



Office of the City Auditor

**Report to the City Council
City of San José**

**STATUS OF OPEN AUDIT
RECOMMENDATIONS AS OF
DECEMBER 31, 2021**

March 2022

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March 18, 2022

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, 2021

RECOMMENDATION

We recommend the City Council accept the Status of Open Audit Recommendations as of December 31, 2021.

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. City staff implemented or closed 43 recommendations since the last update.

Over the past 10 years, the Administration has implemented 74 percent of all recommendations made by the Auditor's Office (target: 80 percent). 218 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 261 audit recommendations from our review as of December 31, 2021 (Appendix B).

261 recommendations in this report
34 were issued in new reports
43 implemented/closed since last update
218 partly or not implemented
\$12.3 million potential budget savings or efficiency gains
74% of audit recommendations made over the last 10 years have been implemented or closed

Twelve Priority Recommendations

Per direction of the City Council, the Administration, in coordination with the City Auditor's Office, identified 12 open audit recommendations to prioritize, while continuing to make progress on implementing or closing out other open audit recommendations.¹ 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*)

The number of sworn employees with comp time balances over 240 hours has increased from 410 at the time of our audit to 721 as of February 2022; the liability for compensatory time has increased from \$13 million to \$23.5 million. In May 2021, the Department issued a memo reminding staff of the requirement to bring their comp time balances back to the 240-hour maximum level in accordance with the Memorandum of Agreement with the Police Officers Association. The Department reports that about 300 staff members with balances in excess of 240 hours have submitted required plans to bring down balances. Recommendation #1608-10 target date: July 2022 (delayed from March 2018).

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

The Fiscal Year (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, the Parks, Recreation and Neighborhood Services Department (PRNS) plans to bid all three municipal golf courses in a Request for Proposal (RFP) in 2022. Recommendation #1508-01 target date: December 2022 (delayed from December 2018).

- Improve overtime controls in the Police Department (*Audit of Police Staffing, Expenditures, and Workload, 2021*)

The Police Department issued a memo outlining new overtime controls and new requirements that include Captains and Division Managers reporting out on the use of overtime in their division on a quarterly basis. The Department states that it will continue to review overtime, including how it is being used; review its overtime policies in consideration of the current staffing issues; and develop a plan that considers policy changes, clarification of discretionary and mandatory overtime, consistent messaging, training for staff, and management review. Recommendation #2101-06 target date: June 2022.

¹ 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, nine of the original 12 priority recommendations have been implemented, and new priority recommendations have been added.

Operational efficiency

- Develop policies for managing consultant contracts (*Audit of Consulting Agreements*, 2013)

The Administration executed an amended service order in 2020 with a consultant to develop recommendations on process improvements for consultant procurements across various City departments, prepare an administrative policy document on procuring consulting services, and conduct training on the new policy. This work was paused because of COVID-19, and then consolidated with a separate consultant's efforts with the Finance Department to analyze and make recommendations around procurement. The City Manager's Office (CMO) also reports that staff has begun drafting a Citywide Contract Processing Manual. Recommendation #1306-09 target date: December 2022 (delayed from June 2018).

- Develop 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 2018 to review and add to the draft. 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 was put on hold as the CMO prioritized emergency response activities. Recommendation #1603-03 target date: December 2022 (delayed from June 2019).

- Update tow service agreements (*Audit of Towing Services*, 2018)

The City anticipates issuing an RFP for a technology platform and contract administration for tow services in spring 2022. This had been planned for release previously, but was delayed because of the City's emergency response to COVID-19. The Administration reports that multiple recommendations from this audit, including methods to address agreement violations, will be incorporated in the RFP. Recommendation #1810-03 target date: June 2023 (delayed from July 2020).

Improved service delivery

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

PRNS, the Police Department, and the CMO 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 plans for 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: April 2022 (delayed from Fall 2019).

- Improve monitoring of homeless service providers (*Audit of City's Homeless Assistance Programs, 2018*)

The Housing Department has developed monitoring policies, procedures, and templates to conduct monitoring visits. The Department has also been granted access to the County's HMIS system and staff have begun running grantee reports. The Department is currently executing an agreement with a consultant to aid in monitoring service providers, and provide staff training around monitoring standards for federal awards. Recommendation #1807-11 target date: December 2022 (delayed from July 2020).

- Clarify Massage Program roles and responsibilities (*Audit of Code Enforcement Management Controls, 2021*)

Staff in the Department of Planning, Building and Code Enforcement (PBCE) drafted a work plan, including the creation of an MOU or other means of documentation to outline massage program goals and departmental responsibilities between PBCE and the Police Department. Staff report that PBCE and the Police Department are in the process of finalizing that work plan and timelines for completion. Recommendation #2104-07 target date: August 2022

Citywide security/risk mitigation

- Revise procurement card policy (*Audit of City Procurement Cards, 2010*)

At the time of our 2019 follow-up audit of procurement cards (p-cards), the City had been spending roughly \$14 million annually through City-issued 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 under review. These revisions will address multiple open audit recommendations to ensure the ongoing appropriateness of p-card expenditures. Recommendation #1009-01 target date: June 2022 (delayed from June 2011).

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

In the FY 2021-22 Mid-Year Budget Review, Council approved funding for an online, cloud-based software that provides contractors, subcontractors, and City staff with tools to ensure that prevailing wage requirements are complied with, and all employees are paid accurately. OEA developed and executed minimum wage enforcement agreements with multiple local agencies. The revenue collected was allocated to fund a Senior Analyst position, which was filled in September 2021. Recommendation #1702-01 target date: February 2023 (delayed from June 2018).

- Compile a technology assets inventory (*Audit of Technology Deployments, 2019*)

The Information Technology Department (ITD) intends to release an RFP to implement a tracking tool for the City's software and hardware. They have also added a Cybersecurity Analyst to focus on this work. We recommend closing this recommendation because it was superseded by a recommendation from a January 2022 technology-related audit report. Recommendation #1910-10 CLOSED.

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 43 Recommendations in the Last Six Months

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

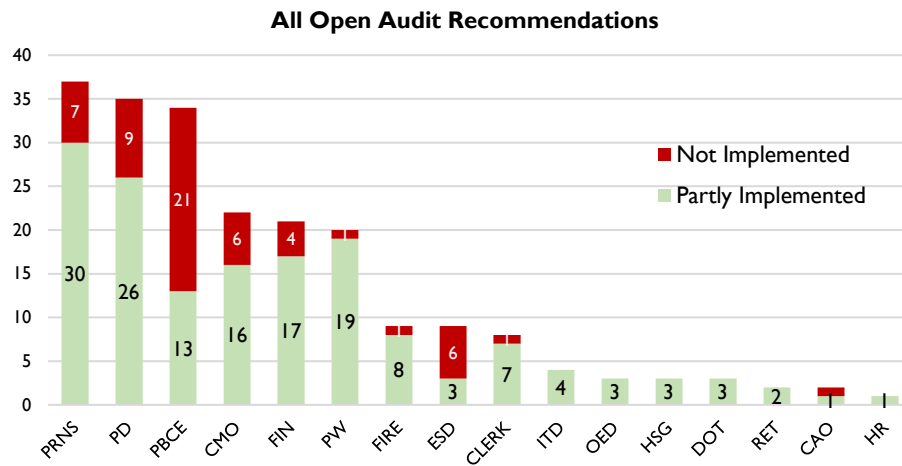
- The Police Department has made additional progress implementing recommendations from our 2012 audit of the Secondary Employment Unit, including tracking hours in the Department's eResource system, and providing quarterly reports to the Chief on unit activities. (*Audit of Secondary Employment, 2012*)
- Public Works' Office of Equality Assurance developed standard operating procedures for wage compliance activities, and developed flowcharts with detailed timelines for different activities, such as payroll reviews and enforcement activities. (*Audit of the Office of Equality Assurance, 2017*)
- PRNS has made additional progress on recommendations related to the Neighborhood Center Partner Program (formerly the Community Center Reuse Program), including establishing standard operating hours, updating agreements for all the service providers, and developing monitoring guidelines to ensure residents receive promised services. (*Audit of the Community Center Reuse Program, 2018*)
- The Administration created a map of neighborhood and business associations, and PBCE created guidelines on how to use it to notify interested groups about development activities. PBCE also developed plain language guides in multiple languages about the development process and posted them online. (*Audit of Development Noticing, 2019*)
- Public Works has updated the City's Vehicle Replacement Policy to incorporate maintenance costs, update age and mileage criteria, and align with the City's electric mobility and green fleet goals. (*Audit of Fleet Maintenance and Operations, 2020*)
- PBCE created a policy for Code Enforcement supervisors to conduct quarterly reviews of open and closed cases for consistency with Division policies and

procedures, performance standards, and overall customer service. (Audit of Code Enforcement Management Controls, 2021)

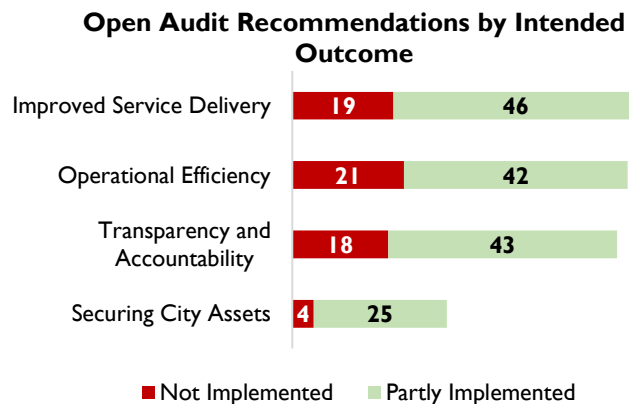
- Finance, along with ITD and the Environmental Services Department (ESD), created an electronic registration form for service options available to customers qualifying as Low-Income or Medically Vulnerable. (Audit of Municipal Water Billing and Customer Service, 2021)

A Total of 218 Recommendations Are Still Pending

Of the 218 recommendations that are still pending, 156 (72 percent) are partly implemented and 62 (28 percent) are not implemented.



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.



\$12.3 Million in Potential Savings from 17 Open Recommendations

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

- Renegotiating the revenue sharing terms of the integration agreement with Santa Clara Valley Water District (estimated at \$2.8 million at the time of an audit in 2016)
- Improving management of overtime and reducing compensatory balances of sworn employees in the Police Department (an estimated \$2.5 million from multiple recommendations from audits in 2016 and 2021)
- Recovering 100 percent of the cost of the Police Department's secondary employment program (\$747,000 at the time of the audit in 2012)
- Creating a roster of massage businesses to help the City identify unpermitted businesses, and notifying businesses of the expiration of their licenses (estimated \$500,000 in initial permit application fees, and \$280,000 in ongoing annual permit fees)

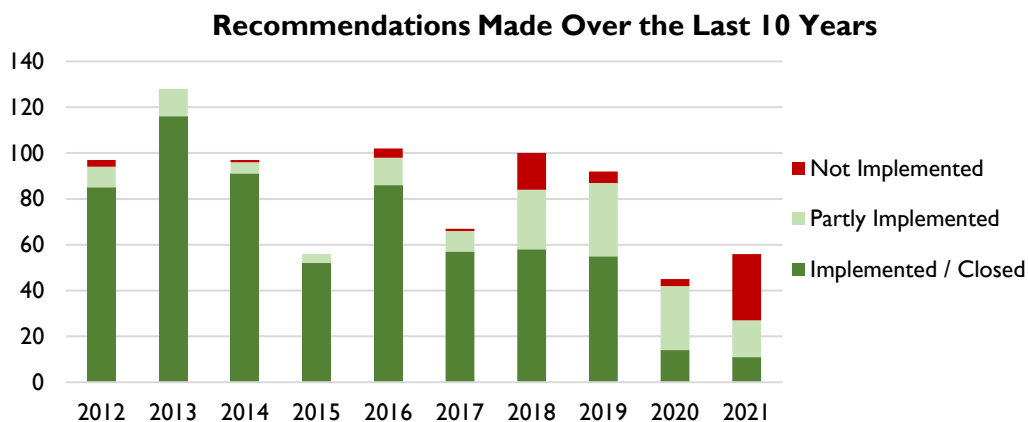
These and other recommendations that could result in potential savings are shown in more detail in Appendix B and in our online dashboard.

Seven 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.² These are also identified in Appendix B as well as on our online dashboard.

Departments Have Implemented 74 Percent of Recommendations Made in the Last 10 Years

Over the last 10 years, the City Auditor's Office has made 840 recommendations to improve or enhance City services. Of those recommendations, 74 percent have been implemented or closed.



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.

² For more information, see the *2021 Annual Summary of Labor Negotiations* at [San Jose, CA - Official Website – Labor Relations Information](#).

Over the past five years, departments have fully implemented 54 percent of the 360 audit recommendations made. (See Appendix A for a list of reports issued in the last five years and the status of their recommendations.)

CONCLUSION

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, 2021 – 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 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, Marisa Lin, Gitanjali Mandrekar, Stephanie Noble, Ebelechukwu Obi, and Alison Pauly




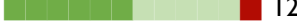





Appendix A: Summary Listing of Recommendations by Report (January 1, 2017 – December 31, 2021)

Appendix B: Detailed Listing of the Status of Pending Recommendations as of December 31, 2021


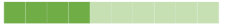








Appendix A:



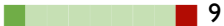
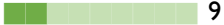


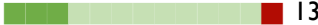
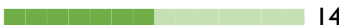
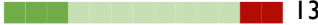
SUMMARY LISTING RECOMMENDATIONS BY REPORT

(January 1, 2017 – December 31, 2021)


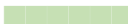





Report	Audit Title	Dept(s)	We made recommendations to:	Current Recommendation Status
#17-01	Audit of Our City Forest	DOT	Ensure consistency and accountability with the City's grant agreements with Our City Forest and improve the off-site tree replacement program	 4
#17-02	Office of Equality Assurance: 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	PBCE	Consistently assure health and safety standards are met, 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 and 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

key: ■ implemented ■ partly implemented ■ not implemented

Report	Audit Title	Dept(s)	We made recommendations to:	Current Recommendation Status
#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	Enhance management of capital projects	 10
#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 (now the Neighborhood Center Partner Program): 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 to better assess services delivered to residents	 19
#18-07	Audit of the City's Homeless Assistance Programs: More Coordination and Better Monitoring Can Help Improve the Effectiveness of Programs	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 occupancy	 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

Report	Audit Title	Dept(s)	We made recommendations to:	Current Recommendation Status
#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 and enhance 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
#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 the 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

key: ■ implemented ■ partly implemented ■ not implemented

Report	Audit Title	Dept(s)	We made recommendations to:	Current Recommendation Status
#20-05	Development Partners' Work-in-Progress Reserves: Better Monitoring Can Ensure Reserves Align with Resource Needs	MULTIPLE	Improve the workload and resource planning through better tracking of development work in progress	 5
#21-01	Police Staffing, Expenditures, and Workload: Staffing Reductions Have Impacted Response Times and Led to High Overtime Costs	PD	Review and compare Police staffing, spending, and calls for service over time, and provide recommendations about managing overtime and staffing to meet Council and community priorities	 10
#21-02	Advocate Referrals: Further Improvements to Processes and Data Sharing Can Help Connect More Survivors to Services	PD	Connect more survivors to services by making further improvements to advocate referral processes and data sharing	 6
#21-03	Real Estate Services: Better Tools and Coordination Can Improve Asset Management and Service Delivery	OED	Improve oversight and coordination for managing the City's real estate assets	 6
#21-04	Code Enforcement Management Controls: Improvements to Oversight and Coordination Needed	PBCE	Improve oversight and management controls	 20
#21-05	Municipal Water Billing and Customer Service: The City Can Take Steps to Enhance Customer Service During an Unprecedented Time	ESD	Enhance Municipal Water customer service and support customers during a drought and the COVID-19 pandemic	 13
#21-06	Team San Jose Performance FY 2020-21	OED	Assess Team San Jose's performance against agreed upon targets	 1

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Appendix B:

DETAILED LISTING OF THE STATUS OF PENDING
RECOMMENDATIONS AS OF DECEMBER 31, 2021

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#09-08 Performance Management and Reporting in San José</p> <p>#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.</p>	CMO	Partly Implemented	<p>The purpose of the "white paper" was to provide a roadmap for developing a performance management system that promotes data-driven decision making. It was jointly signed by the City Manager and the City Auditor. 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; requiring up-to-date methodology sheets for all of the performance measures reported in the Budget; and developing City Service Area (CSA) dashboards with six key measures for primary services in each area. The Administration (along with the City Auditor) engaged True North Research for a new Community Opinion Survey for performance measures included in both the budget and in the City Auditor’s Annual Report on City Services. Consistent with the discussion at the “2022-2023 Preliminary Forecast and Budget” City Council Study Session on January 14, 2022, as part of the 2022-2023 Proposed Budget Sessions scheduled for May 2022, the Budget Office plans to incorporate a more focused discussion on how the Proposed Budget affects key performance measures; reevaluate the performance measures included in the CSA dashboards; and determine the extent to which dashboard measure data can be updated more frequently and how those updates can be used to drive service delivery improvements. Finally, the Administration is piloting an effort with the Office of Racial Equity and several departments to more closely link community-level indicators with service delivery outcomes and activity levels within a selected Core Service, which will also provide a better understanding of community indicators at a disaggregated level. The Budget Office plans to release results and lessons learned from the pilot program as a Manager’s Budget Addendum during the 2022-2023 Proposed Budget Process, and the effort will expand to all CSAs and Core Services over the following two years. Target Date: Jun-2024</p>
<p>#10-09 City Procurement Cards</p> <p>#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.</p>	FIN	<p>Partly Implemented - Priority</p>	<p>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 under senior staff review. Target Date: Jun-2022 (Delayed From: Jun-2011)</p>

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#11-04 Key Drivers of Employee Compensation</p> <p>#02 To reduce the cost of overtime, the City should</p> <p>(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;</p> <p>(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</p> <p>(3) prepare full cost estimates of contract provisions that exceed FLSA provisions.</p>	CMO	Partly Implemented (Subject to meet and confer)	<p>(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.</p> <p>(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.</p> <p>(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-2023 (Delayed From: Dec-2018)</p> <p>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.</p>
<p>#12-04 Police Department Secondary Employment</p> <p>#01 The Police Department should develop and immediately implement a written procedure for periodic review of off-duty employment timecards including comparisons of:</p> <p>(a) City timecards to off-duty timecards,</p> <p>(b) timecards for multiple off-duty jobs to each other to test for fraud, and</p> <p>(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.</p>	PD	Partly Implemented	<p>The Department updated procedures for the Secondary Employment Unit (SEU) to include audits of timecards to test for fraud and overlapping hours, as well as secondary employment worked simultaneously with disability or other leaves. Beginning in February 2022, the Department anticipated that the Permits Unit sergeant will do monthly reviews of a sample of employees to ensure that the hours worked follow City and SEU guidelines. The Department will update its process to compare City timecards to off-duty timecards. Target Date: Jun-2022 (Delayed From: Jun-2017)</p>
<p>#12-04 Police Department Secondary Employment</p> <p>#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.</p>	PD	Implemented	<p>The Department has begun to track employee hours and pay rates in eResource.</p>

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#12-04 Police Department Secondary Employment</p> <p>#04 The SEU should report to the Police Chief at least annually on the following data about the secondary employment program:</p> <ul style="list-style-type: none"> (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	Implemented	The SEU provides a quarterly report to the Chief that provides information on the number of employer applications processed, hours of off-duty uniformed work at special events, number of work permits processed, number of special events coordinated by SEU, estimates of costs billed, cost of providing secondary employment capability, and cost to event promoters for off-duty officers as compared to City costs for equivalent on-duty personnel. The report further highlights challenges faced by the program.
<p>#12-04 Police Department Secondary Employment</p> <p>#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.</p>	PD	Partly Implemented	The Department reports that it has proposed a restructuring of the SEU program to the City Manager's Office which would address reporting of employee compensation. This is pending review. Target Date: Dec-2024 (Delayed From: Dec-2013)
<p>#12-04 Police Department Secondary Employment</p> <p>#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.</p>	PD	Partly Implemented	The Department is in the process of conducting an analysis of the overall future of the secondary employment program and has proposed a restructuring of the program to the City Manager's Office. This is pending review. Target Date: Dec-2024 (Delayed From: Dec-2019)

