements were net of investment expenses. As part of MBA #9, the Office of Retirement Services included attachments with the most recent Comprehensive Annual Fee Reports that were presented to the Retirement Boards. Target Date: Jun-2021
#17-06 Audit of Retirement Services #11 The City Council should clarify their expectations of the Council representatives to the Retirement Boards, including the type of report and frequency of reporting that would be most useful to the Council.	COUNCIL	Not Implemented	The CMO is in the process of bringing forward a Council policy to address this recommendation. Target Date: Apr-2021 (Delayed From: Dec-2018)
#17-06 Audit of Retirement Services #15 The Retirement Boards should adopt a formal set of performance measures to be included in the retirement plans' budgets for both plan administration and the investment program. The Retirement Boards should provide the City Council with the opportunity to review and provide comment on the adopted performance measures.	RET	Partly Implemented	The Office of Retirement Services reports that the performance measures in the current City Operating Budget process will be discussed at a future Joint Personnel Committee (JPC) meeting for further discussion and alignment with the current performance metrics of the CEO and CIO. The JPC has approved the CEO performance metrics but still has yet to approve the CIO and Investment staff metrics. Target Date: Jun-2021 (Delayed From: Dec-2018)
#17-06 Audit of Retirement Services #24 The Office of Retirement Service should upgrade their website to promote transparency and ease of navigation for stakeholders and plan members to find information.	RET	Partly Implemented	The Office of Retirement Services (ORS) reports that each division has provided input on the features to be incorporated on the website. The initial wireframing for the new website has been developed and is being refined. New content has been identified and is being created, and existing content is being reviewed. Additionally, ORS is working on a contract for the third party vendor that will provide the website services. Target Date: Jun-2021

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#17-06 Audit of Retirement Services #25 To improve transparency, the Office of Retirement Services should post plan charters and policies, as well as audio recordings of committee meetings, online.	RET	Partly Implemented	Retirement Services reports that it began updating the contents of its website in June 2017. Audio recordings for most of the committee meetings have been posted online on a go-forward basis since June 2017. However, some audio recordings for committee meetings since then have not yet been posted. There is now a link to a Confluence site on the Retirement Services website that hosts the plan's policies and charters. Target Date: Jun-2021 (Delayed From: Dec-2018)
#18-01 Pensionable Earnings #01 The Office of Employee Relations and the City Attorney's Office should clarify the term FLSA premium pay in Municipal Code Section 3.36.020.3 C.	CMO / CAO	Partly Implemented	The Office of Employee Relations and the City Attorney's Office drafted changes to section 3.36.020 of the San José Municipal Code clarifying the term FLSA premium pay. Staff plans to present the amendment to the Board for the Police and Fire Retirement Plan for comment and then bring the amendment to the City Council for review and approval. Target Date: Jun-2021 (Delayed From: Jun-2019)
#18-02 Audit of the San José Police Activities League #01 The City should reconsider how and who should manage the PAL facilities and associated activities, and revise its 2007 agreement with the PAL organization accordingly.	PRNS / PD	**Partly Implemented - Priority**	PRNS, SJPD, and the City Manager's Office worked to identify alternatives to PAL's current service delivery model. PRNS conducted community outreach and focus groups, and held several meetings with the PAL board to determine the future governance of PAL on an ongoing basis. The Neighborhood Services and Education Committee, in February 2020, approved PRNS to move forward with PAL on a hybrid PAL/PRNS governance structure. A new agreement will be developed. In the interim, Police staffing has been removed and reassigned in the Police Department, and a former PAL board member has been volunteering as part-time executive director of PAL. Additionally, PRNS has worked with PAL on board development and establishing a structure for implementing the hybrid operational model. On January 5, 2021, the City Council approved guiding principles for the operating model, which staff intend to use to negotiate a contract that details PAL operations and performance measures. Target Date: Jul-2021 (Delayed From: Fall-2019)
#18-02 Audit of the San José Police Activities League #02 The City should clarify its relationship with the PAL Board, including the role of the Council liaisons and the role of police staff on the PAL Board.	PRNS / PD	Partly Implemented	The City Council, in January 2021, approved guiding principles and revised roles and responsibilities for PAL, PRNS and SJPD. These will be included in the new agreement with PAL. Target Date: Jul-2021 (Delayed From: Dec-2019)
#18-02 Audit of the San José Police Activities League #03 The San José Police Department should inform and encourage officers regarding available volunteer opportunities at PAL.	PD	Partly Implemented	Due to COVID-19, there have been very limited PAL activities since Spring 2020. SJPD and PRNS are working on developing a plan for coordinating police volunteer opportunities at PAL once the new agreement is in place. Target Date: Dec-2021 (Delayed From: Fall-2019)

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#18-02 Audit of the San José Police Activities League #04 The San José Police Department should determine if some opportunities for police officers to work with youth in PAL programs can be paid.	PD	Not Implemented	According to the Department, under the current staffing and budgetary restrictions, SJPD has been focusing on providing police core services to the city. Target Date: Dec-2021 (Delayed From: Jun-2020)
#18-02 Audit of the San José Police Activities League #05 The City should ensure that the PAL organization complies with the City's requirement to submit an annual audit and regularly follow-up.	PRNS / PD	Partly Implemented	PAL posted its 2015 and 2016 audits on PAL's website. Additionally, PRNS reports PAL completed the overdue audits for 2017 and 2018, and is working on 2019 and 2020. The next contract with PAL will continue to require annual financial audits in accordance with guiding principles approved by the City Council on January 5, 2021. The status of this recommendation will be reviewed again, once the anticipated new agreement is finalized. Target Date: Jul-2021
#18-02 Audit of the San José Police Activities League #07 The City should require that the PAL organization prepare and submit an annual budget.	PRNS / PD	Partly Implemented	PAL had completed annual budgets for FY 2018-19 and FY 2019-20. Status of this recommendation will be revisited once the anticipated new agreement between the City and PAL is finalized. Target Date: Jul-2021
#18-02 Audit of the San José Police Activities League #10 The City should work with the PAL Board to track and comply with revenue sharing provisions in its 2007 Agreement.	PRNS / PD	Not Implemented	Status of this recommendation is contingent on the determined structure and potential new agreement between the City and PAL. Target Date: Jul-2021 (Delayed From: Fall-2019)
#18-02 Audit of the San José Police Activities League #11 The City should require compliance with its rules on naming and advertising rights, and require policies and procedures to require written agreements regarding signage.	PRNS / PD	Not Implemented	In accordance with guiding principles approved by the City Council in January 2021, PRNS plans to include compliance with City rules on naming and advertising rights and the development of a sponsorship program that complies with City policies in the anticipated new agreement with PAL. Target Date: Sep-2021 (Delayed From: Jun-2019)
#18-02 Audit of the San José Police Activities League #12 The City should require a comprehensive strategy to maximize fundraising opportunities through naming and advertising rights.	PRNS / PD	Not Implemented	In accordance with guiding principles approved by the City Council in January 2021, PRNS plans to require the development of a sponsorship program, strategic plan, and fundraising goals. Target Date: Sep-2021 (Delayed From: Fall-2019)
#18-02 Audit of the San José Police Activities League #13 The City should either require PAL board members to sign the City's volunteer code of ethics, or work with the City Attorney's Office to eliminate that provision from the Agreement.	PRNS / PD	Not Implemented	In accordance with guiding principles approved by the City Council in January 2021, PRNS plans to either include a requirement for the board members to sign the City's volunteer code of ethics in the anticipated new agreement with PAL, or eliminate this provision from the agreement. Target Date: Sep-2021 (Delayed From: Fall-2019)
#18-02 Audit of the San José Police Activities League #15 The City should enforce agreement terms regarding when the fields can be used and when they are allowed to "rest".	PRNS / PD	Partly Implemented	In accordance with guiding principles approved by the City Council in January 2021, PRNS plans to develop a shared schedule for field use and non-use (i.e., 'rest') and the requirement for coordinating this annually. They anticipate this provision will be included in the anticipated new agreement with PAL. Target Date: Sep-2021 (Delayed From: Jun-2020)

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#18-02 Audit of the San José Police Activities League #16 The City should formalize the fees that are charged for use of the facilities including the required documents to be completed. Further, address whether free use of the PAL facilities is allowed and what waivers would be required when providing that free use.	PRNS / PD	Partly Implemented	PAL has established a standardized fee schedule; however, this does not address free use at the PAL facility or what waivers are required. Status of this recommendation will be revisited once the new structure is determined and a potential new agreement is finalized. Target Date: Sep-2021 (Delayed From: Fall-2019)
#18-02 Audit of the San José Police Activities League #17 PRNS and Public Works should review the facilities, develop a list of long-term and short-term priority improvements, and determine the funding mechanism to address those improvements.	PRNS / PW	Partly Implemented	PRNS is evaluating the timeline for developing a master plan for the PAL facility, in relation to emergency response and recovery activities. PRNS and Public Works developed a list of short-term capital improvement priorities. The FY 2019-20 Adopted Capital Budget included $3 million for installing an artificial field, other associated improvements, and funding to complete a master plan for the PAL site. Several minor projects and improvements have been completed. According to the Department, additional funding is required in order to complete the artificial turf field renovation. Target Date: Jun-2022 (Delayed From: May-2020)
#18-02 Audit of the San José Police Activities League #18 The City should require a process to ensure consistent and cost-equivalent fees and expenditures among all districts.	PRNS / PD	Partly Implemented	PAL equalized soccer registration rates for all districts in 2018, and provided uniforms to each district. The Police Department reports that PAL worked to refund many participants the $27 cost of uniforms, and $25 to participants who had a parent volunteer. A process is still required to ensure consistent and cost-equivalent fees and expenditures in the future. Due to COVID, PAL programs have been on hold since March 2020. In accordance with guiding principles approved by the City Council in January 2021, PRNS plans to require the development of fee and scholarship schedules for equitable access to PAL programs, aligned with other PRNS fees and charges. Target Date: Jul-2021 (Delayed From: Fall-2019)
#18-02 Audit of the San José Police Activities League #19 The City should enforce fingerprint background checks of all adults serving in a supervisory or disciplinary role over children to ensure that all coaches and relevant volunteers comply with the California Public Resource Code 5164 and relevant City policies.	PD / PRNS	Partly Implemented	Since publishing the audit, the SJPD Police Chief reported that "the DOJ/SMS [Department of Justice] system has flagged one volunteer, who has since been suspended. Over the last six months, the PAL Custodian of Records has received several subsequent arrest notifications from DOJ; however, these coaches were determined to no longer volunteer/coach for PAL". Currently the custodian of records is a member of SJPD. Depending on future responsibilities, status of this recommendation will be revisited once the anticipated new agreement is finalized. Target Date: Jul-2021 (Delayed From: Fall-2019)
#18-02 Audit of the San José Police Activities League #20 The City should require maintenance of an updated roster of all players, coaches, and other relevant volunteers participating in each of PAL's activities.	PRNS / PD	Partly Implemented	After the audit, PAL updated rosters of all players, coaches, and assistant coaches participating in each of PAL's activities for 2018 and 2019. Depending on future responsibilities, status of this recommendation will be revisited once the anticipated new agreement is finalized. Target Date: Jul-2021 (Delayed From: Fall-2019)

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#18-02 Audit of the San José Police Activities League #23 The City should require formal agreements with the various sports leagues that govern the relationship and responsibilities of each of the leagues.	PRNS / PD	Not Implemented	The requirements for formal agreements with various sports leagues continue to be developed based on the guiding principles approved by the City Council on January 5, 2021 and will be outlined in the negotiated contract. Target Date: Jul-2021 (Delayed From: Dec-2019)
#18-03 Department of Public Works #01 To better allocate training and non-project costs to capital projects, Public Works and the City Manager's Budget Office should appropriate a portion of capital staff time for such charges in the Public Works Program Support Fund (150), and allocate such costs to projects through the Public Works Cost Allocation Plan.	PW / CMO	Partly Implemented	In coordination with the City Manager's Budget Office, Public Works allocated $50,000 to the Public Works Program Support Fund (150) to fund training costs. The department is continuing to assess non-project costs for the purpose of allocating these costs to Fund 150. Target Date: Dec-2021 (Delayed From: Jul-2019)
#18-03 Department of Public Works #02 Public Works can better ensure that lessons learned improve future performance by: a) Ensuring that project completion reports containing lessons learned are distributed to department an client staff, b) Regularly meeting with client departments to share lessons learned from projects, c) Including standard language in the project completion report, following the lessons learned section, that ensures department manuals and project guidance are updated if necessary	PW	Partly Implemented	Public Works has developed client meeting agenda templates that include sections to discuss Project Completion Reports and Lessons Learned, and has also updated its project completion report templates to capture whether Department manuals and project guidance need to be updated as a result of a project's lessons learned. Meetings with client departments to discuss lessons learned are held prior to project initiation and throughout the project. The Department has had to place project completion reports on hold to allow staff to focus on project delivery which has been challenged by the work environment resulting from COVID-19. Target Date: Dec-2021 (Delayed From: Dec-2019)
#18-03 Department of Public Works #05 To support consistent project management delivery, knowledge transfer during staff turnover, and accessibility for future reference, Public Works should use a standard electronic file structure for capital projects and determine what files should be kept to ensure that key documents are maintained for each phase of the capital delivery process.	PW	Partly Implemented	The Department plans to use its Capital Project Management System (CPMS) to help standardize electronic file structures and store key project documents, and will provide staff record retention guidelines as part of its CIP Project Management training. The Department had planned to provide the training in Fall 2020, but was unable to do so because of the COVID-19 pandemic. The Department plans to provide the training in April of 2021. Target Date: Dec-2021 (Delayed From: Jul-2019)

