



Status Report on Implementation of Office of City Auditor Recommendations as of December 2015

June 2, 2016

Seattle Office of City Auditor

REPORT SUMMARY

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We tracked 453 recommendations contained in 48 audit reports issued from January 2007 through December 2015. As of December 31, 2015, 75 percent (337 out of 453) were implemented, 13 percent (60.5 out of 453) were pending, and 12 percent (55.5 out of 453) were categorized as no further follow-up planned.

Status Report on Implementation of Office of City Auditor Recommendations as of December 2015

Status Report on Audit Recommendations

The Office of City Auditor follows up annually on the implementation status of its audit recommendations and reports the results to the City Council. This process provides an opportunity for our office, the City Council, and audited City departments to review the results of our audit work. We appreciate the cooperation of the many City departments involved in this effort.

Scope

Since 2010, we have tracked 453 recommendations contained in 48 audit reports issued from January 2007 through December 2015¹.

This report describes the status of 100.5² recommendations as follows:

- 60.5 recommendations reported as “pending” from our previous follow-up report³,
- 39 new recommendations contained in our 2015 audit reports⁴.

We did not report on the implementation status of 352.5 of the 453 recommendations we tracked because as of our previous follow-up report, their status was categorized as either “implemented” or “no further follow-up planned”. For details on the 352.5 recommendations not included in this report, please see these two previous reports ([Status Report on Implementation of Office of City Auditor Recommendations as of December 2013](#) and [Status Report on Implementation of Office of City Auditor Recommendations as of December 2014, published June 30, 2015](#)).

Methodology

After we complete an audit, we add any recommendations made in it to our tracking database. The next step in our process is to have an auditor identify and verify the status of recommendations by following up with the appropriate City departments and/or responsible individuals and obtaining testimonial or documentary evidence.

In some cases, we go beyond our standard process and perform a more in-depth verification of the extent to which certain audit recommendations have been implemented, and issue a separate report on this work.

¹ See Appendix A.

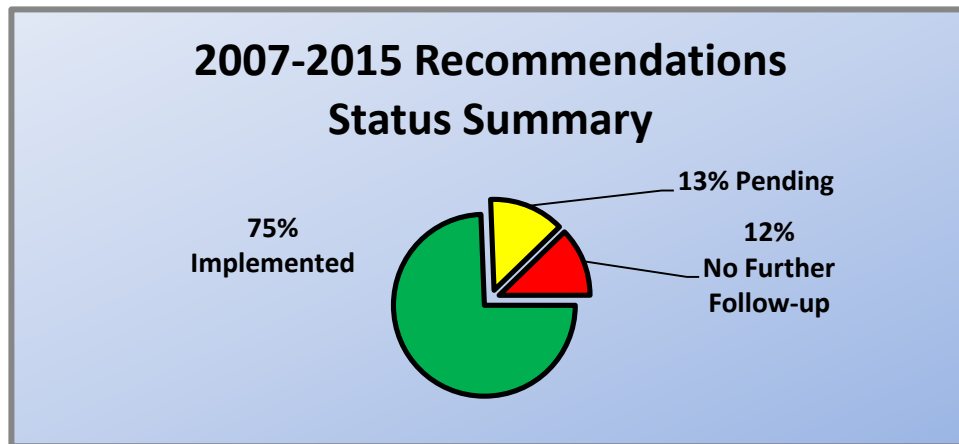
² 100.5 recommendations because we followed-up with two departments on recommendation #352. In our last follow-up report, the implementation status for one of the departments was categorized as “implemented” and for the second department; the implementation status was categorized as “pending”. For this report, we followed-up on the implementation status of the department for which it was categorized as “pending” in our last report.

³ [Status Report on Implementation of Office of City Auditor Recommendations as of December 2014, published June 30, 2015](#)

⁴ Audit of the Seattle Police Department’s Public Disclosure Process (March 16, 2015), Process Evaluation of Seattle’s School Emphasis Officer Program (September 22, 2015), The City of Seattle Could Reduce Violent Crime and Victimization by Strengthening Its Approach to Street Outreach (October 14, 2015), Department of Parks and Recreation’s Oversight of Lease and Concession Agreements (December 10, 2015).

Summary and Results

We tracked 453 recommendations contained in 48 audit reports issued from January 2007 through December 2015. As shown in the chart below, as of December 31, 2015, 75 percent (337 out of 453) had been implemented, 13 percent (60.5 out of 453) were pending, and 12 percent (55.5 out of 453) were categorized as no further follow-up planned.



Categories of Recommendation Status

For reporting purposes, we assigned recommendations into one of the following categories:



Implemented

We reviewed the status information provided by the audited entity and either: 1) agreed that the recommendation or the intent of the recommendation had been met (i.e., with an alternative approach), or 2) concluded that it is in the process of being implemented and we see no barrier to its full implementation.



Pending

We categorized a recommendation as pending when its implementation is in process or is uncertain, and additional monitoring is warranted. In some cases, implementation requires City Council/Mayoral decision(s).⁵



No Further Follow-up Planned

We categorized a recommendation for “no further follow-up planned” when it met one of the following conditions:

1. The recommendation is no longer relevant. (i.e., circumstances have changed, e.g., a program no longer exists)
2. The recommendation’s implementation is not feasible due to factors such as budget and/or staffing limitations, contractual issues, etc.
3. The audited entity’s management does not agree with the recommendation and is not planning to implement the recommendation.
4. The recommendation was considered by the City Council but not adopted.

This year, we did not have any recommendations included in the category of “No Further Follow-up Planned”.

⁵ Please note that in our previous recommendation follow-up reports, we had a designation of “Follow-up Not Yet Due” within the category of pending. This was intended to allow at least six months to a year to elapse before we followed up on a recommendation to give an auditee adequate time to implement the recommendation. As of our report, [Status Report on Implementation of Office of City Auditor Recommendations as of December 2013](#), published April 30, 2014, we eliminated this designation because we no longer wait six months to a year to follow-up. Instead, we follow up on all recommendations for audit reports issued through the end of the calendar year (i.e., December 2015 for this report).

Status of Audit Recommendations as of December 31, 2015

Report Title (publication date)	Rec # ⁶	Description	Status as of December 31, 2015	2015 Update Comments
Seattle Public Utilities (SPU) Billing and Accounts Receivable (AR) – Drainage Fees, Internal Controls Review (February 8, 2007)	21	SPU's memorandum of agreement (MOA) with King County for drainage billing and collection services requires updating.	Pending	Seattle Public Utilities (SPU) reported that: no new action has been taken on this agreement; SPU attempted in 2015 to re-negotiate the agreement with King County and will continue to pursue the issues although SPU believes that it is unlikely that King County will accept any changes to the agreement. SPU also reported that they will try to re-open negotiations with King County in early 2016.
Management of City Trees (May 15, 2009)	163	The City should adopt new tree regulations for tree protection on private property.	Pending	The Seattle Department of Construction and Inspections (SDCI) reported that the Tree Regulation update has been on hold since 2013. SDCI reported that currently there is no specific timeline for the new regulations, and expects to know more about a timeline by the end of 2016.
	164	The Department of Planning and Development (DPD) needs to conduct an analysis to determine resource needs for implementing the new tree regulations.	Pending	The Seattle Department of Construction and Inspection reported that the analysis will be conducted as part of an update to the tree regulations discussed above in the comments for recommendation #163.
Efficiencies Audit: Parking and Traffic Ticket Processing (December 15, 2009)	194	The Seattle Police Department (SPD) should convert from paper to electronic traffic tickets.	Implemented December 2015	The Seattle Police Department (SPD) reported that it has transitioned to SECTOR (Statewide Electronic Collision & Ticket Online Records) for its parking and traffic ticketing processing, and has revised the SPD Policy Manual accordingly (SPD Manual Sections 15.380, 16.230). SPD reported that the use of SECTOR has limitations in that it may only be used when citing traffic violations under the Seattle Municipal Code. This is because the State of Washington cannot accept electronic tickets associated with bookings or criminal traffic offences. For example, SECTOR cannot be used to cite under the Revised Code of Washington, to issue criminal citations, for DUI investigations, or when an investigation includes any of the following: a criminal citation, notice of infraction, impound record, or police traffic collision report.
Follow-up Audit of Workers' Compensation: Return-to-Work Program (June 15, 2010)	216	Each large department should develop a Return-to-Work policies and procedures manual, drafts of which should be routinely reviewed by the Workers' Compensation Unit.	Pending	The Seattle Department of Human Resources (SDHR) reported that several large departments are developing their department-specific Return-to-Work (RTW) manuals; that SDHR's Workers' Compensation Unit (WCU) has established monthly meetings with Citywide RTW coordinators to identify and address training opportunities; and that the WCU has also convened a sub-committee of WCU and RTW coordinator participants to work towards development of a Citywide RTW policies and procedures manual. SDHR also reported that it has prioritized and filled a Workers' Compensation Unit Manager position as of January 2016 to provide a resource for future work.
Seattle Public Utilities (SPU) Revenue Cycle Audit – Wastewater: Internal Controls (April 11, 2011)	244	SPU wastewater rates are high compared to similar municipalities.	Pending	Seattle Public Utilities reported that in 2015, the regional negotiating team, comprised of King County's wastewater processing customers, attempted to re-negotiate 16 different topic areas in their memorandum of agreement with King County. However, there is not agreement yet on the conceptual terms related to the major issue of the capacity charge, which has a direct impact on wastewater rates. Discussion of this issue and other topics will continue into 2016.

⁶This number is the recommendation's assigned number in our tracking database.

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	245	There are issues with King County's sewer processing rates that are resulting in somewhat higher wastewater charges for SPU customers.	Pending	Seattle Public Utilities reported that in 2015 the regional negotiating team, comprised of King County's wastewater processing customers, attempted to re-negotiate 16 different topic areas in their memorandum of agreement (MOA) with King County. However, there is not agreement yet on the conceptual terms related to the major issue of the capacity charge, which has direct impact on wastewater rates. Discussion of this issue and other topics will continue into 2016.
	252	Contaminated stormwater volumes used by SPU for billing purposes are for the most part self-reported by industrial commercial customers to King County and verification of these volumes is limited.	Pending	Seattle Public Utilities reported that the Drainage and Wastewater workgroup is currently drafting a Director's Rule addressing contaminated stormwater.
	257	There are problems with SPU's contract with King County for sewer processing services and related authoritative wastewater guidance.	Pending	Seattle Public Utilities reported that in 2015 the regional negotiating team, comprised of King County's wastewater processing customers, attempted to re-negotiate 16 different topic areas in their memorandum of agreement (MOA) with King County. However, there is not agreement yet on the conceptual terms related to the major issue of the capacity charge, which has direct impact on wastewater rates. Discussion of this issue and other topics will continue into 2016.

