

GOAL: Enhance knowledge of and adherence to Purchasing rules & regulations

	When	Who	What	Status			Comments	Audit #
				Done	On Target	Revised		
1	August 18, 2014	Director (Siobhan Foster) with Division Managers	Develop Department of Public Works Signing Authorizations with reduced expenditure authority & multiple levels of approval (checks & balances).	√				9,29,34, 41
2	December 16, 2014	Director (Siobhan Foster) with Division Managers	Distribute <i>City of Pasadena Purchasing Handbook</i> to Division Managers at weekly staff meeting. Ensure Division Managers understand they are responsible for their Division's adherence to all Purchasing procedures.	√				41,42
3	December 16, 2014	Director (Siobhan Foster) with Division Managers	Explain to Division Managers at weekly staff meeting that use of Exemption Request, Check Request, & Special Handling Request Forms should be limited to time-sensitive emergency situations only; any use requires explicit written justification to Director from Division Manager.	√				7,28
4	On or before December 31, 2014	Division Managers	Division Managers will distribute <i>City of Pasadena Purchasing Handbook</i> to Section Managers & other key managers. Ensure Section Managers & other key managers understand they are responsible for their Section's/Work Group's adherence to all Purchasing procedures. Provide affirmation of completion to Director & Assistant via e-mail.	√				41,42

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			Done	On Target	Revised			
5	December 31, 2014	FMS Administrator (Brenda Harvey-Williams) with Director (Siobhan Foster), & Division Managers	Submit completed Signature Authorization Forms to Department of Finance reflecting established internal controls implemented in August 2014.	√			9, 29, 34, 41	
6	January 1, 2015	Assistant City Manager (Julie Gutierrez)	Consider proposal to use vacant position in Construction & Engineering Division to hire Management Analyst II in Finance & Management Services (FMS) Division to facilitate new role of FMS Division. FMS Division will review Purchasing transactions initiated by Divisions, actively monitor each Division's operating budget & CIP budgets, & perform fund operating & capital fund analysis. FMS will also assume responsibility for tracking of all awarded grants to ensure funding & schedule compliance.	√			Include in upcoming operating budget cleanup report for consideration by City Council.	2, 3, 4, 16, 17, 18, 26, 27, 28, 29, 30, 34, 41
7	January 15, 2015	FMS Administrator (Brenda Harvey-Williams) with FMS Division	FMS Division will issue & log-in/log-out Check Request & Special Handling Request Forms for use by Department of Public Works based on justification provided. Any Forms issued will proceed to be reviewed by Department management.		√		No Check Request or Special Handling Request Forms issued outside of this process should be accepted by Department of Finance.	7, 8, 11
8	January 15, 2015	FMS Administrator (Brenda Harvey-Williams) with FMS Division	FMS Division on a monthly basis will compare its Check Request & Special Handling Request Forms log with Department of Finance records to ensure consistency.		√			11, 12
9	January 31, 2015 & ongoing	Department of Finance	Department of Finance presents mandatory <i>Purchasing 101</i> training to all Department of Public Works employees involved in Purchasing processes & repeat every 2 years.		√		2014-15 HR Course Catalog	42, 43

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When	Who	What	Status			Comments	Audit #	
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10	February 15, 2015 & ongoing	Human Resources Trainer	Human Resources Department trainer presents mandatory <i>Writing &amp; Presenting Agenda Reports</i> training to all Department of Public Works employees involved in agenda report process & repeat every 2 years.		√		2014-15 HR Course Catalog	42, 43
11	March 1, 2015	FMS Administrator (Brenda Harvey-Williams) with Director (Siobhan Foster), & Division Managers	Develop & implement checklists for review/approval of Purchasing Forms including but not limited to purchases less than \$3,000, informal & formal bids, exemptions from competitive informal & formal bidding, Purchase Orders, Requisitions, & Invoices. Include items contained in <i>City of Pasadena Purchasing Handbook</i> plus verification of state contractor's license, City business license, required insurance, review of CIP project description, ensure project is active, check account balance, property address verification, valid business purpose, vendor list questionnaire, etc.		√		To be used & signed by assigned FMS analyst & attached to form as it progresses in approval process.	2, 3, 4, 16, 17, 18, 26, 27, 28, 29, 30, 34, 41
12	March 1, 2015	FMS Administrator (Brenda Harvey-Williams) with FMS Division	Assign one FMS analyst to review/approve Purchasing Forms (using checklists) submitted by each Division (Admin/Call Center/FMS, Building Systems & Fleet Management, Construction/Engineering, Parks & Natural Resources, & Street Maintenance & Integrated Waste Management) prior to review by department management. Any anomalies need to be communicated to FMS Administrator ASAP.		√		One analyst assigned to one Division; rotate analyst assignments annually.	2, 3, 16, 17, 18, 26, 27, 28, 29, 30, 34, 41

