

Audit	Recommendation Number	Recommendation	Issue Date	Department
Surveillance Usage Review: Seattle Department of Transportation License Plate Readers	8	The Seattle Department of Transportation should resolve the discrepancy where Operational Policy 11 in the License Plate Readers Surveillance Impact Report prohibiting the collection of vehicle or occupant images is not included in the License Plate Readers Condensed Surveillance Impact Report.	12/30/2020	Transportation
Surveillance Usage Review: Seattle Department of Transportation License Plate Readers	4	The Seattle Department of Transportation should resolve the discrepancy where the text for Condensed Surveillance Impact Report 4.0, 6 is not expressly designated as an operational policy in the License Plate Readers Surveillance Impact Report.	12/30/2020	Transportation
Surveillance Usage Review: Seattle Department of Transportation License Plate Readers	3	Two Seattle Department of Transportation operational policies (License Plate Readers Surveillance Impact Report 12 and Condensed Surveillance Impact Report 4.0, 6), that address time frame regarding when the Washington State Department of Transportation deletes License Plate Readers data and for how long License Plate Readers data are stored, should be updated to state that License Plate Readers data are anonymized by the Washington State Department of Transportation, which holds the data in temporary files for seven days.	12/30/2020	Transportation
Surveillance Usage Review: Seattle Department of Transportation License Plate Readers	1	The Seattle Department of Transportation should remove the word "enforcement," from Surveillance Impact Report Operational Policy 10 and Condensed Surveillance Impact Report Operational Policy 5.0, 4, and revise the references to this work to clarify that it refers to work zone congestion analysis and not enforcement.	12/30/2020	Transportation
Surveillance Usage Review: Seattle Department of Transportation License Plate Readers	6	Operational Policy 9A (same as Condensed Surveillance Impact Report Operational Policy 4.0, 4) should be revised to reflect that License Plate Readers cameras are remotely accessible by the Seattle Department of Transportation's Transportation Operations Center Technical Team and Intelligent Transportation System signal specialists for initial device configuration and issue troubleshooting purposes.	12/30/2020	Transportation
Surveillance Usage Review: Seattle Department of Transportation License Plate Readers	9	The Seattle Department of Transportation should clearly define what is meant by "standard training" for those who access and use License Plate Readers data and develop criteria for determining who is required to take this training, including Washington State Department of Transportation employees.	12/30/2020	Transportation
Surveillance Usage Review: Seattle Department of Transportation License Plate Readers	7	With respect to License Plate Readers Surveillance Impact Report Operational Policy 11, the Seattle Department of Transportation should clarify what is meant by "images of vehicles" and define the permissible extent of a vehicle's image that can be captured in the process of capturing the license plate image.	12/30/2020	Transportation
Surveillance Usage Review: Seattle Department of Transportation License Plate Readers	2	The Seattle Department of Transportation should execute a written agreement with the Washington State Department of Transportation that, at a minimum, addresses data sharing, retention, and deletion of License Plate Readers data, including what the Washington State Department of Transportation can and cannot do with License Plate Readers data outside of its agreement with the Seattle Department of Transportation.	12/30/2020	Transportation
Surveillance Usage Review: Seattle Department of Transportation License Plate Readers	5	The Seattle Department of Transportation should engage cybersecurity experts to conduct regular security assessments of License Plate Readers and to follow-up on the implementation progress of a 2015 network security risk report. The regular security assessments should specifically address data security and the risk of LPR data being inadvertently or improperly shared. This work could be done by the City of Seattle's Information Technology Department or by an independent cybersecurity consultant.	12/30/2020	Transportation
Seattle Public Utilities Revenue Cycle Audit – Water (Retail and Wholesale) Internal Controls Review	2	SPU is not charging customers for "special meter readings" due to meters covered by construction, landscaping, cars, etc.	3/1/2010	Public Utilities
Seattle Public Utilities Revenue Cycle Audit – Water (Retail and Wholesale) Internal Controls Review	11	It appears that leak refunds are not always issued in a timely manner when the leak is on the City's property.	3/1/2010	Public Utilities

Seattle Public Utilities Revenue Cycle Audit – Water (Retail and Wholesale) Internal Controls Review	10	SPU is providing a refund for leaks within customer premises which does not appear to be the norm for the utilities industry and costs SPU money.	3/1/2010	Public Utilities
Seattle Public Utilities Revenue Cycle Audit – Water (Retail and Wholesale) Internal Controls Review	5	Commercial meter testing results indicate the importance of the commercial testing and replacement program.	3/1/2010	Public Utilities
Seattle Public Utilities Revenue Cycle Audit – Water (Retail and Wholesale) Internal Controls Review	14	There are some issues with the insurance with the water treatment plants.	3/1/2010	Public Utilities
Seattle Public Utilities Revenue Cycle Audit – Water (Retail and Wholesale) Internal Controls Review	6	There are issues with wholesale meter testing.	3/1/2010	Public Utilities
Seattle Public Utilities Revenue Cycle Audit – Water (Retail and Wholesale) Internal Controls Review	8	There are some issues with policies for special taps accounts.	3/1/2010	Public Utilities
Seattle Public Utilities Revenue Cycle Audit – Water (Retail and Wholesale) Internal Controls Review	3	Water usage exemption parameters and exception review procedures could be improved.	3/1/2010	Public Utilities
Seattle Public Utilities Revenue Cycle Audit – Water (Retail and Wholesale) Internal Controls Review	1	There are some issues with meter reading quality assurance.	3/1/2010	Public Utilities
Seattle Public Utilities Revenue Cycle Audit – Water (Retail and Wholesale) Internal Controls Review	7	Controls are not adequate to ensure customers are billed or refunded in a timely manner for remaining amounts due or owed from guaranteed deposits for new water connections work.	3/1/2010	Public Utilities
Seattle Public Utilities Revenue Cycle Audit – Water (Retail and Wholesale) Internal Controls Review	12	There is no formal procedure requiring monthly reconciliation of the water fund accounts receivable general ledger account.	3/1/2010	Public Utilities
Seattle Public Utilities Revenue Cycle Audit – Water (Retail and Wholesale) Internal Controls Review	4	There may be some issues with timeliness of meter repair, replacement, and testing work.	3/1/2010	Public Utilities
Seattle Public Utilities Revenue Cycle Audit – Water (Retail and Wholesale) Internal Controls Review	13	Three SPU general ledger accounting staff have the ability to access and enter billing and payment transactions to the SPU accounts receivable system.	3/1/2010	Public Utilities
Audit of Comcast's Compliance with the City of Seattle's Cable Customer Bill of Rights	2	Comcast should provide further information in its welcome packet and annual customer mailing on the additional services and discounts available to customers with disabilities.	5/13/2009	Comcast
Seattle Public Utilities: New Water Services (Taps): Internal Controls Review and Fraud Risk Audit	8	Restrict User Access to New Taps Database Applications: Design and document manual processes that maintain effective duty segregation.	9/24/2013	Public Utilities
Seattle Public Utilities: New Water Services (Taps): Internal Controls Review and Fraud Risk Audit	13	Strengthen Controls Over the New Taps Tracking Spreadsheet: Password-protect the spreadsheet	9/24/2013	Public Utilities
Seattle Public Utilities: New Water Services (Taps): Internal Controls Review and Fraud Risk Audit	5	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 CCSO service order and could be checked at the time the work queue is opened by WTOD personnel.	9/24/2013	Public Utilities
Seattle Public Utilities: New Water Services (Taps): Internal Controls Review and Fraud Risk Audit	10	Strengthen Controls Over the New Taps Tracking Spreadsheet: Move the spreadsheet to a secured department drive.	9/24/2013	Public Utilities
Seattle Public Utilities: New Water Services (Taps): Internal Controls Review and Fraud Risk Audit	6	Restrict User Access to New Taps Database Applications: Re-design user access to the database with the appropriate user access restrictions to effectively segregate duties, or alternatively, develop compensating controls to mitigate the risks.	9/24/2013	Public Utilities
Seattle Public Utilities: New Water Services (Taps): Internal Controls Review and Fraud Risk Audit	9	Strengthen Controls Over the New Taps Tracking Spreadsheet: Designate a backup person to maintain the spreadsheet whose duties are compatible with this function and provide the necessary training.	9/24/2013	Public Utilities

Seattle Public Utilities: New Water Services (Taps): Internal Controls Review and Fraud Risk Audit	2	Define the USG New Taps Process in Sufficient Detail and Segregate Backup Functions: Complete and finalize all policies and procedures relating to new taps, particularly those affecting financial controls such as cash handling, billing approval, and authorization to create new taps service orders. Policies and procedures should include sufficient detail to ensure that all aspects of cash handling and order authorization are addressed, activities are appropriately segregated, reconciliation processes are complete and understood, critical functions are monitored, and position titles are identified in the assignment of responsibilities. At a minimum, all policies and procedures should be approved and signed by the USG Manager and the Utilities Services Team Division Director.	9/24/2013	Public Utilities
Seattle Public Utilities: New Water Services (Taps): Internal Controls Review and Fraud Risk Audit	1	Define the Utility Services Group (USG) New Taps Process in Sufficient Detail and Segregate Backup Functions: Assign the backup function now performed by the financial analyst to other personnel whose duties are not incompatible, or alternatively, design compensating controls to mitigate the risk.	9/24/2013	Public Utilities
Seattle Public Utilities: New Water Services (Taps): Internal Controls Review and Fraud Risk Audit	7	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.	9/24/2013	Public Utilities
Seattle Public Utilities: New Water Services (Taps): Internal Controls Review and Fraud Risk Audit	3	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.	9/24/2013	Public Utilities
Seattle Public Utilities: New Water Services (Taps): Internal Controls Review and Fraud Risk Audit	12	Strengthen Controls Over the New Taps Tracking Spreadsheet: Consider the following options to resolve the CIDS download problem: 1) download service order data directly from CCSS rather than from CIDS, 2) implement a reconciliation process between CIDS and CCSS after the download to ensure the data is complete, or 3) eliminate the 'bugs' in the CIDS download process.	9/24/2013	Public Utilities
Seattle Public Utilities: New Water Services (Taps): Internal Controls Review and Fraud Risk Audit	4	Strengthen Controls Over Creation of the New Taps Service and Work Orders: SPU management should implement additional controls to mitigate the risk of creating unauthorized Maximo work orders for new taps work. A procedure should be established for USG to periodically reconcile Maximo new taps work orders to CCSS new taps service orders, for example, monthly. This would ensure that all Maximo work orders have corresponding CCSS service orders.	9/24/2013	Public Utilities
Seattle Public Utilities: New Water Services (Taps): Internal Controls Review and Fraud Risk Audit	11	Strengthen Controls Over the New Taps Tracking Spreadsheet: Document how the spreadsheet is used and the mechanics behind maintaining it.	9/24/2013	Public Utilities
Review of City Collection Policies and Procedures	2	City departments do not provide the collection agency with the information needed to maximize revenue recovery.	9/25/2008	Mayor
Review of City Collection Policies and Procedures	5	Procedures for remittance of customer payments and handling direct payments need improvement.	9/25/2008	Mayor
Review of City Collection Policies and Procedures	3	City departments do not adequately monitor and reconcile accounts referred to the collection agency.	9/25/2008	Mayor
Review of City Collection Policies and Procedures	6	Policies and procedures governing interest charges, collection fees, and agency fees need to be examined by DEA Treasury.	9/25/2008	Mayor
Review of City Collection Policies and Procedures	4	The collection rate for City accounts referred to the collection agency is lower than industry averages.	9/25/2008	Mayor
Review of City Collection Policies and Procedures	1	The City does not refer delinquent accounts to the collection agency in a timely manner.	9/25/2008	Mayor
Review of City Collection Policies and Procedures	7	The City's contract for collection services should be improved.	9/25/2008	Mayor
Seattle Public Utilities Revenue Cycle Audit – Transfer Stations, Internal Controls Review	14	System access rights to TSBS need to be updated.	2/14/2008	Public Utilities
Seattle Public Utilities Revenue Cycle Audit – Transfer Stations, Internal Controls Review	6	The percentage of TSBS customers who are delinquent is fairly high.	2/14/2008	Public Utilities

Seattle Public Utilities Revenue Cycle Audit – Transfer Stations, Internal Controls Review	16	Transfer Station transaction controls are not adequate to prevent and/or detect potential employee theft.	2/14/2008	Public Utilities
Seattle Public Utilities Revenue Cycle Audit – Transfer Stations, Internal Controls Review	8	Delinquent Transfer Station accounts are not sent to collections timely.	2/14/2008	Public Utilities
Seattle Public Utilities Revenue Cycle Audit – Transfer Stations, Internal Controls Review	19	Transfer Station employees are still picking up the money to restock the safes instead of using an armored car service.	2/14/2008	Public Utilities
Seattle Public Utilities Revenue Cycle Audit – Transfer Stations, Internal Controls Review	10	The collection rate and revenue recoveries are not maximized for Transfer Station accounts.	2/14/2008	Public Utilities
Seattle Public Utilities Revenue Cycle Audit – Transfer Stations, Internal Controls Review	15	Controls related to monitoring exception-type activity on TSBS could be improved.	2/14/2008	Public Utilities
Seattle Public Utilities Revenue Cycle Audit – Transfer Stations, Internal Controls Review	18	The Scale House closing and daily reconciliation procedures could be improved.	2/14/2008	Public Utilities
Seattle Public Utilities Revenue Cycle Audit – Transfer Stations, Internal Controls Review	1	The SPU transfer stations scales haven't been licensed with the State.	2/14/2008	Public Utilities
Seattle Public Utilities Revenue Cycle Audit – Transfer Stations, Internal Controls Review	9	SPU is not adequately monitoring the performance and status of accounts in collections.	2/14/2008	Public Utilities
Seattle Public Utilities Revenue Cycle Audit – Transfer Stations, Internal Controls Review	21	Separation of duties is not adequate for the receipt of funds for the sale of recycling waste.	2/14/2008	Public Utilities
Seattle Public Utilities Revenue Cycle Audit – Transfer Stations, Internal Controls Review	5	Improvements are needed with coding/blocking TSBS accounts.	2/14/2008	Public Utilities
Seattle Public Utilities Revenue Cycle Audit – Transfer Stations, Internal Controls Review	4	Deposits of billed customer payments could be made timelier.	2/14/2008	Public Utilities
Seattle Public Utilities Revenue Cycle Audit – Transfer Stations, Internal Controls Review	11	Policies and procedures for the remission of customer payments made to the collection agency need improvements.	2/14/2008	Public Utilities
Seattle Public Utilities Revenue Cycle Audit – Transfer Stations, Internal Controls Review	13	The method for estimating Transfer Station bad debts may not result in the most accurate reserve.	2/14/2008	Public Utilities
Seattle Public Utilities Revenue Cycle Audit – Transfer Stations, Internal Controls Review	20	There are issues with the video camera system setup utilized to monitor the Scale House operations.	2/14/2008	Public Utilities
Seattle Public Utilities Revenue Cycle Audit – Transfer Stations, Internal Controls Review	3	Some controls over adjusting customer accounts in the Transfer Station Billing System (TSBS) need improvement.	2/14/2008	Public Utilities
Seattle Public Utilities Revenue Cycle Audit – Transfer Stations, Internal Controls Review	17	Transfer Station policies and procedures do not ensure non-sufficient funds (NSF) check losses are minimized.	2/14/2008	Public Utilities
Seattle Public Utilities Water Main Extensions: Internal Controls Review and Fraud Risk Audit	8	SPU should consider having SPU Cost Accounting verify deposit of customer payment before Capital Improvement Program (CIP) numbers are set up. In addition, SPU should consider having SPU Field Operations verify with SPU Cost Accounting that a customer payment has been deposited before project work is started.	9/7/2012	Public Utilities
Seattle Public Utilities Water Main Extensions: Internal Controls Review and Fraud Risk Audit	9	SPU should strengthen its written policies and procedures by incorporating appropriate controls that prohibit acceptance of customer payments by the Project Manager and field personnel and clearly communicate this policy to customers in the contract.	9/7/2012	Public Utilities
Seattle Public Utilities Water Main Extensions: Internal Controls Review and Fraud Risk Audit	7	SPU should strengthen its current policies and procedures by incorporating controls to help ensure that all expected revenues from water main extension projects are recorded and tracked for eventual billing in the SPU AR system, and deposited by the City's Treasury unit into the City's bank account. For those contracts for which SPU did not receive full payment but did complete the work, SPU should attempt to collect any funds that are still due.	9/7/2012	Public Utilities
Seattle Public Utilities Water Main Extensions: Internal Controls Review and Fraud Risk Audit	3	SPU should create written policies and procedures and appropriate controls to ensure that required project approvals are obtained on all water main extension projects. The policies and procedures should specify who should approve and sign off on water main extension work, and how this approval should be documented (e.g., a project close-out form).	9/7/2012	Public Utilities

Seattle Public Utilities Water Main Extensions: Internal Controls Review and Fraud Risk Audit	5	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.	9/7/2012	Public Utilities
Seattle Public Utilities Water Main Extensions: Internal Controls Review and Fraud Risk Audit	11	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.	9/7/2012	Public Utilities
Seattle Public Utilities Water Main Extensions: Internal Controls Review and Fraud Risk Audit	6	SPU should implement written policies and procedures to ensure that all calculations of customer charges are independently reviewed. This could be accomplished by documenting the new SPU policy requiring the Supervising Civil Engineer to review customer charge estimates. The procedures should also specify how the Civil Engineer's review should be documented, and the process that should be followed if the estimates need to be revised (e.g., whether additional authorizations are needed, and if so, from whom?).	9/7/2012	Public Utilities
Seattle Public Utilities Water Main Extensions: Internal Controls Review and Fraud Risk Audit	10	SPU's written policies and procedures should document what critical project documents need to be retained for the project record (i.e., in the water main extension program manual). It would be helpful if a unique project identifier (e.g., CIP number) is noted on all critical project documents.	9/7/2012	Public Utilities
Seattle Public Utilities Water Main Extensions: Internal Controls Review and Fraud Risk Audit	12	SPU should establish written procedures incorporating internal controls to help ensure that all water main extension projects are accurately coded.	9/7/2012	Public Utilities
Seattle Public Utilities Water Main Extensions: Internal Controls Review and Fraud Risk Audit	1	SPU should create written policies and procedures, including a Water Main Extension program manual, that document management's roles and responsibilities for the oversight of water main extension projects, and that establish necessary controls to mitigate risks noted in this audit.	9/7/2012	Public Utilities
Seattle Public Utilities Water Main Extensions: Internal Controls Review and Fraud Risk Audit	13	SPU should document appropriate controls to ensure that access to all IT systems is appropriately segregated (i.e., so that individuals do not have access rights beyond what is appropriate for their position). SPU should have procedures to ensure that staff are granted IT access rights based on their business needs. In addition, SPU should ensure that access to IT systems is modified appropriately when employees are transferred to other parts of SPU, and review system access rights for all personnel at least annually.	9/7/2012	Public Utilities
Seattle Public Utilities Water Main Extensions: Internal Controls Review and Fraud Risk Audit	4	SPU should define in its current policies and procedures surrounding Water Availability Certificates (WACs), CS-101, who is authorized to issue WACs and how WAC approval and issuance should be documented.	9/7/2012	Public Utilities

Seattle Public Utilities Water Main Extensions: Internal Controls Review and Fraud Risk Audit	2	SPU should create written policies and procedures, including the appropriate controls to ensure that all water main extension work is performed under current contracts. Such policies and procedures should: 1)Specify who should periodically review the project contract agreements to ensure that they are properly updated, 2)Define when this review should occur, and 3)Specify how this review will be documented. SPU should enforce Provision 3A in the contract by reconciling the difference between the estimated charges and actual costs, and either bill or refund the developer as appropriate. If SPU wants this provision to apply only to Time and Materials charges and not to Standard Charges, they should clarify the contract language to reflect this.	9/7/2012	Public Utilities
Seattle's Special Events Permitting Process: Successes and Opportunities	3	The Department of Parks and Recreation in collaboration with the Mayor's Office should develop and implement a succession plan for the Special Events Coordinator position.	1/31/2008	Parks and Recreation
Seattle's Special Events Permitting Process: Successes and Opportunities	4	The Department of Parks and Recreation should develop and maintain a dedicated website for the Special Events Office containing, at minimum, general information on who to contact, the application process, permit requirements, Committee review process, and fees.	1/31/2008	Parks and Recreation
Seattle's Special Events Permitting Process: Successes and Opportunities	5	The Special Events Office should consider the benefits of an online application process.	1/31/2008	Special Events
Seattle's Special Events Permitting Process: Successes and Opportunities	7	The City may want to revisit the requirements for citizen representatives to the Special Events Committee, given the ongoing vacancies for this position.	1/31/2008	Special Events
Seattle's Special Events Permitting Process: Successes and Opportunities	8	Ensure that all Department of Neighborhood Coordinators are on the distribution list for the Monthly Special Events Calendar Updates that list all citywide special events.	1/31/2008	Neighborhoods
Seattle's Special Events Permitting Process: Successes and Opportunities	6	The Special Events Office should consider posting on its website, the scheduled dates for approved events, type of event, estimated participants, etc. as courtesy to affected communities.	1/31/2008	Special Events
Seattle's Special Events Permitting Process: Successes and Opportunities	1	To reduce special event expenses, the City may wish to consider eliminating or phasing out its policy of not charging 'grandfathered' events for Seattle Department of Transportation (SDOT)-related expenses.	1/31/2008	Transportation
Seattle's Special Events Permitting Process: Successes and Opportunities	2	The Special Events Office in collaboration with the Special Events Committee should consider developing annual or semi-annual voluntary orientation sessions for new permit applicants.	1/31/2008	Special Events
Management of City Trees	6	The SDOT Urban Forestry and Street Maintenance Divisions need to address the process of resolving differences of opinion between the two divisions regarding new tree plantings, and memorialize it in a revised Memorandum of Understanding (MOU).	5/15/2009	Transportation
Management of City Trees	4	Seattle City Light (SCL) needs to review its current process for reviewing the landscape portions of proposed capital projects to ensure that its Vegetation Management unit is included in its review process.	5/15/2009	City Light
Management of City Trees	5	SCL and the Seattle Department of Transportation (SDOT) need to review the current Recommended Tree Planting List and come to agreement on the appropriate trees to plant under power lines.	5/15/2009	City Light
Management of City Trees	3	If the City wants to achieve 30 percent tree canopy in 30 years, it will need to provide the necessary funding. The City needs to determine its highest tree management spending priorities.	5/15/2009	Mayor
Management of City Trees	11	Agendas and minutes should be kept for all Urban Forest Coalition and Sub-cabinet meetings.	5/15/2009	Mayor
Management of City Trees	13	The City needs to develop a comprehensive implementation plan that establishes strategies and performance metrics for UFMP implementation.	5/15/2009	Mayor
Management of City Trees	8	To implement the education and outreach activities for the Urban Forest Management Plan (UFMP), the City needs to fund a full-time position to implement education and outreach activities.	5/15/2009	Mayor
Management of City Trees	7	SDOT needs to finalize and adopt new tree planting guidelines that are consistent throughout the department.	5/15/2009	Transportation
Management of City Trees	10	The City needs to re-establish the Sustainability and Environment Sub-cabinet and to set a regular meeting schedule for this entity.	5/15/2009	Mayor

Seattle Department of Transportation: Strategic Approach to Vehicle Bridge Maintenance is Warranted	6	The Seattle Department of Transportation should incorporate the City's Race and Social Justice Initiative values into the staffing analysis of its bridge program.	9/11/2020	Transportation
Audit of the Seattle Police Department's Public Disclosure Process	11	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.	3/16/2015	Police
Audit of the Seattle Police Department's Public Disclosure Process	3	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.	3/16/2015	Police
Audit of the Seattle Police Department's Public Disclosure Process	8	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.	3/16/2015	Police
Audit of the Seattle Police Department's Public Disclosure Process	2	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: <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. 	3/16/2015	Police
Audit of the Seattle Police Department's Public Disclosure Process	1	SPD should create a new position to handle the Public Disclosure Unit Supervisor's current case load of complex requests.	3/16/2015	Police
Audit of the Seattle Police Department's Public Disclosure Process	10	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: <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. Finally, the PDU's policies and procedures should be continually updated as process improvements are made.	3/16/2015	Police
Audit of the Seattle Police Department's Public Disclosure Process	16	SPD should implement a public portal that allows requestors to submit public records requests online.	3/16/2015	Police
Audit of the Seattle Police Department's Public Disclosure Process	9	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: <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. 	3/16/2015	Police

