

**Council Meeting: June 9, 2009****SUBJECT: Transmittal of FY 2006/2007 Performance Results Audit for Program 115 — Transportation and Traffic Services****BACKGROUND**

This report presents the audit of performance results reported during FY 2006/2007 by Public Works Program 115 — Transportation and Traffic Services. Findings and recommendations are presented in the attached report.

The purpose of this audit is to ensure budgetary and management decisions were based on valid and complete information. The program's performance reporting system was evaluated for: 1) reporting accuracy; 2) language transparency; 3) documentation/data integrity; and 4) the integration of reporting systems within workflow. The evaluation was performed through staff interviews, documentation review, and the recalculation of reported results.

Measuring program performance has been a key feature of Sunnyvale's management and budgeting system for more than two decades. Funding for City programs is not budgeted by line item, but rather by the efforts or tasks undertaken in each program. These tasks are called activities. In the budget structure, activities are grouped into service delivery plans, which are further grouped into programs. Each activity has a budgeted number of dollars and staff hours to perform the tasks. The activities also have a budgeted number of "products" that management is expected to produce with the given resources. Expenditures and product counts are used to calculate product cost, products per hour, and hours per product. Each program also has a series of performance measures which measure how well the services are performed. Service level and funding decisions are made based on these measures and Council priorities.

The accuracy review component of the audit verifies measure and product counts by reconciling the reported numbers to source documentation. Language is reviewed to ensure the measure reflects the actual intent and operating procedures being used. Data integrity and documentation are reviewed to verify reporting methods. Integration is reviewed to ensure workflow and tracking mechanisms are being used together in an efficient manner.

EXISTING POLICY

The Fiscal Sub-element of the General Plan includes the following policies:

- Long Range Goal – VII: To ensure accuracy and policy consistency in City processes and reporting through regular financial and performance audits of programs.
- Internal Control – G.2.5: Performance audits will be conducted regularly on a schedule set by Council to verify that the performance data reported by each department is complete, valid, and accurate.

Per Council policy, performance results audits are performed on all operating programs over an eight year period. The audits presented in this report are part of the current audit plan's sixth year.

DISCUSSION

The purpose of Public Works Program 115 — Transportation and Traffic Services is to plan, operate, and maintain all components of the City's transportation system, including bicycle, pedestrian, and vehicular traffic flow. The budget for this program in FY 2006/2007 was approximately \$2.0 million.

The performance results audit for Program 115 uncovered several key structural issues, which are shown below:

- The program keeps extensive paper documentation. However, the methods used by the program to track and record productivity are labor intensive, numerous, and disjointed. The majority of supporting documentation is not well-organized or easily accessible. The program spends a considerable amount of time counting documents in order to record products rather than relying on a centralized log or index that is "shared" and accessible to all staff members.
- Infrastructure ("budget" structure) does not accurately reflect the actual work being done. (new activities needed; combining several existing activities; renaming of existing activities; deleting existing activities; deleting several existing performance measures)
- Existing activities are segmented into many parts making it difficult for the program to effectively or efficiently track its performance.
- Performance measures do not reflect actual work being conducted by program. Several measures track performance that is outside the purview of the program.
- A proportional relationship does not exist between the current performance measures being tracked and the actual work being conducted. For example, 45.8 percent of the program's budget is dedicated to maintenance

and design of the City's traffic signal system; however, only 18.2 percent (2 of 11) of the performance measures track anything related to the traffic signal system.

- Virtually all Standard Operating Procedures (SOPs) need to be updated.
- SOPs do not include clear descriptions of all work actions being charged to each activity/charge code.
- SOPs do not cite the actual data sources used for tracking products.

It is important to note that the work for which Program 115 is responsible is being accomplished. One need only drive the streets of Sunnyvale to be aware that the City's traffic signals, traffic system, as well as the bicycle lanes and pedestrian walkways are being maintained. To support this claim, the auditor field checked the streets listed as having work accomplished during the same period as the audit covered. The auditor verified the work as accomplished. In addition, the auditor rode her bicycle throughout the City. North/south and east/west routes were checked for clear marking and signage.

The auditor's main concern is that Program 115's minutely segmented budget structure makes it difficult for staff to accurately or efficiently quantify and record the work being accomplished. This concern is substantiated by the number of results that cannot be verified (NATV) and the high percentage of results that were inaccurately reported (47.9 percent). Again, the inability to verify the results does not mean the work for which Program 115 is responsible is not being accomplished. Rather, the major problem is that the budget/reporting structure is too complex and does not reflect the work being accomplished. In the auditor's opinion, this complexity is not necessary and promotes errors in tracking hours, expenditures, and performance.

With that contextual focus in the forefront, the findings and recommendations shown in the attachment deal mainly with how products are reported and the processes by which they are tracked. The findings are intended to provide information to Program 115 so it may fully identify the issues and work cooperatively to design and implement a more efficient budget/reporting structure. The findings and recommendations presented here are the first step in establishing a structure that more accurately captures the work already being accomplished by Program 115. The audit statistics for Program 115 are shown in the following table:

Audit Statistics
Results of FY 2006/2007 Performance
Program 115 — Transportation and Traffic Services

Number of Results Reported within $\pm 3\%$ & $\pm 5\%$	15	34.1%
Number of Results Not Reported within $\pm 3\%$ & $\pm 5\%$	19	43.2%
Number of Results Not Able to Verify (NATV)	10	22.7%
Total Number of Measures/Activities Reviewed	44	100.0%
Number of Results Not Audited	16	
Total Number of Measures/Activities in Program	60	
Number of SOPs Missing	2	
Number of Recommendations	27	

Of the total 60 reported results, 44 were tested during the course of this audit. Of that total, 15 were verified as accurate within the defined parameters, while 19 were identified as not being reported within the defined parameters. It is important to note that of the 19 not reported within the defined parameters, 10 were actually under reported, some by a statistically significant amount. This under reporting indicates that Program 115 is accomplishing the work for which it is responsible, but the results are not being recorded accurately.

The remaining category of audited results is “Not Able to Verify,” or NATV. Of the total results tested, 10 could not be verified (NATV). Sources for these results either did not exist or could not be correlated with the underlying documentation.

Sixteen results were not audited because the defined product was either work hours, training-related or allocated. Work hours were not evaluated because there is no practical method to verify reported hours were actually worked. Training products were not audited because they are not a main operational function of the organization. Allocated costs are funds distributed to other programs to cover internal services. These costs were not audited because they are calculated by the financial system. The auditor makes 27 recommendations to Program 115, the majority of which can be attributed to the needless complexity of the budget and reporting structure.

FISCAL IMPACT

Costs associated with preparation of these audit reports were included in the City of Sunnyvale’s operating budget in *Program 745 — Program Performance Audits*.

PUBLIC CONTACT

Public contact was made by posting the Council agenda on the City’s official-notice bulletin board outside City Hall, in the Council Chambers lobby, in the

Office of the City Clerk, at the Library, Senior Center, Community Center, and Department of Public Safety; posting the agenda and report on the City's Web site; and making the report available at the Library and the Office of the City Clerk.