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When	Who	What	Status			Comments	Audit #
			Done	On Target	Revised		
13	March 1, 2015	City Engineer (Steve Wright) with Assistant City Engineer (Cathy Chang)		√		Layer of initial review	3, 16, 17, 18, 26, 27, 28, 29, 30, 34, 41
14	May 1, 2015 & ongoing	FMS Administrator (Brenda Harvey-Williams) with FMS Division		√		Should be available on regular basis.	42, 43

GOAL: Enhance review of operating & capital improvement program (CIP) budget expenditures & fund performance								
	When	Who	What	Status			Comments	Audit #
				Done	On Target	Revised		
1	December 16, 2014	Director (Siobhan Foster) with Division Managers	Ensure Division Managers understand they are responsible for all aspects of their Division's adherence to purchasing procedures, operating & CIP budgets, City policies & procedures, & communicated project schedules. Any anomalies need to be communicated to Director ASAP.	√				41, 42
2	On or before December 31, 2014	Division Managers	Division Managers will ensure Section Managers & other key managers understand they are responsible for their Section's/Work Group's adherence to purchasing procedures, operating & CIP budgets, City policies & procedures, & communicated project scheduled. Any anomalies need to be communicated to Division Manager ASAP. Provide affirmation of completion to Director & Assistant via e-mail.	√				41, 42

GOAL: Enhance review of operating & capital improvement program (CIP) budget expenditures & fund performance

	When	Who	What	Status			Comments	Audit #
				Done	On Target	Revised		
3	January 1, 2015	Assistant City Manager (Julie Gutierrez)	Consider proposal to use vacant position in Construction & Engineering Division to hire Management Analyst II in Finance & Management Services (FMS) Division to facilitate new role of FMS Division. FMS Division will review purchasing transactions initiated by Divisions, actively monitor each Division's operating budget & CIP budgets, & perform fund operating & capital fund analysis. FMS will also assume responsibility for tracking of all awarded grants to ensure funding & schedule compliance.	v			Include in upcoming operating budget cleanup report for consideration by City Council.	2, 3, 4, 16, 17, 18, 26, 27, 28, 29, 30, 34, 41
4	January 6, 2015	Director (Siobhan Foster) with Division Managers	Implement new internal procedure requiring identified operating & CIP budget (expenditure & revenue) adjustments to be shared & vetted at weekly staff meeting with Division Managers, & approved by pertinent Division Manager, FMS Administrator & Director prior to inclusion in any cleanup Agenda Reports.		v			41
5	January 8, 2015	City Engineer (Steve Wright) with Assistant City Engineer (Cathy Chang)	Ensure Principal Engineers & Project Managers understand they are responsible for their Section's/Work Group's adherence to purchasing procedures, operating & CIP budgets, City policies & procedures, & communicated project schedules. Any anomalies need to be communicated to City Engineer & Assistant City Engineer ASAP. Provide affirmation of completion to Director & Assistant via e-mail.		v			41, 42
6	February 1, 2015	FMS Administrator (Brenda Harvey-Williams) with FMS Division	On a monthly basis, provide copies of operating budget expenditure & revenue reports to Director & Division Managers.		v			41

GOAL: Enhance review of operating & capital improvement program (CIP) budget expenditures & fund performance