Audit of the Seattle Police Department's Public Disclosure Process	6	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.	3/16/2015	Police
Audit of the Seattle Police Department's Public Disclosure Process	15	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.	3/16/2015	Police
Audit of the Seattle Police Department's Public Disclosure Process	18	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.	3/16/2015	Police
Audit of the Seattle Police Department's Public Disclosure Process	13	SPD should consider revising Public Disclosure Unit staffing to include a position with data analyst capabilities.	3/16/2015	Police
Audit of the Seattle Police Department's Public Disclosure Process	14	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.	3/16/2015	Police
Audit of the Seattle Police Department's Public Disclosure Process	5	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.	3/16/2015	Police
Audit of the Seattle Police Department's Public Disclosure Process	4	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.	3/16/2015	Police
Audit of the Seattle Police Department's Public Disclosure Process	17	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.	3/16/2015	Police
Audit of the Seattle Police Department's Public Disclosure Process	7	SPD should assign a sworn officer to act as a PDU liaison to help locate and obtain copies of records.	3/16/2015	Police
Seattle Department of Transportation: Strategic Approach to Vehicle Bridge Maintenance is Warranted	10	After the Seattle Department of Transportation (SDOT) has accurate condition data, updated estimated useful life calculations, and lifecycle cost data, SDOT should develop a strategic asset management plan for its bridges and the City should develop and implement strategies to fill the bridge maintenance funding gap.	9/11/2020	Transportation
Follow Up on Recent Loss Reports Filed by the Information Technology Department	8	ITD Asset Management should periodically run a report on anything in CMDB with a "Surplus" status that is less than five years old. The Manager of Asset Management should review this report against the Surplus Forms to ensure there is a form for everything on the list and to see if it appears to be reasonable since there should not be a lot of items that are declared surplus that are less than five years old. This control would also help to mitigate the risk of items being misappropriated by someone in the ITD Asset Management group without detection. This risk exists because staff in ITD Asset Management can update the inventory records and they also have physical custody of the items during the surplus process.	12/11/2020	Information Technology
Seattle Department of Transportation: Strategic Approach to Vehicle Bridge Maintenance is Warranted	5	The Seattle Department of Transportation should conduct a staffing analysis to determine the number and type of staff required for the implementation of a bridge preservation program.	9/11/2020	Transportation

Follow Up on Recent Loss Reports Filed by the Information Technology Department	3	The Information Technology Department (ITD) should review their procedures for tracking deployed Small Attractive Assets and ensure the "Primary User" is consistently recorded accurately in the Configuration Management Database (CMDB).	12/11/2020	Information Technology
Follow Up on Recent Loss Reports Filed by the Information Technology Department	6	The results of the 2019 physical count of the Information Technology Department (ITD) warehouses indicated that improved inventory controls may be needed for recording inventory and/or issuing inventory to fulfill orders. ITD Asset Management should review the inventory items that had the largest variance between the recorded and counted quantity and determine whether there are improvements that can be made to inventory controls.	12/11/2020	Information Technology
Seattle Department of Transportation: Strategic Approach to Vehicle Bridge Maintenance is Warranted	9	The Seattle Department of Transportation should use the updated useful life estimates of its bridges to plan for preservation work and lifecycle costs.	9/11/2020	Transportation
Follow Up on Recent Loss Reports Filed by the Information Technology Department	2	The Information Technology Department (ITD) should continue searching for the Small Attractive Assets reported as Missing that are less than five years old.	12/11/2020	Information Technology
Seattle Department of Transportation: Strategic Approach to Vehicle Bridge Maintenance is Warranted	8	The Seattle Department of Transportation should update the estimated useful life of their bridges using the condition data of individual bridge components.	9/11/2020	Transportation
Review of Costs of Neighborhood Traffic Calming Projects	1	The Seattle Department of Transportation (SDOT) should improve the tracking of neighborhood traffic calming project design and construction costs.	1/15/2009	Transportation
Review of Costs of Neighborhood Traffic Calming Projects	2	SDOT should work with the City Council to establish clear policies and procedures regarding if and how privately paid neighborhood traffic calming projects will be permitted.	1/15/2009	Transportation
Seattle City Light Customer Care and Billing Audit	11	City Light should report on the results of the evaluation and related policy changes to the Seattle City Council by December 2020.	4/3/2020	City Light
Seattle City Light Customer Care and Billing Audit	3	City Light should track seasonal variations in the workload related to processing new accounts and moves.	4/3/2020	City Light
Seattle City Light Customer Care and Billing Audit	13	To prevent fraud and ensure equity, City Light should institute appropriate internal controls at the same time as this authority is granted.	4/3/2020	City Light
Seattle City Light Customer Care and Billing Audit	12	City Light should give customer service representatives the training and authority to set up payment arrangements.	4/3/2020	City Light
Seattle City Light Customer Care and Billing Audit	16	City Light should implement promising practices from other utilities.	4/3/2020	City Light
Seattle City Light Customer Care and Billing Audit	1	City Light should lower the current number of 12 consecutive estimated bills allowed in their Meter Data Management system.	4/3/2020	City Light
Seattle City Light Customer Care and Billing Audit	8	City Light should revise its policies and procedures so that all customers whose inquiries require further research are contacted when the issue has been resolved.	4/3/2020	City Light
Seattle City Light Customer Care and Billing Audit	7	City Light should enhance its use of new technologies to proactively provide customers with data about their accounts.	4/3/2020	City Light
Seattle City Light Customer Care and Billing Audit	2	City Light should lower the current high consumption variance allowed in their Meter Data Management system.	4/3/2020	City Light
Seattle City Light Customer Care and Billing Audit	9	City Light should evaluate the effectiveness of its temporarily expanded escalation team.	4/3/2020	City Light
Seattle City Light Customer Care and Billing Audit	14	City Light should provide language translation options for the online information it provides about payment plans, payment arrangements, and payment assistance.	4/3/2020	City Light
Seattle City Light Customer Care and Billing Audit	6	To understand the impact changes in its policies and procedures are having on customer satisfaction, City Light should conduct regular customer satisfaction surveys.	4/3/2020	City Light
Seattle City Light Customer Care and Billing Audit	10	City Light should incorporate lessons learned from the evaluation of its temporarily expanded escalation team into its permanent policies and practices.	4/3/2020	City Light
Seattle City Light Customer Care and Billing Audit	5	City Light should develop a system for managing returned mail and explore how this body of work could be handled in the Customer Care and Billing system.	4/3/2020	City Light
Seattle City Light Customer Care and Billing Audit	15	City Light should conduct targeted outreach in the City's top tier languages to inform customers about the availability of payment plans, payment arrangements, and payment assistance.	4/3/2020	City Light

Seattle City Light Customer Care and Billing Audit	4	City Light should develop an annual staffing plan to accommodate fluctuations in demand for processing new accounts and moves.	4/3/2020	City Light
Assessment of Seattle Municipal Court Probation Racial and Ethnic Proportionality	6	The Seattle Municipal Court should conduct and document an internal review of the activities involving monitoring not currently in its definition of probation to determine if these activities are having unintended negative impact on people of color.	9/23/2021	Municipal Court
Seattle Minimum Wage Enforcement Audit	6	The Office of Labor Standards (OLS) and the City Attorney's Office should work together to propose to the City Council changes to the City's labor standards laws that would help encourage employers to cooperate with OLS by allowing for the daily and per employee accumulation of penalties while employers remain out of compliance with the City's labor standard laws. (Recommendation 5 from report)	12/16/2019	Labor Standards
Seattle Minimum Wage Enforcement Audit	8	The Office of Labor Standards (OLS) should devise a proposal to incorporate strategic planning, evaluation and review as an ongoing function of OLS management to City Council by September 2020. (Recommendation 7 from report)	12/16/2019	Labor Standards
Seattle Minimum Wage Enforcement Audit	18	The Office of Labor Standards (OLS) should conduct an analysis of the merits of contracting with a prime contractor who then subcontracts with other contractors versus contracting directly with multiple contractors. This analysis should consider racial equity implications, and OLS' ability to oversee multiple contractors and hold them accountable. The results of this analysis should be submitted to the City Council. (Recommendation 12 from report)	12/16/2019	Labor Standards
Seattle Minimum Wage Enforcement Audit	10	The Office of Labor Standards (OLS) should conduct an assessment of the appropriate level of enforcement versus outreach resources needed to implement strategic enforcement and achieve desired outcomes with a report to the City Council by September 2020. (Recommendation 7 from report)	12/16/2019	Labor Standards
Seattle's Sidewalk Maintenance and Repair Program	6	The Seattle Department of Transportation should increase property owner awareness and education about sidewalk responsibilities. (Recommendation 7.2 in the 2020 Policy Report.)	10/28/2021	Transportation
Seattle Minimum Wage Enforcement Audit	9	OLS should conduct an assessment of alternative staffing strategies to improve the efficiency and effectiveness of its investigations with a report to the City Council by September 2020. (Recommendation 7 from report)	12/16/2019	Labor Standards
Seattle Municipal Court Accounts Receivable and Revenue Recovery, Internal Controls Review	5	Most citizens set up on time-payments do not pay on time.	1/4/2007	Municipal Court
Seattle Municipal Court Accounts Receivable and Revenue Recovery, Internal Controls Review	1	Citizens' fines placed in collections can be pulled out when the citizen receives new violations and fines.	1/4/2007	Municipal Court
Seattle Municipal Court Accounts Receivable and Revenue Recovery, Internal Controls Review	2	SMC's review of employee adjustments to financial obligations could be improved.	1/4/2007	Municipal Court
Seattle Municipal Court Accounts Receivable and Revenue Recovery, Internal Controls Review	4	Time-payment policies result in inefficiencies and allow citizens to delay payment.	1/4/2007	Municipal Court
Seattle Municipal Court Accounts Receivable and Revenue Recovery, Internal Controls Review	10	SMC policies create inefficiencies and staff time is wasted pursuing monies unlikely to be paid.	1/4/2007	Municipal Court
Seattle Municipal Court Accounts Receivable and Revenue Recovery, Internal Controls Review	9	SMC does not collect or track performance measurement data for revenue recovery processes.	1/4/2007	Municipal Court
Seattle Municipal Court Accounts Receivable and Revenue Recovery, Internal Controls Review	3	A high percentage of citizens do not pay parking tickets or traffic and non-traffic infractions in a timely manner.	1/4/2007	Municipal Court
Seattle Municipal Court Accounts Receivable and Revenue Recovery, Internal Controls Review	8	Many citizens set up on community service plans do not fulfill the plan's terms.	1/4/2007	Municipal Court
Seattle Municipal Court Accounts Receivable and Revenue Recovery, Internal Controls Review	7	Community service policies result in inefficiencies and allow citizens not to properly honor their community service agreements.	1/4/2007	Municipal Court

Seattle Municipal Court Accounts Receivable and Revenue Recovery, Internal Controls Review	6	Time-payment research functions are inefficient and not properly supported by the Court's information system (MCIS).	1/4/2007	Municipal Court
City of Seattle Anti-Litter Efforts	4	SDOT should determine the magnitude of the costs for providing post-special event street sweeping services for free and consider whether to charge event organizers for this service.	4/19/2011	Transportation
City of Seattle Anti-Litter Efforts	6	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.	4/19/2011	Transportation
City of Seattle Anti-Litter Efforts	2	Work with Metro Transit to develop a plan for ensuring continued availability of litter receptacles at bus stops when bus shelters are removed and replaced with canopy bus zones.	4/19/2011	Planning and Community Development
City of Seattle Anti-Litter Efforts	5	SPU should continue to work with its two contract solid waste contractors (CleanScapes and Waste Management) to ensure that :1) Clear Alleys Program collections are not missed, and 2) thicker bags are used. SPU should also explore solutions with their Clear Alleys Program (CAP) recycling contractors to improve the storing and pick-up of stacked, loose cardboard which can result in alley litter.	4/19/2011	Public Utilities
Audit of Services the Metropolitan Improvement District Provides in Belltown	1	The DSA/MID should ensure that the Belltown neighborhood is included in the Retail Recruitment program.	6/8/2016	Economic Development
How Can Seattle Crime Analysis Rise to the Next Level?	3	SPD should optimize the use of its software tools.	1/10/2012	Police
How Can Seattle Crime Analysis Rise to the Next Level?	4	SPD should maximize report automation and self-service opportunities.	1/10/2012	Police
How Can Seattle Crime Analysis Rise to the Next Level?	2	SPD should prioritize the continuity and skill level of staff and leadership.	1/10/2012	Police
How Can Seattle Crime Analysis Rise to the Next Level?	1	SPD should make more sophisticated use of crime data.	1/10/2012	Police
Seattle District Council System Needs Renewal	1	The Department of Neighborhoods needs to improve its retention of district council records that it produces or that come into its possession. Records should be referred to the City Archivist when the retention period expires.	6/22/2009	Neighborhoods
Assessment of Seattle Municipal Court Probation Racial and Ethnic Proportionality	2	The Seattle Municipal Court should update the Municipal Court Information System demographic data by obtaining self-identified gender data from its probation clients during probation administrative processes.	9/23/2021	Municipal Court
Assessment of Seattle Municipal Court Probation Racial and Ethnic Proportionality	11	The Seattle Municipal Court should ensure that its new information technology system can monitor and report on probation outcomes and impacts by race and ethnicity and other demographic populations.	9/23/2021	Municipal Court
Evaluation of Compliance with Ordinance 125873: Notice of Intent to Sell	3	The Seattle Department of Construction and Inspections should include information about Notice of Intent to Sell Ordinance in the information packet sent to landlords who apply for Tenant Relocation licenses.	9/21/2021	Construction and Inspection
Assessment of Seattle Municipal Court Probation Racial and Ethnic Proportionality	14	The Seattle Municipal Court should develop internal controls to ensure termination reason data is sufficiently reliable for management purposes.	9/23/2021	Municipal Court
Assessment of Seattle Municipal Court Probation Racial and Ethnic Proportionality	13	The Seattle Municipal Court should develop data such that it can track and regularly assess the length of time people's cases remain open after completing court obligations and probation conditions.	9/23/2021	Municipal Court
Assessment of Seattle Municipal Court Probation Racial and Ethnic Proportionality	9	Given that in September 2021, the Seattle Municipal Court (SMC) will have one year of data for its new fine and fee structure, SMC should continue to examine the purpose and outcomes of its fines and fees and apply the City of Seattle Racial Equity Toolkit to eliminate discretionary and administrative fines and fees that have an adverse impact on the most vulnerable segments of the probation population (e.g., individuals who qualify for indigent status).	9/23/2021	Municipal Court
Assessment of Seattle Municipal Court Probation Racial and Ethnic Proportionality	12	The Seattle Municipal Court should clarify its policy on administrative case closures and create internal controls to ensure that its probation counselors are consistently submitting order to close recommendations to judges upon an individual's completion of court obligations and probation conditions.	9/23/2021	Municipal Court
Assessment of Seattle Municipal Court Probation Racial and Ethnic Proportionality	10	Seattle Municipal Court should establish internal controls to ensure waived and suspended fines and fees are properly applied and documented.	9/23/2021	Municipal Court

Assessment of Seattle Municipal Court Probation Racial and Ethnic Proportionality	4	The Seattle Municipal Court should include records checks as a distinct activity in its definition of probation services.	9/23/2021	Municipal Court
Assessment of Seattle Municipal Court Probation Racial and Ethnic Proportionality	1	The Seattle Municipal Court should update the Municipal Court Information System demographic data by obtaining self-identified race and ethnicity data from its probation clients during probation administrative processes.	9/23/2021	Municipal Court
Assessment of Seattle Municipal Court Probation Racial and Ethnic Proportionality	7	The Seattle Municipal Court should engage with communities of color, City stakeholders, and subject matter researchers about the replacement and implementation of its risk assessment tools.	9/23/2021	Municipal Court
Assessment of Seattle Municipal Court Probation Racial and Ethnic Proportionality	8	The Seattle Municipal Court should review its implementation practices for its new risk assessment tools to ensure they are consistent with the four criteria of anti-bias, relevance, validity, and consistent and transparent application.	9/23/2021	Municipal Court
Assessment of Seattle Municipal Court Probation Racial and Ethnic Proportionality	5	The Seattle Municipal Court should include information on records checks in its management data system so it can regularly assess and report on the impact of records checks on individuals.	9/23/2021	Municipal Court
Assessment of Seattle Municipal Court Probation Racial and Ethnic Proportionality	3	The Seattle Municipal Court (SMC) should perform a Racial Equity analysis on its probation program. The racial equity analysis should specify how SMC intends to address and report on its progress towards eliminating disproportionalities within the probation program, including how it intends to involve communities of color that are disproportionately represented in probation.	9/23/2021	Municipal Court
Seattle Minimum Wage Enforcement Audit	13	The City should work with Public Health – Seattle and King County officials or use food safety inspection data to identify employers who potentially may be violating labor standards laws. (Recommendation 9 from report)	12/16/2019	Labor Standards
Seattle Minimum Wage Enforcement Audit	3	The Office of Labor Standards (OLS) should develop a directed investigations implementation plan for the labor standards ordinances it enforces and document the effectiveness and results of its directed enforcement efforts in its OLS dashboard. (Recommendation 2 from report)	12/16/2019	Labor Standards
Seattle Minimum Wage Enforcement Audit	7	The City should refrain from negotiating confidential settlements with employers and should make it clear to employers that such agreements are unenforceable. (Recommendation 6 from report)	12/16/2019	Labor Standards
Seattle Minimum Wage Enforcement Audit	2	OLS should collect demographic and industry information during worker inquiries to ensure it has the information needed to inform its strategic enforcement and outreach efforts. (Recommendation 1, part 2)	12/16/2019	Labor Standards
Evaluation of Compliance with Ordinance 125873: Notice of Intent to Sell	1	The Seattle Department of Construction and Inspections and the Office of Housing should explore alternative approaches to oversight that would be cost efficient and would include ways to incentivize building owner compliance with the notice of intent to sell provisions of Ordinance 125873.	9/21/2021	Construction and Inspection
Understanding Seattle's Housing Market Shift from Small to Large Rental Properties: A Rental Registration and Inspection Ordinance Program Audit	9	The Mayor's Office should collaborate with the Seattle Department of Construction and Inspections, the Seattle Information Technology Department, and other participating departments in the Rental Registration and Inspections Ordinance program, such as the Department of Finance and Administrative Services, to create and execute a strategy, that includes sufficient resources, to provide adequate support for the Accela software used in the Rental Registration and Inspection Ordinance process.	12/21/2023	Mayor

Understanding Seattle's Housing Market Shift from Small to Large Rental Properties: A Rental Registration and Inspection Ordinance Program Audit	2	The Department of Construction and Inspections (SDCI) should coordinate with other City departments such as the Seattle Office for Civil Rights (SOCR) to provide more and better targeted information and resources to rental property owners. These resources should include comprehensive information on landlord-tenant regulations and programs and offer updated and accessible guidance on how to remain in compliance with the City's landlord-tenant regulations, beyond what is covered by SDCI's Rental Registration and Inspections Ordinance (RRIO) and Renting in Seattle programs. This could involve: <ul style="list-style-type: none"> • Improving current materials by including an easy-to-understand guide summarizing landlord-tenant regulations and programs. • Providing a regularly updated list of City of Seattle legislation affecting property owners, complete with direct links to the specific municipal codes for easy reference. • Developing a checklist of rental property owner (landlord) compliance requirements and a rental property owner (landlord) FAQ section that answers common questions about Seattle's rental regulations. • Resuming and offering more training and workshops to help property owners understand how to meet City of Seattle rental regulations. 	12/21/2023	Construction and Inspection
Seattle Minimum Wage Enforcement Audit	17	The Office of Labor Standards (OLS) should create a comprehensive outreach plan that directs and coordinates the work of OLS' internal and external outreach functions with the goal of improving organizational efficiencies, oversight, and performance, and the coordination between OLS and its external contract outreach providers, as well among the outreach providers. (Recommendation 11 from report)	12/16/2019	Labor Standards
Seattle Minimum Wage Enforcement Audit	4	The Office of Labor Standards (OLS) should seek clarification from the City Council to determine whether OLS' policy of emphasizing assessing employers for remedies that are paid to employees while deemphasizing civil penalties and fines that would go to the City is consistent with the intent of the City's labor standards laws. (Recommendation 3 from report)	12/16/2019	Labor Standards
Seattle Minimum Wage Enforcement Audit	20	OLS should require an accounting of and receipts for contractor expenses, and conduct audits of its outreach contactors. (Recommendation 13 from report)	12/16/2019	Labor Standards
Seattle Minimum Wage Enforcement Audit	5	OLS should work with the City Attorney's Office to facilitate the use of a greater range of the enforcement tools available to the City of Seattle, to increase the City's assessment of civil penalties to the City. (Recommendation 4 from report)	12/16/2019	Labor Standards
Seattle Minimum Wage Enforcement Audit	15	The Office of Labor Standards (OLS) should report on key performance indicators: <ol style="list-style-type: none"> 1. the amount of civil penalties to the City assessed 2. the number and results of directed investigations, and 3. the average number of days to resolve investigations. (Recommendation 10 from report)	12/16/2019	Labor Standards
Seattle Minimum Wage Enforcement Audit	16	OLS should provide the above information and the complaint/inquiry form in multiple languages. (Recommendation 10 from report)	12/16/2019	Labor Standards
Understanding Seattle's Housing Market Shift from Small to Large Rental Properties: A Rental Registration and Inspection Ordinance Program Audit	3	The Department of Finance and Administrative Services should establish internal controls within their processes and information technology system (Accela), in consultation with the Seattle Department of Construction and Inspections (SDCI), to enhance Short-Term rental (STR) compliance with Rental Registration and Inspections Ordinance (RRIO) registration requirements during both new license issuance and renewal stages. These internal controls could include cross-referencing RRIO-registered addresses, verifying active RRIO status, and flagging and notifying the RRIO program and the STR licensee when a RRIO status becomes inactive.	12/21/2023	Finance and Administrative Services

Understanding Seattle's Housing Market Shift from Small to Large Rental Properties: A Rental Registration and Inspection Ordinance Program Audit	4	The Department of Finance and Administrative Services and the Department of Construction and Inspections (SDCI) should use their shared information technology system (Accela) to enhance Rental Registration and Inspections Ordinance (RRIO) compliance monitoring and enforcement by providing each department access to relevant RRIO and Short-Term Rental (STR) data. This access could include key information such as STR licensee addresses, RRIO statuses, RRIO record IDs, and expiration dates.	12/21/2023	Construction and Inspection
Seattle Minimum Wage Enforcement Audit	1	The Office of Labor Standards should minimize or eliminate the use of the "other" category.	12/16/2019	Labor Standards
Seattle Minimum Wage Enforcement Audit	19	The Office of Labor Standards should increase its outreach contractor oversight, including requiring evidence of outreach activities, such as flyers, photos and sign-in sheets. (Recommendation 13 from report)	12/16/2019	Labor Standards
Seattle Minimum Wage Enforcement Audit	12	The City should direct all City departments to cooperate in the enforcement of labor standards laws. (Recommendation 9 from report)	12/16/2019	Labor Standards
Seattle Minimum Wage Enforcement Audit	14	The Office of Labor Standards (OLS) should improve its website to clarify its enforcement processes. (Recommendation 10 from report)	12/16/2019	Labor Standards
Seattle Minimum Wage Enforcement Audit	21	The Office of Labor Standard's (OLS) reporting tools of contractor performance should be improved to better measure the effectiveness of its outreach efforts. Specifically, OLS and its contractors should more consistently track demographic information of employee intakes, and how employee intakes were addressed, including the reasons for referrals to other agencies. (Recommendation 14 from report)	12/16/2019	Labor Standards
Seattle Minimum Wage Enforcement Audit	11	As part of its Comprehensive Outreach Plan, the Office of Labor Standards (OLS) should develop a long-term strategy to develop the capacities of worker and community organizations it contracts with to 1) increase OLS' understanding of industries at high risk of labor standard violations, and 2) to assist OLS in its enforcement efforts, including identifying violations, subsequent case preparation, and witness interviews. (Recommendation 8 from report)	12/16/2019	Labor Standards
Seattle Public Utilities Revenue Cycle Audit – Wastewater: Internal Controls	7	There are issues with the way sewer submeters are setup in the Consolidated Customer Service System (CCSS) billing system.	4/11/2011	Public Utilities
Seattle Public Utilities Revenue Cycle Audit – Wastewater: Internal Controls	10	There is no procedure to ensure that all contractors are billed by SPU for construction site dewatering.	4/11/2011	Public Utilities
Seattle Public Utilities Revenue Cycle Audit – Wastewater: Internal Controls	15	Improved controls are needed over the review and approval of King County sewer processing invoices before payment.	4/11/2011	Public Utilities
Seattle Public Utilities Revenue Cycle Audit – Wastewater: Internal Controls	3	The Ronald Sewer District is not remitting half of the sewer charges collected from 8 customers connected to SPU's sewer system.	4/11/2011	Public Utilities
Seattle Public Utilities Revenue Cycle Audit – Wastewater: Internal Controls	13	SPU has problems with delinquent inactive accounts that result in uncollectable accounts of over \$1 million.	4/11/2011	Public Utilities
Seattle Public Utilities Revenue Cycle Audit – Wastewater: Internal Controls	5	SPU does not have a program to ensure consistent and ongoing monitoring of the accuracy of customer sewer submeters and water meter setups.	4/11/2011	Public Utilities
Seattle Public Utilities Revenue Cycle Audit – Wastewater: Internal Controls	8	High strength industrial waste (HSIW) discharge volumes used by SPU for billing purposes are self-reported by industrial commercial customers to King County, and there is little verification of these volumes.	4/11/2011	Public Utilities
Seattle Public Utilities Revenue Cycle Audit – Wastewater: Internal Controls	4	There are issues with self-read sewer submeters.	4/11/2011	Public Utilities
Seattle Public Utilities Revenue Cycle Audit – Wastewater: Internal Controls	6	SPU does not have a program to verify the accuracy of sewer submeters.	4/11/2011	Public Utilities
Seattle City Light Salvage Unit Fraud Risk Audit	3	All weigh tickets should be retained in accordance with SCL's document retention policies.	6/6/2014	City Light
Seattle City Light Salvage Unit Fraud Risk Audit	19	All weigh tickets should be signed by the customer. [Recommendation 8.2(2)]	6/6/2014	City Light
Seattle City Light Salvage Unit Fraud Risk Audit	10	We recommend the Salvage Unit use a separate numbering system for sales receipts vs. receipts used for deliveries to facilitate sequential tracking and control. [Recommendation 4 (2)]	6/6/2014	City Light
Seattle City Light Salvage Unit Fraud Risk Audit	26	Monitoring controls should be implemented by FAS management to help ensure that surplus items are sold in accordance with the authorization. [Recommendation 11.0 (2)]	6/6/2014	City Light