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City of Seattle Anti-Litter Efforts (April 19, 2011)	264	Consider curb-to-curb street sweeping to increase street sweeping efficiency and ticketing of illegally parked cars, which could both ensure that streets are clear and help offset the costs of this service.	Implemented April 2009	<p>Our audit discussed innovative efforts that have been successfully implemented in other jurisdictions that Seattle might replicate to abate and/or fund litter-reducing efforts, i.e., a litter tax on cigarettes (San Francisco), advertisements on public litter receptacles (Boston, Chicago, United Kingdom), and potential revenue generation from no parking fines for street sweeping (Washington D.C.). We made this recommendation for SDOT's consideration. In other words, we recommended that SDOT should thoughtfully consider curb-to-curb street sweeping and decide whether to pursue it based on these deliberations; we were not recommending that SDOT should necessarily pursue this approach.</p> <p>Street sweeping in Seattle is a joint SDOT and SPU program; SPU funds sweeping on streets that drain to waterways, removing pollutants before they can be carried to waterways, and SDOT funds sweeping on streets that drain to the wastewater treatment works. SDOT performs the street sweeping and SPU provides performance management to optimize sweeping cost effectiveness. The removal of litter is an ancillary benefit of this activity.</p> <p>SPU and SDOT reported that they considered expanding the City's curb-to-curb street sweeping program and concluded that the benefits in increased removal of pollutants (and litter) will not justify the economic and social costs. A 2009 pilot study ("Seattle Street Sweeping Pilot Study Monitoring Report", April 22, 2009) evaluated the difference between pounds per curb mile of pollutants removed from areas with curb-to-curb parking enforcement (i.e., with signs, ticketing, and towing) to areas without curb-to-curb parking enforcement. SPU reported that the difference in the pounds per curb mile removed was not substantial enough to implement increasing curb-to-curb parking enforcement. The study also included violation rates and other information on Seattle's vehicle "no-park during sweeping" program.</p> <p>SPU reported that it also concluded that parking enforcement for curb-to-curb street sweeping is a significant equity issue that has a greater negative impact on lower economic status neighborhoods compared to wealthier neighborhoods because poorer neighborhoods tend to have less off-street parking.</p> <p>We assessed the follow-up status for this recommendation as implemented because the recommendation was considered by SPU and SDOT.</p>
How Can Seattle Crime Analysis Rise to the Next Level? (January 10, 2012)	268	The Seattle Police Department (SPD) should make more sophisticated use of crime data.	Pending	<p>In February 2016, the Seattle Police Department (SPD) reported that it currently has 8 sworn crime analysts (4 on-loan from patrol and 4 dedicated) and that this level is significantly below the number of analysts suggested by the International Association of Crime Analysts (IACA) formula. In addition, the sworn crime analysts may be pulled off into active duty and are subject to transfer into other units. SPD reported that it recognizes the value of the sworn crime analysts especially for the tactical crime analysis. The more strategic and sophisticated crime analysis is currently handled by a staff of one civilian and two interns in the Data-Driven unit. The Data Driven unit is asking to add two full-time civilian positions for strategic and sophisticated analysis in the 2017-18 budget.</p> <p>SPD reported that in 2015, it began to move to a standardized template for crime analysis products to give the products the same look and feel regardless of the precinct served. SPD reported that it will continue to refine these standardized products, including a standardized bulletin based on the IACA standards. SPD reported that it has also begun the centralization of the Crime Analysis Unit (CAU) in SPD headquarters to make it an analytical hub to which SPD staff can pose requests. The CAU now reports to a single lieutenant who also oversees SPD's Real Time Crime Center (RTCC). SPD reported that in 2016, it anticipates greater integration between the RTCC and the CAU, and that this will allow SPD to continue to increase its capacity for sophisticated strategic analysis.</p>

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	270	SPD should optimize the use of its software tools.	Pending	<p>The Seattle Police Department (SPD) reported that in 2015, it made strides in improving access to data and in dealing with data integrity. SPD reported that the development of the Data Analytics Platform (DAP) is ongoing, with a current focus on data governance, which will provide a portal for ad hoc queries and reports of aggregated data relating to core areas of the Consent Decree the City has with the U.S. Department of Justice. This work will also lay the foundation for other uses of a single integrated data-mart, and the work of Crime Analysis Unit (CAU) and Real Time Crime Center (RTCC) will benefit from the DAP's foundational work.</p> <p>SPD reported that in 2016, its Data-Driven unit will explore the use of a crime analysis front-end tool that can access multiple data-sets and systems, that this tool has a very user-friendly interface and can be used by analysts of various skill levels, and that this might be helpful in streamlining analyst training and minimizing impacts of staff turnover.</p>
	271	SPD should maximize report automation and self-service opportunities.	Pending	<p>The Seattle Police Department (SPD) reported that it has developed internal and externally facing dashboards that are automated and available 24X7; the interactive components include maps, the ability to create ranges, and will also include shots fired data and calls for service data; and that this has freed up Crime Analysis Unit and Real Time Crime Center analysts to do higher level analysis and increases overall access to data by department staff and external stakeholders.</p> <p>SPD reported that throughout 2015 and into 2016, it will continue to develop its external-facing dashboard for crime and calls-for-service data that is available to the public, and that through SEASTAT, the Data Driven unit has been working to help the precinct commanders' familiarity with the public facing dashboard so that they can easily and quickly respond to requests from the public.</p>
Information Technology Security and Risk Assessment of the Seattle Department of Transportation's Traffic Management Center and Control System (July 5, 2012)	278	<p>The Office of City Auditor will work with the Chief Information Security Officer to conduct a follow-up review in 12 months to track the Traffic Management Center's progress on moving up the cyber security management capability scale.</p> <p>[Note: In August 2014 the Office of City Auditor (OCA) and the Department of Information Technology (DoIT) agreed that while OCA will track this item in its follow-up database, the follow-up will be performed by DoIT's Chief Information Security Officer.]</p>	Pending,	<p>The Department of Information Technology (DoIT) reported that the findings of the 2012 assessment have been substantially addressed and remediated. DoIT reported that one finding remains and is being addressed in the following manner: Because invoking wholesale password changes would pose negative operational impacts and result in slower response times to controller outages, a compensating control has instead been applied to ensure the controllers are physically secured and that physical access to the interior of the controller would be required to be able to use the password/capability. The other password/capability is being addressed as the street network infrastructure is upgraded and an encryption certificate can be applied at the network layer.</p> <p>Further, as a secondary effort, DoIT reported that the Seattle Department of Transportation (SDOT) contracted with an external contractor to perform an assessment of its overall security posture of the traffic management environment exclusive of the Siemens system. DoIT reported that remediation of those findings is well underway with work approximately 26% complete. This effort will further enhance the security of the street network infrastructure and improve the overall security related to traffic management.</p> <p>We have asked DoIT to continue to follow-up on and report next year on the status of the assessment conducted by SDOT's external contractor.</p>

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Evidence-Based Assessment of the City of Seattle's Crime Prevention Program (September 6, 2012)	279	SPD should conduct a rigorous review of three programs (School Emphasis Truancy and Suspension Reduction Program, the School Emphasis Program, and the Proactive Gang Program) that appear to resemble programs in other jurisdictions that have been found to worsen crime rather than prevent it (i.e., "backfire effect"). SPD should compare these programs to those studies in the research to examine purpose, methods, procedures and performance measures and identify possibilities for adjusting these three current programs to incorporate methods that demonstrate stronger positive outcomes.	Implemented October 2015	<p>The 2012 report cited three programs with potential backfire effect: The School Emphasis Truancy and Suspension Reduction Program, the School Emphasis Program, and the Proactive Gang Program. The potential for backfire effect for those three programs was related to increased police presence in and around schools. In October 2015, the Office of City Auditor published a report on SPD's School Emphasis Officers Program that discussed this potential backfire risk: http://www.seattle.gov/Documents/Departments/CityAuditor/auditreports/SEOFinalReport100615.pdf</p> <p>Also in October 2015, the Office of City Auditor published a report on the City of Seattle's Street Outreach program. Several evaluations of street outreach efforts in other jurisdictions have been shown to have backfire effects for violent crime. The report recommends refining and rigorously evaluating Street Outreach to ensure that a backfire effect does not occur. http://www.seattle.gov/Documents/Departments/CityAuditor/auditreports/StreetOutreachFinalReport100615.pdf</p>
SPU Water Main Extensions: Internal Controls Review and Fraud Risk Audit (September 7, 2012)	284	SPU should ensure that additional costs are recovered from customers if circumstances warrant this. SPU's contract provisions allow for recovery of actual costs and SPU should enforce this provision. SPU should establish written policies and procedures to ensure periodic review and revision of both standard charges and time and materials (T&M) rates to reflect actual costs. The policies and procedures should specify how often the review is conducted, who should perform the review, who is authorized to make any ensuing adjustments to the charges and/or rates, and how the review and charges and/or rate adjustments should be documented.	Pending	Seattle Public Utilities reported that there is an ongoing internal project addressing standard charges. Once completed, this project will be used to decide who should perform this work, how often it should be performed, and where this type of review and revision of rates will be completed and documented. Procedures are in draft form and once finalized, will include training and implementation. The target completion date is December 2016.

