

Audit Recommendation Follow-Up Report

MARCH 2024

Status Update as of December 31, 2023

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CITY OF SAN DIEGO



OFFICE of the CITY AUDITOR



March 21, 2024

Honorable Members of the Audit Committee
City of San Diego, California

Recommendation Follow-Up Report – Status Update as of December 31, 2023

Attached is the Office of the City Auditor's Recommendation Follow-Up Report, which provides the status of open recommendations as of December 31, 2023. We will continue reporting on open recommendations semiannually for periods ending around June 30th and December 31st.

We have provided a short summary of data and attached the status updates for all recommendations. We look forward to presenting this report at the April 10, 2024 Audit Committee meeting.

The intent of this report is to keep the Audit Committee and other stakeholders informed about the implementation status of recommendations made by the Office of the City Auditor. We welcome any suggestions or recommendations for improving this report to enhance your ability to monitor the effective implementation of City Auditor recommendations.

We would like to thank all the staff from the various departments that provided us with information for this report. All of their valuable time and efforts are greatly appreciated.

Respectfully submitted,

Andy Hanau
City Auditor

cc: Honorable Mayor Todd Gloria
Honorable City Councilmembers
Eric Dargan, Chief Operating Officer
Matthew Vespi, Chief Financial Officer
Rolando Charvel, Department of Finance Director and City Comptroller
Jeff Peele, Assistant Director, Department of Finance
Christiana Gauger, Chief Compliance Officer
Deputy Chief Operating Officers
Department Directors

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Summary

The mission of the Office of the City Auditor is to advance open and accountable government through accurate, independent, and objective audits and investigations that seek to improve the efficiency, effectiveness, and equity of City government.

The Administration and City departments have continued to make progress towards implementing open audit and investigative recommendations. During this reporting period, the Administration and City departments implemented 18 of the outstanding recommendations.

We issued six reports during this reporting period, which included 28 new recommendations. The Administration and City departments agreed to implement all of the new recommendations.

To augment this and future recommendation follow-up reports, we have created and published an interactive dashboard on our website as shown in **Exhibit 1**. For the interactive dashboard and copies of past reports, visit our website:

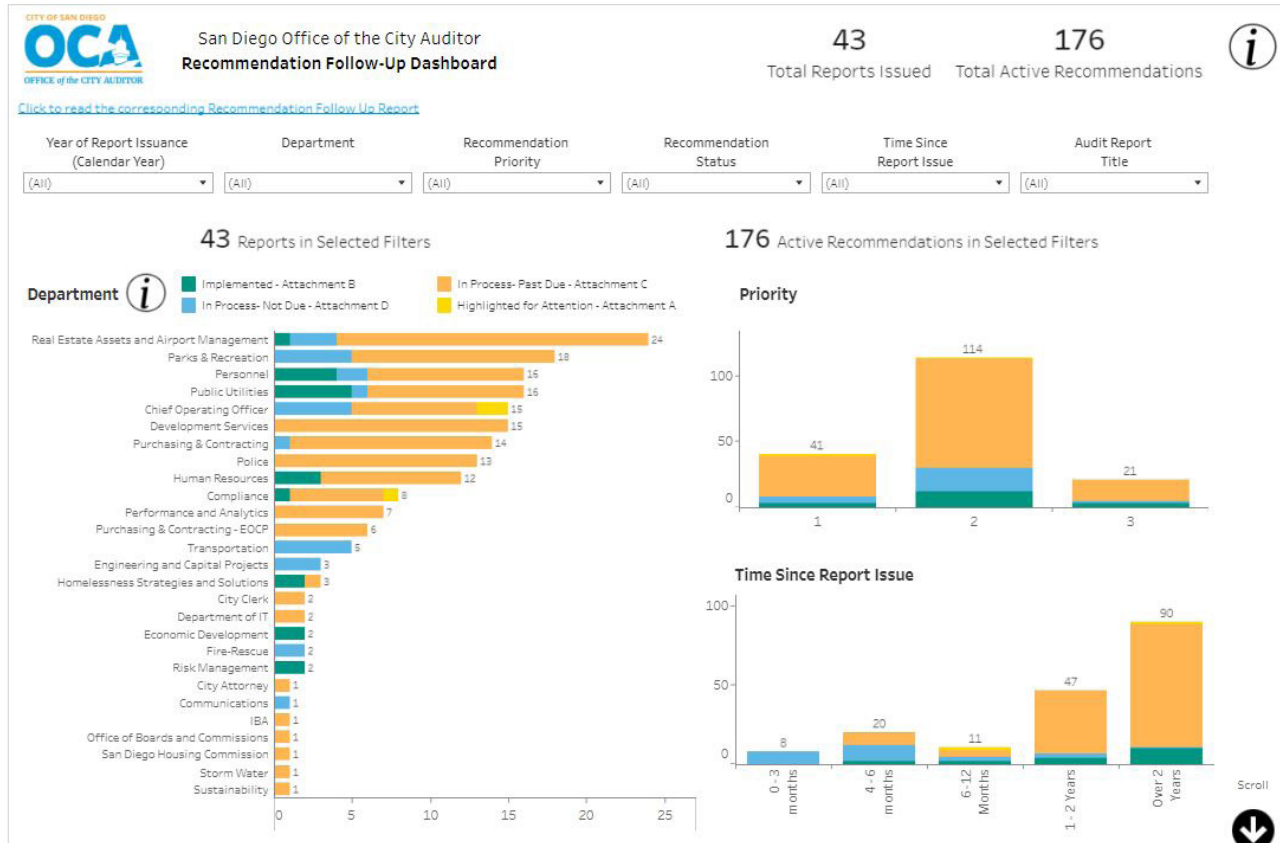
[Recommendation Follow-Up Dashboard](#)

[All Implemented Recommendations Over Time](#)

[Current Report Period Ending December 31, 2023](#)

Exhibit 1

Screenshot of the Dashboard for the Current Report Period Ending December 31, 2023



The interactive dashboard allows users to view and sort open recommendations by report year of issuance, department, recommendation priority, recommendation status, implementation time (since report issuance), and report.

We asked all departments with outstanding recommendations to provide a current target implementation date; however, there are recommendations in this report with dates that are past due. We have included Attachment C – Recommendations Deemed as In Process With Past Due Original Target Dates so that past due recommendations can be easily identified. We will continue to follow up on these recommendations during our next reporting period.

We greatly appreciate the Administration’s efforts to implement audit and investigative recommendations to improve City operations and mitigate the risks identified during our audits and investigations.

Implementation Status of Open Recommendations

This report reflects the status of all Office of the City Auditor open audit recommendations as of December 31, 2023. We contacted departments directly to gather recommendation status information, reviewed all outstanding recommendations, and placed the recommendations into the following status categories:

Implemented: Management provided sufficient and appropriate evidence to support implementation of all elements of the recommendation, or identified and implemented an alternative approach that addresses the risk;

In Process: Management provided some evidence but not all elements of the recommendation have been addressed, or the department has agreed to implement the recommendation but has not yet completed the implementation;

Will Not Implement: Management disagreed with the recommendation, did not intend to implement, or the department has determined it will not implement the recommendation for reasons identified in the report, and no further action will be reported; and

No Further Action: Management has completed some elements of the recommendation, but has not fully addressed the risk and does not plan to take any further action.

Not Implemented – N/A: Circumstances changed to make the recommendation not applicable; and

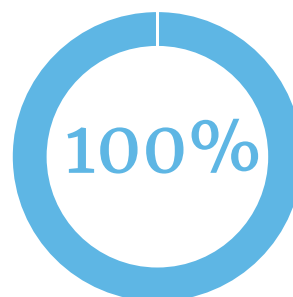
Proposed Alternative: The Administration and City departments disagreed with the original recommendation as written, but it reported it has an action plan (alternative) to mitigate the identified risk that was reported in the audit.

As of our last recommendation follow-up report for the period ending June 30, 2023, there were 148 open recommendations. Since then, we have issued six performance audit reports, which added 28 new recommendations with 100 percent agreement, for a total of 176 outstanding recommendations for the period ending December 31, 2023, as shown below.

28 new recommendations to improve efficiency, effectiveness, and equity of City operations issued July 1, 2023 through December 31, 2023

City Management agreed with **100%** of new recommendations

Recommendation Agreement



Exhibits

This report provides information about the recommendations in the following exhibits:

- **Exhibit 2** – Summarizes the status of the 176 recommendations by audit or investigative report in chronological order.
- **Exhibit 3** – Summarizes the distribution of the 18 recommendations in Attachment B that were Implemented by Department/Agency.
- **Exhibit 4** – Summarizes the distribution of the 130 recommendations in Attachment C that are In Process – With Past Due Original Target Dates by Department/Agency.
- **Exhibit 5** – Summarizes the distribution of the 25 recommendations in Attachment D that are In Process – With Original Target Dates Not Due by Department/Agency.
- **Exhibit 6** – Breaks down the 176 recommendations by their status and the length of time the recommendation remains open from the original audit report date.
- **Exhibit 7** – Shows Audit Recommendation Activity for the Period Ending December 31, 2023.

Attachments

This report also provides detailed information about the recommendations in the following Attachments:

Attachment A – Recommendations Highlighted for the Audit Committee’s Attention

Generally, this attachment includes recommendations for which: (a) the Administration disagreed with implementing the recommendation; (b) the status update significantly varied from previous updates provided by the Administration; (c) some type of further action by the Audit Committee is needed; and/or (d) it is determined to be Not Applicable (N/A) any longer and should be dropped.

Attachment B – Recommendations Deemed as Implemented

This attachment includes all outstanding recommendations as of December 31, 2023 that have been deemed as Implemented by City Auditor staff based on sufficient and appropriate evidence provided by the departments.

Attachment C – Recommendations Deemed as In Process With Past Due Original Target Dates

This attachment includes all recommendations with past due original target dates as of December 31, 2023 that are In Process of implementation based on the status information provided by the departments or based on auditor review of evidence provided by the departments.

Attachment D – Recommendations Deemed as In Process – Not Due

This attachment includes all recommendations with original target dates that are not due as of December 31, 2023 that are In Process of implementation based on the status information provided by the departments or based on auditor review of evidence provided by the departments.

New Format for Recommendation Status Updates

In January 2024, we issued a joint memorandum with the Chief Operating Officer to City Department Directors regarding the process and guidance for providing status updates for our recommendations.³ The purpose of the revised guidance was to: 1) provide more consistency in how departments update OCA and the Audit Committee on the status of open recommendations, including progress made and obstacles encountered; and 2) to simplify the process for departments to provide updates to OCA and the Audit Committee. These changes were the result of ongoing process improvement discussions between OCA and the Compliance Department.

The new format, which is reflected in many of the recommendation implementation updates in Attachment C of this report, includes the following basic elements: 1) a summary of the key steps or tasks required to implement an agreed-upon recommendation; 2) the status of each step or task, including whether the step or task has been completed, or any information on the progress in completing the step or task; and 3) target timeframes for completing the remaining steps or tasks.

We will continue to work with Management to raise awareness of the new required format so that updates are provided in a consistent and useful format.

Future Recommendation Follow-Ups

The Office of the City Auditor will conduct semi-annual follow-ups, with reporting periods ending June 30th and December 31st. For the next report, we will continue to request that departments establish target implementation dates for new audit recommendations, and we will provide information on the recommendations that have become past due or for which the target implementation date has changed. We will also highlight recommendations where there is disagreement and seek resolutions.

As we move forward, we will be adding past recommendations to the dashboard. This will allow users to view and sort open and past recommendations by report year of issuance, department, recommendation priority, recommendation status, implementation time (since report issuance), and report.

³ [Process and Guidance for Providing Status Updates for Office of the City Auditor Recommendations](#)

The intent of this report is to keep the Audit Committee informed about the implementation status of recommendations made by the Office of the City Auditor. We welcome any suggestions or recommendations for improving this report to enhance your ability to monitor the effective implementation of City Auditor recommendations.

Exhibit 2 below summarizes the status of the 176 recommendations by audit report in chronological order.

Exhibit 2

Audit Reports and Recommendation Status

Report #	Report Title	Implemented	In Process	Not Implemented - N/A	Will Not Implement	Partially Implemented - No Further Action
13-009	Performance Audit of the Real Estate Assets Department		1			
15-012	The City Needs to Address the Lack of Contract Administration and Monitoring on Citywide Goods and Services Contracts		1			
15-016	Performance Audit of Citywide Contract Oversight		5			
16-016	Citywide Contract Oversight II - Contract Review		2			
17-013	Performance Audit of the San Diego Convention Center		1			
18-015	Performance Audit of the Economic Development Department's Business and Industry Incentives Program	2				
18-023	Performance Audit of the Storm Water Division		1			
19-002	Performance Audit of the Real Estate Assets Department's Portfolio Management Practices		2			
19-003	Performance Audit of the Public Utilities Department's Water Billing Operations	1	1			
19-019	Performance Audit of the Public Utilities Department Customer Support Division Customer Service Office (Call Center)	2	1			
20-002	Performance Audit of Public Utilities Department's Advanced Metering Infrastructure Implementation		6			

Report #	Report Title	Implemented	In Process	Not Implemented - N/A	Will Not Implement	Partially Implemented - No Further Action
20-003	Hotline Report of Abuse Related to the Unfair Award of a Multi-Million-Dollar Contract		4			
20-008	Performance Audit of Development Services Department Administration of Deposit Accounts for Development Projects		5			
20-009	Performance Audit of the City's Efforts to Address Homelessness		1			
20-010	Hotline Investigation of Gifts Received by a City Employee		1			
20-011	Performance Audit of the City's Strategic Human Capital Management	2	1			
20-013	IT Performance Audit of Citywide Data Classification and Sensitive Data Encryption		2			
20-015	Performance Audit of the City's Public Liability Management					1
21-001	Follow-Up Performance Audit of the Public Utilities Department's Industrial Wastewater Control Program	1	2			
21-002	Agreed-Upon Procedures Related to the Central Stores Physical Inventory - Fiscal Year 2020		2			
21-004	Performance Audit of San Diego Police Department's Data Analysis		2			
21-005	Performance Audit of the Purchasing and Contracting Department's Small Local Business Enterprise Program		6			
21-006	Performance Audit of Strategic Human Capital Management II: Employee Performance Management	1	6			
21-009	Performance Audit of the City's Climate Action Plan	1	0			
21-010	Performance Audit of the Public Utilities Department's Industrial Wastewater Control Program - Part II	1				
21-011	Hotline Investigation of Board-Up Services		1			

Report #	Report Title	Implemented	In Process	Not Implemented - N/A	Will Not Implement	Partially Implemented - No Further Action
22-001	Performance Audit of the City's Use of CARES Act Funding		1			
22-002	Performance Audit of the City's Major Building Acquisition Process		9			
22-005	Performance Audit of Equity in Recreation Programming		14			
22-007	Performance Audit of the City's Lease Management and Renewal Process	1	9			
22-008	Performance Audit of Workplace Safety and Workers' Compensation	3	6			
22-009	Performance Audit of the Development Services Department's Code Enforcement Division		10			
23-001	Performance Audit of SDPD's Use and Management of Body Cameras		6			
23-002	Performance Audit of Mission Bay and San Diego Regional Parks Improvement Funds, Fiscal Year 2021		4			
23-004	Performance Audit of the City's Get It Done Application and Service Requests Management		5			
23-005	Performance Audit of the City's Towing Program		4			
23-07	Performance Audit of the San Diego Housing Commission's Homelessness Services Contract Management	2	1			
23-08	Hotline Report of Unsafe Driving by City Employees		2	1	1	
23-09	Performance Audit of the City's Capital Improvement Project Approval Process		3			
24-01	Performance Audit of the City's Brush Management on City-Owned Land		7			
24-02	Performance Audit of the City's Classified Employee Hiring Process	2	10			
24-03	Fraud Hotline Report of Purchase Order Approvals		1			
24-04	Re-Review of the 2016 Audit of the City's Programs Responsible for Improving Pedestrian Safety		8			

Report #	Report Title	Implemented	In Process	Not Implemented - N/A	Will Not Implement	Partially Implemented - No Further Action
Grand Total		18 (10%)	155 (88%)	1 (1%)	1 (1%)	1 (1%)

The following icons are used throughout this report to indicate the **34** recommendations for which the department reported that it requires additional resources and the **33** recommendations for which the department did not provide a current update on the implementation status.



= Requires Resources



= No Update Provided

Exhibit 3 summarizes the distribution of the 18 recommendations in Attachment B that were **Implemented** by Department/Agency as of December 31, 2023.

Exhibit 3

Number of Recommendations Implemented by Department/Agency

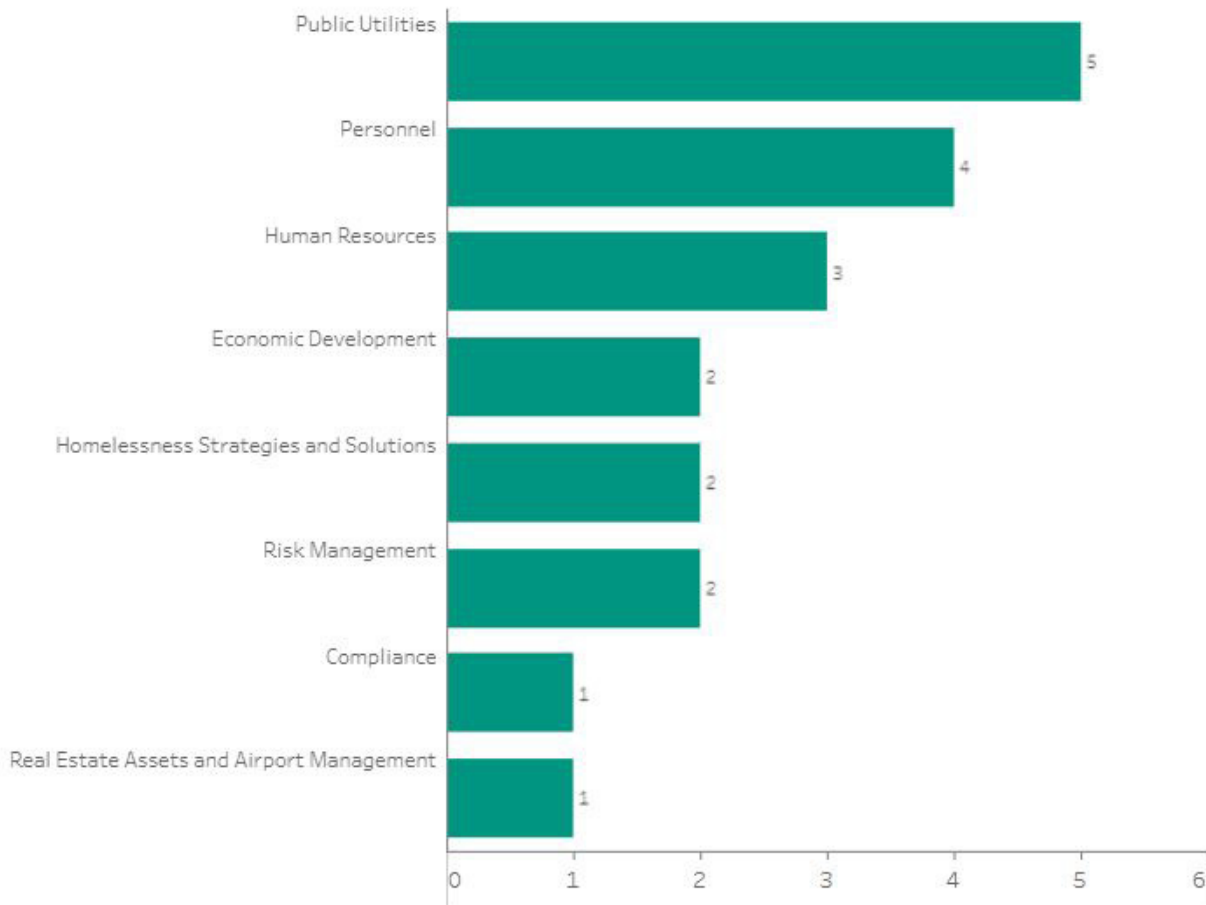


Exhibit 4 summarizes the distribution of the 130 recommendations in Attachment C, and 3 recommendations in Attachment A, that are In Process – With Past Due Original Target Dates by Department/Agency as of December 31, 2023.

Exhibit 4

Number of Recommendations In Process – With Revised or Past Due Target Dates by Department/Agency



Exhibit 5 summarizes the distribution of the 25 recommendations in Attachment D that are In Process – With Original Target Dates Not Due by Department/Agency as of December 31, 2023.

Exhibit 5

Number of Recommendations In Process – Not Due by Department/Agency

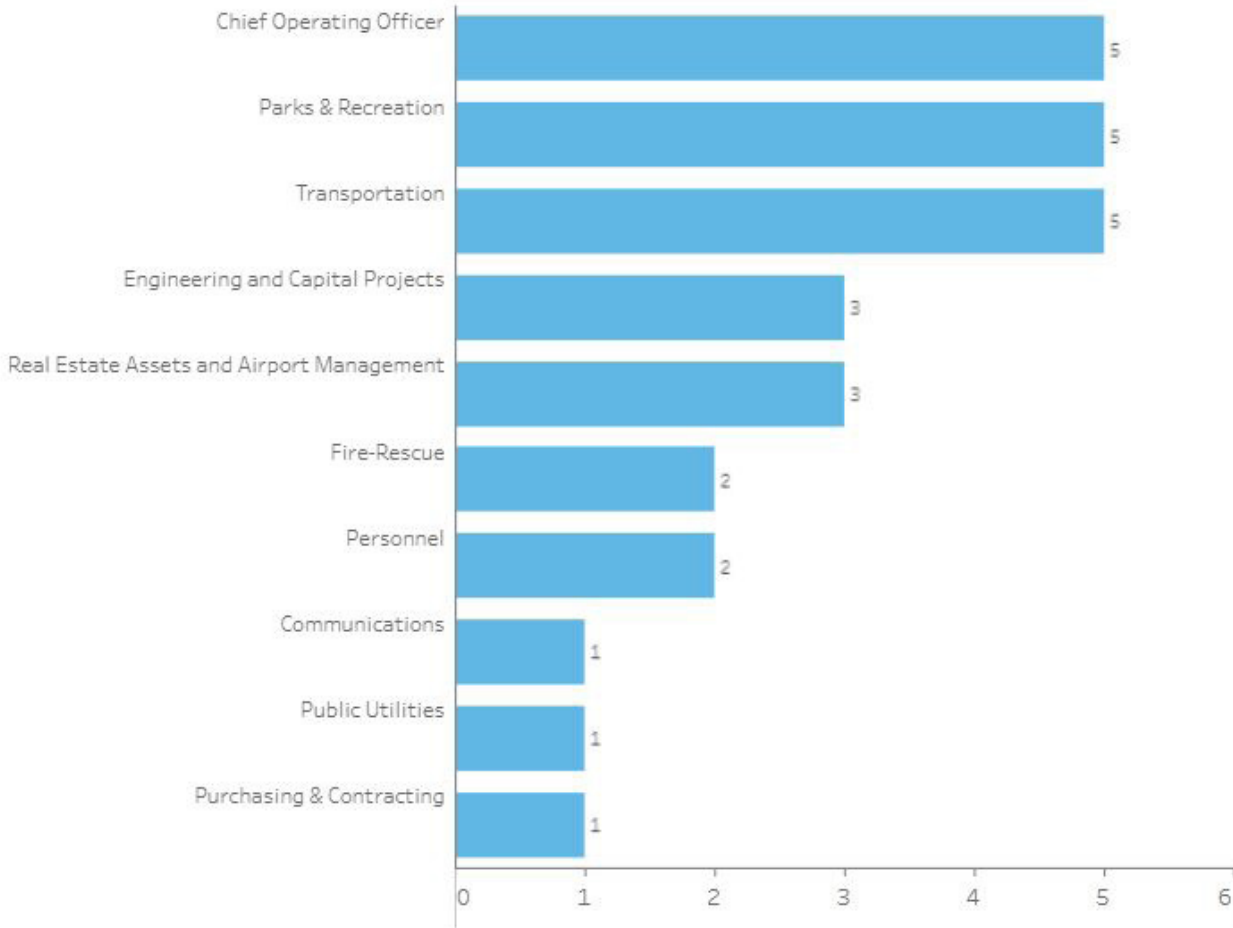
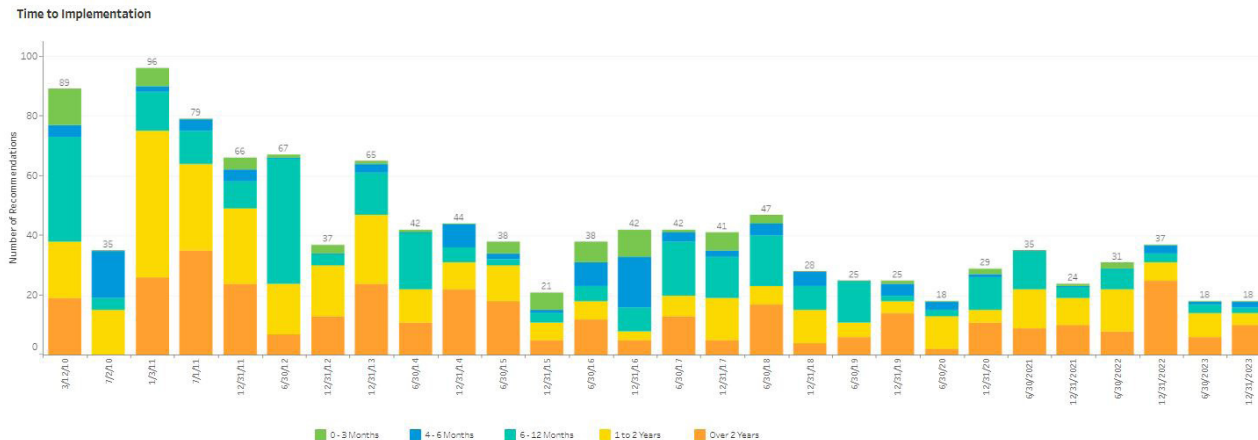


Exhibit 6 shows the current 18 recommendations implemented, the recommendations deemed as implemented in prior Recommendation Follow-Up Reports, and the length of time recommendations have remained open from their original audit report date.

All open recommendations are either categorized as Implemented, In Process, Will Not Implement, No Further Action, Not Implemented - N/A, or Proposed Alternative.

Exhibit 6

Current Report Audit and Investigative Recommendations Implementation Aging for December 31, 2023 Period



Number of Recommendations Implemented since 3/12/2010: 1,177	Current Reporting Period Ending: 12/31/2023	Number of Active Recommendations during Current Report Period: 176
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Exhibit 7 displays a summary of the recommendation activity for this reporting period.

Exhibit 7

Audit and Investigative Recommendation Activity for the Period Ending December 31, 2023

19 Recommendations Resolved for Period Ending December 31, 2023

176 Outstanding Recommendations

- 18 Implemented
- 130 In Process – past due original target dates
- 25 In Process – original target dates not due
- 1 Will Not Implement
- 1 Not Implemented – N/A
- 1 Partially Implemented – No Further Action

Attachment A

Recommendations for the Audit Committee's Attention

Attachment A includes recommendations highlighted for the Audit Committee's attention. Generally, this attachment includes recommendations for which: (a) the Administration **disagreed** with implementing the recommendation; (b) the **status update significantly varied from previous updates** provided by the Administration; (c) some type of **further action** by the Audit Committee is needed; and/or (d) it is determined to be **Not Applicable (N/A)** any longer and should be dropped.

Hotline Report of Unsafe Driving by City Employees Recommendations

In the Management Response to the Hotline Report of Unsafe Driving by City employees, Management indicated disagreement with Recommendations #1 and #4, but indicated that alternative steps would be taken to address the risk that unsafe driving by City employees is not proactively identified.

At the April 26, 2023 meeting, the Audit Committee requested that the recommendations remain open and have staff provide updates on progress and steps taken through the regular recommendation follow up report process.

Requested Action:

Management did not provide updates on these recommendations, and indicated that the Audit Committee’s request was unclear. Management requested that the Audit Committee clarify its motion. The Office of the City Auditor proposes that the Audit Committee take the following action to clarify:

The Audit Committee requests the Compliance Department to provide updates, through the City Auditor’s recommendation follow-up process, on the alternative approach they plan to take on Recommendations 1 and 4, as outlined in their management response.

23-08 Hotline Report of Unsafe Driving by City Employees (AH) (GR)

Recommendation 1 (Priority 1)

We recommend that the Chief Operating Officer establish procedures to ensure that supervisors routinely review vehicle telematics data in order provide proactive, timely, and efficient training and/or disciplinary action to unsafe City drivers. These review procedures should be documented, coordinated, and monitored for compliance.

Department Reported: Will Not Implement

OCA Request: Proposed Alternative

Notwithstanding Management’s “disagree” response, it appears that they agreed with the intent of our recommendation, which was to ensure that reviews of vehicle telematics data are conducted. The Audit Committee unanimously approved a motion to keep this recommendation open and to have staff provide updates on the progress and steps taken through the regular recommendation follow up report process.

Management did not provide an update this cycle, stating that the Audit Committee's request for updates was unclear. We propose the Audit Committee update its motion, as described above.

Issue Date: April 17, 2023

Original Target Date: Disagree

Current Target Date: Unknown

Recommendation 4

(Priority 2)

We recommend that the Chief Operating Officer conduct a cost-benefit analysis regarding additional vehicle telematics technology, such as driver identification, automated training assignments, camera systems, and other solutions to proactively and efficiently increase driver safety, and implement the solutions indicated by the analysis. Priority should be placed on addressing City drivers who have demonstrated a pattern of high-risk driving behaviors in the past.