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#12-04 Police Department Secondary Employment</p> <p>#23 The Police Department should:</p> <p>(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</p> <p>(b) apply the 24-hour weekly limit for off-duty jobs even in weeks when employees have taken time off, and</p> <p>(c) develop a way to ensure sufficient days off per month.</p>	PD	Closed	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. eResource allows supervisors to check secondary hours worked to ensure that staff do not exceed weekly limits. The Department currently does not mandate that employees take days off each month. While we are closing this recommendation due to changes made in how hours are tracked for secondary employment, we continue to be concerned about fatigue among police staff. We will follow-up on this via Recommendation #05 in our audit of Police Staffing, Expenditures, and Workload: Staffing Reductions have Impacted Response Times and Led to High Overtime Costs.
<p>#12-04 Police Department Secondary Employment</p> <p>#28 The Police Department should:</p> <p>(a) calculate the comprehensive cost of the secondary employment program (personnel, administrative costs, etc.),</p> <p>(b) compare those costs to the revenue generated by related fees, and</p> <p>(c) determine the fees that would be required to make the program 100% cost recovered and present this data to the City Council.</p>	PD	Partly Implemented	<p>The Department is in the process of conducting an analysis of the overall future of the secondary employment program and has proposed a restructuring of the program to the City Manager's Office. This is pending review. Target Date: Dec-2024 (Delayed From: Dec-2019)</p> <p>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.</p>
<p>#12-04 Police Department Secondary Employment</p> <p>#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.</p>	PD	Partly Implemented	<p>The Department is in the process of conducting an analysis of the overall future of the secondary employment program and has proposed a restructuring of the program to the City Manager's Office. This is pending review. Target Date: Dec-2024 (Delayed From: Dec-2019)</p> <p>Potential Budget Savings: In 2019, the General Fund subsidy of the secondary employment liability policy was \$23,000.</p>
<p>#12-04 Police Department Secondary Employment</p> <p>#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.</p>	PD	Partly Implemented	The Department is in the process of conducting an analysis of the overall future of the secondary employment program and has proposed a restructuring of the program to the City Manager's Office. This is pending review. Target Date: Dec-2024 (Delayed From: Dec-2019)

Report and Recommendations	Dept (s)	Current Status	Comments
#12-06 Environmental Services	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)
#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.			
#12-06 Environmental Services	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)
#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.			
#12-07 Fire Department Injuries	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 has provided Fire with available consultant information from a previously conducted RFP to conduct the classification study. The Fire Department reports that it will obtain quotes to determine the cost and timeline to complete this review. Target Date: Dec-2022 (Delayed From: Jun-2018)
#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.			
#12-08 Ten Years of Staffing Reductions at the City of San José	CMO	Not Implemented	This recommendation would have to be considered as part of labor negotiations. Target Date: Jun-2023 (Delayed From: Dec-2018)
#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.		(Subject to meet and confer)	

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#12-08 Ten Years of Staffing Reductions at the City of San José</p> <p>#02 Modify the reinstatement process to</p> <p>A) Allow departments to choose the most qualified candidate on the City reinstatement lists when such lists are in effect, regardless of seniority.</p> <p>B) Develop an exemption process for managers who have compelling cases for not filling critical positions from reinstatement lists.</p> <p>C) Allow employees to waive reinstatement for a certain time period or a certain number of opportunities.</p>	CMO	Not Implemented (Subject to meet and confer)	This recommendation would have to be considered as part of labor negotiations. Target Date: Jun-2023 (Delayed From: Dec-2018)
<p>#12-08 Ten Years of Staffing Reductions at the City of San José</p> <p>#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.</p>	CMO	Not Implemented (Subject to meet and confer)	This recommendation would have to be considered as part of labor negotiations. Target Date: Jun-2023 (Delayed From: Dec-2018)
<p>#13-06 Consulting Agreements</p> <p>#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.</p>	CMO / FIN	Partly Implemented	In 2019, the City Manager's Office (CMO) executed a service order with a consultant (amended in 2020) to develop recommendations on process improvements for consultant procurements across various City departments. In February 2020, the Finance Department entered into a Consultant Agreement to analyze the City's purchasing processes. Both the CMO and Finance efforts were subsequently put on pause due to the COVID-19 emergency. In the Fall of 2021, Finance and the CMO consolidated their efforts, with all work being performed by Finance's original consultant. The CMO reports that the consultant is currently completing its current state assessment and is conducting multiple "visioning sessions" with City stakeholders to envision the future of procurement at the City. From this, the consultant will develop recommendations for the City's procurement program, including its governance structure and resourcing. Staff expects to bring initial recommendations back to the City Council's Smart Cities and Services Improvement Committee in April 2022. Target Date: Dec-2022 (Delayed From: Jun-2020)

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#13-06 Consulting Agreements</p> <p>#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.</p>	FIN	Partly Implemented	<p>In 2019, the City Manager's Office (CMO) executed a service order with a consultant (amended in 2020) to develop recommendations on process improvements for consultant procurements across various City departments. In February 2020, the Finance Department entered into a Consultant Agreement to analyze the City's purchasing processes. Both the CMO and Finance efforts were subsequently put on pause due to the COVID-19 emergency. In the Fall of 2021, Finance and the CMO consolidated their efforts, with all work being performed by Finance's original consultant. The CMO reports that the consultant is currently completing its current state assessment and is conducting multiple "visioning sessions" with City stakeholders to envision the future of procurement at the City. From this, the consultant will develop recommendations for the City's procurement program, including its governance structure and resourcing. Staff expects to bring initial recommendations back to the City Council's Smart Cities and Services Improvement Committee in April 2022. Staff intends to develop and implement trainings based off these recommendations in the future. The Finance Department reports that they completed the user guide update to the City's e-Procurement system, Biddingo, in October 2021 and made it available on their intranet page for City users. Target Date: Dec-2022 (Delayed From: Jun-2018)</p>
<p>#13-06 Consulting Agreements</p> <p>#08 We recommend that the City:</p> <p>A) Reconcile overpayments as described above and get reimbursed for these overpayments,</p> <p>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</p> <p>C) Require contract managers to reconcile previously received deliverables to contract payments during the contract amendment process, prior to increasing contract amounts.</p>	CMO / FIN	Partly Implemented	<p>In 2019, the City Manager's Office (CMO) executed a service order with a consultant (amended in 2020) to develop recommendations on process improvements for consultant procurements across various City departments. In February 2020, the Finance Department entered into a Consultant Agreement to analyze the City's purchasing processes. Both the CMO and Finance efforts were subsequently put on pause due to the COVID-19 emergency. In the Fall of 2021, Finance and the CMO consolidated their efforts, with all work being performed by Finance's original consultant. The CMO reports that the consultant is currently completing its current state assessment and is conducting multiple "visioning sessions" with City stakeholders to envision the future of procurement at the City. From this, the consultant will develop recommendations for the City's procurement program, including its governance structure and resourcing. 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 Police Department executed a retroactive extension that approved prior year expenditures with at least one of the consultants we identified (Corona Consulting). Also see Recommendation 1306-09. Target Date: Dec-2022 (Delayed From: Dec-2019)</p>

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<p>#13-06 Consulting Agreements</p> <p>#09 We recommend the Administration develop Citywide policies and procedures on contract monitoring and management including:</p> <ul style="list-style-type: none"> - 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. <p>We further recommend that the City require contract administrators to annually certify they have reviewed and understand those policies and procedures.</p>	CMO / FIN	<p>Partly Implemented</p> <p>-</p> <p>Priority</p>	<p>In 2019, the City Manager’s Office (CMO) executed a service order with a consultant (amended in 2020) to develop recommendations on process improvements for consultant procurements across various City departments. In February 2020, the Finance Department entered into a Consultant Agreement to analyze the City’s purchasing processes. Both the CMO and Finance efforts were subsequently put on pause due to the COVID-19 emergency. In the Fall of 2021, Finance and the CMO consolidated their efforts, with all work being performed by Finance’s original consultant. The CMO reports that the consultant is currently completing its current state assessment and is conducting multiple “visioning sessions” with City stakeholders to envision the future of procurement at the City. From this, the consultant will develop recommendations for the City’s procurement program, including its governance structure and resourcing. The CMO also reports that staff has begun drafting a Citywide Contract Processing Manual for use by City staff. Target Date: Dec-2022 (Delayed From: Jun-2018)</p>
<p>#13-06 Consulting Agreements</p> <p>#11 We recommend the Administration ensure that:</p> <p>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</p> <p>B) Require staff to include a notation regarding the City’s retention policies in each individual contract file.</p>	CMO / FIN	Partly Implemented	<p>In 2019, the City Manager’s Office (CMO) executed a service order with a consultant (amended in 2020) to develop recommendations on process improvements for consultant procurements across various City departments. In February 2020, the Finance Department entered into a Consultant Agreement to analyze the City’s purchasing processes. Both the CMO and Finance efforts were subsequently put on pause due to the COVID-19 emergency. In the Fall of 2021, Finance and the CMO consolidated their efforts, with all work being performed by Finance’s original consultant. The CMO reports that the consultant is currently completing its current state assessment and is conducting multiple “visioning sessions” with City stakeholders to envision the future of procurement at the City. From this, the consultant will develop recommendations for the City’s procurement program, including its governance structure and resourcing. The CMO also reports that staff has begun drafting a Citywide Contract Processing Manual for use by City staff. Target Date: Dec-2022 (Delayed From: Jan-2018)</p>

Report and Recommendations	Dept (s)	Current Status	Comments
<p>#13-06 Consulting Agreements</p> <p>#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.</p>	FIN	Partly Implemented	In 2019, the City Manager's Office (CMO) executed a service order with a consultant (amended in 2020) to develop recommendations on process improvements for consultant procurements across various City departments. In February 2020, the Finance Department entered into a Consultant Agreement to analyze the City's purchasing processes. Both the CMO and Finance efforts were subsequently put on pause due to the COVID-19 emergency. In the Fall of 2021, Finance and the CMO consolidated their efforts, with all work being performed by Finance's original consultant. The CMO reports that the consultant is currently completing its current state assessment and is conducting multiple "visioning sessions" with City stakeholders to envision the future of procurement at the City. From this, the consultant will develop recommendations for the City's procurement program, including its governance structure and resourcing. After this engagement, the Finance Department plans to work with the CMO and other stakeholders on the procurement training and intends for the training to include the City's Conflict of Interest and Ethics policies. Target Date: Dec-2022 (Delayed From: Jun-2018)
<p>#13-11 Code Enforcement</p> <p>#08 The City Administration should propose to expand the Residential Occupancy Permit program to include condominiums functioning as rental apartment complexes.</p>	PBCE	Partly Implemented	The goal of the Residential Occupancy Permit Program is to provide minimum safety and habitability standards for renters. At the time of 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 were not receiving the same level of service afforded to other rental residents. The current 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 began 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. The Department expects to release this RFP in mid-2022. Target Date: Jul-2023 (Delayed From: Jul-2018)
<p>#13-11 Code Enforcement</p> <p>#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.</p>	PBCE	Partly Implemented	Code Enforcement has intended to complete a pilot for a Tier 3 property notification process. However, due to a backlog this has been delayed. It is working to update the pilot work plan and implementation plan for such notifications. Code Enforcement resumed virtual inspections in November 2020. Target Date: Jun-2022 (Delayed From: Jul-2018)

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<p>#13-11 Code Enforcement</p> <p>#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.</p>	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 is in the final stages of releasing an RFP for a new case management 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, the Department reports that all inspectors have been provided laptops in which they can VPN to the current PBCE system if needed in the field. Target Date: Jul-2023 (Delayed From: Jul-2018)
<p>#13-11 Code Enforcement</p> <p>#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.</p>	PBCE	Partly Implemented	Code Enforcement staff continues 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 reports that it is in the final stages of releasing an RFP for a new case management system. The Department anticipates that it will be released in mid-2022. Code Enforcement anticipates that the new case management system will provide the necessary data and technological capability to automate the process to add new rental apartment complexes into the Residential Occupancy Permit Program. Target Date: Jul-2023 (Delayed From: Jul-2018)
<p>#13-12 Audit of Employee Travel Expenditures</p> <p>#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.</p>	FIN	Partly Implemented	Finance staff have incorporated this recommendation into the draft Procurement Cards Policy (City Administrative Policy 5.1.2) and updated the Procurement Card Administrative Guide. Both documents are under senior staff review. Target Date: Jun-2022 (Delayed From: Jun-2017)
<p>#13-12 Audit of Employee Travel Expenditures</p> <p>#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.</p>	FIN	Partly Implemented	The Finance Department completed an RFP for an electronic travel software solution, but was unable to reach agreement with the selected vendor. The Finance Department is considering reissuing an RFP or developing a Business Process Automation flow for approvals and travel reimbursements. In the interim the Department developed a Business Process Automation product to establish the flow for the mileage reimbursement functionality. Target Date: Dec-2022 (Delayed From: Jun-2018)

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<p>#14-07 City Procurement Cards</p> <p>#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</p>	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 under senior staff review. 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: Dec-2022 (Delayed From: Jun-2015)
<p>#14-07 City Procurement Cards</p> <p>#03 To improve transparency, accountability, and legibility, the Finance Department should create a pilot program that:</p> <p>a) Begins the transition to online approvals, payment code entries, annotations and general finance coding (office supplies, travel, etc.);</p> <p>b) Considers requiring monthly statements of activity be signed by cardholders and approving officials to ensure that all transactions are authorized;</p> <p>c) Allows individual departments to collect, store, and submit receipts in PDF; and</p> <p>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).</p>	FIN	Partly Implemented	The Finance Department and Information Technology Department (ITD) have been working with the City's Financial Management System (FMS) vendor and report that the integration solution needed to implement this recommendation may be possible. The integration would be between the City's p-card payment processor's online module (US Bank) and FMS. Previously, it was uncertain whether the two systems could be integrated, but the City's FMS vendor reported that one of its other clients also uses US Bank, suggesting that the two systems are compatible. Target Date: Dec-2022 (Delayed From: Jun-2015)
<p>#14-07 City Procurement Cards</p> <p>#07 The City Administration should ensure that p-card expenditures accurately categorize expenditures by type of budgetary purpose.</p>	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 under senior staff review. Target Date: Dec-2022 (Delayed From: Jun-2015)

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#14-08 Development Services #18 Eliminate the Construction & Demolition Diversion Deposit.	PBCE / ESD	Partly Implemented	ESD reports it is pursuing changes to enhance and consolidate the CDD and CALGreen compliance review programs to simplify refund processing, among other benefits. The CDD program is being evaluated as part of Climate Smart San Jose's Zero Waste Element, which will outline programmatic changes. According to the Department, it is continuing outreach to permit holders eligible for CDDD refunds. ESD plans to continue expanding outreach to disseminate information about the CDD programs. Target Date: Jun-2022 (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	ITD reports that the next upgrade of the SJPermits.org portal, which includes the online fee calculator, is in progress. The upgrade to the portal will take place in four stages with the fee estimation feature to be completed in the final release estimated to be deployed in mid-2023. Target Date: Jul-2023 (Delayed From: Jun-2016)
#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 and ITD are in the process of evaluating RFP responses for a revenue management platform on which to support the City's portfolio of revenue-generating transactions. The initial implementation will begin with the City's Business Tax System, but the intention is to later include the revenue transactions of other City departments, including Planning, Building and Code and Enforcement and the Fire Department. Target Date: Jun-2023 (Delayed From: Jun-2018)

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<p>#15-05 PRNS Fee Activity Program</p> <p>#01 PRNS should work with the Budget Office to:</p> <p>A) Reassess the purpose of the Fee Activity Program (including cost-recovery targets),</p> <p>B) Provide reasonable justification for mid-year expenditure request,</p> <p>C) More clearly link revenues and expenses to their respective programs, and</p> <p>D) Determine which activities should be included in the Fee Activity Program.</p>	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 in the past 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. As of August 2021, PRNS hired a Senior Budget Analyst position to address the remaining components of the recommendations for the Fee Activity Program. Target Date: Dec-2022 (Delayed From: Jun-2016)
<p>#15-08 Golf Courses</p> <p>#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.</p>	PRNS	<p>Partly Implemented</p> <p>-</p> <p>Priority</p>	<p>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. The Department is developing an RFP, with the target date of going into contract with the selected provider(s) by December 2022. Target Date: Dec-2022 (Delayed From: Dec-2018)</p> <p>Potential Budget Savings: At the time of the audit, the golf courses required ongoing General Fund subsidies, in part to debt service. At that time, we estimated the monetary benefit of implementing this recommendation would be \$2.2 million annually.</p>
<p>#15-08 Golf Courses</p> <p>#05 To improve oversight of the golf courses and contracts, the Department of Parks, Recreation and Neighborhood Services should:</p> <p>A) Regularly audit Muni's gross revenues and capital improvement fun;</p> <p>B) Keep all golf records centrally and ensure they are obtained timely;</p> <p>C) Formalize the revised maintenance standard; and</p> <p>D) Formally approve the fees charged and discounts given to The First Tee and the schedule of access hours.</p>	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 RFP process noted in the update for Recommendation #1, staff intends include updated maintenance standards in new agreements. Subsequently, staff intends 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: Dec-2022 (Delayed From: Jun-2017)

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<p>#15-09 Police Hiring</p> <p>#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.</p>	PD	Partly Implemented	The Department created a Police Cadet classification which was approved by City Council in March 2017. These positions are not currently funded. Target Date: Jul-2024 (Delayed From: Dec-2017)
<p>#16-02 Street Sweeping</p> <p>#01 DOT's in-house street sweeping operation should stop emptying street sweepings onto the street.</p>	DOT	Partly Implemented	The Public Works Fleet team completed developing specifications for a hook lift truck and bins; however, the procurement process was delayed due to the COVID-19 pandemic. The Fleet team also reported that ordering banks for new vehicles are closed and procurement of the hook lift truck and bins will be deferred to FY 2022-23 with a likely delivery in FY 2023-24. Target Date: Oct-2023 (Delayed From: Jun-2017)
<p>#16-02 Street Sweeping</p> <p>#05 DOT and ESD should deploy the new electronic inspection system and GPS-tracking devices to:</p> <p>A) Enable supervisory staff to track vehicle location, speed, and activity remotely;</p> <p>B) Link route conditions and problems, and street cleanliness to specific locations along street sweeping routes; and</p> <p>C) Include electronic tracking and inspection compatibility in future bids for contracted street sweeping services.</p>	DOT / ESD	Partly Implemented	<p>A) Implemented</p> <p>B) DOT hired a new Associate Construction Inspector (ACI) in April 2021 and is now fully staffed in the residential street sweeping inspection program. DOT reports that lower priority issues such as tree trimming and debris in park strips may require more resources for sustained quick responses. For example, DOT reports that their arborist team needs to be expanded in order to adequately address issues such as tree trimming, and this will be evaluated in the FY 2022-23 budget process. (Partly Implemented)</p> <p>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 GPS tracking and electronic inspection capabilities that would allow street sweepers which allow to reporting obstructions. If the City exercises this option, GreenWaste and City shall mutually agree upon the compensation rate for implementation. (Implemented) Target Date: Dec-2022 (Delayed From: Jan-2018)</p>
<p>#16-03 The City's Use and Coordination of Volunteers</p> <p>#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).</p>	CMO	Partly Implemented	According to the Administration, implementation of the "how to" guide was delayed due to focus on the COVID-19 pandemic response; however, they now plan to prioritize it for the year. Currently, 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. Target Date: Dec-2022 (Delayed From: Feb-2018)