Report Title (publication date)	Rec # ⁶	Description	Status as of December 31, 2015	2015 Update Comments
	290	SPU management should document in their written policies and procedures the requirements for status tracking, cost reviews, reporting, and management oversight of water main extension projects. SPU should document the requirement and the process for conducting variance analyses between planned field costs and actual costs for water main extension projects. This should include when these analyses should occur (e.g., when actual expenses exceed estimated costs by X %), who should perform the analyses, how to document the analyses results, and any subsequent follow-up or actions.	Pending	Seattle Public Utilities reported that all water main projects are tracked and invoiced within its Development Services Office's (DSO)'s Development Services System (DSS). Charter agreements with various groups within SPU are currently being developed and will further address this audit item. Target completion date is December 2016.
City of Seattle Multifamily Tax Exemption (MFTE) Program (September 19, 2012)	293	We recommend that the City examine the relevance, attainability, and measurability of each ordinance goal governing the MFTE program and when necessary, that it modify the goals to ensure they are measurable and achievable and have performance targets and timeframes. Applicable ordinance requirements and the Office of Housing (OH) Director's Rules should be linked to achieving specific goals. OH should work to achieve ordinance goals, as stated in its MFTE 2011 Status Report to the City Council, rather than the three policy goals stated in the MFTE 2010 Status Report, which may conflict with the ordinance goals.	Implemented September 2015	On September 28, 2015, the Seattle City Council passed Ordinance 124877 following review by the City Council Committee on Housing Affordability, Human Services, and Economic Resiliency. Among other actions, this legislation addressed the recommendation that a more achievable, measurable goal is defined for the program. The ordinance revised SMC 5.73.010 – "Purpose" to read: "The purpose of this Chapter 5.73 is to increase the supply of affordable Multifamily Housing opportunities within the City for Low-Income Households and Moderate-Income Households in order to promote fair housing, provide housing choice, and address displacement."

Report Title (publication date)	Rec # ⁶	Description	Status as of December 31, 2015	2015 Update Comments
	305	OH should standardize and automate the annual property certification report form used by property managers to report compliance with program rules regarding tenants, to facilitate the accurate, timely completion of the forms. Automating annual property certification reports with information provided by OH on income and rent maximums would improve their accuracy. Automated reports using a spreadsheet would facilitate comparing maximum rent and income levels to actual rent and income levels.	Implemented August 2015	The Office of Housing (OH) reported that in 2014, they automated their annual compliance reports enabling property managers to complete and submit the report electronically. The annual report was revised to further strengthen compliance monitoring procedures. In August, 2014 OH began requiring that the form be completed and submitted electronically. By 2015, 98% (87 out of 89) of the Multifamily Tax Exemption properties used the electronic annual report form.
	308	The City should modify its agreements with MFTE properties to extend the time that the properties are required to retain income eligibility documents from one year to six years from termination of the tenants' rental agreements. This will ensure that the agreements with MFTE properties are consistent with State law and the City's document retention schedule and document compliance with the City's MFTE program for six years rather than one year.	Implemented September 2015	Ordinance 124877 established SMC 5.73.105 – “Annual Reporting Requirements,” which revised retention requirements as follows: “The Owner shall maintain all certifications and documentation obtained under this subsection 5.73.105.A on file for at least six years after they are obtained, and shall make them available to the City for inspection and copying promptly upon request.” Agreements between the City and future Multifamily Tax Exemption Program participants will reflect this new requirement. The Office of Housing reported that it is confident that this action, taken together with enhanced compliance monitoring and audit protocol described in the Multifamily Tax Exemption Program procedural manual, will address the intent of this recommendation.
	309	The City should consider charging an administrative fee to MFTE property owners to cover the cost of automating reports and improving program oversight.	Implemented September 2015	The State of Washington RCW 84.14 authorizes local jurisdictions to establish an application fee, but makes no reference to an administrative fee. Accordingly, as part of program reauthorization under Ordinance 124877 (September 28, 2015), the City Council amended SMC 5.73.050 – “Application Procedure-Fee” to require a \$10,000 application fee for all projects except those in which affordable units comprise more than 75% of the project's total units. Those in which affordable units comprise more than 75% of the total will now pay a \$4,500 application fee. The resulting revenue will be gradually drawn down over time to help cover ongoing program costs.

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	310	As part of the MFTE annual property certification reporting process, property managers should provide the square footage and rents of their properties' affordable and market rate units. Using this information, OH should evaluate properties for compliance with the "substantially proportional to the configuration" element of the ordinance by ensuring that affordable units are substantially the same size as market rate units and that tenants of MFTE affordable units are not being charged more on a square footage basis than market rate units. Furthermore, the "substantially proportional to the mix and configuration" requirement should be clearly defined by ordinance.	Implemented September 2015	<p>The Office of Housing (OH) reported that it receives information on square footage and rents for both affordable and market-rate units in participating properties' annual compliance reports.</p> <p>Ordinance 124877 amended SMC 5.73 to more clearly ensure that affordable units are substantially proportional to the mix and configuration of all units in a project. These measures:</p> <ul style="list-style-type: none"> a) strengthened application procedures by requiring a second submittal of building plans at point of project completion, and b) established a clear definition of "bedroom" to ensure greater uniformity within unit types. <p>In addition, OH has formalized audit and site visit protocols to verify compliance with requirements for substantial proportionality.</p>
Seattle City Employees' Retirement System (SCERS) Retirement Benefit Calculations (August 8, 2013)	320	SCERS should consider a one-time update of all member data to capture key member information, such as membership date, amount of buy backs, and time loss during specific periods. To minimize the total work involved, such a project should be planned in coordination with plans to implement a new data system.	Pending	Seattle City Employees' Retirement System (SCERS) management reported that SCERS signed a contract with Vitech Systems for a new Pension Administration System (PAS) in November 2015. A one-time conversion of member data to support the business functionality and data requirements of the system is part of the implementation scope. Once implemented, the PAS will be the system of record for member data.

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Seattle Public Utilities: New Water Services (Taps): Internal Controls Review and Fraud Risk Audit (September 24, 2013)	324	Strengthen Controls for New Taps Work Initiated Outside of USG: SPU management should implement written policies and procedures that define the roles and responsibilities of each division in the new taps process: Utility Services Group (USG), Project Management and Engineering Division (PMED), Project Services Division (PSD), and Drinking Water Division (DWD). The agreements should be signed, at a minimum, by division directors. Personnel in each division should be thoroughly trained in the policies and procedures to help ensure compliance.	Pending	We received SPU Policy WTR-435 which documents that the Development Services Office (DSO) business unit has sole authority within SPU over sales of all new services related to water. However, further clarification is needed about what roles and responsibilities, if any, the Utilities Systems Management Branch's Drinking Water Division (DWD) has in new taps work. We will review the policies and procedures when they are completed to determine whether DWD's roles and responsibilities include new taps work, and if so, if their activities are sufficiently coordinated with DSO to maintain adequate controls over invoicing, pricing, and payment handling.
	326	Strengthen Controls Over Creation of the New Taps Service and Work Orders: USG should also engage the cooperation of personnel in the Water Transmission and Operations Division (WTOD) and the water planning team in the Planning and System Support Division to verify that work orders were created by authorized personnel. This could be done, for example, by checking the "UserId" field in the "Status History" screen in Maximo. The "UserId" field is populated with the name of the user who created the CCSS service order and could be checked at the time the work queue is opened by WTOD personnel.	Pending	Seattle Public Utilities reported that it will update its policies and procedures for the Development Services Office to include procedures to verify that only authorized individuals create new taps service orders, and that such verification will take place before approving the Maximo work order.

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	328	Restrict User Access to New Taps Database Applications: Document the system structure, rules, and security access for each of the databases. Provide for backup support of the databases in the event of a system malfunction.	Implemented April 2016	<p>The database application reviewed during the audit is no longer in use. The functions are now controlled by the Development Services System (DSS), which is an application software system based on an Oracle database. Seattle Public Utilities Information Technology (SPU IT) manages and controls user access. The Development Services Office (DSO) Systems lead approves user access based on role and business need. The restrictions are reviewed and updated by the Systems lead on a quarterly basis, or more frequently based on activities such as new employees, responsibility changes, employee moves, or system implementation/upgrade. The Engineering Manager and Water Services Supervisor may also be included in reviews.</p> <p>The DSS is backed up by SPU IT nightly on-site and weekly off-site. There are also “shadow copies” created when files are changed or added at least five times daily that would allow file restores the same day.</p> <p>We received Procedure DSO-WS-08 “DSO Projects and Invoices: Manual Procedures” (effective date April 15, 2016) to address manual procedures used in the event the DSS is inoperable.</p>
Review of City of Seattle’s Civil Rights Enforcement and Outreach (November 20, 2013)	338	SOCR’s enforcement unit should increase its use of automation to help further standardize its investigative process and increase its appearance of objectivity.	Implemented November 2015	<p>In 2014, the Seattle Office for Civil Rights (SOCR) received \$160,000 from the Seattle City Council to develop and implement a case management system (CMS). In 2015, SOCR contracted with Micropact to develop the database and the CMS went “live” on November 4, 2015. The new database allows external customers to file a complaint or question directly to the database and the system sends an email notification and inquiry number to SOCR staff. The inquiry is forwarded to the intake investigator who can contact the customer to gather more information on the complaint or provide technical assistance. If the complaint meets the prima facie elements, the intake investigator gathers the necessary information to draft the charge. CMS also sends notifications to the legal assistant and case investigator when the charge is reviewed and assigned to an investigator. CMS allows investigators to access the database via the web at offsite interviews and to upload files in various formats, which are accessible through a single sign-on (SSO) when logging into the City’s network. CMS allows managers to generate more accurate case reports and to share information for cases that are concurrently filed with the Office of Labor Standards.</p>
	339	SOCR should document that all respondents will be provided with proposed findings and another opportunity to settle the case before SOCR issues a final determination.	Implemented June 2014	<p>The Seattle Office for Civil Rights (SOCR) reported that it typically communicates with both City department and non-City department respondents when it believes it has sufficient evidence for a reasonable cause finding. SOCR does this to facilitate successful resolutions of the issues through settlement agreements before issuing a finding.</p> <p>SOCR reported that from June 1, 2014 through December 31, 2014, it issued draft proposed findings for all reasonable cause findings. During that time, SOCR issued 10 proposed reasonable cause findings. For 9 of the 10 cases, the proposed reasonable cause finding did not change the outcome of the case but resulted in an average increase in case age to 81 days. For one case, the charging party withdrew their case after the proposed finding was issued. Based on these results, SOCR decided not to continue the practice of issuing draft proposed reasonable cause findings. However, it will continue its practice of trying to resolve issues through settlement agreements before issuing findings for both City department and non-City department respondents.</p>