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#18-03 Department of Public Works #06 To ensure consistent project delivery, Public Works should: a) Update its project management manual using existing project management guidelines and checklists as well as current practices, b) Expand the manual to include guidance for each project phase and include duties of all divisions that are responsible for project delivery, and c) Establish a process to regularly review and update the manual as needed.	PW	Partly Implemented	The Department reports that it has taken steps to improve internal processes and departmental communication by creating a new project delivery checklist for both of its capital project divisions (CFAS and THS) and establishing bi-weekly roles and responsibility meetings between the design and construction inspection teams. The Department has also reviewed its existing project management resources and has identified the areas where the resources can be improved. Additionally, Public Works has created a new Division Manager position that will focus on providing departmental and project delivery trainings. Target Date: Jul-2021 (Delayed From: Mar-2019)
#18-03 Department of Public Works #07 Public Works should review and update its Standard Details and Specifications, in coordination with the City Attorney's Office and other departments, to ensure it contains up-to-date specifications, and establish a process to regularly review and update the manual as needed.	PW / CAO / DOT / ESD	Partly Implemented	Public Works expects to complete this recommendation by December 2022, and reports that several technical construction specifications and details have been updated. The Department reports that further progress on this recommendation has been difficult because of competing priorities within the City's capital improvement program (CIP). Target Date: Dec-2022 (Delayed From: Dec-2020)
#18-03 Department of Public Works #08 To improve its metrics used to assess performance, Public Works should: a) Clarify that the performance metrics "on-budget" and "on-schedule" for capital projects refer to the construction phase of project delivery, and b) Track the categories of change orders over time across all projects.	PW	Partly Implemented	Public Works has clarified that 'on-budget' refers to the entire life cycle of a capital project and that 'on-schedule' refers only to the construction phase of project delivery. The Department tracks individual project change orders as part of its project closeout process, and will attempt to monitor change orders across all of its capital projects through its Capital Project Management System (CPMS). Target Date: Dec-2021 (Delayed From: Mar-2019)
#18-04 Audit of Vehicle Abatement #02 To improve customer service to My San Jose app requests, the Department of Transportation should prioritize the timeliness of visiting a vehicle for an initial visit. This could include continuing to use contracted staff to perform initial visits.	DOT	Partly Implemented	Staff report that since January 2019, contract staff have been responsible for completing the majority of initial field visits and initial visits were conducted within 5 days of being received. Due to the impact of COVID-19, vehicle abatement services were deemed non-essential and temporarily suspended. When they resumed in July, adjustments to the program were made to accommodate County Health Orders and reduced resources. In late November 2020, the Administration reported that contract staff were reinstated to address SanJose311 Service Requests. The Department intends to submit a budget proposal to continue the funding for contract staff during the 2021-22 budget process; however, this will continue to be one-time funding. Target Date: Jul-2021 (Delayed From: Jul-2019)

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#18-04 Audit of Vehicle Abatement #05 The City should address data synchronization, user interface, customer communication, and language access issues in the development of My San Jose 2.0.	CMO / IT	Implemented	The Administration addressed the user issues identified in the audit. They completed user experience enhancements and re-branded My San Jose as "San Jose 311" (SJ311) in March 2020. Architectural improvements were completed in April 2020 which addressed data synchronization issues, enhanced security, and increased flexibility to add new services to the SJ311 platform. Spanish and Vietnamese language translation were implemented in November 2020. The Department reports that they are continuing to update the app as needed, including plans to add additional City services and additional language translations.
#18-04 Audit of Vehicle Abatement #12 The Police Department should: a) revisit the calculation of impound costs and recommend that the City Council approve an adjustment to the vehicle release fee accordingly, and b) bring forward to the City Council a recommendation for the City to institute a subsidized vehicle release fee for low-income vehicle owners.	PD	Partly Implemented	After reviewing the vehicle release fee, the Police Department adjusted the fee to $122 per vehicle; the Council adopted the revised fee, effective February 2019. The Administration intends to release an RFP for a technology platform and contract administration for tow services. The Administration plans to use data gathered through this platform to review costs and evaluate a subsidized vehicle release fee. The Administration has not yet set a release date for the RFP. Target Date: Mar-2022 (Delayed From: Jun-2019)
#18-06 Community Center Reuse #01 To inform future capital investment decisions and better understand the subsidy value to reuse service providers, PRNS should work with Public Works to periodically assess the condition and calculate the deferred maintenance of reuse facilities.	PRNS	Partly Implemented	PRNS has hired a Senior Maintenance Worker and is in the process of recruiting a Building Management Administrator (BMA). These additions will support the management and infrastructure assessments needed for the Neighborhood Center Partner Program (formerly the Community Center Reuse program) and other PRNS facilities. Once the BMA position is filled, the position is expected to utilize the assessments and other methods to assess building conditions and calculate the deferred maintenance of reuse facilities. Target Date: Jun-2024
#18-06 Community Center Reuse #02 To better track the net costs of individual facilities in the Reuse Program, PRNS should improve tracking of maintenance costs and revenues, periodically review the City's cost for re-use facilities, and assess the continued value of reuse sites.	PRNS	Not Implemented	PRNS is in the process of recruiting a Building Management Administrator (BMA). Once the BMA position is filled, the role will be tasked with developing a system to periodically track the net costs of individual reuse facilities as well as maintenance costs and revenues. Target Date: Dec-2021
#18-06 Community Center Reuse #03 To provide policy makers with information about the Reuse Program in all districts, PRNS should include information on contracted and actual reported services by program activity across all service providers and facilities in their annual reuse updates.	PRNS	Not Implemented	An RFQ scheduled to be conducted in Spring 2020 was delayed due to the onset of the pandemic and instead, was released in January 2021. PRNS has since revised the Monitoring and Compliance Guidelines (included with the RFQ) to include requirements for monthly, annual, and biannual reports from service providers to submit their service hours of program deliverables and customer satisfaction survey results. PRNS plans to include this information in their annual reuse update to the Neighborhood Services and Education Committee in Fall 2021. Target Date: Sep-2021 (Delayed From: Jul-2020)

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#18-06 Community Center Reuse #04 PRNS should establish and implement procedures to regularly monitor reuse service providers. The procedures should identify roles and responsibilities for staff regarding contract management including establishing a master contract file with key documents, site visits, collecting performance reports, and tracking performance.	PRNS	Partly Implemented	PRNS has established a procedural system where all contract monitoring forms and program tracking workbooks are stored. Contract management will be accomplished through a database of service provider information which has been created to include contract status, contract expiration, and insurance policy expiration for each site. PRNS has been working on procedures for monitoring and plans to finalize them. Staff capacity has delayed this process as the Contracts Unit was reassigned due to vacancies from last March as well as handling services during the pandemic. Target Date: Dec-2021 (Delayed From: Jul-2020)
#18-06 Community Center Reuse #05 PRNS should revise reuse service provider performance reports to require information about changes in programming and staffing; and establish guidelines for approving changes in scopes of service, or implementing corrective actions if a reuse provider is not adhering to the terms of the agreement.	PRNS	Partly Implemented	PRNS added language to the contract template and General Information Requirements to establish an approval process for changes in scope of service or programming by service provider, along with a form for service providers to request such changes. These documents were released with the RFQ that is currently underway (released January 2021) and will be incorporated into the agreements that go into effect this year. Target Date: Dec-2021 (Delayed From: Jul-2019)
#18-06 Community Center Reuse #06 PRNS should immediately update all property use agreements, in coordination with the City Attorney's office, for all service providers under the reuse program.	PRNS	Partly Implemented	The City's response to the pandemic required the reassignment of essential service staff to the Emergency Operations Center as well as implementing services to serve the needs of the community during the emergency. This impacted the capacity of the Department which delayed contract development and execution. Due to the shelter-in-place and social distancing regulations, most sites have not been operational. PRNS is currently in the process of renewing agreements that expired during the Summer 2020. The Department reports that 9 of 20 agreements are current, 11 agreements are in the process of contract development and expects finalization of all agreements in the spring of 2021. Target Date: Jun-2021 (Delayed From: Dec-2019)
#18-06 Community Center Reuse #07 PRNS should immediately collect active certificates of insurance from all service providers under the reuse program.	PRNS	Partly Implemented	Active certificates of insurance are required in every current agreement with reuse service providers. PRNS is currently in the process of collecting all updated insurance policies. The Department reports 5 of 9 executed agreements are in compliance and 2 of 11 pending agreements have submitted. In addition, PRNS is still in the process of updating agreements for all service providers. Target Date: Jul-2021 (Delayed From: Dec-2018)
#18-06 Community Center Reuse #08 PRNS should immediately ensure verification or certification of background checks of reuse providers' paid and unpaid staff, in accordance with the reuse agreement.	PRNS	Partly Implemented	PRNS has received forms verifying their compliance with the background check requirement from all service providers. The 2021 contract template has been finalized and approved by the City Attorney which includes the requirement that providers must report that background checks have been conducted and verified prior to services commencing. This agreement exemplar will be used with all providers that are awarded agreements in the 2021 solicitation process. Proof of compliance with this requirement will be enforced at the annual mandatory site visits. Target Date: Jul-2021 (Delayed From: Dec-2019)

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#18-06 Community Center Reuse #09 To ensure proper licensing of daycare programs, including after school programs, PRNS should modify its reuse agreements to require service providers to either provide proof of licensure or certify they are exempted from licensure under the Department of Social Services guidelines.	PRNS	Partly Implemented	PRNS staff has finalized the "Contract Exemplar" template agreement that will go into effect with service providers once the RFQ released in January 2021 is complete. The new template will include requirements that all agencies providing license-exempt childcare will have all employees and volunteers registered with the State Department of Social Services Trustline Registry, with language specifying that failure to register any employee or volunteer may result in the immediate termination of the Agreement. Proof of Trustline registry will be reviewed at the annual mandatory site visits where agencies will be required to report verification of all program and financial records, background checks, and program license compliance. Target Date: Sep-2021 (Delayed From: Dec-2019)
#18-06 Community Center Reuse #10 To ensure service providers in the reuse program are abiding by the provisions of the City's Reuse Policy, PRNS should: a) Implement corrective actions for current service providers who offer fees above City standard rates, report revenues not being reinvested in reuse facility programs, rent facilities out on their own behalf, or provide benefits solely to members, and b) Develop procedures to review, on an annual basis, reuse providers' fee levels; revenues and expenses; and whether any benefits are offered solely to members and implement corrective actions.	PRNS	Partly Implemented	PRNS has developed monitoring tools to accompany the improved monitoring and compliance standards of the program. This includes a Site Visit Interview, Site Visit Checklist, a formalized Change in Subcontractor form, as well as an agency workbook book that incorporates monthly reports, biannual and annual desk reviews, a financial workbook, and program narratives. PRNS plans to develop monitoring procedures that include a review of reuse service providers' fees and will establish corrective actions when service providers are not compliant. Target Date: Dec-2021 (Delayed From: Jul-2020)
#18-06 Community Center Reuse #11 To account for the differences between satellite and neighborhood reuse facilities, PRNS should create a new standard reuse agreement for neighborhood sites that revises the scope of financial and program reporting requirements to allow for more efficient reporting and monitoring.	PRNS	Partly Implemented	The program is no longer differentiating between neighborhood and satellite facilities. Instead, PRNS has simplified performance expectations and reporting requirements for all service providers. PRNS has clarified the roles and responsibilities of the program service providers in the General Information and Requirements (GIR) document issued in January 2021 for the RFQ. PRNS reports this recommendation will be complete upon the execution of agreements with service providers selected from the 2021 solicitation. Target Date: Jul-2021 (Delayed From: Jul-2020)
#18-06 Community Center Reuse #12 PRNS should establish targeted minimum standards for performance and open hours for satellite centers and work with current providers or potential providers from the satellite reuse pool to bridge gaps at satellite centers that do not meet those targets.	PRNS	Partly Implemented	PRNS has established operation hours standards set to reflect a minimum of 45 hours per week minimum for all service providers; of total operating hours, at least 67% must be direct service hours; indirect service hours must not exceed more than 33% of total direct and indirect service hours. These are listed in the "Agency Responsibilities" section of the General Information Requirements (GIR) included in the RFQ released in January 2021 and will be incorporated into agreements that are executed as a result of that solicitation. Target Date: Jul-2021 (Delayed From: Jul-2020)

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#18-06 Community Center Reuse #13 PRNS should ensure that all organizations receiving free or subsidized rent have a current property use agreement and be formalized under the reuse program to ensure consistency.	PRNS	Not Implemented	As mentioned for recommendation #6, there are remaining agreements that are either in the process of contract development with final signatures expected by April 2021. Target Date: Apr-2021 (Delayed From: Dec-2018)
#18-06 Community Center Reuse #14 To more efficiently book meeting spaces, PRNS should utilize its online recreation software to track schedules of service providers or other users of reuse facilities.	PRNS	Partly Implemented	PRNS has been using their online recreation software, ActiveNet, to book meeting spaces for users other than service providers at Neighborhood Center Partner Program (formerly reuse) facilities. PRNS is in the process of inputting service provider schedules into ActiveNet to determine if the system is efficient for the program needs. PRNS will assess the functions of ActiveNet and determine whether it is a good fit or if PRNS should continue exploring other options for booking. Target Date: Dec-2021 (Delayed From: Dec-2019)
#18-07 Audit of the City's Homeless Assistance Programs #03 To ensure a broader range of County and relevant stakeholders are involved in the coordinated approach to homeless response efforts the City Manager's Office should continue working with the County to include additional County agencies in the broader effort.	CMO	Implemented	The City and the County have together completed the 2020-2025 Community Plan to End Homelessness (CPEH) in August 2020 and intend to work together to ensure implementation of the strategies identified in the plan. Further, the County recently created a Unhoused Taskforce focused on identifying and contributing to feasible strategies to address homelessness. Two City Councilmembers sit on the Task Force, which also includes representatives from the County Office of Supportive Housing and the City's Housing Department. The Task Force met in September and October 2020 and intend to meet again in April 2021. Lastly, the Housing Department has been coordinating with the County Office of Supportive Housing and County Behavioral Health to coordinate City programs with County behavioral health programs. They are partnering on the City's new COVID-19 encampment services program, Services Outreach Assistance and Resources (SOAR), which includes the City's multi-disciplinary assessment and intervention team for encampments during the emergency response.