Department Reported: Not Implemented - N/A

OCA Request: Proposed Alternative

Notwithstanding Management's "disagree" response, they have agreed to conduct a cost-benefit analysis related to potential enhancements to the new telematics technology; this is the essence of what we are recommending. The Audit Committee unanimously approved a motion to keep this recommendation open and to have staff provide updates on the progress and steps taken through the regular recommendation follow up report process.

Management did not provide an update this cycle, stating that the Audit Committee's request for updates was unclear. We propose the Audit Committee update its motion, as described above.

Issue Date: April 17, 2023

Original Target Date: Disagree

Current Target Date: Unknown

Performance Audit of the City's Public Liability Management

Management agreed to implement Recommendation #1 from the Performance Audit of the City's Public Liability Management. As detailed below, Management has formalized the Safety and Risk Oversight Committee (SROC), which meets on a quarterly basis, and has launched the ClaimStat dashboard to monitor and share public liability claims data and trends. This addresses an important element of Recommendation #1, to facilitate cross-departmental collaboration and data sharing to assist in mitigating public liability risks.

However, this effort does not include conducting, documenting, and monitoring public liability risk assessments and mitigation plans. Given that these are essential elements of a comprehensive risk reduction strategy and are included in parts a) and b) of Recommendation #1, current efforts do not fully implement the recommendation.

Requested Action:

Management indicates that no further action will be taken to implement the remaining elements of Recommendation #1. **Therefore, we propose that Recommendation #1 be closed with a status of Partially Implemented - No Further Action.**

20-015 Performance Audit of the City's Public Liability Management (GT)

Recommendation 1

(Priority 1)

The City should implement a proactive enterprise risk management (ERM) framework to manage and address its public liability risks. This should include the following:

- I. The City should create an Executive-Level Risk Oversight Committee, headed by a sufficiently empowered executive official (ERM manager), that has sufficient authority and resources to direct, coordinate, and support the work of departments that incur public liabilities for the City. The City should codify this authority through an appropriate mechanism, such as an Administrative Regulation.
- II. The City's ERM manager and Risk Oversight Committee's role in directing and coordinating the operations of liability-incurring departments should include, but not be limited to, the following responsibilities:
 - a. Requiring the top five City departments incurring the highest public liability claims costs to perform an annual risk assessment for all claim types incurring cumulative costs of \$500,000 or more in the preceding three fiscal years. Specifically, this should include identifying risks, the likelihood and impact of identified risks, and mitigative measures to address such risks (see Appendix D for a sample risk assessment template).

- b. Assisting City departments to develop annual public liability risk assessments and monitoring City departments' implementation of mitigation plans to ensure risks are effectively identified and mitigation measures are effective. Information on mitigation measures employed and their effectiveness should be aggregated and included in the City's Risk Management Annual Report to City Council, such as the number and percent of City vehicle drivers that attended the Risk Management Department's proactive vehicle driving course.
- c. Supervising the collection, processing, and presentation of City-wide liability data to the top five liability-incurring City departments through dedicated risk management reports, information-sharing sessions, and trainings.
- d. Requiring and facilitating collaboration between liability-incurring departments, such as through the recently created City-wide Risk Oversight Committee, to identify, develop, and implement risk mitigation strategies for specific categories of public liabilities (e.g., City vehicle accidents, trip & falls, storm drain backups, etc.)

Department Reported: Implemented

OCA Request: Partially Implemented – No Further Action

The Administration has taken several steps towards formalizing the sharing of public liability risk information across departments, which partially addresses the main elements of the recommendation.

Specifically, to address sub-recommendation I, the Safety and Risk Oversight Committee (SROC) approved the committee's charter at its December 14, 2023 meeting. Furthermore, according to the Risk Management Department, SROC has been meeting on a quarterly basis starting in calendar year 2022 and provides a forum for discussion of mitigation measures for operational risks in conjunction with data analytics, training, and support from Risk Management and the Compliance Department. Also, SROC's charter states that a fundamental perspective of the Committee is to approach employee safety and public liability proactively, as well as provide a space for departments to share experiences, processes, and knowledge to increase employee safety and limit liability.

With respect to sub-recommendation II, the Risk Management Department reports that it has rolled out its ClaimStat dashboard, along with providing training, to the top five liability-incurring City departments: Transportation & Stormwater, Police, Public Utilities, Parks and Recreation, and Engineering & Capital Projects. Moreover, according to Risk Management, top liability-incurring departments can access their liability loss data, which is updated monthly, to assess and implement appropriate mitigation measures for their operations. Also, according to Risk Management, SROC compliments ClaimStat by providing a forum to discuss various topics related to identifying risks and implementing mitigation measures to address risks and costs associated with public liability claims. Finally, Risk Management's recently created Loss Control Team analyzes liability data from a citywide perspective and assists

departments in evaluating department-specific loss data.

While these efforts will greatly improve cross-departmental collaboration to address public liabilities, the Administration indicates that it does not plan to document risk assessments and mitigation plans and monitor their results. Given that these are essential elements of a comprehensive risk reduction strategy and are included in parts a) and b) of Recommendation #1, current efforts do not fully implement the recommendation.

Attachment B

Recommendations Deemed as Implemented

This attachment includes all outstanding recommendations as of December 31, 2023 that have been deemed as **Implemented** by City Auditor staff based on sufficient and appropriate evidence provided by the departments.

18-015

Performance Audit of the Economic Development Department's Business and Industry Incentives Program

(AH) (DK)

Recommendation 1

(Priority 1)

EDD should develop a more comprehensive outreach strategy to spread information about the BII and other EDD programs. Specifically incorporating outreach to potential businesses located in older; underserved areas of the City as stated in Council Policy 900-12 and the Economic Development Strategy.

Implemented

This recommendation is implemented. OCA reviewed EDD's BIP Outreach Plan for 2024. This outreach plan, in conjunction with EDD's 2023-2026 Economic Development Strategy, demonstrates EDD established a comprehensive outreach strategy for the BIP that includes outreach in underserved areas of the City. Furthermore, our office has reviewed evidence of EDD's outreach for the BIP program in underserved areas of the City before BIP was amended, and EDD has begun outreach of the amended BIP. Therefore, this recommendation is considered implemented, recognizing the impact of this outreach could be reviewed in a future audit.

Recommendation 2

(Priority 2)

EDD should develop a written internal process to ensure the Office of the City Treasurer, Development Services Department, and other departments provide information about the BII to new business and permit applicants.

Implemented

This recommendation is implemented. OCA reviewed EDD's BIP Outreach Plan for 2024. This outreach plan specifies that EDD will work with the City Treasurer's Office to mail updated BIP materials along with the annual Business Tax Certificate renewal notices. Our office has already reviewed evidence that EDD previously mailed BIP materials along with Business Tax Certificate renewal notices for the previous version of the program. Therefore, this recommendation is considered implemented, recognizing the impact of this outreach could be reviewed in a future audit.

19-003 Performance Audit of the Public Utilities Department’s Water Billing Operation

(JP)

Recommendation 10 (Priority 2)

To improve customer satisfaction, the Public Utilities Department should communicate with customers in advance of anticipated bill-impacting activities. Specifically, PUD should:

- a. Notify a customer when their meter reading is under review for a prolonged period that may impact their billing schedule or result in receiving multiple bills at the same time.
- b. Inform customers of forthcoming changes or bill-impacting activities, such as rate increases or prolonged billing periods, with sufficient notice to prepare for the additional expenses.

Implemented

This recommendation is implemented. PUD developed procedures for notifying customers in advance of billing schedule changes or new billing rates, as well as procedures for notifying customers that may experience a prolonged delay in receiving a bill. PUD provided an example Held Bill notice and a report of 79,125 identified held bills between September 20, 2023 and February 12, 2024. According to PUD, the system is programmed to send out held bill notices 7 days after the bill is held.

19-019 Performance Audit of the Public Utilities Department Customer Support Division Customer Service Office (Call Center)

(MJ)

Recommendation 1 (Priority 2)

To maximize its call system investment and provide enhanced customer service, the Public Utilities Department’s (PUD) Customer Support Division (CSD), should assess its Call Center data and system needs and, within its chosen call center system, develop a plan that includes, but is not limited to:

- Acquisition of a dedicated subject matter expert (SME) to provide technical and operational support for the call system; and
- Determination of data necessary for management and Supervisors to assess customer service goals.

Implemented

This recommendation is implemented. The Public Utilities Department (PUD) has hired a program manager who is the subject matter expert for Amazon Connect, PUD’s new call center software. The program manager oversees the Customer Service Division’s Systems Performance and Workforce Analytics section and leads

on all systems data and IT-related matters for the division. To determine call center needs, the program manager analyzes Amazon Connect call data, including agent performance, productivity, and customer satisfaction. In combination with the call center activity reports, PUD has developed procedures and trained staff on how to use the new call center system. Using performance reports, call center supervisors can assess individual and overall call center performance and address any gaps in performance via training.

Recommendation 2

(Priority 2)

To facilitate knowledge transfer for future users of the call management system, the Public Utilities Department's (PUD) Customer Support Division (CSD) should develop policies and procedures on how to use the system, including the system's reporting capabilities. CSD should also develop a training plan to educate staff, at least annually, on the use of the Call Center system's features.

Implemented

This recommendation is implemented. The Public Utilities Department (PUD) rolled out its new call center system, Amazon Connect, in September of 2023. For this update, PUD has provided evidence that call center staff were trained on the new call center system in September 2023. Additionally, PUD has provided evidence of written procedures for staff to follow during their training, including instructions on how to use the system such as documenting calls; answering, transferring, and completing calls; creating banner messages to customers in the event of call center closures due to emergencies; shadowing or reviewing recorded calls; running reports on staff performance; and addressing various kinds of calls (billing, MWSD, etc.). The procedures also include a training checklist to ensure that staff receive the aforementioned training under the guidance of a supervisor or trainer. Lastly, the procedures include refresher training that must be given to staff who are returning to work after a long period of absence.

20-011 Performance Audit of Strategic Human Capital Management (NO) (GT)

Recommendation 9

(Priority 2)

The Human Resources and Personnel Departments should develop and monitor target goals or metrics for key aspects of the City's workforce, such as target turnover rates, quits rates, vacancy rates, etc. These should be formally documented, for example, by incorporation into the City's Total Compensation Strategy (from Recommendation #1) and annual Workforce Report (from Recommendation #7).

Implemented

This recommendation is implemented. According to HR, the second annual workforce report has been completed and is intended to be presented to Council in early 2024. However, in advance of that presentation, HR provided excerpts from the workforce

report that include targets such as: Monthly Turnover Rate Target (1.8%), and Average Daily Vacancy Rate Target: (13.5%).

Recommendation 14

(Priority 1)

The Personnel Department, collaborating with the Human Resources Department, should proactively facilitate the Special Salary Adjustment (SSA) application process by identifying yearly which classifications have the highest recruitment and retention difficulties; communicating with affected Department Directors; and working with them to submit SSA applications as appropriate.

- a. This effort could be included as part of the annual Workforce Report from Recommendation 7.

Implemented

This recommendation is implemented. Personnel shared documentation of FY2025 Salary proposals for 17 classifications throughout the City; 10 of the 17 classifications were identified by Personnel. This helps City departments and leadership in identifying and addressing the roles throughout the City that are having recruiting and/or retention challenges.

21-001

Follow-Up Performance Audit of the Public Utilities Department's Industrial Wastewater Control Program

(JP)

Recommendation 9

(Priority 1)

The Public Utilities Department should perform a comprehensive review of all PIMS settings and invoice calculating features to ensure that invoices are automatically generated by PIMS and sent in a timely manner.

Implemented

This recommendation is implemented. At the time of the audit, IWCP invoices were manually generated, which led to lapses in billing. PUD has now configured PIMS to automatically generates invoices daily, PUD has procedures to review the invoices, and the invoices are sent automatically to SAP to bill customers.

**21-006 Performance Audit of Strategic Human Capital Management
II: Employee Performance Management**

(NO) (GT)

Recommendation 4

(Priority 3)

The Human Resources Department, working collaboratively with the Finance Department, should conduct an annual review of the Rewards & Recognition Program for conformance with the cash and discretionary leave (D/L) caps within Administrative Regulation 95.91 and the extent of program participation.

This review should be formalized in the form of a process narrative, and included within Administrative Regulation 95.91, or some other way to ensure that it will be performed each year.

Implemented

The recommendation is implemented. The Human Resources Department (HR) is reviewing Rewards and Recognition data on a Bi-Weekly basis and as part of its People Stat Program. The People Stat Program's policy document states that HR staff will meet weekly to discuss Balanced Score Card components for targeted departments. Staff will be responsible for preparing and analyzing data relevant to their programs and department assignments. Following the data presentation, follow-up questions and discussion will center around developing actionable next steps. These next steps will include follow-up with target departments and collaboration with other HR sections as needed.

Specific to Rewards & Recognition Program utilization, the People Stat Program notes that HR staff reviews and discusses Discretionary Leave (DL) and Exceptional Merit Cash Payment award data at weekly staff meetings. Frequently monitoring and reviewing of such data should help ensure City departments are conforming to Exceptional Merit Cash and DL award caps within Administrative Regulation 95.91 as well as allow HR to identify departments that might not be consistently utilizing the Rewards & Recognition Program. Therefore, we consider the spirit of this recommendation to have been sufficiently met by HR's People Stat Program and its data-centered approach to reviewing and monitoring Reward & Recognition Program utilization.

21-010 **Performance Audit of the Public Utilities Department’s Industrial Wastewater Control Program Part II**

(JP)

Recommendation 5 (Priority 2)

The Industrial Wastewater Control Program should establish target service levels for inspections and permit issuance for both Significant Industrial User (SIU) and non-SIU facilities. These targets should include (but not be limited to) how frequently the program will formally inspect or otherwise evaluate industrial user facilities for compliance with pretreatment regulations and how quickly the program should process permit applications and renew permits prior to their expiration.

Implemented

This recommendation is implemented. PUD implemented standard operating procedures that set targets for annual inspections, renewal inspections, and permit issuance.

22-007 **Performance Audit of the City’s Lease Management and Renewal Process**

(NO) (NK)

Recommendation 10 (Priority 1)

The Department of Real Estate and Airport Management should ensure that when Council Policy 700-10 is updated, its allowance of a statement of value instead of an appraisal is permitted by the San Diego Municipal Code, or should ensure that the policies are aligned accordingly.

Implemented

This recommendation is implemented. City Attorney’s Office staff reviewed the relevant Municipal Code section and the proposed Council Policy updates, and determined that the allowance of a statement of value instead of an appraisal was not prohibited by the Municipal Code.

22-008 Performance Audit of Workplace Safety and Workers' Compensation

(JP)

Recommendation 4 (Priority 3)

To ensure all employees are aware of how to report safety concerns, the Compliance Department's Occupational Safety and Health program (OSH) should prepare annual notifications that provide all City employees with information on how to report safety concerns. For departments with designated safety personnel, OSH should coordinate these annual notifications to ensure the notifications are aligned with the departments' specific procedures for reporting safety concerns. For departments without designated safety personnel, OSH should send these annual notifications to employees.

Implemented

This recommendation is implemented. The Compliance Department sent a notification to all employees including the hazard identification report and instructions, and the department has guidance for sending the notification annually.

Recommendation 6 (Priority 2)

To ensure City departments are kept informed on workers' compensation claim trends, the Risk Management Department should report on all City departments with workers' compensation claimants in its Worker' Compensation and Safety performance report. The report should include workers' compensation claim trends analysis, incident cause analysis, and, where possible, incident location analysis.

Implemented

This recommendation is implemented. Risk Management implemented workers' compensation dashboards with department specific data, including cost trends by occupation, injury type, and location. According to Risk Management, the dashboards have been provided to larger departments such as the Fire-Rescue Department and Environmental Services Department. Risk Management reported that as it rolls the dashboards out to other departments, it is providing training to departments' staff on how to navigate the dashboard. Risk Management notes that, due to privacy concerns, the dashboard cannot be provided to all departments, because small departments would be able to identify individuals from even anonymized data.

In December 2023, Risk Management presented the results of Citywide claims analysis to the Safety and Risk Oversight Committee. This included analysis of Citywide workers compensation claims trends by total claims per year and claims per year broken out into sworn personnel, Local 127 personnel, and combined MEA, DCAA, and Unclassified personnel. Additionally, the analysis included breakouts for FY19-FY23 claims by job title, body part, and cause, as well as industrial leave days. This was done for the top 5 job titles among sworn personnel, Local 127 personnel,

and combined MEA, DCAA, and Unclassified personnel. It also included action items for injury prevention.

Recommendation 10

(Priority 2)

In order to strengthen the control environment and provide supervisors and managers in the Risk Management Department with the ability to verify that all red flags and tips are thoroughly investigated, the Risk Management Department’s Workers’ Compensation Division (Workers’ Compensation) should update its procedures for investigating red flags and fraud tips to include monitoring of all fraud red flags and tips in a central document. Workers’ Compensation should analyze all fraud red flags and tips and make appropriate updates to its procedures if it identifies any trends. Workers’ Compensation should document its analysis and report the results of its assessment to the Safety and Risk Oversight Committee on an annual basis.

Implemented

This recommendation is implemented. Risk Management implemented new fraud investigation procedures and updated capabilities in their claims management system, iVos. The results of the analysis was presented at SROC on December 14, 2023. At this time, no trends have been identified.

23-07 Performance Audit of the San Diego Housing Commission’s Homelessness Services Contract Management

(JP) (AR)

Recommendation 3.1

(Priority 2)

In order to address existing maintenance issues, the Homelessness Strategies and Solutions Department should coordinate with providers, the San Diego Housing Commission and relevant City departments to perform an inspection of all homelessness services sites for which the City is responsible for maintenance and repairs, and complete any identified repairs and maintenance at those sites.

Implemented

This recommendation is implemented. Inspections showed that maintenance issues were identified and the same maintenance issues were not identified during the following month’s inspection. Evidence of the 16th and Newton site showed that one issue, deteriorating sandbags, appeared on both of the initial inspections, but not on the following two inspections requested by auditors. These inspection reports provide evidence that inspections are regularly being completed and maintenance issues are being addressed.

Recommendation 3.2

(Priority 2)

In order to address future maintenance issues at sites where the City is responsible for maintenance and repairs, the Homelessness Strategies and Solutions Department should establish a procedure to track maintenance requests between providers, the San Diego Housing Commission (SDHC), and relevant City departments. This procedure should contain the required information for service requests, correct routing procedure for requests, estimated timelines for repair, and communication of progress and task completion to SDHC and service providers.

Implemented

This recommendation is implemented. The City documented a new procedure and effectively communicated it to service providers. Service providers are using the new procedure, maintenance requests are actively tracked, and issues were resolved in a timely fashion.

24-02

Performance Audit of the City’s Classified Employee Hiring Process

(CN) (NT)

Recommendation 1.5

(Priority #)

The Personnel Department should establish a method to ensure the City Administration can request to present to the Civil Service Commission as part of the docketed agenda at any Civil Service Commission meetings. The Personnel Department should communicate the process to the City Administration and the City Administration’s central point of contact. The process should also be easily locatable on Personnel’s website or intranet site.

Implemented

This recommendation is implemented. The Personnel Department has implemented this recommendation by posting on their website how one can request to docket an item for the Civil Service Commission agenda.

Recommendation 2.1

(Priority #)

The Personnel Department should formalize the practice of allowing hiring departments to begin the hiring process and receive an eligible list before there is a vacancy, but not allow the department to fill the position until the position is vacant. The Personnel Department should formalize this practice in a policy or memorandum and should include the information in any future trainings and guidance provided on the hiring process, such as the Appointing Authority Interview Training and the guide in Recommendation 2.3.

Implemented

This recommendation is implemented. The department issued a memo to all Department Directors that announced the process to allow departments to begin the Classified hiring process and request an eligible list for future vacancies. Additionally, its training materials were updated to reflect the newly implemented process.

Attachment C

Recommendations Deemed as In Process with Past Due Original Target Dates

This attachment includes all recommendations with past due original target dates as of December 31, 2023 that are **In Process** of implementation based on the status information provided by the departments or based on auditor review of evidence provided by the departments.

Chief Compliance Officer

22-008

Performance Audit of Workplace Safety and Workers' Compensation

(JP)

Recommendation 1

(Priority 1)

To specify roles and responsibilities in the process of implementing, maintaining, and monitoring department-specific Injury and Illness Prevention Programs (IIPPs), the Compliance Department's Occupational Safety and Health program (OSH) should establish and implement an Administrative Regulation or process narrative that includes the following elements.

For operating departments, the Administrative Regulation or process narrative should establish roles and responsibilities that include:

- Developing and implementing a department-specific IIPP that meets State requirements and department-specific needs;
- Providing the department-specific IIPP to OSH for review;
- Collecting information on activities supporting the IIPP and reporting it to OSH; and
- Conducting an annual review of the department-specific IIPP and reporting the results to OSH with an attestation from the department director.

For OSH, the Administrative Regulation or process narrative should establish responsibilities that include:

- Educating departments on requirements for department-specific IIPPs;
- Reviewing department-specific IIPPs for compliance with State requirements and conformance with Citywide workplace safety goals;
- Notifying appropriate Deputy Chief Operating Officers and the Chief Operating Officer of departments lacking an IIPP;
- Requesting departments review their IIPP annually, report to OSH the results of their review with an attestation by each department director on the accuracy of the update, and report any changes to the department-specific IIPP; and
- Summarizing annual updates from departments in an annual Citywide safety report to Department Directors, Deputy Chief Operating Officers, the Chief Operating Officer, and the Safety and Risk Oversight Committee.

In Process

This recommendation is in process. The department reported that the draft of the Process Narrative identifying roles and responsibilities in the process of implementing, maintaining, and monitoring department-specific IIPPs was completed by OSH staff in January 2024. The draft Process Narrative was reviewed by internal department Management, and it is planned to be complete and draft finalized by the end of March 2024. Lastly, once approved, the Process Narrative will be shared with appropriate parties/departments, which is planned to be completed by May 2024.

Issue Date: May 9, 2022

Original Target Date: December 2023

Current Target Date: ~~December 2023~~ ~~October 2023~~ May 2024

Recommendation 3

(Priority 2)

To help address employee concerns and improve Citywide workplace safety culture, the Compliance Department's Occupational Safety and Health program (OSH) should work with the Performance and Analytics Department to include questions regarding workplace safety programs in the Employee Satisfaction Survey (ESS). In addition to department directors, OSH should receive a copy of ESS results and use the results of the survey to analyze potential Citywide trends or employee concerns and coordinate with departments—allowing for departments with designated safety personnel to conduct their own analysis—to address employee concerns and make process adjustments to improve department safety programs, such as reporting safety concerns, conducting periodic inspections, providing regular training, and promoting a safe workplace.

In Process

This recommendation is in process. The department reported that OSH staff will work with Panda to develop Citywide survey that will capture information regarding safety and safety culture. This is planned to be completed by the end of February 2024. Once the survey is finalized, it will be released Citywide and it will be open for 2-4 weeks. It is planned to be completed by the end of March 2024. Once the survey is closed, the results will be compiled. OSH will work with PandA to review, analyze, and share information with departments. This is anticipated to be completed by the end of June 2024.

Issue Date: May 9, 2022

Original Target Date: October 2022

Current Target Date: ~~October 2022~~ ~~December 2023~~ ~~October 2023~~ June 2024

Recommendation 5

(Priority 1)

To ensure the City takes a data-driven approach to proactively identifying safety issues and preventing injuries from happening, Occupational Safety and Health program (OSH) should work with City departments to set department safety goals and establish department safety performance indicators that include:

- Leading safety indicators, such as the percentage of employees attending safety refresher trainings, average time to address safety issues, and percentage of monthly/ weekly safety inspections completed; and
- Lagging safety indicators, such as Incident Rate, Days Away, Restricted, or Transferred (DART) Rate, and injury frequency and severity.

The selection of department safety indicators should involve employees at all levels within the department/division. Safety performance results should be shared with all levels of the department/division.

OSH should periodically review departments' performance in achieving their safety goals, report this information in the annual Citywide safety report identified in Recommendation 1, and work with departments to update their IPPs on a regular basis based on departments' safety performance.



In Process

This recommendation is in process. The department reported that Risk Management is taking the lead on procuring a software solution for their Claim System and is partnering with Compliance to find a software system that will also meet their safety data needs. An RFI will be drafted with input from all user groups. It is anticipated that an RFI will be out in the Spring of 2024. Once RFIs are received, the responses will be reviewed, and if appropriate, an RFP will be developed. It is anticipated that the RFP process, including the selection of a vendor, will take place during FY25. It is anticipated that a new system will be in place and functional by August 2026, which includes completing whatever additional steps may be needed after the RFP responses come in, transitioning to the new system, and training for all users.

Issue Date: May 9, 2022

Original Target Date: TBD based on FY2024 budgeted resource allocations

Current Target Date: ~~TBD based on system selected~~ August 2026

Recommendation 7

(Priority 1)

To ensure management and the Occupational Safety and Health program (OSH) have timely access to injury and illness information to evaluate and drive positive changes to the City's safety programs, OSH should implement a safety data collection process outlining the roles and responsibilities of OSH and operational departments. OSH should:

- Implement a data solution, such as a safety software system, that will enable the capture of recordable injuries and Supervisor's Injury/Illness Investigation Reports at the department level.
- Provide guidance and training to department safety personnel on how to analyze their department's data and how to report to department management as well as to OSH the number and type of incidents, common incident causes, corrective actions taken, trends in Incident Rates and Days Away, Restricted, or Transferred (DART) Rate, etc. OSH should perform such analysis for departments without safety personnel.
- Analyze records submitted by departments to identify and monitor Citywide trends and benchmark against comparable organizations or occupations to identify areas for improvement.
- Report the results of their analysis and coordinate with department directors to report

department-specific analysis to the Safety and Risk Oversight Committee at least annually.



In Process

This recommendation is in process. The department reported that Risk Management is taking the lead on procuring a software solution for their Claim System and is partnering with Compliance to find a software system that will also meet their safety data needs. An RFI will be drafted with input from all user groups. It is anticipated that an RFI will be out in the Spring of 2024. Once RFIs are received, the responses will be reviewed, and if appropriate, an RFP will be developed. It is anticipated that the RFP process, including the selection of a vendor, will take place during FY25. It is anticipated that a new system will be in place and functional by August 2026, which includes completing whatever additional steps may needed after the RFP responses come in, transitioning to the new system, and training for all users.

Issue Date: May 9, 2022

Original Target Date: TBD based on FY2024 budgeted resource allocations

Current Target Date: ~~TBD based on system selected~~ August 2026

Recommendation 8

(Priority 1)

To ensure departments can effectively conduct incident investigations and take corrective action measures timely, the Compliance Department's Occupational Safety and Health program (OSH) should develop, document, and implement a Citywide incident investigation program. The program should provide for OSH and any designated department safety staff to train department supervisors and other relevant personnel on incident investigation procedures, specify when and how often trainings will be provided, focus on identifying root cause(s) of the injury, emphasize correcting root cause(s), and provide for an annual program review to identify areas of improvement to the program. Trainings should guide personnel who conduct investigations to effectively conduct, document, and perform injury root cause analysis as well as identify and implement corrective action measures. To ensure program effectiveness, OSH should coordinate with department safety staff to provide department supervisors with relevant accident examples, realistic corrective actions, and guidance on using a systems approach for incident investigation, including root cause analysis.

In Process

This recommendation is in process. The department reported that it will develop Incident Investigation training, which will include root cause analysis. Related documents/forms will be updated with new information as necessary. It is anticipated to be completed by April 2024. Once completed, the training and new documents will be available to supervisors in May 2024.

Issue Date: May 9, 2022

Original Target Date: July 2023

Current Target Date: ~~July 2023~~ January 2024 May 2024

Recommendation 9

(Priority 2)

To ensure supervisor incident investigations are properly documented, the Compliance Department's Occupational Safety and Health program (OSH) should:

- Update the Citywide Supervisor Injury/Illness Investigation form to include a description of the incident from eyewitnesses and employees with knowledge of the incident, identification of root cause(s), and corrective action(s) taken.
- Require all departments use the standard Citywide Supervisor Injury/Illness Investigation form. However, in cases where departments need to customize the form, OSH should work with departments as needed to tailor their form to meet department-specific needs while also meeting the minimum requirements of the Citywide form.



In Process

This recommendation is in process. The department reported the following steps it will take with planned implementation dates.

Task 1: Compliance Department to request 1.00 Safety Officer position.

Status: requested Jan. 2023, not included in Proposed Budget/Council Budget Priorities/May Revise/Adopted Budget. Compliance will request again for addition to the FY 2025 Proposed Budget.

Task 2: Fill position.

Status: TBD depending upon completion of Task 1.

Task 3: Update Supervisor Incident Investigations form and work with Training Manager to develop a training program.

Status: TBD depending upon completion of Task 1.

Task 4: Work with every department to train/review form updates.

Status: TBD depending upon completion of Task 1.

Task 5: Provide refresher training on a cadence appropriate for department needs.

Status: TBD depending upon completion of Task 1.

Issue Date: May 9, 2022

Original Target Date: TBD based on FY2024 budgeted resource allocations

Current Target Date: TBD based on FY2025 budgeted resource allocations

Chief Operating Officer

17-013 Performance Audit of the San Diego Convention Center

(JP)

Recommendation 4

(Priority 2)

The City of San Diego Chief Operating Officer or designee should continue discussions with the Unified Port of San Diego to develop a financing plan that addresses the capital projects funding gap and recognizes the shared responsibility and benefit to the region.

In Process

This recommendation is in process. According to the department, implementation steps for this item will be provided once the litigation is resolved. Trial scheduled for August 2024.