Report Title (publication date)	Rec # ⁶	Description	Status as of December 31, 2015	2015 Update Comments
	340	Consider the following policy options to increase the perception of independence and impartiality: 1) Change the membership requirements of the SHRC and/or the Appeals Panel specified in the Seattle Municipal Code to ensure a broader array of community constituents are always represented, 2) Require that the SHRC commissioners who serve on the Appeals Panel serve as a quasi-judicial body and refrain from advocacy activities, 3) Create a quasi-judicial appeals panel separate from the Seattle Human Rights Commission, 4) Eliminate SHRC's participation in the Hearing Examiner's public hearings of discrimination charges filed by the City Attorney.	Implemented September 2013	The Seattle Human Rights Commission (SHRC) considered the various options for increasing the perception of its independence and impartiality. As a result, SHRC created and implemented a "Checklist" that Commissioners are required to fill out at each monthly SHRC committee meeting for each individual case on appeal. This checklist lists the standards of review and focuses the Commission on the task at hand.
	341	SOCR should consider automating its intake screening process to determine which complaints meet prima facie standards.	Implemented November 2015	The Seattle Office for Civil Rights (SOCR) developed an intake form in November 2015 as a part of its new case management system to ensure that complaints meet prima facie standards before filing. When a customer contacts the office to file a complaint, they are asked to select the issue type (i.e., employment, housing, public accommodations, all-gender restroom), specify the incident location, and provide contact information. The inquiry is sent to the SOCR intake investigator who uses a standard intake form to identify the relevant issues and corresponding prima facie elements. If the elements are met, then the intake investigator will draft a charge based on the issues identified in the intake interview.
	342	SOCR should conduct further research on automated case processing systems used by other jurisdictions and consider increasing its use of automated systems.	Implemented March 2015	In 2014, at the request of the Seattle Office for Civil Rights (SOCR), the Department of Finance and Administrative Services consulted with the Gartner Group, a national information technology research and advisory firm, to research software companies that develop case management software for public and private sectors. Subsequently, MicroPact was awarded the contract to provide SOCR with an automated case management system based on their expertise in developing such systems for other governmental entities. In addition, SOCR added a web-based complaint form system that automatically sends an acknowledgement email and inquiry number to anyone who submits a complaint online and allows investigators to upload investigative documents in various electronic formats for archival purposes.

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	343	<p>Consider the following to streamline processes: 1) allow the SOCR Director to reconsider cases that have been appealed to allow the submission and consideration of new evidence. If a No Cause determination remains, the claimant could appeal the Director's determination to the Seattle Human Rights Commission. 2) modify the appeals rules that specify which cases the SHRC Appeals Panel will address by clarifying that the grounds for an appeal based on the adequacy of the investigation means that new evidence or evidence not considered in the investigation would call into question a SOCR No Cause determination. 3) have the Chair of SHRC and SOCR's Director jointly decide whether appeals should be heard by the Appeals Panel. If there is disagreement, then the SHRC Chair's decision would prevail and the appeal would be heard by the Appeals Panel.</p>	<p>Implemented January 2014</p>	<p>In 2014, the Seattle Human Rights Commission (SHRC) Appeals Chair and the Commission's Co-Chair met with the Director of the Seattle Office for Civil Rights (SOCR) and SOCR's Enforcement Division Director to determine best practice strategies for SOCR and SHRC in response to concerns raised in the audit, including those raised in this recommendation. No action has been taken. However, we assessed the follow-up status for this recommendation as implemented because the recommendation was considered by SOCR and SHRC.</p>
	344	<p>Consider whether the Appeals Panel should remand cases only when SOCR's No Cause Determinations are not supported by a preponderance of the evidence, or when relevant material facts were not considered that would possibly result in a different outcome (i.e., the investigation was not adequate).</p>	<p>Implemented January 2014</p>	<p>The Seattle Human Rights Commission (SHRC) Appeals Chair and the Commission's Co-Chair met with SOCR's Director and Enforcement Division Director to determine best practice strategies for SOCR and SHRC to reduce informational remands and address other concerns raised in the audit. We assessed the follow-up status for this recommendation as implemented because the recommendation was considered by SHRC and SOCR.</p>

Report Title (publication date)	Rec # ⁶	Description	Status as of December 31, 2015	2015 Update Comments
	345	The Seattle Human Rights Commission (SHRC) should consider options for increasing the continuity of membership among Appeals Panel members.	Implemented September 2013	The Seattle Human Rights Commission reported that it continues its standing policy that the Chair of the Appeals Committee attends every Appeals panel in order to ensure consistency in the process. The policy has been expanded to include 6 month rotations of Commissioners on the panel, with the Appeals Chair and one of the two Chairs of the Commission, always attending.
	346	Consider providing SHRC Appeals Panel members with HUD and EEOC-sponsored training.	Implemented December 2013	The Seattle Human Rights Commission has been invited to the annual EEOC [Equal Employment Opportunity Commission] Technical Assistance Program Conferences. Currently, there are no HUD (U.S. Department of Housing and Urban Development) sponsored trainings available for reviewing appeals. In addition, the Human Rights Commission continues to uphold the long-standing policy that no Commissioner may serve on the Appeals Committee until they have completed a full training session with the Seattle City Attorney's Office.
	347	SOCR should revise its mission statement to emphasize the importance of stakeholders' participation and education in the prevention and elimination of discrimination in Seattle. SOCR should receive input from stakeholders representing Seattle's diverse population.	Pending	The Seattle Office for Civil Rights (SOCR) reported that in October 2014, it retained a consultant, Benita Horn, to lead staff discussions regarding SOCR's mission statement. SOCR's management team decided to place a hold on developing the mission statement until it was determined whether the Office of Labor Standards (OLS) would be a part of SOCR and after the OLS and Race and Social Justice Initiative (RSJI) Manager was hired. The hiring process is currently underway for the RSJI Manager.
	350	SOCR should resume producing its annual report to demonstrate its performance in preventing discrimination, conducting outreach, educating both potential claimants and respondents, and enforcing the laws when it finds that discrimination occurred.	Implemented February, 2014	In 2014, the Seattle Office for Civil Rights (SOCR) published a 2013 Annual Report. In 2016, SOCR will issue a 2014 and 2015 Report.

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Assessment of Consolidated Customer Service System (CCSS) Transaction Controls, Policies and Procedures, and Associated Results from CCSS Data Mining Project (April 29, 2014)	352	<p>The Utilities should establish dollar-level limits for customer account adjustments entered by non-supervisors.</p> <p>Note: In our last recommendation follow-up report, this recommendation was made for both SPU and SCL. SCL implemented this recommendation in April 2014. Therefore, we followed-up only with SPU for this report.</p>	Pending	Seattle Public Utilities (SPU) reported that an internal operating procedure was drafted to include adjustment approval limits and signature requirements. This process will only be in place until the new utility customer billing systems, NCIS (New Customer Information System) and CC&B (Customer Care and Billing), are implemented. Once they are implemented, the CC&B system will include an automatic dollar limit for each employee making adjustments. An employee could prepare an adjustment beyond his/her adjustment dollar limit, but the new system will not post that adjustment until after it has been forwarded to a supervisor and received that supervisor's approval.
Seattle City Light Salvage Unit Fraud Risk Audit (June 6, 2014)	367	SCL management should enforce compliance with policies and procedures that require SCL Security personnel to check sales documentation for all customers.	Implemented March 2016	Seattle City Light (SCL) updated their guard orders to require SCL Security personnel to check sales documentation for all customers.
	368	SCL management should require Security personnel to always perform a visual inspection of a customer's purchased materials before the customer exits the facility. (Rec 3.2)	Implemented March 2016	Seattle City Light (SCL) updated their guard orders to require SCL Security personnel to physically inspect the customer's purchased materials (customer load) before the customer exits the facility.
	383	Payments relating to contract sales should be made directly to FAS Treasury, as required by SCL policy. [Recommendation 9.0]	Implemented January 2016	Seattle City Light's Department Policy and Procedures document, which addresses the disposition of surplus materials and equipment (DPP 500-I-700, paragraph 7.3.5), approved January 19, 2016, states that all payments relating to contract sales should be made directly to the Department of Finance and Administrative Services' (FAS) Treasury unit.

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	384	SCL management should annually review and update, as necessary, policies and procedures regarding the disposition of surplus property as required in section 6.10.9 of the policy, and provide adequate training to affected personnel to ensure compliance. [Recommendation 10.0 (1)]	Pending	<p>1. Update of Policies and Procedures: We received copies of updated policies and procedures that address the disposition of surplus property as follows:</p> <ul style="list-style-type: none"> (a) "Updated Sponsorship Process and Standards", dated October 27, 2015; and (b) DPP 500 P I-705 "Disposition of Surplus, Obsolete, Junk, and Scrap Materials, Supplies, and Equipment" dated January 19, 2016. Paragraph 5.6 addresses the disposition of surplus property. <p>2. Training:</p> <ul style="list-style-type: none"> (a) Seattle City Light's (SCL) Chief Financial Officer sent an email on April 1, 2016 to all the relevant officers, directors, and managers regarding the sponsorship standards addressed above. The email highlighted the prohibition of donating funds or surplus property. We received a copy of the email. (b) SCL stated that the warehouse manager will be discussing prohibitions of donating surplus property in accordance with the sponsorship agreement with warehouse employees on April 6, 2016. In addition, the warehouse manager will discuss the policy in DPP 500 P I-705 with warehouse crew chiefs on April 13, 2016. The policy states that the Finance and Administrative Services department shall determine the method of the disposition of surplus property (paragraph 5.6). <p>The update of policies and procedures in #1 has been implemented. This recommendation will remain categorized as pending until we receive evidence that the discussions in #2(b) occurred.</p>
	385	Other policies and procedures that relate to surplus sales operations, such as those drafted by SCL's Security unit, should also be reviewed and updated as necessary, at least annually. [Recommendation 10.0 (1)]	Implemented October 2015	As of our previous follow-up report, the only additional policy and procedure document, which, according to Seattle City Light, completes the list of all policies and procedures that relate to surplus sales, was the "Updated Sponsorship Request Process and Standards". This was approved on October 27, 2015. The last paragraph of this document contains the provision that the Department of Finance and Administrative Services does not allow a utility to donate property.
	388	SCL management should ensure that all personnel involved in surplus sales operations, either directly or indirectly, including managers and supervisors, are trained to understand and follow City policies regarding the donation of surplus assets. SCL should establish procedures as to how to respond to future requests for donations of surplus assets. [Recommendation 12.0]	Pending	See the description of training above in #384. This recommendation remains pending until we receive evidence of the communications for training.