Seattle City Light Salvage Unit Fraud Risk Audit	9	Only sequentially numbered delivery receipts should be used to help ensure that all such receipts are accounted for, whether they are used to record a sales transaction or a delivery. Receipts used for deliveries should be traced to sales documents to ensure completeness of sales recording. [Recommendation 4 (1)]	6/6/2014	City Light
Seattle City Light Salvage Unit Fraud Risk Audit	4	SCL should either obtain supporting credit information or payment guarantees, or require that payments for bid sales be made in full before the customer takes delivery of the materials.	6/6/2014	City Light
Seattle City Light Salvage Unit Fraud Risk Audit	25	FAS should issue the blanket authorization for the sale of courtesy items as required by policy. FAS should also define, in writing, materials and equipment that should be sold through contracts and bid sales, and update the list as necessary. [Recommendation 11.0 (1)]	6/6/2014	City Light
Seattle City Light Salvage Unit Fraud Risk Audit	16	Supporting documentation for all Salvage Unit sales should be reconciled to the surplus sales invoice by personnel independent of the Salvage Unit, such as Warehouse or Cost Accounting personnel. Reconciliation should include verification of pricing (e.g., use of appropriate contract pricing or reasonableness of courtesy sale pricing), and agreement of the invoice details to supporting documentation such as weigh tickets and cash receipt documents. [Recommendation 7]	6/6/2014	City Light
Seattle City Light Salvage Unit Fraud Risk Audit	22	Payments relating to contract sales should be made directly to FAS Treasury, as required by SCL policy. [Recommendation 9.0]	6/6/2014	City Light
Seattle City Light Salvage Unit Fraud Risk Audit	6	SCL management should enforce compliance with policies and procedures that require SCL Security personnel to check sales documentation for all customers.	6/6/2014	City Light
Seattle City Light Salvage Unit Fraud Risk Audit	5	All balances not collected at the time of delivery to the customer should be recorded as a receivable in the financial accounting system and tracked to ensure timely and complete payment. Personal bills of sale should be issued for every delivery.	6/6/2014	City Light
Seattle City Light Salvage Unit Fraud Risk Audit	17	SCL management should enforce compliance with current policies and procedures that require the signatures on all personal bills [Recommendation 8.1]	6/6/2014	City Light
Seattle City Light Salvage Unit Fraud Risk Audit	24	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)]	6/6/2014	City Light
Seattle City Light Salvage Unit Fraud Risk Audit	8	Warehouse personnel should perform the purchase invoice reconciliations as required. [Recommendation 3 (3)]	6/6/2014	City Light
Seattle City Light Salvage Unit Fraud Risk Audit	18	SCL's written policies that govern Salvage Unit activities should require that all sales of salvage materials contain supporting documentation, including weigh tickets, shipping manifests, delivery receipts, and cash receipts. The invoice should be reconciled to the supporting documentation by personnel independent of the Salvage Unit. [Recommendation 8.2(1)]	6/6/2014	City Light
Seattle City Light Salvage Unit Fraud Risk Audit	23	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)]	6/6/2014	City Light
Seattle City Light Salvage Unit Fraud Risk Audit	15	SCL should develop written accounting policies and procedures that include the reconciliation of the 18416 account. [Recommendation 6 (2)]	6/6/2014	City Light
Seattle City Light Salvage Unit Fraud Risk Audit	7	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)	6/6/2014	City Light
Seattle City Light Salvage Unit Fraud Risk Audit	27	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]	6/6/2014	City Light

Seattle City Light Salvage Unit Fraud Risk Audit	14	The 18416 clearing account should be reconciled by SCL accounting personnel soon after the end of each month. The SCL General Accounting Manager or an accounting supervisor should approve all account reconciliations, including the year-end balance reclassification, to ensure all variances have been appropriately identified and discrepancies timely resolved. [Recommendation 6 (1)]	6/6/2014	City Light
Seattle City Light Salvage Unit Fraud Risk Audit	20	All transformers should have their specified KVA (1000 volt amps) ratings noted on the personal bill of sale. Supporting documents should be reconciled to the invoice. [Recommendation 8.2(3)]	6/6/2014	City Light
Seattle City Light Salvage Unit Fraud Risk Audit	13	SCL should identify other salvage materials and equipment of value and track quantities for sale in the same manner as wire and transformers. Periodic reconciliations between recorded and physical quantities on hand should be performed by personnel independent of the Salvage Unit, and discrepancies should be investigated. [Recommendation 5 (3)]	6/6/2014	City Light
Understanding Seattle's Housing Market Shift from Small to Large Rental Properties: A Rental Registration and Inspection Ordinance Program Audit	7	The Seattle Department of Construction and Inspections should regularly update the Race and Social Justice Initiative (RSJI) Roadmap for the Rental Registration and Inspections Ordinance program to ensure that it is aligned with the City's RSJI guidelines.	12/21/2023	Construction and Inspection
Evidence-Based Assessment of the City of Seattle's Crime Prevention Programs	1	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.	9/6/2012	Police
Seattle City Light Billable Pole Attachments and Pole Replacements Audit	4	City Light management should take steps to eliminate or minimize the causes of unapplied prepayments.	10/30/2020	City Light
Seattle City Light Billable Pole Attachments and Pole Replacements Audit	13	City Light management should design and implement appropriate security measures for the AntTracker system to help ensure only authorized users have read-write access.	10/30/2020	City Light
Seattle City Light Billable Pole Attachments and Pole Replacements Audit	5	City Light management should monitor the prepayment aging report to help ensure prepayments are applied timely.	10/30/2020	City Light
Seattle City Light Billable Pole Attachments and Pole Replacements Audit	8	City Light should create and implement written management-approved policies and procedures governing the timeliness of joint pole replacement billing.	10/30/2020	City Light
Seattle City Light Billable Pole Attachments and Pole Replacements Audit	2	City Light should design and implement written management approved policies and procedures covering the preparation of wireline billing, including the implementation of controls to help ensure the accuracy and completeness of wireline billing.	10/30/2020	City Light
Seattle City Light Billable Pole Attachments and Pole Replacements Audit	1	City Light should establish target permit issuance timelines for wireline pole attachments, monitor performance against those targets, and identify and address issues that may be inhibiting its ability to achieve them.	10/30/2020	City Light
Seattle City Light Billable Pole Attachments and Pole Replacements Audit	3	City Light should design and implement internal controls that address the risk of inaccurate joint facility notification billing calculations for pole replacements and decrease the risk of billing omission errors on large projects.	10/30/2020	City Light
Seattle City Light Billable Pole Attachments and Pole Replacements Audit	9	City Light management should make every effort to settle the past due joint pole delinquent balance of about \$3 million as soon as possible.	10/30/2020	City Light
Seattle City Light Billable Pole Attachments and Pole Replacements Audit	7	City Light management should document and implement billing timeliness requirements for pole attachment and replacement customers and monitor those timelines.	10/30/2020	City Light
Seattle City Light Billable Pole Attachments and Pole Replacements Audit	12	City Light management should require the WAMS Security Coordinators to monitor management's compliance with City policy regarding periodic reviews.	10/30/2020	City Light
Seattle City Light Billable Pole Attachments and Pole Replacements Audit	11	City Light should require the PeopleSoft Security Coordinator to monitor management's compliance with City policy regarding management reviews.	10/30/2020	City Light

Information Technology Security and Risk Assessment of the Seattle Department of Transportation's Traffic Management Center and Control System	1	OCA 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.	7/5/2012	Information Technology
Understanding Seattle's Housing Market Shift from Small to Large Rental Properties: A Rental Registration and Inspection Ordinance Program Audit	5	The Seattle Department of Construction and Inspections (SDCI) should update its Rental Registration and Inspections Ordinance policies to define the roles, responsibilities, and liabilities for all parties involved in the rental registration process and improve communications with registrants to help ensure it has the correct contact information for property owners and their designees.	12/21/2023	Construction and Inspection
Understanding Seattle's Housing Market Shift from Small to Large Rental Properties: A Rental Registration and Inspection Ordinance Program Audit	8	Given the trend of an increasing share of large multi-family properties registered with the Rental Registration and Inspections Ordinance (RRIO) program, the Seattle Department of Construction and Inspections should review and update the RRIO program's fee structure to ensure it adequately covers the program's operational costs and sustains it financially for the long term.	12/21/2023	Construction and Inspection
Understanding Seattle's Housing Market Shift from Small to Large Rental Properties: A Rental Registration and Inspection Ordinance Program Audit	1	If the City of Seattle wants to preserve single-family and small multi-family property rental housing, it should consider enacting policies that support the continued presence of this type of property in Seattle's rental market. When considering such policies, the City should involve stakeholders most impacted by rental housing policies.	12/21/2023	City Council
Understanding Seattle's Housing Market Shift from Small to Large Rental Properties: A Rental Registration and Inspection Ordinance Program Audit	6	To ensure more effective Rental Registration and Inspections Ordinance (RRIO) program enforcement and outreach, the Seattle Department of Construction and Inspections (SDCI) should update its RRIO information technology system (Accela) to simplify the process of registration, renewal, and termination, reduce data entry errors, and enhance the management of information, particularly for property owners and their designees' contact information.	12/21/2023	Construction and Inspection
Addressing Places in Seattle Where 3 Overdoses and Crime are Concentrated: An Evidence-Based Approach	3	The Mayor's Office should identify a "project champion" to oversee the City's efforts to address places where overdoses and crime are concentrated.	7/9/2024	Mayor
Addressing Places in Seattle Where 4 Overdoses and Crime are Concentrated: An Evidence-Based Approach	4	The Mayor's Office, in collaboration with the Office of Emergency Management, Seattle Fire Department, Seattle Police Department, and other stakeholders, should establish a coordination system such as the Multi-Agency Coordination Group. The group should have well-defined objectives, goals, and reporting mechanisms.	7/9/2024	Mayor
Addressing Places in Seattle Where 7 Overdoses and Crime are Concentrated: An Evidence-Based Approach	7	The Seattle Police Department, in consultation with the Mayor's Office and federal partners, should explore the establishment of a joint law enforcement task force for fatal overdoses.	7/9/2024	Police
Addressing Places in Seattle Where 5 Overdoses and Crime are Concentrated: An Evidence-Based Approach	5	The Mayor's Office should formalize an ongoing City relationship with Northwest High Intensity Drug Trafficking Area's Overdose Response Strategy group to continue to leverage its technical assistance resources and coordination with other government agencies.	7/9/2024	Mayor
Addressing Places in Seattle Where 2 Overdoses and Crime are Concentrated: An Evidence-Based Approach	2	The Mayor's Office should lead the City in seeking federal technical assistance and funding to address places where overdoses and crime are concentrated.	7/9/2024	Mayor
Addressing Places in Seattle Where 1 Overdoses and Crime are Concentrated: An Evidence-Based Approach	1	The Mayor's Office should lead the City in addressing places where overdoses and crime are concentrated using a proven problem-solving methodology (e.g., the Substance Abuse and Mental Health Services Administration's Strategic Prevention Framework). This should include continuing the problem-solving work on Third Avenue from Virginia to Blanchard.	7/9/2024	Mayor
Evaluation of Compliance with Ordinance 125873: Notice of Intent to Sell	4	The Office of Housing (OH) should explore methods for assisting tenants to purchase their buildings. This would include identifying case studies of other cities that have developed programs, such as the Washington D.C. Tenant Opportunity to Purchase Act, to help tenants purchase buildings. These programs could be models for Seattle to consider. OH should review the programs to better understand their impact and any lessons that may be learned from them.	9/21/2021	Housing

Evaluation of Compliance with Ordinance 125873: Notice of Intent to Sell	5	The Office of Housing should seek input from affordable housing providers to learn if the current Notice of Intent to Sell (NOIS) ordinance meets their needs for preservation opportunities or if there are specific gaps in the ordinance that prevent providers from using NOIS	9/21/2021	Housing
Addressing Places in Seattle Where Overdoses and Crime are Concentrated: An Evidence-Based Approach	6	The Mayor's Office should lead the City's implementation of the Overdose Mapping and Application Program (ODMAP).	7/9/2024	Mayor
Evaluation of Compliance with Ordinance 125873: Notice of Intent to Sell	2	The Seattle Department of Construction and Inspections should include information about landlords' responsibilities under the Notice of Intent to Sell Ordinance in the Renter's Handbook that landlords are required to provide to tenants when a lease is signed or renewed.	9/21/2021	Construction and Inspection
Indigent Defense Services Follow-up and 2010 Audit	4	In conducting client case file reviews, the City Budget Office should select cases that better represent the workload of attorneys by selecting 25 full credit cases and 5 probation cases.	12/15/2010	Budget Office
Indigent Defense Services Follow-up and 2010 Audit	3	Change contracts with the public defense agencies or establish a memorandum of understanding to specify the circumstances an attorney-client contact before actual case assignment meets contract provisions 5A.5 and 5A.6.	12/15/2010	City Council
Indigent Defense Services Follow-up and 2010 Audit	2	Change the language in the contracts with public defense agencies related to initial attorney contact with out-of-custody clients as proposed in report. See page 8.	12/15/2010	City Council
Indigent Defense Services Follow-up and 2010 Audit	10	The City Budget Office should screen files for evidence of continuous representation in future audits of public defense agencies' client files.	12/15/2010	Budget Office
Indigent Defense Services Follow-up and 2010 Audit	5	The City Budget Office (CBO) should monitor Continuing Legal Education (CLE) credits to confirm that attorneys that were on track to meet requirements in an audit actually do so in the next audit by reviewing those attorneys' CLE compliance. In addition, CBO should continue its practice of reviewing CLE reports for seven new randomly selected attorneys.	12/15/2010	Budget Office
Indigent Defense Services Follow-up and 2010 Audit	13	Change future defendants surveys by: 1) Asking respondents to identify themselves as in-custody or out-of-custody defendants; 2) Not allowing open-ended responses to questions when a choice of specific answers could be provided in the survey; 3) Allowing respondents to provide comments for both yes and no answers in the survey.	12/15/2010	Municipal Court
Indigent Defense Services Follow-up and 2010 Audit	9	The City Budget Office should work with the public defense agencies to determine a method for taking over to account large numbers of cases that are carried over from previous years when assessing attorney compliance with the 380 caseload standard.	12/15/2010	Budget Office
Indigent Defense Services Follow-up and 2010 Audit	6	The CAP Oversight Committee should consider whether the Seattle Municipal Court's Presiding Judge and Chief Clerk should refrain from selecting attorneys for the CAP, but continue to serve on the CAP Oversight Committee.	12/15/2010	Municipal Court
Indigent Defense Services Follow-up and 2010 Audit	8	The department responsible for collecting payments from defendants who can pay a portion of their costs should report to the City Council quarterly on the amount the City collects from those payments.	12/15/2010	Mayor
Indigent Defense Services Follow-up and 2010 Audit	11	The City's next contact with the public defense agencies should be more specific about the attorney/support ratio being met through an annual average of .5 support staff for every attorney.	12/15/2010	City Council
Indigent Defense Services Follow-up and 2010 Audit	1	Change Section 5A.5 of the City's contract with the public defense agencies to clearly note that this contract provision applies to in-custody clients and that Section 5A.6 applies to out-of-custody clients.	12/15/2010	City Council
Indigent Defense Services Follow-up and 2010 Audit	7	The Seattle Municipal Court should continue to work with the City Budget Office, and the Department of Finance and Administrative Services (FAS) to address several issues related to the process of determining eligibility, the collection of defendants' public defender costs, and determining whether recovering costs from defendants who are found not guilty or whose case is dismissed, like King County does, is a viable option.	12/15/2010	Municipal Court
Assessment of Consolidated Customer Service System (CCSS) Transaction Controls, Policies and Procedures, and Associated Results from CCSS Data Mining Project	3	Improved management reporting on late fee rebates is needed to highlight potential inappropriate activity at the UserID or Customer Account level.	4/29/2014	Public Utilities

Assessment of Consolidated Customer Service System (CCSS) Transaction Controls, Policies and Procedures, and Associated Results from CCSS Data Mining Project	2	The Utilities should establish dollar-level limits for customer account adjustments entered by non-supervisors.	4/29/2014	Public Utilities
Assessment of Consolidated Customer Service System (CCSS) Transaction Controls, Policies and Procedures, and Associated Results from CCSS Data Mining Project	5	The Utilities should revise payment plan procedures to require supervisory approval for payment plans established without the initial required payment.	4/29/2014	Public Utilities
Assessment of Consolidated Customer Service System (CCSS) Transaction Controls, Policies and Procedures, and Associated Results from CCSS Data Mining Project	1	Improved management reporting on customer adjustments is needed to highlight potential inappropriate activity at the UserID or Customer Account level.	4/29/2014	Public Utilities
Seattle Public Utilities Billing and Accounts Receivable – Drainage Fees, Internal Controls Review	8	The data in DBS needs to be reviewed and cleaned up, and delinquent commercial accounts need to be researched to ensure that property data is accurate.	2/8/2007	Public Utilities
Seattle Public Utilities Billing and Accounts Receivable – Drainage Fees, Internal Controls Review	11	A new and up-to-date MOA should be established between King County and SPU for Drainage administration services.	2/8/2007	Public Utilities
Seattle Public Utilities Billing and Accounts Receivable – Drainage Fees, Internal Controls Review	4	Delinquent Drainage fee accounts should be tracked, researched, and followed up on to ensure recovery of utility services revenues is maximized.	2/8/2007	Public Utilities
Seattle Public Utilities Billing and Accounts Receivable – Drainage Fees, Internal Controls Review	12	We recommend that SPU management re-evaluate the current outsourced arrangement for Drainage administration functions, consider its pros and cons, and then determine whether it would be better to have SPU perform some or all of these functions.	2/8/2007	Public Utilities
Seattle Public Utilities Billing and Accounts Receivable – Drainage Fees, Internal Controls Review	7	Controls should be adequate to ensure potentially unauthorized or fraudulent adjustments to Drainage fees and Drainage fee receivables are prevented or detected. [A] but a better control would be to send a copy of the Change Register report to a staff member who does not have update system access rights and holds a high enough position to feel comfortable in questioning the legitimacy of a Drainage receivable adjustment.	2/8/2007	Public Utilities
Seattle Public Utilities Billing and Accounts Receivable – Drainage Fees, Internal Controls Review	9	DBS systems access rights should be monitored by SPU management and specific user rights should be periodically reviewed to determine if they are still appropriate and in line with job responsibilities. DBS update access rights should be limited to staff who require it to perform their job functions, because this access can affect Drainage fees.	2/8/2007	Public Utilities
Seattle Public Utilities Billing and Accounts Receivable – Drainage Fees, Internal Controls Review	1	SPU should be provided with more accurate and complete property characteristics variance reporting from King County.	2/8/2007	Public Utilities
Addressing Places in Seattle Where Overdoses and Crime are Concentrated: An Evidence-Based Approach	8	The Mayor's Office should ensure that the City regularly evaluates its efforts to address places where overdoses and crime are concentrated as required by proven problem-solving methodologies (e.g., the Substance Abuse and Mental Health Services Administration's Strategic Prevention Framework).	7/9/2024	Mayor
Seattle Police Department Overtime Controls Audit	17	SPD should develop a report that provides a department-wide, comprehensive summary and breakdown of overtime use for all work activities. [Recommendation 15]	4/11/2016	Police

Seattle Police Department Overtime 22
Controls Audit

SPD should consider assigning an analyst within SPD Finance or another area outside of SPD operations to monitor and research overtime. This proposed independent monitoring of overtime should supplement our recommended reviews by section leaders. This monitoring should assess whether overtime is being worked and paid in compliance with policies and procedures, and it should also be designed to prevent and/or detect unnecessary or abusive overtime. Any exceptions identified by the independent monitor should be followed up on by an administrative sergeant.

4/11/2016

Police

Below are some overtime monitoring activities that should be conducted by someone independent of SPD's sworn field operations command structure:

- Conduct routine audits of the sections and individuals with the highest overtime (e.g., top 10%) to review compliance with policies and necessity of overtime reported. Review the supporting payroll documents for these employees.
- Conduct periodic audits of overtime worked for randomly selected employees and pull and review supporting payroll documentation.
- Run queries and analyses of payroll data to look for overtime that does not comply with department policies. For example, the San Francisco Police Department has an exception report of personnel working more than 14 hours in a day (i.e., their maximum cap for a workday) and this report is reviewed and followed up on by an administrative sergeant.
- Run queries and analyses of payroll data to identify patterns that may indicate unnecessary overtime or overtime abuse, for instance:
 - overtime worked every day by the same employees;
 - employees consistently working overtime on certain days of the month.

Seattle Police Department Overtime 20
Controls Audit

SPD should increase the level and frequency of overtime monitoring required of section leaders and should ensure such monitoring is documented. To do this, SPD senior management should set clear expectations for how and when section leaders should monitor overtime (e.g., monthly, quarterly, bi-annually, annually). At a minimum, section leaders should conduct monthly reviews of overtime use by individual and activity. SPD should also develop a one-page monthly overtime monitoring sign-off sheet that identifies the information each section leader is responsible for reviewing, and section leaders should use these forms to document their monthly reviews. [Recommendation 18]

4/11/2016

Police

Action is Needed to Explore Ways to Offer an Evidence-Based Treatment for People Who Use Methamphetamine 1

Government, including the City of Seattle, should act with urgency to address methamphetamine use disorder in non-clinical settings by exploring ways to scale up implementation of evidence-based treatment (i.e., Contingency Management) with innovations that reduce barriers to participation and with ongoing rigorous research to ensure that positive outcomes are achieved.

10/24/2022

Mayor

Seattle Police Department Overtime 30
Controls Audit

SPD should contact event organizers to collect payment when debts are 30 days delinquent or earlier. [Recommendation 28]

4/11/2016

Police

Seattle Police Department Overtime 19
Controls Audit

SPD should re-visit its overtime coding structure and provide regular training to all staff on how to code their overtime. [Recommendation 17]

4/11/2016

Police

The City of Seattle Should Use a Data Dashboard to Track its Progress in Addressing Unsanctioned Encampments 1

The City of Seattle should develop and regularly update a data dashboard to track its progress addressing unsanctioned encampments. This dashboard should be developed with input from City departments, the King County Regional Homelessness Authority, and people with lived experience of homelessness. Any new data collection systems to support the dashboard should comply with privacy laws.