Issue Date: January 18, 2017

Original Target Date: December 2017

Current Target Date: ~~December 2017~~ ~~June 2018~~ ~~December 2018~~ Unknown

20-003 Hotline Report of Abuse Related to the Unfair Award of a Multi-Million-Dollar Contract

(AH)

Recommendation 1

(Priority 2)

We recommend that the Chief Operating Officer ensure that Administrative Regulation 35.11 regarding the Citywide Department Use of Cooperative Procurement Contracts be revised to require documentation of a business case analysis listing other vendors that provide the goods or services, an analysis of the costs and benefits of a competitive procurement process, an evaluation of other cooperative procurement contracts available from other vendors, a certification that the City's process was fair to other vendors, and a signature by the City employee submitting the Certification declaring that the facts and information presented are true and correct.

In Process

This recommendation is in process. In a January 2024 memo addressed to the Audit Committee in response to questions during the November 2023 Audit Committee meeting, the Chief Compliance Officer reported that the Purchasing & Contracting Department made revisions to the administrative regulation in mid-January 2024 and intend to have this completed by May 2024.

Issue Date: September 11, 2019

Original Target Date: February 2020

Current Target Date: ~~February 2020~~ ~~Unknown~~ ~~December 2021~~ ~~Unknown~~

~~October 2022~~ ~~March 2023~~ ~~September 2023~~ May 2024

Recommendation 5 (Priority 3)

We recommend that the Chief Operating Officer, in consultation with the City Attorney's Office, update SDMC §§ 22.3205 and 23.1801, requiring a review of all service contracts by the Civil Service Commission, to reflect the current practice.

In Process

This recommendation is in process. City Management noted that implementing this recommendation will require a review by recognized employee organizations, which will likely delay the final presentation of the proposed SDMC revisions to the City Council by several months.

Issue Date: September 11, 2019

Original Target Date: May 2020

Current Target Date: ~~May 2020~~ ~~March 2022~~ ~~August 2022~~ ~~June 2023~~

~~October 2023~~ Unknown

Recommendation 6 (Priority 3)

We recommend that the Chief Operating Officer, in consultation with the City Attorney's Office, revise Administrative Regulation 35.11 and relevant SDMC sections to clarify whether or not a cooperative procurement process may be used for consultant contracts.

In Process

This recommendation is in process. In a January 2024 memo addressed to the Audit Committee in response to questions during the November 2023 Audit Committee meeting, the Chief Compliance Officer reported that the Purchasing & Contracting Department made revisions to the administrative regulation in mid-January 2024 and intend to have this completed by May 2024.

Issue Date: September 11, 2019

Original Target Date: February 2020

Current Target Date: ~~February 2020~~ ~~November 2020~~ ~~Unknown~~

~~December 2021~~ ~~Unknown~~ ~~October 2022~~ ~~March 2023~~ ~~September 2023~~
May 2024

Recommendation 7

(Priority 2)

We recommend that the Chief Operating Officer ensure that Administrative Regulation 35.11 regarding the Citywide Department Use of Cooperative Procurement Contracts, and other relevant policies, be revised to prohibit the City from receiving free consultation, goods, or services from vendors if doing so may reasonably be perceived to lead to favorable treatment for a particular vendor, or potentially violate State law.

In Process

This recommendation is in process. In a January 2024 memo addressed to the Audit Committee in response to questions during the November 2023 Audit Committee meeting, the Chief Compliance Officer reported that the Purchasing & Contracting Department made revisions to the administrative regulation in mid-January 2024 and intend to have this completed by May 2024.

Issue Date: September 11, 2019

Original Target Date: February 2020

Current Target Date: ~~February 2020~~ ~~November 2020~~ ~~Unknown~~
~~December 2021~~ ~~Unknown~~ ~~October 2022~~ ~~March 2023~~ ~~September 2023~~
 May 2024

20-010 Hotline Investigation of Gifts Received by a City Employee (GR)

Recommendation 1

(Priority 2)

We recommend that the Chief Operating Officer present a revision of SDMC §26.0413(a)(4) to the City Council to include Classified employees who file SEIs be under the jurisdiction of the Ethics Commission for both education and enforcement purposes.



In Process

This recommendation is in process. According to the department, in October 2023, the Ethics Commission sent a memo to the City's Chief Compliance Officer outlining potential actions that the Commission could take to expand their education, advice, and enforcement work to include City classified staff who file SEIs. The memorandum also included proposed resources to accomplish this expansion. City executive management will review this proposal within the context of the FY2025 Proposed Budget process prior to rendering a decision on next steps.

Issue Date: April 13, 2020

Original Target Date: December 2020

Current Target Date: ~~December 2020~~ ~~January 2023~~ ~~Unknown~~

21-009 Performance Audit of the City's Climate Action Plan (DN) (MS)

Recommendation 1 (Priority 1)

To formally establish responsibility and authority for oversight and accountability of CAP implementation, the City's Chief Operating Officer should adopt an Administrative Regulation that requires:

- CAP-related City departments to annually provide CAP workplans to the Sustainability Department for review and approval; the CAP workplans should outline the work the City departments plan on accomplishing for the following year;
- The City to formally establish roles within each City department involved in CAP implementation to act as a liaison and to drive forward CAP implementation within their respective department, including the responsibility of developing the annual workplan for the department;
- CAP-related City departments to annually request to docket their CAP annual workplans for presentation to the full City Council for budgetary considerations; and
- The Sustainability Department to annually request to docket the CAP Annual Reports for presentation to the full City Council.

In Process

This recommendation is in process. According to the department, the Administrative Regulation is currently routing through the approval channel (i.e., HR, department directors, COO, etc.) for full execution.

Issue Date: February 18, 2021

Original Target Date: December 2022

Current Target Date: ~~December 2022~~ ~~March 2023~~ Unknown

23-08 Hotline Report of Unsafe Driving by City Employees (AH) (GR)

Recommendation 2 (Priority 3)

We recommend that the Chief Operating Officer review the circumstances surrounding the 39 instances of vehicle and industrial incident review, reporting, and disciplinary process failures over the past five fiscal years to determine the root causes of the problems and ensure that the necessary corrective actions are taken, to include additional training, policy changes, or other necessary actions.

In Process

This recommendation is in process. According to the department, the following tasks remain to achieve full implementation.

Task 1: Compile Data, determine any recommended actions.
 Status: To be completed by March 2024

Task 2: Write memorandum for management.

Issue Date: April 17, 2023

Original Target Date: December 2023

Current Target Date: ~~December 2023~~ May 2024

Recommendation 3 (Priority 3)

We recommend that the Chief Operating Officer consider including a reference to Administrative Regulation 75.05, regarding unsafe backing, and any other relevant City policies, to the new City employee policy orientation curriculum.

In Process

The department reported this recommendation as implemented; however, after OCA review of the supporting documentation, this recommendation remains in process. The checklist for new employees that is currently in use by the City has not been updated to include the recommended additional safe driving policies. A draft policy is currently under review and an estimated completion date is unknown.

Issue Date: April 17, 2023

Original Target Date: August 2023

Current Target Date: ~~August 2023~~ Unknown

24-02 Performance Audit of the City’s Classified Employee Hiring Process

(CN) (NT)

Recommendation 1.1 (Priority 2)

The Chief Operating Officer should designate a central point of oversight and coordination for hiring departments’ hiring of classified employees. The designated party should be responsible for overseeing, monitoring, and reporting on the hiring timeline and hiring initiatives, and advocating for hiring improvements within the City Administration as well as the Personnel Department.

 **In Process**

This recommendation is in process. The department did not provided an update. OCA will continue to follow up during the next reporting period.

Issue Date: July 18, 2023

Original Target Date: January 2024

Current Target Date: ~~January 2024~~ Unknown

Recommendation 1.2

(Priority 2)

The City Administration's central point of oversight and coordination should collect data on the key phases in the hiring process by department (for all City departments) and report that data to a City Council committee and the Civil Service Commission on a regular basis, at least annually. The City Administration should share this information, as well as where each position is in the hiring process, with City departments through a dashboard or other accessible means so department directors may conduct regular monitoring. The key phases in the hiring process timeline reported on could include, but not be limited to, the following:

- a. Vacancy date to date requisition submitted to the Personnel Department;
- b. Date requisition submitted to the Personnel Department to date list of eligible candidates is provided to the department;
- c. Date list of eligible candidates is provided to the department to date the department began interviewing candidates;
- d. Date the department began interviewing candidates to date the department made the conditional offer for the position; and
- e. Date the department made the conditional offer to candidate's first day in the position. The City Administration should also set goals for each timeframe in the hiring process, similar to the federal government's Office of Personnel Management. Development of this dashboard or other tracking system and timeframe should involve input from the Personnel Department.

? In Process

This recommendation is in process. The department did not provided an update. OCA will continue to follow up during the next reporting period.

Issue Date: July 18, 2023

Original Target Date: Unknown

Current Target Date: Unknown

Recommendation 1.4

(Priority 2)

The City Administration should establish a policy to determine, at least annually, if there are administrative requirements or other barriers contributing to the length of time phases of the hiring process take, such as the time to submit a requisition or the complex nature of the applicant tracking system, and propose changes to City practices, Personnel Regulations, or Civil Service Rules to make the process more efficient and effective.

In Process

This recommendation is in process. According to the Human Resources, the City Administration's ability to respond to this item is contingent on the delivery of Personnel's report and hiring process analysis as stated in the audit's management response.

Issue Date: July 18, 2023

Original Target Date: Unknown

Current Target Date: Unknown

Recommendation 1.6

(Priority 2)

The City Administration should facilitate sharing information across departments to allow hiring departments to expedite the hiring process, including but not limited to the following:

- a. Provide information to the Personnel Department so it can create a centralized bank of job analyses, job factors, and interview questions for all departments to access;
- b. Require departments to begin assembling the interview packet and interview panel once they submit the requisition to the Personnel Department, while they wait for the list of applicants;
- c. Require departments to record the results of their interviews and candidate ratings electronically in a centralized location;
- d. Report on the overall percent of candidates interviewed from applicant lists and the percent that fell into each category rating (highly qualified, qualified, and minimally qualified). As needed, break this percentage out by position or recruitment to demonstrate necessary changes to recruitments or identify recruitments that went well.
- e. Allow departments, if they wish, to see and consider other departments' candidate ratings (highly qualified, qualified, minimally qualified) when selecting who to interview for their vacant position;
- f. Require departments to close certifications in NEOGOV once the position has been filled. If the position is not filled within 2 years, the maximum amount of time an eligible list is viable, the Personnel Department should systematically close the requisition in NEOGOV;
- g. Coordinate joint interviews for positions shared by multiple departments, if the departments wish; and
- h. Train departments on existing processes that may expedite the hiring process, including joint interviews, sharing interview results across departments, and transfer process options.

In Process

This recommendation is in process. According to the Human Resources department, City administration, Human Resources, and Personnel created a working group to identify improvement opportunities. Management is reviewing the staff’s ability to implement subsections b, f, and h and working collaboratively with the Personnel Department through the working group to implement the other subsections.

Issue Date: July 18, 2023

Original Target Date: Unknown

Current Target Date: Unknown

City Clerk

20-013 IT Performance Audit of Citywide Data Classification and Sensitive Data Encryption

(JP)

Recommendation 5 (Priority 1)

The City Clerk, Chief Information Officer, and Chief Data Officer should create an Administrative Regulation defining a citywide data governance model and the roles and responsibility of each of the City’s data management entities.

In Process

This recommendation is in process. The three city data management authorities completed a Request for Proposal and awarded a contract to a consultant experienced with data governance programs in public agencies. The consultant and three data management authorities have developed the project charter, mission statement, organization change management strategy, and a readiness assessment. The administrative regulation is in progress and a final draft is projected to be completed by July 1, 2024 for routing through the City’s AR approval process with implementation expected by April 1, 2025.

Issue Date: May 29, 2020

Original Target Date: July 2023

Current Target Date: ~~July 2023~~ July 2024 July 2025

Department of Real Estate and Airport Management³

13-009 Performance Audit of the Real Estate Assets Department (CN)

Recommendation 4 (Priority 3)

The Real Estate Assets Department (READ) should work with the City Administration and the City Council to draft a policy on rent subsidies to nonprofit organizations that establishes eligibility criteria for recipients, recovers the City’s facilities maintenance and upkeep costs for the subsidized space, and fee to recover the costs of preparing, processing, and monitoring leases.

In Process

This recommendation is in process. According to the department, Council Policy 700-12 has been revised to include language in Policy, Section 3, Page 2 to address the recommendation. The Council Policy was brought forward for consideration by the Land Use & Housing Committee in October 2023 and was approved to move forward for Council consideration. As a result of the consolidation effort between the Economic Development Department and Real Estate and Airport Management the Council Policy has not yet been docketed for Council. It is anticipated that this item will be brought forward in Spring 2024 with the two additional Council policies (700-32 and 700-10) for approval and final implementation.

Issue Date: December 20, 2012

Original Target Date: June 2013

Current Target Date: June 2013 — March 2017 April 2017 June 2018 December 2018 June 2019 December 2019 March 2020 September 2020 July 2021 July 2022 December 2023 April 2024

19-002 Performance Audit of the Real Estate Assets Department’s Portfolio Management Practices (MJ)

Recommendation 2 (Priority 2)

READ should consult with the Mayor and City Council to determine whether to work with land-managing departments to conduct an analysis of City property that ensures a good match between the property and its function. This analysis should focus on key information such as whether the property is:

- A good match between the property and function, unlikely to change;
- To be considered for relocation of the function to anchor another property with a better match, good fit with upcoming events, or held for future use; and
- Surplus, or property unused by City functions.

³ Formerly the Real Estate Assets Department (READ).

These designations should then be included with property information in REPortfolio. To ensure a review of the most valuable properties, and not the entire real estate portfolio, READ should determine how to prioritize properties for analysis (e.g., minimum acreage threshold, high profile, etc.).

 **In Process**

This recommendation is in process. The department has not provided an update since January 2023. OCA will continue to follow up during the next reporting period.

As of the prior reporting period, DREAM reported that it was in the process of procuring a new lease administration software, which will be an opportunity to evaluate this recommendation with client departments. The RFP was targeted to issue January 17, 2023 but will take some time to make a selection and implement, so the department requested an extension to the end of the calendar year in the hopes it will have the software in place by that time.

Issue Date: July 23, 2018

Original Target Date: June 2019

Current Target Date: ~~June 2019~~ ~~December 2019~~ ~~March 2020~~ ~~September 2020~~
~~December 2021~~ ~~December 2022~~ ~~December 2023~~ Unknown

Recommendation 4 (Priority 2)

Throughout the process of updating Council Policy 700-10, READ, in consultation with the City Attorney’s Office and City Council, should determine the most appropriate channel of presenting the Portfolio Management Plan, and clarify expectations and language, to ensure consistent expectations and guidelines.

In Process

This recommendation is in process. According to the department, a draft Revised Council Policy 700-10 – Section 1 – Real Property Management Plan – Pages 3 through 4 requires that the Department review, update and present to Council the Real Property Management Plan every two years. The draft council policy was presented to Land Use and Housing Committee in October 2023 and is pending final Council approval. LU&H had some minor revisions and requested staff review and bring back to Committee for consideration. The department expects this to be completed before the end of FY2024.

Issue Date: July 23, 2018

Original Target Date: January 2019

Current Target Date: ~~January 2019~~ ~~June 2019~~ ~~November 2019~~ ~~March 2020~~
~~September 2020~~ ~~December 2021~~ ~~July 2022~~ ~~March 2023~~ ~~December 2023~~
 June 2024

22-002 Performance Audit of the City's Major Building Acquisition Process

(CN) (MJ)

Recommendation 1

(Priority 1)

As the lead department, we recommend the Real Estate Assets Department (READ), in consultation with the Independent Budget Analyst (IBA), City Attorney's Office, and other departments as needed, create a new or amended Council Policy for City Council's approval that requires a best practices checklist for building acquisitions. READ and other departments as detailed in the new or amended policy would complete and present the checklist to City Council for every building purchase or lease agreement that requires City Council approval. The checklist in the Council Policy should establish the following steps to be taken and presented to City Council:

- a. Determination of how a building acquisition fits in the strategic plan detailed in Recommendation 3.
- b. Determination of what the building will be used for and to what extent the building fits the business case.
- c. Completion of a funding method analysis, with input from the Debt Management Department.
- d. Determination of estimated tenant improvement costs supported by relevant data. Tenant improvement proposals should be presented and approved with the building acquisition. Tenant improvements proposals should include detail on how the tenant improvements will ensure the building meets the City's needs and detail on the anticipated cost and timeline.
- e. Completion of an overall economic analysis including consideration of other acquisition options, with input from the Chief Financial Officer.
- f. Completion and presentation of a due diligence checklist (see details in Finding 2, Recommendation 5), including a high-level summary of the due diligence materials obtained by READ and their findings. The due diligence materials obtained by READ and provided at least in summary to City Council should include but not be limited to appraisals, building condition and environmental assessments, and the assessments' findings. Findings from assessments may include the building's Americans with Disabilities Act compliance, the presence of hazardous materials, the results of a building systems investigation, and the results of an asbestos inspection.
- g. Identification and designation of a set City Council committee to oversee building leases or purchases that require City Council approval.
- h. Presentation of the City Attorney's Office's written analysis of the significant legal risks of the contract.
- i. Review of completion of items on the checklist by the IBA or the IBA's as-needed consultant to the best of their knowledge. This review may include an analysis of how well the best practices have been conducted. City staff may note in the checklist if steps required in the checklist were not completed and why. City staff should provide material to the IBA to support each component of the checklist, including the rationale to not complete checklist steps.

In Process

This recommendation is in process. DREAM stated at the September 20, 2023 Audit Committee meeting that it planned to present the Council Policy to address this recommendation to the Land Use and Housing Committee in October 2023. DREAM stated it planned to have this recommendation implemented by the end of calendar year 2023. OCA confirmed that the Council Policy was presented at the October meeting. However, the department did not provide any additional updates regarding next steps. OCA will continue to follow up during the next reporting period.

Issue Date: July 22, 2021

Original Target Date: July 2022

Current Target Date: ~~July 2022~~ ~~March 2023~~ ~~December 2023~~ Unknown

Recommendation 2

(Priority 1)

When drafting the Council Policy set out in Recommendation 1, we recommend that the Real Estate Assets Department (READ), in consultation with the Independent Budget Analyst (IBA), City Attorney's Office, and other departments as needed, create an Administrative Regulation to establish clear roles and responsibilities for City departments involved in the acquisition process or with expertise to contribute to the acquisition process. The Administrative Regulation that correlates to the Council Policy in Recommendation 1 should, at minimum, include roles and responsibilities for the departments listed below.

- a. Acquisition lead. The policy should set out the role and responsibilities of the acquisition decisionmaker, as well as the acquiring department, if the parties are different. READ can require the acquisition decisionmaker to provide information to READ for the checklist, such as the business case for the building and the desired funding method.
- b. READ. READ's role in transactions should be clearly defined, including its responsibility in taking the lead on negotiations and conducting due diligence. READ should conduct an economic analysis of purchasing the building in question compared to other options, as well as an economic analysis of using the funding method recommended compared to other funding methods. READ should consult with the Department of Finance and the Debt Management Department for the economic analysis. READ should be the party responsible for completing the due diligence checklist and ensuring the information presented is accurate.
- c. City Attorney's Office. The City Attorney's Office should prepare and present a written legal analysis of the significant risks in each building's acquisition contract for all buildings that require City Council approval. The written legal analysis may be included as a dedicated section within the staff report to City Council or may take the form of a separate memo.
- d. Independent Budget Analyst (IBA). The IBA should be notified and provided all relevant information on building purchase acquisitions at the time a building has been identified and prior to the start of negotiations. The IBA would not be involved in the operations and management side of acquiring the building, but should be provided information to conduct a sufficient and timely analysis of the best practices followed or not followed. The

IBA should also review the best practices checklist (as described in Recommendation 1) and hire a consultant for review of the checklist as needed.

In Process

This recommendation is in process. According to the department, updates to CP 700-10, 700-12 and 700-32 have been completed and are in process to obtain final approval to fully implement the audit recommendations. All three policies went before the Land Use and Housing Committee in October 2023.

Issue Date: July 22, 2021

Original Target Date: July 2022

Current Target Date: ~~July 2022~~ ~~March 2023~~ ~~December 2023~~ Unkown

Recommendation 3

(Priority 2)

We recommend that the Real Estate Assets Department (READ), in consultation with the City Administration, develop and use a strategic real estate and office space plan. The plan should include the current space usage and a plan for future office space usage for City properties. The Council Policy described in Finding 1 should require READ to present the plan to the designated City Council committee and the City Council for input, changes, and approval every two years.

In Process

This recommendation is in process. The department has not provided an update since January 2023. OCA will continue to follow up during the next reporting period.

As of the prior reporting period, according to DREAM, it retained JLL to assist with this effort in December 2022, following Committee and Council approval in November. The initial study will focus on downtown departments and, once complete and reviewed, could be expanded to all departments to assist with a comprehensive office plan, in conjunction with the Civic Core redevelopment efforts. The initial report has a 12 month timeline; therefore, DREAM requested an extension to December 2023 to align with its schedule.

Issue Date: July 22, 2021

Original Target Date: February 2023

Current Target Date: ~~February 2023~~ ~~December 2023~~ Unknown

Recommendation 4

(Priority #)

We recommend that the Council Policy set out in Recommendation #1 also require all contractors or advisors with significant input on real estate transactions to have a signed contract with the City and a determination form filed with the Office of the City Clerk by the contracting department. Additionally, we recommend that the policy in Recommendation #1 require the best practices checklist presented to City Council for real estate acquisitions to include a

section disclosing any consultants or advisors to the City that were involved in the acquisition. Before presenting the checklist to City Council, the lead department on the acquisition should confirm with the Office of the City Clerk that each consultant or advisor listed has a Consultant Determination Form on file, and that any consultants and advisors have filed a Statement of Economic Interests form if necessary.

In Process

This recommendation is in process. DREAM stated at the September 20, 2023 Audit Committee meeting that it planned to present the Council Policy to address this recommendation to the Land Use and Housing Committee in October 2023. DREAM stated it planned to have this recommendation implemented by the end of calendar year 2023. OCA confirmed that the Council Policy was presented at the October meeting. However, the department did not provide any additional updates regarding next steps. OCA will continue to follow up during the next reporting period.

Issue Date: July 22, 2021

Original Target Date: February 2023

Current Target Date: ~~February 2023~~ ~~December 2023~~ Unknown

Recommendation 5

(Priority 1)

We recommend that the Real Estate Assets Department (READ) create a due diligence checklist in an Administrative Regulation to ensure that the due diligence items (as recommended in Recommendation #1f) are accounted for prior to purchase and presentation to a designated oversight committee. READ should be responsible for completing this checklist, and if READ determines an item is unnecessary for a particular acquisition, READ should be responsible for reporting with supporting information why READ chose not to complete the required item. The checklist should include, but is not limited to, the following items:

- a. Independent Appraisals. READ should contract for an appraisal for the building early in the negotiations on purchase price, before the purchase price is agreed upon
- b. Independent Building Condition Assessments. READ should create a policy on what assessments (e.g., facilities, systems, hazardous materials, ADA, plumbing, geotechnical, etc.) are required and when and who is responsible for ensuring they are conducted.
- c. Environmental Assessment. READ should hire a contractor and/or have qualified City staff perform a Phase 1 environmental assessment.
- d. Independent Asbestos Assessment. READ should engage the Asbestos and Lead Management Program to determine if an asbestos inspection is necessary before entering into a purchase and sale agreement. Asbestos inspection conclusions should be considered in the building's negotiated purchase price and/or for future tenant improvements.
- e. Test fit. READ should create a policy on when a test fit is required and when and who is responsible for ensuring it is completed and included in the tenant improvement cost and cost/benefit analysis.

? In Process

This recommendation is in process. No change in status since the last reporting period. The department has not provided an update since January 2023. OCA will continue to follow up during the next reporting period.

As of the prior reporting period, according to DREAM, in reviewing the comprehensive updates of the OCA and the real estate policies, it had been determined that, in addition to CP 700-10, updates also need to be made to 700-12 and 700-32 to fully implement the audit recommendations. A first draft of all three policies had been circulated and working sessions had commenced on 700-10. Due to the importance of these policies and the need for DREAM to work closely with the CAO and the IBA on the revisions, prior to presenting them to the Audit and LU&H Committees, and ultimately the full City Council for approval, DREAM requested an extension from March 30 to the end of this calendar year. This will allow DREAM to continue its working sessions, prepare the most comprehensive and lasting updates to all three policies, and allow time for the two Committee meetings and the Council hearing.

Issue Date: July 22, 2021

Original Target Date: July 2022

Current Target Date: ~~July 2022~~ ~~March 2023~~ ~~December 2023~~ Unknown

Recommendation 6 (Priority 1)

We recommend that the Council Policy set out in Recommendation #1 also require that the Real Estate Assets Department (READ) or the acquisition lead present the best practices checklist to City Council and demonstrate that all pertinent departments have signed off on all aspects of the acquisition process. The due diligence supporting materials, including those listed in Recommendation #4, must also be made available to City Councilmembers and the public.

? In Process

This recommendation is in process. DREAM stated at the September 20, 2023 Audit Committee meeting that it planned to present the Council Policy to address this recommendation to the Land Use and Housing Committee in October 2023. DREAM stated it planned to have this recommendation implemented by the end of calendar year 2023. OCA confirmed that the Council Policy was presented at the October meeting. However, the department did not provide any additional updates regarding next steps. OCA will continue to follow up during the next reporting period.

Issue Date: July 22, 2021

Original Target Date: July 2022

Current Target Date: ~~July 2022~~ ~~March 2023~~ ~~December 2023~~ Unknown

Recommendation 8

(Priority #)

We recommend that the Council Policy set out in Recommendation #1 require the Independent Budget Analyst (IBA) to review the best practices checklist before City staff present the checklist to City Council committee and determine if staff completed the steps outlined in Recommendation #1. The IBA's assessment should be conducted in writing and presented with sufficient time for City Council to review its conclusions.

In Process

This recommendation is in process. DREAM stated at the September 20, 2023 Audit Committee meeting that it planned to present the Council Policy to address this recommendation to the Land Use and Housing Committee in October 2023. DREAM stated it planned to have this recommendation implemented by the end of calendar year 2023. OCA confirmed that the Council Policy was presented at the October meeting. However, the department did not provide any additional updates regarding next steps. OCA will continue to follow up during the next reporting period.

Issue Date: July 22, 2021

Original Target Date: July 2022

Current Target Date: ~~July 2022~~ ~~March 2023~~ ~~December 2023~~ Unknown

Recommendation 10

(Priority #)

We recommend that the Council Policy set out in Recommendation #1 require the Real Estate Assets Department (READ) to take all building purchases and leases that require City Council approval to the same City Council committee identified and designated in Recommendation #1. The Council Policy should also require that if the acquisition is not taken to the committee overseeing acquisitions, the City Administration should explain in writing why and the action taken by City Council should include an express waiver.

In Process

This recommendation is in process. DREAM stated at the September 20, 2023 Audit Committee meeting that it planned to present the Council Policy to address this recommendation to the Land Use and Housing Committee in October 2023. DREAM stated it planned to have this recommendation implemented by the end of calendar year 2023. OCA confirmed that the Council Policy was presented at the October meeting. However, the department did not provide any additional updates regarding next steps. OCA will continue to follow up during the next reporting period.

Issue Date: July 22, 2021

Original Target Date: July 2022

Current Target Date: ~~July 2022~~ ~~March 2023~~ ~~December 2023~~ Unknown

22-007 Performance Audit of the City’s Lease Management and Renewal Process

(NO) (NK)

Recommendation 1 (Priority 1)

The Department of Real Estate and Airport Management (DREAM) should document and execute a strategy for addressing the number of lease holdovers in the City’s portfolio, as appropriate.

Elements of the strategy that should be considered include:

- a. Re-evaluating or removing the 25 percent Lease Holdover key performance indicator and replacing or supplementing it with an alternative goal relating to on-time lease renewals (such as number of lessees approaching holdover that were emailed a lease expiration reminder);
- b. Setting a target for completing the renewal of a certain percentage or number of leases which are currently in holdover;
- c. Determining a mechanism for selecting which leases will be prioritized for renewal, to include the leases with high potential foregone revenue and leases that have been in holdover the longest; and
- d. Completing or updating a policies and procedures manual for DREAM staff that provides guidance on the issues discussed in this finding, such as determining when property agents and DREAM staff should exercise financial disincentives, prioritizing leases for renewal, improving documentation and alerts within REPortfolio, etc.

In Process

This recommendation is in process. The department did not provide an update for this reporting period. According to DREAM during the last reporting period, it is continuing to review leases on holdover. OCA will continue to follow up during the next reporting period.

Issue Date: February 9, 2022

Original Target Date: February 2023

Current Target Date: ~~February 2023~~ ~~December 2023~~ Unknown

Recommendation 3 (Priority 1)

The Department of Real Estate and Airport Management should ensure that each new or renewed lease includes a financial disincentive clause regarding holdover status (for example, 150 percent or up to two times the last month’s rent and/or market-rate rent for non-profits). The disincentive clause may be written such that the City only exercises the financial disincentive when appropriate.

? In Process

This recommendation is in process. The department did not provide an update for this reporting period. According to DREAM during the last reporting period, this recommendation has been implemented but the supporting documentation will be provided during the next reporting period. DREAM has met with the City Attorney's Office regarding the legality of the financial disincentive clause and the City Attorney's Office agreed that the language can be used when applicable. OCA will continue to follow up during the next reporting period.