ALTERNATIVES

1. Receive the audit report and concur with management's acceptance of recommendations.
2. Receive the audit report and direct staff to hold a study session to discuss the audit findings and recommendations.
3. Receive the audit report and give alternative direction regarding specific recommendations.

RECOMMENDATION

Staff recommends Alternative 1, receive the audit report and concur with management's acceptance of recommendations.

In addition, executive staff recognizes the need to examine the existing budget/reporting structure and is committed to making necessary changes that will address the issues brought forth in this audit. It is important to note that these types of issues are not isolated to any one program. Work already has begun to address them on a Citywide basis.

Reviewed by:

Mary J. Bradley, Director of Finance
Prepared by: Ann Durkes, Finance Department

Reviewed by:

Marvin Rose, Director of Public Works

Approved by:

Gary Luebbers
City Manager

Attachments

- A. City of Sunnyvale FY 2006/2007 Performance Results Audit, Department of Public Works, Program 115 — Transportation and Traffic Service

City of Sunnyvale
FY 2006/2007
Performance Results Audit



Department of Public Works

Program 115
Transportation & Traffic Services

May 2009

Auditor: Ann Durkes
City of Sunnyvale

Field Work Start Date: December 2008

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AUDIT OBJECTIVE

The goal of a performance results audit is to ensure that budgetary and management decisions are based upon valid and complete performance information. This is accomplished by evaluating the following components of a program’s performance reporting system:

- **Accuracy:** Auditor count or calculations are within ± 3.0 percent for program measures and within ± 5.0 percent for activities’ product counts.
- **Language:** Measure/Product text accurately represents the numbers portrayed in the reported result.
- **Documentation/Data Integrity:** Documentation systems are complete and data accurately reflects a program’s operations. Each measure should have a Standard Operating Procedures (SOP) document describing data sources and calculation methodologies.
- **Integration:** Data collection systems are automated and integrated into the operational workflow of the organization whenever possible.

The evaluation is performed through staff interviews, documentation review, and by recalculating the reported results. The auditor considers the year-end report to the City Manager as final. Handwritten corrections in the year-end report are acceptable.

PROGRAM BACKGROUND

Program 115 — Transportation and Traffic Services is part of the Department of Public Works and its physical operation is housed in City Hall. The purpose of the program is to plan, operate, and maintain all components of the City’s transportation system, including bicycle, pedestrian, and vehicular traffic flow. There are five service delivery plans in this program. All operational expenditures in the program are financed by the General Fund. The table shown below summarizes operating expenditures in Program 115 for FY 2002/2003 through FY 2006/2007.

Program 115 — Transportation & Traffic Services
Audit of FY 2006/2007 Performance Results
Actual Expenditures for Transportation & Traffic Services
Source: *Financial System, Access Query*

	FY 2003/2004	FY 2004/2005	FY 2005/2006	FY 2006/2007	FY 2007/2008	FY 2008/2009
	Actuals	Actuals	Actuals	Actuals	Actuals	Budget
SDP 1 Traffic Design & Planning	\$471,186.21	\$469,147.87	\$563,339.27	\$526,438.30	\$481,641.48	\$610,399.62
SDP 2 Intergovernmental Coordination	122,856.02	138,362.58	200,153.82	317,742.65	330,426.42	346,761.53
SDP 3 Traffic Signal Operations & Maintenance	783,730.93	843,690.42	791,477.29	862,776.95	975,444.79	830,683.45
SDP 8 Land Use & Transportation Permitting	64,216.45	69,889.09	78,579.89	177,802.65	213,374.33	180,900.33
SDP 9 Management & Support Services	1,735.25	6.58	0.00	139,755.35	138,310.62	156,746.02
TOTAL	\$1,443,724.86	\$1,521,096.54	\$1,633,550.27	\$2,024,515.90	\$2,139,197.64	\$2,125,490.95
Year-Over-Year Percent Change:	1.7%	5.4%	7.4%	23.9%	5.7%	-0.6%

The table shows that a 23.9 percent increase in total expenditures occurred between FY 2005/2006 and FY 2006/2007. This increase is the result of three major factors. First, the number and type of contracted services increased for traffic signal operations and maintenance. Second, the number and complexity of permitting reviews increased; and third, the full cost of all management and administrative support associated with traffic and transportation was charged to the program. Prior to FY 2006/2007, those costs were allocated out at the department level. It is important to remember that prior to the budget restructure in FY 2005/2006, Program 115 also was responsible for the City's streetlight system, which is now a free-standing program (Program 117).

In addition to the operational work accomplished by Program 115, it is responsible for a number of capital projects. The following table summarizes the magnitude of the capital projects for which Program 115 was responsible during FY 2003/2004 through FY 2007/2008 and the capital projects for which it is responsible in FY 2008/2009:

	FY 2003/2004	FY 2004/2005	FY 2005/2006	FY 2006/2007	FY 2007/2008	FY 2008/2009
	Actuals	Actuals	Actuals	Actuals	Actuals	Budget
Dollar Value of Capital Projects	\$3,860,681	\$1,446,342	\$3,250,115	\$2,750,267	\$7,876,692	\$10,787,506
Mathilda Ave. Railroad Overpass						\$29,295,809
Number of Capital Projects	50	33	35	29	43	19

AUDIT SCOPE

The City of Sunnyvale uses performance-based budgeting — a method in which the General Plan's goals are directly supported and accomplished by specific programs. Performance-based budgeting quantifies both performance and expenditures; it also presents the interrelation between the two. This interrelation is called “performance results” and is the focus of this audit.

To quantify performance, each program's function is defined by a program performance statement. The program performance statement provides the purpose of the program and how this purpose will be achieved. Performance measures are the benchmarks and data points are the statistics which set the context for the benchmarks.

To quantify expenditures, each program is separated into service delivery plans (SDPs), which are separated further into activities [also referred to as organizational cost accounts (OCAs) or charge codes]. They are the “place” where all work hours, direct expenditures, and units of production (products) are charged.

The auditor reviewed the FY 2006/2007 performance results as reported for *Program 115 — Transportation and Traffic Services*. The program's reporting structure consists of 60 total results, including 11 performance measures, 4 data points, and 45 activities. Of the total 60 reported results, 44 were tested (11 measures, 4 data points, and 29 activities' products); 16 activities were not audited because the products are either work hours, training-related, or allocated costs. Work hours were not evaluated because

there is no practical method to verify reported hours were actually worked. Training products were not audited because they are not a main operational function of the organization. Allocated costs are funds distributed to other programs to cover internal services. These costs were not audited because they are calculated by the financial system.

SUMMARY

The performance results audit for Program 115 uncovered several key structural issues, which are shown below:

- The program keeps extensive paper documentation. However, the methods used by the program to track and record productivity are labor intensive, numerous, and disjointed. The majority of supporting documentation is not well-organized or easily accessible. The program spends a considerable amount of time counting documents in order to record products rather than relying on a centralized log or index that is “shared” and accessible to all staff members.
- Infrastructure (“budget” structure) does not accurately reflect the actual work being done. (new activities needed; combining several existing activities; renaming of existing activities; deleting existing activities; deleting several existing performance measures)
- Existing activities are segmented into many parts making it difficult for the program to effectively or efficiently track its performance.
- Performance measures do not reflect actual work being conducted by program. Several measures track performance that is outside the purview of the program.
- Performance measures do not correlate to the actual work being conducted. For example, 45.8 percent of the program’s budget is dedicated to maintenance and design of the City’s traffic signal system; however, only 18.2 percent (2 of 11) of the performance measures track anything related to the traffic signal system.
- Virtually all Standard Operating Procedures (SOPs) need to be updated.
- SOPs do not include clear descriptions of all work actions being charged to each activity/charge code.
- SOPs do not cite the actual data sources used for tracking products.