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<p>#16-03 The City's Use and Coordination of Volunteers</p> <p>#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.</p>	CMO	Partly Implemented	In 2017, the Administration had an Encore Fellow develop a draft volunteer policy outlining 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 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. Final approval was delayed due to the Administration's focus on the COVID-19 pandemic response. During the pandemic response, the City helped coordinate and track volunteers among local non-profits with Silicon Valley Strong. Target Date: Dec-2022 (Delayed From: Feb-2018)
<p>#16-03 The City's Use and Coordination of Volunteers</p> <p>#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.</p>	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 2018, a cross-departmental Volunteer Service Initiative Working Group was established to review and add to the drafted Volunteer Management Guide. According to the Administration, implementation was 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. Target Date: Dec-2022 (Delayed From: Feb-2018)
<p>#16-03 The City's Use and Coordination of Volunteers</p> <p>#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:</p> <p>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.</p> <p>B) Allowing volunteers to apply with multiple place-based programs at once.</p> <p>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.</p>	CMO / PRNS / ESD / DOT	Not Implemented	The purpose of this recommendation was 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 volunteer opportunities. The City's website has a centralized page for volunteer opportunities, ordered by department and program; however there is not a page dedicated to place-based volunteering. 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 was delayed due to the Administration's focus on the COVID-19 pandemic response. Target Date: Dec-2022 (Delayed From: Dec-2018)

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<p>#16-03 The City's Use and Coordination of Volunteers</p> <p>#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.</p>	PRNS	Partly Implemented	<p>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. The draft guidelines and handbook are under review by community center supervisors. Once their feedback is received and incorporated, these documents will be finalized and approved. Staff is currently drafting a standard operating procedure to accompany these documents and implement these efforts consistently. Next steps will be identifying site staff at each community center for training, and complete implementation. Target Date: Jun-2022 (Delayed From: Feb-2019)</p>
<p>#16-05 South Bay Water Recycling</p> <p>#04 To sustain South Bay's operational and capital cost recovery status in the future, ESD should:</p> <p>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</p> <p>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.</p>	ESD	Partly Implemented	<p>A) For the last several years SBWR staff have been in discussions with the Santa Clara Valley Water District (Valley Water) regarding the terms of the Integration Agreement, implementation of the Strategic Master Plan, and other agreements between the City and the District. Additional Council direction was given in September 2021 to negotiate with Valley Water until December 2021, with Facilitator lead discussions occurring through Fall 2021. These discussions are continuing but have moved beyond simply renegotiating terms of existing contracts and instead have evolved into discussions about an additional water purification facility. Expected completion for this larger scope is Spring 2025.</p> <p>B) ESD participated in a statewide rate study sponsored by the WaterReuse Research Foundation, which was completed in December 2018. South Bay Water Recycling reviewed the study findings to determine an optimum fee study structure that will address program needs. At this current time, SBWR reports wholesale rates are sufficient to cover program needs. Pending a new Comprehensive Agreement with Valley Water, final modifications to the Integration Agreement, and/or increasing maintenance costs for aging infrastructure, the wholesale rate structure will be periodically re-evaluated. Target Date: Jun-2025 (Delayed From: Jan-2017)</p> <p>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.</p>

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<p>#16-07 Office of the City Clerk</p> <p>#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:</p> <p>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.</p>	CLERK	Partly Implemented	The purpose of this recommendation was to ensure that minutes are approved by Council within a reasonable timeframe. At the time of the audit, the Office of the City Clerk's internal goal to post action minutes was three months. Other jurisdictions' minutes were generally approved more quickly, often within two weeks. The City Clerk reports that the amount of text included in the action minutes has been reduced, and that the Council passed action minutes as the preferred format several years ago. The Office of the City Clerk expects to be caught up on action minutes by the summer or earlier. Once the Office of the City Clerk has documented a more appropriate timeframe for the approval of action minutes, this recommendation will be considered implemented. Target Date: Sep-2022 (Delayed From: Apr-2017)
<p>#16-07 Office of the City Clerk</p> <p>#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.</p>	CLERK	Not Implemented	The Office of the City Clerk reports that they are working with IT and Purchasing on the replacement agenda and minutes management software. Taking into consideration the time to install the software, format it, and train in it, the City Clerk expects to have it fully functional in Spring 2023. Target Date: Jun-2023 (Delayed From: Apr-2017)
<p>#16-07 Office of the City Clerk</p> <p>#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).</p>	CLERK	Closed	Since the audit, there was a change from quarterly to weekly reporting for lobbyist reports and the City Clerk reports that they no longer are charging late fees. We recommend closing this recommendation in consideration of the change.
<p>#16-07 Office of the City Clerk</p> <p>#20 The City Clerk's Office should:</p> <p>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.</p>	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. Once action plans to address areas where results do not meet established targets or expected results are developed, this recommendation will be considered implemented. The Office of the City Clerk reports that due to increased workload because of COVID-19 impacts, work on this item has been paused. Target Date: Jun-2022 (Delayed From: Oct-2017)

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<p>#16-08 Police Overtime</p> <p>#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:</p> <p>(a) Define the circumstances under which overtime is exempt from work limits in the Duty Manual; and</p> <p>(b) Review and enforce work limits for scheduled City overtime and secondary employment.</p>	PD	Closed	The Police Department's overtime expenditures were slightly lower in FY 2020-21 than FY 2019-20 (down from \$47 million to \$45 million) but the number of overtime hours worked increased from 450,000 to over 500,000 hours. The Department reports that at this time it will address overtime internally without updating the Duty Manual. The Department has completed updates in eResource and is able to track secondary employment hours. We continue to be concerned about the high overtime and compensatory time usage and will track these issues through recommendations #01, #02 and #05 in our audit of Police Staffing, Expenditures, and Workload: Staffing Reductions have Impacted Response Times and Led to High Overtime Costs.
<p>#16-08 Police Overtime</p> <p>#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.</p>	PD	Implemented	The Department has updated eResource to track secondary employment hours. Supervisors have the ability to review and track hours worked through the secondary employment program.
<p>#16-08 Police Overtime</p> <p>#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.</p>	PD / OER	Closed	The Department has not made any changes to the General Orders related to overtime worked for pay that were in place at the time of the audit. According to the Department the current General Order provides flexibility to the Chief to manage the overtime budget over the year. Since the time of the audit, compensatory time balances have continued to grow and we continue to be concerned about the use and growth of compensatory time and the associated long-term liability for the City. We will follow-up on the status of compensatory time balances via recommendations #07 and #08 from our 2021 audit of Police Staffing, Expenditures and Workload: Staffing Reductions Have Impacted Response Times and Led To High Overtime Costs.

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#16-08 Police Overtime	PD / OER	Not Implemented	The City and the POA have begun discussions related to compensatory time off. While some MOA changes related to overtime usage have been made, the City and the POA have agreed to continue discussions related to compensatory time, including, but not limited to a possible buy down of an employees' outstanding compensatory time balance. Comp time liability has grown significantly since we did the audit--from \$13 million to \$23.5 million currently. Additionally, the payout for excess compensatory time (employees that reach 480 hours of accrued compensatory time get paid out) have also grown--from \$270,000 in FY 2010-11 to \$19.3 million in FY 2020-21. Controlling the growth in compensatory time usage remains a significant concern. Target Date: Jul-2022 (Delayed From: Jun-2019)
#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.		(Subject to meet and confer)	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	PD	Partly Implemented - Priority	As of February 2022, the number of sworn employees with comp time balances over 240 hours had increased from 410 at the time of the audit to 721. The number of sworn employees with a balance of 480 hours had increased from 220 to 424 (although this is slightly lower than end of the previous fiscal year). 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. On May 19, 2021, the Department issued Memo #2021-015 again reminding staff of the requirement to bring their compensatory time balances back to the 240-hour maximum level by the end of the calendar year in accordance with the memorandum of agreement (MOA) with the POA. The Department reports that staff were required to submit plans on bringing down these balances by March 2022. Approximately 300 staff have submitted these plans. Currently staff in field patrol are exempt from this requirement. Also see recommendation #9. Target Date: Jul-2022 (Delayed From: Mar-2018)
#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.			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.
#16-08 Police Overtime	PD / OED	Not Implemented	The Office of Economic Development and Cultural Affairs advises that it met with the Police Department to identify key Police Department staff and other departments to begin work on this recommendation. Target Date: Jun-2022 (Delayed From: Jun-2017)
#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.			Potential Budget Savings: Reimbursement for the two campaign events referenced in the audit would have saved the City \$140,000.

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<p>#16-10 The Apartment Rent Ordinance</p> <p>#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.</p>	HSG	Partly Implemented	The Department reports that it is planning to conduct additional community engagement to better understand how the Rental Rights Strategic Plan can better assist residents. Staff plans to return with the Plan to the Neighborhood Services and Education Committee in Jun 2022. Target Date: Jun-2022 (Delayed From: Jun-2018)
<p>#16-11 Mobile Devices</p> <p>#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).</p>	IT	Partly Implemented	ITD's guidelines and recommendations for managing mobile devices and the City Administrative policy on Procurement of Laptops and Tablets (1.7.8) was presented to City departments. ITD has been working with departments to label assets as City-owned property. Meanwhile, inventory data uploads to the central asset database have been ongoing. Out of the 19 departments, two are still pending. Target Date: Jun-2022 (Delayed From: May-2018)
<p>#16-11 Mobile Devices</p> <p>#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.</p>	IT	Implemented	The Mobile Communications and Devices Policy (1.7.4) has been signed and posted. Since then, ITD has supported department staff by answering policy-related questions, training staff on ordering FirstNet devices and using the City's telecommunication expense management software, and posting guides and training videos online.

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<p data-bbox="100 183 331 207">#16-11 Mobile Devices</p> <p data-bbox="100 240 756 349">#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:</p> <p data-bbox="100 354 766 487">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.</p> <p data-bbox="100 492 745 625">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.</p> <p data-bbox="100 630 703 682">C) Ensure that appropriate individuals within departments receive vendor reports and communications.</p> <p data-bbox="100 686 682 738">D) Ensure that all wireless service users in the City are informed of their plans' features and limitations.</p>	<p data-bbox="798 183 892 207">IT / FIN</p>	<p data-bbox="934 183 1071 207">Implemented</p>	<p data-bbox="1134 183 1995 430">The Mobile Communications and Devices Policy (1.7.4) has been signed and posted. The policy notes that "ITD shall use best practices to monitor and optimize telecom expenses with City departments" and describes the role of departments in reviewing bills to ensure proper use and cost-effectiveness. ITD has centralized procurement, assignment, and billing of FirstNet devices Citywide. It has also procured a wireless telecommunication expense management solution and provided department staff access in May 2021, along with training. ITD has since provided additional training and posted training videos and resources online and plans to send department staff regular reminders on bill review responsibilities along with quarterly optimization reports.</p>

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<p>#17-02 Office of Equality Assurance</p> <p>#01 To better administer the prevailing and living wage compliance programs, the Office of Equality Assurance should:</p> <p>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);</p> <p>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</p> <p>C) Ensure the program has sufficient supervisory resources following the implementation of Recommendation #3.</p>	OEA	<p>Partly Implemented</p> <p>-</p> <p>Priority</p>	<p>A) OEA has pursued a combination of strategies to better administer the prevailing wage and living wage compliance program, including piloting a software platform to automate payroll reviews, receiving electronic payroll files (previously these were hard copy documents), using Office 365 tools to manage workflow, and using Smartsheet to develop dashboards to track infractions and violations in real time. Unfortunately, the pilot did not provide the functionality that OEA needed. Funding for an online, cloud-based software that provides contractors, subcontractors, and City staff with tools to easily ensure that prevailing wage requirements are complied with, ensuring all employees are paid accurately was approved in the FY 2021-22 Mid-Year Budget Review.</p> <p>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 review potential high- and moderate-risk projects with all OEA Specialists to aid in determining site visits.</p> <p>C) OEA developed and executed minimum wage enforcement agreements with multiple local agencies. The revenue collected was allocated to fund a Senior Analyst position, which was filled in September 2021. Target Date: Feb-2023 (Delayed From: Jun-2018)</p> <p>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.</p>

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<p>#17-02 Office of Equality Assurance</p> <p>#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.</p>	OEA	Implemented	The Office of Equality Assurance (OEA) has implemented Standard Operating Procedures to document the processes for items A-I in the recommendation. Standard Operating Procedures for J are determined by Caltrans-Division of Local Assistance who provide all requirements and documentation standards in a Local Assistance Procedures Manual, which are followed by OEA staff. The Office has standard procedures for handling ADA complaints. The City Manager's Office is currently conducting a study regarding ADA enforcement to determine if an Office of Disability Affairs should be created.
<p>#17-02 Office of Equality Assurance</p> <p>#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.</p>	OEA	Implemented	The Office of Equality Assurance has developed Standard Operating Procedures, including flowcharts with detailed timelines, including but not limited to, timelines for payroll review, enforcement of Service and Maintenance agreements, and consistent and appropriate use of enforcement tools (e.g., penalties). With the addition of a Senior Analyst, training and consistency mechanisms have been established.

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<p>#17-02 Office of Equality Assurance</p> <p>#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.</p>	OEA	Partly Implemented	Staff reported on the status of Local Hire/Apprentice Utilization for City CIP projects to the Community & Economic Development Committee in April 2021. At this time, Local Hire/Apprentice Utilization and Wage Theft Prevention is not being worked on as it is on the Citywide Roadmap backlog of policy priorities. In the FY 2020-21 June budget message, the Mayor directed \$150,000 to support staffing with the City Manager's Office to gather input from stakeholders and develop a work plan for the creation of a new Office of Disability Affairs. OEA provides support to the CMOs efforts to create a new Office of Disability Affairs. Target Date: Dec-2022 (Delayed From: Dec-2018)
<p>#17-04 Open Government</p> <p>#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.</p>	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. Target Date: Dec-2022 (Delayed From: Dec-2018)
<p>#17-04 Open Government</p> <p>#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.</p>	OED	Not Implemented	The Office of Economic Development and Cultural Affairs (OEDCA) has met internally to develop policies and procedures regarding the scenarios identified in the recommendation. The City Attorney's Office is reviewing a draft internal policy memo that has been reviewed by OEDCA leadership. This internal policy memo will lay out department positions on the scenarios outlined in the recommendation. A cross-department City Service Area meeting is scheduled for Spring 2022 to remind staff of the subsidy requirements and procedures. Target Date: May-2022 (Delayed From: Jun-2018)
<p>#17-04 Open Government</p> <p>#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.</p>	OED / FIN	Partly Implemented	Overdue after-action reports have been identified and a plan is in place to execute them. The Office of Economic Development and Cultural Affairs (OEDCA) reports that the public subsidy website continues to be updated and is now substantially up to date. The under-review internal policy memo provides standard operating procedures to raise awareness about subsidy requirements across the organization including tracking subsidies and after-action reports. A cross-department City Service Area meeting is scheduled for Spring 2022 to socialize and remind staff of the requirements and procedures. Target Date: May-2022 (Delayed From: Jun-2018)

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<p>#17-04 Open Government</p> <p>#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:</p> <p>A) Narrowing the non-profit exemption to 501(c)(3) organizations, regardless of whether the organization had received support from the City; or</p> <p>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.</p>	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. The item is expected to return to the full City Council with that review. Target Date: Jun-2022 (Delayed From: Jun-2019)
<p>#17-04 Open Government</p> <p>#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.</p>	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 had met with senior staff and several departments to 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-2022 (Delayed From: Jun-2018)
<p>#17-04 Open Government</p> <p>#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:</p> <p>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.</p> <p>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.</p>	CMO	Partly Implemented	The Administration reports that the Open Government Manager is continuing to work with departments to update their departmental retention schedule and discuss internal processes for the destruction and/or digitization of records. The Administration issued an RFQ in 2021 to obtain software specific to the management of electronic records. This software was purchased, and implementation started in January 2022. The Open Government Manager will continue to meet with multiple departments as the software is implemented to update existing procedures and move towards the goal of creating a policy that is uniform across the City. The Open Government Manager will conduct departmental trainings once implementation is completed. Target Date: Dec-2022 (Delayed From: Dec-2018)

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#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	Implemented	The updated Council policy was approved by the City Council on February 15, 2022.
#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 Joint Personnel Committee (JPC) approved CEO performance metrics and CIO investment staff metrics in 2021. The Office of Retirement Services has yet to align the metrics that were approved by the JPC with the performance measures in the Budget. The Office is currently working on updating the performance measures for the Budget to more closely align with the CEO/CIO metrics. Target Date: Jun-2022 (Delayed From: Dec-2018)
#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 board meetings have been posted online on a go-forward basis since June 2017. However, some audio recordings for board 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: Dec-2022 (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	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 presented the amendment to the Board for the Police and Fire Retirement Plan for comment in September 2021 and brought the amendment to the City Council for review and approval in February 2022.
#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	On January 5, 2021, the City Council approved guiding principles for a new operating model, which staff intend to use to negotiate a contract that details PAL operations and performance measures. Currently, PRNS and PAL are operating in a hybrid model where PAL operates the facility and programs on a day-to-day basis. PRNS has begun providing additional programs and provides primary field maintenance. The upcoming agreement with PAL is in the process of being negotiated. Target Date: Apr-2022 (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. A hybrid model between PAL and PRNS is now in effect. PRNS plans to include these in the new agreement with PAL. Target Date: Apr-2022 (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: Jan-2023 (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: Jan-2023 (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	Partly Implemented	PAL has completed its 2015-2019 annual financial audits and is currently working on it's 2020-2021 audits. 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: Apr-2022 (Delayed From: 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	Partly Implemented	PAL had completed annual budgets for FY 2018-19, FY 2019-20, and FY 2020-21. PRNS reports that monthly financial reports and informal program reports are provided at the monthly board meetings. Further, they reports that Quarterly and Annual joint planning and progress review meetings will be held with PRNS and PAL Board Executives. These meetings are currently held ad hoc as the overall relationship and programming is being developed. Status of this recommendation will be revisited once the anticipated new agreement between the City and PAL is finalized. Target Date: Apr-2022 (Delayed From: 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	Not Implemented	Accordant to PRNS, the revised agreement with PAL will not have the revenue sharing provisions of its 2007 Agreement. The proposed revisions outline that the PAL board reinvest revenue directly back into PAL programs and the facility. Status of this recommendation is contingent on the determined structure and potential new agreement between the City and PAL. Target Date: Apr-2022 (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	Not Implemented	PAL is redefining its sponsorship program, has a sponsorship form, and reports it is ready to comply with the City's sponsorship and advertising requirements. 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: Apr-2022 (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	Not Implemented	PRNS plans to include details on the fundraising plan, including sponsorships and their goals in the new agreement with PAL. Further, PRNS noted that this will be work done or coordinated by a new Executive Director which the PAL Board is starting to organize a recruitment for. Target Date: Apr-2022 (Delayed From: Fall-2019)

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#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	Not Implemented	The City has decided to eliminate the clause in the upcoming agreement. According to PRNS, the PAL Board plans to include a code of ethics in their by-laws and have all volunteers sign a code of ethics. Target Date: Apr-2022 (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	Implemented	PRNS and the PAL board developed a maintenance matrix for planning and implementing field maintenance. Field rest periods and scheduling have been determined and are operational.
#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	Partly Implemented	PRNS anticipates including a provision that PAL's program fees or waivers are approved by the PAL board which includes seats for PRNS and PD. Status of this recommendation will be revisited once a potential new agreement is finalized. Target Date: Apr-2022 (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 and Public Works are undertaking a master plan update for the PAL facility (Facilities Plan). PRNS and Public Works had developed a list of short-term capital improvement priorities. The FY 2021-22 Adopted Capital Budget included \$4.5 million for installing an artificial field, other associated improvements, and funding to complete a master plan update (Facilities Plan) for the PAL site. Several minor projects and improvements have been completed. Target Date: Jun-2023 (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	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. PRNS anticipates including a provision that PAL's program fees or waivers are approved by the PAL board which includes seats for PRNS and PD. Status of this recommendation will be revisited once a potential new agreement is finalized. Target Date: Apr-2022 (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". Depending on future responsibilities, status of this recommendation will be revisited once the anticipated new agreement is finalized. Target Date: Apr-2022 (Delayed From: Fall-2019)