Issue Date: February 9, 2022

Original Target Date: Immediately

Current Target Date: ~~February 2022~~ ~~June 2023~~ Unknown

Recommendation 4 (Priority 2)

The Department of Real Estate and Airport Management (DREAM) should prevent future leases from entering into holdover status by leveraging process improvements such as:

- a. Automated Reminders: 6 months to 2 years before the lease expiration, DREAM's lease administration system should alert a property agent to begin discussions with the tenant and notify them that the agreement is set to expire on a particular upcoming date and will fall into holdover unless the lease is amended, renewed, or terminated; and
- b. If applicable, the lessee should also be informed in writing that their rent may be raised while in holdover but that such a raise in rent can be avoided by renewing the lease prior to the lease expiration date.

? In Process

This recommendation is in process. The department has not provided an update on the implementation status of this recommendation since it was issued. OCA will continue to follow up during the next reporting period.

Issue Date: February 9, 2022

Original Target Date: February 2024

Current Target Date: ~~February 2024~~ April 2024

Recommendation 6 (Priority 1)

To improve productivity, oversight, and accountability, the Department of Real Estate and Airport Management (DREAM) should establish and enforce productivity standards, goals, or similar performance targets and procedures based on reasonable expectations for conducting property inspections, ensuring up-to-date insurance and/or indemnification of the City, adjusting rent timely, and documenting appraisals. Finalized performance targets should be communicated to all appropriate employees within DREAM so that all are aware of these expectations and monitored via routine reporting by DREAM management/supervisors. Deviations from agreement terms should be documented and maintained within REPortfolio, EDRS, or another information management system.

? In Process

This recommendation is in process. At the September 20, 2023 Audit Committee, the department stated that DREAM has been focusing on the Council Policy recommendations first before addressing other recommendations.

The department has not provided any additional updates since that meeting. OCA will continue to follow up during the next reporting period.

Issue Date: February 9, 2022

Original Target Date: February 2024

Current Target Date: ~~February 2024~~ March 2024

Recommendation 8 (Priority 1)

The Department of Real Estate and Airport Management should perform and document a property inspection for all properties that have not had a documented inspection within the last 3 years.

? In Process

This recommendation is in process. At the September 20, 2023 Audit Committee, the department stated that DREAM has been focusing on the Council Policy recommendations first before addressing other recommendations.

The department has not provided any additional updates since that meeting. OCA will continue to follow up during the next reporting period.

Issue Date: February 9, 2022

Original Target Date: January 2023

Current Target Date: ~~January 2023~~ ~~November 2023~~ Unknown

Recommendation 9 (Priority 1)

To improve oversight of potentially foregone revenue from non-competitively priced leases, the publicly-presented Portfolio Management Plan or similar publicly-presented plan should include a listing of all City lease-outs. The list should include leases' most recent market rental value, the date of said value, and the actual annual rent paid to the City. The results should be presented both by lease as well as grand totals, and leases with the largest differences between market value and actual rent paid should be highlighted for public transparency. The Department of Real Estate and Airport Management should work with City leadership to include a control, such as a requirement within updated Council Policy, to ensure that this reporting continues periodically.

? In Process

This recommendation is in process. At the September 20, 2023 Audit Committee, the department stated that over the past 12-18 months DREAM has been working with the City Attorney’s Office, the IBA, and City Auditor to get the needed Council Policies updated. DREAM states they are on track and will be presenting those three policies at Land Use & Housing Committee in October 2023. This will put DREAM on track to present the new policies to full City Council and get this recommendation implemented by the end of the year.

The department has not provided any additional updates since that meeting. OCA will continue to follow up during the next reporting period.

Issue Date: February 9, 2022

Original Target Date: July 2022

Current Target Date: ~~July 2022~~ July 2024

Recommendation 12

(Priority 2)

The Department of Real Estate and Airport Management should research and implement the use of REPortfolio or another lease administration system’s capabilities, as appropriate, to:

- a. Create task/checklist imports available for property agents that can also act as checklists for each of the following lease management practices: inspections, insurance updates, appraisals, rent adjustments, and other recurring obligations/tasks under the lease; and
- b. Require agents to use the Job Notes (or similar) feature to record interactions or notes regarding the leasing process for each tenant. Notes could be added for each interaction and agreement action, such as updated information regarding the status or completion of inspections, requests and receipts of insurance certificates, appraisals ordered and completed, and rent adjustments, and can link to the City’s electronic lease file where other correspondence is housed.

? In Process

This recommendation is in process. At the September 20, 2023 Audit Committee, the department stated that DREAM has been focusing on the Council Policy recommendations first before addressing other recommendations.

The department has not provided any additional updates since that meeting. OCA will continue to follow up during the next reporting period.

Issue Date: February 9, 2022

Original Target Date: February 2024

Current Target Date: ~~February 2024~~ Unknown

Recommendation 13

(Priority 2)

The Department of Real Estate and Airport Management should conduct or facilitate a formal training of its staff on the capabilities and limitations of REPortfolio, EDRS, and/or another lease administration system, as appropriate.

- a. Training topics for consideration should include: timely uploading of documentation, consistent naming conventions, and a post process review by supervisory staff to ensure adherence to system usage procedures.

? In Process

This recommendation is in process. At the September 20, 2023 Audit Committee, the department stated that DREAM has been focusing on the Council Policy recommendations first before addressing other recommendations.

The department has not provided any additional updates since that meeting. OCA will continue to follow up during the next reporting period.

Issue Date: February 9, 2022

Original Target Date: February 2024

Current Target Date: ~~February 2024~~ April 2024

Recommendation 14

(Priority 1)

In order to maintain uniform lease clauses throughout the City of San Diego's lease portfolio, the Department of Real Estate and Airport Management should work with the City Attorney's Office to create a master lease template(s) and a lease clause database, and should ensure that the database is updated at least every 3 years to account for changes in clauses.

? In Process

This recommendation is in process. The department did not provide an update since the last reporting period. As of the last reporting period, the department reported that it has been focused on the major undertaking of collaborating with the CAO to update three real estate related Council Policies to implement other recommendations. The department expects the policy updates will be completed by the end of the year, at which time it can focus on the creation of templates and a lease clause database.

Issue Date: February 9, 2022

Original Target Date: February 2023

Current Target Date: ~~February 2023~~ ~~April 2023~~ June 2024

Development Services Department

20-008 Performance Audit of DSD Administration of Deposit Accounts for Development Projects

(MJ)

Recommendation 1

(Priority 2)

We recommend Development Services Department establish formal written policies establishing the authority and approvals for setting and changing the minimum required balance in project tracking system or Accela. This policy should describe the project managers roles, responsibilities, level of authority, required documentation and supervisory review and approval.

In Process

This recommendation is in process. According to the department, this recommendation is on hold pending the outcome of Development Services Department (DSD) User Fee study and the completion of the pilot program that will eliminate deposit accounts.

Status: Development Services Department (DSD) contracted with a consultant to assist with the User Fee study which is anticipated to be completed and approved by Council in June 2024 where the consultant will establish a new hourly rate. The new fee increases are anticipated to be effective July 1st, 2024. DSD will be launching a pilot program within the next 6 months that will eliminate deposit accounts and move towards a pay-as-you-go approach where actual hours are calculated against the new hourly rate and then invoiced. Eliminating deposit accounts would remove the waiting period for payroll postings and fiscal month-end close reports, which can take 2+ months and will likely nullify the recommendations for this audit.

Issue Date: February 7, 2020

Original Target Date: May 2020

Current Target Date: ~~May 2020~~ ~~June 2021~~ ~~April 2022~~ ~~March 2024~~
December 2024

Recommendation 2

(Priority 2)

We recommend Development Services Department (DSD) automate minimum required balance (MRB) calculation in project tracking system or Accela. Specifically, the approval types should be tied to specific MRB amounts as set forth in DSD's information bulletins, 502 and 503.

In Process

This recommendation is in process. According to the department, this recommendation is on hold pending the outcome of Development Services Department (DSD) User Fee study and the completion of the pilot program that will eliminate deposit accounts.

Status: Development Services Department (DSD) contracted with a consultant to assist with the User Fee study which is anticipated to be completed and approved by Council in June 2024 where the consultant will establish a new hourly rate. The new fee increases are anticipated to be effective July 1st, 2024. DSD will be launching a pilot program within the next 6 months that will eliminate deposit accounts and move towards a pay-as-you-go approach where actual hours are calculated against the new hourly rate and then invoiced. Eliminating deposit accounts would remove the waiting period for payroll postings and fiscal month-end close reports, which can take 2+ months and will likely nullify the recommendations for this audit.

Issue Date: February 7, 2020

Original Target Date: November 2020

Current Target Date: ~~November 2020~~ ~~June 2021~~ ~~December 2021~~ ~~April 2022~~
~~December 2023~~ December 2024

Recommendation 5

(Priority 2)

We recommend Development Services Department work with the Public Works Department to develop procedures that clearly define roles and responsibilities for setting the MRB in applicable ministerial deposit accounts and stopping work on projects with deficit deposit account balances.

In Process

This recommendation is in process. According to the department, this recommendation is on hold pending the outcome of Development Services Department (DSD) User Fee study and the completion of the pilot program that will eliminate deposit accounts.

Status: Development Services Department (DSD) contracted with a consultant to assist with the User Fee study which is anticipated to be completed and approved by Council in June 2024 where the consultant will establish a new hourly rate. The new fee increases are anticipated to be effective July 1st, 2024. DSD will be launching a pilot program within the next 6 months that will eliminate deposit accounts and move towards a pay-as-you-go approach where actual hours are calculated against the new hourly rate and then invoiced. Eliminating deposit accounts would remove the waiting period for payroll postings and fiscal month-end close reports, which can take 2+ months and will likely nullify the recommendations for this audit.

Issue Date: February 7, 2020

Original Target Date: October 2020

Current Target Date: ~~October 2020~~ ~~March 2021~~ ~~December 2021~~ ~~April 2022~~
~~December 2023~~ December 2024

Recommendation 7 (Priority 2)

We recommend Development Services Department automate the following information technology controls in project tracking system (PTS) and/or Accela to:

- a. Fix the glitch in the PTS that causes the minimum required balance (MRB) to revert to \$0;
- b. Calculate the MRB automatically—e.g., tie approvals to the appropriate dollar amounts; and
- c. Notify staff to stop working on projects with deficit deposit account balances.

In Process

This recommendation is in process. According to the department, this recommendation is on hold pending the outcome of Development Services Department (DSD) User Fee study and the completion of the pilot program that will eliminate deposit accounts.

Status: Development Services Department (DSD) contracted with a consultant to assist with the User Fee study which is anticipated to be completed and approved by Council in June 2024 where the consultant will establish a new hourly rate. The new fee increases are anticipated to be effective July 1st, 2024. DSD will be launching a pilot program within the next 6 months that will eliminate deposit accounts and move towards a pay-as-you-go approach where actual hours are calculated against the new hourly rate and then invoiced. Eliminating deposit accounts would remove the waiting period for payroll postings and fiscal month-end close reports, which can take 2+ months and will likely nullify the recommendations for this audit.

Issue Date: February 7, 2020

Original Target Date: November 2020

Current Target Date: ~~November 2020~~ ~~June 2021~~ ~~Unknown~~ ~~December 2023~~
 December 2024

Recommendation 10 (Priority 2)

We recommend Development Service Department work with the Office of the City Treasurer, Department of Finance, and Department of Information Technology to implement direct invoicing of all deposit accounts through SAP to establish receivables for customers with outstanding balances.

In Process

This recommendation is in process. According to the department, this recommendation is on hold pending the outcome of Development Services Department (DSD) User Fee study and the completion of the pilot program that will eliminate deposit accounts.

Status: Development Services Department (DSD) contracted with a consultant to assist with the User Fee study which is anticipated to be completed and approved by Council in June 2024 where the consultant will establish a new hourly rate. The new fee increases are anticipated to be effective July 1st, 2024. DSD will be launching a pilot program within the next 6 months that will eliminate deposit accounts and move towards a pay-as-you-go approach where actual hours are calculated against the new hourly rate and then invoiced. Eliminating deposit accounts would remove the waiting period for payroll postings and fiscal month-end close reports, which can take 2+ months and will likely nullify the recommendations for this audit.

Issue Date: February 7, 2020

Original Target Date: September 2020

Current Target Date: ~~September 2020~~ ~~June 2021~~ ~~Unknown~~ ~~December 2023~~
December 2024

22-009 Performance Audit of the Development Services Department's Code Enforcement Division

(GT) (AR)

Recommendation 1

(Priority 2)

To address the issue of new/active cases not receiving an initial inspection on time or any inspection at all, the Development Services Department should re-implement and update as needed its Voluntary Compliance Program, while also maintaining its current Alternative Compliance Program, to help reduce the total number of new cases that are assigned to investigators.

The Voluntary Compliance Program should allow for cases to go through the regular case progression if the complainant is not satisfied or if the violation persists. The Code Enforcement Division could use this procedure to respond to low-priority cases that involve the following case types:

- Fences/Walls
- Mobile Food Trucks
- Excessive Storage in Garage
- Outdoor Merchandise Displays
- Outdoor Storage
- Vehicle Repair
- Roosters



In Process

This recommendation is in process. According to the department, the following steps are necessary to achieve implementation.

Task 1: Hire Program Manager.

Status: Not completed.

Task 2: Establish program guidelines and written procedures.

Status: Not completed.

Task 3: Update Accela to add Voluntary Compliance as a Status and create a report that tracks subsequent responses.

Status: Not completed.

Task 4: Draft letters and obtain approval from the DSD Director.

Status: Not completed.

Task 5: Train staff.

Status: Not completed.

Task 6: Outreach and implementation.

Status: Not completed.

DSD Building and Land Use Enforcement Division needs additional staff to create and implement a new program. Adding 1.00 Program Manager position and 1.00 Senior Planner – Code Enforcement Coordinator position will allow BLUE to develop the program, create a procedure, train staff, and provide outreach.

Currently, BLUE is being asked to reduce positions due to a projected budget shortage. The positions needed to create and implement a new program are not available at this time. BLUE will request staffing to implement this recommendation when possible.

Issue Date: June 9, 2022

Original Target Date: July 2023

Current Target Date: ~~July 2023~~ July 2025

Recommendation 2

(Priority 2)

To ascertain staffing needs discussed in both Finding 1 and Finding 2, and to better articulate resource needs and budget requests with evidentiary support, the Development Services Department (DSD) should:

Establish a Key Performance Indicator (KPI) for the optimal average caseload for the Code Enforcement Division's building and zoning investigators. DSD should report this KPI in its annual budget document.



In Process

This recommendation is in process. According to the department, the following steps are necessary to achieve implementation.

Task 1: Establish caseload targets for Zoning Investigators and Combination Building Inspectors.

Status: Not completed.

Task 2: Create a report with an explanation of the methodology.

Status: Not completed.

Task 3: Train Seniors and BOSS on tracking and reporting caseloads.

Status: Not completed.

Task 4: Provide new KPI data.

Status: Not completed.

DSD Building and Land Use Enforcement Division (BLUE) is working with DSD on developing new KPIs following the new City of San Diego parameters. Additionally, 1.00 Program Manager is needed to allow BLUE to create a procedure for Seniors to follow, effectively train staff, ensure accuracy, and create reports.

BLUE is being asked to reduce positions due to a projected budget shortage. The positions needed to create and implement a new program are currently unavailable. BLUE will request staffing to implement this recommendation when possible.

Issue Date: June 9, 2022

Original Target Date: July 2023

Current Target Date: ~~July 2023~~ July 2025

Recommendation 3

(Priority 2)

To help investigators and management better organize and analyze case data, the Development Services Department should create or expand fields for the following case information in Accela:

- Indication of a special project that does not follow the regular complaint procedure;
- Notice and Fine Detail; and
- Status (both Active and Closed). Add at least the following choices:
 - Status for Admin Hearing;
 - Awaiting Permit; and
 - Referred to City Attorney's Office

**In Process**

This recommendation is in process. According to the department, the following steps are necessary to achieve implementation.

Task 1: Hire Program Manager.

Status: Not complete.

Task 2: Update Accela to add fields to track special projects and add additional Status fields.

Status: Not complete.

Task 3: Create a written procedure with instructions on case entry to include using existing notice fields and new fields for special projects and expanded statuses.

Status: Not complete.

Task 4: Train staff to use new fields.

Status: Not complete.

DSD Building and Land Use Enforcement Division (BLUE) needs additional staff to identify and implement new Accela fields. Adding 1.00 Program Manager position will allow BLUE to identify needed fields, create a procedure, and train staff on usage.

BLUE is being asked to reduce positions due to a projected budget shortage. The positions needed to create and implement a new program are currently unavailable. BLUE will request staffing to implement this recommendation when possible.

Issue Date: June 9, 2022

Original Target Date: July 2023

Current Target Date: ~~July 2023~~ July 2025

Recommendation 4

(Priority 2)

After expanding Accela field options, to consistently analyze data on an aggregate level, the Development Services Department should create a data dictionary for Accela that clearly defines choices for at least the following fields:

- Types of Inspections (specify which ones contribute towards Re-Inspection Fees);
- Active Case Status; and
- Closed Case Result.

**In Process**

This recommendation is in process. According to the department, the following steps are necessary to achieve implementation.

Task 1: Hire Program Manager.
Status: Not complete.

Task 2: Create a Data Dictionary.
Status: Not complete.

Task 3: Train Staff and Implement.
Status: Not complete.

DSD Building and Land Use Enforcement Division (BLUE) needs additional staff to create and implement a Data Dictionary. Adding 1.00 Program Manager position will allow BLUE to create a Data Dictionary and train staff on usage.

BLUE is being asked to reduce positions due to a projected budget shortage. The positions needed to create and implement a new program are currently unavailable. BLUE will request staffing to implement this recommendation when possible.

Issue Date: June 9, 2022

Original Target Date: July 2023

Current Target Date: ~~July 2023~~ July 2025

Recommendation 5

(Priority 2)

In order to maintain ongoing involvement in long-term cases, the Development Services Department should update Code Enforcement's Procedures Manual and Accela training materials to require all new or active cases to have a workflow task scheduled with target due date for next step in the case management process, and to require investigators to check the "My Tasks" dashboard in Accela daily. Examples of possible workflow tasks include:

- Estimated inspection date of initial inspection;
- Compliance inspection after issuance of a notice; and
- Estimated permit completion date.



In Process

This recommendation is in process. According to the department, the following steps are necessary to achieve implementation.

Task 1: Hire Program Manager.
Status: Not complete.

Task 2: Establish a written procedure detailing accurate entry requirements in Accela.
Status: Not complete.

Task 3: Establish a policy requiring daily monitoring of Accela Tasks by CED investigative staff.
Status: Not complete.

Task 4: Train staff and implement.
Status: Not complete.

DSD Building and Land Use Enforcement Division (BLUE) needs additional staff to establish a procedure to create new Accela entry requirements and develop a policy for monitoring Accela tasks. Adding 1.00 Program Manager position will allow BLUE to establish this procedure and implement a new policy.

BLUE is being asked to reduce positions due to a projected budget shortage. The positions needed to create and implement a new program are currently unavailable. BLUE will request staffing to implement this recommendation when possible.

Issue Date: June 9, 2022

Original Target Date: July 2023

Current Target Date: ~~July 2023~~ July 2025

Recommendation 6

(Priority 2)

In order for the Development Services Department (DSD) Code Enforcement Division's management to better track aggregate case data, DSD should update Code Enforcement's Procedures Manual and Accela training materials to include the following:

- Investigators should list all zoning/building violations in "Violation Table" in Accela; and
- Investigators should enter pertinent case information, such as Civil Penalty Notice and Order and Administrative Citation/Warning issuance date, compliance date, and fine/penalty amounts, into the Civil Penalty Notice and Order and Administrative Citation Warning fields in Accela.



In Process

This recommendation is in process. According to the department, the following steps are necessary to achieve implementation.

Task 1: Hire Program Manager.
Status: Not complete.

Task 2: Establish a written procedure requiring entry in Accela of all observed violations and remedy details.
Status: Not complete.

Task 3: Train staff and implement.
Status: Not complete.

DSD Building and Land Use Enforcement Division (BLUE) needs additional staff to establish a procedure regarding new Accela entry requirements. Adding 1.00 Program Manager position will allow BLUE to establish this procedure and train staff on its usage.

BLUE is being asked to reduce positions due to a projected budget shortage. The positions needed to create and implement a new program are currently unavailable. BLUE will request staffing to implement this recommendation when possible.

Issue Date: June 9, 2022

Original Target Date: July 2023

Current Target Date: ~~July 2023~~ July 2025

Recommendation 7

(Priority 1)

To address Finding 1 and to give more information to supervisors and managers, the Development Services Department should develop and use tools such as Accela reports or online dashboards that include the following:

- New or active cases that do not have an initial inspection and the number of days from case open date;
- All cases with number of inspections and whether they have a re-inspection fee issued;
- All active cases open longer than 90 days without a notice issued;
- All active cases without an update in the last 90 days; and
- All active cases with most recent workflow task.



In Process

This recommendation is in process. According to the department, the following steps are necessary to achieve implementation.

Task 1: Hire Program Manager.

Status: Not complete.

Task 2: Update Accela to create reports that provide all recommended information.

Status: Not complete.

Task 3: Perform UAT Testing.

Status: Not complete.

Task 4: Establish a written procedure detailing how to run accurate reports.

Status: Not complete.

Task 5: Train CED Seniors and implement.

Status: Not complete.

DSD Building and Land Use Enforcement Division (BLUE) needs additional staff to work with DSD IT to create reports that provide all recommended information. Adding 1.00 Program Manager position will allow BLUE to create these reports, test efficacy, create a procedure on usage, and train staff on its usage.

BLUE is being asked to reduce positions due to a projected budget shortage. The positions needed to create and implement a new program are currently unavailable. BLUE will request staffing to implement this recommendation when possible.

Issue Date: June 9, 2022

Original Target Date: July 2023

Current Target Date: ~~July 2023~~ July 2025

Recommendation 8

(Priority 2)

To help Development Services Department (DSD) Code Enforcement Division's supervisors hold investigators accountable, DSD should update Code Enforcement's Procedures Manual to require Code Enforcement senior investigators to regularly review individual investigators' caseloads to identify and follow-up on cases that have had no updates in the past three months. DSD should consider the following:

- Supervisors should filter out cases that they do not expect investigators to actively work when reviewing individual investigators' caseloads to identify cases that have no updates for at least three months.
- During their review of individual investigators' caseloads, management should require supervisors to ensure that investigators provided a written notice to the property owner for all active cases with violations, as well as ensure cases with three or more follow-up inspections have had a re-inspection fee issued.



In Process

This recommendation is in process. According to the department, the following steps are necessary to achieve implementation.

Task 1: Hire Program Manager.

Status: Not complete.

Task 2: Add Senior positions to reduce team size.

Status: Not complete.

Task 3: Establish a written policy requiring CED Seniors to run Accela reports regularly to review staff performance.

Status: Not complete.

Task 4: Train CED Seniors and Implement new policy.

Status: Not complete.

DSD Building and Land Use Enforcement Division (BLUE) needs additional staff to create a new policy on more thorough and frequent reports on staff performance and productivity. Adding 1.00 Program Manager position, 1.00 Senior Combination Inspector position, and 2.0 Senior Zoning Investigator positions will allow BLUE to create these reports, create a policy on usage, train staff on its usage, and create more time for Seniors to implement.

BLUE is being asked to reduce positions due to a projected budget shortage. The positions needed to create and implement a new program are currently unavailable. BLUE will request staffing to implement this recommendation when possible.

Issue Date: June 9, 2022

Original Target Date: July 2023

Current Target Date: ~~July 2023~~ July 2025

Recommendation 9

(Priority 2)

To address the misreporting of Key Performance Indicators (KPIs) and inaccurate tracking of response time, the Development Services Department (DSD) should create and use a report from Accela that accurately measures Code Enforcement's initial response time. This report should include cases opened in the current fiscal year that:

- Have received an inspection; or that
- Have no inspection but are beyond the goal response time.

Additionally, the basis of DSD's annual KPI reporting should be this report pulled on a date at least eight months after the start of the reported fiscal year.



In Process

This recommendation is in process. According to the department, the following steps are necessary to achieve implementation.

Task 1: Update Accela to create reports accurately reflecting inspection activity, including cases without initial inspections.

Status: Not complete.

Task 2: Run reports for KPIs based on periods of at least 8 months.

Status: Not complete.

DSD Building and Land Use Enforcement Division (BLUE) needs to implement other recommendations for this recommendation to be effective. Additional staff are needed to implement recommendations. Adding 1.00 Program Manager position, if not the other identified positions, will allow BLUE to implement a majority of the recommendations, create supporting policies and procedures, and provide effective training.

BLUE is being asked to reduce positions due to a projected budget shortage. The positions needed to create and implement a new program are currently unavailable. BLUE will request staffing to implement this recommendation when possible.

Issue Date: June 9, 2022

Original Target Date: July 2023

Current Target Date: ~~July 2023~~ July 2025

Recommendation 10

(Priority 2)

To address data reliability issues, the Development Services Department (DSD) should create a checklist for online case files, and Code Enforcement's Procedures Manual should require Code Enforcement management to conduct periodic audits of cases using this checklist. The checklist should require Code Enforcement to check for both accuracy and completeness of the Accela case file and should include at least:

- Date of First Inspection;
- Number and Type of Inspections;
- Number and Type of Violations;
- Number and Amount of Fines/Fees;
- Complaint Details;
- Completed Workflow and Activities; and
- Closed Status.

Based on the results of these audits, Code Enforcement's Procedures Manual should outline appropriate management response when issues with investigator performance are identified.

**In Process**

This recommendation is in process. According to the department, the following steps are necessary to achieve implementation.

Task 1: Hire Program Manager.
Status: Not complete.

Task 2: Create a Case Closure Checklist.
Status: Not complete.

Task 3: Train CED staff on the Checklist and Implement it.
Status: Not complete.

Task 4: Establish a written policy requiring the CED Management Team to conduct periodic random audits of closed cases and detail appropriate responses to findings.
Status: Not complete.

Task 5: Train the BLUE Management Team on the Audit Procedure and Implement it.
Status: Not complete.

DSD Building and Land Use Enforcement Division (BLUE) needs additional staff to create a new case closure procedure using the recommended Checklist. Adding a 1.00 Program Manager position will allow BLUE to create a case closure checklist to ensure senior staff closely reviews all cases for confirmed inspection, appropriate remedy issuance, and application of required re-inspection fees. This position will also update procedures and train staff to use the checklist. Implementation will increase the workload of BLUE's senior staff and the addition of 1.00 Senior Combination Inspector position and 2.0 Senior Zoning Investigator positions is needed.

BLUE is being asked to reduce positions due to a projected budget shortage. The positions needed to create and implement a new program are currently unavailable. BLUE will request staffing to implement this recommendation when possible.

Issue Date: June 9, 2022

Original Target Date: July 2023

Current Target Date: ~~July 2023~~ July 2025

Environmental Services

23-004 Performance Audit of the City’s Get It Done Application and Service Requests Management

(NO) (MS)

Recommendation 5 (Priority 2)

To ensure the accuracy of communication codes entered, relevant departments/divisions for the most common service requests (i.e., Environmental Services Department, San Diego Police Department Neighborhood Policing Division, San Diego Police Department Parking Division, and Transportation Department Street Division) should develop, implement, and document policies and procedures that require supervisors to regularly review service requests and the communication codes used for consistency and accuracy. These policies and procedures should specify how supervisors should select service requests cases for review, require this review to be documented, and identify corrective actions where necessary.

In Process

This recommendation is in process. Although some elements of this recommendation have been implemented, others have not. For example, the SDPD Neighborhood Policing has updated its Operations Manual to include policies and procedures that require supervisors to review two to three closed Get It Done cases to ensure appropriate the cases contain appropriate closure details, however, other departments and/or divisions are in still in the process of implementing similar policies and procedures. Specifically, Transportation noted that it is working with Public Works Supervisors to ensure that relevant customer codes are used for close out cases. ESD noted that it was unable to provide a status update due to focusing on the City’s storm response efforts. SDPD Parking did not provide a status update.

Issue Date: October 6, 2022

Original Target Date: TBD Pending Resources

Current Target Date: TBD Pending Resources

Homelessness Strategies & Solutions

20-009 Performance Audit of the City's Efforts to Address Homelessness

(DN)

Recommendation 2

(Priority 1)

To ensure that the City has the funding necessary to implement the new City of San Diego Community Action Plan on Homelessness (Strategic Plan on Homelessness), the Homelessness Strategies Division (HSD) should develop long-term funding options, such as: continued or increased reliance on the General Fund, State or Federal funding, bonds, tax measures, and any other options that may significantly contribute to closing a funding gap.

Once outcomes of the 2020 ballot measures have been determined, HSD should immediately initiate the development of a long-term funding strategy to meet its present and future homelessness needs identified in the Strategic Plan on Homelessness. The funding strategy should identify permanent and sustainable funding sources and should be finalized, publicly documented, and presented to the City Council upon completion.

When developing its funding strategy, HSD should solicit public input. Specific strategies HSD should consider include, but are not limited to:

- Focus groups;
- Interviews;
- Comment (or point-of-service) cards;
- Public meetings, such as hearings, "town hall" meetings, and community vision sessions;
- Interactive priority setting tools;
- Creating public or neighborhood advisory groups, committees, or task forces; or
- Hire a consultant to conduct surveys.

The funding strategy should include a plan to pursue the desired funding mechanism(s) based on consideration of information obtained from stakeholders, expert knowledge, and objective data.