7/15/2022

Mayor

Seattle Police Department Overtime Controls Audit	1	SPD should develop and enforce a clear, detailed overtime usage policy that provides (a) management sufficient guidance on the appropriate uses of overtime, including compensatory time, and (b) direction on the proper recording and coding of overtime in the City's payroll system. This policy should address the following: <ul style="list-style-type: none"> •the activities or service needs that may justify overtime; •the activities or service needs that do not justify overtime or require special management approval; •requirements for supervisory approvals and approval processes and documentation; •any maximum thresholds for overtime hours or total work hours (i.e., regular time plus overtime and off-duty work hours); •when compensatory time can be earned in lieu of payment for overtime; •how employees should record overtime to ensure it is paid accurately (e.g., when to record hours in the City's Employee Self Service system or use an Event Summary Form); and •how employees should code overtime to ensure accountability and transparency and to facilitate payroll and overtime monitoring processes. This policy should include an effective date and an approval signature. [Recommendation 1]	4/11/2016	Police
Seattle Police Department Overtime Controls Audit	31	SPD should write off delinquent accounts for special event reimbursements in a timely manner. [Recommendation 29]	4/11/2016	Police
Seattle Police Department Overtime Controls Audit	16	SPD should consider staffing some positions with civilians, rather than sworn officers, to reduce overtime expenses. SPD should consider civilian staffing in the Background Unit, the Office of Professional Accountability, and the Education and Training Section. [Recommendation 14]	4/11/2016	Police
The City Can Do More to Tackle Organized Retail Crime in Seattle	3	The City should consider using free technical assistance from the U.S. Department of Justice to begin to apply problem-oriented-policing techniques to address known organized retail crime fencing operations.	7/21/2023	Mayor
Seattle Police Department Overtime Controls Audit	21	SPD should ensure section leaders have the overtime reports needed to perform the overtime monitoring activities described in Recommendation 18. [Recommendation 19]	4/11/2016	Police
Seattle Police Department Overtime Controls Audit	14	SPD should ensure that all overtime hours are properly coded to specific activities to provide SPD management with adequate information on the overtime worked for the department. [Recommendation 12]	4/11/2016	Police
Seattle Police Department Overtime Controls Audit	12	SPD should develop a way to record supervisory approval of all overtime in the payroll system and not allow payment without proper approval. [Recommendation 10]	4/11/2016	Police
Seattle Police Department Overtime Controls Audit	24	SPD should develop a consistent approach and criteria for planning event staffing and managing risk at special events. [Recommendation 22]	4/11/2016	Police
The City Can Do More to Tackle Organized Retail Crime in Seattle	7	The City should leverage its experience with place-based crime prevention to address illegal street markets where stolen goods are fenced. This should include supporting the completion of Seattle Police Department's place-based recommendations for the 12th and Jackson intersection.	7/21/2023	Mayor
The City Can Do More to Tackle Organized Retail Crime in Seattle	6	The City should explore leveraging pro bono technology services from retailers in its investigations of organized retail crime fencing.	7/21/2023	Mayor
The City Can Do More to Tackle Organized Retail Crime in Seattle	2	The City should make a coordinated and prioritized request(s) to the Washington State Attorney General and Homeland Security Investigations for assistance with organized retail crime fencing crime analysis.	7/21/2023	Mayor
The City Can Do More to Tackle Organized Retail Crime in Seattle	8	To help address organized retail crime, the City should explore ways to reduce barriers for small businesses to participate in crime prevention trainings.	7/21/2023	Mayor
Seattle Police Department Overtime Controls Audit	5	SPD section management should explain and document any significant variances from the overtime budget to SPD senior management (i.e., Assistant Chiefs, Director of Finance, Chief Operating Officer, and Chief). [Recommendation 4]	4/11/2016	Police

Seattle Police Department Overtime 18 Controls Audit	We recommend that SPD Finance develop and regularly review (e.g., quarterly) the following types of reports to expand its current scope of overtime review and analysis: <ul style="list-style-type: none"> •Overtime Trend Analysis – change in overtime spending and hours, in total and by section; •Comp Time Trend Analysis – change in overtime taken as comp time, in total and by section; •Comparative Activity Analysis – overtime by primary activity categories compared to prior periods; •Personnel with Highest Amounts of Overtime – overtime for all personnel over a certain amount (in hours and dollars) or for the top 10% or so; •Overtime Distribution Analysis – overtime distribution by days of the week or months of the year, and on the individual dates with highest overtime historically (e.g., 4th of July); and •Analysis of overtime caused by the need to backfill for staff out on leave (e.g., sick leave or vacation). [Recommendation 16]	4/11/2016	Police
Seattle Police Department Overtime 8 Controls Audit	SPD should implement a process to ensure that overtime costs are accurately recorded and tracked by employee assignment. [Recommendation 6]	4/11/2016	Police
Seattle Police Department Overtime 7 Controls Audit	Each SPD section leader should verify that all overtime charged to his or her section is appropriate and reconcile overtime hours with the supporting overtime documentation (e.g., Overtime Request Forms, Event Summary Forms, or other documents). This monitoring should be done in coordination with the section-leader monitoring we describe in Recommendation 18. [Recommendation 5]	4/11/2016	Police
Seattle Police Department Overtime 4 Controls Audit	SPD should develop a realistic overtime budget to fund its overtime needs. The overtime budget should reflect the input of SPD section leaders (i.e., primarily captains) who spend against the budget, the number of department vacancies, planning for special events, and should factor in reductions in overtime costs that result from improved controls, as outlined in this audit report. [Recommendation 3]	4/11/2016	Police
Seattle Police Department Overtime 26 Controls Audit	SPD should compare actual hours worked to hours planned for all special events, and significant variances should be explained, evaluated, and documented for SPD management. [Recommendation 24]	4/11/2016	Police
Seattle Police Department Overtime 3 Controls Audit	SPD should develop and enforce clear and detailed policies and procedures that address all overtime administrative processes, including the following: <ul style="list-style-type: none"> •payroll processes for the handling and monitoring of overtime; •authorization of overtime before it is worked; •approval of recorded overtime before payment; •review of recorded overtime for errors or improper entry (e.g., duplicate entry or incomplete coding); •review of recorded overtime for appropriateness and to help prevent and detect unnecessary or abusive overtime; •management reporting and monitoring of overtime; •planning and reconciliation of special event overtime; •billing of reimbursable overtime, including which overtime costs are reimbursable by event organizers; and •account delinquency follow-up processes for reimbursable overtime. Personnel should be trained in all overtime policies and procedures relevant to their job functions. Further, SPD's policies and procedures should be continually updated as process improvements are implemented. [Recommendation 2]	4/11/2016	Police
Seattle Police Department Overtime 6 Controls Audit	Additionally, SPD should work with the City Budget Office and the City's Office for Special Events to develop and implement strategies for adhering to the overtime budget. [Recommendation 4]	4/11/2016	Police
Seattle Police Department Overtime 25 Controls Audit	SPD should identify a central entity that is responsible for conducting an in-depth review and evaluation of all special event plans. [Recommendation 23]	4/11/2016	Police

Seattle Police Department Overtime Controls Audit	27	SPD should improve documentation of time worked at special events by completing the Roll Call time, Event time, and Secure time on Event Summary Forms. Additionally, SPD officers working events should be required to sign in and out on Event Summary Forms, and SPD should ensure that these forms are signed by the approving sergeant. [Recommendation 25]	4/11/2016	Police
Seattle Police Department Overtime Controls Audit	2	Additionally, SPD should train all employees on the policy and related procedures and monitor for compliance. [Recommendation 1]	4/11/2016	Police
Seattle's Paid Sick and Safe Time Ordinance Enforcement Audit	2	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.	10/17/2014	Civil Rights
Seattle's Paid Sick and Safe Time Ordinance Enforcement Audit	1	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.	10/17/2014	Civil Rights
Seattle's Paid Sick and Safe Time Ordinance Enforcement Audit	8	SOCR should invite advisory letter process participants to complete a customer satisfaction survey.	10/17/2014	Civil Rights
Seattle's Paid Sick and Safe Time Ordinance Enforcement Audit	6	SOCR should augment its individual complaint based approach to addressing non-compliance with a proactive random testing program.	10/17/2014	Civil Rights
Seattle's Paid Sick and Safe Time Ordinance Enforcement Audit	3	SOCR should conduct follow-up on closed advisory letter cases, particularly when SOCR made no direct contact with the employee before closing the case.	10/17/2014	Civil Rights
Seattle's Paid Sick and Safe Time Ordinance Enforcement Audit	9	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.	10/17/2014	Civil Rights
Seattle's Paid Sick and Safe Time Ordinance Enforcement Audit	10	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.	10/17/2014	Civil Rights
Seattle's Paid Sick and Safe Time Ordinance Enforcement Audit	7	The City Council should modify the PSST Ordinance to include language about maintaining complainant confidentiality and clarify that investigations can be conducted without charges.	10/17/2014	Civil Rights
Seattle's Paid Sick and Safe Time Ordinance Enforcement Audit	4	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.).	10/17/2014	Civil Rights
Seattle's Paid Sick and Safe Time Ordinance Enforcement Audit	11	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.	10/17/2014	Civil Rights
Seattle's Paid Sick and Safe Time Ordinance Enforcement Audit	12	SOCR should work with other City departments, such as Finance and Administrative Services FAS and the Office of Economic Development, to better inform businesses about how to comply with 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.	10/17/2014	Civil Rights
Seattle's Paid Sick and Safe Time Ordinance Enforcement Audit	5	SOCR should routinely determine the extent to which back wages may be owed and include that as part of the settlements.	10/17/2014	Civil Rights
Seattle's Paid Sick and Safe Time Ordinance Enforcement Audit	13	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.	10/17/2014	Civil Rights

The City Can Do More to Tackle Organized Retail Crime in Seattle	4	The City should explore opportunities for other law enforcement agencies to assist with conducting and documenting booster interviews for the purpose of gathering information on organized retail crime fencing operations.	7/21/2023	Mayor
The City Can Do More to Tackle Organized Retail Crime in Seattle	5	As the City considers replacing the current Retail Theft Program technology, it should consider using emerging technology, such as rapid video response to help address organized retail crime.	7/21/2023	Mayor
The City Can Do More to Tackle Organized Retail Crime in Seattle	10	The City should advocate for new state and federal legislation that could help address organized retail crime investigations and should seek opportunities for funding, technical assistance, or collaboration resulting from the legislation.	7/21/2023	Mayor
The City Can Do More to Tackle Organized Retail Crime in Seattle	9	The City should request that King County Prosecuting Attorney's Office train Seattle Police Department (SPD) Detectives and their supervising Sergeants in the use of the organized retail crime prosecution checklist. This should include soliciting any feedback from SPD on obstacles faced in using the checklist or ideas for process improvements.	7/21/2023	Mayor
The City Can Do More to Tackle Organized Retail Crime in Seattle	1	The City should explore ways to improve coordination among City staff who participate in organized retail crime (ORC) collaborations, including designating a central point of contact on ORC, creating a shared list of City contacts on ORC, and developing a central City repository for ORC information.	7/21/2023	Mayor
Audit of the Seattle Police Department's Public Disclosure Process	12	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.	3/16/2015	Police
Follow Up on Recent Loss Reports Filed by the Information Technology Department	1	The Information Technology Department (ITD) should implement the planned IT Service Management Asset Management (ITAM) module that will provide asset management functionality for Network equipment. After this is completed, ITD Asset Management should ensure all Network equipment is accurately recorded in ITAM.	12/11/2020	Information Technology
Follow Up on Recent Loss Reports Filed by the Information Technology Department	7	The Information Technology Department (ITD) should ensure that a Surplus Form is completed and filed for all ITD equipment that is declared surplus, inventory tracking records are updated, and the items are sent to the FAS Surplus unit. ITD should regularly run reports on items with a "Surplus" status and reconcile these to the Surplus Forms.	12/11/2020	Information Technology
Seattle Public Utilities Residential Solid Waste Billing Controls Audit	2	Seattle Public Utilities management should implement controls to help ensure the timeliness of resolving issues on the "Unbilled SA" report.	3/30/2022	Public Utilities
Follow Up on Recent Loss Reports Filed by the Information Technology Department	5	The Information Technology Department (ITD) should review their receiving procedures for Network equipment and ensure that all new equipment is tagged with a City asset number.	12/11/2020	Information Technology
Follow Up on Recent Loss Reports Filed by the Information Technology Department	4	The Information Technology Department (ITD) should revise how they determine their audit population of deployed Network equipment assets to ensure that items worth less than \$5,000 are included in any audits that they conduct. In the meantime, ITD should consider conducting some additional auditing of a sample of Network equipment items that are worth less than \$5,000.	12/11/2020	Information Technology
Seattle Public Utilities Residential Solid Waste Billing Controls Audit	7	Seattle Public Utilities management should update procedures and document management approved policies to reflect the current practice of updating user access to the Customer Care and Billing system.	3/30/2022	Public Utilities
Seattle Public Utilities Residential Solid Waste Billing Controls Audit	10	Seattle Public Utilities management should implement preventative and/or detective controls to address the risk of unauthorized changes to solid waste service points.	3/30/2022	Public Utilities
Seattle Public Utilities Residential Solid Waste Billing Controls Audit	9	Seattle Public Utilities Finance Division management should review and approve the rate updates after completion to verify all documented procedural steps have been taken. There should be documented evidence of this review.	3/30/2022	Public Utilities
Seattle Public Utilities Residential Solid Waste Billing Controls Audit	3	Seattle Public Utilities management should determine the cause for the high number of unattached residential solid waste service points and implement controls to minimize or eliminate this condition.	3/30/2022	Public Utilities

Seattle Police Department Overtime Controls Audit	13	SPD should track all work time, including off-duty time, and require management approval for hours beyond the maximum allowable level. [Recommendation 11]	4/11/2016	Police
Audit of Seattle's Incentive Zoning for Affordable Housing	4	SDCI and the Office of Housing should assess the discrepancies we identified to determine their impact, if any, on extra floor areas developers achieved and their affordable housing contributions and commitments, and report their results to the City Council.	4/13/2017	Construction and Inspection
Audit of Seattle's Incentive Zoning for Affordable Housing	6	SDCI should modify its Incentive Zoning permit review procedures and implement a control to ensure a consistent process for when developer payments are required to be made or covenants executed before it issues the applicable permits.	4/13/2017	Construction and Inspection
Audit of Seattle's Incentive Zoning for Affordable Housing	12	The Land Use Code should require developers to directly submit payments to FAS, and the Office of Housing should establish a policy and procedure to reflect this change.	4/13/2017	Finance and Administrative Services
Audit of Seattle's Incentive Zoning for Affordable Housing	16	The Office of Housing should provide program reports more frequently than every two years. At a minimum, reports should be annual and should be posted on the City's website.	4/13/2017	Housing
Audit of Seattle's Incentive Zoning for Affordable Housing	13	If the Office of Housing demonstrates a reason for keeping check copies and continues to do so, it should redact personally identifiable information from the copies it retains.	4/13/2017	Housing
Audit of Seattle's Incentive Zoning for Affordable Housing	20	SDCI should provide developers with online information and resources, including basic program information, application instructions, a customer service contact, and an affordable housing contribution plan template.	4/13/2017	Construction and Inspection
Audit of Seattle's Incentive Zoning for Affordable Housing	19	The City Council should examine various methods for determining how many units are created with Incentive Zoning payments and formally agree on the methodology to be used long term.	4/13/2017	Housing
Audit of Seattle's Incentive Zoning for Affordable Housing	9	SDCI should ensure that the new permitting system (Accela) includes a field to document vesting dates for Incentive Zoning projects and that all recorded project documents (declarations and covenants) include the vesting date.	4/13/2017	Construction and Inspection
Audit of Seattle's Incentive Zoning for Affordable Housing	11	SDCI should determine whether uncharged fees can be retroactively collected.	4/13/2017	Construction and Inspection
Audit of Seattle's Incentive Zoning for Affordable Housing	18	The Office of Housing should expand its reporting as recommended in the 2014 Policy Options Incentive Zoning consultant report, to include: <ul style="list-style-type: none"> •The share of projects that selected the on-site performance, off-site development, and payment-in-lieu of fee options. •The total dollar amount of fees pledged, collected and committed to a project, and spent in the past year. •The number of housing units at each relevant affordability level in projects receiving commitments of payment fee revenue. •For payment fee funds expended in a given year, the average number of months that each dollar was held by the City before expenditure. •For all off-site projects approved in the past year, the number and affordability level of affordable units in the proposed off-site project compared with the number and affordability levels that would have otherwise been required under the on-site performance option. 	4/13/2017	Housing
Audit of Seattle's Incentive Zoning for Affordable Housing	2	SDCI and the Office of Housing should use the same system (e.g., a centralized database) to track Incentive Zoning properties and regularly check for data inaccuracies.	4/13/2017	Construction and Inspection
Audit of Seattle's Incentive Zoning for Affordable Housing	10	SDCI should improve the permit application intake process it uses to assess and collect the Incentive Zoning review fee.	4/13/2017	Construction and Inspection
Audit of Seattle's Incentive Zoning for Affordable Housing	3	SDCI and the Office of Housing should update, coordinate, and finalize Incentive Zoning procedures for their respective departments.	4/13/2017	Construction and Inspection
Audit of Seattle's Incentive Zoning for Affordable Housing	8	The Land Use Code should be updated to require all Incentive Zoning projects to include the bonus calculation on the building permit application plans, and SDCI should consistently enforce this requirement.	4/13/2017	Planning and Community Development
Audit of Seattle's Incentive Zoning for Affordable Housing	21	On its website SDCI should publish the fee schedule for payment and other fees related to Incentive Zoning for affordable housing projects. They should include fee information for the current year and the prior two years. For example, for 2016, the fee schedule should be for 2016, 2015, and 2014.	4/13/2017	Construction and Inspection

Audit of Seattle's Incentive Zoning for Affordable Housing	15	SDCI should modify the permit review process to include additional oversight of all Incentive Zoning projects.	4/13/2017	Construction and Inspection
Audit of Seattle's Incentive Zoning for Affordable Housing	1	The City should develop a program management framework for Incentive Zoning for affordable housing, and report a plan for implementation to the City Council, including: <ul style="list-style-type: none"> •Identifying a leadership structure accountable for program results, •Developing performance measures and a process for monitoring results, •Developing a process to propose and enact policy and procedural changes to the program, •Defining roles and responsibilities, and enhancing department collaboration and coordination, •Instituting more oversight, and •Improving and increasing reporting and transparency. 	4/13/2017	Construction and Inspection
Audit of Seattle's Incentive Zoning for Affordable Housing	17	SDCI should provide, on the City's website, a list of and details about projects participating in Incentive Zoning for affordable housing and update this list regularly.	4/13/2017	Construction and Inspection
Audit of Seattle's Incentive Zoning for Affordable Housing	14	SDCI and Office of Housing staff responsible for verifying or approving Incentive Zoning bonus amounts and affordable housing commitments should annually complete a Financial Interest Statement Form.	4/13/2017	Housing
Parks Public Involvement Audit, Phase 2: Case Study of Loyal Heights Playfield Renovation	1	Parks should make field schedules available on the web.	4/12/2007	Parks and Recreation
Parks Public Involvement Audit, Phase 2: Case Study of Loyal Heights Playfield Renovation	2	Parks should provide important customer service information (including the phone number to request that lights be turned off when a field is not in use) on permanent signs.	4/12/2007	Parks and Recreation
Promising Practices in Risk Management	2	Because we found that the City's draft Enhanced Loss Control Procedures reflect the risk management industry's most promising practices, we recommend that the City adopt these new policies for a trial period and periodically evaluate their effectiveness and revise them accordingly.	6/22/2011	Mayor
Promising Practices in Risk Management	3	Because workers' compensation claims are a substantial component of the City's claims costs, and some of the measures taken to protect worker safety also help reduce claims against the City, we recommend that the City's Risk Management Advisory Group (RMAG) include a senior staff representative from the Personnel Department's Employee Health Services Division, and that representatives from the Personnel Department's worker safety and workers' compensation units participate in the Risk Coordinators meetings.	6/22/2011	Mayor
Promising Practices in Risk Management	1	The City of Seattle should calculate its annual Cost of Risk index, track it over time, and compare it to the Cost of Risk index for similar jurisdictions	6/22/2011	Mayor
Surveillance Technology Usage Review: Seattle City Light Current Diversion Technologies	11	City Light should complete their policies and procedures updates for its current diversion surveillance technologies to align them with Seattle Municipal Code (SMC) 14.18. The requirements of SMC 14.18 should be addressed in the updates and should align with statements made in the current diversion technology Surveillance Impact Reports. City Light management should approve the updated policies and procedures.	10/31/2022	City Light
Surveillance Technology Usage Review: Seattle City Light Current Diversion Technologies	4	City Light should include in documented protocols how they ensure compliance from anyone outside of the Technical Metering Operation who City Light shares either surveillance technology or its data with. If current diversion technologies are not shared, that should be specified in the protocols.	10/31/2022	City Light
Surveillance Technology Usage Review: Seattle City Light Current Diversion Technologies	7	City Light should document in its policies and procedures the process for transferring data captured and recorded from the surveillance technology devices to the secure drive including the requirement to document the timing of transfers.	10/31/2022	City Light
Surveillance Technology Usage Review: Seattle City Light Current Diversion Technologies	10	City Light should require staff to record on the sign-out sheet the inventory and/or serial numbers of surveillance technology equipment they remove for use from the locking cabinet.	10/31/2022	City Light

Surveillance Technology Usage Review: Seattle City Light Current Diversion Technologies	2	<p>City Light should update its policies and procedures to align them with statements made in the Surveillance Impact Reports and with Seattle Municipal Code 14.18 as follows:</p> <ul style="list-style-type: none"> • A description of each surveillance technology. • The data each technology is reasonably likely to generate. <p>For binoculars and the spotting scope, this would be the observations CDT members are expected to note.</p> <ul style="list-style-type: none"> • The functionality of each technology. • A description of the purpose and the proposed use of each technology that is aligned with the descriptions in the SIRs. • The requirement to document which technologies are used in each current diversion investigation and how each was used. • The requirement to retire surveillance technologies from service when it becomes known that the technology will no longer be used. • The requirement to train the Current Diversion Team regarding the requirements of SMC 14.18 and the restrictions on each technology as to what data and observations can and cannot be recorded. • Statements in the policies and procedures that address how any improperly collected data will be disposed of. 	10/31/2022	City Light
Surveillance Technology Usage Review: Seattle City Light Current Diversion Technologies	5	<p>City Light should update its policies and procedures to require periodic audits of access rights to the secure drive containing current diversion documentation and perform such audits as required by the policy.</p>	10/31/2022	City Light
Surveillance Technology Usage Review: Seattle City Light Current Diversion Technologies	3	<p>City Light should document the existing protocols for its surveillance technologies and ensure they include how surveillance technologies and data are shared outside of City Light's Technical Metering Operation, including with non-City entities.</p>	10/31/2022	City Light
Surveillance Technology Usage Review: Seattle City Light Current Diversion Technologies	1	<p>City Light should formally retire from service the SensorLink Transformer Meter System surveillance technology.</p>	10/31/2022	City Light
Surveillance Technology Usage Review: Seattle City Light Current Diversion Technologies	6	<p>City Light should update its policies and procedures to align their records retention requirements with the City's retention requirements for current diversion investigation records.</p>	10/31/2022	City Light
Homeless Contracts Management Audit	7	<p>The Human Services Department should review and evaluate its goal for agency-wide fiscal audits.</p>	4/16/2020	Human Services
Homeless Contracts Management Audit	9	<p>The Human Services Department should explore the possibility of implementing a more robust contract management system.</p>	4/16/2020	Human Services
Homeless Contracts Management Audit	5	<p>The Human Services Department (HSD) should develop and implement a policy to monitor subcontractors annually if they provide essential program services or the subcontract exceeds a certain dollar amount, the amount of which needs to be determined by HSD. The Contract Monitoring Manual needs to be updated to include this new policy.</p>	4/16/2020	Human Services
Homeless Contracts Management Audit	19	<p>The Human Services Department (HSD) should reinforce to service providers the importance of complying with program requirements and contract terms and reinforce to HSD staff the importance of reporting all significant instances of contract non-compliance.</p>	4/16/2020	Human Services
Homeless Contracts Management Audit	4	<p>The Human Services Department should develop and implement standards for documentation of contract monitoring work, including desk reviews.</p>	4/16/2020	Human Services
Homeless Contracts Management Audit	2	<p>The Human Services Department should revise the point score for the question on contract dollar amount on the contract monitoring risk assessment to assign more points to higher dollar value contracts.</p>	4/16/2020	Human Services