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#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	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. PRNS plans to include this requirement in the anticipated new agreement with PAL and set up a system to receive and review these rosters. Target Date: Dec-2022 (Delayed From: Fall-2019)
#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	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: Dec-2022 (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 initially allocated \$50,000 for training costs within the Public Works Program Support Fund (150) but has determined that additional funding is necessary to fully cover training costs, as well as non-project costs within Fund 150. Target Date: Dec-2022 (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 and 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 is developing a software solution within its Capital Project Management System (CPMS) to track and monitor lessons learned across all capital projects and throughout project development. The software will enable project managers to automatically capture lessons learned within project completion reports, which in turn will be shared with Department staff and client departments. The Department reports that it is also working on centralizing project completion reports to help staff access past lessons learned and that it continues to meet with client departments throughout projects to discuss lessons learned. Target Date: Jun-2022 (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 support standardize electronic file structures and document retention. Additionally, Public Works is considering centralizing project documents within SharePoint to further support staff in maintaining key project documents and providing retention guidelines. The Department also reports that it is developing a software solution within CPMS to help project managers report project updates and milestones. Target Date: Dec-2022 (Delayed From: Jul-2019)

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<p>#18-03 Department of Public Works</p> <p>#06 To ensure consistent project delivery, Public Works should:</p> <p>a) Update its project management manual using existing project management guidelines and checklists as well as current practices,</p> <p>b) Expand the manual to include guidance for each project phase and include duties of all divisions that are responsible for project delivery, and</p> <p>c) Establish a process to regularly review and update the manual as needed.</p>	PW	Partly Implemented	Public Works reports that it has created a work group to help standardize project management forms and templates, but that additional staffing and funding will needed to fully implement this recommendation. Target Date: Dec-2022 (Delayed From: Mar-2019)
<p>#18-03 Department of Public Works</p> <p>#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.</p>	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 sections to the specifications have been updated and are currently under review. Target Date: Dec-2022 (Delayed From: Dec-2020)
<p>#18-03 Department of Public Works</p> <p>#08 To improve its metrics used to assess performance, Public Works should:</p> <p>a) Clarify that the performance metrics "on-budget" and "on-schedule" for capital projects refer to the construction phase of project delivery, and</p> <p>b) Track the categories of change orders over time across all projects.</p>	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-2022 (Delayed From: Mar-2019)

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<p>#18-04 Audit of Vehicle Abatement</p> <p>#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.</p>	DOT	Partly Implemented	<p>During the COVID-19 emergency, vehicle abatement within DOT evolved to focus on inoperable, hazardous, or extremely blighted vehicles. This includes proactive patrolling as well as responding to resident reports received through SJ311. Staff report this hybrid approach is the most cost-effective way to address the most egregious vehicles. Under this approach, all SJ311 vehicle abatement service requests are reviewed; however, only cases where submitted photos demonstrate that the vehicle is inoperable, hazardous, or contributing to extreme blight are investigated (i.e., receive first visits). This approach was presented to the City Council during the FY 2021-22 Proposed Budget Study Sessions and approved in the FY 2021-22 Proposed Operating Budget funded from the American Rescue Plan for an annual cost of \$450,000 (see page VIII-379 within the Transportation Department section). In the past, vehicle abatement was primarily funded from the General Purpose Parking Fund, but because of the pandemic's financial impact on parking revenues, the program is being funded on a year-to-year basis. The Administration intends to evaluate funding levels as part of the FY 2022-23 budget development process. The Administration estimates that to respond to all SJ311 requests – of which relatively few end up as abatements – and to proactively patrol all city streets to ensure vehicle abatement services adequately reach under or non-reporting areas of the City would be approximately \$1.65 million annually plus an additional \$200,000 in one-time costs. Target Date: Jun-2023 (Delayed From: Jul-2019)</p>
<p>#18-04 Audit of Vehicle Abatement</p> <p>#12 The Police Department should:</p> <p>a) revisit the calculation of impound costs and recommend that the City Council approve an adjustment to the vehicle release fee accordingly, and</p> <p>b) bring forward to the City Council a recommendation for the City to institute a subsidized vehicle release fee for low-income vehicle owners.</p>	PD	Partly Implemented	<p>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 reports that due to the City's emergency response to COVID-19, it delayed its RFP for a technology platform and contract administration for tow services. Following implementation of this platform, the Administration plans to use data gathered through this platform to review costs and evaluate a subsidized vehicle release fee. Target Date: Jun-2023 (Delayed From: Jun-2019)</p>
<p>#18-06 Community Center Reuse (now the Neighborhood Center Partner Program)</p> <p>#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.</p>	PRNS	Partly Implemented	<p>PRNS has hired a Senior Maintenance Worker and a Building Management Administrator to support the management and infrastructure assessments needed for the Neighborhood Center Partner Program (formerly the Community Center Reuse program) and other PRNS facilities. According to the Department, a contractor for building assessments has been selected through an RPF process and Public Works is in the process of finalizing the agreement. In Spring 2022, PRNS intends to potentially begin site visits and assess buildings to start the building condition assessment reports. Target Date: Jun-2024</p>

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<p>#18-06 Community Center Reuse (now the Neighborhood Center Partner Program)</p> <p>#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.</p>	PRNS	Partly Implemented	PRNS' Building Management Administrator (BMA) and Senior Maintenance Worker are tasked with addressing building infrastructure, equipment needs, and facility improvements. As Neighborhood Center Partner Program sites reopen, the BMA has been monitoring submitted work orders and associated costs. As sites become fully operational, the BMA is expected to continue to track maintenance costs and revenues and periodically review the City's cost for the facilities. Target Date: Dec-2022 (Delayed From: Dec-2021)
<p>#18-06 Community Center Reuse (now the Neighborhood Center Partner Program)</p> <p>#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.</p>	PRNS	Partly Implemented	PRNS has developed reporting and monitoring requirements that were included in a 2021 RFQ and incorporated into service providers' executed contracts. Service providers are expected to submit a mid-year report in April 2022 and an end of year report in November 2022. Subsequently, annual site visits will be conducted to cross-reference reported deliverables. PRNS plans to provide an update on program performance to the Neighborhood Services and Education Committee (NSE) after a full program year. Target Date: Jun-2023 (Delayed From: Jul-2020)
<p>#18-06 Community Center Reuse (now the Neighborhood Center Partner Program)</p> <p>#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.</p>	PRNS	Implemented	PRNS has developed Monitoring Guidelines that outline procedures for monitoring service providers including roles and responsibilities. They also established a procedural system, stored on OneDrive, where all contract monitoring forms and program tracking workbooks are stored. Additionally, contract management is done 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 collecting certificates of insurance and proof of San Jose Business Tax Licenses. The first round of monitoring (mid-year report) will be conducted in the Spring 2022.
<p>#18-06 Community Center Reuse (now the Neighborhood Center Partner Program)</p> <p>#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.</p>	PRNS	Implemented	PRNS added language to all executed contracts 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.
<p>#18-06 Community Center Reuse (now the Neighborhood Center Partner Program)</p> <p>#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.</p>	PRNS	Implemented	All 12 primary providers and 4 subcontracting providers currently providing services at NCPP sites have finalized executed agreements.

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<p>#18-06 Community Center Reuse (now the Neighborhood Center Partner Program)</p> <p>#07 PRNS should immediately collect active certificates of insurance from all service providers under the reuse program.</p>	PRNS	Implemented	Active certificates of insurance are required in every current agreement with reuse service providers. Proof of compliant insurance coverage, from all current service providers and their subcontractors, were collected and approved by the City's Risk Management team.
<p>#18-06 Community Center Reuse (now the Neighborhood Center Partner Program)</p> <p>#08 PRNS should immediately ensure verification or certification of background checks of reuse providers' paid and unpaid staff, in accordance with the reuse agreement.</p>	PRNS	Partly Implemented	An "Attestation of Background Check" form was developed by PRNS and approved by the City Attorney's Office to confirm partner compliance with fingerprinting, background checks, TB testing requirements, and Trustline registration (if applicable) for all employees and volunteers working and/or interacting with vulnerable populations at Neighborhood Center Partner Program (formerly Reuse) sites. Partners submitted their signed attestation forms in February 2022 and verification of these records will be conducted at site visits in May 2022. Target Date: May-2022 (Delayed From: Dec-2019)
<p>#18-06 Community Center Reuse (now the Neighborhood Center Partner Program)</p> <p>#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.</p>	PRNS	Implemented	PRNS staff has finalized the "Contract Exemplar" template agreement which requires that 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. Now that all contracts have been finalized and executed, providers are required to submit all relevant proof of licensure as part of their initial submission of documentation. For those that are license exempt, there is language in the Attestation of Background Check document for license exempt providers to certify that they have registered with Trustline.
<p>#18-06 Community Center Reuse (now the Neighborhood Center Partner Program)</p> <p>#10 To ensure service providers in the reuse program are abiding by the provisions of the City's Reuse Policy, PRNS should:</p> <p>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</p> <p>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.</p>	PRNS	Implemented	PRNS created a formal six month corrective action plan for service providers struggling to meet the terms of their Neighborhood Center Partner Program (NCP) agreements. Corrective action plans will be implemented based on performance history and contract compliance. To monitor the fee provisions of their contracts, providers are required to submit a financial report detailing their program fees, methods of ensuring financial accessibility, cost recovery program fee allocation, and the overall financial health of the agency. The first Financial Report was submitted in February 2022. PRNS is currently reviewing all program fees and their budgetary allocation to determine approval of fees. If fees and revenue are out of compliance with NCP provisions, Corrective Action Plans will be put in place by the SPU Program Manager and NCP Supervisor.

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<p>#18-06 Community Center Reuse (now the Neighborhood Center Partner Program)</p> <p>#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.</p>	PRNS	Implemented	PRNS has established and included in all executed contracts, 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. PRNS has executed contracts with all service providers.
<p>#18-06 Community Center Reuse (now the Neighborhood Center Partner Program)</p> <p>#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.</p>	PRNS	Implemented	PRNS has executed contracts with all current service providers including 12 primary providers and 4 subcontractors.
<p>#18-07 Audit of the City's Homeless Assistance Programs</p> <p>#07 To analyze the effectiveness of the City's homeless assistance efforts, the Housing Department should use HMIS to:</p> <p>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</p> <p>b) Compare the performance of the City's homeless assistance by strategy area to identified targets and the performance of the CoC on a semi-annual basis.</p>	HSG	Partly Implemented	The Department reports that the Homeless Response Team Analyst completed HMIS training and is working closely with agencies to monitor performance and data entry into HMIS. Moreover, it reports that the grants development officer is also trained and has started pulling reports quarterly from HMIS. July 2022 will be a full year of pulling the HMIS data for analysis. Target Date: Jul-2022 (Delayed From: Aug-2019)

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<p>#18-07 Audit of the City's Homeless Assistance Programs</p> <p>#11 To effectively manage monitoring activities and utilize monitoring results to improve project delivery of its homeless response grants, the Housing Department should:</p> <p>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;</p> <p>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</p> <p>c) Compare grantee progress reports against HMIS reported data on a semi-annual basis to ensure the accuracy of grantee reported performance metrics.</p>	HSG	Partly Implemented - Priority	<p>a) The Department has developed monitoring policies, procedures, and templates to conduct monitoring visits.</p> <p>b) The Department is currently executing an agreement with a monitoring consultant firm. The agreement will be through 6/30/2023, with a possible extension to 6/30/2026. The consultant is expected to plan, organize, facilitate, and debrief a webinar session with staff and recipients of Federal entitlement grants in the City. The consultant is expected to also familiarize staff and recipients with Federal monitoring standards and requirements.</p> <p>c) The Department has been granted access to the County's HMIS system. The Department reports staff have been trained and are running grantee reports. Target Date: Dec-2022 (Delayed From: Jul-2020)</p>
<p>#18-10 Audit of Towing Services</p> <p>#01 To provide a method to address violations, the City should include in future towing services agreements:</p> <p>a) An escalating penalty structure of liquidated damages, suspensions, and contract termination. Liquidated damages should be increased over time.</p> <p>b) Provisions requiring towing contractors to respond to another tow zone in case of a tow refusal or suspension (with a different timeliness standard).</p>	PBCE	Not Implemented	<p>Due to the City's emergency response to COVID-19, the Administration delayed an RFP for a technology platform and contract administration for tow services. The Administration anticipates the release of the RFP proposal in spring 2022. The Administration reports that requirements to meet this recommendation will be incorporated in the RFP proposal and implementation of new model as appropriate. Target Date: Jun-2023 (Delayed From: Jul-2020)</p>
<p>#18-10 Audit of Towing Services</p> <p>#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.</p>	PBCE	Not Implemented - Priority	<p>Due to the City's emergency response to COVID-19, the Administration delayed an RFP for a technology platform and contract administration for tow services. The Administration anticipates the release of the RFP proposal in spring 2022. The Administration reports that requirements to meet this recommendation will be incorporated in the RFP proposal and implementation of new model as appropriate. Target Date: Jun-2023 (Delayed From: Jul-2020)</p>
<p>#18-10 Audit of Towing Services</p> <p>#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.</p>	PBCE	Not Implemented	<p>Due to the City's emergency response to COVID-19, the Administration delayed an RFP for a technology platform and contract administration for tow services. The Administration also brought forward a Fifth Amendment to the City Generated Tow Services Agreements in March 2021, which continued the reduction of the contract compensation fee to zero, to ensure continuity of tow services. The Tow Services Agreements are currently through March 31, 2022 but the Administration plans to extend these agreements through March 31, 2023. The Agreements may be extended year-by-year through March 31, 2026 at the City's option. Target Date: Jun-2023 (Delayed From: Jul-2020)</p>

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<p>#18-10 Audit of Towing Services</p> <p>#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.</p>	PBCE	Partly Implemented	Due to impacts of the City's emergency response to COVID-19, the Administration delayed an RFP for a technology platform and contract administration for tow services. The Administration anticipates the release of the RFP proposal in spring 2022. The Administration brought forward an amendment to the City Generated Tow Services Agreements to Council in March 2021 to ensure continuity of tow services. Staff anticipates that the issues which warranted a junk vehicle reimbursement program will be addressed as part of the tow software and contract administration RFP and new City Generated Tow Services Delivery Model as appropriate. Target Date: Jun-2023 (Delayed From: Jul-2020)
<p>#18-10 Audit of Towing Services</p> <p>#06 The City Administration, in consultation with appropriate departments, should establish clear guidelines for the appropriate disposal of hazardous waste and junk vehicles.</p>	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 compensation. The Administration intends to develop additional guidelines for disposal of junk vehicles as it moves forward with a new RFP and service delivery model. Target Date: Jun-2023 (Delayed From: Jul-2020)
<p>#18-10 Audit of Towing Services</p> <p>#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.</p>	PBCE	Not Implemented	Due to the City's emergency response to COVID-19, the Administration delayed an RFP for a technology platform and contract administration for tow services. The Administration anticipates the release of the RFP proposal in spring 2022. The Administration reports that requirements to meet this recommendation will be incorporated in the RFP proposal and implementation of new model as appropriate. Target Date: Jun-2023 (Delayed From: Jul-2020)
<p>#18-10 Audit of Towing Services</p> <p>#10 The City should consider additional changes to future towing services agreements, such as:</p> <ul style="list-style-type: none"> 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 an RFP for a technology platform and contract administration for tow services. The Administration anticipates the release of the RFP in spring 2022. The Administration extended its existing requirements in an amendment to the City Generated Tow Services Agreements which was brought to Council in March 2021. The Administration reports that requirements to meet this recommendation will be incorporated in the RFP proposal/new model as appropriate. Target Date: Jun-2023 (Delayed From: Jul-2020)

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<p>#18-10 Audit of Towing Services</p> <p>#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.</p>	PBCE	Not Implemented	Due to the City's emergency response to COVID-19, the Administration delayed an RFP for a technology platform and contract administration for tow services. The Administration also brought forward a Fifth Amendment to the City Generated Tow Services Agreements in March 2021, which continued the reduction of the contract compensation fee to zero, to ensure continuity of tow services. The Tow Services Agreements are currently through March 31, 2022 but the Administration plans to extend these agreements through March 31, 2023. The Agreements may be extended year-by-year through March 31, 2026 at the City's option. Target Date: Jun-2023 (Delayed From: Jul-2020)
<p>#18-10 Audit of Towing Services</p> <p>#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).</p>	PBCE	Not Implemented	Due to the City's emergency response to COVID-19, the Administration delayed an RFP for a technology platform and contract administration for tow services. The Administration reports that requirements to meet this recommendation will be incorporated in the RFP proposal/new model as appropriate. The Administration also brought forward a Fifth Amendment to the City Generated Tow Services Agreements in March 2021, which continued the reduction of the contract compensation fee to zero, to ensure continuity of tow services. The Tow Services Agreements are currently through March 31, 2022 but the Administration plans to extend these agreements through March 31, 2023. The Agreements may be extended year-by-year through March 31, 2026 at the City's option. Target Date: Jun-2023 (Delayed From: Jul-2020)
<p>#18-10 Audit of Towing Services</p> <p>#13 In future towing services agreements, the City should clarify the collection process for the contract fee.</p>	PBCE / FIN	Not Implemented	Due to the City's emergency response to COVID-19, the Administration delayed an RFP for a technology platform and contract administration for tow services. The Administration also brought forward a Fifth Amendment to the City Generated Tow Services Agreements in March 2021, which continued the reduction of the contract compensation fee to zero, to ensure continuity of tow services. The Tow Services Agreements are currently through March 31, 2022 but the Administration plans to extend these agreements through March 31, 2023. The Agreements may be extended year-by-year through March 31, 2026 at the City's option. Target Date: Jun-2023 (Delayed From: Jul-2020)
<p>#18-10 Audit of Towing Services</p> <p>#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.</p>	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 anticipates the release of the RFP proposal for tow software and contract administration in spring 2022. 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. The Administration also brought forward a Fifth Amendment to the City Generated Tow Services Agreements in March 2021, which continued the reduction of the contract compensation fee to zero, to ensure continuity of tow services. The Tow Services Agreements are currently through March 31, 2022 but the Administration plans to extend these agreements through March 31, 2023. The Agreements may be extended year-by-year through March 31, 2026 at the City's option. Target Date: Jun-2023 (Delayed From: Jul-2020)

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<p>#18-10 Audit of Towing Services</p> <p>#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.</p>	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 anticipates the release of the RFP proposal for tow software and contract administration in spring 2022. The Administration brought forward an amendment to the City Generated Tow Services Agreements to Council in March 2021 to ensure continuity of tow services. Staff report that the Police Department currently does not have staffing or capacity to support the administration and management of City Generated Tow Services agreements. As part of the 2023-2024 annual budget process, the Police Department Fiscal Unit, in coordination with PBCE, intends to explore proposals to secure the required staffing and resources to support contract administration as appropriate. Target Date: Jun-2023 (Delayed From: Jul-2020)
<p>#19-01 Audit of 9-1-1 and 3-1-1</p> <p>#02 Fire Communications should pull regular performance reports and monitor average answering times.</p>	FIRE	Not Implemented	The Department reports that the Fire Communications Analyst hiring process initiated in May 2021 did not result in a final job offer. A new hiring process has launched. 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: Jan-2023 (Delayed From: Jun-2020)
<p>#19-01 Audit of 9-1-1 and 3-1-1</p> <p>#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.</p>	PD / FIRE	Partly Implemented	The Police Department reports staff is working on a written recruiting plan. Once the plan is completed, staff will work on identifying opportunities for collaboration and joint recruiting opportunities with the Fire Communications Recruiting Unit. A new recruitment for a Fire Communications Analyst has launched. The Fire Communications Analyst will assist in developing a formalized recruitment plan. The Police and Fire Department have collaborated together in a past recruitment where the Police Department notified the Fire Department that they had more applicants on their eligibility list than they could hire in a timely manner. Through coordination with Human Resources, those candidates who applied for the Police Department positions were given an option to join the Fire Department hiring process which was in progress at the time. Target Date: Jan-2023 (Delayed From: Jun-2021)
<p>#19-01 Audit of 9-1-1 and 3-1-1</p> <p>#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.</p>	PD / FIRE	Partly Implemented	The Police Recruiting Unit has recently signed an agreement with Civilian, Inc to help with recruiting. A new recruitment of the Fire Communications Analyst has launched. The Fire Communications Analyst will assist in developing a formalized recruitment plan that will guide the Department's use of an external marketing firm. Target Date: Jan-2023 (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	Parking options for both Police and Fire Communications personnel have increased for employees working outside of regular business hours. The Police Department reports that, due to an agreement with Santa Clara County, Police and Fire Communications personnel are permitted to park directly across the street in a County lot. The improvement project to the N. San Pedro Street and Mission Street parking lot has been completed and is another available parking area that is secured by Department card readers, with pedestrian gate access on the north side, and vehicle gate access on the east side. The Police Department continues to offer interior parking spots for Police Communications personnel working on swing and night shifts, but staff report that there are not sufficient spots for all employees. Additionally, the Fire Department reports that staff submitted a budget request for FY 2022-23 for provision of a security guard with ability to provide escort between the employee parking lot and building during hours of darkness. Target Date: Jun-2022 (Delayed From: Dec-2020)
#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 continues to review and finalize a report from Mission Critical Partners pursuant to the Fire Communications Workforce Optimization Study. The Department reports that the study provides analysis on the staffing levels and call taking capacity. Target Date: Jul-2023 (Delayed From: 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 continues to use retiree rehires for call-taking, radio dispatching, and TRAC. This is still considered an interim solution. The Department has determined that assigning these responsibilities to the City Customer Contact Center is not feasible but is still considering other options (including the use of CSOs). Target Date: Jun-2022 (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	Partly Implemented	Online reporting is available at http://www.sjpd.org/reportingcrime/online-report/ . During the Covid-19 Pandemic, additional online reporting options were added including non-injury traffic accidents and hit and run accidents. The Department reports that further online reporting options will take more work. Target Date: Dec-2022 (Delayed From: Jun-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: Dec-2022 (Delayed From: Jun-2020)