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#18-07 Audit of the City's Homeless Assistance Programs #07 To analyze the effectiveness of the City's homeless assistance efforts, the Housing Department should use HMIS to: a) Aggregate City of San Jose data by strategy area (rapid rehousing, permanent housing, crisis response, and prevention) and report on key performance indicators including: exits to permanent housing, returns to homelessness, number of participants enrolled per strategy area; and b) Compare the performance of the City's homeless assistance b strategy area to identified targets and the performance of the CoC on a semi-annual basis.	HSG	Partly Implemented	The City has finalized an agreement with the County to gain access to HMIS. The Housing Department hired an analyst in January 2021 to work with the County to develop customized reports on performance outcomes, which will be compared with the data retrieved from the grantees. The Homeless Response Team Analyst will receive HMIS training in July 2021. Target Date: Jul-2022 (Delayed From: Aug-2019)
#18-07 Audit of the City's Homeless Assistance Programs #08 The City should obtain direct access to HMIS.	HSG	Implemented	The City and County signed an agreement in December 2020 to grant the City access to the County's HMIS.
#18-07 Audit of the City's Homeless Assistance Programs #11 To effectively manage monitoring activities and utilize monitoring results to improve project delivery of its homeless response grants, the Housing Department should: a) Develop monitoring procedures including an annual monitoring plan, grantee performance summary, and upload monitoring reports and risk assessment to the City's grants management system; b) Conduct on-site monitoring visits for each homeless assistance contract at least every two years as has been described in its annual action plan; and c) Compare grantee progress reports against HMIS reported data on a semi-annual basis to ensure the accuracy of grantee reported performance metrics.	HSG	Partly Implemented	a) The Department has developed and used monitoring policies, procedures, and templates to conduct monitoring visits. b) The Department created an annual monitoring plan for 2018-19 and completed monitoring for its 30 contracted agencies between March and August 2019. In Spring 2020, however, the Department temporarily suspended monitoring due to COVID-19 emergency efforts. To resume monitoring, the Department released an RFP in December 2020 seeking qualified organizations to perform the monitoring function, with a consultant expected to be in place by April 2021. c) As described in Recommendation #8, the Department has been granted access to the County's HMIS system and staff will be undergoing training in July 2021 to use HMIS data and compare it with grantee progress reports. Progress was delayed due to the COVID-19 response. Target Date: Jul-2022 (Delayed From: Jul-2020)
#18-10 Audit of Towing Services #01 To provide a method to address violations, the City should include in future towing services agreements: a) An escalating penalty structure of liquidated damages, suspensions, and contract termination. Liquidated damages should be increased over time. b) Provisions requiring towing contractors to respond to another tow zone in case of a tow refusal or suspension (with a different timeliness standard).	PBCE	Not Implemented	Due to the City's emergency response to COVID-19, the Administration delayed its RFP for a technology platform and contract administration for tow services. The Administration anticipates using data gathered through this platform to inform a proposed new model. Target Date: Mar-2022 (Delayed From: Jul-2020)

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#18-10 Audit of Towing Services #03 The City should issue a new RFP for the towing services agreements, taking into consideration the issues identified and recommendations made in this report.	PBCE	Not Implemented	Due to the City's emergency response to COVID-19, the Administration delayed its RFP for a technology platform and contract administration for tow services. Following implementation of this platform, a new RFP for towing service agreements will be issued based on a new towing service delivery model. Target Date: Mar-2022 (Delayed From: Jul-2020)
#18-10 Audit of Towing Services #04 The City should consider allowing contractors to submit proposals for a contract fee, paid by the contractor to the City per towed vehicle, as part of the Request for Proposal process. The amount of the contract fee should be evaluated along with other aspects of a potential contractor's proposal.	PBCE	Not Implemented	Due to the City's emergency response to COVID-19, the Administration delayed its RFP for a technology platform and contract administration for tow services. The Administration also brought forward a Fourth Amendment to the City Generated Tow Services Agreements in June 2020, which reduced the contract compensation fee to zero, to ensure continuity of tow services. Target Date: Mar-2022 (Delayed From: Jul-2020)
#18-10 Audit of Towing Services #05 In future towing services agreements, the City should continue the junk vehicle reimbursement program or, in conjunction with Recommendation #4, request that proposed contract fees account for the costs of junk vehicle disposal.	PBCE	Partly Implemented	Due to impacts of the City's emergency response to COVID-19, the Administration delayed its RFP for a technology platform and contract administration for tow services. The Administration brought forward an amendment to the City Generated Tow Services Agreements to Council in June 2020 to ensure continuity of tow services, which provided additional compensation to towing operators for their costs to dispose of junk vehicles and reduced the contract compensation fee to zero. Target Date: Mar-2022 (Delayed From: Jul-2020)
#18-10 Audit of Towing Services #06 The City Administration, in consultation with appropriate departments, should establish clear guidelines for the appropriate disposal of hazardous waste and junk vehicles.	PBCE	Partly Implemented	On June 25, 2019, City Council approved a second amendment to the tow services agreements to clarify hazardous waste disposal and documentation requirements in order for towing contractors to be eligible for reimbursement credit. The Administration intends to develop additional guidelines for disposal of junk vehicles once it moves forward with a new RFP and service delivery model. Target Date: Mar-2022 (Delayed From: Jul-2020)
#18-10 Audit of Towing Services #09 The City should modify future towing services agreements to allow towing contractors to have tow yards located outside of their assigned zones, such as anywhere within the City limits.	PBCE	Not Implemented	Due to impacts of the City's emergency response to COVID-19, the Administration delayed its RFP for a technology platform and contract administration for tow services. The Administration brought forward an amendment to the City Generated Tow Services Agreements to Council in June 2020 to ensure continuity of tow services. Target Date: Mar-2022 (Delayed From: Jul-2020)

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#18-10 Audit of Towing Services
 	
#10   The City should consider additional changes to future towing services agreements, such as:
    a)   Specifying that tow yard capacity must be sufficient, and having respondents propose tow yard capacity;
    b)   Allowing towing contractors to engage in private business towing;
    c)   Specifying that the number of tow trucks must be sufficient; and/or
    d)   Redrawing the tow zone boundaries such that they have an equal number of expected tows.
	PBCE	Not Implemented	Due to impacts of the City's emergency response to COVID-19, the Administration delayed its RFP for a technology platform and contract administration for tow services. The Administration brought forward an amendment to the City Generated Tow Services Agreements to Council in June 2020 to ensure continuity of tow services. Target Date: Mar-2022 (Delayed From: Jul-2020)

#18-10 Audit of Towing Services #11 The City should require towing contractors to submit all information as specified in the City's towing services agreements (including claimed vehicles), regardless of whether payments are missed or late.	PBCE	Not Implemented	Due to impacts of the City's emergency response to COVID-19, the Administration delayed its RFP for a technology platform and contract administration for tow services. The Administration extended its existing requirements in an amendment to the City Generated Tow Services Agreements which was brought to Council in June 2020. Target Date: Mar-2022 (Delayed From: Jul-2020)
#18-10 Audit of Towing Services #12 In future towing services agreements, the City should require towing contractors to provide tow records in an electronic format or consider requiring the use of a towed vehicle database system (either procured by the City or by towing contractors with access granted to City staff).	PBCE	Not Implemented	Due to impacts of the City's emergency response to COVID-19, the Administration delayed its RFP for a technology platform and contract administration for tow services. The Administration extended its existing requirements in an amendment to the City Generated Tow Services Agreements to Council in June 2020. Target Date: Mar-2022 (Delayed From: Jul-2020)
#18-10 Audit of Towing Services #13 In future towing services agreements, the City should clarify the collection process for the contract fee.	PBCE / FIN	Not Implemented	Due to impacts of the City's emergency response to COVID-19, the Administration delayed its RFP for a technology platform and contract administration for tow services. The Administration brought forward an amendment to the City Generated Tow Services Agreements to Council in June 2020, which did not modify the existing collection requirements. Target Date: Mar-2022 (Delayed From: Jul-2020)
#18-10 Audit of Towing Services #14 To reduce time required to oversee contract terms, in future towing services agreements the City should charge one consolidated fee to towing contractors based on the number of towed vehicles.	PBCE	Not Implemented	Due to impacts of the City's emergency response to COVID-19, the Administration delayed its RFP for a technology platform and contract administration for tow services. The Administration brought forward an amendment to the City Generated Tow Services Agreements to Council in June 2020, which reduced the contract fee to $0. Target Date: Mar-2022 (Delayed From: Jul-2020)

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#18-10 Audit of Towing Services #15 For improved oversight over the towing services agreements, the administration of the contract should be consolidated in the Police Department with an evaluation of the resources needed to perform this responsibility.	PD	Not Implemented	Due to impacts of the City's emergency response to COVID-19, the Administration delayed its RFP for a technology platform and contract administration for tow services. The Administration brought forward an amendment to the City Generated Tow Services Agreements to Council in June 2020 to ensure continuity of tow services. Target Date: Mar-2022 (Delayed From: Jul-2020)
#18-10 Audit of Towing Services #17 The City should re-establish a process for designated City staff to routinely sign-off on the disposal of low-value vehicles through more frequent visits to tow yards.	PD	Implemented	The Administration has trained additional patrol officers to sign-off on the disposal of low-value vehicles, and visits are presently performed on a weekly basis.
#19-01 Audit of 9-1-1 and 3-1-1 #02 Fire Communications should pull regular performance reports and monitor average answering times.	FIRE	Not Implemented	Recruitment for an analyst position assigned to Fire Communications was underway, but ceased in April 2020 at the direction of Human Resources due to COVID-19. The Fire Department plans to resume the recruitment when the hiring freeze is lifted for the position. The Department reports that the analyst will be tasked with formalizing the Fire Communications performance measure reporting process and ensuring reports are generated and distributed at regular intervals. Target Date: Jun-2022 (Delayed From: Jun-2020)
#19-01 Audit of 9-1-1 and 3-1-1 #04 To eliminate the need to call the County to confirm every ambulance dispatch, the Fire Department should work with the County of Santa Clara to prioritize automated ambulance dispatching.	FIRE	Implemented	The Department reports that the enhancements to the CAD system interface were implemented on April 2020 and following a month of observation, dispatchers ceased making phone calls solely for the purpose of verifying receipt of events within the CAD system. Due to limitations of the County's CAD system, some information must still be confirmed verbally, including updates which occur after initial event creation. The Department may further enhance this functionality when County Communications transitions to a Hexagon CAD system, tentatively Spring 2022.

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#19-01 Audit of 9-1-1 and 3-1-1 #05 To increase focus on outreach and recruiting for Communications staff, Police Communications and Fire Communications should each develop a recruiting plan for their respective divisions, and explore opportunities for collaboration and joint recruitment opportunities.	PD / FIRE	Partly Implemented	The Police Department reports that the Communications Training Unit is currently collaborating with the Police Sworn Recruiting team to conduct recruiting for Communications. One Communications staff member is assigned full-time to the Police Recruiting Unit. Both Units are working together to establish a written recruitment plan. Communications recruiting personnel now has an established relationship with South Bay Training Consortium as well as schools and military recruiters. Both Units have worked together to develop workshops/classes to prepare applicants for the process. The Police Sworn Recruiting Team utilized an existing marketing contract to recruit around the Bay Area and California. The Department reports that these recruiting efforts resulted in a large increase in applicants. The Fire Department is in the process of hiring staff to work on a Communications recruitment plan. Recruitment for an analyst position assigned to Fire Communications was halted due to COVID-19 but will resume when the hiring freeze is lifted for the position. The Department anticipates that the position in Fire Communications will add capacity to develop a formalized recruitment plan. In the meantime, existing Fire Communications staff continue to conduct recruitment outreach when possible. The Department reports that staff have coordinated with the Police Communications Training Unit regarding recruitment opportunities and interview panels. Target Date: Jun-2022 (Delayed From: Jun-2021)
#19-01 Audit of 9-1-1 and 3-1-1 #06 The Police and Fire Department should utilize external marketing firms to bolster marketing efforts to recruit communications staff for both Police and Fire staff.	PD / FIRE	Partly Implemented	The Police Training Unit has a primary marketing vendor, Civilian Inc., and has used the vendor to recruit for both sworn and civilian positions. The Police Department reports that the use of an external marketing firm has been instrumental in increasing the number of applications for all positions, the biggest increase is noted within the Communications applications. Advertising and recruiting efforts resulted in over 500 applications in a 60-day period during this current hiring cycle. The police marketing contract covering the sworn and civilian recruiting will be exhausted at the end of the fiscal year and the Police Department expects to request additional funding for the next fiscal year. The Fire Department expects development of a formal recruitment plan will guide their use of an external marketing firm. The Fire Department plans to hire an analyst for Communications once the hiring freeze is lifted (see recommendation #2). Target Date: Jun-2022 (Delayed From: Jun-2021)

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#19-01 Audit of 9-1-1 and 3-1-1 #07 The Police and Fire Departments should work with the Public Works Department to make closer parking options available to Communications staff that work night shifts.	PD / FIRE	Partly Implemented	The Department reports that it offers interior parking spots for Police Communications Personnel working on night shifts. An improvement project is planned for early 2021 in which the parking lots on the southwest corner of N. San Pedro Street and Mission Street are to be surrounded by chain-link fence. The fence will be secured by Department card readers, have pedestrian gate access on the north side, and vehicle gate access on the east side. This will create a secured area for Communications staff to park their vehicles for all shifts. Target Date: Dec-2021 (Delayed From: Dec-2020)
#19-01 Audit of 9-1-1 and 3-1-1 #08 The Police and Fire Departments should work with the City Manager's Budget Office and Human Resources department to make additional part-time and/or retiree-rehire opportunities available to qualified staff.	PD / FIRE	Implemented	Police Communications has already instituted part-time benefitted, part-time non-benefitted, and retiree rehire positions. In September 2021, the Police Department expects to offer additional Public Safety Call Specialist (PSCS) part-time benefitted positions to all qualified PSCSs. The Department is holding off on offering part-time benefitted Public Safety Radio Dispatcher (PSRD) positions until the remaining full time vacancies are filled. As full time PSCSs and PSRDs retire, the Department has been able to add to the retiree re-hire positions for both classifications. The Fire Department reports that it continues to use retiree rehires to advance special projects, and maintain existing programs on an as-needed basis and as funding allows.
#19-01 Audit of 9-1-1 and 3-1-1 #09 To retain qualified staff that are more inclined to call taking versus dispatch, the Administration should explore the creation of a call taker position in the Fire Department.	FIRE	Partly Implemented	The Fire Department has commissioned a staffing study to validate Fire Communications staffing needs considering metrics and industry best practices. The final report is expected by spring 2021 and will guide appropriate budget requests. Target Date: Jun-2021
#19-01 Audit of 9-1-1 and 3-1-1 #12 To remove report-taking responsibilities from emergency call takers, the Police Department should assess and potentially distribute report-taking responsibilities that could be handled by (a) the City Customer Contact Center, (b) police officers on modified duty, (c) retiree rehires, or (d) Community Service Officers.	PD	Partly Implemented	The Police Department uses retiree rehires for call-taking roles, including TRAC, but the Department considered this an interim solution. The Department stated that use of Customer Contact Center employees would require further research. Target Date: Jun-2021 (Delayed From: Jun-2020)
#19-01 Audit of 9-1-1 and 3-1-1 #13 To lessen SJPD Communications Center staff workload and provide the public with additional service/reporting options, the Police Department should publicize online reporting options to the community and review current online reporting options and determine if additional reporting can be handled online.	PD	Not Implemented	Online reporting is available at http://www.sjpd.org/reportingcrime/onlinereport/. However, the Department reports that further online reporting will take more work than originally anticipated. Target Date: Jun-2021 (Delayed From: Jun-2020)