Homeless Contracts Management Audit	18	The Human Services Department (HSD) should clearly specify its requirements for service providers to maintain client file documentation and provide guidance to providers on commonly missing documents that are identified during HSD reviews. This documentation will vary based on program type. The necessary documentation could include file checklists, intake forms, HMIS Consent forms, documentation of homelessness, documentation of income, copies of leases and rental unit inspections, rent calculations and rent reasonableness verification, case management notes, housing stability plans, and service plans.	4/16/2020	Human Services
Homeless Contracts Management Audit	6	The Human Services Department (HSD) should monitor subcontractors annually in compliance with the new policy noted in #734 above.	4/16/2020	Human Services
Homeless Contracts Management Audit	3	The Human Services Department should review the levels of annual monitoring for homeless services contracts and set a dollar level threshold for contracts that receive only desk reviews.	4/16/2020	Human Services
Seattle Police Department's In-Car Video Program	4	Facilitate locating all the video recordings that were made for a specific event. One option is for SPD to obtain or enable in-car video software that automatically records GPS data for patrol vehicle location when a recording is made. This would provide Video Unit staff with a more precise set of data to search for video. It would also allow them to identify all videos recorded at a particular location, date, and time.	6/20/2012	Police
Seattle Police Department's In-Car Video Program	2	Ensure that the City personnel responsible for procuring both the new in-car video recording hardware and software and new patrol vehicles prioritize technology and equipment that enable officers to reliably create and retain in-car video recordings.	6/20/2012	Police
Seattle Police Department's In-Car Video Program	5	Explore giving COBAN database access to staff in additional SPD units, such as the Public Disclosure Unit, the Office of Professional Accountability, and the OPA Civilian Auditor, as well as the City Attorney's Office. Such access should be accompanied by appropriate training, supervision, and security controls to ensure that the recordings are handled with due care. Expanding database access to other SPD units and the City Attorney's Office would: 1) streamline the process of finding video recordings, thereby expediting responses to public disclosure requests and subpoenas, and 2) reduce the Video Unit's workload, allowing its staff to work on high priority requests or other tasks, such as obtaining copies of surveillance videos or visiting precincts to maintain and repair in-car video equipment.	6/20/2012	Police
Seattle Police Department's In-Car Video Program	1	Implement SPD's planned improvements to processes and technology related to the management of in-car video recordings before expanding the program further. These planned improvements include implementing a revised in-car video retention schedule and moving all recordings to the new COBAN video storage system.	6/20/2012	Police
Seattle Police Department's In-Car Video Program	3	Develop a standard electronic request form that lists all the information the Video Unit needs to conduct an efficient search.	6/20/2012	Police
Seattle Police Department's In-Car Video Program	6	Direct the Video Unit to develop a simple, uniform system for recording the receipt of and work performed on each request, including the following information: 1) Date request received, 2) Source of request and requestor (e.g., Public Disclosure Unit, requestor's name), 3) Date database search conducted, 4) Number and type of searches conducted (e.g., searched this officer number for this date and time), 5) Search results, by individual search (i.e., found, not found), 6) Date response sent to requestor, and 7) Content of response (i.e., number of videos sent, identifying data for each video).	6/20/2012	Police
Cash Handling Audit – Seattle Center Parking	7	A significant number of people park without paying at the First Avenue North garage.	6/19/2009	Seattle Center
Cash Handling Audit – Seattle Center Parking	5	There are control issues related to Brinks deposit pickup procedures.	6/19/2009	Seattle Center
Cash Handling Audit – Seattle Center Parking	4	Parking attendants' daily balancing process is not a blind reconciliation.	6/19/2009	Seattle Center
Cash Handling Audit – Seattle Center Parking	3	Parking attendants do not review identification when customers pay for parking by check.	6/19/2009	Seattle Center
Cash Handling Audit – Seattle Center Parking	10	Parking pay station servicing procedures should be reviewed for security by the Seattle Police Department.	6/19/2009	Police

Cash Handling Audit – Seattle Center Parking	6	There is no backup currently for the Parking Coordinator who reviews the daily deposits and overages-and-shortages.	6/19/2009	Seattle Center
City of Seattle RFP Process for Vehicle Impound Management Services	2	FAS and SPD should monitor complaints about south end lot accessibility, and if needed, work with the contractor to address any issues that arise.	5/20/2014	Finance and Administrative Services
City of Seattle RFP Process for Vehicle Impound Management Services	1	City staff in charge of managing the contract should: <input type="checkbox"/> Assess their management reporting needs; <input type="checkbox"/> Meet with the vendor to determine the best way to meet these needs; <input type="checkbox"/> Work with the vendor to refine existing reports, create new reports, and/or eliminate reports, as needed; and <input type="checkbox"/> Amend the contract's reporting requirements accordingly. Further, the City and the vendor should agree on a method for verifying the data's accuracy on a periodic basis. This could include the vendor providing a monthly reconciliation or City staff periodically spot-checking a sample of the data to ensure they are consistent throughout the database and match hard copy records, if available.	5/20/2014	Finance and Administrative Services
Seattle City Light Travel	2	Guidelines for ticketing and the use of exceptions will be incorporated into travel policies.	2/1/2008	City Light
Seattle City Light Travel	1	SCL will document what level of authorization is required for various types of travel and document guiding principles for approval to ensure business need.	2/1/2008	City Light
Seattle City Light Travel	3	SCL will review the use of the declined carrier exception from 2006-07.	2/1/2008	City Light
The City of Seattle Could Reduce Violent Crime and Victimization by Strengthening Its Approach to Street Outreach	2	Re-evaluate the age criteria for Street Outreach – consider providing Street Outreach to those most at need, regardless of age.	10/14/2015	Human Services
The City of Seattle Could Reduce Violent Crime and Victimization by Strengthening Its Approach to Street Outreach	4	Support efforts to strengthen relationships between Street Outreach and the Seattle Police Department, including clarifying roles and responsibilities and providing integrated training.	10/14/2015	Police
The City of Seattle Could Reduce Violent Crime and Victimization by Strengthening Its Approach to Street Outreach	3	Support and monitor continued efforts by the YMCA 's Alive & Free Street Outreach program to improve its procedures, practices, and staff development.	10/14/2015	Human Services
Seattle Police Department Overtime Controls Audit	32	SPD should implement a process for tracking off-duty work hours so SPD management can monitor whether officers are a) complying with the department's maximum weekly and daily hours thresholds, b) taking high amounts of sick or other paid leave while also working a lot of off-duty hours, or c) underperforming for SPD work due to high amounts of off-duty time. SPD Policy 5.120 states that SPD personnel are required to log in and out by radio when working off duty, so this might be one option to consider for tracking off-duty time. SPD should also consider developing a plan and timeline for requiring employers of off-duty SPD officers to contract directly with SPD. [Recommendation 30]	4/11/2016	Police
Seattle Department of Transportation: Strategic Approach to Vehicle Bridge Maintenance is Warranted	4	The Seattle Department of Transportation should develop policies and procedures to adequately oversee private bridges that align with a revised version of Ordinance 96715, as mentioned in Recommendation 3.	9/11/2020	Transportation
Seattle Department of Transportation: Strategic Approach to Vehicle Bridge Maintenance is Warranted	7	The Seattle Department of Transportation should conduct a cost benefit analysis of technology upgrades needed to improve staff efficiency as part of their staffing analysis.	9/11/2020	Transportation
Seattle Police Department Overtime Controls Audit	15	SPD should either (a) implement new scheduling and timekeeping systems or (b) enhance existing systems to include automated controls and to facilitate tracking and monitoring of overtime. [Recommendation 13]	4/11/2016	Police
Seattle Police Department Overtime Controls Audit	10	SPD should develop automated controls or processes for detecting payroll errors or non-compliance with key policies, such as: •duplicate payments for overtime; •entry of more than 24 hours in a single day; and •accrual of comp time in excess of maximum allowed. [Recommendation 8]	4/11/2016	Police
Seattle Department of Transportation: Strategic Approach to Vehicle Bridge Maintenance is Warranted	2	The Seattle Department of Transportation (SDOT) should reduce the share of the department's bridge maintenance workload that is currently dedicated to reimbursable projects unrelated to SDOT bridge maintenance. Such a change could be done incrementally.	9/11/2020	Transportation

Seattle Police Department Overtime Controls Audit	29	For reimbursable events, SPD should reconcile all overtime hours on Event Summary Forms with hours recorded into SPD's payroll system to ensure all overtime is accurately billed. [Recommendation 27]	4/11/2016	Police
Seattle Department of Transportation: Strategic Approach to Vehicle Bridge Maintenance is Warranted	3	The Seattle Department of Transportation should develop draft legislation to replace Ordinance 96715 to address current City of Seattle bridge maintenance priorities and ensure adequate oversight of private bridges.	9/11/2020	Transportation
Seattle Police Department Overtime Controls Audit	23	SPD should ensure that events are charged for police services as required by Ordinance 124680. This will involve SPD working with the City's Office for Special Events to develop and implement procedures for carrying out the terms of the Ordinance for permitted events related to collecting deposits for estimated police services, tracking actual police hours associated with the events, and billing or refunding event organizers for any differences between actual and estimated police hours. [Recommendation 21]	4/11/2016	Police
Seattle Department of Transportation: Strategic Approach to Vehicle Bridge Maintenance is Warranted	1	The Seattle Department of Transportation should take immediate steps to resolve all the issues identified in the 2019 Federal Highway Administration review.	9/11/2020	Transportation
Seattle Police Department Overtime Controls Audit	11	SPD needs to enforce current overtime and compensatory time policies and procedures, including those related to the following: <ul style="list-style-type: none"> •proper documentation of overtime authorization and approval; •accurate activity and assignment coding of overtime; •compensatory time thresholds; and •accurate recording of overtime and standby time. [Recommendation 9]	4/11/2016	Police
Special Events – Police Staffing and Cost Recovery	5	The Seattle Police Department should provide to the Special Events Office (SEO) an accounting of actual hours worked at permitted events so SEO can refund or bill event promoters for any variance between estimate and actual hours. (Report Recommendation 4)	12/13/2017	Police
Special Events – Police Staffing and Cost Recovery	3	The City Council and the Special Events Office should consider reviewing the implementation of the new special event permit fee structure created by Ordinance 124860 to ensure the level of recovery of the Seattle Police Department's staffing costs is aligned with the City's intentions. Options that could be considered include: a.Charging permitted events for more of the actual police hours worked, including pre-event hours, post-event hours, and hours that exceed the hours that were initially estimated and paid. b.Including direct labor benefits and other event-related costs (e.g., event planning time, emphasis staffing, etc.) in analyses of event costs. (Report Recommendation 2)	12/13/2017	City Council
Special Events – Police Staffing and Cost Recovery	7	The City Council and the Special Events Office should consider establishing criteria and a schedule for setting the fees for police services for Citywide permitted events (e.g., updating SMC 15.52 or developing department policies). (Report Recommendation 5b)	12/13/2017	City Council
Special Events – Police Staffing and Cost Recovery	6	The City Council and the Special Events Office should (a) review the definitions of Community and Mixed Free Speech events in Seattle Municipal Code (SMC) 15.52 and, given the level of commercial activity at some Community and Mixed Free Speech events, consider whether any updates to these definitions are necessary. (Report Recommendation 5a)	12/13/2017	City Council
Special Events – Police Staffing and Cost Recovery	1	The Seattle Police Department (SPD) should continue reviewing and updating its special events memorandum of understanding (MOU) and event billing processes to ensure (a) the MOU cost estimate template includes accurate and complete direct cost information and (b) invoices sent to event organizers include non-wage direct costs (e.g., employee benefits and equipment) when they are specified as reimbursable in the MOU or when the MOU states that reimbursement will be for actual or full costs. (Report Recommendation 1)	12/13/2017	Police
Special Events – Police Staffing and Cost Recovery	2	SPD should also consider charging other event-related SPD costs (e.g., event planning time, event emphasis staffing, equipment maintenance expenses, incidentals such as food, water, and supplies) to all reimbursable events. (Report Recommendation 1)	12/13/2017	Police

Special Events – Police Staffing and 18 Cost Recovery		SPD Fiscal should periodically compare planned reimbursable event police hours and expenses to actual hours to help ensure all hours are properly billed to the event organizers. (Report Recommendation 14)	12/13/2017	Police
Special Events – Police Staffing and 17 Cost Recovery		The City Council and the Mayor should evaluate the special events work SPD officers perform that is primarily a traffic-directing function and consider whether it could be handled by non-sworn personnel. We recognize this would require revising Seattle Municipal Code 11.50.380 covering the authority to override traffic signals. (Report Recommendation 13)	12/13/2017	City Council
Department of Parks and Recreation's Oversight of Lease and Concession Agreements	1	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.	12/10/2015	Parks and Recreation
Department of Parks and Recreation's Oversight of Lease and Concession Agreements	6	Update the Parks Department public benefits webpage.	12/10/2015	Parks and Recreation
Department of Parks and Recreation's Oversight of Lease and Concession Agreements	3	Automate contract management tasks and improve Parks contract monitoring capabilities.	12/10/2015	Parks and Recreation
Department of Parks and Recreation's Oversight of Lease and Concession Agreements	2	Develop or update contract monitoring policies and procedures.	12/10/2015	Parks and Recreation
Department of Parks and Recreation's Oversight of Lease and Concession Agreements	4	Improve internal controls over public benefit reporting.	12/10/2015	Parks and Recreation
Department of Parks and Recreation's Oversight of Lease and Concession Agreements	7	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.	12/10/2015	Parks and Recreation
Department of Parks and Recreation's Oversight of Lease and Concession Agreements	5	Meet with tenants annually to review public benefits requirements.	12/10/2015	Parks and Recreation
Seattle Fire Department – Special Event Cost Recovery	3	The Seattle Fire Department (SFD) should continue working with First & Goal, Inc., and the Mayor's Office as needed, to ensure all hours worked by SFD personnel at Seahawks games are billed appropriately.	7/24/2019	Mayor
Seattle Fire Department – Special Event Cost Recovery	2	The Seattle Fire Department should improve its tracking of billable hours to ensure all personnel who work at billable special events are included in service agreements with the event promoters and all hours worked are billed.	7/24/2019	Fire
Seattle Fire Department – Special Event Cost Recovery	7	The Seattle Fire Department (SFD), the Seattle City Council, and the Seattle Mayor's Office should work together to develop objective criteria for when SFD should bill event promoters for SFD personnel working at special events, including Citywide events, and the degree of cost recovery that should be achieved.	7/24/2019	Fire
Seattle Fire Department – Special Event Cost Recovery	6	The Seattle Fire Department should strengthen its current billing processes to ensure Event Summary Records are signed by event promoters, or their representative, at the end of every event.	7/24/2019	Fire
Seattle Fire Department – Special Event Cost Recovery	5	The Seattle Fire Department should examine the current equipment billing rates and determine whether another basis, such as mileage, would more accurately capture actual costs. As part of this analysis, the Department should also evaluate the benefits of charging for smaller equipment, such as bikes and gators.	7/24/2019	Mayor
Seattle Fire Department – Special Event Cost Recovery	1	The Seattle Fire Department should increase its special event billing rates to include the portion of Workers' Compensation Insurance costs that can be attributed to overtime hours at billable special events.	7/24/2019	Fire
Surveillance Usage Review: Seattle Department of Transportation Closed Circuit Television (CCTV) Traffic Cameras	8	The Seattle Department of Transportation (SDOT) should resolve the inconsistencies in operational policies in the SIR and the Camera Control Protocol regarding references to where cameras may be used to view/monitor conditions (i.e., SDOT-owned roadways, public rights-of-way, and/or sidewalks).	6/30/2021	Transportation
Surveillance Usage Review: Seattle Department of Transportation Closed Circuit Television (CCTV) Traffic Cameras	13	The Seattle Department of Transportation (SDOT) should develop a structured training program, including a schedule for periodic re-training, for non-SDOT users of Cameleon that is appropriate to their use of the system.	6/30/2021	Transportation

Surveillance Usage Review: Seattle 12 Department of Transportation Closed Circuit Television (CCTV) Traffic Cameras	The Seattle Department of Transportation should consult with the City Attorney's Office to determine whether a notification could be added to the Traveler Information website that recording from this public website should be prohibited.	6/30/2021	Transportation
Surveillance Usage Review: Seattle 14 Department of Transportation Closed Circuit Television (CCTV) Traffic Cameras	The Seattle Department of Transportation's (SDOT) Transportation Operations Center should maintain documentation of when training was completed for all Cameleon users (within and outside of SDOT).	6/30/2021	Transportation
Surveillance Usage Review: Seattle 1 Department of Transportation Closed Circuit Television (CCTV) Traffic Cameras	The Seattle Department of Transportation should develop and implement a process that captures all new and installed CCTV traffic cameras in the city, particularly those added via capital projects.	6/30/2021	Transportation
Surveillance Usage Review: Seattle 19 Department of Transportation Closed Circuit Television (CCTV) Traffic Cameras	To ensure that the Seattle Department of Transportation can appropriately respond to and report on complaints about misuse of surveillance technologies, it should document all complaints and concerns from all sources, including from social media.	6/30/2021	Transportation
Surveillance Usage Review: Seattle 6 Department of Transportation Closed Circuit Television (CCTV) Traffic Cameras	The Seattle Department of Transportation should clarify in its Camera Control Protocol what is meant by the term "absolutely necessary to allow the operator to perform a vital component of their jobs" with respect to operators zooming in close enough to discern personally identifiable information. Providing examples of what are included and excluded could help to clarify the meaning of this term.	6/30/2021	Transportation
Surveillance Usage Review: Seattle 11 Department of Transportation Closed Circuit Television (CCTV) Traffic Cameras	The Seattle Department of Transportation should include in its CCTV system data sharing/use agreements with other City departments language that they should not record what they view through the cameras.	6/30/2021	Transportation
Surveillance Usage Review: Seattle 4 Department of Transportation Closed Circuit Television (CCTV) Traffic Cameras	The Seattle Department of Transportation (SDOT) should develop and execute use agreements with non-SDOT departments that use the CCTV system and specify in the agreements that the system shall not be used for civil or criminal enforcement purposes by non-SDOT departments.	6/30/2021	Transportation
Surveillance Usage Review: Seattle 9 Department of Transportation Closed Circuit Television (CCTV) Traffic Cameras	Operational Policy 3.0, #3 in the City Council-adopted Condensed Surveillance Impact Report (CSIR) states: To the extent feasible, CCTV public feed must be terminated during such times as personally identifiable information is visible on the feed. This operational policy is not included in the City Council-adopted Surveillance Impact Report (SIR). The Seattle Department of Transportation should update the SIR and/or CSIR to make both documents consistent.	6/30/2021	Transportation
Surveillance Usage Review: Seattle 15 Department of Transportation Closed Circuit Television (CCTV) Traffic Cameras	The Seattle Department of Transportation should work with the City Records Manager and the City Auditor to identify the appropriate retention and ensure it is listed correctly on the SDOT retention schedules so that Cameleon logs meet both the City's recordkeeping requirements and maintain availability of the logs for the City Auditor's Office to complete annual surveillance usage reviews of the CCTV technology.	6/30/2021	Transportation
Surveillance Usage Review: Seattle 10 Department of Transportation Closed Circuit Television (CCTV) Traffic Cameras	References in the Surveillance Impact Report and the Seattle Department of Transportation's (SDOT) CCTV Camera Use Policy regarding the destruction/deletion of files of recordings are inconsistent. SDOT should revise these policies to be consistent with one another and specify whether the number of days refers to working days or calendar days.	6/30/2021	Transportation
Surveillance Usage Review: Seattle 2 Department of Transportation Closed Circuit Television (CCTV) Traffic Cameras	The Seattle Department of Transportation should prominently post a notification when the Traveler Information website is accessed that the system is intended to be used to monitor traffic and for no other purpose.	6/30/2021	Transportation
Surveillance Usage Review: Seattle 16 Department of Transportation Closed Circuit Television (CCTV) Traffic Cameras	The Seattle Department of Transportation should rewrite Surveillance Impact Report Operational Policy 9 to clarify which logs the requirements are referring to.	6/30/2021	Transportation
Surveillance Usage Review: Seattle 3 Department of Transportation Closed Circuit Television (CCTV) Traffic Cameras	Operational Policy 2 should be clarified to: 1) state that non-Seattle Department of Transportation (non-SDOT) City departments are authorized to use the CCTV system and data for any reason if it is related to traffic management, 2) define the two exceptions for using the CCTV system and data for non-traffic management purposes, and 3) define what is meant by "to monitor a major city-wide event."	6/30/2021	Transportation

Surveillance Usage Review: Seattle Department of Transportation Closed Circuit Television (CCTV) Traffic Cameras	18	The Seattle Department of Transportation should begin consistently documenting the rationale for its decisions about where to locate new CCTV cameras.	6/30/2021	Transportation
Surveillance Usage Review: Seattle Department of Transportation Closed Circuit Television (CCTV) Traffic Cameras	17	Section 8.2.1 in the Closed-Circuit Television Camera (CCTV) Surveillance Impact Report should be revised to accurately reflect the current practice of each camera being checked once daily by Seattle Department of Transportation CCTV camera operators to ensure that it is in its home preset position.	6/30/2021	Transportation
Surveillance Usage Review: Seattle Department of Transportation Closed Circuit Television (CCTV) Traffic Cameras	5	The Seattle Department of Transportation should engage cybersecurity experts to conduct regular security assessments of the CCTV traffic cameras system and to follow-up on the implementation progress of a 2015 network security risk report. The regular security assessments should specifically address data security and the risk of CCTV traffic cameras data being inadvertently or improperly shared. This work could be done by the City of Seattle's Information Technology Department or by an independent cybersecurity consultant.	6/30/2021	Transportation
Surveillance Usage Review: Seattle Department of Transportation Closed Circuit Television (CCTV) Traffic Cameras	7	The Seattle Department of Transportation should clarify in its Camera Control Protocol what is meant by the phrase "compelling traffic operational needs" with respect to the prohibition of recording video images. Providing examples of what are included and excluded could help to clarify the meaning of this phrase.	6/30/2021	Transportation
Seattle Department of Transportation Bonds Management Audit	3	The City should consider basing SDOT's bond needs on less than 100% of the project's estimated one-year cash needs and encouraging the use of short-term financing for gap funding (e.g., Interfund loans) if needed, to fund the project until proceeds from the next bond issuance become available. For this approach to work, CBO, FAS, the Mayor, and the City Council would need to support SDOT's use of short-term financing and enable SDOT to obtain it quickly and efficiently. Short-term financing should be considered for projects at their initial stages, when there are many unknowns, until more definitive project cost data is available. This would allow the project's long-term financing to be arranged during a later design phase with greater accuracy.	12/22/2014	Transportation
Seattle Department of Transportation Bonds Management Audit	5	The Debt Management Advisory Committee (DMPAC) should consider inviting City departments that have bond funding to attend DMPAC meetings to answer questions that might arise about their use of bond funds.	12/22/2014	City Council
Seattle Department of Transportation Bonds Management Audit	8	The City's Debt Management Policies should be updated to reflect the City's current practices for the issuance and management of debt	12/22/2014	City Council
Seattle Department of Transportation Bonds Management Audit	4	FAS should establish and provide training to City departments on written formal policies and procedures related to the bonds process: delineating roles and responsibilities; planning for bond needs; and managing, tracking, and communicating spending of bond proceeds. The procedure for the final check-in between FAS and SDOT before bonds are issued should be included in the formal bond process policies and procedures. The retention requirements for significant communication related to the bond process should also be delineated in the formal policies and procedures.	12/22/2014	Finance and Administrative Services
Seattle Department of Transportation Bonds Management Audit	6	If unspent bond balances continue to be a concern of the City Council, CBO and SDOT could provide the Council, during the budget process, with summarized data on unspent bond proceeds by each bond issue, and the reasons for any spending delays.	12/22/2014	City Council
Seattle Department of Transportation Bonds Management Audit	7	SDOT should include and track all bond proceeds in bond monitoring reports.	12/22/2014	Transportation
External Funding of Capital Projects	5	The City Council should direct the designated party to submit completed analysis for all relevant capital projects with external funding.	1/16/2008	City Council
External Funding of Capital Projects	4	The City Council should establish a threshold size for projects that will undergo a review of external funding risk analysis and contingency planning.	1/16/2008	City Council
External Funding of Capital Projects	8	City officials should obtain independent legal advice from the City Attorney regarding the risks and advantages of entering into projects relying on external funding.	1/16/2008	Mayor