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<p>#19-03 Development Noticing</p> <p>#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.</p>	PBCE	Not Implemented	According to the Administration, the implementation of this recommendation is dependent on staffing resources and Council prioritization. The City's response to the COVID-19 pandemic highlighted opportunities for closer coordination across the City regarding engagement with, and outreach to, the community and its residents. Staff is currently assessing whether to reprioritize amendments to Policy 6-30 with ongoing efforts to align organization-wide policy on outreach and engagement. Target Date: Dec-2024 (Delayed From: Dec-2021)
<p>#19-03 Development Noticing</p> <p>#02 To ensure neighborhood associations are properly notified about new development proposals:</p> <p>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.</p> <p>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.</p>	CMO / PBCE	Implemented	PBCE created a Neighborhood and Business Associations map and completed the internal guidelines for use of the map. The Department reports that Planning staff received training regarding the guidelines and how to use the mapping tools in October 2021.
<p>#19-03 Development Noticing</p> <p>#03 Planning should propose updates to Council Policy 6-30 and develop and implement procedures to:</p> <p>A. Proactively identify projects and dominant neighborhood languages to ensure hearing notices are properly translated,</p> <p>B. Include guidance on when interpretation services for hearings should be provided, and</p> <p>C. Remove the requirement that requesting parties pay for the translation of hearing notices, and determine an appropriate funding source.</p>	PBCE	Partly Implemented	The Planning Division's current Fees and Charges Resolution, which includes three new fees that applicants must pay when projects require interpretation services, became effective August 16, 2021. The Department reports that full implementation of this recommendation is dependent on staffing resources and Council prioritization. Staff is currently assessing whether to reprioritize amendments to Policy 6-30 with ongoing efforts to align organization-wide policy on outreach and engagement. Target Date: Dec-2024 (Delayed From: Dec-2021)
<p>#19-03 Development Noticing</p> <p>#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.</p>	PBCE	Not Implemented	According to the Administration, the implementation of this recommendation is dependent on staffing resources and Council prioritization. According to the Administration, the City's response to the COVID-19 pandemic highlighted opportunities for closer coordination across the City regarding engagement with, and outreach to, the community and its residents. Staff is currently assessing whether to reprioritize amendments to Policy 6-30 with ongoing efforts to align organization-wide policy on outreach and engagement. Target Date: Dec-2024 (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	Partly Implemented	Development Services Partners and the Information Technology Department completed the technical requirements that enhances the availability of online information. The Department reports that these features went live on SJPermits in September 2021. According to the Department, the full implementation of this recommendation is dependent on staffing resources and Council prioritization. According to the Administration, the City's response to the COVID-19 Pandemic highlighted opportunities for closer coordination across the City regarding engagement with, and outreach to, the community and its residents. Staff is currently assessing whether to reprioritize amendments to Policy 6-30 with ongoing efforts to align organization-wide policy on outreach and engagement. Target Date: Dec-2024 (Delayed From: Dec-2021)
#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	Implemented	PBCE developed a plain language, online guide in English, Spanish, and Vietnamese. PBCE has developed links to these guides for mailed and e-mailed community meeting and public hearing notices. The Planning Division updated its mailed noticing templates to incorporate these links.
#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	Implemented	An MOU between the County and the City was finalized and executed in July 2021. The updated agreement includes goals and criteria for referral expectations and performance outcomes as well as all current activities performed by Youth Intervention Services. The likelihood of referrals from Probation to MGPTF has been significantly reduced by changes in the juvenile legal environment. By State law, most youth are now diverted from the juvenile justice system before they enter Probation oversight. Youth that are under Probation supervision receive services arranged by the County, often via contracts with the same community-based organizations funded by the MGPTF. As a result, MGPTF will receive referrals from Probation less frequently than anticipated.
#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	Implemented	As a part of the Task Force's continuum of care strategy, PRNS met with the Santa Clara County Office of Re-entry Services in March 2021 to discuss how the MGPTF can better collaborate with Re-entry Services. Though SCC Re-entry Services' clientele are primarily adults, there is some overlap with the Task Force as the Youth Intervention Services (YIS) programs serve youth up to age 24. However, this is expected to occur on a very limited basis. In efforts to collaborate, the Director of Re-entry Services presented to the MGPTF Technical Team in April 2021 summarizing all the services that are available at the Re-entry Resource Center. In October 2021, MGPTF Staff presented to contractors and staff of the Santa Clara County Office of Re-entry Services on its programs and how eligible youth can be referred to MGPTF for services. PRNS has also created formal referral channels between Re-entry and the MGPTF in their database.

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<p>#19-04 The Mayor's Gang Prevention Task Force</p> <p>#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.</p>	PRNS	Partly Implemented	<p>In February 2019, SJPD reported an increase in overall juvenile crimes. To address the overall increase, PRNS met with the new Chief of Police, who co-chairs the Mayor's Gang Prevention Task Force Policy Team, to discuss how the Task Force could approach this. The Policy Team is the body that will make strategic decisions about the role of the Task Force in relation to overall youth violence prevention. The Administration is anticipating approving a new Strategic Work Plan in August 2022. Changes or adjustments to the Task Force's role is expected to be made in the current community context, including juvenile crime and youth violence rates, and the Reimagining Community Safety process. Target Date: Aug-2022 (Delayed From: Jul-2021)</p>
<p>#19-04 The Mayor's Gang Prevention Task Force</p> <p>#04 The Department of Parks, Recreation and Neighborhood Services should ensure participant needs are consistently assessed by developing processes to:</p> <ul style="list-style-type: none"> 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	<p>A consultant completed a screening tool and is currently piloting it to four BEST funded agencies and two YIS programs. Based on the feedback from the pilot stage, the tool will be adjusted to ensure that youth known to fall into each risk category will be identified in that risk level by the screener. The goal of the pilot is to obtain a minimum of 100 completed screeners across all six programs. The consultant will then revise and refine the screener tool, as needed, and develop training for YIS and BEST program staff to support consistent implementation of the tool across MGPTF programs. Screening tool implementation is projected to begin September 2022 with both YIS and BEST Programs. Target Date: Sep-2022 (Delayed From: Jun-2021)</p>
<p>#19-04 The Mayor's Gang Prevention Task Force</p> <p>#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:</p> <ul style="list-style-type: none"> 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	<p>The Task Force services 17 school districts. PRNS has updated and executed agreements for six school districts including East Side Union High School District, Alum Rock, Franklin-McKinley, Moreland, San Jose Unified, and the Santa Clara County Office of Education (alternative schools). Due to school closures and other issues related to the pandemic, updating the remaining 11 agreements has been deprioritized for school districts. PRNS plans to meet with District superintendents to update and finalize agreements by June 2022. Target Date: Jun-2022 (Delayed From: Jul-2020)</p>

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<p>#19-04 The Mayor's Gang Prevention Task Force</p> <p>#14 The Department of Parks, Recreation and Neighborhood Services should:</p> <p>a) Reassess reported program outcomes and units of service for all Task Force programs, and</p> <p>b) Re-define and annually report key program outcome measures.</p>	PRNS	Partly Implemented	PRNS has hired a consultant to develop a performance measurement framework for all Task Force programs (BEST and Youth Intervention Services) that will reassess program outcomes and units of service. The framework will align with the preliminary theory of change developed by the MGPTF evaluation consultant, Social Policy Research Associates, City audit recommendations, and program capacity for data collection. The multi-stage planning process, led by the consultant, includes program kick-off, program discovery, finalization of performance metrics, and a recommendation for data collection and tools as the final product in June 2022. After the consultant has recommended the performance metrics and data collection processes, and tools, PRNS will review and confirm the program outcomes being measured and will implement the appropriate data collection processes and tools. Target Date: Aug-2022 (Delayed From: Jul-2021)
<p>#19-04 The Mayor's Gang Prevention Task Force</p> <p>#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.</p>	PRNS	Partly Implemented	The youth survey for the Youth Intervention Services (YIS) program has been revised so that it is applicable to the seven YIS programs. The survey is currently being piloted with individual Case Management Intervention clients in the Safe School Campus Initiative and Female Intervention Team programs. Results of this survey were expected by late January but will not be analyzed in time to be included in the April 2022 Task Force annual report to Council. PRNS expects to report on YIS survey results for the annual report in 2023. For the BEST program, PRNS has been conducting youth surveys and reported the most recent results in the annual report to Council at the March 2021 Neighborhood Services and Education Committee meeting. Target Date: Apr-2023 (Delayed From: Jul-2020)
<p>#19-05 Employee Reimbursements</p> <p>#04 The Finance Department should work with the Office of Employee Relations and the Information Technology Department to simplify the employee reimbursement process by:</p> <p>a) Reviewing the approval process for small dollar reimbursements (e.g., parking, tolls, and local transportation), potentially requiring a dollar threshold.</p> <p>b) Including commonly requested expense reimbursements and timeliness requirements, either in the upcoming electronic travel and expense management system or another electronic solution.</p> <p>This may require updating the associated City policies to reflect the revised processes.</p>	FIN / OER	Not Implemented	The Finance Department, in coordination with the Office of Employee Relations and Information Technology Department, initiated an Employee Reimbursement Business Process Automation project in January 2022. The project scope will address (a) the approval process for small dollar reimbursements (e.g., parking, tolls, and local transportation), and (b) expense reimbursements and timeliness requirements Target Date: Dec-2022 (Delayed From: Jun-2020)

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<p>#19-06 Form 700s</p> <p>#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:</p> <p>a) Update and document expectations for department liaisons regarding entering employee assuming and leaving office information into the e-filing system; and/or</p> <p>b) Work with the Human Resources and Information Technology Departments and the e-filing system vendor to automate the process for updating employee information.</p>	CLERK / HR / IT	Partly Implemented	The purpose of this recommendation was to ensure that departments liaisons, who are tasked with identifying Form 700 filers and ensuring they are correctly entered into the City's Form 700 e-filing system, are aware of their responsibilities for the Form 700 process. The Office of the City Clerk reports that a Form 700 training was held in January 2020. The plan was for regular trainings to occur once operations stabilize from COVID-19 impacts. The Office of the City Clerk reports that department liaisons add filers and enter leaving dates and transfer positions, and that the Form 700 leaving office statement is part of the exit documents. Once the expectations for department liaisons are documented and shared with them, and additional department liaison trainings are held, this recommendation will be considered implemented. Target Date: Dec-2022 (Delayed From: Jun-2020)
<p>#19-06 Form 700s</p> <p>#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.</p>	CLERK	Partly Implemented	The City Clerk's Office reports that it uses the e-filing system to send late notices and track correspondence with non-filers, but that the procedures on this had not yet been documented. The City Clerk's Office reports that there has not been progress on this recommendation during this period due to additional workload that resulted from issues related to COVID-19. Target Date: Jun-2022 (Delayed From: Jun-2020)
<p>#19-06 Form 700s</p> <p>#03 To ensure consistency with annual filing requirements, the City Clerk's Office should:</p> <p>a) Regularly compare the numbers of annual Form 700 filers and Family Gift Report filers and reconcile any differences.</p> <p>b) Document expectations for department liaisons that annual filers be notified of requirements to file a Family Gift Report.</p>	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. Once the procedures on department liaison responsibilities have been finalized and shared with the department liaisons, this recommendation will be considered implemented. Target Date: Dec-2022 (Delayed From: Jun-2020)

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<p>#19-06 Form 700s</p> <p>#04 The Administration, as it develops Citywide guidelines on contract management, should clarify responsibilities for consultant Form 700 filing compliance, including:</p> <ul style="list-style-type: none"> a) Coordinating with the City Clerk's Office to ensure all consultants 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) previously executed a service order with a consultant to review the current process for consultant procurements across various City departments while developing recommendations on process improvements, including monitoring of consulting contracts and Form 700 filers. The CMO terminated the Service Order and combined their efforts with the Purchasing Department, and their consultant. The CMO reports the Consultant is in the process of finalizing their evaluation and proposing modifications to the existing process. The CMO has also 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. Target Date: Dec-2022 (Delayed From: Jun-2020)
<p>#19-06 Form 700s</p> <p>#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.</p>	CAO	Not Implemented	The City Attorney's Office is working with City staff to modify the standard consulting agreement to include a business email address for each consultant filer listed. Target Date: Jun-2022 (Delayed From: Dec-2020)
<p>#19-06 Form 700s</p> <p>#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.</p>	CLERK	Partly Implemented	The Office of the City Clerk had reported that they developed draft procedures, but they had not yet been finalized. Due to the extra workload from issues related to COVID-19, the Office of the City Clerk reports that no progress has been made on this recommendation during this period. Target Date: Jun-2022 (Delayed From: Jun-2020)
<p>#19-06 Form 700s</p> <p>#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.</p>	CLERK	Partly Implemented	In 2021, the Office of the City Clerk generated reports from the e-filing system identifying employees with reportable interests and provided them to department liaisons and department heads for review. Once the procedures on generating these reports are documented, this recommendation will be considered implemented Target Date: Dec-2022 (Delayed From: Jun-2020)
<p>#19-06 Form 700s</p> <p>#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.</p>	CMO / CAO	Partly Implemented	The City Attorney's Office and the City Manager's Office have met, and will continue to meet, to discuss an internal process for periodic review of Form 700. Target Date: Dec-2022 (Delayed From: Jun-2020)

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<p>#19-07 Procurement Cards</p> <p>#01 The Finance Department should:</p> <ul style="list-style-type: none"> 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. Both documents are under senior staff review. Target Date: Jun-2022 (Delayed From: Jun-2020)
<p>#19-07 Procurement Cards</p> <p>#02 The Finance Department should:</p> <ul style="list-style-type: none"> 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 is now responsible for administering and monitoring the annual recertification quiz Citywide, including enforcing suspensions as needed. 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. Both documents are under senior staff review. Target Date: Jun-2022 (Delayed From: Jun-2020)
<p>#19-07 Procurement Cards</p> <p>#03 To help employees comply with applicable purchase requirements, Finance should:</p> <ul style="list-style-type: none"> 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	Partly 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-2022 (Delayed From: Jun-2020)
<p>#19-07 Procurement Cards</p> <p>#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.</p>	FIN	Partly Implemented	San José's Municipal Code defines software as a service. The Finance Department will clarify in its p-card policy and administrative guide that cloud-based subscriptions require approval from the Information Technology Department. Both documents are under senior staff review. Target Date: Jun-2022 (Delayed From: Jun-2020)

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<p>#19-07 Procurement Cards</p> <p>#05 We recommend Finance work with Office Depot to review past pricing and purchasing data to determine and ensure the City received:</p> <ul style="list-style-type: none"> a) Discounts on non-contracted items; b) Appropriate rebates, including those based on the sales of "piggybacked" cities; and c) Appropriate pricing under the terms of the agreement. 	FIN	Partly Implemented	<p>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 yet been able to review pricing and purchasing data for non-contracted items or confirm rebates for "piggybacked" cities. Target Date: Jun-2022 (Delayed From: Jun-2020)</p> <p>Potential Budget Savings: At the time of the audit, we estimated the City may have lost out on at least \$176,00 in savings.</p>
<p>#19-07 Procurement Cards</p> <p>#07 The Finance Department should:</p> <ul style="list-style-type: none"> 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	<p>Finance is including in its p-card training sessions the expectation that departments use 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. Both documents are under senior staff review. The Department has published instructions to help City staff view complete purchase order information on all internet browsers. Target Date: Jun-2022 (Delayed From: Jun-2020)</p>

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<p>#19-07 Procurement Cards</p> <p>#09 PRNS should develop procedures for p-card usage that include:</p> <ul style="list-style-type: none"> 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	<p>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 206 as of January 2022.</p> <p>b: PRNS expects to develop guidelines that establish business needs for making p-card purchases, including those related to food and beverages by June 2022.</p> <p>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.</p> <p>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 June 2022. PRNS has also published available Purchase Orders on its Intranet site.</p> <p>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.</p> <p>f: PRNS reports that it has made improvements on paying its p-card charges on time. The Department reports that since 2021, it has twice incurred monthly late fees for a total amount \$45. According to the Department, the late charges were a result of staff transitions and extended processing times due to training. Target Date: Jun-2022 (Delayed From: Mar-2022)</p>
<p>#19-08 Street and Utility In-Lieu Fees</p> <p>#03 To ensure that fee revenues are appropriately spent on intended public improvements, Public Works should:</p> <ul style="list-style-type: none"> 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	Implemented	<p>Public Works staff have continued to coordinate on a project-by-project basis to identify in-lieu fees that had been collected for public improvements that have since been completed. Since the audit, Public Works has transferred about \$8 million dollars for completed improvements. The City has received new in-lieu fee revenues in the past couple of years and Development Services staff report that they have kept program staff informed of these revenues through the development review process (when staff identify potential impacts and mitigations) or through the yearly in-lieu fee report.</p>

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<p>#19-08 Street and Utility In-Lieu Fees</p> <p>#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.</p>	PW	Partly Implemented	<p>In December 2021, staff adjusted the undergrounding fee to \$574 per linear foot of frontage, based on the City Average Construction Cost Index. While staff had anticipated updating the undergrounding fee based on recent project costs, staff report the two undergrounding projects have been delayed due to the COVID-19 pandemic. Staff expect the Delmas/Park Rule 20B project to complete in March 2022, which will allow staff to compare actual costs against the adjusted fee. Once the construction contract for the McKee/José Figueres Rule 20B project is awarded (anticipated in July 2022), staff plan to use cost data for both projects to update the fee accordingly. Target Date: Jul-2022 (Delayed From: Jun-2021)</p>
<p>#19-10 Technology Deployments</p> <p>#06 In order to ensure that complex technology projects are adequately managed:</p> <p>a. Departments should work with the City's Portfolio-Product-Projects Office (C3PO) to evaluate internal project management capacity within the project chartering process.</p> <p>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.</p> <p>c. Require consultant project managers to report project progress on a regular basis to an appropriate governing body (e.g., the executive steering committee).</p>	IT	Partly Implemented	<p>a) The Technology Management and Deployments Policy (1.7.2) 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. The hiring and oversight of consultant project managers must involve the Chief Information Officer or their designee and consultant payments must be tied to overall project progress. Lastly, the policy requires the products-projects manager and C3PO to report project progress, with status reports produced on at least a quarterly basis, with a more frequent cadence based on the impact and criticality of a specific project.</p> <p>b) Consultant products-projects managers are now hired with C3PO Division Manager oversight, and their progress and status tracked on a regular basis. An intake form for new C3PO level projects has also been created and is being adopted for new project requests.</p> <p>c) ITD must still implement a consistent process for consultant management reports.</p> <p>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-2022 (Delayed From: Dec-2020)</p>
<p>#19-10 Technology Deployments</p> <p>#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:</p> <ul style="list-style-type: none"> • Approval of specifications • Product customizations and their approvals • Progress against project plans • Changes to agreed-upon features • Key communications with the vendor 	IT	Partly Implemented	<p>The Technology Management and Deployments Policy (1.7.2) has been signed and posted. The policy 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 project's SharePoint directory, which is linked in the project charter and must be accessible to all assigned City staff and vendor staff. Approvals, customizations, progress reports, agreed-upon changes and key communications with vendors are archived and searchable in these SharePoint directories. ITD is working to further improve the accuracy and timeliness of reports. It anticipates this recommendation to be implemented once Citywide training, processes, and reporting are running consistently. Target Date: Jun-2022 (Delayed From: Feb-2020)</p>

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<p>#19-10 Technology Deployments</p> <p>#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:</p> <ul style="list-style-type: none"> 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, high-level reporting with status to the Smart Cities and Services Committee occurs every other month. A more detailed reporting, including budget and time metrics, is on an internal dashboard that is visible to all City employees and elected officials. A PDF export of this dashboard is created and publicly available on the City's web site, updated for every two-week sprint cycle. Target Date: Jun-2022 (Delayed From: Mar-2021)
<p>#19-10 Technology Deployments</p> <p>#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).</p>	IT	Closed - Priority	ITD reports progress has been made in implementing and deploying a scanning tool (Tenable Nessus) to ensure it meets City needs as a tracking tool for software and hardware. ITD is in the process of releasing an RFP to implement the platform for the next 5 years. Additionally, a Cybersecurity Analyst was hired to focus on this area of work. The Technology Management and Deployments Policy (1.7.2) clarifies ITD's role in ensuring the City is aware of and manages its technology assets. We recommend closing this recommendation because it was superseded by a recommendation from a January 2022 audit report, Information Technology: Improved Governance Would Strengthen the City's Cybersecurity.
<p>#20-02 Fleet Maintenance and Operations</p> <p>#01 To help identify replacements, Public Works should update its replacement criteria in the Vehicle Replacement Policy to:</p> <ul style="list-style-type: none"> 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	Implemented	Public Works has updated its Vehicle Replacement Policy to incorporate maintenance costs, update age and mileage criteria, and align with the City's electric mobility and green fleet goals.