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Seattle's Paid Sick and Safe Time Ordinance Enforcement Audit (October 17, 2014)	389	SOCR should develop a policy that explains when an advisory letter should be sent, and when an investigation or other enforcement tools should be used in addressing allegations.	Implemented February 2015	The Office of Labor Standards (OLS) reported that the Seattle Office for Civil Rights (SOCR) discontinued the use of advisory letters in January 2015. Since then, OLS reported that it developed a new set of enforcement tools and a policy specifying when each tool should be used. The tools include a standard practice of company-wide investigations, individual investigations depending on the circumstances, and beginning April 2016, a 30 Day Letter, and a narrow Compliance Letter for particular complaints that can be resolved quickly (e.g., respectively, workplace poster violations, and simple issues affecting one worker).
	390	When addressing employee complaints with an advisory letter, SOCR should request documentary evidence from the employer to prove that the employer took the necessary action(s) to achieve compliance with the PSST Ordinance.	Implemented February 2015	<p>The Office of Labor Standards (OLS) reported that it no longer uses advisory letters. However, it is meeting the intent of this recommendation through enforcement tools that require investigation, evidence to support the finding (i.e., written and testimonial), and a full remedy and formal closure (e.g., settlement agreement, Director's Order).</p> <p>For Director's Charges, OLS requires information from the employer within 10 days of their receipt of the notice of the investigation. The same practice will apply to narrow compliance letters, which generally involve one issue or one person.</p> <p>For the 30 day letters, used to address very limited Paid Sick & Safe Time (PSST) violations (e.g., failure to post workplace poster), OLS will require evidence of compliance within 30 days of receipt of the letter. If the employer cannot demonstrate compliance and does not commit to compliance via a settlement agreement, OLS will file a Director's Charge.</p>
	391	SOCR should conduct follow-up on closed advisory letter cases, particularly when SOCR made no direct contact with the employee before closing the case.	Implemented February 2015	<p>According to the Office of Labor Standards (OLS), it no longer uses advisory letters and is meeting the intent of the recommendation through enforcement tools that require investigation, evidence to support the finding (written and testimonial), a full remedy, and formal closure (e.g., settlement agreement, Director's Order).</p> <p>Since investigations are initiated by OLS and are company-wide, the office no longer closes investigations due to failure to locate the complainant. If a complainant fails to cooperate or provide updated contact information, OLS will continue to investigate the complaint, as appropriate.</p>

Report Title (publication date)	Rec # ⁶	Description	Status as of December 31, 2015	2015 Update Comments
	392	<p>The City should consider changing its PSST Ordinance enforcement strategy to include conducting investigations without charges and using other underutilized tools in the Ordinance (e.g., monitoring agreements, conducting fact finding conferences) to help employees recover back wages and PSST owed, correct employers' future practices, achieve companywide full compliance, and prevent reoccurrences of noncompliance at the same company. Such change should include clarifying language in the PSST Ordinance (SMC 14.16.080.A.) to allow the enforcement agency to investigate complaints without charges and settle such complaints through a settlements process (SMC 14.16.080. E.).</p>	<p>Implemented December 2015</p>	<p>The Office of Labor Standards (OLS) met the intent of this recommendation through a set of comprehensive revisions to the Paid Sick and Safe Time (PSST) Ordinance that incentivize worker reports of noncompliance, create more protections against retaliation, strengthen enforcement and collections, and increase remedies for workers and civil penalties/fines.</p> <p>Changes to the PSST ordinance clarified the OLS Director's ability to initiate investigations without a complaint. In addition, the PSST ordinance included settlement and compliance monitoring.</p> <p>OLS conducts company-wide investigations as a standard practice. OLS investigates PSST compliance during PSST investigations and also during the investigation of other labor standards ordinances. Upon a finding of noncompliance, OLS assesses back wages owed, requires restoration of PSST, and imposes civil penalties/fines as appropriate.</p> <p>OLS's settlement agreements requires employer training (provided by the OLS business liaison) and compliance monitoring.</p>

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	393	SOCR should routinely determine the extent to which back wages may be owed and include that as part of the settlements.	Implemented October 2014	<p>The Office of Labor Standards (OLS) reported that they are routinely assessing the amount of back wages and Paid Sick & Safe Time (PSST) hours due to an employee in every investigation that results in a finding of noncompliance with accrual, use and carry over provisions. OLS includes this assessment in Director's Orders and settlement agreements.</p> <p>For long-term noncompliance, OLS calculates the amount of PSST that should have accrued for each employee, requires payment of 30 hours for each year of noncompliance, and restores remaining PSST hours. OLS created an administrative rule to formalize this remedy.</p> <p>OLS now includes the following terms in settlement agreements:</p> <p>PSST</p> <ul style="list-style-type: none"> - Restoration of PSST hours that should have accrued during the period of noncompliance, up to three years; - Payment of 30 PSST hours, based on each employee's available accrual, per year of noncompliance, up to three years; - Evidence of notification to employees of available PSST balance each time wages are paid; <p>All labor standards</p> <ul style="list-style-type: none"> - Payment of other remedies established by recent ordinance revisions (e.g. 3x wages due, up to \$5000 payment to aggrieved party for retaliation) - Payment of civil penalties/fines; - Monitored compliance for a specified period of time; - Participation in employer training provided by the OLS business liaison; - Evidence of display of "notice of rights" (i.e., workplace poster); and - Other information that demonstrates compliance
	394	SOCR should augment its individual complaint based approach to addressing non-compliance with a proactive random testing program.	Pending	<p>Revisions to the Paid Sick & Safe Time (PSST) ordinance (see Ordinance 124960, SMC 14.16.070.A.) clarify the ability of the Office of Labor Standards Director to initiate an investigation without a complaint (i.e., directed investigations) and the Office of Labor Standards (OLS) reported that it has begun to address this recommendation.</p> <p>In 2016, OLS will develop a process for initiating directed investigations. OLS reported that it has identified a list of high risk industries to correlate with PSST violations and is establishing a Labor Standards Advisory Commission to provide recommendations for the directed investigation process.</p> <p>OLS is delaying implementation of directed investigations until policies are in place and there is sufficient staffing to handle increased investigations. Currently, the volume of complaint-based investigations is challenging staff capacity. As of December 31, 2015, OLS had three investigators and one lead investigator and 112 company-wide investigations; 48 of these investigations were PSST. In 2016, OLS will hire two emergency investigators for a one-year period.</p> <p>OLS reported that it anticipates directed investigations to begin in 2017.</p>
	395	The City Council should modify the PSST Ordinance to include language about maintaining complainant confidentiality and clarify that investigations can be conducted without charges.	Implemented December 2015	<p>The Office of Labor Standards (OLS) met the intent of this recommendation by drafting a policy that protects the identifying information of complainants and witnesses during and after the investigations and proposing ordinance revisions that require confidentiality (to the extent permitted by law) of employees and other persons reporting violations that were adopted in Ordinance 124960. See SMC 14.16.070.B. OLS started these practices in April 2015, in accordance with confidentiality requirements in the Wage Theft Ordinance, SMC 14.20.</p> <p>OLS also made revisions to the Paid Sick and Safe Time (PSST) ordinance that permit broad authority to conduct investigations without charges, See SMC 14.16.060 and 14.16.070.</p> <p>Notably, Seattle Human Rights Rules, Chapter 40, already provided SOCR/OLS the authority to conduct investigations without charges, See SHRR 40-205. This provision existed at the onset of PSST implementation in September 2012 but at the time the audit was conducted, no investigations without charges had been initiated.</p>

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	396	SOCR should invite advisory letter process participants to complete a customer satisfaction survey.	Implemented January 2014	The Seattle Office for Civil Rights (SOCR) /Office of Labor Standards (OLS) began using customer service surveys for OLS cases in 2014.
	397	SOCR should develop and use a more relevant advisory case performance goal than its current 180 day goal that is based on the number of days to close charge cases.	Pending	The Office of Labor Standards reports that, with the development of its new enforcement policy and enforcement tools, it is considering a metric for closure of 60 days for the 30 Day Letter that will address notice and workplace poster violations.
	398	SOCR should link its planned outreach activities to specific outcomes or goals and consider working with organizations with greater access to difficult-to-reach populations, such as community-based organizations.	Implemented October 2015	<p>The Office of Labor Standards (OLS) reported that it established three outreach goals targeting low wage workers and small businesses with a focus on minority, immigrant and refugee-owned businesses. It further reported that it will be keeping track of several metrics for the Community Outreach and Education Fund, including the number of communication and outreach activities conducted, training events held for targeted communities, and the number of worker consultants and intakes conducted. Among its metrics, OLS will include a quantitative description of successful outreach and education activities, challenges and solutions, and the support and assistance businesses need from OLS to be more effective.</p> <p>With regard to working with organizations with greater access to difficult to reach populations, OLS met the intent of this recommendation by creating a Community Outreach and Education Fund that establishes partnerships with community based organizations for worker outreach.</p> <p>In September 2015, OLS selected ten different organizations and community partnerships to receive \$1 million in total in Seattle City Council funding to provide outreach, education and technical assistance to Seattle’s workers about their labor standards rights. In October 2015, organizations began their work, and contracts end on December 31, 2016.</p> <p>OLS reported that these partnerships will strengthen labor standards outreach to Seattle’s workers, particularly those workers most likely to experience labor standards violations – female workers, workers of color, immigrant and refugee workers, LGBTQ (Lesbian, Gay, Bisexual, Transgender, and Queer) workers, and youth. Activities include door-to-door outreach, hosting community-based education events, developing training materials to educate workers and other organizations about Seattle’s labor standards, and providing labor rights intake, counseling, and referral for workers experiencing labor standards violations. Each organization and partnership emphasizes reaching out to low-wage working communities that disproportionately experience workplace violations.</p> <p>In 2016, OLS will develop and issue a Request for Proposals (RFP) for a Business Outreach and Education Fund. This fund will award \$275,000 to business organizations to conduct labor standards outreach and education for small, minority, and immigrant owned businesses. The RFP process will be similar to the Community Outreach and Education Fund.</p>
	399	To improve the targeting of its outreach efforts, SOCR should collect and track demographic information from participants at outreach events and from the complainants and respondents involved in the advisory letter process.	Implemented October 2015	<p>The Office of Labor Standards (OLS) met the intent of this recommendation by developing a voluntary, demographic questionnaire that is distributed to complainants during the OLS intake and following the OLS investigation. In addition, OLS and community based organizations ask participants at outreach events to sign a voluntary, inclusion sign-in sheet.</p> <p>In April 2015, OLS started systematically tracking employer technical assistance inquiries on a spreadsheet. This tracking system documents the employer contact information, description of the question, brief summary of OLS’s response, tier size, industry and other items.</p> <p>OLS also is considering development of a survey to accompany responses to email requests for technical assistance The survey would be a link at the bottom of the email to an on-line survey regarding customer feedback and demographic information.</p>