External Funding of Capital Projects 1	The City Council should revisit and clarify the financial policies and procedures that apply to capital projects with public-private elements.	1/16/2008	City Council
External Funding of Capital Projects 2	The City Council should clarify who should complete the analyses called for in Financial Policy 12 - the department responsible for the capital improvement, the Department of Finance, or another responsible party.	1/16/2008	City Council
External Funding of Capital Projects 6	City departments should obtain assurances for all external funding commitments to City capital projects, conduct and document a risk analysis and scenario analysis exploring funding options, or document that risks are accepted.	1/16/2008	Mayor
External Funding of Capital Projects 7	The City Council should develop Citywide policies and procedures for comprehensive legal review of external funding commitments. These policies should ensure that the City has considered inserting penalty provisions in the event of non-payment.	1/16/2008	City Council
External Funding of Capital Projects 9	Risks of unsecured commitments that may not meet cash flow requirements must be clearly communicated to the City Council and documented, and a contingency plan should be in place.	1/16/2008	Mayor
Seattle City Employees' Retirement System Retirement Benefit Calculations 9	SCERS should consider a one-time update of all member data to capture the key information described in Recommendation 8. To minimize the total work involved, such a project should be planned in coordination with plans to implement a new data system.	8/8/2013	Retirement
Seattle City Employees' Retirement System Retirement Benefit Calculations 10	SCERS should strengthen the management of the retirement benefit calculation function. Improvements should include ensuring the function continues to receive the level of oversight and support currently provided by the interim SCERS finance manager and implementing the internal controls necessary for management to address new and long-term challenges and reduce the risk of errors, fraud, or abuse.	8/8/2013	Retirement
Seattle City Employees' Retirement System Retirement Benefit Calculations 1	SCERS should establish and document all elements of the retirement benefit estimate and calculation processes. SCERS management should review the current methodology with the SCERS Board of Administration, resolve any conflicts between current practices and the Seattle Municipal Code or the Board's intentions, and create formal policy and procedure documents for staff.	8/8/2013	Retirement
Seattle City Employees' Retirement System Retirement Benefit Calculations 8	SCERS should create a master record for each member that includes key member information, such as membership date, amount of buy backs, and time loss during specific periods. The master record would record data after it was researched and verified so it is accessible for future estimates or calculations. Options for implementation include an electronic record or a basic paper "cover sheet" for each physical file.	8/8/2013	Retirement
Seattle City Employees' Retirement System Retirement Benefit Calculations 4	SCERS management and the SCERS Board of Administration should consider implementing an approach to calculating members' service credits that simplifies both the data required and the process itself.	8/8/2013	Retirement
Seattle City Employees' Retirement System Retirement Benefit Calculations 5	SCERS should improve the calculation worksheets so they: a: Comply with current program rules and processes, b: Require completion of each step of the calculation process, c: Facilitate calculations by automating as many steps as possible, and d: Are protected against accidental errors or edits. This process should include creating master copies or templates of the worksheets that are used by all staff, cannot be accidentally changed, and are based on the current methodology. SCERS management should regularly review worksheets to ensure they match current program rules and processes.	8/8/2013	Retirement
Seattle City Employees' Retirement System Retirement Benefit Calculations 2	The SCERS Board of Administration should regularly review SCERS documented procedures; with the assistance from legal counsel, the Board should interpret aspects of the Seattle Municipal Code that are vague or conflicting for managers and staff; and the Board should approve SCERS formal policy and procedure documents.	8/8/2013	Retirement

Seattle City Employees' Retirement System Retirement Benefit Calculations	6	SCERS should explore possibilities to reduce the number of worksheets used for each individual calculation. One option is to coordinate the fields between the worksheets and the Milliman Benefit Calculator to reduce data entry of member data. Additionally, SCERS should consider relying on the Calculator to estimate and calculate retirement benefits. However, before this decision and regularly thereafter, SCERS should ensure the accuracy of the Calculator is fully tested.	8/8/2013	Retirement
Seattle City Employees' Retirement System Retirement Benefit Calculations	3	SCERS should identify the critical data needed to calculate retirement benefits and work with information technology staff to improve access to this information. This process could involve querying other data systems than are currently in use by SCERS, or creating new reports or formats in current data systems.	8/8/2013	Retirement
Seattle City Employees' Retirement System Retirement Benefit Calculations	7	SCERS should implement a process through which staff document the sources of data, the details of manual calculations, any interpretations or decisions made during the calculation process, and quality reviews or supervisory review of all analysis. Documentation of supervisory review should include, at a minimum, the date and the initials of the reviewer. One option is to add "comment" fields to the calculation worksheets or to create a standard "cover sheet" document to each physical file in which staff can document their work and its review.	8/8/2013	Retirement
Review of Millennium Digital Media's Compliance with the City of Seattle's Cable Customer Bill of Rights	6	MDM will mail customers annually the comprehensive information on their products and services as required by Seattle Municipal Code 21.60.820E, a section of the Cable Customer Bill of Rights.	8/21/2007	Milenium Digital Media
Review of Millennium Digital Media's Compliance with the City of Seattle's Cable Customer Bill of Rights	4	MDM should improve customer service at their Customer Service Call Center.	8/21/2007	Milenium Digital Media
Review of Millennium Digital Media's Compliance with the City of Seattle's Cable Customer Bill of Rights	2	MDM should improve outage reporting and notification.	8/21/2007	Milenium Digital Media
Review of Millennium Digital Media's Compliance with the City of Seattle's Cable Customer Bill of Rights	5	MDM should improve systems for tracking and responding to customer complaints.	8/21/2007	Milenium Digital Media
Review of Millennium Digital Media's Compliance with the City of Seattle's Cable Customer Bill of Rights	3	MDM should ensure accuracy of promotional material.	8/21/2007	Milenium Digital Media
Review of Millennium Digital Media's Compliance with the City of Seattle's Cable Customer Bill of Rights	1	MDM should ensure customers are notified of changes to their cable rates, programming, and channels in a timely manner.	8/21/2007	Milenium Digital Media
City Should Take Steps to Enhance Pedestrian and Cyclist Mobility Through and Around Construction Sites	1	The Seattle Department of Transportation (SDOT) should develop a set of preferred and alternative methods for pedestrian protection.	8/13/2008	Transportation
City Should Take Steps to Enhance Pedestrian and Cyclist Mobility Through and Around Construction Sites	6	SDOT should ensure full implementation of new business procedures for street use permit inspection scheduling, tracking, and oversight.	8/13/2008	Transportation
City Should Take Steps to Enhance Pedestrian and Cyclist Mobility Through and Around Construction Sites	3	SDOT should dedicate a street use inspector to coordinate multiple construction projects.	8/13/2008	Transportation
City Should Take Steps to Enhance Pedestrian and Cyclist Mobility Through and Around Construction Sites	9	SDOT should make information on sidewalk closures and alternative routes available on SDOT's website.	8/13/2008	Transportation
City Should Take Steps to Enhance Pedestrian and Cyclist Mobility Through and Around Construction Sites	2	SDOT should enforce Americans with Disabilities Act (ADA) standards for pedestrians.	8/13/2008	Transportation
City Should Take Steps to Enhance Pedestrian and Cyclist Mobility Through and Around Construction Sites	4	SDOT should ensure full implementation of the Construction Coordination and Mapping Tool.	8/13/2008	Transportation
City Should Take Steps to Enhance Pedestrian and Cyclist Mobility Through and Around Construction Sites	7	SDOT should develop and implement new policies and procedures for ensuring consistent application of street use permit fees and penalties.	8/13/2008	Transportation

City Should Take Steps to Enhance Pedestrian and Cyclist Mobility Through and Around Construction Sites	5	SDOT should develop a policy for waiving street use permit inspections.	8/13/2008	Transportation
City Should Take Steps to Enhance Pedestrian and Cyclist Mobility Through and Around Construction Sites	8	SDOT should develop a policy requiring applicants to submit a notification plan.	8/13/2008	Transportation
Review of Hate Crime Prevention, Response, and Reporting in Seattle	2	In the longer term, SPD should re-evaluate its procedures for bias code determination when its new records management system is implemented to determine if a different placeholder bias code can be used when police officers are unsure if a crime was motivated by bias, and to allow the selection of multiple bias codes.	9/20/2017	Police
Review of Hate Crime Prevention, Response, and Reporting in Seattle	3	We recommend that SPD add codes for age, parental status, marital status, and political ideology to the bias categories in their records management system to ensure that their record keeping is consistent with Seattle Municipal Code 12A.06.115.	9/20/2017	Police
Review of Hate Crime Prevention, Response, and Reporting in Seattle	9	SOCR and SPU should explore publishing their hate crime and hate graffiti data online. They should provide a description of the data, including statements about the source and quality. This process should be formally documented and the data should be updated at least biannually.	9/20/2017	Public Utilities
Review of Hate Crime Prevention, Response, and Reporting in Seattle	1	In the short term, SPD should remove the bias category code "unknown." Officers should be provided with specific training and guidance on how to select the bias category code by "applying a broad, inclusive definition of bias crime." SPD should communicate this change and the appropriate coding procedures to all officers.	9/20/2017	Police
Review of Hate Crime Prevention, Response, and Reporting in Seattle	7	Based on this analysis, SPD should explore the possibility of implementing new hate crime prevention strategies, such as situational crime prevention strategies at hate crime hot spots, and support for frequent victims.	9/20/2017	Police
Review of Hate Crime Prevention, Response, and Reporting in Seattle	11	City leaders should participate in the discussions convened by the Northwestern Regional Office of the U.S. Department of Justice Community Relations Service to consider a statewide agency or task force to coordinate ongoing hate crime prevention and response efforts.	9/20/2017	Mayor
Review of Hate Crime Prevention, Response, and Reporting in Seattle	4	SPD should establish a regular hate crimes training curriculum for officers so that they can appropriately recognize and respond to hate crimes. The training should incorporate the leading practices and research findings mentioned in this report. SPD should also develop a plan to evaluate the training to ensure that it is relevant and effective. Once SPD has developed an appropriate hate crimes training curriculum, the department should establish a policy on how the training will continue to be enhanced and implemented over time, including the frequency in which it is to be delivered and the intended audience.	9/20/2017	Police
Review of Hate Crime Prevention, Response, and Reporting in Seattle	10	Further, the City should consider creating a single webpage that serves as a portal for SOCR, SPU, and SPD hate crime data.	9/20/2017	Police
Review of Hate Crime Prevention, Response, and Reporting in Seattle	8	SPD and SOCR should establish and formally document a protocol for how hate incidents and crimes are handled when they are reported to SOCR.	9/20/2017	Police
Review of Hate Crime Prevention, Response, and Reporting in Seattle	5	SPD should improve its guidance to officers on how to identify whether an incident might be a hate crime. SPD should consider adding elements in the hate crimes model policy framework recommended by the California Commission on POST to SPD's Policy Manual. SPD should also consider creating a physical or electronic checklist of hate crime definitions, indicators, and investigation techniques that officers can easily access in the field.	9/20/2017	Police
Review of Hate Crime Prevention, Response, and Reporting in Seattle	6	SPD should pilot some of the analyses described above including: identifying hate crime "hot spots," conducting time-of-day analysis, exploring trends in victimization, and exploring linkages to socio-demographic trends.	9/20/2017	Police
Special Events – Police Staffing and Cost Recovery	14	SPD should pursue a technology solution, such as a workforce scheduling system, to improve the effectiveness and efficiency of event staffing functions. (Report Recommendation 11)	12/13/2017	Police

Special Events – Police Staffing and 16 Cost Recovery		SPD should improve tracking of personnel absences for special event drafts and should review and reconsider the department's policies for No Show's and when employees call in sick the day of an event. (Report Recommendation 12)	12/13/2017	Police
Special Events – Police Staffing and 19 Cost Recovery		The Office of Economic Development and the Seattle Police Department should consider investing in a Customer Relationship Management System (CRM) to improve the efficiency of the special events permit application review and event tracking functions. This system should facilitate tracking each event with a unique identifier and event numbering scheme that facilitates tracking the same event (or similar events) over time. (Report Recommendation 15)	12/13/2017	Special Events
Special Events – Police Staffing and 24 Cost Recovery		SPD should update and enforce its special event payroll policies and procedures, including those addressing payroll time coding, management approvals, and timekeeping functions. SPD should implement controls to ensure: a.Regular time worked for special events is coded to the event, b.Time is coded to the accurate event code, including time for i. multiple events held on the same day, ii. large Seattle Center events/festivals c.Special event time is entered only by SPD Payroll staff. (Report Recommendation 18)	12/13/2017	Police
Seattle's Sidewalk Maintenance and 1 Repair Program		To help improve sidewalk conditions in Seattle, the Seattle Department of Transportation should work with the City Attorney's Office, the Office of Intergovernmental Relations, and the Seattle City Council, and other Washington jurisdictions to propose changes to explore changes to RCWs 35.68 et seq. and 35.69 et seq. and SMC 15.72 et seq. to allow for simpler, more streamlined enforcement options so that private property owners meet their legal responsibilities. (Related to recommendation 7.5 in 2020 Policy Report.)	10/28/2021	Transportation
Seattle's Sidewalk Maintenance and 5 Repair Program		The Seattle Department of Transportation should implement a five-year shim/bevel plan. (Recommendation 7.1 in the 2020 Policy Report.)	10/28/2021	Transportation
Seattle's Sidewalk Maintenance and 2 Repair Program		To help improve sidewalk conditions in Seattle, the Seattle Department of Transportation should work with the City Attorney's Office to explore the use of a Buy, Sell, Repair Ordinance.	10/28/2021	Transportation
Seattle's Sidewalk Maintenance and 4 Repair Program		To help ensure equity, in conjunction with enhanced education and enforcement, the Seattle Department of Transportation should institute an income-based cost-sharing program or cost waiver for lower-income property owners. (Recommendation 7.4 in the 2020 Policy Report.)	10/28/2021	Transportation
Seattle's Sidewalk Maintenance and 3 Repair Program		To assist property owners in meeting their legal responsibilities to repair the sidewalks adjacent to their properties, in conjunction with enhanced education and enforcement, the Seattle Department of Transportation should implement a sidewalk repair financing program.	10/28/2021	Transportation
Seattle's Sidewalk Maintenance and 7 Repair Program		The Seattle Department of Transportation should simplify the sidewalk permitting process. (Recommendation 7.3 in the 2020 Policy Report.)	10/28/2021	Transportation
Seattle Indigent Public Defense Services	6	The City should clarify what constitutes assignment of a case.	8/6/2007	Office of Policy and Management
Seattle Indigent Public Defense Services	26	OPM should consider paying on an open case basis instead of a closed case basis.	8/6/2007	Office of Policy and Management
Seattle Indigent Public Defense Services	32	SMC should improve trial data collections.	8/6/2007	Municipal Court
Seattle Indigent Public Defense Services	22	OPM should use interpreter usage reports to evaluate public defense agencies' performance.	8/6/2007	Office of Policy and Management
Seattle Indigent Public Defense Services	27	OPM should review annual disposition data.	8/6/2007	Office of Policy and Management
Seattle Indigent Public Defense Services	1	The Office of Policy and Management (OPM) should audit public defense attorney caseloads based on assigned cases to ensure adherence to caseload standards, and share the audit results with the City Council.	8/6/2007	Office of Policy and Management
Seattle Indigent Public Defense Services	18	OPM should review the public defense agencies' investigator hours.	8/6/2007	Office of Policy and Management
Seattle Indigent Public Defense Services	33	The City should decide whether the public defense agency contract selection process is independent enough, and assigned counsel should be done outside of SMC.	8/6/2007	Mayor

Seattle Indigent Public Defense Services	19	OPM should review the costs of the public defense agencies' use of investigators.	8/6/2007	Office of Policy and Management
Seattle Indigent Public Defense Services	15	OPM should improve its audits related to training of public defense attorneys.	8/6/2007	Office of Policy and Management
Seattle Indigent Public Defense Services	13	Primary and secondary public defense agencies should have websites.	8/6/2007	Office of Policy and Management
Seattle Indigent Public Defense Services	4	OPM should review a larger number of case files (minimum 30), and impose corrective measures if it does not find compliance by the public defense agencies.	8/6/2007	Office of Policy and Management
Seattle Indigent Public Defense Services	11	Document complaints in case files, give copies to the Office of Policy and Management (OPM), and explain when cases are transferred due to attorney/client communication breakdown.	8/6/2007	Office of Policy and Management
Seattle Indigent Public Defense Services	5	The public defense agencies should revise their client case file forms.	8/6/2007	Office of Policy and Management
Seattle Indigent Public Defense Services	2	The City should clarify that in the governing ordinance and in the contracts with the City's contracted public defense providers, attorney caseload is measured by the number of assigned cases, not closed cases.	8/6/2007	Mayor
Seattle Indigent Public Defense Services	12	OPM and SMC should provide information about the City's contracted public defense agencies on the City's web site.	8/6/2007	Office of Policy and Management
Seattle Indigent Public Defense Services	10	Provide information to defendants on who they can call regarding complaints about the public defense services they receive.	8/6/2007	Office of Policy and Management
Seattle Indigent Public Defense Services	24	SMC should improve its system to track open/closed case information.	8/6/2007	Municipal Court
Seattle Indigent Public Defense Services	16	OPM should assess the public defense agencies' compliance with contract performance evaluation requirements.	8/6/2007	Office of Policy and Management
Seattle Indigent Public Defense Services	35	OPM should consider City-prosecutor salaries in determining parity with those for public defenders.	8/6/2007	Office of Policy and Management
Seattle Indigent Public Defense Services	29	OPM and SMC should decide if motions are an appropriate measure of public defense services. If yes, SMC should track.	8/6/2007	Office of Policy and Management
Seattle Indigent Public Defense Services	9	Conduct an annual or biannual defendant satisfaction survey.	8/6/2007	Office of Policy and Management
Seattle Indigent Public Defense Services	30	OPM and SMC should decide if probation and revocation hearings are an appropriate measure. If yes, SMC should track.	8/6/2007	Municipal Court
Seattle Indigent Public Defense Services	17	OPM should assess the purpose of the performance evaluation summary.	8/6/2007	Office of Policy and Management
Seattle Indigent Public Defense Services	7	Phone calls/letters can replace public defense agencies' contact with defendants only when the defendant cannot or is unwilling to meet.	8/6/2007	Office of Policy and Management
Seattle Indigent Public Defense Services	31	OPM and SMC should decide if trials are an appropriate measure of public defense services. If yes, OPM should track.	8/6/2007	Municipal Court
Seattle Indigent Public Defense Services	34	OPM should determine if efforts are being made by the public defense agencies to ensure continuous representation.	8/6/2007	Office of Policy and Management
Seattle Indigent Public Defense Services	3	The City should have a larger secondary public defense agency.	8/6/2007	Mayor
Seattle Indigent Public Defense Services	8	Document evidence of attorney contacts with clients in the public defense agencies' client files.	8/6/2007	Office of Policy and Management
Seattle Indigent Public Defense Services	14	OPM should assess the public defense agencies' compliance with supervisor/attorney ratio.	8/6/2007	Office of Policy and Management
Seattle Indigent Public Defense Services	21	The public defense attorneys should arrange for interpreters before meeting with their clients.	8/6/2007	Office of Policy and Management
Seattle Indigent Public Defense Services	28	OPM and SMC should decide whether appeals are a good measure of public defense services. OPM also needs to reconcile its appeal data with that maintained by the Law Department.	8/6/2007	Office of Policy and Management
Seattle Indigent Public Defense Services	20	SMC should track the public defense agencies' use of interpreters outside of court hearings.	8/6/2007	Municipal Court
Seattle City Light Billable Services Audit	34	All control activities identified as a result of the risk assessment in recommendation # 519 should be documented and approved by management. [Recommendation 15]	8/10/2016	City Light
Seattle City Light Billable Services Audit	11	Require manager or director level authorization in addition to the current authorizations provided by the engineer and engineering supervisor for all high dollar write-down adjustments of billable charges, subject to defined dollar thresholds set by policy. This requirement should be documented in City Light policies and procedures. [Recommendation 4a]	8/10/2016	City Light

Seattle City Light Billable Services Audit	20	City Light management should determine the reasons for significant delays identified in our test samples. In collaboration with Engineering, Customer Care, Technical Metering, Energy Delivery Operations, and General Accounting, identify all conditions that may cause unnecessary delays and implement solutions to minimize delays. For example, to address delays in vendor billing that require vendors to bill City Light within 30 days following delivery of goods or services in contractual agreements. [Recommendation 7A]	8/10/2016	City Light
Seattle City Light Billable Services Audit	22	Implement controls to help ensure the timeliness of Action List follow-up, thereby improving the effectiveness of the control. For example, the Cost Accounting Manager could review the Action List periodically to ensure the documentation of timely follow-up. Alternatively, implement other controls in place of the Action List to help ensure timely follow-up by General Accounting. Update policies and procedures to reflect these controls. [Recommendation 8a]	8/10/2016	City Light
Seattle City Light Billable Services Audit	7	Additionally, document reasons for journal entry adjustments in the Summit work order and ensure all adjustments are approved by management. This requirement should be documented in City Light policies and procedures. [Recommendation 3b]	8/10/2016	City Light
Seattle City Light Billable Services Audit	28	Ensure that all City Light employees involved in providing new and related services and billing for such services are made aware of the required payment handling policies and procedures. This should include project engineers, field crews, metering crews, and project managers. [Recommendation 11b]	8/10/2016	City Light
Seattle City Light Billable Services Audit	30	City Light should amend its refund policy so that all refund checks are mailed from the City Treasury, as is currently done for other checks issued by City Light's Accounts Payable unit. [Recommendation 12]	8/10/2016	City Light
Seattle City Light Billable Services Audit	25	Enforce the requirement for project managers to verify payment before completion or connection to the service. Document this requirement in policies and procedures. [Recommendation 10a]	8/10/2016	City Light
Seattle City Light Billable Services Audit	2	City Light should investigate projects from our test sample in which one or more tasks were not updated to the "finished" status and determine if all costs were appropriately billed to the customer and recorded in the Summit work order. [Recommendation 1b]	8/10/2016	City Light
Seattle City Light Billable Services Audit	14	City Light management should investigate all high dollar adjustments noted in our testing, including the \$253,000 in adjustments noted above. [Recommendation 4d]	8/10/2016	City Light
Seattle City Light Billable Services Audit	3	As part of the engineering review process, City Light management should require the reconciliation of tasks between the Summit work order, the WAMS work order, and the final bill review to help ensure that all billable project tasks are shown on all three records. Any discrepancies in billable tasks should be investigated and resolved before customer billing. This requirement should be documented in City Light policies and procedures. [Recommendation 2]	8/10/2016	City Light
Seattle City Light Billable Services Audit	23	Implement controls to help ensure that all time and materials invoices are properly alpha coded. For example, consider a second review by General Accounting personnel of the invoice number coding during both the initial and final billing process. Update policies and procedures to reflect these controls. [Recommendation 8b]	8/10/2016	City Light
Seattle City Light Billable Services Audit	13	If electronic approvals are used, such as emails from engineers or supervisors, require the approvals to be conclusively linked to the final bill review by referencing the WAMS work order number. This requirement should be documented in City Light policies and procedures. [Recommendation 4c]	8/10/2016	City Light
Seattle City Light Billable Services Audit	17	Engineering management should independently investigate projects that our tests identified as resulting in a high dollar customer refund (e.g., \$10,000 or greater). For example, review both the prepared estimate and the as-built drawings to determine the completeness of the billing on each project and to rule out the possibility of billing improprieties that resulted in over refunding the customer. [Recommendation 5c]	8/10/2016	City Light

Seattle City Light Billable Services Audit	8	Since the final bill invoices we tested were from 2014 or earlier, City Light should determine the reasons for the billing discrepancies identified in our testing and confer with the City Law Department about whether City Light can legally bill for additional costs. Based on advice from the City Law Department, generate additional billing or refunds to customers as appropriate for billing discrepancies of \$10,000 or more. [Recommendation 3c]	8/10/2016	City Light
Seattle City Light Billable Services Audit	18	Enforce the requirement for Engineering and Engineering Supervisory reviews for all time and materials projects. The requirement should include the specific attributes of project costs to be reviewed and approved by both the project engineer and the Engineering Supervisor. The reviews should be evidenced in the form of both signatures on the final bill review document or in electronic form (e.g., email) that can be conclusively linked to the final bill review through cross referencing (e.g., by providing the WAMS work order number). Examples of attributes to be reviewed could include whether the totals per the task details on the final bill review agree to summary totals on the final bill review cover sheet and whether the classification of non-billable versus billable charges is appropriate. These requirements should be documented in City Light policies and procedures. [Recommendation 6a]	8/10/2016	City Light
Seattle City Light Billable Services Audit	31	City Light management should require tracking and monitoring of the refunds for all 3-phase customers. [Recommendation 13]	8/10/2016	City Light
Seattle City Light Billable Services Audit	10	Develop and document policies and procedures that allow for additional customer billing/refunds in the event and error is discovered after the true-billing has been generated. For example: •City Light and City Law should determine a reasonable period of time during which such additional billings could be collected. •Update the customer service agreement to allow for the additional billing when required by policy; •Remove the word "final" from what is now known as the final bill invoice in which customers are billed or credited for the cost true-up of the project; •Print a notice on the true-up invoices stating that additional costs may be billed to correct the prior invoice if required. [Recommendation 3e]	8/10/2016	City Light
Seattle City Light Billable Services Audit	40	Assign responsibility to the appropriate business unit to perform a periodic review of sequential numbers for both work orders and service requests to ensure that all WAMS service requests and work orders are accounted for. Any missing numbers should be investigated. Document this responsibility in policies and procedures. [Recommendation 18b]	8/10/2016	City Light
Seattle City Light Billable Services Audit	16	Require General Accounting to ensure variances are appropriately documented on the final bill review for all variances in excess of 10% before generating the final bill invoice. This requirement should be documented in City Light policies and procedures. [Recommendation 5b]	8/10/2016	City Light
Seattle City Light Billable Services Audit	35	All key control activities identified in recommendation #520 should be monitored periodically for effectiveness. [Recommendation 15]	8/10/2016	City Light
Seattle City Light Billable Services Audit	26	In cases when the estimated payment was not collected in full as required, General Accounting should notify the Electrical Service Engineer/Electrical Service Representative (ESE/ESR) manager at the time the final bill review document is prepared. The ESE/ESR manager should follow-up with the appropriate ESEs or ESRs to immediately collect any balances. This requirement should be documented in policies and procedures. [Recommendation 10b]	8/10/2016	City Light
Seattle City Light Billable Services Audit	9	Require that both Work and Asset Management System (WAMS) and Summit work orders be closed once the final bill review has been prepared by General Accounting for all time and materials projects. Once the work orders are closed, no further costs can be posted to the Summit work order without first re-opening the work order, which can only be done by Cost Accounting. This requirement should be documented in City Light policies and procedures. [Recommendation 3d]	8/10/2016	City Light