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<p>#20-02 Fleet Maintenance and Operations</p> <p>#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:</p> <ul style="list-style-type: none"> 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	Partly Implemented	<p>Public Works is currently working on updating the policy, and plans to have the updates completed, reviewed, and approved by June 2022. Target Date: Jun-2022 (Delayed From: Mar-2022)</p> <p>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.</p>
<p>#20-02 Fleet Maintenance and Operations</p> <p>#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:</p> <ul style="list-style-type: none"> 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	<p>Public Works continues to use the rehire retiree program to help offset staffing shortages. The Department reports that a long-term strategy to address staffing has yet to be developed. Target Date: Jun-2022 (Delayed From: Dec-2021)</p>
<p>#20-02 Fleet Maintenance and Operations</p> <p>#04 To improve Citywide preventive maintenance (PM) compliance, Public Works' Fleet Division should:</p> <ul style="list-style-type: none"> 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, and 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	<p>Public Works has implemented automated emails for preventative maintenance notifications, and is working with its vendor to create dashboards that will help the Department as well customer departments monitor preventative maintenance compliance. Target Date: Jun-2022 (Delayed From: Dec-2021)</p>

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<p>#20-02 Fleet Maintenance and Operations</p> <p>#05 To improve communication with other City departments, Public Works' Fleet Division should develop and implement procedures for communicating:</p> <ul style="list-style-type: none"> 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 has created a customer portal within its fleet management system that allows City departments to view fleet work order status, including the work performed and reasons for any delay. The Department reports that an asset availability dashboard has been rolled out to the Police Department and Department of Transportation and that it continues to hold check-in meetings with City departments. Target Date: May-2022 (Delayed From: Dec-2021)
<p>#20-02 Fleet Maintenance and Operations</p> <p>#06 Public Works' Fleet Division should pilot an electronic work order intake process using AssetWorks to increase efficiency and remove duplication of efforts.</p>	PW	Partly Implemented	Public Works has had to pause a pilot to address this recommendation due to delays in upgrading the Assetworks system. The Department intends to complete the pilot program, including validating program results, in the spring of 2022. Target Date: May-2022 (Delayed From: Sep-2021)
<p>#20-02 Fleet Maintenance and Operations</p> <p>#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.</p>	PW	Partly Implemented	Public Works is working with its asset management vendor to develop and test dashboards to help monitor fleet availability and performance measures. Target Date: Jun-2022 (Delayed From: Mar-2022)
<p>#20-02 Fleet Maintenance and Operations</p> <p>#08 To enhance accountability and transparency, Public Works' Fleet Division should develop and report on performance measures on work order timeliness.</p>	PW	Partly Implemented	Public Works continues working with its asset management vendor to create dashboards to help monitor work order timeliness. Target Date: Jun-2022 (Delayed From: Jan-2022)
<p>#20-02 Fleet Maintenance and Operations</p> <p>#09 To support consistent data entry and reporting, Public Works' Fleet Division should create procedures around:</p> <ul style="list-style-type: none"> 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, validate, and improve data capture across all fleet locations. The Department is currently developing procedures for frontline staff. Target Date: Jun-2022 (Delayed From: Dec-2021)

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<p>#20-02 Fleet Maintenance and Operations</p> <p>#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.</p>	PW	Not Implemented	Public Works reports that it has been unable to start working on this recommendation because of global supply chain issues, which has resulted in nearly all vehicle purchases schedule for FY 2021-22 to be carried forward to FY 2022-23. Target Date: Jan-2023 (Delayed From: Jun-2022)
<p>#20-02 Fleet Maintenance and Operations</p> <p>#13 To better allocate the costs of the maintenance and replacement programs, Public Works' Fleet Division should:</p> <ul style="list-style-type: none"> 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 large acquisitions but the data collection efforts have been stalled by the lower number of acquisitions resulting from global supply chain issues. 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-2023 (Delayed From: Jun-2022)
<p>#20-03 Audit of Fire Development Services</p> <p>#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.</p>	FIRE	Partly Implemented	The Fire Department's website was updated with additional Fire Development Policies and Procedures along with new pages for Development Services Permit Intake Appointments. This webpage provides virtual and in-person appointments to assist customers through the permit application submittal process. The Department is continuing development of the Fire Permits and Inspection website through reviews and updates to webpages for enhanced navigation options related to code enforcement and development permits. Target Date: Aug-2022
<p>#20-03 Audit of Fire Development Services</p> <p>#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.</p>	FIRE	Partly Implemented	The Fire Department cross trained inspection staff, which allows staff to inspect sites for multiple disciplines. The Fire Department continues to maximize coordinated inspections by reviewing the remaining open inspections and closing partially passed inspections, when the opportunity arises. Though this happens when possible, there is not currently a way for a customer to schedule a combination inspection in advance. The Department reports that there are challenges to scheduling combination inspections as Fire and Hazardous Materials Systems permit applicants are specialized contractors for each permit's scope of work. As noted in the audit, a consultant study found that while combination inspections may not be feasible for larger developments, it could provide efficiencies for smaller-scale projects. The Department completed a survey of other agencies to identify if staff schedule coordinated inspections, and are evaluating the results. Target Date: Aug-2022 (Delayed From: Jun-2021)

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<p>#20-03 Audit of Fire Development Services</p> <p>#06 To ensure inspection time is used efficiently, the Bureau of Fire Prevention should develop policies to address unprepared customers, such as:</p> <ul style="list-style-type: none"> 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	<p>a) The Fire Department implemented a pre-inspection procedure where confirmation of site readiness is obtained prior to inspector arrival. The Department reports that this has resulted in fewer cancellations. Staff completed a survey of different agencies' cancellation policies to inform a potential change to the fee schedule and are reviewing the results of the survey.</p> <p>b) The Department developed new guidelines which include requirements for when to cancel, fail, or partially pass an inspection along with a report tracking inspectors' compliance with these guidelines. Staff are working to complete these reports with the Information Technology Department. Target Date: Dec-2022 (Delayed From: Jun-2021)</p>
<p>#20-03 Audit of Fire Development Services</p> <p>#07 To improve customer service, the Bureau of Fire Prevention should implement a more efficient and customer friendly scheduling process, that may include:</p> <ul style="list-style-type: none"> 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. 	FIRE	Partly Implemented	<p>a) The Department reports that staff initiated the process to work with the Information Technology Department (ITD) to develop online scheduling, and that ITD expect to address this in FY 2022-23.</p> <p>b) The Department reports that staff initiated the process to work with ITD 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. The Department expects that this will be included in future ITD work in FY 2022-23.</p> <p>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. Staff continues to work with the PBCE call center to evaluate and improve customer service for inspection scheduling. Staff are also working on an updated phone tree system to more efficiently handle calls and lead applicants to the appropriate staff member or web location for assistance Target Date: Aug-2023 (Delayed From: Aug-2022)</p>
<p>#20-03 Audit of Fire Development Services</p> <p>#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:</p> <ul style="list-style-type: none"> 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	Implemented	<p>The Fire Department began a Quality Assurance/Quality Control process for plan reviews and inspections in June 2021 and has refined and updated this program. Staff report that the process has been helpful to identify inconsistencies and for supervisors to better understand staff work.</p>

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<p>#20-03 Audit of Fire Development Services</p> <p>#12 The Fire Department should work with the Information Technology Department to:</p> <p>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</p> <p>b) Implement a mechanism to identify unscheduled inspections within AMANDA to better track and manage inspections scheduling.</p>	FIRE / IT	Partly Implemented	<p>a) The Fire Department is working with ITD on a report to monitor inspection progress.</p> <p>b) The Fire Department is working with ITD on another report to project potential future inspections by analyzing past inspections and plan reviews. Staff anticipate that this will help identify trends and predict when inspections will fluctuate based on past plan review analysis. Target Date: Jun-2022</p>
<p>#20-03 Audit of Fire Development Services</p> <p>#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.</p>	FIRE	Partly Implemented	The Fire Department is working with ITD and development partners to monitor inspection scheduling. Staff plan to make changes to performance measures based on the data. Target Date: Jul-2022
<p>#20-03 Audit of Fire Development Services</p> <p>#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.</p>	FIRE	Partly Implemented	The Fire Department is working with ITD on reports to analyze plan review processes for Fire and Hazmat system permits. The Fire Department reports that staff is reviewing raw data from these reports to identify trends based on plan review time, given project size and other factors. Newly developed reports will assist in developing clearer performance measures and better targets. Target Date: Jul-2022
<p>#20-04 Park Maintenance</p> <p>#01 To ensure the Park Condition Assessment is complete, accurate, and useful for monitoring changes in parks, PRNS should:</p> <p>a) Develop a standardized list of parks and park features for measuring and analyzing park condition,</p> <p>b) Regularly update this list as new parks and features are added or are closed, and</p> <p>c) Use this standardized list for the annual Park Condition Assessment on an ongoing basis.</p>	PRNS	Partly Implemented	The Department has reviewed the list of sites in its inventory list and removed parks which are not maintained by staff or the small parks landscape maintenance contractor; the remaining list of sites to assess will be reviewed annually as part of the PCA process and loaded/updated in the recently developed mobile PCA tool. The parks that were removed from the PCA list continue to receive regular inspections but do not reflect maintenance work efforts. The park features to be measured are listed in Department's Park Maintenance Standards established in April 2021. To ensure the PCA process is repeatable, staff drafted a Park Condition Assessment Standard Operating Procedure (SOP), which will be reviewed annually for updates at the start of the PCA process. Target Date: Dec-2022
<p>#20-04 Park Maintenance</p> <p>#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.</p>	PRNS	Partly Implemented	The Department has drafted an SOP on the Utilization of Park Condition Assessment Scores. Once the draft SOP is approved, the Department intends to begin conducting PCA cycles following the new procedures. Target Date: Jun-2022

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<p>#20-04 Park Maintenance</p> <p>#04 To ensure appropriate allocation of capital resources for park improvements in Council Districts and help prioritize capital budgeting, PRNS should:</p> <ul style="list-style-type: none"> 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	Partly Implemented	The Department developed a maintenance-specific PCA process, based on Park Maintenance Standards established in April 2021, and conducted a pilot capital infrastructure assessment this year. According to the Department, staff intends to continue developing these processes based on the piloting of new and separate maintenance and capital infrastructure PCA processes, with an intention of incorporating capital infrastructure results into the Construction and Conveyance Tax Fund allocation formula for the FY 2023-24 capital budget development process. Target Date: Aug-2023
<p>#20-04 Park Maintenance</p> <p>#05 To ensure that data collection efforts adequately meet its needs, PRNS should:</p> <ul style="list-style-type: none"> 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 reports that systems-level work has not progressed due to turnover in the "Business Intelligence Manager" position since the audit and that it is in the process of onboarding a permanent staff member. With this position, the Department plans to evaluate what data are necessary for maintaining the new Park Maintenance Standards. Staff 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: Jun-2023 (Delayed From: Jan-2022)
<p>#20-04 Park Maintenance</p> <p>#06 To manage performance and analyze workload, PRNS should develop completion goals for corrective work orders and track performance against those goals.</p>	PRNS	Partly Implemented	The Department reports it has drafted a Work Order Completion Goal SOP to memorialize the 75 percent completion targets for all corrective work orders that are not health and safety related, and retaining the 100 percent completion goal for health and safety work orders. According to the Department, progress towards these goals will be reported in monthly status reports sent to relevant staff. Target Date: Jun-2022 (Delayed From: Aug-2021)
<p>#20-04 Park Maintenance</p> <p>#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.</p>	PRNS	Partly Implemented	The Department has operated for a year under the reorganization of the Parks Division, implemented July 2020, that created a "Destinations, Events and Sports" unit with core maintenance teams that is separate from neighborhood and regional park maintenance. In addition, PRNS reports it is working to centralize mowers and repair workers across park districts, which will involve approval of budget documents, analysis of additional factors, and potential further realignment of staffing. Once this centralization is complete, the Department intends to review staff and park distribution to ensure more equitable workloads, considering variables such as number of park users, impacts of homelessness, and maintenance levels. Target Date: Dec-2022 (Delayed From: Dec-2021)

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#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	Partly Implemented	The Department paused the use of donated labor for park maintenance during the pandemic. Anticipating resumption, the Department has begun drafting a contract and plans to work with the City Attorney's Office and Santa Clara County Sheriff's Office to formalize an agreement. Target Date: Dec-2022
#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	Staff is drafting an SOP to formalize its tracking and reconciliation of larger equipment and vehicles, which will institutionalize the efforts of the fleet committee that has met throughout the last year to improve internal coordination of vehicle purchases and asset management. Target Date: Jun-2022
#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	Implemented	The Department has begun to use several vacant Department-owned properties (future park locations) to store items frequently used in the field. Staff has anecdotally reported some time savings. Daily team meetings were standardized and shortened during the pandemic for employee safety and to enable staff to get into the field more quickly. In addition to exploring different meeting times during the winter, PRNS reports that the Parks Division plans to implement an eight-week pilot for select park districts to try afternoon meetings.
#20-04 Park Maintenance #11 To reduce travel time, PRNS should reassess routes with consideration for traffic peak times, park locations, and staffing.	PRNS	Partly Implemented	The Department has experimented with various GPS software programs to support route planning. Department is establishing internal procedures for staff to use route mapping applications. Target Date: Jun-2022 (Delayed From: Dec-2021)
#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	Implemented	The Department has established standards for direct vs. indirect time for each maintenance classification and topics for morning maintenance meetings.
#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 Department has consulted with the Office of Racial Equity and is in the process of drafting procedures related to the translation of park signage. Staff intends to develop a plan to prioritize parks receiving translated signage. Target Date: Jun-2023

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<p>#20-05 Development Partners' Work-in-Progress Reserves</p> <p>#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.</p>	PBCE	Partly Implemented	PBCE reports that beginning in March 2021, the Development Services information technology team began gathering the necessary inputs to create a work-in-progress report. Because of staffing challenges in the fall of 2021 the work was paused, with an expectation to resume in FY 2022-23. Target Date: Jul-2023 (Delayed From: Sep-2021)
<p>#20-05 Development Partners' Work-in-Progress Reserves</p> <p>#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.</p>	PW	Partly Implemented	Public Works has developed procedures for time tracking in AMANDA for engineering and inspection staff. The Department has begun monitoring and reporting from this time tracking, and intends to correlate the time tracked with funds spent. Coordination between departments and development of milestones to estimate current work in progress is underway. Target Date: Jun-2022 (Delayed From: Jun-2020)
<p>#20-05 Development Partners' Work-in-Progress Reserves</p> <p>#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.</p>	FIRE	Implemented	The Fire Department, along with the Information Technology Department, have developed a Fire Work In Progress - Liability Report for tracking the fee collection versus hours worked and hours remaining for plan review and inspections.
<p>#20-05 Development Partners' Work-in-Progress Reserves</p> <p>#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.</p>	CMO / PW / PBCE / FIRE / CAO	Partly Implemented	The Administration has made progress by creating individual budgeted funds for each of the development fee programs. This recommendation is partly 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 plan to meet to discuss and develop a process following the development of work-in-progress reports from Planning, Public Works, the Fire Department, and the Finance Department. Full implementation of this recommendation is estimated to be completed by October 2023. Target Date: Oct-2023 (Delayed From: Sep-2021)
<p>#20-05 Development Partners' Work-in-Progress Reserves</p> <p>#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.</p>	FIN	Partly 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 1, 2, and 3 from this audit. Following the development of the work-in-progress reports for the Development Services partners, the Finance Department will be able to make progress on implementing the new treatment. Target Date: Oct-2023 (Delayed From: Dec-2021)

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<p>#21-01 Police Staffing, Expenditures, and Workload</p> <p>#01 To better meet Priority 1 and 2 response times goals and address past staffing reductions, the Police Department should add sworn officers to field patrol in the context of the Department's and City's overall budget.</p>	PD	Partly Implemented	The Department has developed a desired staffing plan to meet the city's staffing needs and response priorities. While sworn budgeted staffing in the Department increased to 1,153 positions in FY 2021-21, it is still below the FY 2007-08 sworn staffing of 1,363. The Department did not meet its Priority 1 and 2 call response time targets in FY 2020-21. Specifically, in FY 2020-21, the Priority 1 response time was 7.1 minutes (target 6 minutes) and Priority 2 response time was 22.8 minutes (target 11 minutes). These continue to be a concern. Target Date: Jun-2025
<p>#21-01 Police Staffing, Expenditures, and Workload</p> <p>#02 To optimize police staffing, the Police Department should include an analysis of alternative schedules either in its current redistricting work or in a separate study, and report to the City Council on the results of the studies.</p>	PD	Not Implemented	The Department is currently working on issuing an RFP for consultant services to start the analysis for redistricting and intends to include the analysis of alternative work schedules based on redistricting recommendations as part of this process. Target Date: Jun-2023
<p>#21-01 Police Staffing, Expenditures, and Workload</p> <p>#03 To determine the most suitable approaches for responding to certain types of calls, the Police Department should:</p> <ul style="list-style-type: none"> a. Begin tracking calls that may benefit from an alternative response, such as incidents involving individuals experiencing homelessness or individuals with disabilities. b. Determine whether some of the responses can be diverted to non-sworn staff or coordinated with other City departments or agencies. 	PD	Partly Implemented	The Department reports that it began to track unhoused or individuals with disabilities in CAD in February, 2022. Next, the Crime Analysis Unit will need to perform an analysis of the calls to determine if other City departments are more suited to respond to those calls. Target Date: Jun-2023
<p>#21-01 Police Staffing, Expenditures, and Workload</p> <p>#04 To ensure that targets for community policing address Council and community priorities, the Police Department should develop a long-term community policing strategy that describes how performance targets address those priorities and work with the City Administration to identify consistent sources of funding for priority community policing positions, such as foot patrol.</p>	PD	Not Implemented	The Department reports that it is working on a geographical redistricting review and is currently in the process of developing an RFP. Target Date: Jun-2023