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	400	SOCR should work with other City departments, such as Finance and Administrative Services and the Office of Economic Development, to better inform businesses about how to comply with the law, by such means as sending annual emails to employers with business license renewals, and establishing links to PSST compliance information on all relevant City web sites.	Implemented October 2015	<p>The Office of Labor Standards (OLS) actively partners with the Department of Finance and Administrative Services (FAS), the Office of Economic Development (OED), the Office of Immigrant and Refugee Affairs (OIRA), the Human Services Department (HSD), the Department of Neighborhoods (DON), and the Seattle Department of Human Resources (SDHR). Examples of partnering activities include:</p> <p>FAS:</p> <ul style="list-style-type: none"> • Ensuring that City contractors for public works projects are meeting Paid Sick and Safe Time (PSST) requirements. • Creating “Know your Rights” cards for FAS contract analysts to distribute to workers during onsite visits and FAS is creating a “Social Equity Handout” with information on PSST and other labor standards requirements to distribute to potential and current contractors. FAS also has committed to adding information about PSST and other labor standards in public works and consultant contracts. OLS led a PSST training for over 150 potential contract bidders at a FAS Construction Expo and OLS led a second PSST training for FAS staff. • Adding a check box on on-line business license renewals that alerts employers to PSST and other labor standards requirements. • Placing a bright yellow insert, designed by OLS, about labor standards in the 2016 annual business license renewals, reaching over 48,000 employers • Using the business license database for outreach (e.g., mailings and research) • Placing labor standards information and OLS links on the Business License application process, licensing website and regulations website. <p>OED:</p> <ul style="list-style-type: none"> • Consulting with OED Business Services staff on outreach and business policy issues • Providing employer trainings with the Workforce Development team • Placing labor standards information on OED’s web site, Ten Essential Steps to Starting A Business, and including notices of OLS events on its online, Daily Digest newsletter <p>OIRA:</p> <ul style="list-style-type: none"> • Assisting OLS with ethnic media placement and translations of printed materials • Selecting OLS to participate in a pilot group of City departments working on language access <p>HSD:</p> <ul style="list-style-type: none"> • Meeting with HSD to discuss PSST compliance with HSD contractors. <p>DON</p> <ul style="list-style-type: none"> • Working with DON for possible selection of PSST and Minimum Wage as focus options for the PACE training program for community leaders. This year, they have 5 cohorts (24 members) that will outreach to small business to: Lake City, University District, Hillman City, Capitol Hill, Little Saigon or South Park. <p>SDHR</p> <ul style="list-style-type: none"> • Working with SDHR to set up a training for human resources personnel on Fair Chance Employment and PSST obligations.

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	401	If the City Council anticipates requesting future compliance audits of the PSST Ordinance or other labor laws that require City enforcement, it should consider whether it wishes to include explicit language in the ordinance(s) allowing the Office of City Auditor to conduct such audits of employer records to facilitate the auditing of private businesses.	Implemented July 2015	On July 13, 2015, the Seattle City Council passed Ordinance 124809 , to provide the Office of City Auditor (OCA) independent audit authority including access to employer records, after a case is closed by the Seattle Office for Civil Rights (SOCR). This was done to allow OCA to evaluate SOCR's enforcement efforts of the City's four labor standard laws: Paid Sick and Safe Time, Minimum Wage, Administrative Wage Theft, and Job Assistance. The Ordinance was signed into law by the Mayor on July 17, 2015.
Supporting a Future Evaluation of the Seattle Youth Violence Prevention Initiative (SYVPI) (October 24, 2014)	402	Clearly identify target population and evaluate community need based on available data.	Pending	The Human Services Department published a needs assessment related to youth violence in January 2016 (See http://www.seattle.gov/Documents/Departments/HumanServices/Reports/Final_SYPVI_NeedsAssessment.pdf). The Human Services Department and Mayor's Office will use this needs assessment to inform their approach to addressing youth violence and evaluating those efforts.
	403	Develop a coherent logic model that directly aligns with overarching initiative goals	Pending	The Human Services Department published a needs assessment related to youth violence in January 2016 (See http://www.seattle.gov/Documents/Departments/HumanServices/Reports/Final_SYPVI_NeedsAssessment.pdf). The Human Services Department and Mayor's Office will use this needs assessment to inform their approach to addressing youth violence and evaluating those efforts.
	404	Identify feasible evaluation methods.	Pending	The Human Services Department published a needs assessment related to youth violence in January 2016 (See http://www.seattle.gov/Documents/Departments/HumanServices/Reports/Final_SYPVI_NeedsAssessment.pdf). The Human Services Department and Mayor's Office will use this needs assessment to inform their approach to addressing youth violence and evaluating those efforts.
	405	Identify an appropriate comparison group.	Pending	The Human Services Department published a needs assessment related to youth violence in January 2016 (See http://www.seattle.gov/Documents/Departments/HumanServices/Reports/Final_SYPVI_NeedsAssessment.pdf). The Human Services Department and Mayor's Office will use this needs assessment to inform their approach to addressing youth violence and evaluating those efforts.
	406	Develop robust data collection and methods.	Pending	The Human Services Department published a needs assessment related to youth violence in January 2016 (See http://www.seattle.gov/Documents/Departments/HumanServices/Reports/Final_SYPVI_NeedsAssessment.pdf). The Human Services Department and Mayor's Office will use this needs assessment to inform their approach to addressing youth violence and evaluating those efforts.
Audit of the Seattle Police Department's Public Disclosure Process (March 16, 2015)	415	SPD should create a new position to handle the Public Disclosure Unit Supervisor's current case load of complex requests.	Implemented September 2015	Funding was identified for a new position in February 2015 and the new employee started work in September 1, 2015. The new employee provided significant support for implementation of the new Records Request Center (GovQA). The new employee also received basic training on the Public Disclosure Unit Manager's assigned requests (SPD Personnel and the Office of Professional Accountability) and started processing these requests independently in January 2016.

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	416	<p>SPD should implement a new request management system for the intake and tracking of public records requests. In developing its set of system requirements and software options, the Department should carefully consider the work already completed in this area by multiple other jurisdictions. Key system capabilities should include:</p> <ul style="list-style-type: none"> • A public portal that allows requestors to submit public records requests online and automates Public Disclosure Unit intake processes, • Ability to electronically route requests through all phases of processing, including research and review, • Automated tracking of activities related to request handling, • Clear and searchable documentation of records provided, and • Tracking of processing time and staff resources. 	<p>Implemented March 2016</p>	<p>The Seattle Police Department (SPD) publicly launched GovQA in March 2016. GovQA is a cloud based solution for records requests. Using GovQA, customers can make and track records requests, pay for and receive records, and communicate directly with Public Disclosure Officers (PDOs) online. GovQA provides PDOs with an intake queue through which they can review each request and assign it to a PDO. Using this system, PDOs can electronically request records such as photos, videos and 911 calls, directly from the record providers (i.e., other units within SPD). GovQA gives PDOs the ability to track multiple requests at a time and ensure that they meet deadlines. The system provides constant, automated, communication to the customer on the status of their request. It also requires PDOs, as well as record providers, to enter in processing time for each request. GovQA provides documentation of each request from start to finish. The Public Disclosure Unit and other involved staff can search within and across requests to locate particular documentation.</p>
	417	<p>For records maintained by SPD's Communications Center, such as 911 call recordings, assign a dedicated Communication Analyst to the Public Disclosure Unit (PDU) who reports to the PDU manager and understands Communication Center records and the Public Records Act.</p>	<p>Pending</p>	<p>Obtaining this position is a priority for the Public Disclosure Unit (PDU), which routinely receives requests for 911 recordings and information that must be extracted from Computer Aided Dispatch (CAD) by Seattle Police Department Communications Center staff. This process creates a bottleneck that slows public disclosure request processing. Communications Center staff struggle to both fulfill their mission and respond to public disclosure requests. Given these constraints, the high volume of public disclosure requests processed by Communications Center staff, and the need for the analyst who is fulfilling a public disclosure request to fully understand public disclosure requirements, the Office of City Auditor supports prioritizing this recommendation.</p>

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Report Title (publication date)	Rec # ⁶	Description	Status as of December 31, 2015	2015 Update Comments
	418	For records maintained by SPD's Video Unit, such as in-car video recordings, assign a dedicated Video Specialist to the Public Disclosure Unit (PDU) who reports to the PDU manager and understands SPD's in-car video records and the Public Records Act.	Pending	<p>Although some efficiencies in data exchange between the Video Unit and the Public Disclosure Unit (PDU) were achieved with GovQA's implementation, significant inefficiencies still exist in the processes used to identify and redact exemptions because of the multi-step, duplicative process the Seattle Police Department employs. Currently, the PDU reviews each video for exempt content, notes video and audio portions that need to be redacted, and transmits the notations to the Video Unit. The Video Unit then redacts the video using PDU redaction notations and returns the video to PDU. PDU reviews the redacted video to ensure it has been accurately redacted and releases the redacted video to the requestor. Assigning a Video Specialist to PDU would eliminate duplicative steps resulting in more efficient request processing.</p> <p>Additionally, based on their experience with the body worn camera pilot project, the PDU expects requests to increase with the full implementation of this program. Implementation of this recommendation should reduce the inefficiencies related to redactions and assist the PDU in keeping up with an increasing workload.</p>
	419	For records maintained by SPD's Photo Unit, such as copies of photographs and digital audio statements, train SPD Photo Unit Staff in the requirements of the Public Records Act, and clarify roles and responsibilities of PDU and Photo Unit staff members for searching for requested records.	Implemented March 2016	Procedures and roles were clarified with GovQA's implementation. Additionally, Seattle Police Department managers told us that Photo Unit staff have been trained on the steps to be taken whenever they receive an activity request from GovQA – i.e., when they are asked to search for and provide photos in response to a public disclosure request.
	420	To ensure that the Public Disclosure Unit (PDU) can quickly locate and compile requested records from throughout the Seattle Police Department's (SPD) sections, all SPD sections should designate a single contact to work with the PDU.	Implemented March 2016	With the launch of GovQA, each Record Provider within the Seattle Police Department (SPD) has been entered into GovQA so that the SPD Record Provider receives automated emails when records are needed from them. For example, if a Public Disclosure Officer needs records from Homicide, they select "Homicide" within the GovQA system and an email goes directly to the contact for Homicide. These lists of SPD Record Providers are maintained by the Public Disclosure Manager to ensure that they are always up to date. There are currently fifty-four SPD Units included on the lists as Records Providers.
	421	SPD should assign a sworn officer to act as a PDU liaison to help locate and obtain copies of records.	Pending	<p>The Seattle Police Department (SPD) reported that for SPD employees who do not respond to Public Disclosure Unit (PDU) requests in a timely manner, the PDU has implemented a procedure to escalate the need for requested records up through SPD's chain-of-command. This has significantly reduced the PDU's need to send multiple requests to SPD Record Providers to obtain responsive records.</p> <p>Due to recent organizational changes, the need for a dedicated sworn officer as a liaison to the PDU is still to be determined. The Office of City Auditor will follow up in a year to identify what actions, if any, SPD has taken to address this issue.</p>