It is important to note that the work for which Program 115 is responsible is being accomplished. One need only drive the streets of Sunnyvale to be aware that the City’s traffic signals, traffic system, as well as the bicycle lanes and pedestrian walkways are being maintained. To support this claim, the auditor field checked the streets listed as having work accomplished during the same period as the audit covered. The auditor verified the work as accomplished. In addition, the auditor rode her bicycle throughout the City. North/south and east/west routes were checked for clear marking and signage.

The auditor's main concern is that Program 115's minutely segmented budget structure makes it difficult for staff to accurately or efficiently quantify and record the work being accomplished. This concern is substantiated by the number of results that cannot be verified (NATV) and the high percentage of results that were inaccurately reported (47.9 percent). However, the lack of ability to verify the results does not mean the work for which Program 115 is responsible is not being accomplished. Rather, the major problem is that the budget/reporting structure is too complex and does not reflect the work being accomplished. In the auditor's opinion, this complexity is not necessary and promotes errors in tracking hours, expenditures, and performance.

With that contextual focus in the forefront, the findings and recommendations shown in the following pages deal mainly with how products are reported and the processes by which they are tracked. The findings are intended to provide information to Program 115 so it may fully identify the issues and work cooperatively to design and implement a more efficient budget/reporting structure. The findings and recommendations presented here are the first step in establishing a structure that more accurately captures the work already being accomplished by Program 115. The audit statistics for Program 115 are shown in the following table:

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 Results of FY 2006/2007 Performance
 Program 115 — Transportation and Traffic Services**

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The remaining category of audited results is "Not Able to Verify," or NATV. Of the total results tested, 10 could not be verified (NATV). Sources for these results either did not exist or could not be correlated with the underlying documentation.

The auditor makes 27 recommendations to Program 115, the majority of which are associated with tracking. The full statistical summary is shown in Appendix 1. The detailed findings and recommendations are shown in Appendix 2.

AUDIT CONCLUSION

This audit presents the evaluations made of Program 115's performance results. The findings and recommendations provided herein deal mainly with how products are reported and the processes by which they are tracked. The findings are intended to provide information to Program 115 so it may fully identify the issues and work cooperatively to design and implement a more efficient reporting/budget structure. The auditor makes 27 recommendations to address the findings discussed above. The audit statistics are shown in Appendix 1. A detailed list of findings, recommendations, and the Department of Public Works' responses is located in Appendix 2.

Program 115 — Traffic & Transportation Services
Audit of FY 2006/2007 Performance Results
Appendix 1 — Results Accuracy Table

AUDIT STATISTICS		
Number of Results Reported within $\pm 3.0\%$ & $\pm 5.0\%$	15	34.09%
Number of Results Not Reported within $\pm 3.0\%$ & $\pm 5.0\%$	19	43.18%
Number of Results Not Able to Verify (NATV)	10	22.73%
Total Number of Measures/Activities Reviewed	44	100.00%
Number of Results Not Audited	16	
Total Number of Measures/Activities in the Program	60	
Number of SOPs Missing	2	

Percentages may not add to 100% because of rounding.

Measure Number	Type	Measure	Data Point	SOP Missing	Reported Result	Auditor Calculation	Accurate within $\pm 3\%$	
							Y/N	+/-
10	Q	Citizen satisfaction (good or very good rating) with the reliability of traffic signal operations meets or exceeds the 2005 benchmark year rating in the Citizen Satisfaction Survey.	2005 Benchmark Percentage	No	63.00 %	63.00 %	Y	0.0 %
11	Q	Travel speeds on major streets are maintained within norms as defined by the Highway Capacity Manual (HCM), with respect to volume, capacity, and speed.	Percent of Major Streets that Meet or Exceed HCM Expected Travel Speed	No	38.00 %	25.00 %	N	52.0 %
12	Q	Service reports and email reports for service to field units of the Department (Streets, Sign Shop, Trees and Landscaping, Street Lights, Concrete, etc.) are completed in time to meet deadlines for completion of the work (hazardous, 3-24 hours, non-hazardous, 1-30 days).	Percent of Service Reports Completed In Time to Meet Established Deadline	No	100.00 %	NATV %	--	--
13	P	Study issues are completed as scheduled. Transportation plans and studies are reviewed within deadlines.	Percent	No	100.00 %	NATV	--	--
			Number of Plans and Studies	--	22.00	18.00	N	22.2 %
14	P	City traffic signal trouble call repairs are responded to within one hour of notification.	Percent	No	77.00 %	50.50	N	52.5 %
			Number of Trouble Calls	--	115.00	301.00	N	-61.8 %
15	P	Transportation grant application opportunities are maximized by writing grant applications within deadlines as appropriate opportunities arise.	Grant Revenues Received	No	\$5,726,028	\$5,390,185	N	6.2 %
16	P	Meeting packets for the Bicycle and Pedestrian Advisory Committee will be completed within noticing time frames established by the Brown Act (72 hours prior for regular meetings, 24 hours prior for special meetings).	Percent	No	100.00 %	100.00	Y	0.0 %
			Number of Meeting Packets	--	12.00	12.00	Y	0.0 %
17	P	Land development reviews occur within established deadlines (land use permit reviews = 10 days, building permit reviews = 21 days).	Percent	No	92.00 %	NATV	--	--
			Number of Reviews	--	1,747.00	2,079.00	N	-16.0 %
18	P	The demand for traffic calming, neighborhood traffic studies, school traffic studies/plans/programs is met.	Number of Studies/ Plans/Programs Completed	No	10.00	15.00	N	-33.3 %
19	CE	The cost of monthly traffic signal preventive maintenance checks will be maintained at or below the established contractual average cost per intersection.	Cost of Preventive Maintenance Check	No	\$243.63	\$98.27	N	147.9 %
20	F	Actual total expenditures for Transportation and Traffic Services will not exceed planned program expenditures.	Total Program Expenditures	Yes	\$2,024,572.00	\$2,024,515.90	Y	<0.1 %