Seattle City Light Billable Services Audit	36	<p>City Light management should implement a plan to regularly communicate to all of its employees the details of the City's Whistleblower program and encourage its use. For example:</p> <ul style="list-style-type: none"> •City Light should post information about the program in kitchens, lunchrooms, and other conspicuous places where employees gather. •Managers should periodically discuss the program at staff meetings. <p>[Recommendation 16]</p>	8/10/2016	City Light
Seattle City Light Billable Services Audit	29	<p>Update the construction service agreements to direct any mail-in payments to the required City Light post office lock box or to FAS/City Light cashiers when payments are made in person. [Recommendation 11c]</p>	8/10/2016	City Light
Seattle City Light Billable Services Audit	32	<p>City Light should identify all new or enlarged service installations that were subject to this ordinance and bring any such installations into compliance as necessary by either refunding customer deposits, canceling letters of credit, or billing customers as appropriate. [Recommendation 14]</p>	8/10/2016	City Light
Seattle City Light Billable Services Audit	5	<p>Enforce the policy to update the Summit work order to reflect cost adjustments recorded on the final bill review, when necessary and in accordance with dollar thresholds established by City Light Policy, to help ensure the accuracy of the project's capital cost. This requirement should be documented in City Light policies and procedures. [Recommendation 3b]</p>	8/10/2016	City Light
Seattle City Light Billable Services Audit	21	<p>City Light should develop timeliness goals for each of the process steps identified below to monitor performance and implement controls to help ensure goals are achieved in the billing process. The steps are identified as follows:</p> <ul style="list-style-type: none"> •From the completion of the project to the generation of the final bill review for engineering; •From the generation of the final bill review to the approval from both the engineer and the engineering supervisor; •From engineering approval to the generation of the final bill invoice. <p>[Recommendation 7B]</p>	8/10/2016	City Light
Seattle City Light Billable Services Audit	19	<p>Require General Accounting to verify that both engineering signatures are present on the final bill review before generating the customer final bill invoice. The names of the engineers signing the final bill review should also be printed so General Accounting personnel can verify the appropriate project engineer and supervisor approved the final bill review. These requirements should be documented in City Light policies and procedures. [Recommendation 6b]</p>	8/10/2016	City Light
Seattle City Light Billable Services Audit	39	<p>Document policies and procedures and implement them to prevent any personnel from deleting WAMS service requests or work orders, including system administrators. Include in such policies and procedures that work orders and service requests should be canceled or voided rather than deleted, with reasons for the cancelation or void documented. [Recommendation 18a]</p>	8/10/2016	City Light
Seattle City Light Billable Services Audit	1	<p>The City Light Engineer and Engineering Supervisor should verify that all tasks have been completed and have been updated to the "finished" status before approving the final bill review. The billing technician in City Light General Accounting should verify that all tasks in WAMS are in the finished status before generating the final bill invoice. These requirements should be documented in City Light policies and procedures. [Recommendation 1a]</p>	8/10/2016	City Light
Seattle City Light Billable Services Audit	4	<p>Require City Light General or Cost Accounting to reconcile all costs reported on the final bill review document with the Summit work order, both before forwarding the final bill review to the engineer and again after receiving it back from the engineer, and follow-up on any identified discrepancies before generating the final bill invoice. These requirements should be documented in City Light policies and procedures. [Recommendation 3a]</p>	8/10/2016	City Light

Seattle City Light Billable Services Audit	12	Require reasons for the adjustment and supporting evidence or analysis to be clearly documented either on the final bill review or on documents attached to it. The documentation should be reviewed and approved by the Engineering Supervisor, General Accounting, or both. This requirement should be documented in City Light policies and procedures. [Recommendation 4b]	8/10/2016	City Light
Seattle City Light Billable Services Audit	38	City Light management should enforce the Department Policies and Procedures (DPP) requirements to develop department operating procedures relating to new and related services billing and collections and update them as necessary in January of each year. At a minimum, operating procedures should developed for the following business units: •Cost Accounting •General Accounting •Network and Distribution Engineering •Energy Delivery Operations •Technical Metering In addition, department policies and procedures should be written to include the Customer Care Business Unit. [Recommendation 17]	8/10/2016	City Light
Seattle City Light Billable Services Audit	33	City Light management should conduct periodic risk assessments in connection with billing and collection activities to identify relevant risks to be controlled. Management should then determine if controls are already in place to mitigate identified risks or if new controls need to be designed and implemented. The risk assessment process should be collaborative across the affected business units to ensure all key risks are identified and addressed and to eliminate any duplication of internal control activities. [Recommendation 15]	8/10/2016	City Light
Seattle City Light Billable Services Audit	6	Lower the current \$10,000 journal entry threshold for recording adjustments to the Summit work order to discourage smaller, potentially fraudulent adjustments to the final bill review. This requirement should be documented in City Light policies and procedures. [Recommendation 3b]	8/10/2016	City Light
Seattle City Light Billable Services Audit	15	Enforce the requirement to perform variance analysis in accordance with City Light's department policies and procedures. The Engineering Supervisor should only sign off on the final bill review if the variance analysis, when required, is clearly documented and includes reasonable explanations as to the cause of the variance. In cases when the cause of variance can be identified, there should be supporting calculations. These requirements should be documented in City Light policies and procedures. [Recommendation 5a]	8/10/2016	City Light
Cal Anderson Park Surveillance Camera Pilot Program Evaluation	1	If the City proceeds with a surveillance camera program, the City should take steps to increase public awareness of the cameras, and improve the quality of data gathered to assess the efficacy of camera installations.	10/26/2009	Mayor
Follow-up Audit of Workers' Compensation: Return-to-Work Program	2	The City of Seattle should initiate multiple claim triages by departments' Return-to-Work Coordinators, Safety Officers, the injured workers' supervisors, and the Personnel Department's Workers' Compensation Unit to identify patterns and find solutions to avoid injuries.	6/15/2010	Mayor
Follow-up Audit of Workers' Compensation: Return-to-Work Program	3	The Workers' Compensation Unit and department Return-to-Work Coordinators should conduct more analysis of multiple claims including possible use of job design diagnostics experts to determine how to ensure that workers can perform their jobs safely.	6/15/2010	Human Resources
Follow-up Audit of Workers' Compensation: Return-to-Work Program	1	Departments should create quarterly reports on multiple claims so that department directors focus on this issue.	6/15/2010	Mayor
Follow-up Audit of Workers' Compensation: Return-to-Work Program	8	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.	6/15/2010	Human Resources
Follow-up Audit of Workers' Compensation: Return-to-Work Program	10	The Workers Compensation Unit should convene regular Return-to-Work Coordinators' meetings to share experiences in areas such as multiple claims, new federal and state laws, and best practices.	6/15/2010	Human Resources
Follow-up Audit of Workers' Compensation: Return-to-Work Program	9	The Workers Compensation Unit should develop Return-to-Work Coordinator training modules for processing complex claims and developing light duty jobs.	6/15/2010	Human Resources

Follow-up Audit of Broadstripe's Compliance with the City of Seattle's Cable Customer Bill of Rights	3	Broadstripe needs to ensure that their customer privacy statement is included in the customer installation packet.	10/24/2008	Broadstripe
Follow-up Audit of Broadstripe's Compliance with the City of Seattle's Cable Customer Bill of Rights	1	Broadstripe needs to continue meeting call response time standards.	10/24/2008	Broadstripe
Follow-up Audit of Broadstripe's Compliance with the City of Seattle's Cable Customer Bill of Rights	2	Broadstripe needs to continue to meet busy signal standards.	10/24/2008	Broadstripe
Follow-up Audit of Broadstripe's Compliance with the City of Seattle's Cable Customer Bill of Rights	4	The privacy statement included in Broadstripe's annual mailing must be a separate statement, not one embedded in the Annual Customer Notification Form.	10/24/2008	Broadstripe
Seattle Public Utilities Revenue Cycle Audit – Commercial Solid Waste, Internal Controls Review	19	Contractor reporting provided to SPU on customer complaints/issues needs to be improved.	4/9/2008	Public Utilities
Seattle Public Utilities Revenue Cycle Audit – Commercial Solid Waste, Internal Controls Review	2	Controls could be improved to ensure timely remittance of customer payments.	4/9/2008	Public Utilities
Seattle Public Utilities Revenue Cycle Audit – Commercial Solid Waste, Internal Controls Review	7	Delinquent accounts are not submitted to collections in a timely manner.	4/9/2008	Public Utilities
Seattle Public Utilities Revenue Cycle Audit – Commercial Solid Waste, Internal Controls Review	10	Policies and procedures governing the remission of customer payments to the collection agency need to be improved.	4/9/2008	Public Utilities
Seattle Public Utilities Revenue Cycle Audit – Commercial Solid Waste, Internal Controls Review	8	Procedures for tracking and monitoring the performance of Commercial accounts in collections need improvement.	4/9/2008	Public Utilities
Seattle Public Utilities Revenue Cycle Audit – Commercial Solid Waste, Internal Controls Review	14	SPU was not reconciling the Commercial Solid Waste Receivable accounts frequently enough.	4/9/2008	Public Utilities
Seattle Public Utilities Revenue Cycle Audit – Commercial Solid Waste, Internal Controls Review	9	The City's collection procedures require improvement to maximize the collection rate and revenue recoveries.	4/9/2008	Public Utilities
Seattle Public Utilities Revenue Cycle Audit – Commercial Solid Waste, Internal Controls Review	3	There are no regular account aging reports prepared for Commercial Solid Waste accounts receivable.	4/9/2008	Public Utilities
Seattle Public Utilities Revenue Cycle Audit – Commercial Solid Waste, Internal Controls Review	15	Controls are not adequate to ensure SPU is charged accurately for yard and food waste processing tonnage.	4/9/2008	Public Utilities
Seattle Public Utilities Revenue Cycle Audit – Commercial Solid Waste, Internal Controls Review	6	Some improvements are needed with contractor and SPU customer communications on delinquent accounts.	4/9/2008	Public Utilities
Seattle Public Utilities Revenue Cycle Audit – Commercial Solid Waste, Internal Controls Review	21	SPU's controls over the verification of tonnage invoiced for transfer services could be strengthened.	4/9/2008	Public Utilities
Seattle Public Utilities Revenue Cycle Audit – Commercial Solid Waste, Internal Controls Review	5	Interest fees charged do not appear to be adequate to encourage timely payment and other interest issues.	4/9/2008	Public Utilities
Seattle Public Utilities Revenue Cycle Audit – Commercial Solid Waste, Internal Controls Review	17	SPU needs to improve its verification of the recycling tonnage used for invoicing recycling processing and the commodity credit.	4/9/2008	Public Utilities
Seattle Public Utilities Revenue Cycle Audit – Commercial Solid Waste, Internal Controls Review	13	SPU is not consistently writing off Commercial accounts by the time they are 1 1/2 years delinquent, per SPU policy.	4/9/2008	Public Utilities
Seattle Public Utilities Revenue Cycle Audit – Commercial Solid Waste, Internal Controls Review	4	A significant percentage of SPU Commercial customers appear to consistently pay a month or more late.	4/9/2008	Public Utilities
Seattle Public Utilities Revenue Cycle Audit – Commercial Solid Waste, Internal Controls Review	1	Controls could be improved by reviewing customer account adjustments made by Waste Management.	4/9/2008	Public Utilities
Seattle Public Utilities Revenue Cycle Audit – Commercial Solid Waste, Internal Controls Review	18	None of the critical scales involved in the SPU solid waste processes have been certified/tested by the State.	4/9/2008	Public Utilities
Seattle Public Utilities Revenue Cycle Audit – Commercial Solid Waste, Internal Controls Review	20	SPU is not assessing penalties specified by contract terms for service failures, except for noise violations.	4/9/2008	Public Utilities
Seattle Public Utilities Revenue Cycle Audit – Commercial Solid Waste, Internal Controls Review	12	Controls related to direct payments could be improved.	4/9/2008	Public Utilities
Seattle Public Utilities Revenue Cycle Audit – Commercial Solid Waste, Internal Controls Review	16	Improved procedures are needed for SPU's review and approval of invoices for yard and food waste processing.	4/9/2008	Public Utilities
New Taps Billing and Controls Review	2	SPU's Development Services Office (DSO) Director should ensure that periodic training is provided to the appropriate DSO personnel on the content of the revised policies and procedures.	3/29/2019	Public Utilities

New Taps Billing and Controls Review	1	SPU management should ensure that all policies and procedures relating to new taps billing processes, including internal controls are updated as appropriate.	3/29/2019	Public Utilities
Workforce Equity in Promotions	4	The Seattle Department of Human Resources, in collaboration with the Seattle Office for Civil Rights, should adapt the City's Racial Equity Toolkit and perform a racial equity analysis of promotion and reclassification policies.	9/19/2023	Human Resources
Workforce Equity in Promotions	3	The Seattle Department of Human Resources, in consultation with relevant stakeholders, should develop a multi-year plan to update the City's Class Specifications System. The plan should include a budget proposal for the City Council's consideration and a strategy for periodic updates of the Class Specifications System.	9/19/2023	Human Resources
Special Events – Police Staffing and Cost Recovery	21	A staff member or manager who does not process payments should reconcile SPECTRE to Summit monthly. (Report Recommendation 16)	12/13/2017	Special Events
Workforce Equity in Promotions	2	The Seattle Department of Human Resources (SDHR), in collaboration with other City departments' Human Resources (HR) units, should explore ways to effectively work together to ensure Citywide implementation of promotion best practices. SDHR could consider modeling the City's Human Resources Leadership Team into a Community of Practice system that allows HR Leaders to collaboratively explore how to expand current promotion best practices Citywide.	9/19/2023	Human Resources
Special Events – Police Staffing and Cost Recovery	10	SPD needs to improve oversight of event staffing plans decisions by ensuring: a. Independent reviews of event staffing include schedule and shift details, b. All event plans are independently reviewed, including those for events at the Seattle Center, and c. Plans are reviewed, or updated, in the months immediately preceding an event. (Report Recommendation 8)	12/13/2017	Police
Special Events – Police Staffing and Cost Recovery	20	SEO should update their policies and procedures to ensure permit fee billing and payment handling procedures include an adequate level of segregation of duties. (Report Recommendation 16)	12/13/2017	Special Events
Workforce Equity in Promotions	1	The Seattle Department of Human Resources (SDHR) should use the transition of the City's Human Resources Information System to the Workday Human Resources system as an opportunity to evaluate and address data gaps, develop automated analytics, and set up systems to publish regular workforce analysis, including promotion and pay equity studies that use rigorous methodologies. For example, SDHR could explore A) onboarding functions that promote employees' demographics identification and B) automated reporting and analytics features that streamline workforce analyses of promotion and pay equity.	9/19/2023	Human Resources
Special Events – Police Staffing and Cost Recovery	9	The Seattle Police Department and the Special Events Office should review the administrative workload associated with special events and consider whether they should increase the staffing allocated to these functions. (Report Recommendation 7)	12/13/2017	Police
Special Events – Police Staffing and Cost Recovery	25	Event-level reporting should be produced regularly by SPD and distributed to key special events decision makers in SPD, SEO, Seattle Center, and the City Budget Office. This reporting should match police fee revenues to police event expenses because the relationship of the costs of staffing events to the fees received could affect decisions about managing costs. Reports should include hours worked (including overtime and regular time), wages paid, number of staff or shifts worked, and comparative information from prior years. (Report Recommendation 19)	12/13/2017	Police
City of Seattle Financial Condition	1	The City should maintain a stable employer contribution rate and continue to fund SCERS at or above the actuarially determined rate to help them achieve full funding by the end of 2042.	5/13/2019	Retirement
Special Events – Police Staffing and Cost Recovery	15	Then, SPD should re-evaluate all event planning tasks to determine what could be done by civilians and what must be done by sworn staff. (Report Recommendation 11)	12/13/2017	Police

Special Events – Police Staffing and 8
Cost Recovery

The Seattle Police Department (SPD) and the Special Events Office (SEO) should develop a process to address events that require police services but do not obtain either a permit or a memorandum of understanding (MOU) with SPD. The process should vary by type of event (i.e., the process should be different for a free speech event from what it would be for a festival or concert). For upcoming events, the process should include SPD or SEO working with an organizer to help ensure the event has either a permit or an MOU before police services are provided. For events that have already occurred, the process should include follow up from SPD or SEO about City requirements and retroactively billing event organizers for police staffing when appropriate. (Report Recommendation 6)

12/13/2017

Police

City's Construction Permitting 11
Needs More Customer Focus and
Consistency

The Seattle Department of Construction and Inspections (SDCI) should develop a process to monitor and evaluate permit application corrections. This process should be sustainable given current resource levels and provide reasonable assurance that permit corrections are meeting SDCI's standards of being necessary, understandable, code-based, directive, and specific. SDCI should track this information so that correction quality can be evaluated over time. To ensure the consistency of permit corrections, SDCI should involve and coordinate with other City departments that issue permits.

10/18/2023

Construction and
Inspection

City's Construction Permitting 5
Needs More Customer Focus and
Consistency

The Seattle Department of Construction and Inspections (SDCI) should evaluate its ethical culture and make any needed improvements. SDCI should consider the following:

- Periodic evaluations of the workplace culture and ethical environment through anonymous employee surveys
- An internal ethics policy to address situations that are unique to SDCI's work environment
- Ongoing ethics training that is tailored to SDCI's work environment and potential ethical scenarios employees may encounter
- A clear process for employees to anonymously report ethical concerns
- Leadership's demonstrated commitment to strong ethical values through their directives, attitudes, and behavior (also known as "tone at the top")
- Reviewing and determining which employees should complete the City's Financial Interest Statement form based on their responsibilities

10/18/2023

Construction and
Inspection

Special Events – Police Staffing and 11
Cost Recovery

In addition, SPD needs to ensure Special Event After Action Forms are completed for all special events, in accordance with the practice implemented in early 2017. (Report Recommendation 8)

12/13/2017

Police

Special Events – Police Staffing and 12
Cost Recovery

SPD needs to update its policies and procedures that address Special Event Planning and After Action Reports. Policies and procedures should specify:

- a. How staffing decisions are to be made (e.g., what criteria must be evaluated) and how plans should be documented.
- b. When plans require formal independent review and approval, who is responsible for this review, and how this approval is to be documented.
- c. The goals of the weekly SPOC meetings and SPOC's oversight responsibility for event staffing decisions and planning, including what this oversight should include.
- d. How after action information for special events should be documented and archived for future use (i.e., describe requirements for SPD's new Special Event After Action Form).

In addition, SPD's policies and procedures should ensure that:

- e. Staffing plans include options for releasing officers early if resource needs decrease during an event.
- f. Staffing levels are assessed, and these assessments should be documented, after all special events. These assessments should include feedback from external parties (e.g., event organizers and Special Event Committee members) when feasible.

Once updated, SPD should ensure compliance with policies and procedures related to special events. (Report Recommendation 9)

12/13/2017

Police

City's Construction Permitting Needs More Customer Focus and Consistency	1	The Seattle Department of Construction and Inspections (SDCI) should develop metrics by construction permit type for total review time and a tracking process to support meeting those metrics. The metrics and SDCI's progress on meeting those metrics, along with the methodology and notices of any data limitations, should be displayed on SDCI's website and updated regularly. The data should meet the needs and expectations of customers and include other City departments' review times. SDCI should also consider whether to publish its review queue on its website.	10/18/2023	Construction and Inspection
City's Construction Permitting Needs More Customer Focus and Consistency	3	The Seattle Department of Construction and Inspections (SDCI) should develop a strategic customer engagement program for their construction permitting process, which could include: <ul style="list-style-type: none"> • Establishing customer service and satisfaction baseline data. • Defining performance measures that relate to SDCI's strategic goals. • A process to routinely monitor performance measures. • Defined roles for SDCI employees who are responsible for implementing process improvements. 	10/18/2023	Construction and Inspection
City's Construction Permitting Needs More Customer Focus and Consistency	4	The Seattle Department of Construction and Inspections (SDCI) should solidify and make more transparent how it prioritizes construction permit applications for review. This could include: <ul style="list-style-type: none"> • Creating a policy and providing training on how permit reviewers should prioritize projects assigned to them • Improving the workflow screen in Accela to make the priority of projects clearer • Reviewing and making updates to the Plan Review Priorities Guideline document (for example, considering the priority of medical or disability accommodations) and making it publicly available • Creating a method to document when and why the prioritization process is circumvented SDCI should coordinate with other City departments as needed to implement this recommendation.	10/18/2023	Construction and Inspection
Special Events – Police Staffing and Cost Recovery	13	SPD should begin regular tracking of event staffing information, including trends in event hours and costs by event and event type and perform comparisons between estimated (or planned) staffing with actual staffing at events. (Report Recommendation 10)	12/13/2017	Police
City's Construction Permitting Needs More Customer Focus and Consistency	7	The City Budget Office, in collaboration with other City departments, should evaluate the governance and funding structures of departments that review construction permit applications and determine if changes can be made to better position the City to quickly respond to fluctuations in permit demand while meeting customer expectations.	10/18/2023	Budget Office
City's Construction Permitting Needs More Customer Focus and Consistency	6	The Mayor's Office should lead a coordinated effort to document all recommendations related to the construction permitting process from consultant reports and internal improvement efforts. City departments should then evaluate each recommendation to determine whether they intend to implement it and why. The City should prioritize, assign an owner, and estimate a due date for each recommendation that is selected for implementation. Recommendations should be tracked in a central, publicly accessible location such as a dashboard to promote accountability.	10/18/2023	Mayor
Audit of Seattle Police Department Patrol Vehicle Procurement	3	The City Budget Office and the Department of Finance and Administrative Services should change the procurement decision-making process so that vehicles can be purchased one year in advance of their retirement year.	1/25/2022	Finance and Administrative Services
Audit of Seattle Police Department Patrol Vehicle Procurement	1	The City Budget Office should allow the Department of Finance and Administrative Services to expend funds in accordance with the vehicle replacement schedule so that patrol vehicles can be retired according to their determined useful life.	1/25/2022	Budget Office

SPU Wholesale Water Sales	8	The SPU Division Director of Customer Billing Services should either (1) require management review and documented approval of current cycle consumption adjustments, subject to the same approval requirements for retroactive billing adjustments and document this requirement in written policies and procedures; or (2) implement activities that adequately control the risk of inaccurate or fraudulent current cycle consumption adjustments and document such activities in policies and procedures. (Report Recommendation 5)	3/15/2018	Public Utilities
SPU Wholesale Water Sales	22	SPU's Meter Coordination Committee should maintain primary responsibility for ensuring all wholesale customer meters are tested as planned and should periodically track the testing progress. (Report Recommendation 15a)	3/15/2018	Public Utilities
SPU Wholesale Water Sales	30	SPU personnel should check the condition of the locks at least once annually, for example, during annual meter verification testing. (Report Recommendation 18b)	3/15/2018	Public Utilities
SPU Wholesale Water Sales	32	SPU management should ensure there is documentary evidence of management's approval of user access to CCB and MDM, such as an email transmission from the Division Director with the approved user lists attached. (Report Recommendation 19b)	3/15/2018	Public Utilities
SPU Wholesale Water Sales	26	SPU should install locking devices on all wholesale meter vault covers already configured to use padlocks or similar devices so that vaults are only accessible to authorized SPU personnel. (Report Recommendation 17a)	3/15/2018	Public Utilities
SPU Wholesale Water Sales	21	Evidence of both calculations should be documented. (Report Recommendation 14b)	3/15/2018	Public Utilities
SPU Wholesale Water Sales	27	SPU should determine if it is cost effective to either replace vault lids that are not configured to use locking devices or secure them using other means. (Report Recommendation 17b)	3/15/2018	Public Utilities
SPU Wholesale Water Sales	9	The SPU billing technician should document all consumption adjustments in sufficient detail, including how adjustments were calculated and the justification for making them. All such documentation should be retained in customer files. (Report Recommendation 6)	3/15/2018	Public Utilities
SPU Wholesale Water Sales	28	Vault covers should be inspected during monthly cycle meter reads to ensure they are properly secured. (Report Recommendation 17c)	3/15/2018	Public Utilities
SPU Wholesale Water Sales	17	SPU management should require, through written policy, annual meter read verifications of wholesale meters. (Report Recommendation 12a)	3/15/2018	Public Utilities
SPU Wholesale Water Sales	5	The document should be approved and signed by the Customer Billing Services Division Director. (Report Recommendation 3b)	3/15/2018	Public Utilities
SPU Wholesale Water Sales	29	SPU should install locking devices on all wholesale meter bypass valves to prevent the unauthorized, unmetered use of water. (Report Recommendation 18a)	3/15/2018	Public Utilities
SPU Wholesale Water Sales	7	The SPU Customer Billing Services Division Director should ensure the "Customer Billing Services Adjustment Approval Request" form is updated and corrected to include all individuals with the appropriate billing adjustment approval authority, including the dollar limits each individual is authorized to approve. (Report Recommendation 4)	3/15/2018	Public Utilities
SPU Wholesale Water Sales	18	The verifications should be documented and retained on file. (Report Recommendation 12b)	3/15/2018	Public Utilities
SPU Wholesale Water Sales	20	SPU should ensure that a second person takes the appropriate steps to calculate the truncation factor and number of dials for entry in CCB for each newly installed meter or register. The results should be compared to the initial calculation to ensure its accuracy. (Report Recommendation 14a)	3/15/2018	Public Utilities
SPU Wholesale Water Sales	25	Before creating Maximo work orders for scheduling the meter tests, the Senior Planner should compare the test plan approved by the Committee to the plan submitted for processing preventative maintenance work orders to ensure they are in agreement. (Report Recommendation 16b)	3/15/2018	Public Utilities
SPU Wholesale Water Sales	1	Management should enforce the approval policy for retroactive billing adjustments, including those generated using the "cancel and rebill" function, by periodically reviewing all billing adjustments to ensure that approval request forms were signed by the appropriate individuals in accordance with policy. (Report Recommendation 1)	3/15/2018	Public Utilities