Report Title (publication date)	Rec # ⁶	Description	Status as of December 31, 2015	2015 Update Comments
	422	<p>Due to the potentially significant impact on the Public Disclosure Unit's (PDU) workload, the Seattle Police Department (SPD) should ensure that the PDU Manager and the SPD Records Manager are fully involved in planning related to management and retention of SPD records, including but not limited to, plans to manage video recordings and department-wide information technology system changes.</p>	Pending	<p>The Seattle Police Department (SPD) reported that both the Public Disclosure Unit (PDU) Manager and/or the Records Manager attend meetings and provide input on public disclosure and records retention issues related to numerous SPD information technology (IT) projects, such as, the body worn camera project, Data Analytic Program (DAPO meetings), Mark 43, Sector, Zylab, and the Versaterm upgrade. Although there is a general awareness of the need for the PDU Manager and the Records Manager to be involved in planning for public disclosure and retention issues related to new IT systems, there is room for improvement. This will be a function of the new Director of Transparency.</p>
	423	<p>In conjunction with the implementation of a new request management system and improved access to records, the Public Disclosure Unit should redesign its process for handling public records requests to improve its efficiency and accountability, ensure that requests are fulfilled in compliance with the Public Records Act, and improve customer service. Key features of this process redesign should include:</p> <ul style="list-style-type: none"> • Categorizing and processing requests by complexity, • Prioritizing timely responses to all requests, and • Improving internal controls over the process. 	Pending	<p>The Seattle Police Department (SPD) has made some process changes with the implementation of GovQA. For example, GovQA gives the Public Disclosure Unit (PDU) the ability to group requests that may be requested frequently or have a high public interest, such as requests related to protests. Additionally, a new filing system on SPD's network was created, with uniform naming standards, for the PDU to store records. This helps the PDU respond to repetitive requests in a timely manner.</p> <p>Although some staffing changes were made with the implementation of GovQA, the PDU is still determining related final staffing plans.</p>

Report Title (publication date)	Rec # ⁶	Description	Status as of December 31, 2015	2015 Update Comments
	424	<p>To improve the Public Disclosure Unit's (PDU) policies and procedures manual, we recommend that the Seattle Police Department (SPD) add a definition of the PDU's mission and goals and an overview of the PDU process; describe how each PDU staff position supports the Unit's overall goals and how staff performance will be measured; and specify the goals, process, and frequency of management review. Additionally, SPD should add detailed guidance on:</p> <ul style="list-style-type: none"> • How to interpret requests and communicate with requestors when clarification is necessary, • How requests for "any and all" documents should be handled, • How staff should apply common exemptions, • The purpose of weekly meetings with legal advisors and how staff should prepare for them, and • The expectations and process for tracking staff time and workload. <p>Finally, the PDU's policies and procedures should be continually updated as process improvements are made.</p>	Pending	<p>Part of this recommendation has been implemented as policies and procedures on how to manage GovQA tasks have been documented. Additionally, the Citywide Public Records Acts Program (CPRA) has published policies related to handling large scale requests. However, there is still work to be done to ensure that the following areas are included in the Public Disclosure Unit's (PDU) policies and procedures:</p> <ol style="list-style-type: none"> 1. A description of the PDU's mission and goals, 2. An explanation of how staff performance will be measured, 3. Performance goals, 4. The frequency of management review, 5. How requests for "any and all" documents should be handled, and 6. How staff should apply common exemptions. <p>On an ongoing basis, the PDU Manager is tasked with keeping the policies and procedures updated as process improvements are implemented.</p>
	425	<p>Seattle Police Department management should establish performance and service delivery goals for the Public Disclosure Unit and monitor its performance, including consistently tracking workload and staff productivity.</p>	Pending	<p>With the implementation of GovQA, statistics on the Seattle Police Department's public records requests can easily be monitored, analyzed, and process changes can be made based upon this information. The new Director of Transparency and Public Disclosure Unit Manager will decide what performance and service delivery goals are indicated based on these data.</p>

Status Report on Implementation of Office of City Auditor Recommendations as of December 2015

Report Title (publication date)	Rec # ⁶	Description	Status as of December 31, 2015	2015 Update Comments
	426	As the Public Disclosure Unit (PDU) begins to track its workload and performance data, it should develop a staffing model to enable Seattle Police Department (SPD) management to assess the PDU's staffing levels, determine the most appropriate mix of positions, and adjust staff as needed.	Pending	With the implementation of GovQA, statistics on the Seattle Police Department's public records requests can easily be monitored, analyzed, and process changes can be made based upon this information. These data, in conjunction with process changes, should allow the Public Disclosure Unit to develop a staffing model.
	427	SPD should consider revising Public Disclosure Unit staffing to include a position with data analyst capabilities.	Pending	After GovQA is fully implemented and all staffing changes have been made, the Director of Transparency and Public Disclosure Unit Manager will consider the need for this position.
	428	SPD should review the Public Disclosure Unit's current job classifications to ensure that they match job requirements and facilitate the efficient processing of public records requests.	Pending	The Citywide Public Records Acts Program (CPRA) is scheduled to conduct a city-wide review of all Public Disclosure Officer positions in 2016.
	429	The Seattle Police Department should improve its website to clarify the types of records SPD maintains and the most appropriate routes to obtaining different types of information. Specifically, SPD should improve the Public Disclosure Unit's website to provide information about SPD records available through the Public Records Act, estimates about the time it typically takes to receive different types of records, and suggestions about how to receive records as quickly as possible.	Pending	The Seattle Police Department's (SPD) website has been modified and was launched in March 2016 with the public launch of GovQA. There is still work to be done to add suggestions on how to receive records as quickly as possible. SPD plans to address this issue after they have more experience with GovQA.

Report Title (publication date)	Rec # ⁶	Description	Status as of December 31, 2015	2015 Update Comments
	430	SPD should implement a public portal that allows requestors to submit public records requests online.	Implemented March 2016	The Seattle Police Department publicly launched GovQA, a public portal for records requests in March 2016. Using this system, customers can make and track records requests, pay for and receive records, as well as communicate directly with Public Disclosure Officers (PDOs) using this system. The system provides constant, automated, communication to the customer on the status of their request.
	431	The Seattle Police Department's Public Disclosure Unit (PDU) should formally adopt the practice of proactively communicating with requestors when a request is unclear, complex, or will take a long time to fulfill. To facilitate this recommendation, PDU management should ensure their staff are trained to provide high quality customer service.	Implemented March 2016	GovQA enables Public Disclosure Officers (PDOs) to communicate with the customer frequently and quickly. The system emails the customer with updates as their request is being processed. GovQA allows PDOs to enter information into a variety of templates to effectively communicate with the requester. All PDOs have been trained on this feature within GovQA. In addition, as part of the launch of GovQA, an employee has been assigned to review incoming requests and seek clarification for unclear requests upon arrival of the request in the portal.
	432	The Seattle Police Department's (SPD) PDU's written communications with requestors should be improved. All of SPD's written communication with public records requestors should clearly articulate how each request was interpreted, how records systems were searched, and how a requestor can contact SPD's Public Disclosure Unit to request additional searches or provide additional information to facilitate the location of records. Additionally, SPD's letters should clearly reference each individual requested record when reporting on the status of a request. If any responsive records are redacted or exempt from disclosure, letters should state which records were redacted or are exempt and the particular exemption that applies to each.	Pending	With the implementation of GovQA, all letters and e-mail responses were reviewed and standardized with the assistance of the Law Department. In addition, as part of the launch of GovQA, an employee has been assigned to review incoming requests and seek clarification for unclear requests upon arrival of the request in the portal. There is still work to be done to include information in written communication to requestors about what records systems were searched. Additionally, once they have more experience with GovQA, the Public Disclosure Unit should assess whether the current templates for communicating with requests clearly describes which records were provided and which could not be provided.