In Process

This recommendation is In Process. According to Homelessness Strategies and Solutions Department (Department), through the FY2025 budget process, the Department has developed a funding proposal that continues to utilize federal and State of California grant funding to ensure continuity of services provided for the expansion of shelter bed capacity in alignment with the Community Action Plan on Homelessness. Updates to the City's Community Action on Plan Homelessness (CAPH) were presented to City Council in November 2023. This update reflects the Department's work with the other stakeholders of the CAPH implementation team to reset the CAPH's focus and update targets for needed shelter beds and housing to address homelessness. Planned implementation of this Audit recommendation factors in those updates.

In brief, the Department activities since the last audit update include:

- Continued work with the Office of the Independent Budget Analyst to jointly understand fiscal constraints;
- Successfully awarded additional new competitive grants from the County and State to offset costs to City funds;
- Provided recurring updates to the DOF and the CFO on 5-year planning for both operating needs and capital needs (e.g. shelter expansion). The Department's ongoing General Fund (GF) resources were \$8M in FY 2022, increased to \$11.2M in FY 2023, and \$40M ongoing GF in FY 2024. FY 2025 budget proposal will factor in sustainability of programs in light of early rounds of HHAP funding expiring. Additionally, the FY 2024 Adopted Budget included allocation of Opioid Settlement Fund revenue for programs that meet the substance use disorder treatment criteria of the settlement;
- Round 5 of the Homeless Housing, Assistance, and Prevention allocations were announced with the City anticipating to receive \$29M, the largest HHAP allocation the City has ever been awarded. In the summer of 2024 HSSD will provide an update on permanent funding strategies to the Land Use & Housing Committee.

Issue Date: February 12, 2020

Original Target Date: December 2021

Current Target Date: ~~December 2021~~ Unknown

Human Resources Department

20-011 Performance Audit of Strategic Human Capital Management (NO) (GT)

Recommendation 7 (Priority 1)

HR and Personnel should jointly present an annual, publicly available Workforce Report to the City Council and Mayoral administration, updating City leadership by identifying key City positions facing challenges related to recruitment, retention, employee satisfaction and other metrics.

- a. The Workforce Report should include fundamental Human Capital Management (HCM) metrics on turnover rates, quits rates, vacancy rates, employee satisfaction, and others and should include benchmarking/comparative information, such as data from the U.S. Bureau of Labor Statistics, other large cities, the Society for Human Resource Management, etc.
- b. Among other content, the Workforce Report should identify:
 - i. A reasonable number—e.g., 10—of the job types for full-time employees, regardless of classification status, with:

- The highest rates of turnover and/or voluntary separations;
 - The highest rates of vacancies; and
 - A metric assessing employee recruitment—for example, the number of “qualified” vs. “highly qualified” applicants.
 - If they are not included among the job types above, the Workforce Report should also include the results for Police Officers and Firefighters as well.
- ii. An assessment of the differences, if any, between employees with Defined Contribution retirement plans and the rest of the City workforce, with respect to recruitment and retention patterns and/or other metrics (e.g., satisfaction or engagement).
 - c. The Workforce Report should identify key elements of concern within the workforce, such as recruitment, development, satisfaction/engagement, and retention problems, an action plan to address these issues, and a timeline for completion.
 - d. The Workforce Report should be required by a strong mechanism, such as a Council Policy or Municipal Code amendment.

In Process

This recommendation is in process. The first Annual Workforce Report is a positive development, but does not contain some key elements included in the recommendation.

Remaining Task: According to HR, the second Annual Workforce Report is being finalized and will be presented to Council in March 2024. HR provided an excerpt of several pages of the forthcoming report, and OCA will review the full report for inclusion of the recommended elements when the report is finalized, shared, and presented.

Issue Date: April 23, 2020

Original Target Date: December 2021

Current Target Date: ~~December 2021~~ June 2022 September 2022 October 2023
Unknown

21-006 Performance Audit of Strategic Human Capital Management II: Employee Performance Management

(NO) (GT)

Recommendation 5

(Priority 2)

The Human Resources Department should develop and implement a plan to increase awareness of Rewards & Recognition Program tools and to encourage additional program participation in the lowest-utilizing departments in particular—for example, via targeted or required trainings of supervisors and managers in those departments.

In Process

The department reported this recommendation as implemented; however, after OCA review of the supporting documentation, this recommendation remains in process.

According to the most recent update from the Human Resources Department, the department has made significant changes to the Rewards & Recognition Program (R&R), to include moving the process to the SAP system, which is anticipated go live in March 2024. Our office will follow up with Human Resources during the next recommendation follow-up cycle to confirm that the R&R program has been successfully migrated to the SAP system.

Issue Date: November 25, 2020

Original Target Date: December 2021

Current Target Date: ~~December 2021~~ ~~June 2022~~ ~~December 2022~~
December 2023 Unknown

Recommendation 6

(Priority 2)

The Human Resources Department (HR), working as necessary with the Personnel Department, should strengthen its abilities to more strategically monitor aggregate discipline trends and issues within the City workforce—for example, trends over time or patterns across departments or other aspects of the City’s workforce. Specifically, HR should develop and implement a process to provide this information periodically, or preferably on-demand, to the City Executive Team, the Risk Oversight Committee, the Civil Service Commission, and City departments’ management to better identify and mitigate performance and misconduct-related risks.



In Process

The department reported this recommendation as implemented; however, after OCA review of the supporting documentation, this recommendation remains in process. According to the Human Resources Department (HR), the department is reviewing discipline and fact-finding data as part of its People Stat Program. The People Stat Program’s policy document states that HR staff will meet weekly to discuss Balanced Score Card components for targeted departments. Staff will be responsible for preparing and analyzing data relevant to their programs and department assignments. Following the data presentation, follow-up questions and discussion will center around developing actionable next steps. These next steps will include follow-up with target departments and collaboration with other HR sections as needed.

Specific to the tracking and reporting of discipline trends and issues within the City workforce, the People Stat Program notes that HR staff regularly review and discuss Key Metrics for Employee Accountability Measures (i.e., employee discipline) which include the total number and type of disciplines issues, number of disciplines by reason, total number of fact findings, and Employee Performance Review (EPR) completion rates.

Once HR provides the OCA with documented evidence that efforts outlined above are occurring on a regular basis, our office will likely consider this recommendation to be fully implemented for the next round of recommendation follow-up.

Issue Date: November 25, 2020

Original Target Date: December 2021

Current Target Date: ~~December 2021~~ ~~September 2022~~ ~~December 2024~~
 December 2023 Unknown

Recommendation 7

(Priority 2)

The Human Resources Department should incorporate strengthening its tracking and dissemination of performance and discipline-related information into its ongoing effort to outline and document its goals, responsibilities, and the organizational efforts it is undertaking internally to strengthen its emphasis on Strategic Human Capital Management (SHCM) efforts, agreed to as part of our first SHCM audit. See Recommendation #6 from our Performance Audit of the City's Strategic Human Capital Management. This should include analysis to determine if additional staffing resources are needed to successfully execute this plan to strengthen its SHCM capabilities.

In Process

The department reported this recommendation as implemented; however, after OCA review of the supporting documentation, this recommendation remains in process.

According to the Human Resources Department (HR), the department has added Human Resource Officer positions to serve as liaisons and increase the departments ability to assist City departments. These positions have been filled. Absent a Human Capital Management system, HR has developed a way to track discipline and is currently managing as part of HR's People Stat program. Specific to the People Stat program, the program description document states that department staff will meet weekly to discuss Balanced Score Card components for targeted departments. Staff will be responsible for preparing and analyzing data relevant to their programs and department assignments. Following the data presentation, follow-up questions and discussion will center around developing actionable next steps. These next steps will include follow-up with target departments and collaboration with other HR sections as needed.

Once HR provides the OCA with documented evidence that efforts outlined above are occurring on a regular basis, our office will likely consider this recommendation to be fully implemented for the next round of recommendation follow-up.

Issue Date: November 25, 2020

Original Target Date: July 2021

Current Target Date: ~~July 2021~~ ~~September 2022~~ ~~December 2024~~
 December 2023 Unknown

Recommendation 8

(Priority 2)

The Human Resources Department, working collaboratively with the Personnel Department, should develop and execute a plan for actions the City can take to better utilize mechanisms, such as probationary periods and Supplemental Employee Performance Reviews (EPRs), if/as appropriate. Strategies considered should include:

- a. Reexamining or reaffirming the City's philosophical approach to discipline issues;
- b. Trainings for supervisors identifying the tools of probationary periods and Supplemental EPRs and their importance;
- c. Ensuring quarterly EPRs are completed, especially for probationary employees; and
- d. A particular focus on these or other operationally appropriate efforts among departments that show lower EPR completion rates, especially for probationary employees.

In Process

The department reported this recommendation as implemented; however, after OCA review of the supporting documentation, this recommendation remains in process.

The Human Resources Department's (HR) update indicates that as part of its People Stats Program's Employee Accountability Measures, staff reviews and discusses EPR completion rates, which would presumably include Supplemental EPRs. However, the Key Metrics section within this component of the People Stats Program does not include a metric for probationary employees/quarterly EPRs, which our audit flagged as an area of particular risk.

To address this specific element of the recommendation, we suggest either modifying the current EPR Key Metric to include EPRs for probationary employees (i.e., Quarterly EPRs) or add another metric specific to this type of EPR. Once this change is made and the department can provide an updated copy of the People Stats Program, our office will likely consider this recommendation to be fully implemented.

Issue Date: November 25, 2020

Original Target Date: July 2022

Current Target Date: ~~July 2022~~ ~~September 2022~~ ~~December 2022~~
December 2023 Unknown

Independent Budget Analyst

22-002 Performance Audit of the City's Major Building Acquisition Process

(CN) (MJ)

Recommendation 7

(Priority 1)

We recommend that the Independent Budget Analyst, in consultation with the City Attorney's Office, create and bring forward to City Council for approval a section to be added to the San Diego Municipal Code to provide an enforcement mechanism for Charter Section 32.1, to ensure that City staff accurately represent and inform City Council of all material facts or significant developments relating to real estate acquisitions under the jurisdiction of City Council.

In Process

This recommendation is in process. According to the department, the following tasks are necessary to achieve full implementation.

Task 1: Benchmark against other jurisdictions regarding repercussions for City staff withholding information from City Council

Status: Completed February 2022

Task 2: Meet with stakeholders (including City Attorney's Office, City Management, and City Auditor's Office) to discuss potential options

Status: Ongoing

Task 3: Prepare report and presentation to Audit Committee on options and associated tradeoffs to address Recommendation #7; a draft of report is currently pending review from the City Attorney's Office, with additional clarification pending from other departments

Status: Pending, aim to present during March 13, 2024 Audit Committee meeting

During the Audit Committee follow-up recommendation meeting on November 15, 2023, our Office agreed to return to the Audit Committee to present options to address Recommendation #7 and request further policy direction from the Committee. This follows discussions with key stakeholders that have resulted in no clear next steps. Since the Committee's actions from November 2023, our Office has reached out to various departments, including the City Attorney's Office, the Compliance Department, the Human Resources Department, and the City Clerk's Docket Office, to further explore potential options. Our Office is currently drafting a report to summarize our findings and facilitate Audit Committee discussion. The report will provide relevant background on the performance audit, summarize current law, present findings from our benchmarking study of other jurisdictions,

and detail possible options along with associated tradeoffs. We aim to present the report to the Audit Committee during the March 13th meeting. Future steps will be determined based on Audit Committee guidance.

Issue Date: June 22, 2021

Original Target Date: IBA Agreed, but City Attorney’s Office Disagreed

Current Target Date: Unknown

Office of Boards and Commissions

23-002 Performance Audit of Mission Bay and San Diego Regional Parks Improvement Funds, Fiscal Year 2021

(RG)

Recommendation 7

(Priority 3)

To ensure Committees are properly staffed in compliance with the City Charter, we recommend: The Office of Boards and Commissions should bring appointment and reappointment resolutions to City Council on a routine basis and in a timely manner to maintain proper active standing of the members on both the Mission Bay Park Committee and the Park and Recreation Board.

In Process

This recommendation is in process. According to the department, it is in the process of making reappointments. The department further explains at some point, everyone has been current, but at the time of reporting back to the Audit Committee, there always seem to be changes occurring. It needs to be understood that this is the challenge with ALL the boards and commissions and that our overall commitment is to keeping seats current.

Issue Date: August 2, 2022

Original Target Date: November 2022

Current Target Date: ~~November 2022~~ ~~November 2023~~ December 2024

Parks and Recreation Department

22-005 Performance Audit of Equity in Recreation Programming (AR) (MS)

Recommendation 1 (Priority 1)

To ensure a formalized approach for obtaining recreation programming feedback from the community at-large, the Parks and Recreation Department should:

- Develop, document, and implement a process for conducting a community needs assessment that includes identifying the types of programs communities need, satisfaction levels, effectiveness, and recreation priorities, and demographic information such as race, income, education level, age, etc.; and
- Conduct this assessment at least every five years to reevaluate the data and update strategic plan efforts.



In Process

This recommendation is in process. According to the department, the following tasks are necessary in order to achieve fully implementation.

Task 1: Request budget for consultants and positions to develop and implement community survey. Parks and Recreation requested budget in FY2024 and FY2025 to cover the costs of hiring consultants to conduct a community needs assessment. In FY2024 \$50,000 was appropriated for recreation program equity audit expenses. The department requested \$114,500 as part of its FY2025 proposed budget submittal. The community needs assessment consultant costs are anticipated to range from \$150,000 to \$300,000.

Task 2: Acquire a consultant to develop, implement and summarize community needs assessment. The department developed a RFP with Purchasing and Contracting in 2023. The RFP is scheduled to be advertised in Planet Bids for one month beginning February 12, 2024. The department projects completion of the assessment around December 2025.

Task 3: Analyze community needs data and implement programming to meet community needs. Depending on receipt of the final community needs assessment report and staff ability to synthesize the data and request budget as part of the proposed budget submittal (typically done in December) for FY2027, the department will do so. The requested budget would allow for for implementation of the programmatic and marketing recommendations. The department will also seek budget in FY2026 in anticipation of receiving the completed assessment in December 2025 to immediately begin implementing the report's recommendations.

Task 4: Conduct follow up community needs assessment in 2028. Will revise to 2030 to allow for a five-year span between assessments.

In Summary, Parks and Recreation requested NPE in budget year 2024 and 2025 to support efforts related to the Audit of Equity in Recreation Programming. The department has a reoccurring budget of \$50,000 in NPE, but lacks additional fund allocations to meet the full needs of responding to this audit and recommendation. The department will release a RFP in February 2024 to acquire a consultant to conduct the community needs assessment, even though funds remain short for the effort. Projected completion of the community needs assessment is December 2025.

Issue Date: November 10, 2021

Original Target Date: September 2022

Current Target Date: ~~September 2022~~ ~~December 2024~~ December 2025

Recommendation 2

(Priority 1)

Once the Parks and Recreation Department (Parks & Rec) completes a community needs assessment, it should develop a strategic plan for addressing recreational equity that:

- Defines Parks & Rec’s vision for equitable recreational programming;
- Includes objectives and goals with performance measures to gauge progress;
- Identifies resource needs to implement:
- The goals and objectives of the strategic plan;
- The recommendations in this audit report; and
- Any other strategies Parks & Rec plans to pursue to improve recreation programming equity;
- Requires Parks & Rec to annually update progress on its performance measures; and
- Requires Parks & Rec to update its objectives, goals, and performance measures every five years and incorporate findings from the community needs assessment. Parks & Rec should present the strategic plan to the City Council for approval.

In Process

This recommendation is in process. The department has not provided an update since May 2023. OCA will continue to follow up during the next reporting period.

As of the prior reporting period, the department noted it had identified action steps and planned to implement the recommendation. It also noted that it had developed a Tactical Equity Plan that includes goals, objectives, and performance metrics, which plans to present it to City Council and/or the Community and Neighborhood Services Committee in December 2023. Lastly, the department noted that this recommendation will be implemented after it completes the Community Needs Assessment to determine whether the selected performance metrics are appropriate.

Issue Date: November 10, 2021

Original Target Date: September 2022

Current Target Date: September 2022 December 2023 March 2025

Recommendation 4

(Priority 1)

To identify disparities in equitable funding, the Parks and Recreation Department should develop, document, and implement a resource allocation model that will evaluate resource equity between recreation facilities. The model should be based on:

- Community-specific criteria (e.g., health indicators, poverty, transportation access, etc.); and
- Site-specific criteria (e.g., size, frequency of visitors, amenities, etc.).



In Process

This recommendation is in process. The department has not provided an update since May 2023. OCA will continue to follow up during the next reporting period.

As of the prior reporting period, the had identified action steps and planned dates to implement this recommendation. Additionally, according to the department, this recommendation relies on additional resources, both staffing and consultants. While the department noted that it requested funding, the Fiscal Year 2024 budget does not include an allocation for the remaining five positions and funding to support staffing and consultants. The department also noted that it will endeavor to continue efforts in working toward completing the recommendation with existing resources and will continue to seek additional resources when they are available. Lastly, the department revised the target implementation date for this recommendation to November 2025.

Issue Date: November 10, 2021

Original Target Date: June 2023

Current Target Date: ~~June 2023~~ November 2025

Recommendation 5

(Priority 2)

To monitor the quality of staff-run and contractual programs, the Parks and Recreation Department should develop, document, and implement a comprehensive method for measuring the quality of all recreation programs. This should include training staff to conduct these program quality assessments in a way that is standardized and incorporates notes, observations, and interview data.



In Process

This recommendation is in process. The department has not provided an update since the November 2023 Audit Committee meeting, where the department noted that it was in the process of developing and implementing programmatic surveys and evaluations. The department noted that it has drafted instructions which it plans to route for legal review and meet and confer before training staff on the surveys and evaluations. Lastly, the department noted it plans to implement this recommendation

before November 2024. OCA will continue to follow up during the next reporting period.

Issue Date: November 10, 2021

Original Target Date: June 2023

Current Target Date: ~~June 2023~~ November 2024

Recommendation 6

(Priority 1)

To address the resource disparities identified in Recommendation #4 and the disparities in program quality identified in Recommendation #5, the Parks and Recreation Department should develop, document, and implement a plan for directing resources, including any equity-based funding, toward specific steps to eliminate identified disparities. Steps taken to address disparities should:

- Consider using equity-based funding for scholarships that apply to contracted programs;
- Incorporate community feedback;
- Include measurable metrics;
- Report on the effectiveness of the Opportunity Fund in addressing inequities; and
- Be included in any update to the strategic plan developed in response to Recommendation #2.

In Process

This recommendation is in process. The department has not provided an update since the November 2023 Audit Committee meeting, where Parks and Rec noted that this recommendation relies on the Community Needs Assessment. The department also noted that it has established the Opportunity Fund to support equitable programs, and plans to provide a report on the effectiveness of the Fund in July 2024. OCA will continue to follow up during the next reporting period.

Issue Date: November 10, 2021

Original Target Date: June 2023

Current Target Date: ~~June 2023~~ August 2025

Recommendation 7

(Priority 3)

In order to increase and standardize marketing efforts, the Parks and Recreation Department (Parks & Rec) should hire a marketing professional to: Manage online (e.g., social media, websites) and physical (e.g., flyers, banners) content; coordinate marketing efforts across Parks & Rec; and lead strategic marketing initiatives for Parks & Rec (e.g., public relations, educational campaigns, etc.).

In Process

This recommendation is in process. The department has not provided an update

since the November 2023 Audit Committee meeting. OCA will continue to follow up during the next reporting period. As of the prior reporting period, the department had noted that this recommendation relies on additional resources, both staffing and consultants, and while it requested funding, the FY2024 budget did not include an allocation for the remaining five positions and funding to support staffing and consultants. The Department will endeavor to continue efforts in working toward completing the recommendation with existing resources and will continue to seek additional resources when they are available. The updated target date for this recommendation is March 2025.

Issue Date: November 10, 2021

Original Target Date: June 2023

Current Target Date: ~~June 2023~~ March 2025

Recommendation 8

(Priority 2)

In order to effectively market recreation programs to all residents, the Parks and Recreation Department should:

- Direct individual recreation centers to collect demographic information on participants and the surrounding community, including age, gender, race, and other demographics;
- Use collected information to create a strategic marketing plan that:
- Sets goals and objectives for marketing efforts;
- Creates steps for Citywide marketing plans; and
- Develops policies for individual recreation center marketing plans; and
- Use demographic information to tailor marketing efforts towards specific segments of the population, with the goal of promoting engagement through awareness, access, and participation.



In Process

This recommendation is in process. The department has not provided an update since the November 2023 Audit Committee meeting, where Parks and Rec noted that this recommendation will be addressed in calendar year 2024 as it transitions to a new online registration platform. OCA will continue to follow up during the next reporting period.

Issue Date: November 10, 2021

Original Target Date: June 2023

Current Target Date: ~~June 2023~~ June 2025

Recommendation 9

(Priority 3)

To ensure that eligible program participants can receive the fee waiver, the Parks and Recreation Department should develop, document, and implement procedures that allow residents to:

- Apply fee waivers to all eligible programs on an annual basis; and

- Register for classes online while using the fee waiver.



In Process

This recommendation is in process. The Parks and Recreation Department provided the following information as it works toward implementing the recommendation.

Step 1: Update fee waiver process to allow applicants to apply once annually for entire family. In December 2022, Parks and Recreation established a revised Fee Waiver Application process that included an application in both English and Spanish, including instructions for submitting the fee waiver application. Under the new process, an applicant need only apply once every calendar year for their entire household and the approved fee waiver is good for all eligible programs in that calendar year at any location.

Step 2: Ability for fee waiver approved families to enroll for programs online. The department is still working on two items related to this recommendation that requires an extension to the completion date: 1) Allowing approved applicants to register online for any fee waiver eligible program. This functionality is not feasible using the City's existing registration software and will require a new online registration platform to accommodate this type of feature. The department identified a software that meets the needs identified in this audit and beyond. A piggyback contract was prepared in 2023 to streamline this transition. It was discovered that the vendor does not use the mandated gateway provider set forth by the Treasurers Department. Therefore a RFP will need to be developed to procure a responsive vendor. This will take an additional one to two years to complete. New target date is February 2026. 2) Developing an application clearance electronically and securely through an online clearing house.

In December 2022 Parks and Recreation trained staff and implemented a new Fee Waiver Program that included an application with instructions in both English and Spanish. Staff are trained on the Fee Waiver program once per year, with several refreshers throughout each year. The new fee waiver meets all recommendations of this item. The Department is still working on establishing a method to apply fee waivers to customer accounts allowing them to enroll without having to travel to a facility. The current online registration software doesn't allow for this process. This function will be requested as part of the RFP for a new online registration provider. Depending on the timing and success of the RFP, the department anticipates the new software will be installed, trained and implemented in 2026.

Issue Date: November 10, 2021

Original Target Date: July 2022

Current Target Date: ~~July 2022~~ ~~June 2023~~ ~~March 2024~~ June 2026

Recommendation 10

(Priority 3)

To ensure recreation programs are accessible to people at all income levels, the Parks and Recreation Department (Parks & Rec) should reevaluate its current practice of only allowing the fee waiver for Civic Dance and Aquatics programs and expand eligibility to other recreation programs. As part of this, Parks & Rec should:

- Analyze alternative agency fee waiver models—including higher income limits, tiered systems, and membership passes—and recommend adoption of a decided-upon model; and
- Develop, document, and implement guidelines that specify which programs and costs fee waivers can be applied to and the rationale for leaving other programs and costs ineligible for fee waivers and include them in Park & Rec’s fee schedule.

? In Process

This recommendation is in process. The department has not provided an update since the November 2023 Audit Committee meeting, where Parks and Rec noted that this recommendation relies on the findings of the Community Needs Assessment.

As of the prior reporting period, the department had updated fee waiver forms and expanded access to programs through fee waivers. The timeline for a new fee waiver program will correspond with the implementation of recommendations 4 and 6 and will be reviewed again with the new cost of service study and fee schedule update mentioned in recommendation 3.

OCA will continue to follow up during the next reporting period.

Issue Date: November 10, 2021

Original Target Date: July 2022

Current Target Date: ~~July 2022~~ ~~November 2023~~ November 2025

Recommendation 11

(Priority 2)

To gain insight into the languages spoken in each community, the Parks and Recreation Department (Parks & Rec) should develop, document, and implement a plan to identify recreation center service areas and the languages spoken by individuals or households in those areas. Parks & Rec should update and review the results of this analysis at least biannually to determine which translation and interpretation languages are necessary in the service areas.

? In Process

This recommendation is in process. The department has not provided an update since the November 2023 Audit Committee meeting, where Parks and Rec noted that this recommendation relies on the findings of the Community Needs Assessment to further develop a language access plan.

As of the prior reporting period, the department noted that it had begun efforts to hire recreation specialist and analytical staff, a portion of which were funded in the FY2023 Budget. A department-wide communications plan is slated to be developed in June 2025 concurrently with recommendations 1, 2, 8, 11, and 13.

The new target implementation date for this recommendation is June 2025. OCA will continue to follow up during the next reporting period.

Issue Date: November 10, 2021

Original Target Date: June 2023

Current Target Date: ~~June 2023~~ June 2025

Recommendation 12

(Priority 2)

To ensure that the Parks and Recreation Department (Parks & Rec) meets community language needs, Parks & Rec should:

- Develop, document, and implement, a department-wide language access plan that includes at least the following elements:
 - Establishment of a threshold at which languages must be spoken in the service area to be considered a substantial number of customers;
 - Policies for recreation center staff that specify which written materials need to be translated into the languages identified in Recommendation #11; and
 - Procedures for getting documents translated and approved by qualified bilingual staff or professional translators.

In Process

This recommendation is in process. The department has not provided an update since the November 2023 Audit Committee meeting, where Parks and Rec noted that this recommendation relies on the findings of the Community Needs Assessment to further develop a language access plan.

As of the prior reporting period, the department noted that it had begun efforts to hire recreation specialist and analytical staff, a portion of which were funded in the FY2023 Budget. A department-wide communications plan is slated to be developed in June 2025 concurrently with recommendations 1,2,8,11 and 13.

The new target implementation date for this recommendation is June 2025. OCA will continue to follow up during the next reporting period.

Issue Date: November 10, 2021

Original Target Date: June 2023

Current Target Date: ~~June 2023~~ June 2025

Recommendation 13

(Priority 2)

To provide high-quality customer service to residents who speak languages other than English, the Parks and Recreation Department should:

- Work with the Communications Department to obtain access to a contract for over-the-phone interpretation services and written materials translation.

 **In Process**

This recommendation is in process. The department has not provided an update since the November 2023 Audit Committee meeting, where Parks and Rec noted that this recommendation relies on the findings of the Community Needs Assessment to further develop a language access plan.

As of the prior reporting period this recommendation was approximately 75 percent complete. A remaining task to implement the recommendation is completion of a Communications Plan which is a part of the Community Needs Assessment scope of work (Recommendation 1).

The revised target implementation date for this recommendation is December 2024. OCA will continue to follow up during the next reporting period.

Issue Date: November 10, 2021

Original Target Date: October 2022

Current Target Date: ~~October 2022~~ December 2024

Recommendation 15

(Priority 2)

To ensure the accuracy of key data fields in the Parks and Recreation Department's (Parks & Rec) recreation program management software, Parks & Rec should:

- Develop automated controls, where possible, to ensure that recreation staff enter program information in the recreation program management software consistently and accurately; and
- Develop policies and procedures that require Area Managers to regularly review program information captured in Parks & Rec's recreation program management software—such as dates, season, and class status, among others—for consistency and accuracy. These policies and procedures should specify how Area Managers should select data entries for review, require this review to be documented, and identify corrective actions where necessary.

 **In Process**

This recommendation is in process. According to the department, the following tasks are necessary to achieve full implementation.

Task 1: Request budget for positions to monitor, maintain, develop policies and procedures and train staff on online registration software. In FY23 and FY24, the

Department received five new positions out of ten to support on-going efforts to improve recreational program offerings.

Task 2: Develop, recruit, hire new positions to support this action. Over the past year, the Department has filled five positions to support this action, with the Information Systems Analyst II being the last to on-board in December 2023.

Task 3: Evaluate online registration software that best meets the departments goals and objectives. The Department identified a software that meets the needs identified in this audit and beyond. A piggyback contract was prepared in 2023 to streamline this transition. It was discovered that the vendor does not use the mandated gateway provider set forth by the Treasurers Department, therefore a RFP will need to be developed to procure a responsive vendor. This will take an additional one to two years to complete. New target date is February 2026.

Task 4: Formalize online registration and permitting software trainings into Department Instructions. In October 2022, the department updated the ActiveNet Online Registration and Permitting training, and made it mandatory for every employee to take the training prior to using the system as further outlined in recommendations 14 and 16. In addition, the department developed an annual refresher training that is mandatory for all supervisors using the system. The training on ActiveNet for supervisors identifies roles and responsibilities for entering, reviewing and approving content entered. The department is in the process of formalizing the roles and responsibilities for use of ActiveNet in a department Instruction. This target date was previously October 2023, but was extended to April 2024 as a result of limited staff time, and the department was looking into changing the registration and permitting platform to meet the audit recommendations. The DI is under internal review, followed by legal review, then it will go to meet and confer with an anticipated implementation of April 2024. Parks and Recreation established a new Citywide Recreation Services Division and hired five positions as of December 2023 to assist with improving recreational programs, training, marketing, and online registration and permitting software controls. Detailed training for the online software was established and mandated annually for all supervisors and employees using the online software beginning in October 2022. The training identifies roles, responsibilities, data entry and oversight procedures. The department has developed a draft Department Instruction (DI) formalizing the use of the online recreation software. The DI is under internal review and is expected to go to meet and confer in March 2024, with implementation taking place in April 2024. The department continues to explore online recreation software providers that meet the needs and city requirements. A RFP will developed to complete this process in an anticipated two-year time frame.