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#19-01 Audit of 9-1-1 and 3-1-1 #14 Police non-emergency services should inventory its Interactive Voice Response (IVR) Phone Tree to ensure that it connects customers with the appropriate resource that can provide the needed service. Further, it should develop an ongoing management plan to ensure that the IVR stays up to date.	PD	Implemented	The Police Department reports that scripts were rewritten and implemented in English, Spanish, and Vietnamese. The California Highway Patrol (CHP) transfer number was changed to a current CHP local office. The Department reports that every six months, the phone tree is reviewed for accuracy and any needed changes or updates are made routinely. 311 was redirected to the City Customer Contact Center in early 2020.
#19-01 Audit of 9-1-1 and 3-1-1 #16 Police non-emergency services should provide information and translation services for customers who do not speak English.	PD	Partly Implemented	The Police Department reports that it has offered interpretation services for non-emergency calls. However, the Department does not offer interpretation services for police reports by phone, citing resource and time constraints. The Department anticipates interpretation services will be reviewed for telephone reporting following the transition of these calls out of the Emergency Operations Center. Target Date: Jun-2021 (Delayed From: Jun-2020)
#19-01 Audit of 9-1-1 and 3-1-1 #19 If non-emergency calls are moved to the City Customer Contact Center, the Information Technology Department should continuously review and assess wait times and call volume at the City Customer Contact Center to address resource issues if needed.	IT	Implemented	ITD reports that work with Mission Critical Partners was completed and call types were identified to move from PD to the City Contact Center. During 2020, the Police Department changed their call tree to divert 3-1-1 related calls to the San Jose 311 Customer Contact Center. The SJ 311 call tree options were also changed, decreasing the number of calls sent from SJ 311 to the Police Department. In December 2020 and January 2021, over 2,000 3-1-1 related calls were diverted to ITD from PD each month. ITD reports that capacity and overflow/after-hours improvements were also made for supplemental call handling and a multi-lingual virtual agent was implemented, and average wait times have not significantly increased. Also, the City Customer Contact Center was approved for additional staffing to absorb a potential increase in calls, and IT reports that it will continue to monitor and address staffing impacts as changes in call volume become known.
#19-02 Employee Benefit Fund Administration #01 The Human Resources Department should: A. Establish policies and procedures for monitoring all transfers, revenues, and expenditures in the Benefit Funds, and B. In coordination with the Budget Office, formalize fund balance and reserve targets.	HR	Partly Implemented	In coordination with the Budget Office, Human Resources has formalized and documented fund balances and reserve targets for the Benefit Funds. Policies and procedures for monitoring the Benefit Funds are in progress. Target Date: Apr-2021 (Delayed From: Dec-2019)
#19-02 Employee Benefit Fund Administration #02 The Administration should work with the City Attorney's Office to determine allowable uses of interest earnings and excess balances in the Employee Health Fund (fund 161).	HR	Partly Implemented	Human Resources and the Finance Department have reconciled the excess fund balance ($40,000) in Fund 161 and transferred the money to Fund 160 in preparation for distribution to employees. The Budget Office submitted a mid-year budget adjustment to support the proper recording of these transactions, which was approved by City Council in February of 2021. The disbursement to employees will follow in the spring of 2021. Target Date: May-2021 (Delayed From: Jun-2020)

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#19-03 Development Noticing #01 Planning should propose updates to Council Policy 6-30 that set realistic goals for the timing of on-site notices, and require evidence of on-site posting prior to setting a hearing date.	PBCE	Not Implemented	According to the Administration, the implementation of this recommendation is dependent on staffing resources and Council prioritization. PBCE reports that due to the City's current budget situation, it will not include the update of Policy 6-30 for Council prioritization for the 2021-22 cycle. PBCE will reassess the situation for Council's 2022-23 prioritization cycle. Target Date: Dec-2023 (Delayed From: Dec-2021)
#19-03 Development Noticing #02 To ensure neighborhood associations are properly notified about new development proposals: A. The Administration should develop a list and map of neighborhood association contacts and create a mechanism for associations to add and update contact information. B. Planning should use this list and map to proactively notify neighborhood groups on proposed developments to involve interested parties early in the development review process.	CMO / PBCE	Partly Implemented	PBCE created a Neighborhood and Business Associations map in November 2020, in coordination with Council District offices and neighborhood and business associations. The Planning Division is currently establishing internal guidelines for using this information to proactively notify neighborhood groups early in the development review process. Target Date: Apr-2021 (Delayed From: Jun-2020)
#19-03 Development Noticing #03 Planning should propose updates to Council Policy 6-30 and develop and implement procedures to: A. Proactively identify projects and dominant neighborhood languages to ensure hearing notices are properly translated, B. Include guidance on when interpretation services for hearings should be provided, and C. Remove the requirement that requesting parties pay for the translation of hearing notices, and determine an appropriate funding source.	PBCE	Not Implemented	PBCE reports that the language map was implemented in January 2020 into the AMANDA integrated permitting system. According to the Department, it will not include the update of Policy 6-30 for Council prioritization for the 2021-22 cycle due to the City's current budget situation. PBCE will reassess the situation for Council's 2022-23 prioritization cycle. Target Date: Dec-2023 (Delayed From: Dec-2021)
#19-03 Development Noticing #04 To clarify expectations on noticing practices, Planning should propose changes to Council Policy 6-30 to provide additional guidance on mailing radii and permit types.	PBCE	Not Implemented	According to the Administration, the implementation of this recommendation is dependent on staffing resources and Council prioritization. PBCE reports that due to the City's current budget situation, it will not include the update of Policy 6-30 for Council prioritization for the 2021-22 cycle. PBCE will reassess the situation for Council's 2022-23 prioritization cycle. Target Date: Dec-2023 (Delayed From: Dec-2021)

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#19-03 Development Noticing #05 Planning should propose changes to Council Policy 6-30 to set goals to increase the availability of online information prior to a public hearing.	PBCE	Not Implemented	With the implementation of electronic plan review (see Recommendation #3 for 14-08), the Department reports that PBCE IT is actively working on increasing the availability of online information as part of the Development Services Partners' upgrade to SJPermits.org (estimated implementation is July 2021). Further, the Department reports that the implementation of an updated Policy 6-30 is dependent on staffing resources and Council prioritization. PBCE reports that due to the City's current budget situation, it will not include the update for Council prioritization for the 2021-22 cycle. PBCE will reassess the situation for Council's 2022-23 prioritization cycle. Target Date: Dec-2023 (Delayed From: Dec-2021)
#19-03 Development Noticing #06 Planning should develop and implement plain language guidelines for mailed and on-site public notices.	PBCE	Implemented	The Planning Division created internal guidelines for implementing plain language for mailed and on-site public notices, which project managers have used in creating public notices.
#19-03 Development Noticing #07 Planning should create a plain language, online guide for residents in multiple languages that outlines objectives of the public hearing process and provides direction for submitting public comments (before or during a hearing).	PBCE	Partly Implemented	The Planning Division has drafted a plain language, online guide and reports that it is being reviewed by the PBCE managers and public information manager for language translation feasibility. Planning plans to issue Spanish and Vietnamese versions, which will be posted with the English version on PBCE's website. Planning also plans to include links to these documents in mailed and e-mailed community meeting and public hearing notices. Target Date: Jun-2021 (Delayed From: Jul-2020)
#19-04 The Mayor's Gang Prevention Task Force #01 To ensure services reach highest-risk youth and further strengthen the partnership, the Department of Parks, Recreation and Neighborhood Services should work with Santa Clara County Probation to: a) Set goals and criteria for expected referrals, b) Report on the results and outcomes achieved and units of service provided, and c) Amend its agreement to include all current activities performed by Youth Intervention Services.	PRNS	Partly Implemented	PRNS met with the Santa Clara County Probation Department in 2019 and 2020 to discuss and finalize changes to the existing scope of agreement between Probation and the City. The changes will include outcomes and activities, as well as identifying what data should be shared between the two agencies as well as align with aligns with the City's Privacy Principles and Probation's new data sharing standards.. The Memorandum of Understanding is currently under review by Probations and the Department reports it should be finalized by July 2021. Target Date: Jul-2021 (Delayed From: Jul-2020)
#19-04 The Mayor's Gang Prevention Task Force #02 The Department of Parks, Recreation and Neighborhood Services should work with the Santa Clara County Office of Re-entry Services to establish and implement roles and responsibilities for coordination, and establish a formal process for referring clients eligible for re-entry services. This could potentially involve an amendment to the current agreement with Santa Clara County Probation.	PRNS	Not Implemented	As a part of the Task Force's continuum of care strategy, PRNS has met with the Santa Clara County Office of Re-entry Services to discuss the coordination between the two agencies specifically for clientele referrals. As SCC Re-entry Services' clientele are primarily adults and the Task Force's Youth Intervention Services (YIS) programs serve youth up to age 24, there may be alignment on age referrals between the two agencies. Target Date: Jul-2021 (Delayed From: Jul-2020)

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#19-04 The Mayor's Gang Prevention Task Force #03 In addition to its goal of reducing youth gang violence, the Administration should determine the role of the Task Force (BEST and Youth Intervention Services) in the context of overall juvenile crimes and youth violence prevention.	PRNS	Not Implemented	In February 2019, SJPD reported an increase in overall juvenile crimes. As of February 2021, the City is in the process of hiring a Chief of Police. To address the overall increase, PRNS plans to schedule meetings with the Chief of Police and San José Police Department representatives, after the hiring process is completed, to discuss and define the Task Force's role in overall juvenile crimes and youth violence prevention. Target Date: Jul-2021
#19-04 The Mayor's Gang Prevention Task Force #04 The Department of Parks, Recreation and Neighborhood Services should ensure participant needs are consistently assessed by developing processes to: a) Assess youth participants through the adoption of a standardized assessment tool to be used for all Task Force programming, b) Create corresponding service plans based on those risk levels, and c) Track and report enrollment by risk level including pre and post results for all Task Force services.	PRNS	Partly Implemented	PRNS has hired a consultant to develop a screening tool for the Task Force; however, the Department anticipates that a single assessment tool will not be appropriate for all Task Force programming due to the wide range of types of programs provided to youth. The consultant submitted their recommendation on the selection or creation of an assessment tool(s) in January 2021 and PRNS is currently reviewing. Target Date: Jul-2021
#19-04 The Mayor's Gang Prevention Task Force #06 The Department of Parks, Recreation, and Neighborhood Services should identify where Youth Intervention Services and BEST grantee services overlap and develop a mechanism to increase the number of referrals between BEST grantees and Youth Intervention Service participants based on need and services provided.	PRNS	Implemented	As a part of their Strategic Workplan goal to "enhance linkages to leverage youth violence initiatives", Youth Intervention Services (YIS) and BEST grantees have shared information on what services are available between the two programs. To track referrals, YIS has now included BEST agencies as an option for a referral source in their database system and BEST has also listed Task Force/YIS as an option for a referral source. YIS staff previously attended the BEST Workshop to present their seven service programs to BEST grantees, including what services are available and how to make a referral. Similarly, BEST staff has shared the BEST service matrix with YIS interventionist staff, so they are aware of the BEST programs available and what services they provide. With eighteen schools receiving both YIS and BEST services, this will ensure participants will receive services from BEST or YIS based on need.
#19-04 The Mayor's Gang Prevention Task Force #07 To improve oversight and accountability of the Safe School Campus Initiative program, the Department of Parks, a) Set expectations for follow-up, referrals, and after-care activities, and review if goals were met, b) Conduct a supervisory review of post-activation responses, and c) Develop a review process to assess sufficiency of staff incident reporting.	PRNS	Implemented	PRNS has developed and implemented new procedures for Safe School Campus Initiative incident reports of activations that now include actions taken to resolve the incident, follow-up, and after-care activities. The new procedures also include weekly supervisory review by the Community Coordinator to ensure reports are filled out properly as well as expectation and goals for follow-up, referrals, and after-care activities.

Report and Recommendations	Dept (s)	Current Status	Comments
#19-04 The Mayor's Gang Prevention Task Force **#08** The Department of Parks, Recreation and Neighborhood Services should work with the City Attorney's Office to update the current Memoranda of Agreement with school districts to include: a) All services provided by City staff on school campuses, b) Roles and responsibilities for City staff and school administrators, including criteria for Safe School Campus Initiative activations, and c) Key documents that would be required to enroll participants, including parental consent forms.	PRNS	Partly Implemented	The Task Force services 17 school districts. PRNS has updated and executed six agreements that includes all services provided by City staff, roles and responsibilities, as well as key documents. The remaining agreements have been sent to the school districts for final review. Target Date: Jul-2021 (Delayed From: Jul-2020)
#19-04 The Mayor's Gang Prevention Task Force **#10** To more clearly define expectations for Youth Interventionist case management services, the Department of Parks, Recreation and Neighborhood Services should: a) Define what constitutes a case management session such as one-on-one sessions, support groups, or similar activities, b) Develop targets for expected number of case management sessions, and c) Develop procedures to track the required number of sessions received by participants and monitor the results of individual service plans.	PRNS	Partly Implemented	PRNS is in the process of developing a written manual for case management in the SSCI program, including definitions for case-management activities such as one-on-one sessions, support groups, and other activities. The Department reported they have already made changes to its client management database to identify and track key components of case management and intervention activities. PRNS is working on developing targets for the number and types of case-management activities that should be provided for each client, and methods to track and monitor the results of individual service plans for clients. Target Date: Jul-2021
#19-04 The Mayor's Gang Prevention Task Force **#14** The Department of Parks, Recreation and Neighborhood Services should: a) Reassess reported program outcomes and units of service for all Task Force programs, and b) Re-define and annually report key program outcome measures.	PRNS	Partly Implemented	PRNS issued the 2019-2020 MGPTF annual report at the March 2021 Neighborhood Services and Education Committee meeting which included a comprehensive reporting of the program including Youth Intervention Services and BEST. This included their activities, units of service and program outcomes of BEST participants. For part b) of the recommendation, PRNS staff has begun an evaluation readiness review of the seven YIS programs. Included in the evaluation readiness, staff will define/refine the theory of change for each of the seven YIS programs. This information will inform the appropriate outcome measures and unit of service targets. An evaluation plan will be created after the evaluation readiness review, which is contracted to be completed in April 2022. Target Date: Apr-2022 (Delayed From: Jul-2021)