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Report Title (publication date)	Rec # ⁶	Description	Status as of December 31, 2015	2015 Update Comments
Process Evaluation of Seattle's School Emphasis Officer Program (September 22, 2015)	433	Develop a program manual that lays out clear expectations for operations and stakeholders.	Pending	A draft program manual for the Seattle Police Department (SPD) School Emphasis Officers (SEOs) was included as an appendix in our report. SPD has reviewed this manual, and believes that it provides a good starting point for an SPD SEO Manual. SPD will work to begin to develop an SEO Manual in 2016. Our office and our research partner from George Mason University are available to SPD for technical assistance as they develop the SEO Manual.
	434	Develop a systematic performance and outcome measurement and evaluation plan for the School Emphasis Officers (SEO) program and participating schools.	Pending	The Seattle Police Department (SPD) will consider options for developing outcome measurements and an evaluation plan for the School Emphasis Officers program in 2016. Our office and our research partner from George Mason University are available to SPD for technical assistance with developing outcome measurements and an evaluation plan.
	435	Clearly articulate the program goals, structure, activities, and outcomes in the program manual and a logic model.	Pending	A draft program manual for the Seattle Police Department (SPD) School Emphasis Officers (SEOs) was included as an appendix in our report. SPD has reviewed this manual, and believes that it provides a good starting point for an SPD SEO Manual. SPD will work to begin to develop an SEO Manual in 2016. Our office and our research partner from George Mason University are available to SPD for technical assistance as they develop the SEO Manual.
	436	Facilitate appropriate data sharing.	Pending	In 2016-17, the City of Seattle will be working to develop an investment strategy for the Seattle Youth Violence Prevention Initiative. Through the Seattle Police Department's participation in the development of this strategy, they will advocate for data-sharing among the School Emphasis Officers and their partner organizations.
	437	Develop a long-term evaluation plan.	Pending	The Seattle Police Department (SPD) will consider options for a long-term evaluation plan for the School Emphasis Officers program in 2016. Our office and our research partner from George Mason University are available to SPD for technical assistance with evaluation planning.
	438	Articulate the program goals and training requirements.	Pending	The Seattle Police Department (SPD) will consider options for clearly articulating School Emphasis Officers program goals and training requirements in 2016. Our office and our research partner from George Mason University are available to SPD for technical assistance with developing clear program goals and training requirements.
	439	Ensure that memoranda of understanding are developed with each individual school.	Pending	In 2016, the Seattle Police Department (SPD) will begin to consider the development of memoranda of understanding for each of the individual schools served by the School Emphasis Officers program. Our office and our research partner from George Mason University are available to SPD for technical assistance with developing memoranda of understanding.
	440	Systematize the process for identifying new schools.	Pending	In 2016, the Seattle Police Department (SPD) will begin to consider its process for selecting schools for its School Emphasis Officers (SEO) program. Currently, the SEO program is in four schools that include a significant percentage of youth of color. SPD's process for selecting schools for its SEO program should use a racial equity lens. SPD will consider the use of the Seattle Office for Civil Right's (SOCR) Racial Equity Toolkit.
The City of Seattle Could Reduce Violent Crime and Victimization by Strengthening Its Approach to Street Outreach (October 14, 2015)	441	Develop a more sophisticated focused approach for identifying Street Outreach clients to ensure that it is focused on those at highest risk for violence and victimization.	Pending	The City of Seattle's Street Outreach provider, Alive & Free, has begun to work with the Seattle Police Department to strengthen communications to help improve the City's ability to connect those most at risk for violence and victimization with appropriate supports and services. The Office of City Auditor and Alive & Free will continue to work collaboratively on the elements of the Street Outreach Action Plan including the client tracking system and client service levelling system/manual.
	442	Re-evaluate the age criteria for Street Outreach – consider providing Street Outreach to those most at need, regardless of age.	Pending	The City of Seattle's Street Outreach provider, Alive & Free, has begun to work with the Seattle Police Department to strengthen communications to help improve the City's ability to connect those most at risk for violence and victimization with appropriate supports and services. The Office of City Auditor and Alive & Free will continue to work collaboratively on the elements of the Street Outreach Action Plan including the client tracking system and client service levelling system/manual.

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Report Title (publication date)	Rec # ⁶	Description	Status as of December 31, 2015	2015 Update Comments
	443	Support and monitor continued efforts by the YMCA 's Alive & Free Street Outreach program to improve its procedures, practices, and staff development.	Pending	The City of Seattle's Street Outreach provider, Alive & Free, has begun to work with the Seattle Police Department to strengthen communications to help improve the City's ability to connect those most at risk for violence and victimization with appropriate supports and services. The Office of City Auditor and Alive & Free will continue to work collaboratively on the elements of the Street Outreach Action Plan including the client tracking system and client service levelling system/manual.
	444	Support efforts to strengthen relationships between Street Outreach and the Seattle Police Department, including clarifying roles and responsibilities and providing integrated training.	Pending	In 2016, under the direction of Assistant Chief Merner and Lieutenant Garth-Green, the Seattle Police Department has begun meeting with Street Outreach staff to begin to clarify roles. This work is anticipated to continue in 2016.
	445	Strengthen the ability of Street Outreach to connect their clients' families with services that promote the importance of family as a protective factor.	Pending	This recommendation will be considered by the Human Services Department in 2016. Any potential action on this recommendation will take into consideration the City's plans for investments in the Seattle Youth Violence Prevention Initiative, which will be developed over the course of 2016-17.
	446	Support a rigorous evaluation of Street Outreach to ensure that the efforts are effective for reducing violent crime and victimization and do not unintentionally cause harm.	Pending	This recommendation will be considered by the Human Services Department in 2016. Any potential action on this recommendation will take into consideration the City's plans for investments in the Seattle Youth Violence Prevention Initiative, which will be developed over the course of 2016-17.
Department of Parks and Recreation's Oversight of Lease and Concession Agreements (December 10, 2015)	447	Consider using Department of Finance and Administration (FAS) Treasury cashiers to process payments or, alternatively, implement increased cash handling controls at the Contracts Administration and Support Office (CASO) and Magnuson Park as described in the audit report.	Pending	
	448	Develop or update contract monitoring policies and procedures.	Pending	
	449	Automate contract management tasks and improve Parks contract monitoring capabilities.	Pending	
	450	Improve internal controls over public benefit reporting.	Pending	

Status Report on Implementation of Office of City Auditor Recommendations as of December 2015

Report Title (publication date)	Rec # ⁶	Description	Status as of December 31, 2015	2015 Update Comments
	451	Meet with tenants annually to review public benefits requirements.	Pending	
	452	Update the Parks Department public benefits webpage.	Pending	
	453	Consider changing the payment basis on contracts that generate \$15,000 or less to the City annually and include the value of park activation in the calculation of appropriate rent.	Pending	

Appendix A

We reviewed the status of recommendations from the following 48 reports our office issued from January 2007 through December 2015:

1. Seattle Municipal Court Accounts Receivable and Revenue Recovery, Internal Controls Review (January 4, 2007)
2. Seattle Public Utilities Billing and Accounts Receivable – Drainage Fees, Internal Controls Review (February 8, 2007)
3. Parks Public Involvement Audit, Phase 2: Case Study of Loyal Heights Playfield Renovation (April 12, 2007)
4. Seattle Indigent Public Defense Services (August 6, 2007)
5. Review of Millennium Digital Media’s Compliance with the City of Seattle’s Cable Customer Bill of Rights (August 21, 2007)
6. External Funding of Capital Projects (January 16, 2008)
7. Seattle’s Special Events Permitting Process: Successes and Opportunities (January 31, 2008)
8. Seattle City Light Travel (February 1, 2008)
9. Seattle Public Utilities Revenue Cycle Audit – Transfer Stations, Internal Controls Review (February 14, 2008)
10. Seattle Public Utilities Revenue Cycle Audit – Commercial Solid Waste, Internal Controls Review (April 9, 2008)
11. Seattle’s Enforcement of Bias Crimes (August 4, 2008)
12. City Should Take Steps to Enhance Pedestrian and Cyclist Mobility Through and Around Construction Sites (August 13, 2008)
13. Review of City Collection Policies and Procedures (September 25, 2008)
14. Follow-up Audit of Broadstripe’s Compliance with the City of Seattle’s Cable Customer Bill of Rights (October 24, 2008)
15. Review of Costs of Neighborhood Traffic Calming Projects (January 15, 2009)
16. Audit of Comcast’s Compliance with the City of Seattle’s Cable Customer Bill of Rights (May 13, 2009)
17. Management of City Trees (May 15, 2009)
18. Cash Handling Audit – Seattle Center Parking (June 19, 2009)
19. Seattle District Council System Needs Renewal (June 22, 2009)
20. Cal Anderson Park Surveillance Camera Pilot Program Evaluation (October 26, 2009)
21. Compliance Audit of the Aquatic Habitat Matching Grant Program (December 14, 2009)
22. Efficiencies Audit: Parking and Traffic Ticket Processing (December 15, 2009)
23. Seattle Public Utilities Revenue Cycle Audit – Water (Retail and Wholesale) Internal Controls Review (March 1, 2010)
24. Follow-up Audit of Workers’ Compensation: Return-to-Work Program (June 15, 2010)
25. City of Seattle Anti-Graffiti Efforts: Best Practices and Recommendations (July 28, 2010)
26. Indigent Defense Services Follow-up and 2010 Audit (December 15, 2010)
27. Seattle Public Utilities Revenue Cycle Audit – Wastewater: Internal Controls (April 11, 2011)
28. City of Seattle Anti-Litter Efforts (April 19, 2011)
29. Promising Practices in Risk Management (June 22, 2011)
30. How Can Seattle Crime Analysis Rise to the Next Level? (January 10, 2012)
31. Seattle Police Department’s In-Car Video Program (June 20, 2012)
32. Information Technology Security and Risk Assessment of the Seattle Department of Transportation’s Traffic Management Center and Control System (July 5, 2012)
33. Evidence-Based Assessment of the City of Seattle’s Crime Prevention Programs (September 6, 2012)
34. Seattle Public Utilities Water Main Extensions: Internal Controls Review and Fraud Risk Audit (September 7, 2012)
35. City of Seattle Multifamily Tax Exemption Program (September 19, 2012)
36. Seattle City Employees’ Retirement System Retirement Benefit Calculations (August 8, 2013)
37. Seattle Public Utilities: New Water Services (Taps): Internal Controls Review and Fraud Risk Audit (September 24, 2013)
38. Review of City of Seattle’s Civil Rights Enforcement and Outreach (November 20, 2013)

39. Assessment of Consolidated Customer Service System (CCSS) Transaction Controls, Policies and Procedures, and Associated Results from CCSS Data Mining Project (April 29, 2014)
40. City of Seattle RFP Process for Vehicle Impound Management Services (May 20, 2014)
41. Seattle City Light Salvage Unit Fraud Risk Audit (June 6, 2014)
42. Seattle's Paid Sick and Safe Time Ordinance Enforcement Audit (October 17, 2014)
43. Supporting a Future Evaluation of the Seattle Youth Violence Prevention Initiative (SYVPI) (October 24, 2014)
44. Seattle Department of Transportation Bonds Management Audit (December 22, 2014)
45. Audit of the Seattle Police Department's Public Disclosure Process (March 16, 2015)
46. Process Evaluation of Seattle's School Emphasis Officer Program (September 22, 2015)
47. The City of Seattle Could Reduce Violent Crime and Victimization by Strengthening Its Approach to Street Outreach (October 14, 2015)
48. Department of Parks and Recreation's Oversight of Lease and Concession Agreements (December 10, 2015)