	When	Who	What	Status			Comments	Audit #
				Done	On Target	Revised		
7	February 1, 2015	FMS Administrator (Brenda Harvey-Williams) with FMS Division	On a quarterly basis (monthly once ERP is live), provide copies of CIP budget expenditure reports to Director, FMS Administrator, City Engineer, Assistant City Engineer, Principal Engineers, & Project Managers. Reports will include all CIP projects with appropriations.		v			41
8	February 1, 2015	FMS Administrator (Brenda Harvey-Williams) & City Engineer (Steve Wright) with FMS, Construction & Engineering, & Building Systems & Fleet Management Divisions	Review & adjust Public Works project costs for Recommended FY 2016 CIP to be fully inclusive (reflecting current construction estimates & all soft costs).		v		As discussed with Division Managers on December 16, 2014.	41
9	February 1, 2015	FMS Administrator (Brenda Harvey-Williams) with FMS Division	Request all departments involved in CIP budget update project costs to be fully inclusive (reflecting current construction estimates & all soft costs).		v			41
10	March 1, 2015	FMS Administrator (Brenda Harvey-Williams) with Director (Siobhan Foster) & Division Managers	Develop & implement checklist of what to check for when reviewing operating budget expenditure & revenue reports for budget compliance & appropriateness.		v		To be used & signed by assigned FMS analyst & forwarded for review by FMS Administrator (Brenda Harvey-Williams), Director (Siobhan Foster), & pertinent Division Manager.	2, 3, 41

GOAL: Enhance review of operating & capital improvement program (CIP) budget expenditures & fund performance

When	Who	What	Status			Comments	Audit #	
			Done	On Target	Revised			
11	March 1, 2015	FMS Administrator (Brenda Harvey-Williams) with FMS Division	Assign one FMS Analyst to review on monthly basis operating budget expenditures made & revenues received (using checklist) by each Division (Admin/FMS/Call Center, Construction & Engineering, Street Maintenance & Integrated Waste Management, Parks & Natural Resources, & Building Systems & Fleet Management). Any anomalies need to be communicated to FMS Administrator ASAP.		√		One analyst assigned to one division; rotate analyst assignments annually.	2, 3, 41
12	March 1, 2015	FMS Administrator (Brenda Harvey-Williams) with Director (Siobhan Foster) & Division Managers	Develop & implement checklist of what to check for when reviewing CIP budget expenditure reports for budget compliance & appropriateness. Ensure project is active, not closed or a future project; work being performed consistent with CIP description & project schedule; etc.		√		To be used & signed by assigned FMS analyst & forwarded for review by FMS Administrator (Brenda Harvey-Williams), Director (Siobhan Foster), & pertinent Division Manager.	2, 3, 41
13	March 1, 2015	FMS Administrator (Brenda Harvey-Williams) with FMS Division	Share checklist of what to check for when reviewing CIP budget expenditures for budget compliance & appropriateness with all departments involved in CIP budget to ensure departments are conducting thorough expenditure reviews.		√			42, 43

GOAL: Enhance review of operating & capital improvement program (CIP) budget expenditures & fund performance

When	Who	What	Status			Comments	Audit #
			Done	On Target	Revised		
14	March 1, 2015	FMS Administrator (Brenda Harvey-Williams) with FMS Division		v		One analyst assigned to one work group; rotate analyst assignments annually.	2, 3, 41
15	March 1, 2015	FMS Administrator (Brenda Harvey-Williams) with Director (Siobhan Foster) & Division Managers		v		To be used & signed by assigned FMS analyst & forwarded with fund sheets for review by FMS Administrator (Brenda Harvey-Williams), Director (Siobhan Foster), Director, & pertinent Division Manager.	2, 3, 41
16	March 1, 2015	FMS Administrator (Brenda Harvey-Williams) with FMS Division		v		One analyst assigned to one or two funds; rotate analyst assignments annually.	2, 3, 41
17	May 1, 2015 & ongoing	FMS Division FMS Administrator (Brenda Harvey-Williams) with FMS Division		v		Should be available on regular basis.	42, 43