SDP	Activity	Charge Code	Charge Code Title	Product Title	SOP Missing	Reported Result	Auditor Calculation	Accurate within $\pm 5\%$	
								Y/N	+/-
1	2	115010	Traffic Control Warrant Studies - Stop, Yield, Traffic Signal, Crossing Guard	A Warrant Study Completed	No	60.0	51.0	N	17.6 %
4	3	115020	Data/Analyses — Volume Counts, Parking Surveys, Speed Limit Survey Completed [DELETED]	A Data/Collision Study Completed	--	0.0	Not Audited	--	--
4	4	115030	Permits and Internal Requests [DELETED]	An Action Completed	--	0.0	Not Audited	--	--
4	5	115040	Planning Studies [DELETED]	A Study Completed	--	0.0	Not Audited	--	--
4	6	115050	Citizen Inquiries [DELETED]	An Inquiry Answered	--	0.0	Not Audited	--	--
1	7	115080	Long Range Planning / Policy Studies such as General Plan Elements, Long Range Strategic, or Capital Plans	A Study Completed	No	6.0	6.0	Y	0.0 %
1	8	115090	Bicycle and Pedestrian Advisory Committee Support	A Meeting Packet Completed	No	12.0	12.0	Y	0.0 %
1	9	115100	Citizens Inquiries — Including Written, Phone, Web, In-Person	A Citizen Contact	No	1,664.0	NATV	--	--
1	10	115110	Transportation Design Service Work Order Completed	A Work Order Completed	No	799.0	779.0	Y	2.6 %
1	11	115120	Capital Budget Preparation and Support	A Capital Project Sheet Prepared	No	60.0	60.0	Y	0.0 %
1	12	115130	Capital Project Support	A Design or Project Completed	No	6.0	0.0	N	>+100.0 %
1	13	115140	Traffic Volume, Parking, and Speed Studies	A Volume, Parking or Speed Study Completed	No	44.0	51.0	N	-13.7 %
1	14	115150	Collision Analysis	A Collision Report Reviewed	No	1,970.0	1,225.0	N	60.8 %
1	15	115160	Develop, Coordinate and Manage Bicycle/Pedestrian/Livable Communities Plans/Projects/Programs	A Plan/Project/Program Completed	No	3.0	NATV	--	--
1	16	115170	Respond to Bicycle/Pedestrian/Livable Communities Issue	A Response Prepared	No	31.0	NATV	--	--
1	17	115180	Coordinate and Manage Formal Traffic Calming, Neighborhood, and School Traffic Studies	A Formal Report Completed	No	7.0	NATV	--	--
1	21	115190	Respond to Traffic Calming, Neighborhood Traffic, and School Traffic Issues	A Response	No	181.0	NATV	--	--
2	4	115220	Intergovernmental Coordination [DELETED]	An Action Completed	--	0.0	Not Audited	--	--
2	2	115230	Congestion Management Agency Dues	A Dues Paid	No	1.0	1.0	Y	0.0 %
2	3	115240	Provide Intergovernmental Review Support	A Comment Prepared	No	79.0	NATV	--	--
2	4	115250	Grant Writing and Grants Administration	A Grant Application Completed	No	16.0	17.0	N	-5.9 %
2	5	115260	Review Outside Agency Plans, Designs, and Studies	A Comment Prepared	No	15.0	NATV	--	--
3	5	115300	Provide Electric Power for Traffic Signal Systems	A Signal Powered	No	129.0	133.0	Y	-3.0 %
3	6	115310	Conduct Signal Maintenance and Repair by Staff	A Maintenance Action or Repair Completed	No	309.0	301.0	Y	2.7 %
3	7	115320	Administer Signal Maintenance Contract	An Invoice Processed	No	25.0	27.0	N	-7.4 %
3	8	115330	Oversee Minor Signal Infrastructure Components Replacement	A Component Replaced	No	129.0	133.0	Y	-3.0 %
3	1	115450	Operate and Maintain Signals [DELETED]	A Maintenance Action	--	0.0	Not Audited	--	--
3	2	115460	Optimize Traffic Signals — Including Individual Signal Timing Reviews and Interconnect System Timing Reviews	A Traffic Signal Optimized	No	102.0	94.0	N	8.5 %
3	3	115470	Design and Oversee Major Signal Infrastructure Components Replacement	A Design or Project Completed	No	7.0	2.0	N	250.0 %
3	4	115480	Operate and Maintain Signals by Contract	A Preventative Maintenance Check Completed	No	2,950.0	1,729.0	N	70.6 %
8	1	115720	Perform Planning Permit Application Reviews	An Application Reviewed	No	72.0	78.0	N	-7.7 %
8	2	115730	Perform Building Permit Submittal Reviews	A Building Permit Submittal Reviewed	No	1,675.0	2,001.0	N	-16.3 %
8	3	115740	Issue Transportation Permits	A Permit Issued	No	618.0	622.0	Y	-0.6 %
8	4	115750	Review Encroachment Permit Traffic Control Plans	A Traffic Control Plan Approved	Yes	174.0	100.0	No	74.0 %

SDP	Activity	Charge Code	Charge Code Title	Product Title	SOP Missing	Reported Result	Auditor Calculation	Accurate within $\pm 5\%$	
								Y/N	+/-
7	1	115800	Provide Administration (Allocated)	None	--	--	Not Audited	--	--
7	2	115801	Provide Legal Response (Allocated)	None	--	--	Not Audited	--	--
7	3	115802	Provide Support Services (Allocated)	None	--	--	Not Audited	--	--
7	4	115803	Provide Training (Allocated)	None	--	--	Not Audited	--	--
7	5	115804	SDP Wide Allocation to 1, 2, & 3	None	--	--	Not Audited	--	--
9	1	115810	Management and Supervisory Services	A Work Hour	--	492.7	Not Audited	--	--
9	2	115820	Provide Legal Response	A Legal Claim Response	No	5.0	5.00	Y	0.0 %
9	3	115830	Administrative Support, Including Clerical Staff Hours	A Work Hour	--	1,162.9	Not Audited	--	--
9	4	115840	Provide Staff Training, Including Tailgate Meetings, Certifications and Operations / Safety Related Classes	A Meeting Attended	--	75.0	Not Audited	--	--
98	4	115980	Program Wide Allocation / Rental Rates	None	--	--	Not Audited	--	--
99	4	115990	Program Wide Revenues	None	--	--	Not Audited	--	--