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<p>#21-01 Police Staffing, Expenditures, and Workload</p> <p>#05 To limit the risk of fatigue and more evenly distribute overtime hours across the department, the Police Department should:</p> <ul style="list-style-type: none"> a. Enforce existing limits on total overtime hours worked in a day, week, and year, including which types of overtime can be worked beyond these limits. b. Update eResource to ensure all prescheduled and biddable overtime assignments are captured in the system. c. Develop a policy to address frequent violations of Duty Manual specified overtime weekly limits. 	PD	Partly Implemented	<p>The Police Department's overtime expenditures were slightly lower in FY 2020-21 than FY 2019-20 (down from \$47 million to \$45 million) but the number of overtime hours worked increased from 450,000 hours to over 500,000 hours. On May 19, 2021, the Department issued Memorandum #2021-015 titled "Overtime Controls." This memorandum limited overtime to that which is absolutely mandatory and unavoidable. The memorandum further clarified that no discretionary overtime would be allowed and that all overtime is subject to management review. All Captains and Division Managers are required to submit a memorandum quarterly to the Chief Executive Officer justifying the use of overtime. The Department has updated eResource to include most biddable and prescheduled overtime and intends to continue to update it on an ongoing basis. We will continue to follow-up to determine whether the new controls appropriately address use of overtime above allowed limits and duty manual violations. Target Date: Jun-2022</p>
<p>#21-01 Police Staffing, Expenditures, and Workload</p> <p>#06 To ensure that supervisory staff can better assess the purpose and appropriateness of overtime use, the Police Department should:</p> <ul style="list-style-type: none"> a. Clearly define types of overtime considered mandatory and discretionary, including when follow up and report writing should be conducted on overtime. b. Develop guidelines for documenting Captain approval of discretionary overtime. c. Update internal procedures and train staff on how to log discretionary, mandatory, or voluntary overtime type codes in their timecards. 	PD	<p>Partly Implemented - Priority</p>	<p>The Department issued a memo, Memo #2021-015, which outlines overtime controls for the Department and new requirements that include Captains and Division Managers to report out on the use of overtime in their division on a quarterly basis. The Department states that it will continue to review overtime, including how it is being used, review its overtime policies in consideration of the current staffing issues, and develop a plan that considers policy changes, clarification of discretionary and mandatory overtime, consistent messaging, training for staff, and management review. Target Date: Jun-2022</p> <p>Potential Budget Savings: With greater controls and approval over overtime for discretionary time (e.g., admin, report writing, training, and follow up), we estimate savings of \$1,147,350 if such overtime was reduced by 7.5 percent.</p>
<p>#21-01 Police Staffing, Expenditures, and Workload</p> <p>#07 To ensure transparency, the Police Department should clarify which overtime assignments can be worked for pay or compensatory time and review and update the Memorandum of Agreement and/or General Orders, as appropriate.</p>	PD	<p>Not Implemented</p> <p>(Subject to meet and confer)</p>	<p>The Department has not begun work on this recommendation. Target Date: Dec-2022 (Delayed From: Dec-2021)</p>

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<p>#21-01 Police Staffing, Expenditures, and Workload</p> <p>#08 To enhance budgetary transparency and increase the controls surrounding compensatory time liability, the Police Department should pursue at least one or a combination of the following:</p> <ul style="list-style-type: none"> a. Work with the Budget Office to develop a reserve for future compensatory time liability, similar to sick leave pay out liability. b. Regularly report in the bimonthly financial reports to the Public Safety Finance and Strategic Support Committee, the Mid-Year Budget Review, and/or the City Manager’s Annual Report: (1) the amount of overtime expenses attributable to staff that have reached the 480-hour compensatory accrual limit, (2) number of individuals who have reached both the 480-hour and 240-hour limits, and (3) the total compensatory time liability. c. Assess options to prioritize the use of compensatory time over vacation leave. 	PD	Partly Implemented (Subject to meet and confer)	<p>The Department continues to report the number of individuals reaching the compensatory time balance limits and the total compensatory time liability to the Public Safety, Finance and Strategic Support Committee. The Police Department and the Office of Employee Relations continue to collaborate to seek changes to the MOA with the San José Police Officers Association (POA) to provide additional discretion and management control of compensatory balances. Target Date: Jun-2023 (Delayed From: Jun-2021)</p> <p>Potential Budget Savings: If the City were to reduce half of the comp time balances above 240 prior to the next agreed upon pay increase, we estimate the City could save \$222,000.</p>
<p>#21-01 Police Staffing, Expenditures, and Workload</p> <p>#09 To supplement sworn police services and manage overall workload challenges in the department, the Police Department should:</p> <ul style="list-style-type: none"> a. In the context of the overall budget, add more Community Service Officers (CSOs) to address Priority 3 and 4 incidents, and b. Develop guidelines to ensure more equitable distribution of CSOs across districts, such that districts with higher workloads receive appropriate coverage. This may include redistributing workload and assignments as vacancies occur. 	PD	Partly Implemented	<p>In November 2021, the CSO program proposed increased CSO staffing by January 2023. The Department reports that this will be considered as part of its redistricting review. Target Date: Jun-2023</p> <p>Potential Budget Savings: We estimate savings of \$751,500 if CSOs responded to additional calls rather than sworn officers using overtime. This is dependent on future hiring of additional CSOs.</p>

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#21-01 Police Staffing, Expenditures, and Workload	PD	Not Implemented	The Department has not begun work on this recommendation. Target Date: Jun-2023
<p>#10 To better align Department call priorities with CSO work, the Police Department should update its Duty Manual to:</p> <p>a. Reassess its priority list of CSO-dispatchable calls and determine how to better utilize CSOs to address those priorities.</p> <p>b. Include common types of calls not currently listed in the Duty Manual, such as “Suspicious Vehicles” and “Expired Registration”.</p> <p>c. Develop a strategy for CSO involvement in community policing, as described in the SJPD Duty Manual.</p>			
#21-02 Advocate Referrals	PD	Partly Implemented	a) The Police Department has updated the Duty Manual and its Sexual Assault Investigation Unit standard operating procedure as applicable to include advocate referral language consistent with County protocols and reference the applicable Penal Codes. The Family Violence Unit updated its Unit guidelines to remind domestic violence survivors of their right to an advocate and a support person during follow-up interviews, explaining the benefits of having an advocate present, and offering to have one present during the interview, which completes part a of this recommendation. b) and c) The domestic violence resource cards have been updated to reflect the above-mentioned recommendations. The sexual assault resource cards and the translated versions are in the process of being finalized and sent for print. Target Date: Jun-2022 (Delayed From: Dec-2021)
<p>#01 To improve how the City connects survivors to advocacy services, the Police Department should update:</p> <p>a) The Duty Manual to include the advocate referral communication language recommended by Santa Clara County’s Sexual Assault and Domestic Violence protocols, and to reference the applicable California penal codes,</p> <p>b) The domestic violence resource card to clearly state that the survivor has the right to an advocate and a support person in any interview during the investigation,</p> <p>c) The domestic violence and sexual assault resource cards to include language that a survivor’s immigration status does not affect their right to advocacy services and that these services are offered at no cost to the survivor.</p> <p>Both the domestic violence and sexual assault resource cards should also be fully translated into Spanish and Vietnamese.</p>			

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<p>#21-02 Advocate Referrals</p> <p>#03 To support the Police Department's response to domestic violence survivors at high risk of lethal events, the Department should work with the YWCA in its evaluation of the domestic violence high-risk response team pilot program to determine program effectiveness and future resource needs, including:</p> <p>a) Reviewing the level of reach to survivors and assessing whether the criteria for referring survivors to the domestic violence high-risk response team are clear and appropriate, and</p> <p>b) Reviewing the level of service provided to survivors, including whether additional coordination with Santa Clara County agencies or other organizations would be beneficial.</p>	PD	Implemented	The evaluation report on the HRRT program was published. The report found that 110 individuals were served by the HRRT from June 1, 2019 through May 24, 2021, identified lessons learned, and made recommendations for future implementation (e.g., including additional agencies into the team). FVU is working on changing protocols to ensure more survivors receive an advocate and is working on receiving additional information on utilization. SJPD reports that a) more funds will be asked for to continue the program (the Department continues to work with the YWCA) and b) The Department is looking to branch out and try to expand to other agencies.
<p>#21-02 Advocate Referrals</p> <p>#04 To better understand the timeliness of referrals and utilization of advocacy services, as well as to further ensure survivors who received a referral are accounted for, the Police Department should:</p> <p>a) Work with the YWCA to determine what data should be regularly provided to the Department for domestic violence and sexual assault survivors, as well as data on the high-risk response team. This could include data on timeliness, utilization, demographics, lethality assessment score, and services provided, and</p> <p>b) Ensure the YWCA is provided a report of all domestic violence and sexual assault survivors who consented to a referral on a monthly or other regular basis.</p>	PD	Partly Implemented	<p>a) The Sexual Assault Investigation Unit (SAIU) now receives monthly data from YWCA that includes information such as number of SAIU referrals, number of follow-ups, number of legal referrals, total number of case management sessions, and more. The Family Violence Unit (FVU) already was receiving similar data during the audit. SAIU and FVU also started receiving a report of this data in a disaggregated format that includes some survivor unique identifiers. YWCA, in collaboration with the SAIU, created an online reporting and exchange of information tool known as the "Warm Referral URL." SAIU uses this tool for its advocate referrals. YWCA sends SAIU a monthly list of the referrals SAIU made through the Warm Referral tool, which includes some demographic information. Once SAIU and the FVU start receiving advocate referral timeliness data and a report on the High-Risk Response Team's activity from YWCA, this remaining part of the recommendation will be completed.</p> <p>b) FVU sends a monthly list of survivors who answered "Yes" to the question of whether they can share the survivor's information with FVU's YWCA advocate. This list serves as a check to confirm that reports concerning all survivors are forwarded to YWCA if the survivor wishes. This part of the recommendation is completed through SAIU's use of the Warm Referral tool and FVU's monthly list that it sends to YWCA. Target Date: Jun-2022 (Delayed From: Dec-2021)</p>
<p>#21-02 Advocate Referrals</p> <p>#05 The Police Department should work with Community Solutions to establish a process for regularly sharing data about the timeliness and utilization of advocacy services for human trafficking survivors.</p>	PD	Implemented	SJPD has begun receiving reports from Community Solutions on data of advocate referrals for human trafficking survivors, and will be receiving quarterly reports from Community Solutions in the future. SJPD is working on finalizing a Memorandum of Understanding/Agreement with Community Solutions.

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<p>#21-02 Advocate Referrals</p> <p>#06 The Police Department should expand work with community partners for outreach about advocacy services and crime prevention, targeting communities disproportionately affected by domestic violence, sexual assault, child/sexual abuse, and human trafficking, or that have lower utilization of advocacy services.</p>	PD	Implemented	<p>SJPD is working with community partners for outreach about advocacy services and crime prevention, targeting communities disproportionately affected by domestic violence, sexual assault, child/sexual abuse, and human trafficking, or that have lower utilization of advocacy services. SAIU is collaborating with the LGBTQ+ community and is working on making connections with other communities. For example, SAIU is partnering with the Billy DeFrank Center to produce a video project to provide education to the LGBTQ+ community, such as describing the process in making a sexual assault report from the initial report through the medical, YWCA, and the DA's office. FVU is also involved in this project. In addition, the Ally Officer Program (a program that solicits patrol officers to undergo specialized instruction and training in the needs of the LGBTQ+ community) has been approved and SJPD is in the process of producing curriculum for training. The officers will be able to respond when requested to sexual assault, domestic violence, and human trafficking investigations involving members of the LGBTQ+ community. FVU shares a map with the Crime Prevention Unit that shows the "hot spots" where domestic violence incidents are occurring throughout the city each month. The Special Victims Unit (SVU) has posted human trafficking awareness bathroom stall signs in six additional languages in the San Jose International Airport, launched social media PSAs through the Silicon Valley Internet Crimes Against Children Task Force, is educating parents about the dangers of the internet through the Vigilant Parent Initiative Program, and more.</p>
<p>#21-03 Real Estate Services</p> <p>#01 To better manage the City's real estate assets, the Real Estate Services Division should work with City departments to compile a comprehensive list of real estate assets that includes department ownership and intended or actual use of the property.</p>	OED	Not Implemented	<p>The Information Technology Department (ITD) is preparing to take a Real Estate asset and lease management software procurement project to the City Council's Smart Cities and Service Improvement Committee in spring 2022. ITD and Real Estate have coordinated with partner departments to identify needs for an enterprise solution, including DOT, Finance/Accounting, Finance/Risk Management, PRNS, Housing, ESD, and Public Works. Following Smart Cities, Finance procurement staff intend to prepare to begin an RFP process starting in July, with implementation targeted by the end of 2022. Target Date: Dec-2022</p>

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<p>#21-03 Real Estate Services</p> <p>#02 The Real Estate Services Division should work with the Information Technology Department, the Finance Department, and other City departments to implement a database platform to better manage the City's real estate assets that includes:</p> <ul style="list-style-type: none"> a) Property management information such as lease terms, payments, and related information, b) Property-related agreements or other relevant information to identify ownership or management responsibilities, and c) Any other information that the Real Estate Services Division deems necessary. 	OED	Not Implemented	The Information Technology Department (ITD) is preparing to take a Real Estate asset and lease management software procurement project to the City Council's Smart Cities and Service Improvement Committee in spring 2022. ITD and Real Estate have coordinated with partner departments to identify needs for an enterprise solution, including DOT, Finance/Accounting, Finance/Risk Management, PRNS, Housing, ESD, and Public Works. Following Smart Cities, Finance procurement staff intend to prepare to begin an RFP process starting in July, with implementation targeted by the end of 2022. Target Date: Dec-2022
<p>#21-03 Real Estate Services</p> <p>#03 The Real Estate Services Division should work with other City departments to identify all vacant lands within the City's real estate portfolio, and report on that land and their intended uses to the City Council on an annual basis.</p>	OED	Not Implemented	Real Estate reports that the database software platform referenced in recommendations #1 and #2 can be developed in a way that stores the information needed for annual reporting on the City's vacant land inventory. Target Date: Dec-2022
<p>#21-03 Real Estate Services</p> <p>#04 The Real Estate Services Division should work with the multiple departments involved in maintenance of City properties and the Information Technology Department to:</p> <ul style="list-style-type: none"> a) Identify business process and service integration to ensure the data in its asset management software can be cross-referenced with other departments' databases, and b) Coordinate with other departments to ensure the City's vacant properties are provided with ongoing maintenance. 	OED	Not Implemented	Real Estate reports that after it has completed the buildout of the database referenced in recommendation #2, Real Estate plans to engage the Information Technology Department to build the system in a manner that allows for optimal standardization of data across City departments. Once Real Estate's software database is established, Real Estate plans to work with other departments to standardize data and facilitate cross-referencing between departments. Target Date: Dec-2022
<p>#21-03 Real Estate Services</p> <p>#05 To improve San José residents' access to cellular networks, after the Real Estate Services Division completes the market rate analysis of its telecommunication fees, it should bring recommendations for a new fee schedule to the City Council for approval.</p>	OED	Partly Implemented	Real Estate has completed a market analysis of Telecommunications facilities, and is preparing to take an updated schedule to Council by the end of the fiscal year. Real Estate is coordinating with the Office of Civic Innovation to gather data to inform an incentive structure to provide better service in areas deemed to have insufficient coverage, and to incentivize digital inclusion investments. Target Date: Jul-2022

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<p>#21-03 Real Estate Services</p> <p>#06 In order to ensure compliance with California's Surplus Land Act, the Real Estate Division should work with the City Attorney's Office to update Council Policy 7-13 and the San José Municipal Code (Chapter 4.20) and bring to the City Council for approval.</p>	OED / CAO	Partly Implemented	Real Estate and the City Attorney's Office are collaborating on drafting a revised Council Policy 7-13 and Municipal Code 4.20, and plan to take an update to Council by the end of the fiscal year. Target Date: Jul-2022 (Delayed From: Dec-2021)
<p>#21-04 Code Enforcement Management Controls</p> <p>#01 The Department of Planning, Building and Code Enforcement should revise the Code Enforcement Division's incident policy to include direction around courses of action (e.g., temporary reassignment, partner-use, other actions) to address instances such as:</p> <ul style="list-style-type: none"> a) extortion or bribery attempts made to staff, b) serious allegations and complaints, or c) other instances deemed appropriate by the Administration. 	PBCE	Not Implemented	Code Enforcement reports that the update of its incident policy, in coordination with the Office of Employee Relations, has been delayed. While these types of instances are rare, the Department of Planning, Building and Code Enforcement understands the potential, inherent risks associated with Code Enforcement work and recognizes the importance of providing formal direction to staff on how to appropriately address criminal and/or serious allegations or complaints of employee misconduct should they occur. Target Date: Jun-2022
<p>#21-04 Code Enforcement Management Controls</p> <p>#02 To the extent the City Council has further questions or concerns, the City Council should consider appointing an outside investigator to review the activities of the former code inspector in the massage program or the handling and investigation of related complaints under Section 416 of the City Charter.</p>	COUNCIL	Closed	The report and recommendation were presented to the City Council on October 5, 2021. The City Council accepted the report and recommendations and did not pursue the appointment of an external investigator as outlined in Recommendation #2.
<p>#21-04 Code Enforcement Management Controls</p> <p>#03 To enforce the Massage Ordinance permitting requirements, the Administration should:</p> <ul style="list-style-type: none"> a) Create a roster of massage businesses based on active Business Tax Certificates and/or the list of certified massage therapists under the California Massage Therapy Council, and procedures to regularly update the roster, and b) Based on the roster of businesses, implement an outreach program to inform and educate massage businesses on the Massage Ordinance. 	CMO	Not Implemented	<p>Staff report the Police Department is in the process of updating and reconciling the roster of massage businesses with the California Massage Therapy Council list of certified massage therapists and the City of San José Business Tax Certificate database. Once complete, Code Enforcement and the Police Department plan to coordinate work to expand outreach efforts to the community, including but not limited to: updating departmental websites, creating a program brochure in coordination with departmental public information officers, creating an informational letter to be sent with permit renewal invoices, and holding informational workshops. Target Date: Jul-2022</p> <p>Potential Budget Savings: During the audit, we found over 200 businesses with business tax certificates without massage permits. We estimated initial applications for unpermitted massage businesses would generate \$500,000 in permit fees and \$280,000 in ongoing renewal fees.</p>

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<p>#21-04 Code Enforcement Management Controls</p> <p>#04 To ensure massage businesses are aware of the permit and other requirements of the massage program:</p> <p>a) The Administration should create and post on the City's website multi-lingual informational brochures that provide information regarding the massage program goals, inspection process, and penalties or fines, and</p> <p>b) The Police Department should update the massage permit application to include details on Code Enforcement's role and inspection expectations.</p>	CMO / PD	Not Implemented	Staff report that the informational brochure has been completed, but is pending translation. Staff in the Police Department plan to update the permit application based on future coordination with Code Enforcement. Target Date: Jul-2022
<p>#21-04 Code Enforcement Management Controls</p> <p>#05 To ensure massage businesses renew their massage permits timely, the Police Department should establish a procedure for ensuring permitted businesses are notified when they need to renew their massage permit and the consequences of not renewing their permit.</p>	PD	Not Implemented	<p>The Police Department reports that Permits Unit staff are currently building out an online permit form and have submitted a purchase request for software to enable notifications to be sent to permit holders regarding the expiration of their permits. Staff anticipate implementation in June 2023, following a competitive procurement process. Target Date: Jun-2023</p> <p>Potential Budget Savings: At the time of this audit, we estimated initial applications for unpermitted massage businesses would generate \$500,000 in permit fees and \$280,000 in ongoing renewal fees.</p>
<p>#21-04 Code Enforcement Management Controls</p> <p>#06 To ensure appropriate follow-up on massage cases with indications of human trafficking, the Police Department should formalize the role of the Special Victims Unit's Human Trafficking team within the massage program, including the process for case referrals by the Vice Unit.</p>	PD	Partly Implemented	The Police Department reports that the Vice Unit assumes the administrative role in processing permit applications and managing the roster for massage businesses in the city (including applicant information and contacts). In the event human trafficking is suspected, the Special Victims Unit Human Trafficking team will be responsible for follow-up and the Vice Unit will assist with the investigation in providing any necessary information on the property owner, business owners, parties of interest or employees. SJPD will formalize the role of the Special Victims Unit's Human Trafficking team within the massage program procedure as part of recommendation #7, including the process for case referrals by the Vice Unit. Target Date: Jul-2022