Report and Recommendations	Dept (s)	Current Status	Comments
#19-04 The Mayor's Gang Prevention Task Force #15 To evaluate the satisfaction of services provided to youth participants and their families, the Department of Parks, Recreation and Neighborhood Services should establish a formal mechanism for youth to provide feedback through the annual administration of participant surveys. The results of the surveys should be included in the annual report to Council on Task Force activities.	PRNS	Partly Implemented	The BEST program implemented a youth survey for the 2019-20 program year and reported results of the survey in the annual report at the March 2021 Neighborhood Services and Education Committee meeting. PRNS is also working to develop and conduct surveys for youth clients in the Youth Intervention Services program as the program currently only conducts surveys of school representatives, not the participants. Target Date: Jul-2021 (Delayed From: Jul-2020)
#19-04 The Mayor's Gang Prevention Task Force #16 The Department of Parks, Recreation and Neighborhood Services should monitor and report key performance measures in its annual report to the City Council and Task Force committees, including total expenditures and activities for the entirety of Task Force programs.	PRNS	Implemented	PRNS issued the 2019-2020 MGPTF annual report at the March 2021 Neighborhood Services and Education Committee meeting, which included a comprehensive reporting of the program. The report included key performance measures, expenditures and funding sources, and activities of both Youth Intervention Services and the BEST program. In addition, the program conducted BEST participant satisfaction surveys and reported on psychosocial outcomes.
#19-04 The Mayor's Gang Prevention Task Force #17 The Department of Parks, Recreation and Neighborhood Services should develop formal guidelines on Task Force reserve fund expenditures including, potential uses, approval process and tracking of expenditures.	PRNS	Implemented	The Department has developed guidelines on the BEST Reserve fund which outlines the approval process, roles and responsibilities, and expectations. As a part of the process, a "Request for BEST Reserve Funds" has been created to ensure all information pertaining to the usage and need of funds are documented.
#19-05 Employee Reimbursements #02 The Finance Department should notify timekeepers and time-approving supervisors of their responsibilities and provide instructions on the mileage reimbursement verification process.	FIN	Not Implemented	The Finance Department, in coordination with the Office of Employee Relations, is planning to revise the Mileage Reimbursement Policy to incorporate new processes and procedures after the implementation of new business process automation and/or travel expense reimbursement software (see recommendation 1312-11). Target Date: Jun-2021 (Delayed From: Dec-2020)
#19-05 Employee Reimbursements #04 The Finance Department should work with the Office of Employee Relations and the Information Technology Department to simplify the employee reimbursement process by: a) Reviewing the approval process for small dollar reimbursements (e.g., parking, tolls, and local transportation), potentially requiring a dollar threshold. b) Including commonly requested expense reimbursements and timeliness requirements, either in the upcoming electronic travel and expense management system or another electronic solution. This may require updating the associated City policies to reflect the revised processes.	FIN / OER	Not Implemented	The Finance Department, in coordination with the Office of Employee Relations and Information Technology Department, is working to simplify employee reimbursements by reviewing the approval process for small dollar reimbursements, and potentially requiring a streamlined process based on a low-dollar threshold. The Finance Department also plans to review the timeliness requirement and review applicable policies to identify ways to streamline the process. Finance anticipates the implementation of an electronic travel reimbursement system will streamline the submission and approval process (see recommendation 1312-11). This may require some revisions to the Employee Reimbursement Policy once the software is deployed. Target Date: Dec-2022 (Delayed From: Jun-2020)

Report and Recommendations	Dept (s)	Current Status	Comments
#19-06 Form 700s #01 To help streamline the City's process of identifying Form 700 filers, the City Clerk's Office should reestablish regular department liaison meetings and: a) Update and document expectations for department liaisons regarding entering employee assuming and leaving office information into the e-filing system; and/or b) Work with the Human Resources and Information Technology Departments and the e-filing system vendor to automate the process for updating employee information.	CLERK / HR / IT	Partly Implemented	The City Clerk reports that a Form 700 liaison training was held in January 2020, but not yet in 2021. The plan is for regular trainings to occur once operations stabilize from COVID-19 impacts. Work has not begun with Human Resources, IT, and the vendor to automate the process. Target Date: Dec-2021 (Delayed From: Jun-2020)
#19-06 Form 700s #02 The City Clerk's Office should establish standard procedures surrounding the assessment of late fines and referral of non-filers to the Fair Political Practices Commission (FPPC). The procedures should include using its e-filing system to track follow up activities, such as assessing late fines and sending non-filing notices.	CLERK	Partly Implemented	The Office of the City Clerk reports it has been using the e-filing system to send late notices and track correspondence with non-filers; however, the procedures have not yet been documented. Target Date: Jun-2021 (Delayed From: Jun-2020)
#19-06 Form 700s #03 To ensure consistency with annual filing requirements, the City Clerk's Office should: a) Regularly compare the numbers of annual Form 700 filers and Family Gift Report filers and reconcile any differences. b) Document expectations for department liaisons that annual filers be notified of requirements to file a Family Gift Report.	CLERK	Partly Implemented	The Office of the City Clerk reconciled the roster of Form 700 and Family Gift Report filers, and reported working with the Form 700s database vendor to correct inconsistencies. The City Clerk reports that due to increased workload because of COVID-19 impacts and two additional commissions to staff, the procedures on department liaison responsibilities have not yet been finalized, which is the final piece of the recommendation. Target Date: Jun-2021 (Delayed From: Jun-2020)

Report and Recommendations	Dept (s)	Current Status	Comments
#19-06 Form 700s #04 The Administration, as it develops Citywide guidelines on contract management, should clarify responsibilities for consultant Form 700 filing compliance, including: a) Coordinating with the City Clerk's Office to ensure all consultant are appropriately identified in the e-filing system, b) Verifying that consultants meet all filing requirements and following up with non-filers, and c) Collecting alternative/personal email addresses to facilitate follow-up for consultant leaving office filings.	CMO / CLERK	Partly Implemented	The City Manager's Office (CMO) had executed a service order with a consultant to review the current process for consultant procurements across various City departments and develop recommendations on process improvements, including monitoring of consulting contracts and Form 700 filers. The CMO reports that this information will be used to establish a City policy for procuring consultant services and develop training materials. The consultant's next step would have been to conduct multiple meetings with departmental representatives. However, this work has been put on hold due to the COVID-19 pandemic. Meanwhile, the City Manager's Office (CMO) has worked with the cross-departmental Business Process Automation Team to create an electronic signature platform for contracts. This platform has a mandatory built-in requirement for Form 700 filers. Through the system, contract analysts are now required to have their department Form 700 Liaison enter the consultant's information into the City's reporting system, and the entry verified by the Office of the City Clerk before a contract is finalized. The CMO will continue internal discussions to address other areas of the recommendation. Target Date: Dec-2021 (Delayed From: Jun-2020)
#19-06 Form 700s #05 The City Attorney's Office should modify relevant sections of the standard consulting agreement templates to include a business email address for each consultant filer listed.	CAO	Not Implemented	The City Attorney's Office plans to modify the standard consulting agreement to include a business email address for each consultant filer listed. However, the Office reports that priorities have shifted to address COVID-related contracting responsibilities. Additionally, COVID-related issues that staff must respond to have created an increased workload. Target Date: Jun-2022 (Delayed From: Dec-2020)
#19-06 Form 700s #07 The City Clerk's Office should develop procedures for the review of Form 700s, in accordance with the Political Reform Act and FPPC regulations, and the use of the e-filing system to facilitate amendment requests.	CLERK	Partly Implemented	The Office of the City Clerk reports that they have developed draft procedures, but they have not been finalized. Target Date: Jun-2021 (Delayed From: Jun-2020)
#19-06 Form 700s #08 The City Clerk's Office should generate reports from the e-filing system identifying employees with reportable interests, and provide to department liaisons and department heads for appropriate review.	CLERK	Partly Implemented	The Office of the City Clerk reports that they have worked with the e-filing vendor to produce reports of filers with reportable interests, and that these reports are available to department liaisons. The Office of the City Clerk plans to distribute these reports to liaisons or department heads as recommended. Target Date: Jun-2021 (Delayed From: Jun-2020)
#19-06 Form 700s #09 The Administration, in consultation with the City Attorney's Office, should develop guidance for departments to review employee Form 700s for potential conflicts of interest.	CMO / CAO	Partly Implemented	The City Attorney's Office and the City Manager's Office have met to discuss an internal process for periodic review of Form 700s, though these have been put on hold as a result of the COVID-19 pandemic response. The City Manager's Office (CMO) reports that these meetings will resume to discuss next steps for the implementation of new guidance once staff has returned to City Hall. Target Date: Dec-2021 (Delayed From: Jun-2020)

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#19-07 Procurement Cards #01 The Finance Department should: a) Periodically (at least monthly) review list of separated employees and ensure that p-cards of employees on that list are immediately deactivated, and b) Reassess and clarify policy expectations to deactivate p-cards when employees are on leaves.	FIN	Partly Implemented	The Finance Department has started to perform monthly reviews of separated employee lists to ensure that p-cards assigned to former City employees are deactivated. The Department plans to clarify policy expectations as part of the revised p-card policy and new administrative guide it expects to publish by June 2021. Target Date: Jun-2021 (Delayed From: Jun-2020)
#19-07 Procurement Cards #02 The Finance Department should: a) Develop a process to annually share recertification data with p-card coordinators so departments can easily cross-check and verify compliance with the recertification quiz, b) Require p-card holders that have not completed the recertification to immediately do so, and c) Suspend p-cards for employees that do not comply with the recertification requirements within an agreed-upon timeframe.	FIN	Partly Implemented	The Finance Department has started to share recertification data with departments to help them monitor compliance with recertification requirements. The department plans to address items b) and c) of this recommendation as part of the p-card policy update or p-card administrative guide. The revised p-card policy and administrative guide are expected to be published by June 2021. Target Date: Jun-2021 (Delayed From: Jun-2020)
#19-07 Procurement Cards #03 To help employees comply with applicable purchase requirements, Finance should: a) Aggregate all policies and guidelines applicable to p-card purchases, including furniture purchases, in an easy and user friendly resource available on the City's intranet site; and b) Work with Public Works to clarify restrictions on vehicle related p-card expenses and that any questions regarding such purchases be directed to Public Works' Fleet Division, and include such guidance in the p-card administrative guide.	FIN / PW	Not Implemented	Finance plans on aggregating all p-card related policies and guidelines, including those related to furniture purchases, and making them available on Purchasing's intranet site. The Department is also working with Public Works' Fleet Division to clarify restrictions on vehicle related p-card purchases and the correct procurement methods for vehicle related purchases. This clarification will be included as part of the aggregation of p-card related policies and guidelines. Target Date: Jun-2021 (Delayed From: Jun-2020)
#19-07 Procurement Cards #04 The Finance Department should work with the Information Technology Department to clarify whether cloud based subscriptions are considered services and whether these types of services require Information Technology Department approval.	FIN	Not Implemented	Software is considered a service according to the definition provided by San José's Municipal Code. As such, the Finance Department will clarify in the p-card policy that cloud-based subscriptions require approval by the Information Technology Department. Target Date: Jun-2021 (Delayed From: Jun-2020)

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#19-07 Procurement Cards #05 We recommend Finance work with Office Depot to review past pricing and purchasing data to determine and ensure the City received: a) Discounts on non-contracted items; b) Appropriate rebates, including those based on the sales ("piggybacked" cities; and c) Appropriate pricing under the terms of the agreement.	FIN	Partly Implemented	Finance has reviewed with Office Depot past City pricing and purchasing data for contracted items and has reached a settlement of $63,000 with Office Depot to account for missed discounts and unpaid rebates on these items. Due to staffing challenge at both the department and Office Depot, as well challenges arising from the COVID-19 pandemic, the Department has not been able to review pricing and purchasing data for non-contracted items or confirm rebates for "piggybacked" cities. Finance plans to reengage Office Depot on these items in 2021. Target Date: Dec-2021 (Delayed From: Jun-2020) Potential Budget Savings: At the time of the audit, we estimated the City may have lost out on at least $176,00 in savings.
#19-07 Procurement Cards #06 Finance should develop procedures to ensure that current and any future purchase orders with Office Depot are subject to a review that includes: a) Reconciling sales volume data to ensure that the City is receiving all the rebates it is entitled to; b) Testing pricing data to determine whether the City is receiving accurate pricing, including applicable discounts, and that the amounts paid by the City for items are not more than what is being charged to other customers; and c) Reviewing the City's "customized product list" to ensure that it i based on actual City usage.	FIN	Implemented	The Finance Department has developed procedures for managing the City's Office Depot account. The procedures include steps to meet regularly with Office Depot to discuss and negotiate pricing for large volume purchases, reconcile sales data for rebate calculations, and test sales pricing for compliance with the City's agreement with Office Depot.
#19-07 Procurement Cards #07 The Finance Department should: a) Include in its department p-card coordinator training expectations about on-going monitoring of p-card purchases to ensure that departments are appropriately utilizing Citywide and department-specific open purchase orders when applicable; b) Work with the Information Technology Department to ensure that related purchase order information is available in all browsers, or that purchase orders specifically clarify that the related information is only available through Internet Explorer Browsers.	FIN / IT	Partly Implemented	Finance is including in its p-card training sessions the expectation that departments utilize Citywide and department-specific open purchase orders when applicable and practical. The Department will incorporate this expectation within in its revised p-card policy or administrative guide which is expected to be published by June 2021. The Department has published instructions to help City staff view complete purchase order information on all internet browsers. Target Date: Jun-2021 (Delayed From: Jun-2020)

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#19-07 Procurement Cards #08 The Finance Department should develop and implement a process to: a) Annually review and identify high usage vendors; and b) Utilize criteria for establishing business partnerships that provide competitive rates and terms with those vendors.	FIN	Implemented	Since the 2019 p-card audit, Finance has established Citywide relationships with Amazon and Home Depot -- two of the City's highest volume vendors in terms of p-card card purchases. The Department has also developed internal procedures requiring annual reviews of high usage p-card vendors and establishing criteria for future Citywide p-card partnerships.
#19-07 Procurement Cards #09 PRNS should develop procedures for p-card usage that include: a) A review of p-card usage to reevaluate the operational necessity of individual staff having a p-card and cancel p-cards if not necessary, b) Guidelines to establish the business need for purchases, including for food and beverages used for events or programs, c) Providing expectations for tracking and securing high-value items purchased with p-cards, d) Ensuring staff are using available purchase orders for food and beverage purchases, e) Developing guidelines surrounding the purchase of gift cards that set expectations on dollar limits, usage, and supporting documentation, and f) Ensuring that p-card payments are made in a timely manner.	PRNS	Partly Implemented	a: PRNS completed a review of departmental p-card usage and spending limits, and has reduced the number of p-card holders from 246 at the time of the audit to 218 as of January 2021. b: PRNS expects to develop guidelines that establish business needs for making p-card purchases, including those related to food and beverages. c: PRNS met with Finance and other departments to identify processes that PRNS can use to develop departmental thresholds for tracking high value assets whose value fall under the $5,000 Fixed Asset threshold articulated in City Policy Manual Section 5.1.7. PRNS will continue to use the Fixed Asset threshold to track its assets while it explores developing appropriate Department procedures, system and resources permitting. d: The Department has reminded field staff of the need to use existing purchase orders versus p-cards for food and beverage purchases, and plans to draft formal guidelines by December 2021. PRNS is also working with Finance to assess whether it would be more cost effective to purchase food and beverage items through other vendors. e: PRNS, in coordination with the Finance Department as well as the City Attorney's Office, developed guidelines for the purchase of gift cards as part of the department's Clean Slate referral incentive program. The guidelines establish expectation for dollar limits, usage, and supporting documentation, among other items. f: PRNS has had challenges in staffing the position responsible for ensuring timely p-card payments; the position, which is responsible for overseeing approximately 16,000 annual p-card transactions, has turned over three times within the past year. Ensuring timely payments has required staff over-time and additional part-time staff support. Recently, the Department has filled a position to help with the payments and expects the rate of on-time submissions to improve. Target Date: Dec-2021