Program 115 — Transportation & Traffic Services

Audit of FY 2006/2007 Performance Results

Appendix 2 — Recommendation Table with Departmental Response

Meas#	Type	Measure	Data Point	SOP Missing	Reported Result	Auditor Calculation	Accurate within +3%		Findings	Recommendations	Department Response (Initial)	Department Response (Final)
							Y/N	+/-				
10	Q	Citizen satisfaction (good or very good rating) with the reliability of traffic signal operations meets or exceeds the 2005 benchmark year rating in the Citizen Satisfaction Survey.	2005 Benchmark Percentage	No	63.00 %	63.0 %	Y	0.0 %	1 The SOP is incomplete. The data source is not defined and the data point calculation is not defined.	1 Update SOP to reflect that the citizen survey is conducted by a third-party and data are provided as percentages. No calculations are required by program. Update SOP to reflect the reported result will be the summation of the percentage of responses shown in categories "excellent" and "good."	On March 26, 2009, Department of Public Works Program 115 — Transportation and Traffic Services disputed all audit findings that are designated as outside the defined accuracy range and all findings designated as not able to be verified (NATV). These two categories constitute 75.0 percent of the total results reviewed.	Agree. Survey methodology has been updated since the date of the audit and program modifications were made as part of the 08/09 operating budget cycle.
									2 The title of the data point is incorrect. The defined data point, "2005 Benchmark Percentage" is a fixed point at 82.0 percent and serves as the target for this measure. As defined on the SOP, the reported result would always be 82.0 percent no matter what the survey results were.	2 Change the title of the data point to "percentage of excellent and good ratings." Also, change the performance measure's title to include the proper category titles and the benchmark level. The title should read as follows: "The level of citizen satisfaction that is rated 'good' or better on the Citizen Satisfaction Survey for traffic signal timing/reliability meets or exceeds the 2005 benchmark rating of 82.0 percent."	<u>Resolutions Phase:</u> On April 2, 2009, a meeting was held to discuss the disputed audit findings. The meeting was attended by: Marvin Rose, Director, Department of Public Works Jack Witthaus, Program Manager, Program 115 — Transportation & Traffic Serv. Mary Bradley, Director of Finance Ann Durkes, Auditor It was agreed by all parties the auditor would review all disputed findings.	Agree generally. Survey methodology has been updated since the date of the audit and program modifications were made as part of the 08/09 operating budget cycle. Specific title recommendation is no longer relevant.
11	Q	Travel speeds on major streets are maintained within norms as defined by the Highway Capacity Manual (HCM), with respect to volume, capacity, and speed.	Percent of Major Streets that Meet or Exceed HCM Expected Travel Speed	No	38.00 %	25.0 %	N	52.0 %	3 Calculation error when determining data point.	3 No recommendation.	Marvin Rose, Director, Department of Public Works Jack Witthaus, Program Manager, Program 115 — Transportation & Traffic Serv.	--
12	Q	Service reports and email reports for service to field units of the Department (Streets, Sign Shop, Trees and Landscaping, Street Lights, Concrete, etc.) are completed in time to meet deadlines for completion of the work (hazardous, 3-24 hours, non-hazardous, 1-30 days).	Percent of Service Reports Completed In Time to Meet Established Deadline	No	100.00 %	NATV	--	--	4 The SOP for Activity 115110, the underlying data source, states: "A product (a work order completed) will be recorded in the service request logs of the Field Service units citing the Division of Transportation and Traffic as the originating source."	4 Delete Performance Measure 12. Control and completion of the work orders are outside the purview of Program 115. In fact, Program 115 only identifies then reports the issues to the Field Services Division of the Department of Public Works. At that point, the work is assigned and depending on the type of work is accomplished by either Program 117 - City Streetlight System; Program 118 - Pavement Operations; Program 216 - Roadside and Median Right-of-Way Services; Program 217 - Concrete Maintenance; or Program 218 - Street Tree Services. If Performance Measure 12 is not deleted, the SOP should be changed from "a work order <u>completed</u> " to "a work order <u>identified/requested</u> ." This change will allow Program 115 to track and report its own efforts and responsibilities, rather than those of other programs.	On April 6, 2009, the auditor provided to the program a comprehensive list of additional information needed to review all disputed findings. The auditor also provided the action items and the responsible party. No additional information was provided to the auditor until April 14, 2009.	
13	P	Study issues are completed as scheduled. Transportation plans and studies are reviewed within deadlines.	Percent	No	100.00 %	NATV	--	--	5 No schedule available or provided against which a comparison can be made to determine timeliness of completion.	5 No recommendation.	On April 14, 2009, the Auditor, Program Manager, and Traffic	--
			Number of Plans and Studies	--	22.00	18.0	N	22.2 %			Engineer met and discussed each disputed finding. The program provided additional documentation at this meeting.	
14	P	City traffic signal trouble call repairs are responded to within one hour of notification.	Percent	No	77.00 %	50.5	N	52.5 %	6 Wording of Performance Measure 14 does not reflect the actual work being provided by Program 115.	6 Reword Performance Measure 14 to: "City traffic signal trouble call repairs are reported to the proper maintenance group within one hour of notification." Control and completion of the work orders are outside the purview of Program 115. In fact, Program 115 only identifies then reports the issues to either CalTrans, Santa Clara County, Econolite, or the Field Services Division of the Department of	Between April 14, 2009 and May 8, 2009, the auditor reviewed all findings and recommendations. Any resulting changes are noted in the Work Papers under "Resolutions Phase." Both the auditor's original calculations and the corrected calculations are listed.	Agree. The performance measure will be reworded during the next operating budget preparation cycle.
			Number of Trouble Calls	--	115.00	301.0	N	-61.8 %				
									7 Most documentation of when and how the work order was addressed is located in the signal cabinets. According to the program and supported by the City Attorney, this log is the legal documentation used for showing proof of maintenance (due diligence). The log is entitled "Routine Maintenance Intersection Log." There is a maintenance log at each signal box. No procedure for backing up the information on the logs is shown in the audit documentation.	7 Establish and fully document the procedure for maintaining an additional copy of the Routine Maintenance Intersection Logs for all traffic signals in the City's system. The auditor suggests the logs be backed up at least biennially (two times per year).		Agree in concept. The practice of keeping signal maintenance logs in the controller cabinet is a long established standard practice, but for the purposes of performance monitoring it is an inconvenient method for tracking. The Division has since moved to an electronic PDA-based maintenance monitoring system in addition to the hard copy logs at the intersections, so data is more readily available.

Program 115 — Transportation & Traffic Services
Audit of FY 2006/2007 Performance Results
Appendix 2 — Recommendation Table with Departmental Response