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<p>#21-04 Code Enforcement Management Controls</p> <p>#07 To clarify the purpose and responsibilities in the massage program, the Police Department and Department of Planning, Building and Code Enforcement should align on and create guidance through a Memorandum of Understanding or other means of documentation, to include:</p> <ul style="list-style-type: none"> a) Massage permit program goals; b) Roles and responsibilities of the different Police Department units and Code Enforcement; c) Expectations for code inspections upon application, renewal, and/or regular compliance; d) Protocols for how and when the Vice Unit should inform the Code Enforcement inspector and Code supervisor of investigatory activities; and e) Criteria and procedures for case referral between Code Enforcement, the Vice Unit, and the Permits Unit for businesses not in compliance with the Massage Ordinance or where there are indications of criminal activity. 	PBCE / PD	<p>Not Implemented</p> <p>-</p> <p>Priority</p>	<p>Staff in PBCE drafted a joint work plan to address the audit recommendations and related direction from Council, including the creation of an MOU or other means of documentation to outline massage program goals and departmental responsibilities between PBCE and the Police Department. Staff report that PBCE and SJPD are in the process of finalizing that work plan and timelines for completion. Target Date: Aug-2022</p>
<p>#21-04 Code Enforcement Management Controls</p> <p>#08 To mitigate risk associated with the massage program, the Police Department and the Department of Planning, Building and Code Enforcement should consider:</p> <ul style="list-style-type: none"> a) Backgrounding Code Enforcement inspectors assigned to the massage program, at a level determined appropriate by the Police Department's Background Unit, and/or b) Implementing a policy for partner use for complaint-based massage inspections and other non-routine, high-risk inspections (e.g., inspections of unpermitted businesses) for the massage program. 	PBCE / PD	Not Implemented	<p>According to Code Enforcement, PBCE acquired funding from the Budget Office for an overstrength Code Enforcement Inspector position for the remainder of FY 2021-22 to serve as a back-up and partner for complaint-based massage inspections and other non-routine, high-risk inspections for the massage program. However, due to high vacancies, staff report that the position has not yet been filled and that the massage program remains on hold pending implementation of this and other audit recommendations and controls. Target Date: Aug-2022</p>
<p>#21-04 Code Enforcement Management Controls</p> <p>#09 To allow the Department of Planning, Building and Code Enforcement to track the permit status of massage businesses, the Police Department should grant access to the roster of permitted massage businesses to Code Enforcement.</p>	PD	Not Implemented	<p>Staff report that SJPD is in the process of updating its massage business program roster and that the Permits Unit and Code Enforcement will receive access after completion. Target Date: Jul-2022</p>

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<p>#21-04 Code Enforcement Management Controls</p> <p>#10 To increase oversight and supervisory review in high-risk programs, the Department of Planning, Building and Code Enforcement should establish procedures for supervisors to regularly review cases in the massage and cannabis programs and/or to close cases to ensure supervisory review.</p>	PBCE	Implemented	Code Enforcement created a "Periodic Case Review Policy" for supervisors to conduct case review on a quarterly basis to evaluate a sample of open cases for consistency with applicable policies and procedures, performance standards, and overall customer service. Supervisors are required to conduct the periodic review and complete a log of their review, to be submitted to division managers.
<p>#21-04 Code Enforcement Management Controls</p> <p>#11 To aid in evaluating program performance, the Department of Planning, Building and Code Enforcement should:</p> <p>a) Establish performance measures and targets for special programs, like cannabis and massage, that relate to program goals (e.g., annual inspection targets, percentage of completed inspections based on the roster, percentage of businesses brought into compliance),</p> <p>b) Either create system-based reports for special program performance measures or establish a process to check inspector-reported data for accuracy, and</p> <p>c) Report performance measures to the appropriate City Council committee.</p>	PBCE	Not Implemented	Code Enforcement reports that staff have begun revising performance measures for the massage and cannabis programs. Upon completion of recommendations #3, #7, and #9, which relate to massage program goals and the roster of massage businesses in San José, PBCE plans to further revise program performance measures and inspection targets for the massage program. Code Enforcement also plans to develop protocols for monthly system-based reporting to be completed by the program supervisor. The Administration will evaluate the appropriate Council Committee to report Code Enforcement's massage program performance measures (NSE or PSFSS) and will add the update to that committee's FY 2022-23 Work Plan. Target Date: Dec-2022
<p>#21-04 Code Enforcement Management Controls</p> <p>#12 To better set expectations for staff and address potential risks in its programs, the Department of Planning, Building and Code Enforcement should:</p> <p>a) Create and update Code Enforcement policies using a risk-based approach to identify where programs may not meet objectives, for example, incorporating policies or guidance for elements of supervisory review, documentation for deviating from policies, and for special programs,</p> <p>b) Combine the policies into a comprehensive digital manual, and</p> <p>c) St a schedule for periodic review of policies and procedures to update as needed.</p>	PBCE	Not Implemented	Staff report that they have not yet begun work on this recommendation, but they are exploring the use of a retiree-rehire senior analyst to assist the Division in its completion. Target Date: Dec-2022
<p>#21-04 Code Enforcement Management Controls</p> <p>#13 To promote consistent case review practices, the Department of Planning, Building and Code Enforcement should develop training for new Code Enforcement supervisors.</p>	PBCE	Not Implemented	Code Enforcement reports that the development of a new comprehensive supervisor training program has been delayed. Staff is in the beginning stages of developing the training program, with work anticipated to be completed in April 2022. Target Date: Apr-2022

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<p>#21-04 Code Enforcement Management Controls</p> <p>#14 To ensure consistency in inspector documentation and supervisory review, the Department of Planning, Building and Code Enforcement should establish a regular sample review by Division Managers of closed Code Enforcement cases to ensure that supervisors and inspectors follow policies in documenting inspections.</p>	PBCE	Implemented	Code Enforcement created a "Periodic Case Review Policy" for division managers to conduct case review on a quarterly basis to evaluate a sample of closed cases for consistency with applicable policies and procedures and performance standards. Managers are required to conduct the periodic review and complete a log of their review, to be submitted to the deputy director.
<p>#21-04 Code Enforcement Management Controls</p> <p>#15 The Department of Planning, Building and Code Enforcement should revise Code Enforcement's "attempt to contact" letter template to include authority, complaint description, and purpose of inspection prior to inspection and, as appropriate, supervisors' contact information for questions or concerns.</p>	PBCE	Partly Implemented	The "attempt to contact letter" is a standard, template letter used by Code Enforcement to contact a responsible party (i.e., property owner, tenant, or property manager) when other attempts to contact the responsible party, such as an in-person inspection, email, or phone call, have been unsuccessful. As recommended, the Code Enforcement Division revised the "attempt to contact letter" to include enforcement authority per the municipal code, complaint description, and, an option to add supervisors' contact information, as appropriate, for questions or concerns, and the purpose of the letter or inspection. The revised letter has been added to the Code Enforcement Case Management System and staff have been advised of the change. Target Date: Jun-2022
<p>#21-04 Code Enforcement Management Controls</p> <p>#16 To document Code Enforcement's complaint process and improve Division oversight, the Department of Planning, Building and Code Enforcement should maintain a confidential log of complaints related to inspector conduct, including the date of the complaint and how it was handled.</p>	PBCE	Partly Implemented	Code Enforcement has begun documenting formal complaints regarding inspector conduct, including the date of the complaint and how it was handled, in a confidential log. Staff is working to ensure the log is maintained such that the resolution of a complaint is included. Target Date: Jun-2022
<p>#21-04 Code Enforcement Management Controls</p> <p>#17 Department of Planning, Building and Code Enforcement should develop targets and track Code Enforcement program performance to:</p> <p>a) Establish expectations for inspector activity and performance and incorporate into regular performance evaluations (e.g., time to case closure based on type of violation and number of open cases).</p> <p>b) Rebalance workloads or add resources, as needed.</p>	PBCE	Not Implemented	Code Enforcement plans to research and review historical and current data, reports, and timelines to revise or update current case response times, case closure timelines by violations type, and manageable caseload level, as appropriate, to develop and establish clear and reasonable expectations for inspector activity and performance. The updated expectations and performance standards will be incorporated into staff performance evaluations. Due to ongoing vacancies, staff report that progress has been slow. Staff will continue to explore strategies to rebalance workloads, utilize resources more efficiently, and add staffing. Target Date: Jul-2023
<p>#21-04 Code Enforcement Management Controls</p> <p>#18 The Code Enforcement Division within the Department of Planning, Building and Code Enforcement should complete all outstanding performance evaluations and set a schedule for regular evaluations going forward.</p>	PBCE	Partly Implemented	Code Enforcement has made progress in the performance evaluation process and expects to complete all outstanding evaluations. Code Enforcement will establish an annual performance evaluation schedule for supervisors and managers to ensure all required evaluations are completed and timely going forward. Target Date: Jun-2022

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<p>#21-04 Code Enforcement Management Controls</p> <p>#19 To align performance evaluations with Division goals, the Department of Planning, Building and Code Enforcement should review and revise its employee expectations and incorporate into Code Enforcement performance evaluations based on objective criteria and measurement (e.g., inspector use of photos, consistency in case notes; supervisor quality of supervisory case review).</p>	PBCE	Not Implemented	Code Enforcement reports that staff plan to complete the revision of employee expectations by June 2022, for use as criteria in performance evaluations beginning in FY 2022-23. Target Date: Sep-2023
<p>#21-04 Code Enforcement Management Controls</p> <p>#20 To identify lessons for future improvement, the Department of Planning, Building and Code Enforcement should implement a standard process of exit interviews for Code Enforcement inspectors and supervisors.</p>	PBCE	Implemented	Code Enforcement developed an exit interview questionnaire and began conducting exit interviews in August 2021.
<p>#21-05 Municipal Water Billing and Customer Service</p> <p>#01 To improve the City's leak notification process, the Environmental Services Department and the Information Technology Department should, in coordination with the City Attorney's Office and in accordance with the City's Digital Privacy Policy:</p> <p>a) Develop a process to collect the email addresses and mobile phone numbers of existing customers, and</p> <p>b) Enroll customers to receive automated leak notices via text, voice message, mail, and/or email through WaterSmart or another mechanism as appropriate, while providing customers the option of opting-out from receiving such notices.</p>	ESD / IT / CAO	Not Implemented	Staff report they are developing an outreach campaign to collect email addresses and phone numbers for existing customers. The outreach campaign is expected to encourage customers to establish an online account in WaterSmart, which can allow them to receive text and/or voice leak notifications. Email leak notifications are sent to customers (whether or not the customer has enrolled in an online WaterSmart account) as long as an email address is on file within CIS and/or WaterSmart. ESD intends to complete a review to ensure the program comports with the City's Information and Systems Security Policy (1.7.6) and Digital Privacy Policy (0-49) and complete the privacy initiative form to report the private information collected and how it is used. Target Date: Sep-2022
<p>#21-05 Municipal Water Billing and Customer Service</p> <p>#02 The Environmental Services Department should coordinate with the Information Technology Department, to create an online form or a category in SJ 311 to notify the City of water leaks and the severity of the water leak.</p>	ESD / IT	Not Implemented	Information Technology Department staff identified a proposed workflow to create an online form within both SJ311 and SimpliGov. It was determined that the output from one of these digitized form options is an email notification sent to the 311 City Customer Contact Center, which goes to a generic inbox with a 2-business day response time per the existing Service Level Agreement. While updating the website per Recommendation #6, staff plan to look to add/improve the messaging that provides directions to customers on how to report leaks to the City. Target Date: Sep-2022

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<p>#21-05 Municipal Water Billing and Customer Service</p> <p>#03 To help manage meter investigation service orders, the Environmental Services Department should:</p> <ul style="list-style-type: none"> a) Develop a process for periodically assessing pre-exception parameters using data around past results and staff insight, and b) Adjust pre-exception parameters to better identify potential water leaks. 	ESD	Not Implemented	Staff is developing a process and schedule to periodically review CIS parameters and are on schedule to complete this recommendation by June 2022. They also plan to complete a privacy review with the Digital Privacy Office. Target Date: Jun-2022
<p>#21-05 Municipal Water Billing and Customer Service</p> <p>#04 To streamline the service order process, the Environmental Services Department, in coordination with the Information Technology Department, should update the process to enable staff to coordinate service orders electronically.</p>	ESD / IT	Not Implemented	According to the departments, staff investigated using the Business Process Automation system to manage service orders with online forms. However, there is not a current method to automatically sync data between CIS and an online form without significant investment that department teams are evaluating. Staff plans to reach out to the vendor to confirm costs of upgrading CIS and adding interface options. Due to staff and budgetary constraints, it is uncertain when or if a solution may be available. Target Date: Dec-2022
<p>#21-05 Municipal Water Billing and Customer Service</p> <p>#05 To better assess performance, the Environmental Services Department should revise the performance measure methodology for “% of customer service requests handled within 24 hours” to use operational data instead of customer survey data.</p>	ESD	Not Implemented	The purpose of this recommendation is to accurately measure the timeliness of customer service requests. According to ESD, progress on this recommendation is contingent upon completing an upgrade to CIS. Target Date: Dec-2023
<p>#21-05 Municipal Water Billing and Customer Service</p> <p>#06 The Environmental Services Department, the Finance Department, and the Information Technology Department should coordinate to centralize and compile key website content on the Muni Water website for customers, potentially including:</p> <ul style="list-style-type: none"> • Payment and account adjustments • Late fee charge and waiver policies • How to report water leaks • Information required to start and stop service • Overview of water shutoffs and reconnections policies and timeline, as well as water shutoff data as required by the Water Shutoff Protection Act (SB 998) • Other important information the departments deem necessary 	ESD / FIN / IT	Not Implemented	Staff report they are collecting information and benchmarking similar utilities to identify information to post. They plan to work with the webmaster in the City Manager's Office. Target Date: Jun-2022

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<p>#21-05 Municipal Water Billing and Customer Service</p> <p>#07 The Finance Department and the Environmental Services Department should increase access to Municipal Water-related materials through:</p> <p>a) Identifying materials that could benefit from translation into commonly spoken languages in San José and making the translations available (e.g., late payment notices, the Low Income and Vulnerable Designations application form, and/or online customer platforms such as E-Bill Express).</p> <p>b) Providing translated notes in commonly spoken languages on materials such as forms and bills, sent to customers with instructions on how to obtain translated versions or information.</p>	FIN / ESD	Partly Implemented	The Low Income and Vulnerable Designations form has been translated and is available for customer use. Staff confirmed the E-Bill Express platform does not have the capability to provide language translations of the user interface. Staff is determining best methods of providing translations/translated notes for remaining documents: Bill Appeal Form, Third Party Authorization Form, Late Payment Notice, Bill/Back of Bill. Staff will complete Recommendation #11 prior to translations of the Bill/Back of Bill. Target Date: Jun-2022
<p>#21-05 Municipal Water Billing and Customer Service</p> <p>#08 To address the needs of low-income and medically vulnerable customers, the Environmental Services Department, the Finance Department, and the Information Technology Department should:</p> <p>a) Create an electronic form to register eligible customers and provide alternative ways to submit this form (i.e., virtually, through mail, or in person).</p> <p>b) Document the qualification requirements, including income thresholds, on the application form.</p>	ESD / FIN / IT	Implemented	The Finance Department partnered with ITD and Muni Water to create an online electronic registration form for customers to apply for Low-Income and/or Medically Vulnerable Customers status. The form is posted to the City's Municipal Water Systems website: www.sanjoseca.gov/WaterPaymentResources and can be submitted online. It identifies the qualification requirements for each category on the form, with a link back to the federal government's website and is in three language options: English, Spanish, and Vietnamese. Staff has completed a privacy review with the Digital Privacy Office and will incorporate a privacy notice into their San José Municipal Water Low Income and Vulnerable Customer form.
<p>#21-05 Municipal Water Billing and Customer Service</p> <p>#09 To improve accessibility for customers to view and pay their bills, the Finance Department should work with the Information Technology Department, to:</p> <p>a) Enable Muni Water customers to view detailed statements online, and</p> <p>b) Provide customers the option to receive electronic statements.</p>	FIN / IT	Not Implemented	<p>Finance Department staff met with its bill print vendor (Infosend) on 1/24/22 to evaluate the feasibility of providing electronic billing statements. Infosend has informed Finance that it will be able to provide emailed pdf statements monthly and will provide Finance with a quote on this. Target Date: Jun-2023</p> <p>Potential Budget Savings: Paper bills are estimated to cost about \$100,000 to print and mail annually for Muni Water's 26,000 accounts.</p>
<p>#21-05 Municipal Water Billing and Customer Service</p> <p>#10 The Finance Department should update the "How to Read Your Bill" instructions to align with the current payment/rate structure and include explanations for the additional charges line items (i.e., late payment charges, returned check).</p>	FIN	Not Implemented	This has not started yet. The Finance Department and Environmental Services Department plan to collaborate on how to revise "How to Read Your Bill" and include translations. Target Date: Dec-2022

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<p>#21-05 Municipal Water Billing and Customer Service</p> <p>#11 To reduce the likelihood of late payments, the Finance Department and the Environmental Services Department should include consistent information on the bill, Muni Water's website, and the City's Pay My Bill webpage informing customers of the consequences of missed/late payments, including noting processing delays.</p>	FIN / ESD	Not Implemented	This has not started yet. The Finance Department, Environmental Services Department, the Call Center, and the City Manager's Office plan to discuss consistent messaging on bills and websites. The CMO Webmaster will assist in updating City's Pay My Bill webpage and assist, as needed, ESD Web Manager with Muni Water page updates once messaging is completed. Target Date: Dec-2022
<p>#21-05 Municipal Water Billing and Customer Service</p> <p>#12 To make Late Payment Notices and Notices of Termination more accessible, the Finance Department and the Environmental Services Department should use plain language on the notices, including the date by which payment or arrangement for payment is required in order to avoid discontinuation of residential service, and provide an overview of the water shutoff timeline.</p>	FIN / ESD	Implemented	The Finance Department, in partnership with the CAO and ESD has updated the Notice of Termination of Water Service form to include clearer language notating how soon after the notice a payment must be made to avoid water shut offs. The Department will also updated the Late Payment Notice to include an overview of the water shutoff timeline. This is set to go into production April 2022.
<p>#21-05 Municipal Water Billing and Customer Service</p> <p>#13 To help alleviate the financial burdens of significant outstanding balances owed by Municipal Water customers, the Administration should implement a combination of strategies, including:</p> <ul style="list-style-type: none"> • Automatically enroll customers with overdue balances into payment plans when the moratorium ends, • Conduct outreach to customers about the Low Income and Vulnerable designation service options, potentially leveraging the City's communications outreach and other existing efforts (e.g., San José Clean Energy, CA Rental Relief), • Work with the City's Budget Office to explore potential sources of ongoing funding for customer assistance, including excess late payment charges, and/or • Develop a process to distribute aid from Federal and State funding sources, such as from the Low Income Household Water Assistance Program (LIHWAP), to qualifying households and align the Low Income thresholds as appropriate. 	CMO / ESD / FIN / IT	Partly Implemented	Extended payment plans (up to one year) are being offered to customers, as of January 2022. Customers will not be automatically enrolled in payment plans due to resource constraints, including staffing and billing system limitations. Customer outreach on low-income and medically vulnerable programs will need to be coordinated between Finance and ESD (see Recommendation 8). City participation in the State Water Arrearage Program was approved by Council on January 11, 2022; the City's application was approved by the State, and the City received Program funding in January 2022. Other sources of financial assistance funding have yet to be discussed/determined. The State is projecting that guidance on LIHWAP will be available in May 2022. Staff are submitting a budget proposal for consideration to fund staff resources and outreach supporting the State's LIHWAP program and evaluate the potential for an ongoing funding assistance program Target Date: Dec-2022

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#21-06 Team San Jose Performance FY 2020-21	OED	Implemented	Team San Jose repaid the prior overpayment on November 22, 2021.
#01 The City Manager's Office and the Budget Office should work to recoup the \$50,000 overpayment of Team San Jose's 2018-19 incentive fee.			