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#19-08 Street and Utility In-Lieu Fees #01 To ensure decisions during in-lieu fee assessment are transparent, Public Works should develop guidelines for the appropriate documentation of the calculation of in-lieu fees and why a development project did (or did not) get charged an in-lieu fee.	PW	Implemented	Public Works staff developed guidelines and templates for determining, calculating, and documenting the collection of in-lieu fees, including Traffic Signal In-Lieu, Median Island In-lieu, Street Improvement In-Lieu, and Storm Collection In-Lieu.
#19-08 Street and Utility In-Lieu Fees #02 To ensure consistent assessment of utility undergrounding in-lieu fees across developments and to make the process more transparent, Public Works should: a) Develop standard procedures for when and how undergrounding in-lieu fees are assessed and provide training to staff on these procedures, and b) Create a digital tool that includes designated utility undergrounding streets and previously paid undergrounding fees.	PW	Implemented	Public Works staff developed guidelines, revised the standard calculation template, and provided training to ensure consistent processes for the collection of the undergrounding in-lieu fees. In December 2020, staff created a digital tool that includes designated utility undergrounding streets and previously paid undergrounding fees (found at https://gis.sanjoseca.gov/maps/undergroundfees/).
#19-08 Street and Utility In-Lieu Fees #03 To ensure that fee revenues are appropriately spent on intended public improvements, Public Works should: a) Work with program staff in relevant departments to identify which in-lieu fees were collected for public improvements that have been completed, and transfer fee revenues accordingly; b) Going forward, coordinate with program staff when new in-lieu fees are paid to ensure program staff are notified that new revenues are available; and c) Update the annual development in-lieu fee report to accurately describe the identified public improvement for unspent in-lieu fees.	PW	Partly Implemented	Public Works staff report that they provided departments with the annual in-lieu report and coordinated on a project-by-project basis to determine which in-lieu fees were collected for public improvements that have been completed. Public Works staff report that they compiled the necessary documentation to transfer various in-lieu fee revenues to relevant departments. As of January 2021, $5.7 million had been transferred to date, with an additional $2.0 million expected to be reconciled in the spring of 2021. This includes $1 million to be transferred to other City funds and $1 million for external developers or applicants. Public Works staff have also updated the annual development in-lieu fee report to accurately describe the identified public improvements for unspent in-lieu fees. Target Date: Apr-2021 (Delayed From: Dec-2020) Potential Budget Savings: At the time of the audit, we estimated roughly $810,000 in unspent in-lieu fee revenues for public improvements that had been completed. Further review by Public Works identified additional funds, of which $1 million remains to be transferred.

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#19-08 Street and Utility In-Lieu Fees #04 To ensure appropriate tracking and use of in-lieu fee payments, Public Works should review the fees in the Depositors Fund to determine whether any monies should be refunded or transferred to other funds.	PW	Partly Implemented	Public Works staff reviewed collections in the Depositors Fund and coordinated with various departments and programs to transfer applicable funds. As of January 2021, $3.8 million had been transferred to date, with an additional $1.2 million expected to be reconciled in the spring of 2021. There were additional funds ($1.2 million) identified for external developers and applicants; $1 million has been returned to date. Target Date: Apr-2021 (Delayed From: Jun-2020) Potential Budget Savings: At the time of the audit, we noted $129,000 of in-lieu fee revenues had been incorrectly deposited in the Depositor's Fund. Further review by Public Works identified an additional $5 million; $1.2 million remains to be transferred to other City funds.
#19-08 Street and Utility In-Lieu Fees #05 To ensure that the City's utility undergrounding fee is a fair estimate of the cost of utility undergrounding projects, Public Works should reassess the utility undergrounding in-lieu fee.	PW	Not Implemented	The undergrounding fee was adjusted to $532 per linear foot frontage in 2021 using the ENR 20-City Average Construction Cost Index. Due to the COVID-19 pandemic, two undergrounding projects were significantly delayed. The Delmas/Park Rule 20B project is expected to be completed in July 2021, which staff will then use to compare cost data to the current fee. Once the Mckee/Jose Fiqueres Rule 20B project is completed in June 2022, cost data for both projects will be used to update the fee. Target Date: Jul-2022 (Delayed From: Jun-2021)
#19-08 Street and Utility In-Lieu Fees #06 To increase transparency about the 20B undergrounding (in-lieu fee) program, Public Works should provide more realistic timeframes for anticipated full project funding or construction of 20B utility undergrounding projects in annual reports to the City Council. The reports should also more clearly describe the long-term nature of the program. If the City wants to pursue utility undergrounding more aggressively, staff should consider securing additional funding mechanisms.	PW	Implemented	The 5-Year Utility Undergrounding Workplan included more realistic timelines on the projects based on Rule 20A and 20B projected funding. The Utility Undergrounding GIS map has been completed, providing transparency to developers and the public: https://gis.sanjoseca.gov/maps/undergroundfees/.
#19-08 Street and Utility In-Lieu Fees #07 Public Works should establish a process to alert the Office of Economic Development to potential waivers under incentive programs, ensuring developments receiving waivers meet all eligibility criteria (including agreements with the City, as applicable).	PW / OED	Implemented	Public Works staff coordinated with the Office of Economic Development (OED) and documented a process to alert OED as necessary. Public Works project engineer staff will notify OED staff via email to alert OED of potential waivers under incentive programs.

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#19-10 Technology Deployments #01 To address Citywide technology deployments and project management, the Administration should update the Procurement of Information Technology Policy (CPM 5.1.9) or develop a new Technology Deployment Policy to: a. Require project charters for technology projects (potentially reviewed and approved by ITD or CMO) prior to the procurement process. b. Clearly define the essential and secondary features that address business need within this project charter. Sion	IT	Partly Implemented	IT has drafted a Technology Management and Deployment Policy, which has been presented to departments and is in final reviews with the Administration. The policy requires charters for technology projects that meet size, complexity, cost, and sensitivity thresholds with oversight by the City's Portfolio-Products-Projects Office. Before procurements can start, the policy requires IT approval on project charters. Target Date: Apr-2021 (Delayed From: Dec-2020)
#19-10 Technology Deployments #02 In the Administration's policy update for technology deployments (see Recommendation #1), require departments to identify and engage all relevant levels of product users and stakeholders in the project chartering process.	IT	Partly Implemented	IT has drafted a Technology Management and Deployment Policy, which has been presented to departments and is in final reviews with the Administration. The policy requires charters for technology projects that identify and engage all relevant levels of sponsor/executive ownership, product users, functional and technical leads, testers, and core stakeholders. The Department anticipates approval in April 2021. Target Date: Apr-2021 (Delayed From: Dec-2020)
#19-10 Technology Deployments #03 In the Administration's policy update for technology deployments (see Recommendation #1), require departments to identify the appropriate project approach (e.g., Agile or Waterfall) in the project chartering process. These approaches should be incorporated into both the procurement process and in vendor agreements.	IT	Partly Implemented	ITD has incorporated Agile and Waterfall project approaches in C3PO training materials. While not included explicitly in the new technology deployments policy, it requires the Office to provide training to project staff on City methodologies. Target Date: Apr-2021 (Delayed From: Dec-2020)

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#19-10 Technology Deployments
 	
#04   To ensure appropriate staffing with the right decision-making authority is designated to a technology project, the Administration's policy update for technology deployments (see Recommendation #1) should require:
 	
   a.   Clear governance structures for complex and interdepartmental technology projects, which include well-defined roles, responsibilities, decision-making authority, and the role of the City Manager's Office.
 	
   b.   Allocation of appropriate staffing resources based on project timelines, complexity, and approach.
	IT	**Partly Implemented - Priority**	IT has drafted a Technology Management and Deployment Policy, which has been presented to departments and is in final reviews with the Administration. The policy requires charters that include a definition of roles and responsibilities, assignments of individuals to the roles, and project executive sponsorship with a steering group. Charters also require a detailed and agreed-upon work breakdown and resourcing estimates based on the project approach, including staffing and timing, depending on the complexity of the initiative. Target Date: Apr-2021 (Delayed From: Dec-2020)

#19-10 Technology Deployments
 	
#05   The Administration's policy update for technology deployments (see Recommendation #1) should:
 	
   a.   Formalize the role of the Information Technology Department (ITD) in technology deployments in initial project planning.
 	
   b.   Identify an ITD liaison for the entirety of the project, as appropriate.
 	
   c.   Formalize the role of the Procurement Planning Board in prioritizing technology procurements.
	IT	Partly Implemented	IT has drafted a Technology Management and Deployment Policy, which has been presented to departments and is in final reviews with the Administration. The policy formalizes the role of IT in reviewing and approving charters, as well as overseeing formal project management. It requires an ITD designee to be a member of the executive steering committee and formalizes the Procurement Prioritization Board's role in prioritizing technology procurements. Target Date: Apr-2021 (Delayed From: Dec-2020)

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#19-10 Technology Deployments
 	
#06   In order to ensure that complex technology projects are adequately managed:
 	
  a.   Departments should work with the City's Portfolio-Produc Projects Office (C3PO) to evaluate internal project management capacity within the project chartering process.
 	
  b.   If internal capacity is lacking and the project needs to use a consultant project manager, departments should identify staff at the beginning of the process to monitor and assess consultant performance and tie expenditures to overall project progress.
 	
  c.   Require consultant project managers to report project progress on a regular basis to an appropriate governing body (e.g., the executive steering committee).
	IT	Partly Implemented	IT has drafted a Technology Management and Deployment Policy, which has been presented to departments and is in final reviews with the Administration. The Policy requires City departments to work with the City's Portfolio-Products-Projects Office (C3PO) to evaluate internal project management capacity within the project chartering process. If a consultant project manager is used, the Policy requires the Chief Information Officer or their designee to monitor and assess consultant performance. Consultant payment must be tied to overall project progress. In addition, the Policy requires project managers to report project progress on a regular basis to an appropriate governing body (e.g., executive steering committee). ITD aims to consider this recommendation implemented once coordination processes have been implemented, practiced, and improved for a number of months, resulting in effective project management and accurate reporting. Target Date: Jun-2021 (Delayed From: Dec-2020)

#19-10 Technology Deployments #07 To limit loss of knowledge when key project staff leave the City, the Administration should develop procedures to require project staff Citywide to document (potentially using a shared platform) key technology deployment decision points, which include: • Approval of specifications • Product customizations and their approvls • Progress against project plans • Changes to agreed-upon features • Key communications with the vendor	IT	Partly Implemented	The Citywide Technology Management and Deployment Policy, which is being reviewed, requires project charters and amendments, key communications and approvals, and status reports to be documented by the Products-Projects Manager and project staff. This documentation must be stored in the City Portfolio-Products-Projects Office designated repository, and must be accessible to all assigned City staff and vendor staff. The Department anticipates this recommendation to be implemented once Citywide training, processes, and reporting are running consistently. Target Date: Dec-2021 (Delayed From: Feb-2020)
#19-10 Technology Deployments #08 To ensure key vendor staff have adequate knowledge, skills, and expertise as turnover occurs, the Administration should work with the City Attorney's Office to include a clause in future vendor agreements for technology projects to ensure the City has input on the selection and replacement of key vendor staff.	IT	Implemented	ITD, in coordination with the City Attorney's Office and the Finance Department's Purchasing Division, updated templates in all vendor agreements to ensure the City has input on the selection and replacement of key vendor staff. This provision was included in a contract executed March 2020.

Report and Recommendations	Dept (s)	Current Status	Comments

#19-10 Technology Deployments
 	
#09 For transparency on the status of technology projects above a certain threshold of complexity, dollar value, or public impact, the Administration should develop guidelines to:
 	
   a.   Require regular and detailed reporting to the appropriate Council Committee(s).
 	
   b.   Include budget and time metrics, as well as deviations from original estimates in reporting
 	
   c.   Create a dashboard, or other online tool, to track and publicly display the progress of key technology projects, incorporating metrics that are critical to the success of the deployment.
	IT	Partly Implemented	According to ITD, project statuses began reporting to the Smart Cities and Services Improvements Committee in February 2021 as part of the Smart Cities Roadmap and IT Projects Update. The Department reports that static dashboards are created quarterly, shown to all IT leadership in the City, and archived in a shared site.
			
			More work is needed in the development of an online tool for tracking and publicly displaying the progress of key technology projects. This requirement is included as part of the C3PO's search of a unified products-projects management platform to be proposed in the City budget process. Target Date: Jun-2021 (Delayed From: Mar-2021)

#19-10 Technology Deployments **#10** The Information Technology Department should work with City departments to compile and continuously update a comprehensive inventory of technology assets/systems Citywide and establish criteria for monitoring key events in the technology's lifecycle (e.g., contract expiration, vendor end support dates).	IT	Partly Implemented	The Department reports that multiple inventory/asset tracking systems exist within the City and accuracy continues to be problematic. ITD will incorporate this recommendation into the Cybersecurity Work Plan and connect it with the 2021-2023 IT Strategic Plan currently in development. The new City Technology Management and Deployments Policy clarifies ITD's role in ensuring the City is aware of and manages its technology assets. Target Date: Dec-2021 (Delayed From: Dec-2020)

#20-02 Fleet Maintenance and Operations
 	
#01 To help identify replacements, Public Works should update its replacement criteria in the Vehicle Replacement Policy to:
 	
   a)   Incorporate life-cycle or other analyses of maintenance costs,
 	
   b) Update the age and mileage criteria as appropriate, and
 	
   c)   Align with the City's electric mobility and green fleet goals where technologically feasible.
	PW	Partly Implemented	Public Works has started drafting Vehicle Replacement guidelines, and continues to expand the City's electric fleet vehicles through its vehicle replacement process. Staff is working to incorporate life cycle cost analysis as part of the Department's vehicle replacement forecasting. Target Date: Jun-2021

Report and Recommendations	Dept (s)	Current Status	Comments

#20-02 Fleet Maintenance and Operations
 	
#02   To help manage fleet asset levels and the allocation of fleet assets, Public Works should update the City Policy Manual 1.8.1 to:
 	
   a)   Adjust or establish minimum utilization standards for all fleet assets,
 	
   b)   Require annual utilization reviews to identify underutilized assets, and
 	
   c) Include procedures on coordinating utilization reviews with City departments and the use of underutilized assets, such as transferring underutilized assets to the Citywide motor pool, disposing them, or reallocating them as appropriate.
	PW	Not Implemented	Public Works has been unable to start working on this recommendation because staff had been reassigned to assist the City in its response to the COVID-19 pandemic. From March through November of 2020, the Fleet Management Division has been working as part of the City's Emergency Operation Center (EOC) Logistics team. Target Date: Mar-2022
			
			Potential Budget Savings: At the time of the audit, we identified $160,000 in work orders generated in FY 2018-19 from fleet assets identified as potentially underutilized.