Meas#	Type	Measure	Data Point	SOP Missing	Reported Result	Auditor Calculation	Accurate within +3%		Findings	Recommendations	Department Response (Initial)	Department Response (Final)		
							Y/N	+/-						
									8	The SOP states in section 2f: A representative sample of trouble calls will be researched at year end to determine the time calls were received versus what time a technician or staff person logged in to the controller cabinet. A percentage of responses within one hour will be determined. The criteria for the sampling is not defined. Further, no substantiation for using sampling is given. Generally, sampling is used when the universe is quite large.	8	Either delete the requirement to use sampling to determine Performance Measure 14 or establish and fully document the procedure for sampling. It is important to note that the auditor does not believe that the universe is sufficiently large enough to require sampling. In addition, the program tracks all trouble reports.		Agree. The Division has since moved to an electronic PDA-based maintenance monitoring system in addition to the hard copy logs at the intersections, so data is more readily available. The SOP will be updated.
15	P	Transportation grant application opportunities are maximized by writing grant applications within deadlines as appropriate opportunities arise.	Grant Revenues Received	No	\$5,726,028	\$5,390,185	N	6.2 %	9	Documentation was provided by the program relating to the application for the grants. No information was provided on the grant awards.	9	Establish a tracking spreadsheet that shows the grant for which applied; the due date; the date application was submitted; the grant amount requested; the amount awarded; and the date awarded. As part of the supporting documentation, keep a copy of the award letter or notification of non-award with the original application. Auditor suggests using the format shown in the Work Papers for Program 115..	On March 26, 2009, Department of Public Works Program 115 — Transportation and Traffic Services disputed all audit findings that are designated as outside the defined accuracy range and all findings designated as not able to be verified (NATV). These two categories constitute 75.0 percent of the total results reviewed. <u>Resolutions Phase:</u> On April 2, 2009, a meeting was held to discuss the disputed audit findings. The meeting was attended by: Marvin Rose, Director, Department of Public Works Jack Witthaus, Program Manager, Program 115 — Transportation & Traffic Serv. Mary Bradley, Director of Finance Ann Durkes, Auditor It was agreed by all parties the auditor would review all disputed findings.	Partially agree. A log has been created to identify the type of grant and date applied for. Notification of grant awards occurs by differing methods depending upon the program, and award letters or even written documentation is not always available, so this is not a reliable method of documentation. Also, the Division has no control over whether a grant is awarded or not, so this is not a reasonable method of measuring performance.
16	P	Meeting packets for the Bicycle and Pedestrian Advisory Committee will be completed within noticing time frames established by the Brown Act (72 hours prior for regular meetings, 24 hours prior for special meetings).	Percent	No	100.00 %	100.0	Y	0.0 %	10	No tracking mechanism exists to show when the packets were delivered. The SOP states only that "... A meeting cannot be held if noticing deadlines are not met."	10	Establish a tracking spreadsheet that shows the meeting date; the date the packet was delivered to the council members; and who delivered the packets. If possible, send electronically so a date and time stamp is automatically generated by the City's e-mail system. If sent via post, keep a copy of the postal receipt; it will have a date and time stamp. If hand delivered, have the messenger fill out a form showing the date and time of deliveries, as well as the messenger's signature.	Disagree. The current method of utilizing documentation that BPAC meetings occurred as scheduled is sufficient. The proposed additional administrative functions are not supportable with existing Division resources.	
			Number of Meeting Packets	--	12.00	12.0	Y	0.0 %						
17	P	Land development reviews occur within established deadlines (land use permit reviews = 10 days, building permit reviews = 21 days).	Percent	No	92.00 %	NATV	--	--	11	Performance Measure 17 was rendered NATV because no information existed on timeliness of reviewing land use permits for FY 2006/2007. It is important to note that Program 115 had a tracking log for land use permit reviews during FY 2006/2007, but the date when the review was completed was not included. As of June 13, 2007, the completion date is logged in the comments section of the log.	11	No recommendation.	On April 6, 2009, the auditor provided to the program a comprehensive list of additional information needed to review all disputed findings. The auditor also provided the action items and the responsible party. No additional information was provided to the auditor until April 14, 2009.	--
			Number of Reviews	--	1,747.00	2,079.0	N	-16.0 %	12	The underlying data point for Performance Measure 17 included errors made while transferring information from the SunGIS reports to the financial system and PAMS.	12	No recommendation.	--	
18	P	The demand for traffic calming, neighborhood traffic studies, school traffic studies/plans/programs is met.	Number of Studies/ Plans/Programs Completed	No	10.00	15.0	N	-33.3 %	13	Performance Measure 18 is worded ambiguously. Further, its underlying SOP does not correlate between the description, the target calculation, and the criteria for "met," "not met," and "exceeded." The description is worded to measure responsiveness to requests. The target is worded to measure response time and/or volume completed. The criteria is worded to measure responsiveness to requests.	13	Reword the performance measure and rewrite the SOP so all components correlate to what Program 115 intends to be measured - responsiveness to requests, volume completed, or response within an established time frame.	On April 14, 2009, the Auditor, Program Manager, and Traffic Engineer met and discussed each disputed finding. The program provided additional documentation at this meeting. Between April 14, 2009 and May 8, 2009, the auditor reviewed all findings and recommendations. Any resulting changes are noted in the Work Papers under "Resolutions Phase." Both the auditor's original calculations and the corrected calculations are listed.	Disagree. Because of the extreme variability in the level of effort to respond to traffic calming, neighborhood, and school issues, the Division has found it very difficult to find a useful unit of productivity measurement. We do not believe the suggested measurements will improve productivity tracking in this area.
19	CE	The cost of monthly traffic signal preventive maintenance checks will be maintained at or below the established contractual average cost per intersection.	Cost of Preventive Maintenance Check	No	\$243.63	\$98.27	N	147.9 %	14	The reported cost of a preventive maintenance check also includes a one-time management system implementation fee of \$2,000, as well as emergency or non-routine repairs performed by Econolite.	14	Delete Performance Measure 19. The cost of preventive maintenance checks are fixed by the contract and subject to change only when the contract is negotiated. This measure is worded ambiguously, is confusing, and does not measure cost effectiveness of either the contract or the work performed by Program 115.	Agree. The Department will consider deleting this measure or replacing it with something that better addresses cost effectiveness during the next operating budget cycle.	
20	F	Actual total expenditures for Transportation and Traffic Services will not exceed planned program expenditures.	Total Program Expenditures	Yes	\$2,024,572.00	\$2,024,515.90	Y	<0.1 %	--	--	--	--		
1	2	115010 Traffic Control Warrant Studies - Stop, Yield, Traffic Signal, Crossing Guard	A Warrant Study Completed	No	60.0	51.00	N	17.6 %	--	Reviewed in tandem with Performance Measure 18.	--	--		
4	3	115020 Data/Analyses — Volume Counts, Parking Surveys, Speed Limit Survey Completed [DELETED]	A Data/Collision Study Completed	--	0.0	Not Audited	--	--	--	--	--			
4	4	115030 Permits and Internal Requests [DELETED]	An Action Completed	--	0.0	Not Audited	--	--	--	--	--			