Issue Date: November 10, 2021

Original Target Date: June 2023

Current Target Date: ~~June 2023~~ ~~October 2023~~ ~~February 2026~~ April 2024

Performance & Analytics Department

20-013 IT Performance Audit of Citywide Data Classification and Sensitive Data Encryption

(JP)

Recommendation 1

(Priority 1)

The three city data management authorities—the Chief Data Officer (CDO), Chief Information Officer (CIO), and City Clerk—should work collaboratively to create a centralized data management strategy based on a centralized data governance model. All three authorities should sign off on the policy and the City Attorney should conduct a legal review to ensure compliance with applicable laws and regulations. Further, this strategy should incorporate the different roles of the CDO, CIO, and City Clerk to clarify their data management objectives and potential areas of collaboration.

In Process

This recommendation is in process. According to the department, the three city data management authorities completed a Request for Proposal and awarded a contract to a consultant experienced with data governance programs in public agencies. The consultant and three data management authorities have developed the project charter, mission statement, organization change management strategy, and a readiness assessment. The consultant conducted departmental interviews and a Citywide Data Governance Project kickoff meeting was held in January 2024. The consulting team has also developed a survey to assess the level of data governance capabilities and maturity for departments. The data governance strategy is in progress and is projected to be completed by July 1, 2024.

Issue Date: May 29, 2020

Original Target Date: July 2022

Current Target Date: ~~July-2022~~ ~~July-2023~~ ~~April-2024~~ July 2024

23-004 Performance Audit of the City's Get It Done Application and Service Requests Management

(NO) (MS)

Recommendation 1

(Priority 2)

To improve transparency and accountability, the Performance and Analytics Department should follow through with including estimated completion times and the target completion times in the Get It Done report submission screen.

In Process

This recommendation is in process. The Performance and Analytics Department (PandA) detailed the following tasks that are completed and some tasks that need to be completed to achieve full implementation.

Task 1: Complete Get It Done live insights dashboard

Status: Completed August 23, 2023

The Response Time Dashboard was deployed August 24, 2023. It is currently in “beta” and displays Pothole data. To comprehensively address how long problems take to be resolved across all service types, the FAQ – “How long to problems take to be resolved?” is updated on a quarterly basis with department review. This is meant to better set customer expectations. The numbers in the FAQ populate the data in Task 2.

Task 2: Add estimations from Get It Done Insights Dashboard to key steps in the reporting process.

Status: Completed (Mobile app – December 2023; website – February 9, 2024)

Estimates of service level response times have been added to the mobile app and web site for the services listed below. These appear on the “before you start” and “important information” screens as part of the new report creation process.

- Parking;
- Missed collection;
- Encampment;
- Graffiti; and,
- Illegal dumping

Task 3: Confirm target completion times for each service with responsible departments and display with estimation times at key steps in the Get It Done reporting process.

Status: Planned completion January 2025

The department updated the target completion date from June 2024 to January 2025 as additional time will be needed to identify target service levels with departments.

To be initially completed for the following service types:

- Parking;
- Missed collection;
- Encampment;
- Graffiti; and
- Illegal dumping

Issue Date: October 6, 2022

Original Target Date: December 2023

Current Target Date: ~~December 2023~~ June 2024 January 2025

Recommendation 2

(Priority 3)

To improve the Get It Done customer experience, the Performance and Analytics Department should review, identify, prioritize, and document which services could feasibly include progress updates to customers (i.e., "interim" steps). As part of this effort, PandA should also articulate a plan and timeline for developing progress updates to customers for these service request types.



In Process

This recommendation is in process. The department provided the following status update via the Recommendation Implementation Work Plan:

Step 1: Document to identify necessary resources to implement Recommendation #2.

Status: Completed June 2023

Draft Digital Customer Experience Strategy released which identifies Performance Coach needs. Solicited feedback from all council districts community planning groups in 2023.

Step 2: Develop a document with a matrix containing each Get It Done report type and prioritize / evaluate need for an increase in status updates.

Status: Planned completion July 2025

Updated to July 2025 – created an initial draft prioritization matrix containing service evaluation criteria, indicating services with interim status updates. With the current staffing levels, we are able to comprehensively evaluate and improve services at a limited basis (1-2 services per year). To fully achieve this recommendation by the requested timeline, it would require additional resources described in the Digital Customer Experience Strategy.

Step 3: Provide an update on the Get It Done services that have been identified as candidates for additional progress updates.

Status: Planned completion July 2026

Updated to July 2026 – updates can be provided when analysis has been completed in prior step.

Issue Date: October 6, 2022

Original Target Date: July 2023

Current Target Date: ~~July 2023~~ July 2026

Recommendation 4

(Priority 2)

To ensure that operational staff are adequately trained on communication codes, the Performance and Analytics Department, in consultation with relevant departments/divisions for the most common service requests (i.e., Environmental Services Department, San Diego Police Department Neighborhood Policing Division, San Diego Police Department Parking Division, and Transportation Department Street Division) should provide updated training to staff that includes using the appropriate communication code.

**In Process**

This recommendation is in process. The department provided the following status update via the Recommendation Implementation Work Plan:

Step 1: Send cardstock print-outs of current communication codes per department via inter-office mail to all Get It Done functional area Points of Contact

Status: Completed April 14, 2023

Step 2: Request two (2) Program Coordinator positions as part of FY25 budget development process.

Status: Planned completion January 2025

Step 3: Receive two (2) Program Coordinator positions in FY25 budget.

Status: Planned completion June 2025

No new positions granted for FY25 due to budget constraints. Will revisit request for FY26 budget cycle.

Status: Planned completion TBD

Steps 4-7 are contingent on receiving FY26 positions.

Step 4: Publish position roles and responsibilities for Get It Done training team.

Status: Planned completion TBD

Step 5: Hire and onboard training staff.

Status: Planned completion TBD

Step 6: Develop and publish department Get It Done training plans and materials.

Status: Planned completion TBD

Step 7: Publish training schedule for all areas of Get It Done

Issue Date: October 6, 2022

Original Target Date: June 2023

Current Target Date: ~~June 2023~~ July 2025

Recommendation 6

(Priority 1)

To build on past efforts at increasing the City of San Diego's commitment to customer service, the City Administration should establish a centralized 3-1-1 contact option for residents. These efforts should include:

- a. Forming a standing City working group among the most affected departments and working groups (e.g., the Performance and Analytics Department, Station 38, Police Dispatch, City Clerk, Public Utilities Department, Department of IT, Environmental Services Department, and others, as necessary);
- b. Assessing the feasibility, strategy, and potential timeline for migrating existing customer service functions into the 3-1-1 customer service center; and
- c. Developing a timeline for developing a marketing strategy, including branding, media outreach, and social media utilization, for City services included in the 3-1-1 customer service center.

Proposed Alternative

This recommendation is in process. The Chief Compliance Officer stated, in a memo issued to the Audit Committee in January 2024, that the Performance and Analytics Department intends to revise its Digital Customer Experience (DCX) Strategy based on feedback from the community and from other departments and then share an updated draft with the Audit Committee in March 2024.

Performance and Analytics staff have been working on the Digital Customer Experience Strategy since early 2023:

- February through May 2023: The initial plan was drafted with input from department directors and the City's technical consultant
- June 2023: Performance and Analytics presented the plan at Audit Committee and developed a public facing webpage and outreach flyers
- July 2023: Performance and Analytics staff began coordinating public outreach events with Council Districts
- September through December 2023: public input survey opened
- October through November 2023: Performance and Analytics staff presented the DCX Strategy at 11 community events to solicit feedback. A total of 590 people were reached at events that included one meeting in each Council District, one citywide meeting held online, and one meeting of unclassified City staff

The department plans to bring the Strategy to the City Council for review and adoption in June 2024.

Issue Date: October 6, 2022

Original Target Date: TBD

Current Target Date: ~~TBD~~ June 2024

Personnel Department

21-006 Performance Audit of Strategic Human Capital Management II: Employee Performance Management (NO) (GT)

Recommendation 1 (Priority 2)

The Personnel Department (Personnel) and Human Resources Department (HR) should work collaboratively to report Employee Performance Review (EPR) completion rates for all eligible employees Citywide in the City’s Annual Workforce Report.

- a. The report should include some sort of breakout capability, such as results by department, type of EPR (e.g., annual, quarterly, etc.), and classified or unclassified status.
- b. Personnel and HR should encourage the lowest-utilizing departments in particular—for example, via additional reminders or targeted trainings of supervisors and managers in those departments.

In Process

This recommendation is in process. According to the Personnel Department, the following tasks are necessary to achieve full implementation.

Task 1: Build a report to identify completed and past due EPR Reports.
 Status: Report is built and is being validated. Planned for March 2024.

Task 2: Personnel to provide HR the completion rates to be included in the City’s Annual Workforce Report.
 Status: Planned for March 2024.

Issue Date: November 25, 2020

Original Target Date: December 2021

Current Target Date: ~~December 2021~~ ~~June 2022~~ ~~December 2022~~ ~~June 2023~~
~~December 2023~~ March 2024

Recommendation 10

(Priority 2)

The Personnel Department (Personnel) should continue its efforts to expand its Employee Performance Review (EPR) Program training as well as more general training opportunities pertaining to discipline processes, for example by creating or expanding virtual attendance options.

- a. Priority for registration should be given to supervising employees who have not taken City courses on supervision or discipline.
- b. The Chief Operating Officer should implement a requirement that departmental appointing authorities require all new supervisors take the EPR Program course within one year of becoming a supervisor. Personnel should develop a mechanism to monitor and report compliance with this requirement such as by requiring departmental appointing authorities to annually report all new supervisors and whether or not they completed such trainings.

In Process

This recommendation is in process. According to the department, the following task is necessary to achieve full implementation.

Task: A new KPI has been added for Fiscal Year 2025 to measure the percentage of new supervisors during the fiscal year (who supervise classified employees as of the last day of the fiscal year) who have taken the employee performance review program training since January 1, 2013.

Status: This new KPI will be included in the Personnel Department’s proposed fiscal year 2025 budget.

Issue Date: November 25, 2020

Original Target Date: December 2021

Current Target Date: ~~December 2021~~ July 2022 ~~December 2022~~ June 2023
Unknown

24-02 Performance Audit of the City’s Classified Employee Hiring Process

(CN) (NT)

Recommendation 1.3

(Priority 2)

The Personnel Department should work with the City Administration to establish a method to regularly provide information on the hiring timeline to the Administration, such as through providing read-only access to NEOGOV or periodic custom reporting that meets the Administration’s needs. The Personnel Department should participate in the creation of any tracking systems or processes necessary to allow the Administration to implement Recommendations 1.2 and 1.6.

In Process

This recommendation is in process. According to the department, the following tasks are necessary to achieve full Implementation.

Task 1: Provide NEOGOV read access with appropriate security roles to select employees in City Administration to perform hiring analytics (e.g., PandA, HR).
Status: Employees in HR and PandA were granted NEOGOV read access in July 2023.

Task 2: Identify how to track interview results, conditional offer dates, and close out hiring process in OHC. Obtain input from City Administration and update training guides.
Status: A Process Guide for tracking interview results in OHC is under review, plan to track offer dates via Online PCR Process and enter in OHC. Planned for July 2024.

Task 3: Continue to send Monthly Vacancy Report with status of requisitions and hiring process status for vacancies to the City Administration. Add data points as needed.
Status: Added a Summary tab to the Monthly Vacancy Report showing the status of all vacancies. For the Citywide Monthly Vacancy Report data is also broken down by Personnel Area.

Task 4: Provide the monthly Vacancy Rate for the City's budgeted/standard hour positions to requesters as needed.
Status: A Citywide ad hoc Spinifex report has been created in SAP to report vacancy rates.

Issue Date: July 18, 2023

Original Target Date: December 2023

Current Target Date: ~~December 2023~~ Unknown

Recommendation 1.8

(Priority 2)

The Personnel Department should identify any changes necessary to better facilitate joint interviews across hiring departments. The Personnel Department should obtain input from the City Administration on what is difficult about the current process and design a process that considers the Administration's input. The Personnel Department should implement these changes or propose changes to the Personnel Regulations or Civil Service Rules to the Civil Service Commission and/or the City Council for their consideration, as necessary.

In Process

This recommendation is in process. The department reported the following steps it will take with planned implementation dates.

Task 1: Create a process guide for the joint interview process.
Status: Planned for March 2024.

Task 2: Obtain input from City Administration on the joint interview process guide.
Status: Planned for March 2024.

Task 3: Bring any rule/regulation changes to the Civil Service Commission and/or City Council as necessary. Revise any forms/documents as needed.
Status: Planned for July 2024.

Issue Date: July 18, 2023

Original Target Date: December 2023

Current Target Date: ~~December 2023~~ July 2024

Recommendation 2.3

(Priority 2)

The Personnel Department should work with the City Administration to develop a hiring process overview and step-by-step guide that depicts the overall hiring process and details what forms must be sent by which specific party at each phase in the hiring process. The Personnel Department should obtain confirmation that the City Administration's point of contact agrees that the process guide is clear, understandable, up to date, and easy for all City stakeholders to locate. The Personnel Department should continue to provide educational outreach to hiring departments on the process, as it currently does, but with the recommended process overview and step-by-step guide.

In Process

The recommendation is in process. The department provided the following tasks that are required to achieve full implementation.

Task 1: Create a step-by-step hiring process guide.
Status: Step-by-Step guide was completed in January 2024.

Task 2: Obtain input from City Administration on the clarity of the guide.
Status: Provided the guide to the Library Department in February 2024 for management staff to review and provide feedback.

Task 3: Post the hiring process guide on the Personnel Department intranet page and disseminate to Hiring Managers in OHC.
Status: Planned for July 2024.

Issue Date: July 18, 2023

Original Target Date: December 2023

Current Target Date: ~~December 2023~~ July 2024

Recommendation 2.4

(Priority 2)

For classified not-sworn positions, the Personnel Department should create a background check, medical check, and drug and alcohol screening process that requires fewer steps and paperwork to be completed by the candidate for hire. For classified not-sworn positions, the Personnel Department should, at minimum:

- a. Review current medical check requirements and confirm with the City Administration that existing requirements for each classification or position still align with City needs. The Personnel Department and the City Administration should consider if provisional hiring, contingent upon the applicant attesting they can perform the necessary job functions and demonstrating as such during the probationary period on the job, would sufficiently mitigate risk for most job classifications and eliminate the need for most medical checks required by the City but not required by stipulations set by outside funding or grants.
- b. Review current drug and alcohol screening requirements and confirm with the City Administration that existing requirements for each classification or position still align with City needs and conform with California Assembly Bill 2188.
- c. Review the forms candidates need to fill out related to criminal history and drug use history and confirm with the City Administration the forms and the content on the forms still align with City needs.
- d. Review the fingerprinting process for background checks and determine if there is a streamlined method for candidates outside of the San Diego area to be fingerprinted for background checks without having to travel to the Personnel Department's fingerprinting machine.

The Personnel Department should present its findings and conclusions from these reviews to the Civil Service Commission and provide the City Administration the opportunity to present comments on those findings and conclusions as well.

If changes to the Personnel Regulations or Civil Service Rules are required to implement these recommendations, Personnel should propose the appropriate changes to the Civil Service Commission and the City Council, as necessary.

In Process

This recommendation is in process. The department reported the following steps it will take with planned implementation dates.

Task 1: Work with City Administration and the Office of the City Attorney to review the background, medical, and drug and alcohol screening process and forms for ways to expedite and simplify the hiring process while adhering to state and feral laws.

Status: A policy is being drafted that will be reviewed by Personnel and City Attorney's Office. Planned for July 2024.

Task 2: Present any recommended changes to the Civil Service Rules and Personnel

Regulations to the Civil Service Commission and City Council.
Status: Planned for December 2024.

Issue Date: July 18, 2023

Original Target Date: July 2024

Current Target Date: ~~July 2024~~ December 2024

Public Utilities Department

19-003 Performance Audit of the Public Utilities Department's Water Billing Operation

(JP)

Recommendation 2

(Priority 2)

The Public Utilities Department (PUD) should periodically assess the strength and effectiveness of their billing control environment. Specifically, to determine the effectiveness of current controls at a macro level, PUD should at least twice a year evaluate the number of implausible readings created and changed, in addition to the number of customers rebilled and the number of customer complaints. PUD could then assess if these numbers are high, identify causes, and adjust controls to address root causes, such as poor meter reader performance. Additionally, PUD should:

- a. Post these metrics and the results of its assessment on its public website as soon as they become available, along with any actions taken to improve the control environment;
- b. Add key performance indicators relating to billing accuracy to its annual budget; and
- c. Report the results of this assessment and billing accuracy performance in its annual budget and to relevant committees and oversight bodies.

In Process

This recommendation is in process. According to the Public Utilities Department (PUD) the following tasks are necessary to achieve full implementation.

Task 1: Post these metrics and the results of its assessment on its public website as soon as they become available, along with any actions taken to improve the control environment.

Status: In process.

Task 2: Add key performance indicators relating to billing accuracy to its annual budget.

Status: Completed. Just waiting to be incorporated into the budget process.

Task 3: Report the results of this assessment and billing accuracy performance in its annual budget and to relevant committees and oversight bodies. (Priority 2)
 Status: In process, will be reporting at an upcoming IROC meeting.

Issue Date: July 26, 2018

Original Target Date: April 2019

Current Target Date: ~~April 2019~~ ~~June 2019~~ ~~April 2020~~ ~~July 2020~~ ~~January 2023~~
~~June 2023~~ ~~January 2024~~ April 2024

**19-019 Performance Audit of the Public Utilities Department
 Customer Support Division Customer Service Office (Call Center)
 (MJ)**

Recommendation 3 (Priority 2)

To improve internal operations and provide best-in-class customer service, the Public Utilities Department’s (PUD) Customer Support Division (CSD) should develop key performance indicators to establish baseline performance and compare them with industry best practice. To that end, if metrics include the use of customer satisfaction surveys, the surveys should be automated and offered in appropriate languages. Additionally, CSD should continually reassess these key performance indicators based on the Customer Service Office (Call Center) capacity (e.g., staffing, etc.) and desired goals. Lastly, CSD should establish and communicate individual and overall Call Center expectations to staff.

In Process

This recommendation is in process. According to the Public Utilities Department (PUD), Amazon Connect call monitoring training is expected to take place in March and supervisor performance dashboards for CSRs are nearly completed. Performance dashboards may be subject to meet and confer. City HR is currently reviewing.

Issue Date: June 4, 2019

Original Target Date: December 2019

Current Target Date: ~~December 2019~~ ~~July 2020~~ ~~January 2021~~ ~~Unknown~~
~~January 2023~~ ~~June 2023~~ ~~December 2023~~ June 2024

20-002 Performance Audit of PUD’s Advanced Metering Infrastructure Implementation

(JP)

Recommendation 3

(Priority 1)

The Executive Steering Committee, in conjunction with the project manager, should develop a deployment plan for the Citywide AMI implementation project, which includes specific and detailed tasks, responsibilities, budgets, and a timeline for completion. Budgets and timelines for completion should be supported by detailed analysis based on realistic assumptions.

In Process

This recommendation is in process. According to PUD, it is currently waiting for the expert consultant, Jacobs Engineering, to complete a feasibility study for the Smart Metering program. The study is expected to be completed in February 2024 and will provide crucial recommendations for implementation of the Smart Metering Program.

Issue Date: July 11, 2019

Original Target Date: January 2020

Current Target Date: ~~January 2020~~ ~~July 2021~~ ~~January 2022~~ ~~June 2022~~
~~July 2022~~ ~~September 2023~~ June 2024

Recommendation 6

(Priority 1)

The Public Utilities Department (PUD) should develop a staffing management plan for meter replacements to enable the department to complete the Citywide AMI implementation on a schedule, as determined by PUD. As part of this plan, PUD should consider:

- A dedicated work group with experienced and stable staff to complete meter replacements; and
- Augmenting City forces with a third-party meter installation provider.

In Process

The recommendation is in process. According to PUD, it is currently waiting for the expert consultant, Jacobs Engineering, to complete a feasibility study for the Smart Metering program. The study is expected to be completed in February 2024 and will provide crucial recommendations for implementation of the Smart Metering Program.

Issue Date: July 11, 2019

Original Target Date: January 2020

Current Target Date: ~~January 2020~~ ~~July 2021~~ ~~January 2022~~ ~~August 2022~~
~~September 2023~~ June 2024

Recommendation 8

(Priority 1)

The Public Utilities Department (PUD) should develop a staffing management plan for endpoint installation and programming to enable the department to complete the Citywide AMI implementation on a schedule, as determined by PUD. As part of this plan, PUD should consider:

- A dedicated work group with experienced and stable staff to complete endpoint installation and programming; and
- Augmenting City forces with a third-party endpoint installation and programming provider.

In Process

This recommendation is in process. According to PUD, it is currently waiting for the expert consultant, Jacobs Engineering, to complete a feasibility study for the Smart Metering program. The study is expected to be completed in February 2024 and will provide crucial recommendations for implementation of the Smart Metering Program.

Issue Date: July 11, 2019

Original Target Date: July 2020

Current Target Date: ~~July 2020~~ ~~January 2021~~ ~~January 2022~~ ~~August 2022~~
~~September 2023~~ June 2024

Recommendation 11

(Priority 2)

The Public Utilities Department (PUD) and the Department of Information Technology (DoIT) should work together to evaluate the EAM Work Manager control environment and ensure the new Work Manager development meets PUD's needs for complete, accurate, and timely data entry for meter replacements. Specifically, these should include controls at the device level that prevent incomplete and inaccurate data from entering the meter replacement workflow. Additionally, this evaluation should include maintaining an awareness of business processes and associated activities, and comprehensive testing of EAM Work Manager for the meter replacement process.

In Process

This recommendation is in process. According to PUD, it is currently waiting for the expert consultant, Jacobs Engineering, to complete a feasibility study for the Smart Metering program. The study is expected to be completed in February 2024 and will provide crucial recommendations for implementation of the Smart Metering Program.

Issue Date: July 11, 2019

Original Target Date: February 2020

Current Target Date: ~~February 2020~~ ~~January 2021~~ ~~Unknown~~ ~~December 2022~~
~~December 2023~~ June 2024

Recommendation 12

(Priority 2)

The Public Utilities Department (PUD) and Department of Information Technology (DoIT) should work together to evaluate the control environment of any application to be used for endpoint installations—such as EAM—and ensure that it meets PUD’s needs for complete, accurate, and timely data entry for endpoint installations. Specifically, these should include controls at the device level that prevent incomplete and inaccurate data from entering the meter replacement workflow. Additionally, this evaluation should include maintaining an awareness of business processes and associated activities, and comprehensive testing of any application to be used for endpoint installation—such as EAM—for the endpoint installation process.

In Process

This recommendation is in process. According to PUD, it is currently waiting for the expert consultant, Jacobs Engineering, to complete a feasibility study for the Smart Metering program. The study is expected to be completed in February 2024 and will provide crucial recommendations for implementation of the Smart Metering Program.

Issue Date: July 11, 2019

Original Target Date: June 2020

Current Target Date: ~~June 2020~~ July 2021 ~~January 2022~~ July 2022
December 2023 June 2024

Recommendation 13

(Priority 3)

The Public Utilities Department should track the causes, resolution, and duration of all exceptions cases resulting from AMI meter replacements, including but not limited to EMMA and the SAP Workflow Inbox, and review the data to perform trending and root cause analyses.

In Process

This recommendation is in process. According to PUD, it is currently waiting for the expert consultant, Jacobs Engineering, to complete a feasibility study for the Smart Metering program. The study is expected to be completed in February 2024 and will provide crucial recommendations for implementation of the Smart Metering Program.

Issue Date: July 11, 2019

Original Target Date: July 2020

Current Target Date: ~~July 2020~~ July 2022 ~~December 2022~~ December 2023
June 2024

21-001 **Follow-Up Performance Audit of the Public Utilities Department's Industrial Wastewater Control Program**

(JP)

Recommendation 4 (Priority 1)

Upon completion of the fee study, the Public Utilities Department should work with the Office of the City Attorney and the Participating Agencies to review and revise, as appropriate, Interjurisdictional Agreements to include fees for service that achieve appropriate cost recovery under the guidelines of Council Policy 100-05 and Administrative Regulation 95.25, as well as Proposition 218. The revised agreements should include mechanisms to adjust fees in response to changes in the cost of service.

In Process

This recommendation is in process. According to the department, there is no substantial update for this reporting period. PUD is still working with Participating Agencies.

Issue Date: July 15, 2020

Original Target Date: November 2020

Current Target Date: ~~November 2020~~ July 2021 August 2022 July 2023
July 2024 December 2024

Recommendation 6 (Priority 1)

The Public Utilities Department should move the Industrial Wastewater Control Program's budget from the Municipal Wastewater Fund to the Metropolitan Wastewater Fund.

In Process

This recommendation is in process. According to the department, there is no substantial update for this reporting period. PUD's January 2023 update indicated that once current negotiations are completed with PA's, PUD will start negotiations on moving IWCP budget from Muni to Sewer Fund.

Issue Date: July 15, 2020

Original Target Date: July 2022

Current Target Date: ~~July 2022~~ July 2023 July 2024 July 2025

Purchasing and Contracting

15-012 **The City Needs to Address the Lack of Contract Administration and Monitoring on Citywide Goods and Services Contracts**

(AR) (KE)

Recommendation 2 (Priority 2)

The Purchasing & Contracting Director should take immediate action to ensure the Target Value control is enforced on contractual purchases. Specifically, the Director should implement the following detective controls:

- Ensure that the report in development will clearly identify orders made without references to the appropriate contract and his staff is trained to utilize the report.
- Create a policy defining the intervals of review and actions taken to correct the control weakness.

Additionally, the Director should review the potential for preventative controls to minimize the circumvention of the Target Value control.

In Process

This recommendation is in process. The Purchasing and Contracting Department (P&C) met with auditors to discuss the current status of the report in development, as well as other controls related to the identified risk.

Task 1: Develop Business Objects report identifying possible POs not tied to contract.
Status: Complete.

Task 2: Develop Contract Administration Guide for contracting departments.
Status: In progress, expected May 2024.

Task 3: Develop internal procedures for Purchase Requisition review and regular review of possible PO errors.
Status: In progress, expected June 2024.

Task 4: Train department staff on Contract Administration Guide.
Status: In progress, expected September 2024.

Issue Date: January 16, 2015

Original Target Date: N/A

Current Target Date: January-2017 June-2017 June-2022 April-2019
 December-2020 December-2021 March-2022 May-2022 August-2022
 March-2023 August-2023 September 2024

15-016 Performance Audit of Citywide Contract Oversight
(AR) (KE)

Recommendation 1 (Priority 2)

To ensure accurate contractual information and supporting documentation are available to Citywide contract administrators and users, the Chief Operating Officer should establish policies and procedures to require:

- a. All City contracts utilize an SAP Outline Agreement to centralize contract information and utilize centralized controls, access and reporting in the Citywide financial system;
- b. The City should track total contract awards in SAP in accordance with the full value of the awarded contract to facilitate accurate controls and reporting;
- c. The configuration of contract terms is standardized in SAP, in accordance to contractual terms, to facilitate better control and reporting across all contract, including the Target Value, Total Award
- d. Value, and Contract Validity Dates; and
- e. Supporting contracting documentation is centralized and stored electronically in SAP, i.e. attaching all contracts and related documentation to an SAP Outline Agreement.
- f. Additionally, the Chief Operating Officer should establish responsibility for training contracting staff in Purchasing & Contracting and Public Works Contracting Group to ensure that information is tracked uniformly in SAP according to the developed policies and procedures.

In Process

This recommendation is in process. The Purchasing and Contracting Department (P&C) met with auditors to discuss the language of the recommendation and how to address the intent of the recommendation as it relates to the risk identified in the audit. According to the department, the following tasks are necessary to achieve full implementation.

Task 1: Develop Contract Administration Guide for contracting departments.
Status: In progress, expected May 2024.

Task 2: Develop internal procedures for initial contract creation within Ariba.
Status: In progress, expected June 2024.

Task 3: Train department staff on Contract Administration Guide.
Status: In progress, expected September 2024.

Issue Date: April 25, 2015

Original Target Date: ~~FBD~~ January 2017

Current Target Date: ~~January-2017~~ ~~June-2017~~ ~~June-2022~~ ~~December-2020~~
~~Unknown~~ ~~December-2021~~ ~~February-2022~~ ~~August-2022~~ ~~March-2023~~
~~September-2023~~ September 2024

Recommendation 2

(Priority 2)

The Chief Operating Officer should establish procedures detailing requirements for contract administrators, defining the responsibilities they have to complete prior to approving invoices for payment and submitting them to Comptrollers for processing. Specifically, the procedures should include:

- a. Develop analytical procedures to ensure that payments are made in compliance with contractual costs and fees.
- b. Attach the pertinent documentation supporting the payment approval in the SAP Invoice as defined in the contract's Quality Assurance Surveillance Plan to ensure the payment can be verified as appropriate.
- c. Establish responsibility for training contract administrators on procedures that must be accomplished prior to recommending or approving invoices for payment.
- d. Establish responsibility for monitoring the contract administrators' responsibilities prior to recommending or approving invoices for payment.
- e. An annual review of the City's contract administration invoice approval process to ensure it is working as intended and effective; additionally, the policies and procedures should be updated as necessary resulting from this review.