#20-02 Fleet Maintenance and Operations
 	
#03   In the context of overall budget priorities, Public Works should work with the Budget Office to develop short- and long-term staffing strategies to achieve desired performance results, that may include:
 	
   a) Further use of the rehire retirees program,
 	
   b)   Use of contractual services for additional repair types or asset classes, and/or
 	
   c) Additional overtime opportunities for current staff.
	PW/ CMO	Partly Implemented	Public Works continues to utilize the rehire retiree program to help offset staffing shortage, in particular for the procurement process. The Department continues to have discussions with the Budget Office on developing a long-term strategy for staffing levels. Target Date: Jun-2022

Report and Recommendations	Dept (s)	Current Status	Comments

#20-02 Fleet Maintenance and Operations
 	
#04 To improve Citywide preventive maintenance (PM) compliance, Public Works' Fleet Division should:
 	
  a) Work with departments to confirm point of contacts for PM notifications and complete implementation of the automated PM notifications,
 	
  b) Establish a Citywide PM compliance target, as well as internal PM compliance targets for departments/asset classes, an
 	
  c) Implement a PM compliance incentive program, that could include expansion of the fuel shut-off program for noncompliant assets that meet criteria identified by the Fleet Division, or including departmental PM compliance performance into the fleet replacement prioritization process.
	PW	Partly Implemented	Public Works has implemented automated preventative maintenance notifications and has been updating points of contacts based on customer departments feedback. Target Date: Dec-2021

#20-02 Fleet Maintenance and Operations
 	
#05 To improve communication with other City departments, Public Works' Fleet Division should develop and implement procedures for communicating:
 	
  a) Asset unavailability and expected turnaround times for when assets are taken in for service,
 	
  b) Updates for when there are delays because of staffing or the need to order parts, and
 	
  c) The work that was completed in a work order.
	PW	Partly Implemented	Public Works is providing customer departments access to its Fleet Management system, AssetWorks, allowing departments to view the work the completed on their vehicles. The Department is also working on scheduling fleet coordination meetings with customer departments. Target Date: Jun-2021

#20-02 Fleet Maintenance and Operations #06 Public Works' Fleet Division should pilot an electronic work order intake process using AssetWorks to increase efficiency and remove duplication of efforts.	PW	Partly Implemented	Public Works is working with its IT team to expand the Wi-Fi coverage at the City's Central Service Yard and Muni Garage locations to be able to pilot the work order system at these locations. If successful, the pilot will be expanded to other fleet locations. Target Date: Sep-2021

Report and Recommendations	Dept (s)	Current Status	Comments
#20-02 Fleet Maintenance and Operations #07 To enhance performance monitoring and inform resource allocation decisions, Public Works' Fleet Division should develop internal performance measures and reports to monitor availability of specific assets at the department level.	PW	Not Implemented	Public Works has been unable to start working on this recommendation because staff had been reassigned to assist the City in its response to the COVID-19 pandemic. From March through November of 2020, the Fleet Management Division has been working as part of the City's Emergency Operation Center (EOC) Logistics team. Target Date: Jan-2022
#20-02 Fleet Maintenance and Operations #08 To enhance accountability and transparency, Public Works' Fleet Division should develop and report on performance measures on work order timeliness.	PW	Not Implemented	Public Works has been unable to start working on this recommendation because staff had been reassigned to assist the City in its response to the COVID-19 pandemic. From March through November of 2020, the Fleet Management Division has been working as part of the City's Emergency Operation Center (EOC) Logistics team. Target Date: Jan-2022
#20-02 Fleet Maintenance and Operations #09 To support consistent data entry and reporting, Public Works' Fleet Division should create procedures around: a) Classification of repair reason IDs in AssetWorks, b) Data entry of work orders and contracted services work orders, an c) Pulling reports on active assets, preventive maintenance compliance, vehicle utilization, work orders, and/or others as necessary.	PW	Partly Implemented	Public Works has started to perform data cleanup to help standardize and improve data capture across all fleet locations. The Department will begin to the develop procedures once the data cleanup is complete. Target Date: Dec-2021
#20-02 Fleet Maintenance and Operations #10 To streamline the fleet replacement process, Public Works' Fleet Division should work with the Budget Office during the annual budget process by: a) Providing the Budget Office with information to approve replacements funded by the Vehicle Maintenance and Operations Fund (Fund 552), such as assets identified for replacement, new replacement assets, or other information as determined by the Budget Office, and b) Removing the secondary Vehicle and Equipment Request Form approval process for Vehicle Maintenance and Operations Fund (Fund 552) replacements so that the Fleet Division can start the ordering process as soon as the Adopted Operating Budget is approved.	PW/ CMO	Partly Implemented	Public Works was able to implement the first part of this recommendation in time for the replacement process of fiscal year 2020-21. The Department provided the Budget Office with a list that identified the vehicles eligible for replacement and that are funded by Fund 552. The list includes information about the type of replacement and estimated replacement costs. The Department has also coordinated with the Budget Office to remove the secondary Vehicle and Equipment Request Form approval process for Vehicle Maintenance and Operations Fund (Fund 552) replacements. Target Date: Jun-2021 Potential Budget Savings: At the time of the audit, we found $66,000 in work orders that could have been avoided if the redundant approval step noted in the recommendation had not been required.

Report and Recommendations	Dept (s)	Current Status	Comments
#20-02 Fleet Maintenance and Operations #11　Public Works' Fleet Division should create fleet acquisition guidelines for departments, including updated instructions for vehicle and equipment requests and deadlines. These should be posted on the Fleet Division's intranet site and include contact information for departments to have their questions answered.	PW	Partly Implemented	Public Works developed a vehicle replacement schedule for fiscal years 2019-20 and 2020-21, detailing the timelines for fleet replacements. The Department has shared this schedule with customer departments, and is planning on posting the schedule in the Fleet Management Division's SharePoint site. Target Date: Jun-2021
#20-02 Fleet Maintenance and Operations #12　Public Work's Fleet Division should develop performance targets related to the timeliness of fleet asset purchases and actual costs of acquisitions against budgeted funds. Performance against those targets should be reported in the department's Fleet Management Annual Report.	PW	Not Implemented	Public Works has been unable to start working on this recommendation because staff have been reassigned to assist the City in its response to the COVID-19 pandemic. Additionally, Citywide budget constraints have prevented many of the fleet asset purchases scheduled for fiscal years 2019-20 and 2020-21. Target Date: Jun-2022
#20-02 Fleet Maintenance and Operations #13　To better allocate the costs of the maintenance and replacement programs, Public Works' Fleet Division should: 　a)　Track staff hours for the fleet acquisition process, and 　b)　Charge City departments separate labor rates to recover the staff costs for (1) maintenance services and (2) acquisitions and build-outs of new or replacement assets.	PW	Partly Implemented	Public Works has started tracking staff hours for acquisitions, and will share this data with customer departments to help the departments budget for future acquisitions. The Department is also working with its vendor to determine whether multiple labor rates can be programmed within the Department's fleet asset management system. Target Date: Jun-2022
#20-03 Audit of Fire Development Services #01　The Fire Department should adopt a peak staffing strategy, which may include: 　a)　The use of consultants for specified projects, project-types, or engineering disciplines to allow flexibility to staff up during peak development periods, and 　b)　Inspector-only positions, with different minimum qualifications than associate engineering positions, to allow more time for plan review by engineering staff.	FIRE	Implemented	In June 2020, the Fire Department contracted with consultants for temporary staffing to assist with plan reviews and inspections. Since the contract implementation, the Department reports that 149 projects have been assigned to peak staffing resources. Projects for plan review of fire systems and planning projects have been included in this body of assigned work. Retiree-rehire Fire Prevention Inspectors are being utilized to conduct inspections that would have otherwise been conducted by associate engineering positions. Additionally, consultant staff are able to perform inspections if needed. Wait times to schedule an inspection are significantly shorter than during the time of the audit.

Report and Recommendations	Dept (s)	Current Status	Comments
#20-03 Audit of Fire Development Services #02 To prevent unnecessary delays for development, and to reduce the workload for engineering staff, the Bureau of Fire Prevention should use intermediate staff (such as a permit specialist or technician) to review initial plans for completeness prior to intake.	FIRE	Not Implemented	The recruitment to fill the Principal Permit Specialist has been completed. The Department reports that this position will provide critical oversight of the initial plan reviews for completeness prior to intake to reduce unnecessary delays for development and the workload for engineering staff. Target Date: Jun-2021
#20-03 Audit of Fire Development Services #03 To make it easier for customers to navigate the permitting process, the Bureau of Fire Prevention should update the website such that information is current and organized by discipline or customer type, and create simplified, concise resources for customers, similarly by discipline or project type.	FIRE	Not Implemented	The Department reports that staff is working on updating the website for permit requirements and applications as part of the change to SJ ePlans electronic plan review program to be initiated in Spring 2021. Target Date: Aug-2022
#20-03 Audit of Fire Development Services #04 The Bureau of Fire Prevention should pilot an option for customers to schedule combination inspections, such that staff trained in multiple disciplines (i.e., alarms, sprinklers, life safety) can inspect multiple systems at one time.	FIRE	Partly Implemented	The Department reports that cross-training of sworn and non-sworn inspection staff and retiree-rehires has enabled combination inspections in some circumstances, and staff are working to improve the process, including how inspections are scheduled. Wait times for an inspection are significantly shorter than during the time of the audit. Target Date: Jun-2021
#20-03 Audit of Fire Development Services #05 To improve accuracy and efficiency in inspections and data entry, the Fire Department should provide mobile devices to staff conducting inspections in the field.	FIRE	Partly Implemented	The Department reports that it began using mobile digital inspections in December 2020, and expects to have full implementation by June 2021. The rollout process includes training staff, verifying that inspection entries are accurate, and expanding use of mobile devices. Target Date: Jun-2021 Potential Budget Savings: Digitized inspection forms could lead to an estimate of $5,000 in savings in avoided paper costs, among other benefits.

#20-03 Audit of Fire Development Services
 	
#06   To ensure inspection time is used efficiently, the Bureau of Fire Prevention should develop policies to address unprepared customers, such as:
 	
  a)   Incentivizing customers to cancel appointments when they are not prepared by piloting a reduced cancellation fee, and
 	
  b)   Clarifying expectations for when staff should leave a site that is not ready for full inspection.
	FIRE	Partly Implemented	a) The Fire Department implemented a pre-inspection procedure where confirmation of site readiness is obtained prior to inspector arrival. The Department reports that the pre-inspection procedure is intended to confirm readiness for scheduled inspections, such as confirming on site availability of the Plan Check Directives. Customers are reminded to complete the Plan Check Directives and encouraged to reschedule an inspection if they are lacking specific requirements for successful completion. During the COVID-19 pandemic, all safety protocols must also be in place before any scheduled inspection. The Fire Department website provides this information with links to Santa Clara County Health Order.
			b) The Department plans to develop policies and inspection checklists for inspectors, ensuring valuable time is not spent at sites unprepared or unsafe for inspection. Target Date: Jun-2021

Report and Recommendations	Dept (s)	Current Status	Comments
#20-03 Audit of Fire Development Services #07 To improve customer service, the Bureau of Fire Prevention should implement a more efficient and customer friendly scheduling process, that may include: a) Developing an online scheduling system, potentially with limits on how far out inspections can be scheduled, b) Posting any limits on inspection scheduling along with expected wait times (for when new inspection slots are available) online, and c) Resolving call routing issues between the PBCE call center and Fire Development Services Division.g	FIRE	Partly Implemented	a) The Department plans to evaluate possible solutions to providing online scheduling including consideration of the system currently utilized by PBCE. b) The Department plans to identify effective methods to ensure explicit explanation of scheduling processes and expected wait times online. Additionally, the Department intends to pursue options to leverage AMANDA system capabilities to refine wait time estimates and monitor plan review progress. c) In July 2020, the Fire Department and Building Division collaborated to create a process agreement which includes a "soft" transfer whereby the PBCE call taker confers with the Fire Department staff member prior to transferring a call. Ongoing evaluation of efficiency and customer service delivery will continue. Target Date: Aug-2022
#20-03 Audit of Fire Development Services #08 To ensure staff are prepared to conduct plan reviews and inspections consistently, the Bureau of Fire Prevention Development Services Division should develop a standardized training program for new hires.	FIRE	Partly Implemented	In August 2020, Fire launched a pilot training program for the new hires in the Associate Engineer classification that provides a common foundation for conducting plan reviews and inspection . The six-month pilot will conclude at the end of January 2021. If successful, the Department plans to implement on an ongoing basis for all new hires. Target Date: Jun-2021
#20-03 Audit of Fire Development Services #09 To support training for new staff and consistency among City staff and contract staff, the Bureau of Fire Prevention should create procedures, templates, or checklists that guide staff through common processes for plan review and inspections and, as applicable, clarify Bureau interpretation of code requirements.	FIRE	Not Implemented	In addition to providing a pilot training program for new hires in the Associate Engineer classification, the Department reports that staff is also developing checklists, templates, and procedures for plan review and inspections to improve consistency among City staff (including new hires) and contract staff. Target Date: Jun-2021
#20-03 Audit of Fire Development Services #10 To ensure consistent plan review and inspections, the Bureau of Fire Prevention Development Services Division should implement a system of quality assurance that includes: a) Periodic review of plan comments to verify complete and consistent plan review, and b) Periodic review of inspection records to verify consistent interpretation of requirements.	FIRE	Not Implemented	The Department reports that staff is developing plan review and inspection checklists and routine assessments for streamlining consistency and quality control processes. Target Date: Dec-2021

Report and Recommendations	Dept (s)	Current Status	Comments
#20-03 Audit of Fire Development Services #11 To ensure accurate reporting for project and performance management, the Bureau of Fire Prevention Development Services Division should create and implement guidelines for consistent data entry among staff.	FIRE	Not Implemented	The Department reports that staff is developing training and procedures for consistent data entry. Target Date: Jun-2021