GOAL: Comprehensive Review of Underground Utility Program								
When	Who	What	Status			Comments	Audit #	
			Done	On Target	Revised			
1	January 1, 2015	Assistant City Manager (Julie Gutierrez)	Consider proposal to use vacant position in Construction & Engineering Division to hire an Associate Engineer to work on Program under supervision of Acting Street Light & Traffic Signals Work Group Principal Engineer (Chris Hernandez).	√			Include in upcoming operating budget cleanup report for consideration by City Council.	3, 5, 41
2	February 1, 2015	FMS Administrator (Brenda Harvey-Williams) with FMS Division	On quarterly basis (monthly once ERP is live), provide copies of CIP budget expenditure reports for Underground Utility Program to Director, FMS Administrator, City Engineer, Assistant City Engineer, PWP General Manager, & PWP Project Manager.		√			41
3	February 1, 2015	City Engineer (Steve Wright)	Implement new procurement process for contractor to provide service laterals to customers (contractor awarded contract via competitive bid) for those entering into right-of-entry for City to provide service laterals. Will be used on Hill Avenue project.		√			6
4	February 15, 2015	Director (Siobhan Foster), Assistant City Manager (Julie Gutierrez), & City Engineer (Steve Wright)	Retain professional services to prepare written desk procedures for Underground Utility Program for Department of Public Works & Pasadena Water & Power, including recommendations of which department does what from start to finish.		√			1, 3, 4, 5, 6, 41

**GOAL: Comprehensive Review of Underground Utility Program**

	When	Who	What	Status			Comments	Audit #
				Done	On Target	Revised		
5	February 28, 2015	City Engineer (Steve Wright) with Assistant City Engineer (Cathy Chang) & PWP	Pasadena Water & Power has inspection responsibilities for construction of customer service laterals in Underground Utility Program.		√			1, 2, 3, 5, 41
6	March 1, 2015	Director (Siobhan Foster), Assistant City Manager (Julie Gutierrez), & City Engineer (Steve Wright)	Consultant initiates written desk procedures for Underground Utility Program for Department of Public Works & Pasadena Water & Power.		√			1, 3, 4, 5, 6, 41
7	March 1, 2015	FMS Administrator (Brenda Harvey-Williams) with FMS Division	Assign one FMS analyst to review/approve project-related Purchasing forms (using checklists) submitted by Underground Utility Program (part of Street Lights & Traffic Signals Engineering Work Group) prior to review by department management. Any anomalies need to be communicated to FMS Administrator ASAP.		√		FMS analyst signs checklist & attaches it to Purchasing Form as it progresses in approval process; rotate analyst assignment annually.	2, 3, 16, 17, 18, 26, 27, 28, 29, 30, 34, 41
8	March 1, 2015	FMS Administrator (Brenda Harvey-Williams) with FMS Division	Assign one FMS analyst to review on quarterly basis (monthly basis once ERP is live), CIP budget expenditure reports (using checklist) for Underground Utility Program (part of Street Light & Traffic Signals Engineering Work Group). Any anomalies need to be communicated to FMS Administrator ASAP.		√		FMS analyst signs checklist & forwards for review by FMS Administrator (Brenda Harvey-Williams), Director (Siobhan Foster), & pertinent Division Manager; rotate analyst assignment annually.	2, 3, 41
9	March 1, 2015	FMS Administrator (Brenda Harvey-Williams) with FMS Division	Assign one FMS analyst on monthly basis to review performance (using checklist) of Underground Utility Fund. Any anomalies need to be communicated to FMS Administrator ASAP.		√		FMS analyst to sign checklist & forward with fund sheet for review by FMS Administrator (Brenda Harvey-Williams), Director (Siobhan Foster), & pertinent Division Manager.	2,3,41

**GOAL: Comprehensive Review of Underground Utility Program**

When	Who	What	Status			Comments	Audit #
			Done	On Target	Revised		
10	June 30, 2015	Director (Siobhan Foster), Assistant City Manager (Julie Gutierrez), & City Engineer (Steve Wright)		√		Timeline is tentative; actual timeline dependent on retention of professional services.	1, 3, 4, 5, 6, 41
11	July 31, 2015 & ongoing	City Engineer (Steve Wright) with Assistant City Engineer (Cathy Chang) & FMS Administrator (Brenda Harvey-Williams)		√		Repeat training as needed for new employees.	1, 3, 4, 6, 42, 43
12	August 25, 2015	Director (Siobhan Foster) with City Engineer (Steve Wright), PWP General Manager, & PWP Program Manager		√			
13	December 31, 2015 & July 30, 2016	Internal auditor		√		Tentative review dates would be December 2015 & July 2016.	1, 36, 37