Program 115 — Transportation & Traffic Services

Audit of FY 2006/2007 Performance Results

Appendix 2 — Recommendation Table with Departmental Response

SDP	Activity	Charge Code	Charge Code Title	Product Title	SOP Missing	Reported Result	Auditor Calculation	Accurate within ±5%		Findings	Recommendations	Department Response (Initial)	Department Response (Final)
								Y/N	+/-				
4	5	115040	Planning Studies [DELETED]	A Study Completed	--	0.0	Not Audited	--	--	--	--	--	--
4	6	115060	Citizen Inquiries [DELETED]	An Inquiry Answered	--	0.0	Not Audited	--	--	--	--	--	--
1	7	115080	Long Range Planning / Policy Studies such as General Plan Elements, Long Range Strategic, or Capital Plans	A Study Completed	No	6.0	6.0	Y	0.0 %	15 Program 115 originally provided copies of the City Council's agendas for the dates any of these types of studies were scheduled to be considered by Council. Agendas are not adequate forms of verification that these studies were completed. Agendas can and do change. The reports should have been provided.	15 Completion dates, RTC citations, and Council Meeting minutes were provided during the Resolution Phase.	--	--
1	8	115090	Bicycle and Pedestrian Advisory Committee Support	A Meeting Packet Completed	No	12.0	12.0	Y	0.0 %	Duplicate of Finding 10.	Duplicate of Recommendation 10.	--	Disagree. See Response 10.
1	9	115100	Citizens Inquiries — Including Written, Phone, Web, In-Person	A Citizen Contact	No	1,664.0	NATV	--	--	--	--	On March 26, 2009, Department of Public Works Program 115 — Transportation and Traffic Services disputed all audit findings that are designated as outside the defined accuracy range and all findings designated as not able to be verified (NATV). These two categories constitute 75.0 percent of the total results reviewed.	This was not able to be verified because the Department keeps inquiry records for only one year. The audit was not completed until almost a year and a half after it's original due date. The records would have been available as indicated in the submitted audit materials if this delay had not occurred.
1	10	115110	Transportation Design Service Work Order Completed	A Work Order Completed	No	799.0	779.0	Y	2.6 %	16 The SOP for Activity 115110 states: A product (a work order completed) will be recorded in the service request logs of the Field Service units citing the Division of Transportation and Traffic as the originating source. Control and completion of the work orders are outside the purview of Program 115. In fact, Program 115 only identifies then reports the issues to the Field Services Division of the Department of Public Works. At that point, the work is assigned and depending on the type of work is accomplished by either Program 117 — City Streetlight System; Program 118 — Pavement Operations; Program 216 — Roadside and Median Right-of-Way Services; Program 217 — Concrete Maintenance; or Program 218 — Street Tree Services.	16 Redefine the product to be "An issue identified and reported to Field Services."	On April 2, 2009, a meeting was held to discuss the disputed audit findings. The meeting was attended by: Marvin Rose, Director, Department of Public Works Jack Witthaus, Program Manager, Program 115 — Transportation & Traffic Serv. Mary Bradley, Director of Finance Ann Durkes, Auditor It was agreed by all parties the auditor would review all disputed findings. On April 6, 2009, the auditor provided to the program a comprehensive list of additional information needed to review all disputed findings. The auditor also provided the action items and the responsible party. No additional information was provided to the auditor until April 14, 2009.	Disagree. At the time audit materials were submitted, the Division had been asked by the Field Services Division to eliminate it's work order system and move to a verbal reporting system. Tracking of verbal reports to Field Services was documented in multiple databases by Field Services, and the documentation provided by Transportation and Traffic was the output of various logs. Therefore, the auditor audited "reports to Field Services. This system left the Transportation Division with little control over its documentation, and there were disparities between Transportation's records and Field Services. Transportation has since returned to it's written work order system, and the product should remain "work orders completed."
1	11	115120	Capital Budget Preparation and Support	A Capital Project Sheet Prepared	No	60.0	60.0	Y	0.0 %	--	--	On April 14, 2009, the Auditor, Program Manager, and Traffic	--
1	12	115130	Capital Project Support	A Design or Project Completed	No	6.0	0.0	Y	>+100.0 %	--	--	--	--
1	13	115140	Traffic Volume, Parking, and Speed Studies	A Volume, Parking or Speed Study Completed	No	44.0	51.0	N	-13.7 %	17 No comprehensive index of studies exists.	17 For tracking and reporting purposes, create a log of the studies conducted each year. Include date due and date completed. Make note of any changes to the originally scheduled due date.	Engineer met and discussed each disputed finding. The program provided additional documentation at this meeting.	Agree. This log has been created.
										18 Standardized file naming not used consistently.	18 Establish and use a standardized file naming method.	Between April 14, 2009 and May 8, 2009, the auditor reviewed all findings and recommendations. Any resulting changes are noted in the Work Papers under "Resolutions Phase." Both the auditor's original calculations and the corrected calculations are listed.	Agree. The log that has been created standardizes filing.
1	14	115150	Collision Analysis	A Collision Report Reviewed	No	1,970.0	1,225.0	N	60.8 %	19 No comprehensive index/log exists.	19 For tracking and reporting purposes, create a log of the studies conducted each year. Include date received and date completed.	--	Disagree. The Division keeps copies of all reports reviewed and utilizes these for documentation purposes. A log would be duplicative.
1	15	115160	Develop, Coordinate and Manage Bicycle/Pedestrian/Livable Communities Plans/Projects/Programs	A Plan/Project/Program Completed	No	3.0	NATV	--	--	-- No documentation provided by Program 115.	-- None.	--	--
1	16	115170	Respond to Bicycle/Pedestrian/Livable Communities Issue	A Response Prepared	No	31.0	NATV	--	--	-- No documentation provided by Program 115.	-- None.	--	--
1	17	115180	Coordinate and Manage Formal Traffic Calming, Neighborhood, and School Traffic Studies	A Formal Report Completed	No	7.0	NATV	--	--	-- Documentation provided by Program 115 was inconclusive.	-- None.	--	--
1	21	115190	Respond to Traffic Calming, Neighborhood Traffic, and School Traffic Issues	A Response	No	181.0	NATV	--	--	-- No documentation provided by Program 115.	-- None.	--	--
2	4	115220	Intergovernmental Coordination [DELETED]	An Action Completed	--	0.0	Not Audited	--	--	--	--	--	--