#20-03 Audit of Fire Development Services
 	
#12 The Fire Department should work with the Information Technology Department to:
 	
  a) Create reports or a dashboard tool utilizing AMANDA attempt data to show the number of plans pending review, under review, awaiting resubmittal, and staff assignments, and
  b) Implement a mechanism to identify unscheduled inspections within AMANDA to better track and manage inspections scheduling.
	FIRE / IT	Not Implemented	The Department plans to pursue opportunities to leverage AMANDA capabilities and other platforms to provide at-a-glance status views of key business metrics, monitor project progress, and flag inspection needs. The Department plans to coordinate with Development Partners and the Information Technology Department for execution and support . Target Date: Jun-2022

#20-03 Audit of Fire Development Services #13 The Fire Department should revise its calculation of the fire inspection cycle time measure to reflect the time from when an inspection was requested until when the inspection occurred, and revise its target, as appropriate.	FIRE	Not Implemented	The Department reports that to measure cycle time from the point of inspection request will require data capture at the PBCE call center and AMANDA scheduling module configuration. The Department plans to coordinate with PBCE and the Information Technology Department as needed for execution and support. Target Date: Jul-2022
#20-03 Audit of Fire Development Services #14 The Fire Department should review the methodology of its calculations of the number of plan reviews and the percent of time that plan check processing time targets are met, and should reset targets, as appropriate.	FIRE	Not Implemented	The Department reports that staff has made several changes to Fire permits in AMANDA and is in the process of developing SJ ePlans for electronic plan review. This platform will change how Fire conducts the plan review process for Fire System Permits and may provide additional clarity to the interaction between applicant and plan reviewers. Target Date: Jul-2022

Report and Recommendations	Dept (s)	Current Status	Comments
#20-04 Park Maintenance #01 To ensure the Park Condition Assessment is complete, accurate, and useful for monitoring changes in parks, PRNS should: a) Develop a standardized list of parks and park features for measuring and analyzing park condition, b) Regularly update this list as new parks and features are added or are closed, and c) Use this standardized list for the annual Park Condition Assessment on an ongoing basis.	PRNS	Not Implemented	The Department currently maintains a list of all parks that is updated as the City adds new parks. This list is the basis for the Park Condition Assessment process; however, the Department does not currently have a complete list of all park features for each park. According to the Department, it has been adding park features, such as playgrounds, into its geographic information system (GIS) each year. The GIS database will become the master list of parks and park features that will be regularly updated and used for the Park Condition Assessment process. Target Date: Jul-2022
#20-04 Park Maintenance #02 PRNS should develop policies surrounding use of Park Condition Assessment scores to strategically address low-scoring parks and features, and utilize allocated funding to make improvements in a timely manner.	PRNS	Partly Implemented	The Department is meeting monthly as a management team to address all parks receiving a 2020 Park Condition Assessment score below 3.0. According to the Department, the work plan will set top priorities, identify funding sources, and schedule corrective repairs. Work plan progress will be shared across operations and capital project teams to monitor project status. After the Department completes park maintenance standards, it will document this annual work plan development process as a step that must be taken for all low-scoring parks. Target Date: Jun-2021
#20-04 Park Maintenance #03 To make full use of the Park Condition Assessment scores, PRNS should revise its Park Condition Assessment methodology to tie scoring to established maintenance standards and determine how to categorize park features to more easily identify the type of follow-up needed.	PRNS	Not Implemented	The Department will finalize park maintenance standards during FY 2020-21. Upon completion, the Park Condition Assessment methodology will be restructured to evaluate whether the maintenance standards are being met. According to the Department, each park feature will be measured in multiple ways to allow staff to more easily categorize and expedite improvements in each area. Target Date: Jul-2021
#20-04 Park Maintenance #04 To ensure appropriate allocation of capital resources for park improvements in Council Districts and help prioritize capital budgeting, PRNS should: a) Develop separate maintenance and capital/infrastructure Park Condition Assessment scores, and b) Use the capital/infrastructure Park Condition Assessment scores in the Construction and Conveyance Tax Fund allocation formula.	PRNS	Not Implemented	The Department intends to create a 2-phase pilot for the new Park Condition Assessment process. The first phase will assess whether park maintenance is meeting established standards for each feature, and the second phase will focus only on assessing the condition of capital infrastructure. This will allow the Department to strategically plan for improvements and upgrades utilizing various funding sources. The first phase of the pilot was tested in Fall 2020, and the Department plans to continue improving upon the process and eventually bring it to scale. According to the Department, the plan is to use the new Park Condition Assessment process to inform the Construction and Conveyance Tax Fund allocations starting in the 2022-23 capital budget development process. Target Date: Aug-2022

Report and Recommendations	Dept (s)	Current Status	Comments
#20-04 Park Maintenance #05 To ensure that data collection efforts adequately meet its needs, PRNS should: a) Refocus data collection priorities, determine short-term and long-term data collection and data analytics goals, and set clear objectives on achieving those goals, b) Reassess the use of Infor EAM to determine if it meets those needs, and c) Develop an ongoing training program for staff to ensure that data entry is consistent and accurate and meets its business goals.	PRNS	Not Implemented	The Department plans to finalize park maintenance standards by June 2021. Once standards are established, the Department intends to evaluate what data are necessary for maintaining maintenance standards. It will also assess whether Infor EAM is the best tool, and explore other software options that allow for capital infrastructure lifecycle management. The Department intends to design a comprehensive training program for its data collection software including an annual recertification program to ensure correct staff use. Target Date: Jan-2022
#20-04 Park Maintenance #06 To manage performance and analyze workload, PRNS should develop completion goals for corrective work orders and track performance against those goals.	PRNS	Partly Implemented	While the Department currently communicates division-wide performance on time standards for Parks Concerns, it did not have an established target for accountability and continual improvement purposes. The Department has now established a 75 percent completion goal for all corrective work orders that are not health and safety related, and is retaining a 100 percent completion goal for health and safety work orders. According to the Department, these goals will be included in the park maintenance standards, and monthly status reports on progress toward the goal will be sent to relevant staff. Target Date: Aug-2021
#20-04 Park Maintenance #07 To ensure that staffing is appropriately and equitably distributed across Park Districts, PRNS should review and realign current staffing based on workload, such as type of park, acreage, park conditions, and other factors as appropriate.	PRNS	Not Implemented	Prior to the audit, the Parks Division was divided into eight Park Districts, with workload varying widely across the districts. During the audit, the Department began reorganizing the Parks Division, redrawing park district boundaries, and creating a new unit focused on "Destinations, Events and Sports," including core maintenance teams for those facilities. Once maintenance standards are created, the Parks Division will realign staffing based on what is needed to best achieve those standards in all parks, factoring in the type of park, acreage, usage, park conditions, and other relevant elements. This process will also include an examination of the role that specialized needs-based teams, such as the Pest Management, Turf Renovation, and Parks Rehabilitation Strike Team, can play in assisting heavily impacted districts in meeting targets. According to the Department, staff are discussing the establishment of other needs-based special units, such as a Trails Team or a team that focuses on parks in the core of the City that are often impacted; however, these new teams would require a budget action to be created without drawing away resources from existing services. Target Date: Dec-2021

Report and Recommendations	Dept (s)	Current Status	Comments
#20-04 Park Maintenance #08 PRNS should work with the City Attorney's Office to formalize an agreement with the Santa Clara County Sheriff's Office governing the Weekend Work Program, Public Service Program, and other similar donated labor arrangements.	PRNS	Not Implemented	The Department (Parks Division) currently receives donated labor for park maintenance. To clearly delineate responsibilities, the Department plans to work with the City Attorney's Office and Santa Clara County Sheriff's Office to develop a formalized agreement. Target Date: Dec-2021
#20-04 Park Maintenance #09 PRNS should develop a formal process to track and reconcile its larger equipment and vehicles and improve internal coordination of vehicle purchases and asset management.	PRNS	Partly Implemented	The Department has a decentralized process for tracking assets. To address asset management challenges, the Department has established a monthly fleet committee, including Parks Managers and representatives from other programs within the Department, to track its vehicle inventory and discuss current issues within fleet, including vehicle purchases and asset management. According to the Department, it plans to develop a multi-year Department-wide vehicle replacement plan, in coordination with the Public Works Department. Target Date: Dec-2021
#20-04 Park Maintenance #10 In order to optimize staff time dedicated to maintenance-related activities, PRNS should: a) Consider making more storage units within existing Park Districts available to staff b)Review timing, duration, and frequency of team meetings	PRNS	Not Implemented	Currently, traffic patterns and lack of onsite storage units are contributing to high travel times between park sites. To avoid peak traffic, and reduce travel time and wear and tear on park assets, the Department plans to: pilot the use of storage units at select park locations and/or use of mobile equipment trailers; evaluate the timing, duration and frequency of team meetings; and develop a standardized agenda for team meetings to ensure all park districts cover necessary items in a timely manner. Target Date: May-2021
#20-04 Park Maintenance #11 To reduce travel time, PRNS should reassess routes with consideration for traffic peak times, park locations, and staffing.	PRNS	Not Implemented	While some travel time is unavoidable, the current park maintenance routes may not be optimized for efficient use of staff time. As such, the Department is testing free web-based mapping applications on its routes. The Department intends to explore a fee-based program that can analyze all Parks Division facilities and optimize routes and travel times, which may help redraw park district boundaries for optimal efficiency. These approaches should help the Department reduce travel time and mileage to yield additional direct service hours for maintaining the park system. Target Date: Dec-2021

Report and Recommendations	Dept (s)	Current Status	Comments
#20-04 Park Maintenance #12 To refocus staff time toward activities directly related to park maintenance, PRNS should review and set realistic goals around time spent performing administrative tasks, such as staff meetings, work order data entry, and travel.	PRNS	Not Implemented	Currently, different job classifications within the Parks Division have different targets for direct service and administrative time, with maintenance staff spending significant amounts of time on non-maintenance activities. To ensure maintenance staff are maximizing direct service hours, the Department intends to reevaluate each classification in the Parks Division maintenance series based on class specifications and job duties as well as required training and supervision time. Target Date: Jun-2021 Potential Budget Savings: At the time of the audit, we found administrative work accounted for roughly 40% of total staff time. If that was reduced to 25%, we estimated it would translate into roughly $600,000 of additional staff time available for maintenance activities.
#20-04 Park Maintenance #13 PRNS should assess language access needs for parks in areas with higher concentrations of limited English households and provide information and resources in multiple languages in those areas.	PRNS	Not Implemented	The City has over 200 parks across diverse communities, but park signs are currently only available in English. To ensure neighborhoods with high numbers of non-English-speaking populations have equal access to City resources, the Department plans to develop a working group as part of its 2020-21 work plan to revisit standardized park signage and other communication, such as the Park Concerns hotline. This group will assess replacing current signage with signage in multiple languages or signage which utilizes iconography, prioritizing replacements at parks located in non-English-speaking communities. The Department intends to work with the City Attorney's Office to determine feasibility, including funding requirements for the project. Target Date: Jun-2022
#20-05 Development Partners' Work-in-Progress Reserves #01 To better assess workload and resources, Planning, Building and Code Enforcement's Planning Division should develop and implement procedures to track the work in progress on current development projects, based on staff hours worked, milestones, or some other metric.	PBCE	Not Implemented	In November 2020, the Planning Division refreshed it's tracking and reporting on time entered into AMANDA. This improved data entry will provide more accurate information for work in progress calculation. The team is currently working on a framework for using AMANDA milestones (called Process Attempt Results) to estimate the current work in progress. Following the agreement on the correct framework, the team will draft the report requirements to complete the creation of the report by the target of September 30, 2021. Target Date: Sep-2021
#20-05 Development Partners' Work-in-Progress Reserves #02 To better assess workload and resources, Public Works Development Services Division should develop and implement procedures to track the work in progress on current development projects, based on staff hours worked, milestones, or some other metric.	PW	Not Implemented	In January 2021, Public Works developed a procedure and implemented time tracking in AMANDA for engineering staff. Public Works is currently working on a similar procedure and the implementation of time tracking for inspection staff. The data will provide additional details and information to evaluate the work in progress. Public Works will utilize the data to better assess workload and resources. Target Date: Dec-2021 (Delayed From: Jun-2021)

Report and Recommendations	Dept (s)	Current Status	Comments
#20-05 Development Partners' Work-in-Progress Reserves #03 To better assess workload and resources, the Fire Department's Fire Code Compliance Division should develop and implement procedures to track the work in progress on current development projects, based on staff hours worked, milestones, or some other metric.	FIRE	Not Implemented	The Fire Department improved AMANDA database entry parameters for certain Fire only permits to provide more consistent data entry and initiated process changes to provide more accurate information for work in progress calculation. The Department will continue to coordinate with Development Partners for consistency in procedures and plans to summarize progress. Target Date: Sep-2021
#20-05 Development Partners' Work-in-Progress Reserves #04 To ensure that the Development Partners have adequate funding to support their development work, Public Works, the Fire Department, and Planning, Building and Code Enforcement should work with the Budget Office and the City Attorney's Office to develop reserve policies or guidelines around the appropriate uses of funds, including work-in-progress reserves.	CMO / PW / PBCE / FIRE / CAO	Partly Implemented	As part of the 2020-2021 Adopted Operating Budget, the City Manager's Budget Office worked with the City Attorney's Office and the Development Services Partners to create individual budgeted funds for each of the development fee programs. As part of that process, the San Jose Municipal Code was amended to establish the new funds and included in the amendments is a description, source, and use of the funds (https://library.municode.com/ca/san_jose/codes/code_of_ordinances?nodeId=TIT4 REFIBUTA_CH4.80FU; Chapter 4.80, Part 72 – 77). This recommendation is partially implemented because the administration has not implemented a new process to account for the work-in-progress reserves. The City Manager's Budget Office, Finance Department, City Attorney's Office, and the Development Services Partners will meet to discuss and develop a process. Therefore, full implementation of this recommendation is estimated to be completed by December 31, 2021. At the time of the audit, Building had more than $7 million in excess funds in reserve, whereas the other development partners had shortfalls. Target Date: Dec-2021 (Delayed From: Sep-2021)
#20-05 Development Partners' Work-in-Progress Reserves #05 To properly account for development fee revenues, the Finance Department should work with the City's external financial auditor to determine the proper accounting treatment of development fee revenues that have been collected for projects still in progress.	FIN	Not Implemented	Progress has been made on the accounting treatment for work-in-progress Development Fees, but completion of this recommendation is dependent on the completion of recommendations one, two, and three. Following the development of the work-in-progress reports for Planning, Public Works, and Fire the Finance Department will be able to make progress on implementing the new treatment. Target Date: Dec-2021