SPU Wholesale Water Sales	31	SPU management should enforce the City policy to perform regular management user access reviews of the Maximo system and monitor compliance with this requirement. (Report Recommendation 19a)	3/15/2018	Public Utilities
SPU Wholesale Water Sales	4	The SPU Division Director of Customer Billing Services should ensure the "Purveyor Billing Process" document, which outlines policies and procedures for wholesale customer billing, is updated to include the titles and approval limits of all individuals authorized to approve billing adjustments. (Report Recommendation 3a)	3/15/2018	Public Utilities
SPU Wholesale Water Sales	2	Management should review all 17 retroactive billing adjustments noted above that did not have the appropriate management authorization to ensure the propriety of the adjustments. (Report Recommendation 2a)	3/15/2018	Public Utilities
SPU Wholesale Water Sales	6	The document should be periodically reviewed by the Director and updated as necessary. (Report Recommendation 3c)	3/15/2018	Public Utilities
SPU Wholesale Water Sales	24	The approved wholesale meter test plan, including any subsequent modifications, should be incorporated into SPU's Meter Coordination Committee minutes as evidence of the Committee's approval. (Report Recommendation 16a)	3/15/2018	Public Utilities
City's Construction Permitting Needs More Customer Focus and Consistency	10	The Seattle Department of Construction and Inspections (SDCI) should develop a department policy for how construction permit corrections should be handled, including: <ul style="list-style-type: none"> • What rises to the level of needing an official correction • What is required back from the applicant to resolve the correction, including in what format • At what point to contact the applicant to discuss the issues, such as after a certain number of correction cycles • How this policy will be enforced SDCI should coordinate with other City departments involved in the construction permitting process in developing and implementing this policy. SDCI should also put relevant information about the policy on their website.	10/18/2023	Construction and Inspection
SPU Wholesale Water Sales	14	SPU should require wholesale customers to submit some form of documentation as support for their reporting of facilities charges. For example, reports showing permits issued for new and increased connection sizes could be included with the payments, if facilities charges are based on these criteria. (Report Recommendation 10)	3/15/2018	Public Utilities
SPU Wholesale Water Sales	12	SPU should document policies and procedures for the entry of meter reads in Maximo work orders that include the reviews discussed in Recommendation 7. (Report Recommendation 8)	3/15/2018	Public Utilities
SPU Wholesale Water Sales	23	A report that tracks planned versus actual testing should be developed for this purpose. (Report Recommendation 15b)	3/15/2018	Public Utilities
SPU Wholesale Water Sales	3	In addition, management should determine how approval controls were circumvented and take measures to help ensure this doesn't happen in the future. (Report Recommendation 2b)	3/15/2018	Public Utilities
SPU Wholesale Water Sales	13	The annual block charge calculation for each block customer should be independently reviewed and approved by SPU management before calculations are forwarded to SPU Accounts Receivable for billing. (Report Recommendation 9)	3/15/2018	Public Utilities
SPU Wholesale Water Sales	10	When installing new meters and registers, SPU meter crews entering meter reads in Maximo should perform additional review steps while in the field to ensure accurate and complete meter reads, such as the review steps now performed by the Senior Planner. (Report Recommendation 7a)	3/15/2018	Public Utilities
SPU Wholesale Water Sales	11	Such reviews should also be performed by the meter crew chief when that position is assigned the responsibility for reviewing and closing the work orders. (Report Recommendation 7b)	3/15/2018	Public Utilities
SPU Wholesale Water Sales	19	SPU's Meter Systems Analyst should review a report before each meter read cycle that compares Maximo and CCB meter configuration attributes and promptly investigate and correct any differences. The Meter Systems Analyst should attempt to determine, on a case-by-case basis, how the discrepancy occurred and take actions to help prevent its reoccurrence. (Report Recommendation 13)	3/15/2018	Public Utilities

City's Construction Permitting Needs More Customer Focus and Consistency	9	The Seattle Department of Construction and Inspections (SDCI) should evaluate which departments are using Accela for construction permit review and determine how to improve their integration and use of the portal. SDCI should coordinate with other City departments involved in the construction permitting process.	10/18/2023	Construction and Inspection
City of Seattle Multifamily Tax Exemption Program	19	OH should work with the King County Department of Assessments to ensure the correct properties in Seattle are receiving the correct amount of MFTE tax exemptions.	9/19/2012	Housing
City of Seattle Multifamily Tax Exemption Program	6	The Office of Housing (OH) should conduct audits of the income verification documents submitted to the properties by tenants to determine if the annual property certification reports are accurate. Alternatively, OH could collect income verification documents from the property managers in addition to the annual certification reports so that it could verify the accuracy of the tenant income information contained in the certification reports.	9/19/2012	Housing
City of Seattle Multifamily Tax Exemption Program	10	OH should increase the use of automation in the application, final certificate of tax exemption, and MFTE annual property certification report processes. For example, MFTE applications and applications for final certificates of tax exemption could be submitted electronically, so applications are deemed completed only when all the required information and documentation is provided. Electronic submission would also provide the actual submittal/completion date, which could be compared with the issuance date of the building permit based on DPD electronic information rather than relying on the subjective interpretation of OH staff.	9/19/2012	Housing
City of Seattle Multifamily Tax Exemption Program	17	The City should consider charging an administrative fee to MFTE property owners to cover the cost of automating reports and improving program oversight.	9/19/2012	Housing
City of Seattle Multifamily Tax Exemption Program	5	We recommend that the City improve, clarify, and document tenant eligibility requirements and income verification processes to ensure that the program is meeting its goal to serve Seattle's workers and low to moderate income households who have difficulty finding affordable housing within the City as specified by Area Median Income (AMI) requirements.	9/19/2012	Housing
City of Seattle Multifamily Tax Exemption Program	12	OH should include in its status reports to the City Council information on the number of affordable units that remain vacant in each MFTE property for six months or more during the reporting year.	9/19/2012	Housing
City of Seattle Multifamily Tax Exemption Program	18	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.	9/19/2012	Housing
City of Seattle Multifamily Tax Exemption Program	2	The City should consider whether stimulating construction is an appropriate MFTE program goal, which can be measured and assessed for compliance.	9/19/2012	Housing
City of Seattle Multifamily Tax Exemption Program	16	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.	9/19/2012	Housing
City of Seattle Multifamily Tax Exemption Program	11	OH should clarify and update its status reports to the City Council, and report on actual data, if it is available, rather than estimates. This should include providing actual tax exemption impacts from the King County Department of Assessments, and the actual number of qualifying tenants living in affordable units.	9/19/2012	Housing

City of Seattle Multifamily Tax Exemption Program	7	OH should clarify its Director's Rule regarding verification of 9/19/2012 tenant income to specify what documentation is expected from the prospective tenant and the circumstances in which a residential screening report provided by property management is acceptable.		Housing
City of Seattle Multifamily Tax Exemption Program	13	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.	9/19/2012	Housing
City of Seattle Multifamily Tax Exemption Program	3	The City should consider whether it wants to limit the number of Residential Targeted Areas where MFTE housing can be built to areas that have made little progress in meeting their residential growth targets and could benefit from housing, economic development and revitalization. For example, the City could limit the MFTE program to Residential Target Areas that have achieved 35 percent or less of their residential growth target.	9/19/2012	Housing
City of Seattle Multifamily Tax Exemption Program	15	The City should consider including language in Seattle Municipal Code Chapter 5.73 requiring OH to do periodic audits of the tenant income eligibility documents.	9/19/2012	Housing
City of Seattle Multifamily Tax Exemption Program	14	OH should improve program oversight by conducting independent audits or reviews of the MFTE application and final certificate of tax exemption processes to determine if they were in compliance with program rules.	9/19/2012	Housing
City of Seattle Multifamily Tax Exemption Program	1	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.	9/19/2012	Housing
City of Seattle Multifamily Tax Exemption Program	9	The City should eliminate requirements that do not serve to advance the program's goals, and simplify others to make program administration and oversight less cumbersome. For example, the requirement that properties submit a tenant application form for affordable units does not appear to serve any purpose and some properties met this requirement by submitting the tenant application for market rate units. Another example is requiring different sized units to qualify under different affordability levels. Rather than requiring studios to be affordable at or below 65% of Area Median Income (AMI), one bedroom units at or below 75% of AMI, and 2 or more bedrooms at or below 85% of AMI, the City should consider using the same affordability level to facilitate improved compliance, reporting and oversight of this requirement.	9/19/2012	Housing
City of Seattle Multifamily Tax Exemption Program	8	OH should establish and document a structured process to request corrective action from properties that do not meet program requirements (e.g., submitting annual property certification reports, providing the appropriate number of affordable units to the targeted population, verifying tenant income reported by property management on annual property certification reports) or impose various types of penalties (including withdrawal of the MFTE tax exemption).	9/19/2012	Housing
City of Seattle Multifamily Tax Exemption Program	4	If the City wishes to ensure that MFTE housing is provided to low and moderate income households only, we recommend that it consider requiring tenants of MFTE affordable units to re-qualify for their housing either annually or every two years. If a tenant no longer qualifies, the ordinance could require that the property owner provide another unit to a qualifying tenant at the required rental rate.	9/19/2012	Housing

Audit of New Customer Information System (NCIS) Implementation	5	The Executive Steering Committee should be held accountable on information technology projects for resolving or lowering high risks identified by the quality assurance expert in a timely manner.	4/10/2017	Information Technology
Audit of New Customer Information System (NCIS) Implementation	4	Information Technology project managers, both City managers and consultants, if applicable, should be responsible for monitoring and tracking quality assurance risks, and presenting the Executive Steering Committee with options to address them.	4/10/2017	Information Technology
Audit of New Customer Information System (NCIS) Implementation	2	To increase transparency in the Capital Improvement Program budget process, we recommend that the Chief Technology Officer develop a method for communicating the uncertainty of budget estimates in the early phases of large information technology projects when the budgets for these projects are discussed with the City Council.	4/10/2017	Information Technology
Audit of New Customer Information System (NCIS) Implementation	1	Given the recent consolidation of most of the City's information technology units into one centralized department, the responsibility for reporting to the Seattle City Council on the status of IT projects should be assigned formally to the City's Chief Technology Officer. This can be specifically defined in SMC 3.23.030 to include regular reporting periods.	4/10/2017	Information Technology
Audit of New Customer Information System (NCIS) Implementation	3	To ensure that cost data is sufficiently and consistently tracked and documented to allow for improved oversight and comparison to budget, Executive sponsors of large (e.g., over \$50 million) City information technology development projects should assign a dedicated finance analyst as part of their project management team. As noted above, this is particularly important for IT projects that span multiple departments.	4/10/2017	Information Technology
Seattle's Enforcement of Bias Crimes	6	The City should use SPIDER to create bias crime reporting.	8/4/2008	Mayor
Seattle's Enforcement of Bias Crimes	4	Increase SPD officer training in identifying (i.e., recognizing when there is a bias element to a crime or incident) and flagging bias crimes (i.e., checking the bias field on the General Offense form, and/or adding an offense category of malicious harassment or bias incident).	8/4/2008	Police
Seattle's Enforcement of Bias Crimes	3	SPD should use SPIDER to compare Seattle's bias crime reporting to Sacramento's.	8/4/2008	Police
Seattle's Enforcement of Bias Crimes	1	The Seattle Police Department (SPD) should simplify bias crime flagging in its SPIDER (Seattle Police Information, Dispatch, and Electronic Reporting) system.	8/4/2008	Police
Seattle's Enforcement of Bias Crimes	8	The City should regularly publish reports on bias incidents and crimes.	8/4/2008	Mayor
Seattle's Enforcement of Bias Crimes	9	Increase coordination among City departments and between City and external agencies for bias crime education and response.	8/4/2008	Mayor
Seattle's Enforcement of Bias Crimes	5	SPD should monitor the SPD Data Center workload regarding the shift to the National Incident Based Reporting System (NIBRS).	8/4/2008	Police
Seattle's Enforcement of Bias Crimes	7	SPD should require officers to submit reports on bias incidents, not just bias crimes.	8/4/2008	Police
City's Construction Permitting Needs More Customer Focus and Consistency	8	The Mayor's Office should develop and implement a strategy, including the required resources, for providing ongoing support for the Seattle Services Portal (Accela) and other software used in the construction permitting process. The Mayor's Office should collaborate with the Seattle Information Technology Department and other departments involved in construction permitting.	10/18/2023	Mayor

City's Construction Permitting Needs More Customer Focus and Consistency	2	The Seattle Department of Construction and Inspections (SDCI) should address potential permitting barriers and equity concerns by incorporating the City's Race and Social Justice Initiative (RSJI) values into the permitting process. This should involve completing a Racial Equity Toolkit (RET) for the entire permitting process or several RETs for specific parts of the process. SDCI should consult with the Seattle Office for Civil Rights for RET guidance and support and with other City departments that are involved in permitting or have a stakeholder interest. In the RET, SDCI should evaluate the accessibility of their current process and tools, including considering the needs of customers who lack computer skills, people with disabilities, and people with limited English proficiency, among others. The RET should also include a stakeholder analysis to determine who is impacted by the permitting process and from whom SDCI should get regular feedback. The City should implement the recommendations that result from this effort.	10/18/2023	Construction and Inspection
Seattle Public Utilities Residential Solid Waste Billing Controls Audit	8	Management from Seattle Public Utilities' Customer Accounts and Billing Services and the Solid Waste Inspection and Compliance work groups should agree on a uniform adjustment cancellation approval policy for residential solid waste billing. The policy should be documented and approved by Seattle Public Utilities management.	3/30/2022	Public Utilities
Seattle Public Utilities Residential Solid Waste Billing Controls Audit	5	Seattle Public Utilities management should define a process by which cancelled adjustments are approved outside of the Customer Care and Billing system and document that process.	3/30/2022	Public Utilities
Seattle Public Utilities Residential Solid Waste Billing Controls Audit	4	Seattle Public Utilities management should re-visit adjustment approval dollar thresholds and align them between Procedure CS-320 and Customer Care and Billing system.	3/30/2022	Public Utilities
Seattle Public Utilities Residential Solid Waste Billing Controls Audit	12	Seattle Public Utilities management should ensure that all risks and controls identified in the risk assessment of the residential solid waste billing process are documented.	3/30/2022	Public Utilities
Seattle Public Utilities Residential Solid Waste Billing Controls Audit	11	Seattle Public Utilities management should perform a risk assessment of the residential solid waste billing process that include controls to address those risks. Risks and corresponding controls should be updated as necessary to reflect changes in the billing process. Control owners should be assigned for each control and be responsible for oversight and monitoring responsibilities to ensure that controls are working as intended.	3/30/2022	Public Utilities
Seattle Public Utilities Residential Solid Waste Billing Controls Audit	6	Seattle Public Utilities management should implement written, management approved policies and procedures that include preventative controls to address the cancellation of residential solid waste bill segments.	3/30/2022	Public Utilities
Seattle Public Utilities Residential Solid Waste Billing Controls Audit	1	Seattle Public Utilities management should investigate the causes of untimely completion of billing related To-Do's and implement controls to reduce or eliminate the untimeliness.	3/30/2022	Public Utilities
SPU Wholesale Water Sales	16	During these audits, SPU should also review wholesale customers' controls that are used to help ensure the accuracy and completeness of facilities charge reporting and make any appropriate recommendations to improve controls. (Report Recommendation 11b)	3/15/2018	Public Utilities
SPU Wholesale Water Sales	15	SPU management should periodically conduct audits of selected wholesale customers to review documentation in support of facilities charges reported to SPU. (Report Recommendation 11a)	3/15/2018	Public Utilities
Assessment of the Seattle Municipal Court Resource Center	4	Court Resource Center (CRC) staff and volunteers should access the Seattle Municipal Court's two information systems (MCIS and SeaTrac) to determine whether CRC visitors are participants in Court sanctioned programs. This would eliminate the need for CRC visitors to know and report their Court referral source when they come to the CRC and the CRC's reliance on client self-reported information.	10/12/2017	Municipal Court
Assessment of the Seattle Municipal Court Resource Center	3	The Seattle Municipal Court should track and report the number of unique clients it serves to improve its understanding of Court Resource Center clients' demographics.	10/12/2017	Municipal Court

Assessment of the Seattle Municipal Court Resource Center	6	The City should recognize the Court Resource Center (CRC) as a viable program, and the City Budget Office should work with the Seattle Municipal Court to assess the CRC's staffing and budgetary needs.	10/12/2017	Municipal Court
Assessment of the Seattle Municipal Court Resource Center	1	To increase the accuracy of Court Resource Center (CRC) client data, the Seattle Municipal Court should continue its efforts to improve the CRC client sign-in form and the spreadsheets used to track client-reported data.	10/12/2017	Municipal Court
Assessment of the Seattle Municipal Court Resource Center	5	The Seattle Municipal Court should monitor and use Court Resource Center (CRC) client demographic data to inform decision making regarding the CRC's services, service providers, and outreach efforts.	10/12/2017	Municipal Court
Assessment of the Seattle Municipal Court Resource Center	2	To ensure adequate coverage at the Court Resource Center (CRC), including back-up plans for coverage when social service provider staff are absent, the Human Services Department (HSD) should obtain the input of the Seattle Municipal Court staff for HSD's negotiation and review of contracts or sections thereof that it manages related to service providers and services provided at the CRC.	10/12/2017	Municipal Court
City of Seattle Anti-Graffiti Efforts: Best Practices and Recommendations	6	Have parking enforcement officers and other City employees photograph and report graffiti.	7/28/2010	Police
City of Seattle Anti-Graffiti Efforts: Best Practices and Recommendations	8	Create a pilot program with a dedicated graffiti detective.	7/28/2010	Police
City of Seattle Anti-Graffiti Efforts: Best Practices and Recommendations	10	Redeploy resources to help ensure that graffiti on parking pay stations is abated within the City's 6 day target goal	7/28/2010	Police
City of Seattle Anti-Graffiti Efforts: Best Practices and Recommendations	7	Create and maintain a photographic database for analyzing graffiti crimes.	7/28/2010	Police
City of Seattle Anti-Graffiti Efforts: Best Practices and Recommendations	4	Amend SMC 12.A.08.020 to include stickers in the list of prohibited materials.	7/28/2010	City Council
Review of Hate Crime Prevention, Response, and Reporting in Seattle: Phase 2 Report	2	SPD should explore the feasibility of documenting the reasons that cases of malicious harassment are not referred for prosecution in their new records management system. This information should be maintained in a way that can be summarized and tracked.	5/9/2019	Police
Review of Hate Crime Prevention, Response, and Reporting in Seattle: Phase 2 Report	4	SPD should continue to explore ways to partner with community organizations to address the issues mentioned in our survey results: •Underreporting: SPD should encourage community organizations to share instances of non-reporting to supplement the information SPD receives through formal reporting. •Vulnerable populations: SPD should work with community organizations to determine how crime prevention can be improved for individuals that may be especially vulnerable to hate crimes, such as people with disabilities and the homeless. •Increase support: SPD should explore ways to provide community organizations with the support activities mentioned in our survey, including hate crimes training, resource guides, and coordination activities to increase reporting.	5/9/2019	Police
Review of Hate Crime Prevention, Response, and Reporting in Seattle: Phase 2 Report	6	As SPD implements their new records management system, they should create a policy that specifies who is responsible for updating the system when changes to case records are required.	5/9/2019	Police
Review of Hate Crime Prevention, Response, and Reporting in Seattle: Phase 2 Report	1	SPD should include a separate field in their new records management system to indicate if a malicious harassment case has been referred for prosecution, and to which agency it was sent. This information should be maintained in a way that can be summarized and tracked.	5/9/2019	Police
Review of Hate Crime Prevention, Response, and Reporting in Seattle: Phase 2 Report	7	As SPD implements their new records management system, they should document the procedure for recording hate graffiti. The procedure should ensure that hate graffiti is included in SPD's bias crimes statistics. This procedure could be part of the existing department policy on malicious harassment.	5/9/2019	Police
Review of Hate Crime Prevention, Response, and Reporting in Seattle: Phase 2 Report	3	The Seattle City Attorney's Office and the King County Prosecutor's Office should track and publicly report data on the prosecution of malicious harassment cases using the data categories listed in this report.	5/9/2019	City Attorney
Efficiencies Audit: Parking and Traffic Ticket Processing	1	The Seattle Police Department should convert from paper to electronic traffic tickets.	12/15/2009	Police

Review of City of Seattle's Civil Rights Enforcement and Outreach	15	SOCR's outreach plan should include strategies for its outreach staff to establish partnerships with the business community, analyze respondent information to more effectively target outreach efforts, and focus on prevention through education of potential respondents.	11/20/2013	Civil Rights
Review of City of Seattle's Civil Rights Enforcement and Outreach	12	Consider providing SHRC Appeals Panel members with HUD and EEOC-sponsored training.	11/20/2013	Civil Rights
Review of City of Seattle's Civil Rights Enforcement and Outreach	4	SOCR's enforcement unit should increase its use of automation to help further standardize its investigative process and increase its appearance of objectivity.	11/20/2013	Civil Rights
Review of City of Seattle's Civil Rights Enforcement and Outreach	6	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.	11/20/2013	Civil Rights
Review of City of Seattle's Civil Rights Enforcement and Outreach	1	The Seattle Office for Civil Rights (SOCR) should establish and report outcome-based performance measures that are viewed as objective and beneficial to complainants and respondents; SOCR should gather information about its performance by requesting complainants and respondents to complete a customer satisfaction survey on their experiences with the enforcement process.	11/20/2013	Civil Rights
Review of City of Seattle's Civil Rights Enforcement and Outreach	11	The Seattle Human Rights Commission (SHRC) should consider options for increasing the continuity of membership among Appeals Panel members.	11/20/2013	Civil Rights
Review of City of Seattle's Civil Rights Enforcement and Outreach	10	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).	11/20/2013	Civil Rights
Review of City of Seattle's Civil Rights Enforcement and Outreach	14	SOCR's Business Liaison position should be used to increase SOCR's advocacy and outreach efforts geared towards prevention.	11/20/2013	Civil Rights
Review of City of Seattle's Civil Rights Enforcement and Outreach	13	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.	11/20/2013	Civil Rights
Review of City of Seattle's Civil Rights Enforcement and Outreach	16	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.	11/20/2013	Civil Rights
Review of City of Seattle's Civil Rights Enforcement and Outreach	7	SOCR should consider automating its intake screening process to determine which complaints meet prima facie standards.	11/20/2013	Civil Rights
Review of City of Seattle's Civil Rights Enforcement and Outreach	3	SOCR should maintain separation between its policy and enforcement sections.	11/20/2013	Civil Rights
Review of City of Seattle's Civil Rights Enforcement and Outreach	8	SOCR should conduct further research on automated case processing systems used by other jurisdictions and consider increasing its use of automated systems.	11/20/2013	Civil Rights
Review of City of Seattle's Civil Rights Enforcement and Outreach	5	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.	11/20/2013	Civil Rights

Review of City of Seattle's Civil Rights Enforcement and Outreach	9	<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>	11/20/2013	Civil Rights
Review of City of Seattle's Civil Rights Enforcement and Outreach	2	<p>SOCR's business liaison should involve businesses at the earliest point possible in policy development and rule making. The liaison should also have knowledge of and experience with the issues faced by small to medium size businesses that may rely on SOCR for technical advice more than larger businesses.</p>	11/20/2013	Civil Rights