GOAL: Continue Comprehensive Review of Departmental Operations & Support of Citywide Accountability Initiatives								
When	Who	What	Status			Comments	Audit #	
			Done	On Target	Revised			
1	FY 2012-13	BSFMD Administrator (Randy Rich) with Director (Siobhan Foster), Public Works staff, & Department liaisons	Retained professional space planning services to maximize office space use of City Hall & Hale Building, & reduce use of more costly leased office space; resulted in consolidation of existing personnel & relocation of DoIT into City Hall saving approximately \$300,000 annually in outside lease costs & creating true "one-stop" shop for Development/Permit Services in Hale Building.	√			Randy Rich joined BSFMD in 2014; project was managed by prior BSFMD Administrator.	36
2	FY 2013-14 & ongoing	BSFMD Administrator (Randy Rich) with Director (Siobhan Foster), Public Works Department, & Client Departments (Fire, Police, & PWP)	Retained professional consultant services to assess City of Pasadena Fleet Operations to determine 1) whether fleet operations are competitive with peers & alternative service providers; & 2) does City fleet operations follow recognized industry best management practices.	√			Recommendations prioritized & being implemented as part of annual budget submissions beginning in FY 2014-15, continuing in FY 2015-16, & beyond.	36
3	FY 2013-14 & ongoing	PNR Administrator (Charles Peretz) with Director (Siobhan Foster), PNR Division, HS&R Department, & Recreation & Parks Commission	Retained professional services to develop Parks Maintenance Operations Plan to improve efficiency & effectiveness across Parks System.	√			Analysis presented to Recreation & Parks Commission on May 6, 2014. Recommendations prioritized & being implemented as part of annual budget submissions beginning in FY 2014-15, continuing in FY 2015-16, & beyond.	36

GOAL: Continue Comprehensive Review of Departmental Operations & Support of Citywide Accountability Initiatives

When	Who	What	Status			Comments	Audit #
			Done	On Target	Revised		
4	FY 2013-14	Finance Department with Director, Division Managers, & Public Works staff	Participated in City of Pasadena Contract Process Audit in spring 2014.	√			36
5	October 20, 2014	Director (Siobhan Foster) with FMS Administrator (Brenda Harvey-Williams) & FMS Division	Re-design CIP Quarterly Monitoring Report to make it easier for public & City Council to monitor project status.	√			
6	November 3, 2014 & Ongoing	Director (Siobhan Foster) with Division Managers	On-time completion of annual employee performance appraisals.		√	This is annual goal.	
7	FY 2014-15 & ongoing	FMS Administrator (Brenda Harvey-Williams) with FMS Division	Division Manager & two Management Analyst Vs participating in all facets of Enterprise Reporting Planning (ERP) system development & implementation.		√		
8	FY 2014-15	PNR Administrator (Charles Peretz) with Director (Siobhan Foster), PNR Division, community stakeholders, & Urban Forest Advisory Committee	Develop Urban Forest Management Plan (UFMP) using Dudek, CA-focused & local Pasadena firm. UFMP will update & consolidate City of Pasadena's public tree management practices, guidelines for tree protection, & information on tree ordinance into one document. The UFMP will also include a strategic vision which will allow City to set goals & objectives for management of urban forest.		√	Funded by CAL FIRE Urban & Community Forestry Grant; tentative goal is to present plan to UFAC & City Council for consideration in summer 2015; actual project pace will be determined by level of community participation.	36
9	FY 2014-15 & ongoing	BSFMD Administrator (Randy Rich) with Director (Siobhan Foster), BSFMD Division, & Client Departments	Retain professional services to review Building Systems Section operations for effectiveness & efficiency opportunities. Project objectives are to understand maintenance operations, compare operations to industry standards, identify future goals, & improve annual maintenance planning.		√	Issue RFP mid-February; select consultant in April; consultant review will take 90 days; expect final report by end of FY 2015; actual project timeline will be determined once consultant selected.	36

GOAL: Continue Comprehensive Review of Departmental Operations & Support of Citywide Accountability Initiatives

When	Who	What	Status			Comments	Audit #
			Done	On Target	Revised		
10	As part of FY 2015-16 budget process & annually thereafter	Director (Siobhan Foster) & Division Managers		√			36