Program 115 — Transportation & Traffic Services

Audit of FY 2006/2007 Performance Results

Appendix 2 — Recommendation Table with Departmental Response

SDP	Activity	Charge Code	Charge Code Title	Product Title	SOP Missing	Reported Result	Auditor Calculation	Accurate within +5%		Findings	Recommendations	Department Response (Initial)	Department Response (Final)
								Y/N	+/-				
2	2	115230	Congestion Management Agency Dues	A Dues Paid	No	1.0	1.0	Y	0.0 %	20 It is not cost effective to establish and use a separate activity to charge a specific transaction. Work hours are associated with administering, reviewing, and paying the VTA dues; however, those hours are not budgeted or charged to this activity. Prior to FY 2006/2007, this dues was paid from a capital/special project.	20 Delete Activity 115230. Simultaneously move the funding to and make the expenditures from Activity 115810 - Management & Supervisory Services. Payment of the VTA dues is clearly an important matter because virtually all of the City's traffic and transportation services are associated with it. However, this is a management action that requires time to review the invoice and fill out the necessary documentation to pay the dues. These hours should be charged to Activity 115810. For consistency purposes, the actual dues should be associated with the activity to which the necessary time is being charged. If Activity 115230 is not deleted and funding is not transferred to Activity 115810, two things need to occur. First, the title of the activity needs to be changed to "Santa Clara Valley Transportation Authority Dues." The VTA and Congestion Management Authority merged in January 1995. Second, the hours associated with administering the membership, reviewing the dues invoices, paying the dues should be charged to Activity 115230.	On March 26, 2009, Department of Public Works Program 115 — Transportation and Traffic Services disputed all audit findings that are designated as outside the defined accuracy range and all findings designated as not able to be verified (NATV). These two categories constitute 75.0 percent of the total results reviewed. <u>Resolutions Phase:</u> On April 2, 2009, a meeting was held to discuss the disputed audit findings. The meeting was attended by: Marvin Rose, Director, Department of Public Works Jack Witthaus, Program Manager, Program 115 — Transportation & Traffic Serv. Mary Bradley, Director of Finance Ann Durkes, Auditor It was agreed by all parties the auditor would review all disputed findings. On April 6, 2009, the auditor provided to the program a comprehensive list of additional information needed to review all disputed findings. The auditor also provided the action items and the responsible party. No additional information was provided to the auditor until April 14, 2009. On April 14, 2009, the Auditor, Program Manager, and Traffic Engineer met and discussed each disputed finding. The program provided additional documentation at this meeting	Partially agree. The Division has no issue with the recommendation to move funding to activity 115810. This was originally an annual capital project that was established as an activity in Program 115 at the direction of the City Manager. With respect to the title of the activity, Congestion Management Agency dues is accurate as the CMA is a component of the VTA, and the dues are specifically for CMA related activities of the VTA.
2	3	115240	Provide Intergovernmental Review Support	A Comment Prepared	No	79.0	NATV	--	--	21 Information provided by Program 115 was the number of meetings attended. No information was provided on the number of comments prepared.	21 Update the SOP to reflect the correct defined product.	Finance Ann Durkes, Auditor It was agreed by all parties the auditor would review all disputed findings.	Agree. The SOP will be updated as part of the next operating budget cycle.
2	4	115250	Grant Writing and Grants Administration	A Grant Application Completed	No	16.0	17.0	N	-5.9 %	-- See finding for Performance Measure 15.	-- See recommendation for Performance Measure 15.	On April 6, 2009, the auditor provided to the program a comprehensive list of additional information needed to review all disputed findings.	Partially agree. See Response for Performance Measure 15.
2	5	115260	Review Outside Agency Plans, Designs, and Studies	A Comment Prepared	No	15.0	NATV	--	--	-- No documentation provided by Program 115.	-- None.	additional information needed to review all disputed findings.	--
3	5	115300	Provide Electric Power for Traffic Signal Systems	A Signal Powered	No	129.0	133.0	Y	-3.0 %	--	--	The auditor also provided the action items and the responsible party. No additional information was provided to the auditor until April 14, 2009.	--
3	6	115310	Conduct Signal Maintenance and Repair by Staff	A Maintenance Action or Repair Completed	No	309.0	301.0	Y	2.7 %	-- See finding for Performance Measure 14.	-- See recommendation for Performance Measure 14.	Agree.	--
3	7	115320	Administer Signal Maintenance Contract	An Invoice Processed	No	25.0	27.0	N	-7.4 %	--	--	Agree.	--
3	8	115330	Oversee Minor Signal Infrastructure Components Replacement	A Component Replaced	No	129.0	133.0	Y	-3.0 %	--	--	Agree.	--
3	4	415450	Operate and Maintain Signals [DELETED]	A Maintenance Action	--	9.0	Not Audited	--	--	--	--	Agree.	--
3	2	115460	Optimize Traffic Signals — Including Individual Signal Timing Reviews and Interconnect System Timing Reviews	A Traffic Signal Optimized	No	102.0	94.0	N	8.5 %	22 The work being conducted under this activity as part of the maintenance of the signal system is virtually identical to the work being conducted and charged to Activity 115310; both activities are reflecting the work being done by staff. Activity 115460 and Activity 115310 are redundant.	22 Delete Activity 115460 and transfer all hours and resources that are currently allocated to Activity 115310 - Conduct Signal Maintenance and Repair by Staff.	Agree. The activity will be deleted as part of the next operating budget cycle.	Agree. The activity will be deleted as part of the next operating budget cycle.
										23 If Activity 115460 is not deleted, the current SOP does not reflect the correct activity definition description, product definition, or data sources.	23 Update the SOP.	Engineer met and discussed each disputed finding. The program provided additional documentation at this meeting	Agree. The SOP will be deleted as part of the next operating budget cycle.
3	3	115470	Design and Oversee Major Signal Infrastructure Components Replacement	A Design or Project Completed	No	7.0	2.0	N	250.0 %	24 The defined product on the SOP is not reflective of what the program is actually counting.	24 Update SOP to accurately reflect all systems being checked.	Between April 14, 2009 and May 8, 2009, the auditor reviewed all findings and recommendations. Any resulting changes are noted in the Work Papers under "Resolutions Phase." Both the auditor's original calculations and the corrected calculations are listed.	Partially agree. The Department believes this is an unnecessary level of detail, but it will not affect performance measurement.
3	4	115480	Operate and Maintain Signals by Contract	A Preventative Maintenance Check Completed	No	2,950.0	1,729.0	N	70.6 %	-- See finding for Performance Measure 19.	-- See recommendation for Performance Measure 19.	Agree. See Response for Performance Measure 19.	Agree. See Response for Performance Measure 19.
8	1	115720	Perform Planning Permit Application Reviews	An Application Reviewed	No	72.0	78.0	N	-7.7 %	Duplicate of Finding 11.	Duplicate of Recommendation 11.	--	--
8	2	115730	Perform Building Permit Submittal Reviews	A Building Permit Submittal Reviewed	No	1,675.0	2,001.0	N	-16.3 %	Duplicate of Finding 12.	Duplicate of Recommendation 12.	--	--
										25 SOP does not include language clarifying that resubmittals are reviewed and the corresponding deadline. Also, the SOP should be updated to show the One Stop Permit Center provides the data for product counts and whether deadlines were met.	25 Update SOP. See auditor's notations on SOP provided to program.	Agree. The SOP will be updated as part of the next operating budget cycle.	Agree. The SOP will be updated as part of the next operating budget cycle.
8	3	115740	Issue Transportation Permits	A Permit Issued	No	618.0	622.0	Y	-0.6 %	26 No comprehensive log is established.	26 For tracking and reporting purposes, create a log. Include date received, date review was completed, who conducted the review, and associated permit number.	Disagree. The Division keeps copies of completed transportation permits for the purposes of documentation. The recommendation represents additional administrative functions which are not necessary.	Disagree. The Division keeps copies of completed transportation permits for the purposes of documentation. The recommendation represents additional administrative functions which are not necessary.
8	4	115750	Review Encroachment Permit Traffic Control Plans	A Traffic Control Plan Approved	Yes	174.0	100.0	N	74.0 %	27 No comprehensive log is established.	27 For tracking and reporting purposes, create a log. Include date received, date review was completed, who conducted the review, and associated permit number.	Agree. A log has been created.	Agree. A log has been created.
7	1	415800	Provide Administration (Allocated)	None	--	--	Not Audited	--	--	--	--	--	--
7	2	415801	Provide Legal Response (Allocated)	None	--	--	Not Audited	--	--	--	--	--	--
7	3	415802	Provide Support Services (Allocated)	None	--	--	Not Audited	--	--	--	--	--	--
7	4	415803	Provide Training (Allocated)	None	--	--	Not Audited	--	--	--	--	--	--

Program 115 — Transportation & Traffic Services

Audit of FY 2006/2007 Performance Results

Appendix 2 — Recommendation Table with Departmental Response

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								Y/N	+/-				
7	5	115804	SDP-Wide Allocation to 1, 2, & 3	None	--	--	Not Audited	--	--	--	--	--	--
9	1	115810	Management and Supervisory Services	A Work Hour	--	192.7	Not Audited	--	--	--	--	--	--
9	2	115820	Provide Legal Response	A Legal Claim Response	No	5.0	5.0	Y	0.0 %	--	--	--	--
9	3	115830	Administrative Support, Including Clerical Staff Hours	A Work Hour	--	1,162.9	Not Audited	--	--	--	--	--	--
9	4	115840	Provide Staff Training, Including Tailgate Meetings, Certifications and Operations / Safety-Related Classes	A Meeting Attended	--	75.0	Not Audited	--	--	--	--	--	--
98	1	115980	Program-Wide Allocation / Rental Rates	None	--	--	Not Audited	--	--	--	--	--	--
99	1	115990	Program-Wide Revenues	None	--	--	Not Audited	--	--	--	--	--	--