In Process

This recommendation is in process. The Purchasing and Contracting Department (P&C) met with auditors to discuss responsibility of recommendation and necessary steps for implementation.

Task 1: Develop training on invoice processing related to goods & services contracts
Status: In progress, expected June 2024.

Task 2: Train department staff on invoice processing related to goods & services contracts.
Status: In progress, expected July 2024.

Revised Target Implementation Date: July 31, 2024.

Issue Date: April 25, 2015

Original Target Date: November 2015

Current Target Date: November 2015 November 2016 June 2017 December 2020 February 2022 August 2022 March 2023 September 2023 July 2024

Recommendation 3

(Priority 2)

The Chief Operating Officer should design policies and procedures detailing a standardized citywide contract administration process to mitigate the City's contractual risks and ensure compliance with contractual terms and receipt of contracted construction, reconstruction, repairs, goods, and services. At a minimum the contract administration requirements should include:

- a. Preparation of a Quality Assurance Surveillance Plan for each contract awarded to be attached and maintained with supporting documentation to the SAP Outline Agreement;
- b. Mandatory training for contract administrators in contract monitoring and ethics; and
- c. An annual review of the City's contract administration oversight process to ensure it is working as intended and effective; additionally, the policies and procedures should be updated as necessary resulting from this review.

In Process

This recommendation is in process. According to the department, the following tasks are necessary to achieve full implementation.

Task 1: Develop Contract Administration Guide for contract managing departments.
Status: In progress, expected May 2024.

Task 2: Train department staff on Contract Administration Guide.
Status: In progress, expected September 2024.

Issue Date: April 25, 2015

Original Target Date: November 2015

Current Target Date: ~~November 2016~~ ~~June 2017~~ ~~December 2020~~ ~~Unknown~~
~~December 2021~~ ~~February 2022~~ ~~August 2022~~ ~~March 2023~~ ~~September 2023~~
September 2024

Recommendation 7

(Priority 2)

The Chief Operating Officer (COO) should require the completion of a standardized performance evaluation upon contract completion for both CIP and non-CIP contracts. Specifically, the COO should develop policies and procedures for vendor performance evaluations that:

- a. Are defined at a high enough level for both the Purchasing and Public Works departments to use and add more detailed information as appropriate;
- b. Define specified periods in a contract lifespan;
- c. Ensure that all evaluations are centrally attached to vendor record, such as the SAP Vendor Master files Attachment;
- d. Ensure that past Vendor Performance is taken into account prior to issuing or renewing contracts with that vendor;
- e. Design a formalized vendor dispute and arbitration process to ensure evaluations are performed equitably; and
- f. Ensure that the process is robust enough to pursue vendor debarment when appropriate.
- g. Additionally, the COO should establish responsibility for training contracting staff in Purchasing & Contracting and Public Works Contracting Group to ensure that information is tracked in SAP in a uniform manner according to the developed policies and procedures.

In Process

This recommendation is in process. The Purchasing and Contracting Department (P&C) met with auditors to discuss the language of the recommendation and how to address the intent of the recommendation as it relates to the risk identified in the audit. According to the department, the following tasks are necessary to achieve full implementation.

Task 1: Develop standardized contract evaluation for goods and services contracts and determine necessary interval for evaluation.

Status: In progress, expected to be implemented in FY25 contracts.

Task 2: Complete draft of vendor debarment code section changes.

Status: In progress, expected September 2024.

Task 3: Update vendor debarment code section.

Status: Contingent on approval of previous step, expected December 2024.

Task 4: Perform evaluations and implement dispute and arbitration process.

Status: In progress, expected July 2025.

Issue Date: April 25, 2015

Original Target Date: N/A November 2016

Current Target Date: ~~November 2016~~ ~~June 2017~~ ~~January 2019~~
~~December 2020~~ ~~Unknown~~ ~~December 2021~~ ~~February 2022~~ ~~August 2022~~
~~March 2023~~ ~~September 2023~~ July 2025

Recommendation 8

(Priority 2)

The Chief Operating Officer should design policies and procedures detailing a vendor debarment process to mitigate the City's contractual risks. At a minimum the vendor debarment process should include:

- a. Defined submission steps and requirement.
- b. Assignment of accountability for the process.
- c. Establishment of a monitoring process.
- d. Designation of a location for and maintenance of the debarred vendor list.
- e. An annual review of the City's debarment process to ensure it is working as intended and effective; additionally, the policies and procedures should be updated as necessary resulting from this review.

Additionally, the Chief Operating Officer should establish responsibility for and provide debarment training for contract administrators and managers. At a minimum the training should identify how, when and to whom they should submit a vendor for consideration of debarment or suspension.

In Process

This recommendation is in process. The Purchasing and Contracting Department (P&C) met with auditors to discuss the language of the recommendation and how to address the intent of the recommendation as it relates to the risk identified in the audit. According to the department, the following tasks are necessary to achieve full implementation.

Task 1: Complete draft of vendor debarment code section changes.
 Status: In progress, expected September 2024.

Task 2: Update vendor debarment code section.
 Status: Contingent on approval of previous step, expected December 2024.

Issue Date: April 25, 2015

Original Target Date: N/A January 2017

Current Target Date: January-2017 June-2017 April-2018 May-2018 April-2019
 January-2020 February-2020 November-2020 December-2021 February-2022
 September-2022 March-2023 September-2023 December-2024

16-016

Performance Audit of Selected Contracts

(AR) (KE)

Recommendation 1

(Priority 3)

Purchasing & Contracting (P&C) should ensure that its new purchase requisition procedures and the forthcoming digital procurement manual include a requirement for review by senior procurement specialist to try to reduce errors in purchase requisitions and purchase orders. An emphasis on ensuring that existing contracts are identified when appropriate should be included in the procedures.

Additionally, P&C should develop a monitoring program that periodically reviews, or spot checks, new purchase orders that have been created and were not tied to contracts. This monitoring process should review all purchasing information and vendor assignment to ensure that there was not a contract available for the goods or services. If errors are identified during the monitoring, staff at the client department and P&C should be further trained to help eliminate such errors.

In Process

This recommendation is in process. The Purchasing and Contracting Department (P&C) met with auditors to discuss the current status of the report in development, as well as other controls related to the identified risk. According to the department, the following tasks are necessary to achieve full implementation.

Task 1: Develop Business Objects report identifying possible POs not tied to contract.
 Status: Complete.

Task 2: Develop Contract Administration Guide for contracting departments.
 Status: In progress, expected May 2024.

Task 3: Develop internal procedures for Purchase Requisition review and regular review of possible PO errors.
 Status: In progress, expected June 2024.

Task 4: Train department staff on Contract Administration Guide.
 Status: In progress, expected September 2024.

Issue Date: April 21, 2016

Original Target Date: November 2016

Current Target Date: ~~November 2016~~ January 2017 June 2017 September 2020
~~December 2021~~ March 2022 September 2022 March 2023 September 2023
 September 2024

Recommendation 2

(Priority 3)

Purchasing & Contracting (P&C) should continue its efforts to obtain and expedite implementation of the catalog software to, among other things, address lapses in contract pricing review of when invoices are processed. P&C should develop a clearly defined and documented plan for training P&C and client department staff as part of the implementation process.

In Process

This recommendation is in process. The Purchasing and Contracting Department (P&C) met with auditors to discuss responsibility of recommendation and necessary steps for implementation. According to the department, the following tasks are necessary to achieve full implementation.

Task 1: Develop training on invoice processing related to goods & services contracts.
 Status: In progress, expected June 2024.

Task 2: Train department staff on invoice processing related to goods & services contracts.
 Status: In progress, expected July 2024.

Task 3: Implement line-item pricing for goods and services contracts.
 Status: In progress, expected January 2025.

Issue Date: April 21, 2016

Original Target Date: November 2016

Current Target Date: ~~November 2016~~ January 2017 June 2017 June 2022
~~December 2020~~ Unknown December 2021 February 2022 November 2022
 March 2023 September 2023 January 2025

**21-002 Agreed-Upon Procedures Related to the Central Stores
Physical Inventory - Fiscal Year 2020**

(DN)

Recommendation 1 (Priority 2)

Macias Gini & O’Connell recommends that the Purchasing and Contracting Department consider procuring handheld devices that are compatible with the SAP inventory record module. These devices can be used to scan the barcodes that already exist on each stock item tag and will allow storekeepers to update inventory records in real-time for their inventory cycle counts and will provide more accurate and timely information regarding inventory record maintenance.

In Process

This recommendation is in process. The department indicated during a meeting in the Fall of 2023 that it purchased a device to begin testing to ensure the scanner would work for its purpose, accommodate their employee’s needs, have compatibility with current City systems, and have the options and abilities to expand and integrate to future system enhancements. The department stated that while the device will work at Central Stores, the Department of Information Technology had further requirements for SANNET connectivity; the department halted further device investigation and proceeded with the initiation of an RFP process to further address and resolve the recommendation. The target date for handheld implementation is December 2024.

Issue Date: September 14, 2020

Original Target Date: April 2021

Current Target Date: ~~April 2021~~ ~~March 2022~~ ~~September 2022~~ ~~June 2023~~
~~September 2023~~ December 2024

Recommendation 2 (Priority 2)

Macias Gini & O’Connell recommends that the Purchasing and Contracting Department develop policies and procedures for obtaining and documenting explanations and related support for any adjustments made to the inventory stock records.

In Process

This recommendation is in process. The department has not provided an update since January 2023. OCA will continue to follow up during the next reporting period.

As of January 2023, the department reported that additional time was required to complete the revised policies and procedures based on the adoption of Warehouse Management.

Issue Date: September 14, 2020

Original Target Date: June 2021

Current Target Date: ~~June 2021~~ ~~December 2021~~ ~~Unknown~~ ~~December 2022~~
~~June 2023~~ ~~December 2023~~ Unknown

21-005 Performance Audit of the Purchasing and Contracting Department's Small Local Business Enterprise Program

(CN)

Recommendation 3

(Priority 2)

We recommend that Equal Opportunity Contracting (EOC) compare the amount awarded in each contract type for each race/gender group to the race/gender makeup of contractors available in the region. Once the disparity study is complete, EOC could use the disparity study's analysis of the makeup of business owners in the region to estimate the anticipated percentage of contract funding that could possibly be awarded to each group in each contract type (construction, architectural and engineering services, and goods and services). If the disparity study is not complete or does not provide sufficient information, EOC management should use countywide race/ethnicity and gender data (either workforce or population data) to make this estimation. EOC should include this comparison in its annual reports. This recommendation does not recommend any preference in contracting based on race or gender, nor does it create or imply a required goal or quota of race or gender in contracts with the City.

In Process

This recommendation is in process. The department reported that staff needs additional time to determine how to utilize the report to address the recommendation.

Issue Date: November 24, 2020

Original Target Date: December 2021

Current Target Date: ~~December 2021~~ ~~June 2022~~ ~~June 2023~~ June 2024

Recommendation 4

(Priority 2)

We recommend the Mayor's Office reposition oversight of the Small Local Business Enterprise (SLBE) program outside the management of the program. Oversight should include necessary expertise on decreasing barriers for businesses owned by women and people of color and should not solely rely upon City contracting expertise or fall to an advisory commission that cannot compel management to action. Oversight should, at minimum, include:

- a. Reviewing and approving the SLBE program's performance measures, including the goods and services participation rate in Recommendation #7.
- b. Ensuring the performance measures and goals of the program align with the program's objectives.
- c. Reviewing the program's progress at meeting performance measures and goals, and increasing the goals at a steady rate to ensure program progress.
- d. Reviewing and approving the goal setting methodology for construction contracts.
- e. Reviewing and approving the template for the annual report to City Council, as referenced in Recommendation #11, to ensure the information is presented in a manner that is clear and details the program's performance.
- f. Reviewing, approving, and seeking regular updates on the progress of the outreach plan in Recommendation #5.

In Process

This recommendation is in process. The department initially reported this recommendation as implemented. The department provided evidence that it has created the recommended oversight committee. However, the department has not provided evidence that the committee has conducted the oversight activities required in the recommendation, such as ensuring the program's performance measures and goals align with the program's objectives. Once the committee has conducted the oversight activities in the recommendation, the department should provide documentation and OCA will confirm the documentation and consider the recommendation implemented.

Issue Date: November 24, 2020

Original Target Date: December 2021

Current Target Date: ~~December 2021~~ ~~June 2022~~ ~~December 2022~~ ~~June 2023~~
June 2024

Recommendation 5

(Priority 2)

We recommend that Equal Opportunity Contracting develop a written, evidence-based plan consistent with the results of the disparity study for increasing outreach and participation in the Small Local Business Enterprise (SLBE) program for small, local businesses and those owned by women and people of color to the extent allowable under the law.

- The plan should include outcome-based performance measures for each program objective. Measures to be considered should include:
 - Registration by businesses owned by women and people of color;
 - The number of businesses that grow out of the emerging local business enterprise category each year;
 - The number of businesses that grow out of the small, local business enterprise category each year; and
 - The number of employees the organization has when applying initially, when renewing their application, and when growing out of the program.
- The plan should be presented to the Citizens Equal Opportunity Commission for input and should include a public hearing with invited speakers from the pool of current registered SLBEs, SLBEs that successfully grew out of the program, and affiliated stakeholder groups, including industry associations and chambers of commerce.
- The plan should create goals and performance measures related to other tools designed to reduce barriers and increase competition in contracting included in the program, such as the mentor-protégé program and the bonds/insurance assistance program.

This recommendation does not recommend any preference in contracting based on race or gender, nor does create or imply a required goal or quota of race or gender in contracts with the City.

In Process

This recommendation is in process. The department reported that staff needs additional time to determine how to utilize the report to address the recommendation.

Issue Date: November 24, 2020

Original Target Date: December 2021

Current Target Date: ~~December 2021~~ ~~June 2022~~ ~~June 2023~~ June 2024

Recommendation 7

(Priority 2)

We recommend the Small Local Business Enterprises (SLBE) program management work with the Purchasing and Contracting Department to create annual performance goals for the percent of goods and services contract dollars awarded to SLBEs. The evaluation of appropriate goods and services SLBE contracting goals should include reviewing the portion of goods and services contracts that are for services that could likely be provided by local businesses.

In Process

This recommendation is in process. The department reported this recommendation as implemented. The department has set an overall goal that 15 percent of eligible construction contracts, architecture and engineering contracts, and goods and services contracts go to SLBE program businesses. However, the department has not set a dedicated goal for the percent of specifically goods and services contracts that will go to SLBE businesses, as stated in the recommendation. Therefore, this recommendation has not been implemented.

Issue Date: November 24, 2020

Original Target Date: January 2022

Current Target Date: ~~January 2022~~ ~~December 2022~~ ~~June 2023~~ June 2024

Recommendation 9

(Priority 2)

We recommend Small Local Business Enterprise (SLBE) program management, in consultation with the appropriate oversight bodies, evaluate the caps on SLBE subcontracting requirements for construction projects annually. Program management should then include the caps in the annual report, with a detailed description of the methodology used to justify the cap, and should include the previous cap amounts over time. This recommendation, however, should not conflict with City policies that require the prime contractor to perform at least 50 percent of the contract.

In Process

This recommendation is in process. The department reported that staff needs additional time to determine how to utilize the report to address the recommendation.

Issue Date: November 24, 2020

Original Target Date: January 2022

Current Target Date: ~~January 2022~~ ~~June 2023~~ June 2024

Recommendation 12 (Priority 2)

We recommend Equal Opportunity Contracting draft written policies for data tracking. Methodologies should be consistent year over year, with any changes documented, and the report should have a written quality control reviewing process to minimize errors and ensure the methodologies for the data used in the report do not distort the conclusions drawn from the data.

In Process

This recommendation is in process. The department reported that staff needs additional time to determine how to utilize the report to address the recommendation.

Issue Date: November 24, 2020

Original Target Date: December 2021

Current Target Date: ~~December 2021~~ ~~June 2022~~ ~~June 2023~~ June 2024

22-001 Performance Audit of the City’s Use of CARES Act Funds
(JP) (DK)

Recommendation 3 (Priority 3)

To ensure the City has followed its own procedures on all Coronavirus Relief Fund-reimbursed procurements, the Purchasing and Contracting Department should bring the portable shower and food service contracts to City Council for approval.

 **In Process**

This recommendation is in process. The department did not provide an update for the reporting cycle. OCA will continue to follow up with the department.

At the September 20, 2023 Audit Committee, Purchasing & Contracting reported that it audited two contracts for the vendor and had to adjust some materials that were posted to the wrong contract. Purchasing & Contracted stated it is moving forward with bringing the contract to City Council for approval.

Issue Date: July 21, 2021

Original Target Date: October 2021

Current Target Date: ~~October 2021~~ ~~March 2022~~ ~~August 2022~~ ~~March 2023~~
~~September 2023~~ Unknown

San Diego Housing Commission

23-07 Performance Audit of the San Diego Housing Commission's Homelessness Services Contract Management

(JP) (AR)

Recommendation 1.2

(Priority 2)

When the San Diego Housing Commission next updates its Statement of Procurement Policy, it should require Statements for Public Disclosure for sole source contracts in accordance with its Conflict of Interest Policy.

In Process

This recommendation is in process. The department reported the following steps it will take to complete the implementation of the recommendation.

The agency reported it completed its review of the Statement of Procurement Policy and added the requirement for Statements for Public Disclosure for sole source contracts. These updates are currently scheduled to be presented to the SDHC Board of Commissioners for approval at the March 15, 2024 Board meeting.

Pending SDHC Board approval, it will go before the Housing Authority for approval. Once the policy is approved by the Housing Authority, the policy will be implemented.

The target implementation date was updated to July 1, 2024.

Issue Date: March 2, 2023

Original Target Date: February 2024

Current Target Date: ~~February 2024~~ July 2024

San Diego Police Department

21-004 Performance Audit of San Diego Police Department's Data Analysis

(JP)

Recommendation 2

(Priority 2)

The San Diego Police Department (SDPD) should update crime report procedures and training materials to improve reporting consistency and to ensure SDPD can switch their reporting to the National Incident-Based Reporting System (NIBRS) as planned—and ahead of other California agencies. This should include requiring officers to report all known offenses in reportable fields.

As procedures are updated, SDPD should provide training and continuous feedback through supervisory review on the updated procedures.

Finally, SDPD should ensure consistency across Divisions in training and supervisory review of crime report data entry.

In Process

This recommendation is in process. According to SDPD, the following task is necessary to complete the implementation of the recommendation.

Task: Department Procedure 6.04, which outlines the specific procedures for reporting consistency, was submitted to the City Attorney in December 2023 for their review and approval. Once approved by the City Attorney, the procedure will require meet and confer with the appropriate unions.

Status: Department Procedure 6.04 is still being reviewed by the City Attorney pending their approval. If the City Attorney approves, Department Procedure 6.04 will go through the meet and confer process with the appropriate union. These reviews and approvals will take time. Estimated completion date is June 30, 2024.

Issue Date: September 28, 2020

Original Target Date: June 2022

Current Target Date: ~~June 2022~~ ~~December 2022~~ ~~December 2023~~ June 2024

Recommendation 4

(Priority 2)

In order to maximize the effectiveness of limited resources, the San Diego Police Department (SDPD) should formally document a requirement for Commanders to include data analysis in planning and evaluation of Division operations, such as analysis of response times, call outcomes, and community-oriented policing efforts. As part of these procedures, SDPD should determine if the analysis is appropriate for public release, document that determination, and publish the analysis if appropriate. SDPD should also provide additional training in evidence-based policing for Commanders.

In Process

This recommendation is in process. According to SDPD, the following task is necessary to complete the implementation of the recommendation.

Task: The technical portion of the public-facing dashboard is now complete. It is pending review and approval from the Chief's Office as well as the Police Officers Association (POA).

Status: The public-facing dashboard is pending review and approval from the Chief's Office and the POA.

The estimated completion date will be March 15, 2024.

Issue Date: September 28, 2020

Original Target Date: June 2022

Current Target Date: ~~June 2022~~ ~~August 2022~~ ~~August 2023~~ March 2024

21-011**Hotline Investigation of Board-Up Services**

(GR)

Recommendation 3

(Priority 3)

We recommend that the San Diego Police Department update its current procedures to include residential properties, a board-up report, a waiver of liability form, details regarding the amount of time officers will spend attempting to contact a responsible person, and appeal procedures.

In Process

This recommendation is in process. According to the department, the draft Procedure 6.10 is pending approval and should be completed by April 2024.

Issue Date: June 24, 2021

Original Target Date: October 2023

Current Target Date: ~~October 2023~~ ~~December 2023~~ April 2024

23-001 Performance Audit of SDPD's Use and Management of Body Cameras

(CN) (DK)

Recommendation 1

(Priority 2)

The San Diego Police Department (SDPD) should amend its body camera procedure to require officers to turn on event mode to record body camera videos for all dispatched events and calls for service, including all incidents directed or self-initiated. SDPD should train all body camera users and supervisors on the new requirement. This recommendation would not impact SDPD's current procedure that requires officers to begin recording while driving to a call and prior to actual contact with a member of the public. Additionally, this recommendation should only impact calls for service and dispatched calls. Therefore, SDPD could keep its current procedure that allows officers to not record suspect interviews if the suspect declines to make a statement due to the body camera being activated and the SDPD procedure that prohibits recordings during contact with confidential informants.

In Process

This recommendation is in process. According to the department, the following task is necessary to achieve full implementation of the recommendation.

Task: Department Procedure 1.49 will require meet and confer process with the San Diego Police Officer's Association.

Status: Once it has been reviewed and approved by the POA and the training has been rolled out, it will be implemented.

The estimated completion date is June 30, 2024.

Issue Date: July 20, 2022

Original Target Date: July 2023

Current Target Date: ~~July 2023~~ ~~December 2023~~ June 2024

Recommendation 2

(Priority 2)

The San Diego Police Department (SDPD) should update the section in Procedure 1.49 related to supervisor reviews of officer videos to ensure supervisors confirm there is a body camera video for all dispatched events for each officer for days selected in the monthly review. SDPD should train all supervisors on the new requirement. This recommendation would not require supervisors to watch additional videos.

In Process

This recommendation is in process. According to the department, the following task is necessary to achieve full implementation of the recommendation.

Task: Department Procedure 1.49 will require meet and confer process with the San Diego Police Officer's Association.

Status: Once it has been reviewed and approved by the POA and the training has been rolled out, it will be implemented.

The estimated completion date is June 30, 2024.

Issue Date: July 20, 2022

Original Target Date: July 2023

Current Target Date: ~~July 2023~~ ~~December 2023~~ June 2024

Recommendation 3

(Priority 2)

The San Diego Police Department (SDPD) should clarify in Procedure 1.49 specifically when officers can stop recording an incident with their body camera. The procedure should clarify the definition of the conclusion of an incident and include examples. SDPD should communicate this procedural update in a department-wide training.

In Process

This recommendation is in process. According to the department, the following task is necessary to achieve full implementation of the recommendation.

Task: Department Procedure 1.49 will require meet and confer process with the San Diego Police Officer's Association.

Status: Once it has been reviewed and approved by the POA and the training has been rolled out, it will be implemented.

The estimated completion date is June 30, 2024.

Issue Date: July 20, 2022

Original Target Date: July 2023

Current Target Date: ~~July 2023~~ ~~December 2023~~ June 2024

Recommendation 4

(Priority 2)

The San Diego Police Department (SDPD) should add to the sergeant reviews section of Procedure 1.49 to require that supervisor reviews include reviewing the end of body camera videos to confirm compliance with procedure. This recommendation would not require supervisors to review additional videos beyond the monthly review process already in place. SDPD should communicate this procedural update in a department-wide training.

In Process

This recommendation is in process. According to the department, the following task is necessary to achieve full implementation of the recommendation.

Task: Department Procedure 1.49 will require meet and confer process with the San Diego Police Officer's Association.

Status: Once it has been reviewed and approved by the POA and the training has been rolled out, it will be implemented.

The estimated completion date is June 30, 2024.

Issue Date: July 20, 2022

Original Target Date: July 2023

Current Target Date: ~~July 2023~~ ~~December 2023~~ June 2024

Recommendation 5

(Priority 2)

The San Diego Police Department (SDPD) should require in Procedure 1.49 that supervisor reviews of body camera videos include watching all videos categorized as BWC Training/Accidental to help ensure they are categorized and retained correctly. SDPD should include this procedural update in a department-wide training.

In Process

This recommendation is in process. According to the department, the following tasks is necessary to achieve full implementation of the recommendation.

Task: Department Procedure 1.49 will require meet and confer process with the San Diego Police Officer's Association.

Status: Once it has been reviewed and approved by the POA and the training has been rolled out, it will be implemented.

The estimated completion date is June 30, 2024.

Issue Date: July 20, 2022

Original Target Date: July 2023

Current Target Date: ~~July 2023~~ ~~December 2023~~ June 2024

Recommendation 7

(Priority 3)

The San Diego Police Department (SDPD) should write and implement a policy or procedure detailing what body camera videos it releases and when, including critical incident videos.

- a. The policy should, at minimum, ensure compliance with state law and be easily understood by the public. The policy should list the types of incidents it is required to release body camera video for and list the reasons there may be exceptions to releasing a video. Exhibit 5 in the Background section of this report provides an example. To clarify that this policy is meant to mirror state law and not contradict state law, SDPD could state that this list is a summary of state law and that state law and subsequent court proceedings supersede the City policy.

- b. The policy should include SDPD's goal of releasing critical incident videos within 10 days of an officer involved shooting.
- c. The policy should require SDPD to disclose when it is only providing the requester a selection of body camera videos related to the incident that it has determined are most relevant, if the requester has asked for all videos related to the incident.
- d. The policy should detail the factors that go into weighing the interest in delaying disclosure against the public interest in disclosure of body camera videos required to be released under California Penal Code Section 832.
- e. SDPD should present the policy to the relevant City Council committee to educate the public on what body camera videos are available for public inspection, what body camera videos are left to the discretion of the Chief of Police, reasons for delay of disclosure of body camera videos, and the process for requesting body camera videos. The presentation should also explain the timeline for critical incident videos compared to the release of all body camera videos and records requested under California Penal Code Section 832.
- f. SDPD should post the policy on its public website.

In Process

This recommendation is in process. According to the department, the following task is necessary to achieve full implementation of the recommendation.

Task: Department Procedure 1.49 will require meet and confer process with the San Diego Police Officer's Association.

Status: Once it is approved by the POA, it will be presented to the relevant City Council committee. The procedure will then be posted on SDPD's public website and this recommendation will be considered implemented.

The estimated time of completion will be June 30, 2024.

Issue Date: July 20, 2022

Original Target Date: July 2023

Current Target Date: ~~July 2023~~ June 2024

23-005

Performance Audit of the City's Towing Program

(NO) (MJ) (NK)

Recommendation 1

(Priority 2)

The San Diego Police Department (SDPD) should present a report to the Public Safety and Livable Neighborhoods Committee and/or City Council periodically on the towing program's operations. The frequency of the report should be prior to each of the City's comprehensive user fee studies (currently conducted every 3 years), as well as prior to issuing or renewing a request for proposal for relevant towing and/or impound contracts. Based on City leadership's input and City Council's

approval of the revised Council Policy in Recommendation 2, SDPD's periodic report should include all the following reporting elements and any others that SDPD deems as essential:

- a. Program overview to include Tow Administration Unit activities, such as training, inspections conducted, and operational changes or upgrades.
- b. Reporting of key program status and statistics:
 - i. Total number of tows and vehicles sold via lien sales, broken out by tow reason;
 - ii. Response times for licensed tow providers;
 - iii. Number of vehicles towed/impounded by location per year;
 - iv. Number of Get It Done requests for 72-hour parking violations;
 - v. Time between vehicle impound and disposition;
 - vi. Number of waivers given, including reasons; and
 - vii. Number of post-storage hearing reversals (i.e., bad tows).
- c. Financial overview and impact to the City and residents:
 - i. Total line-item costs for City labor, tow-ing costs (fees paid to towing providers), dispatch costs, and any other pertinent costs;
 - ii. Total line-item revenues of the program; if revenues are less than costs, include the reason(s) why—e.g., low fees and lien sale losses;
 - iii. Cost recovery percentage and General Fund subsidy due to unrecovered fees and waivers;
 - iv. Average fees accrued;
 - v. Average lien sale price; and
 - vi. Benchmarked user fees and tow rates.

The San Diego Police Department should also present the results of this audit report to the Public Safety and Livable Neighborhoods Committee prior to FY2024 RFP issuance.

In Process

This recommendation is in process. The department reported information is currently being gathered in preparation for presentation prior to FY2026. Communication is ongoing to ensure the desired information is presented. There are 9 steps to complete the recommendation.

Step 1 is to clarify what information needs to be included in the presentation.

Step 2 is to identify the sources where the information can be obtained.

Step 3 is to obtain the information from the sources.

Step 4 is to organize the information into a format that can be easily communicated by the presenter and understandable to the receiver.

Step 5 is to review the information and anticipate any questions that may be raised.

Step 6 is to prepare responses to the anticipated questions.

Step 7 is to have the information reviewed by the Traffic Division's Commanding Officer.

Step 8 is to make any modifications requested by the Commanding Officer.

Step 9 is presenting the information.

Status: We are still planning to implement this recommendation and have no disagreements. Currently, we are in the first step. There are no changes to the steps since the previous follow up cycle. Each of these steps needs to be accomplished in order to provide thorough and accurate information during the presentation.

The target timeframe for completing the remaining steps is May 1, 2025. The target date was chosen in order to meet the requirement of presenting the information prior to FY2026.

Issue Date: November 14, 2022

Original Target Date: July 2023

Current Target Date: ~~July 2023~~ May 2025

Recommendation 2

(Priority 2)

Prior to presentation of the next towing program update, the San Diego Police Department (SDPD) should work with City leadership to present a new or updated Council Policy 500-03 for City Council's approval. The revised Council Policy should codify the frequency of presenting the report, and provide specific guidance regarding information that should be contained in the report. The Council Policy should require that all of the information listed in Recommendation 1 be included in the periodic report, in addition to any other information that SDPD believes is essential. If SDPD determines any of the information listed in Recommendation 1 should not be required by the Council Policy, the staff report and presentation for the proposed Council Policy should include an explanation of why SDPD has determined the information is unnecessary or infeasible to provide.

In Process

This recommendation is in process. The department reported There are seven steps necessary to implement this recommendation.

Step 1 is to obtain a copy of the current policy.

Status: Step 1 was completed on February 6, 2024.

Step 2 is to incorporate the requested changes into the current policy.

Step 3 is to have the new draft reviewed by the Traffic Division's Commanding Officer.

Step 4 is to make any modifications recommended by the Commanding Officer.

Step 5 is to have the draft reviewed by a Police Legal Advisor.

Step 6 is to make any modifications recommended by the Legal Advisor.

Step 7 is to submit the draft for consideration and approval.

Status: We are still planning to implement this recommendation and have no disagreements. Currently, we are in the second step. There are no changes to the steps since the previous follow up cycle. Each of these steps needs to be accomplished in order to provide a thorough and accurate draft for City Council approval.

The target timeframe for completing the remaining steps is May 1, 2024. The target date was chosen in order to allow enough time to complete the review process.

Issue Date: November 14, 2022

Original Target Date: July 2023

Current Target Date: ~~July 2023~~ May 2024

Recommendation 3

(Priority 2)

As the primary department administering the City's towing program, the San Diego Police Department (SDPD) should solicit, compile, and report information to City Council on potential policy options for the towing program. SDPD should solicit, compile, and report information from stakeholder departments, which may include, for example, information on:

- a. Alternative fee models, fee forgiveness options, and/or income-based payment plan options (City Treasurer's Office);
- b. Policy options to mitigate potential impacts on residents or segments of resident populations (Homelessness Strategies and Solutions; Office of Race and Equity);
- c. Legal considerations associated with policy options (Office of the City Attorney);
- d. Potential changes to towing and impound provider contracts (Purchasing and Contracting); and
- e. Enforcement considerations associated with policy options including options for increasing enforcement based on complaint trends, safety considerations, or other factors, as well as enforcement alternatives to towing (SDPD).

SDPD should incorporate the input from stakeholder departments in future towing program updates to City Council, consistent with the reporting frequency set forth in Recommendation 1.

In Process

This recommendation is in process. At the November Audit Committee Meeting, the new towing program administrator, reported that SDPD is now officially employing a progressive enforcement approach in its towing program. While according to SDPD,

it has always had this approach, it has not officially been employed until the last three months. This approach involves trying various methods to achieve parking compliance prior to towing (as a last resort), including tagging a vehicle, citing and monitoring it, and finally towing it. Officers will even knock on doors to encourage people to move their vehicles. SDPD has not updated its policies to formalize its progressive enforcement approach for the towing program.

Changes to the City's towing policy have been considered; however, this effort is currently on hold because changes to the City's towing ordinances for five or more citations and expired registration are dictated by State law. The proposed towing policy changes are on hold pending the outcome of a potential change in State law.

Issue Date: November 14, 2022

Original Target Date: Disagree

Current Target Date: Unknown

Recommendation 4

(Priority 2)

The San Diego Police Department should continue to conduct quarterly performance evaluations for its licensed towing and impound contractors and submit these forms to the Purchasing and Contracting Department for monitoring.

In Process

This recommendation is in process. According to SDPD, there are 2 steps necessary to implement this recommendation.

Step 1 is to visit each of the thirteen contracted tow providers. A written evaluation will be completed for each tow provider during the first step.

Status: Step 1 was delayed due to the implementation of new LTP/LIPs' contracts and a change in the contracted tow dispatch service provider. Those issues have been resolved. The target timeframe for completing the remaining steps is May 1, 2024. The target date was chosen due to personnel availability. Personnel availability is limited due to uncontrollable circumstances, including unit operational responsibilities and medical leave. Evaluations will be conducted on an ongoing and rotational basis.

Step 2 will be to provide those evaluations to the Purchasing and Contracting Department.

Issue Date: November 14, 2022

Original Target Date: Implemented

Current Target Date: ~~Unknown~~ May 2024

Stormwater Department

18-023 Performance Audit of the Storm Water Division

(MJ)

Recommendation 9 (Priority 2)

The Transportation and Storm Water Department Storm Water Division should establish a re-inspection fee, and develop, document, and implement policies and procedures for when reinspection fees should be issued, consistent with the City of San Diego’s Municipal Code.



In Process

This recommendation is in process. The Stormwater Department (Stormwater) state for Project Scoping, in 2019, the Stormwater Planning Division engaged a consultant to evaluate and develop a re-inspection fee for the Industrial and Commercial Inspections programs. This included extensive research into similar fees within the City and other jurisdictions, evaluation of legal avenues for imposing a fee, and development of a stakeholder outreach strategy. They also developed a Fee Implementation Schedule, documentation for the City approval process, and standard operating procedures related to the re-inspection fee.

Status: Completed 2019-2021

Regarding Project Implementation, the department indicated that as a part of the scoping of the workflow and processes that would be needed to implement a cost-recovery program for stormwater re-inspections, the Planning Division identified the need for additional resources to administer the program. A budget request was submitted by the Stormwater Department (Department) as part of the FY24 budget request. However, the request was prioritized against other budgetary needs and was not selected for funding. The additional resources have been included in the Fiscal Year 2025-2029 Five-Year Financial Outlook and have been included in the FY25 budget request.

Status: On hold pending budget request approval.

Issue Date: June 14, 2018

Original Target Date: January 2020

Current Target Date: ~~January 2020~~ ~~July 2021~~ ~~July 2022~~ ~~July 2023~~ July 2024

Attachment D

Recommendations Deemed as In Process and Original Target Dates are Not Due

This attachment includes all recommendations with original target dates that are not due as of December 31, 2023 that are **In Process** of implementation based on the status information provided by the departments or based on auditor review of evidence provided by the departments.

Chief Compliance Officer

24-01 Performance Audit of the City's Brush Management on City-Owned Land

(NO) (MS) (KE)

Recommendation 1.1

(Priority 1)

To improve accountability for brush management on City-owned land, the Chief Operating Officer should adopt and implement an Administrative Regulation that:

- a. Requires the Fire-Rescue Department (Fire-Rescue) to identify and maintain information on the location of lands managed by City departments subject to brush management regulations, and to distribute this information to the relevant City departments; and
- b. Establishes policies and procedures (e.g., requiring the development of periodic workplans with relevant brush management goals, and submittal of these workplans to Fire-Rescue) for Fire-Rescue to proactively monitor City-owned land for compliance with brush management regulations, evaluate the work performed, and provide a publicly-available report of the outcomes to City Council and the Chief Operating Officer.



In Process

This recommendation is in process. The department indicated the following steps were necessary to achieve full implementation.

Step 1: Adopt Administrative Regulation
COO

Step 2: Identify and Maintain information on the location of lands managed by City departments subject to brush management regulations and distribute it to relevant City Departments. A Geotechnical Information Systems Technician under the direction of the Program Manager and Deputy Chief/Fire Marshal of San Diego Fire-Rescue will create a self-certification tool and portal for defensible space requirements in 2024.

In 2023, a general ArcGIS map was created to identify city-owned land, which is available on our website. Successfully implementing this new program will be contingent upon resources (budgeted positions). A concept was developed for the self-certification process, but it is ongoing.

The department hopes to have it completed mid FY25.

Step 3: Conduct a Resource Analysis

The resource analysis was completed. The analysis was focused on meeting the audit recommendations after a review of the Oakland and Santa Barbara Fire Department's programs.

Step 4: Hire and train new resources to oversee the program.

The resources were identified in the Audit Response memo and incorporated into the FY25 budget adjustment.

Step 5: Establish Policies, Procedures, and work plans. Distribute information and evaluate work performed. Provide a publicly available report of outcomes.

Program Manager and Wildfire Mitigation Specialists - The resources were identified in the Audit Response memo and incorporated into the FY25 budget adjustment.

The Fire-Rescue Department is utilizing the City-owned land GIS Map provided by the OCA team. The map and Brush Complaint Process were incorporated into our website: <https://www.sandiego.gov/fire/services/brush>. The Community Risk Reduction Division just went live with our new Fire Inspection Software for inspecting buildings. We are now in discussions about a Defensible Space/Brush Management Self-Certification tool for city-owned land and private land. Information regarding brush management can be distributed through this system via a portal. See the attached email titled Examples of Brush Management Self-Certification Report.

For the Fire-Rescue Department to fulfill Recommendation 1.1b, it is contingent up-on an adopted and Implemented Admin Regulation and resources. We do not have the staffing and resources to fulfill this recommendation. A Fire Battalion Chief (Program Manager), a Geo-Technical Information Systems Technician 2, and Wildfire Mitigation Specialists were part of the resource analysis to meet this recommendation.

We have already identified some points of contact for brush management of city-owned land. We will continue to update these in the event names change.

Target Implementation Date: Fiscal Year 2025 (contingent up-on resource allocation)

Issue Date: July 17, 2023

Original Target Date: June 2025

Current Target Date: June 2025

Recommendation 2.1

(Priority 1)

The Chief Operating Officer should direct the Parks and Recreation Department Open Space Division to incorporate paper streets which require brush management, and that are within or adjacent to land managed by the Open Space Division, into its brush management schedule and program. A Service Level Agreement, Internal Order, or similar re-imbusement mechanism should be established if/as appropriate.

**In Process**

This recommendation is in process. According to Parks and Recreation (P&R), it is meeting regularly with the Transportation department to discuss implementation of this recommendation to incorporate paper streets which require brush management, and that are within or adjacent to land managed by the OS Division, into its brush management schedule and program.

An analysis of the costs to incorporate paper streets in P&R OS Division's program has been completed. Staff estimates that an additional 83 acres would need to be brush managed annually to incorporate Transportation's acres in the existing program. P&R has made a preliminary request for funding for this activity as part of the Fiscal Year 2025 proposed budget development; however, it is not certain whether this request will be included in the Mayor's Proposed Fiscal Year 2025 Budget. This request would fund brush thinning for 360 acres on a bi-annual basis (or 180 acres annually) including 83 acres annually for Transportation and 97 acres annually for P&R developed parks. If the FY25 budget request isn't funded Transportation will continue with current level of service which is handling brush abatement fire referrals, but nothing proactive without referral.

A draft SLA is being prepared between P&R and Transportation should the proposed program become funded.

Issue Date: July 17, 2023

Original Target Date: June 2025

Current Target Date: June 2025

Recommendation 2.2

(Priority 2)

To ensure consistent and effective brush management across all City-owned land, the Chief Operating Officer should consider consolidating brush management responsibilities to the extent operationally and fiscally possible. OCA believes that the Parks and Recreation Department's Open Space Division is best positioned to expand its operations to achieve mandated brush management objectives. However, our assessment does not preclude other approaches that achieve the same objectives. A Service Level Agreement, Internal Order, or similar reimbursement mechanism should be established if/as appropriate.



In Process

This recommendation is in process. Parks and Recreation reported that it has begun to draft a Service Level Agreement between Parks and Rec and Transportation to consolidate brush management responsibilities to the extent operationally and fiscally possible. Additionally, Parks and Recreation reported that other departments with brush management responsibilities have determined that they will keep their brush thinning programs in-house.

Issue Date: July 17, 2023

Original Target Date: May 2024

Current Target Date: May 2024

Chief Operating Officer

24-04 **2023 High Risk Re-Review: Performance Audit of the City's Programs Responsible for Improving Pedestrian Safety**
(NO) (AR)

Recommendation 2.1 (Priority 2)

The Chief Operating Officer should coordinate relevant departments to develop an inclusive public engagement and outreach plan around mobility generally, specifically to include pedestrian safety. The plan should include:

- An update of the Vision Zero Communications Plan;
- Collaboration between operational departments;
- Work with community-based organizations;
- Guidance on translation and interpretation services around Vision Zero; and
- A focus on project-specific information and benefits of past projects.

In Process

This is a new recommendation that was issued within the last three months of the current reporting period and is not expected to be implemented.

Issue Date: October 30, 2023

Original Target Date: Dependent on the allocation of additional resources

Current Target Date: Dependent on the allocation of additional resources

Recommendation 4.1 (Priority 2)

The Chief Operating Officer should create or assign a Vision Zero coordinator, or equivalent position. Staff tasks should include:

- a. Sharing information and coordinating departments on traffic safety issues;
- b. Conducting public engagement and outreach; and
- c. Supporting departments in analyzing traffic safety data.

In Process

This is a new recommendation that was issued within the last three months of the current reporting period and is not expected to be implemented.

Issue Date: October 30, 2023

Original Target Date: Dependent on the allocation of additional resources

Current Target Date: Dependent on the allocation of additional resources

Recommendation 4.2

(Priority 2)

In line with the draft Complete Streets Policy, the Chief Operating Officer should form an interdepartmental mobility governance group to provide oversight and ensure departmental collaboration on pedestrian-safety related projects.

In Process

This is a new recommendation that was issued within the last three months of the current reporting period and is not expected to be implemented.

Issue Date: October 30, 2023

Original Target Date: December 2024

Current Target Date: December 2024

Communications Department**24-04 2023 High Risk Re-Review: Performance Audit of the City's Programs Responsible for Improving Pedestrian Safety**

(NO) (AR)

Recommendation 3.3

(Priority 3)

The Communications Department should work with the Transportation Department to update the City's website to better communicate efforts to achieve Vision Zero. Updates should include, but not be limited to:

- a. Mapped locations and treatments from Recommendation 1;
- b. Progress on identified goals and strategies; and
- c. Project-specific information, such as dates, current status, and locations.

In Process

This is a new recommendation that was issued within the last three months of the current reporting period and is not expected to be implemented.

Issue Date: October 30, 2023

Original Target Date: June 2024

Current Target Date: June 2024

Department of Real Estate and Airport Management

23-002 Performance Audit of Mission Bay and San Diego Regional Parks Improvement Funds, Fiscal Year 2021

(RG)

Recommendation 3

(Priority 2)

To improve oversight and accountability in lease management practices, we recommend: The Department of Real Estate and Airport Management should conduct and document routine site visits of leased properties on Mission Bay Lands at a minimum frequency of once every 3 years to ensure properties are being well maintained and are being operated in accordance with the lease terms. The documentation should include, but not be limited to:

- Verification that insurance certificates are current;
- Verification that rent adjustments are current;
- Verification that sublease operations are properly approved;
- Condition of the leasehold, based on a visual inspection; and
- Potential safety violations or hazard identified based on a visual inspection.

Should staff identify any violations to lease terms, staff should notify lessees in writing and request they cure the issue.

In Process

This recommendation is in process. The department provided OCA with an updated Property inspection report template that includes all items requested. The agents have been sent this document. The agents have been notified that inspections should be completed every three years. The department is going down the list to do inspections.

An internal process/"tickler" in the new real estate software system will be implemented by the end of the year.

Issue Date: August 2, 2022

Original Target Date: July 2025

Current Target Date: July 2025

Recommendation 4

(Priority 2)

The Department of Real Estate and Airport Management should require lessees to submit annual rent rolls to the City to allow City staff to reconcile subleases annually and timely identify expiring subleases or non-approved subleases.

In Process

The recommendation is in process. The department submitted a Legal Service Request (LSR) to the City Attorney's Office to update the standard lease clause language to be include the requirements listed above. It is anticipated that draft lease clause will be provided to staff within the next 30-60 days.

The department indicates that it anticipates the recommendation will be implemented in July.

Issue Date: August 2, 2022

Original Target Date: July 2024

Current Target Date: July 2024

Recommendation 5

(Priority 2)

The Department of Real Estate and Airport Management should include a Facility Condition Inspection clause in future leases involving in-water improvements to ensure that docks, piers, or marinas are being properly maintained.

In Process

The recommendation is in process. The department submitted a Legal Service Request (LSR) to the City Attorney's Office to update the standard lease clause language to be include the requirements listed above. It is anticipated that draft lease clause will be provided to staff within the next 30-60 days.

The department indicates that it anticipates the recommendation will be implemented in July.

Issue Date: August 2, 2022

Original Target Date: July 2024

Current Target Date: July 2024

Engineering & Capital Projects

23-09 Performance Audit of the City's Capital Improvement Project Approval Process

(GT) (DK)

Recommendation 1.1

(Priority 2)

The Engineering & Capital Projects Department (E&CP) and the Department of Finance (DoF), as co-chairs of CIPRAC, should formalize the Preliminary Engineering (P) project phase to provide sufficient time and funding to scope a newly approved CIP project and create an accurate cost estimate and achievable funding strategy. The two departments should lead the effort to either revise an existing and relevant Council Policy, such as Council Policy 000-02, or draft and seek approval of a new Council Policy to require all new projects to start as P-projects unless E&CP and DoF can verify that the new project is "project ready" (i.e., has addressed the elements listed in A. i, ii, iii, and iv below.). The two departments should also ensure supporting process narratives, such as PN-0213, are updated to conform with the new or revised Council Policy.

- a. The new P-project policy should establish stage gates within the P-project phase that will not allow a project to progress past the P-project phase without certain key elements that, based on E&CP and DoF's assessment, would ensure a project is "project ready." E&CP and DoF, as applicable, should define and require the following elements:
 - i. A well-defined project scope;
 - ii. Reasonably accurate total project cost estimates;
 - iii. A realistic funding plan/strategy; and
 - iv. Sufficient preparation for land acquisition and permitting, if applicable.

In Process

This recommendation is in process. According to the department, a review of available process and policy documentation for project creation and funding has been completed. It was determined a new Process Narrative that precedes PN-213 – Project Creation and Release in SAP is the best course of action. This recommendation is on track for a June 30 implementation.

Issue Date: June 1, 2023

Original Target Date: June 2024

Current Target Date: June 2024

Recommendation 1.2

(Priority 2)

The Engineering & Capital Projects Department (E&CP) and the Department of Finance (DoF), as co-chairs of CIPRAC, should work to establish standardized project delivery timelines for projects that have completed the P-project phase and reassess these timelines on a regular basis.

In Process

This recommendation is in process. E&CP reported it has previously developed standard durations for the numerous steps in the project delivery process. These standard durations will aid in establishing standard timelines for full project delivery of specific asset types. Individual project charters are currently being executed to provide an agreed-upon project delivery timeline based on individual project factors. This recommendation is on track to be completed by June 30.

Issue Date: June 1, 2023

Original Target Date: June 2024

Current Target Date: June 2024

Recommendation 1.3

(Priority 2)

CIPRAC should review all S-projects approved prior to the rollout of the P-project initiative in 2018, with a special focus on inactive projects, to assess whether projects are still feasible and whether they still align with the City's goals, needs, expectations, funding plan/strategy, and the requirements of the newly adopted Council Policy 800-14. Once CIPRAC has identified S-projects that do not meet these elements, the committee should develop and present a proposal to the City Council for E&CP to either recategorize such projects as P-projects or request cancellation of such projects.

In Process

This recommendation is in process. According to the department, a list of projects that potentially should be converted has been developed and is under internal evaluation. After a determination is made on the projects, the committee will need to develop and present the proposal to the City Council. This recommendation is reported to be on track for the June 30 completion.

Issue Date: June 1, 2023

Original Target Date: June 2024

Current Target Date: June 2024

Fire-Rescue

24-01 Performance Audit of the City’s Brush Management on City-Owned Land

(NO) (MS) (KE)

Recommendation 1.2 (Priority 2)

The Fire-Rescue Department (Fire-Rescue) should conduct a resource analysis to determine whether it needs additional resources to proactively monitor City-owned lands for compliance with defensible space regulations. Once the analysis is completed, Fire-Rescue should present it to appropriate Council bodies, such as the Public Safety Committee, and make a commensurate request for additional resources during the City’s budget process.



In Process

This recommendation is in process. Fire-Rescue reported that the resource analysis was conducted in fiscal year 2024. They provided documentation showing the request for additional resources during the fiscal year 2025 budget process. The department is scheduled to present its fiscal year 2025 budget to the budget committee in May.

Issue Date: July 17, 2023

Original Target Date: June 2024

Current Target Date: June 2024

Parks & Recreation

22-005 Performance Audit of Equity in Recreation Programming
(AR) (MS)

Recommendation 3 (Priority 1)

To fully recover taxpayer money spent on contracted recreation programs, the Parks and Recreation Department should include contracted recreation programs in its next User Fee Study and increase the program surcharge, if necessary, in order to reach 100 percent cost recovery on these programs.



In Process

This recommendation is in process. The department has not provided an update since May 2023. OCA will continue to follow up during the next reporting period.

As of the prior reporting period, this recommendation is in process. According to the department, it has identified action steps and timelines to implement the

recommendation. It also noted that the last Cost of Service Study was conducted in 2019 to support the last update to the department’s fee schedule in July 2023, and that the next required update is in 2028. The department also noted that in order to address this recommendation, staff will consider when to conduct the necessary steps for a new cost of service study and fee update.

Issue Date: November 10, 2021

Original Target Date: June 2025

Current Target Date: June 2025

24-01 Performance Audit of the City’s Brush Management on City-Owned Land

(NO) (MS) (KE)

Recommendation 2.3 (Priority 3)

Departments with significant brush management responsibilities, such as, but not limited to, the Parks and Recreation Department, Transportation Department, Public Utilities Department, and Fire-Rescue Department, should establish regular periodic meetings to help facilitate and coordinate brush management work and resources.



In Process

This recommendation is in process. The Parks and Recreation Department (P&R) began holding brush management meetings in December 2023. The agenda for the December 2023 meeting includes discussion topics pertaining to facilitation (i.e., creating a proactive brush management program) and coordination (i.e., department property ownership and points of contact) of brush management work and resources. The meeting also includes departments who have brush management responsibilities. Parks and Recreation intends to hold quarterly meetings in March, June, September, and December; it has scheduled the next upcoming meeting for March 2024. This recommendation will be implemented in September 2024, if the scheduled meetings are held.

Issue Date: July 17, 2023

Original Target Date: June 2025

Current Target Date: June 2025

Recommendation 2.4

(Priority 3)

To monitor the effectiveness of contractors' brush management work, the Parks and Recreation Department (Parks and Rec) should:

- a. Obtain input from other departments who also use Parks and Rec's contractors to perform brush management, such as the Transportation Department; and
- b. Continue to conduct quarterly performance evaluations and submit these forms to the Purchasing and Contracting Department for monitoring.

In Process

This recommendation is in process. While Parks and Rec has implemented some of the elements of this recommendation such as completing quarterly contractor evaluations, the department recently (in January 2024) began requesting input from Transportation regarding contractor's brush management work; after the completion of these quarterly evaluations. Once Parks and Rec provides evidence that it requested input from Transportation for three additional quarters' worth of contractor evaluations and the evaluations are sent to Purchasing and Contracting the recommendation will be implemented.

Issue Date: July 17, 2023

Original Target Date: June 2025

Current Target Date: June 2025

Recommendation 2.5

(Priority 2)

The Parks and Recreation Department (Parks and Rec) should conduct a resource analysis to determine whether it needs additional resources to perform brush management activities on paper streets and potentially other lands managed by other departments. Once the resource analysis is completed, Parks and Rec should present it to the appropriate Council bodies, such as the Public Safety Committee, and make a commensurate request for additional resources during the City's budget process.

**In Process**

This recommendation is in process. The Parks and Recreation Department reported an analysis of the costs to incorporate paper streets in P&R OS Division's program has been completed.

Staff estimates that an additional 83 acres would need to be brush managed annually to incorporate Transportation's acres in the existing program.

P&R has made a preliminary request for funding for this activity as part of the Fiscal Year 2025 proposed budget development; however, it is not certain whether this request will be included in the Mayor's Proposed Fiscal Year 2025 Budget. This request would fund brush thinning for 360 acres on a bi-annual basis (or 180 acres

annually) including 83 acres annually for Transportation and 97 acres annually for P&R developed parks.

If the FY25 budget request isn't funded Transportation will continue with current level of service which is handling brush abatement fire referrals, but nothing proactive without referral.

Issue Date: July 17, 2023

Original Target Date: June 2024

Current Target Date: June 2024

Personnel

24-02 Performance Audit of the City's Classified Employee Hiring Process

(CN) (NT)

Recommendation 1.7 (Priority 2)

The Personnel Department should create a centralized bank of job analyses, job factors, and interview questions for all departments to access. The Personnel Department should obtain input from the City Administration on how to develop and maintain this bank so that it is useful to hiring departments.



In Process

This recommendation is in process. The department reported the following steps it will take to achieve implementation of the recommendation by December 2024.

Task 1: Request additional positions to create and maintain centralized item bank.

Task 2: Procure software license to create online item bank.

Task 3: Create procedures on how to populate the centralized item bank along with policies related to access by hiring departments.

This requirement was included as part of the Applicant Tracking System RFP that is currently being evaluated.

Issue Date: July 18, 2023

Original Target Date: December 2024

Current Target Date: December 2024

Recommendation 2.2

(Priority 2)

The Personnel Department should work with the City Administration to streamline the documents it requires departments and applicants to fill out. At minimum, the Personnel Department should:

- a. Make all of its existing forms easily fillable for departments or fillable in an online applicant tracking system;
- b. Reduce duplicative fields across forms or design forms that prepopulate already filled out fields across different pages to reduce duplicated effort;
- c. Minimize the number of documents departments must fill out per candidate for the interview process; and
- d. Ensure all documents clearly state that they can be submitted electronically with electronic signatures.

In Process

This recommendation is in process. The department reported the following steps it will take with planned implementation dates.

Task 1: Identify which conditional offer and hire forms are required for new hires to complete, including federally mandated forms such as the W-4 and I-9, as well as custom City forms.

Status: The department indicated they need to meet and confer on the administration of the Loyalty Oath For, which is planned for July 2024.

Task 2: Make appropriate forms electronically fillable and use clear language so that forms can be submitted electronically with e-signatures.

Status: Webforms have been created for the following pre-hire documents to allow candidates to submit electronically to department payroll specialists so they may submit Online PCRs before the candidate's start date: Personal Data Form, State and Federal tax forms, and statement job not covered by social security.

Task 3: Identify the required/critical parts/documents of the interview process that should be required by the Appointing Authority.

Status: The department identified required vs optional forms, which it will pilot with the Library Department which is planned for December 2024.

Task 4: Utilize online portals for new employees and online software to standardize the onboarding process.

Status: The department indicated that this task is pending completion of the Applicant Tracking System RFP process, which is planned for December 2024.

Issue Date: July 18, 2023

Original Target Date: December 2024

Current Target Date: December 2024

Purchasing and Contracting

24-03 Fraud Hotline Report of Purchase Order Approvals (AH) (GR)

Recommendation 1 (Priority 2)

We recommend that the Purchasing and Contracting Department Director propose an amendment to the San Diego Municipal Code to define procedures for confirming purchase orders, and provide public disclosure of the approved purchase orders, such as reports to the City Council and/or online disclosures. The development of this proposal should consider including dollar limits for confirming purchase orders.

In Process

This is a new recommendation that was issued within the last four months of the current reporting period and is not expected to be implemented.

Issue Date: September 6, 2023

Original Target Date: May 2024

Current Target Date: May 2024

Transportation Department

24-04 2023 High Risk Re-Review: Performance Audit of the City's Programs Responsible for Improving Pedestrian Safety (NO) (AR)

Recommendation 1.1 (Priority 1)

The Transportation Department should annually report out on efforts to improve pedestrian safety made through either the high-crash or systemic safety analysis. Reporting should be publicly available and should include, but not be limited to:

- a. The number of severe injuries and fatalities;
- b. The number of each type of treatment;
- c. Mapped locations of crashes and treatments; and
- d. Analysis of locations of crashes and treatments in relation to the City's Climate Equity Index.

In Process

This is a new recommendation that was issued within the last three months of the current reporting period and is not expected to be implemented.

Issue Date: October 30, 2023

Original Target Date: June 2024

Current Target Date: June 2024

Recommendation 1.2 (Priority 1)

The Transportation Department should complete an updated systemic safety analysis that identifies probable locations and applicable countermeasures that will improve traffic safety.

In Process

This is a new recommendation that was issued within the last three months of the current reporting period and is not expected to be implemented.

Issue Date: October 30, 2023

Original Target Date: June 2024

Current Target Date: June 2024

Recommendation 3.1 (Priority 2)

The Transportation Department should develop a policy for evaluating the impacts of the high-crash and systemic safety analysis programs. The policy should include steps to evaluate program effectiveness on the number of crashes, severe injuries, and fatalities, as well as interim outcomes, such as changes in vehicle speed and near-misses. Results of the evaluations should be made publicly available.



In Process

This is a new recommendation that was issued within the last three months of the current reporting period and is not expected to be implemented.

Issue Date: October 30, 2023

Original Target Date: Dependent upon funding for additional positions

Current Target Date: Dependent upon funding for additional positions

Recommendation 3.2 (Priority 2)

The Transportation Department should evaluate large pedestrian-related infrastructure projects for at least the effect on speeds, volumes, and crash data. It should also consider evaluating for the effect on corridor travel time—including transit travel time—and change in volume on adjacent streets. Additionally, these evaluations should be posted on the City’s website.



In Process

This is a new recommendation that was issued within the last three months of the current reporting period and is not expected to be implemented.

Issue Date: October 30, 2023

Original Target Date: Dependent upon funding for additional positions

Current Target Date: Dependent upon funding for additional positions



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