

18-03 Building Permitting Process Audit - FIFTH Follow-up



City Auditor's Office
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Status of Follow-up: Management Responses
As of December 2021
Original Report Issuance - August 2018
Fifth Follow-up result: All audit findings are now closed.

	Finding	Recommendations	Management Response
5	Data Quality Concern and Verification of report Data is Not Possible		
	<p>The data used by the Building Division for reporting and decision-making may include errors as the data collection process is highly manual. These reporting metrics are provided internally at the City and also to management for State programs. The manual reporting process was developed by key personnel using system generated reports to produce data that was specifically requested by prior executive management; a system generated report for the data needed has not been identified. More efficient reporting methods have not been sought-out by division management.</p> <p>The monthly summary report issued by the Building Division cannot be historically verified as it is adjusted based on a key employee's manual adjustments per informal divisional adjustment requests that are without documentation. Thus, the report used in the decision-making process may contain errors and decisions may be based on erroneous data.</p>	<p>We recommend the division staff work with software consultants to determine if software adjustments and/or system generated reports can be used to produce the necessary data without manual adjustments currently needed to build monthly summary reports.</p>	<p>We agree, the blue and white "CD Activity report" should be retired, and there should be an automated dashboard that anyone can access at any time, displaying data. The division will work with software consultants to create a report that includes data that is organized and categorized by the industry standard as identified by Building & Safety Manager. Once the process becomes automated the numbers and tracking methods will be substantially more accurate. The division began working with software consultants in July 2018 with a completion goal of the end of fiscal year 2018/19.</p>

Follow-up Status:

February 2019	<p>The report has been retired. CD staff is working with IT to develop an automated dashboard, which is a citywide effort. Because this is a long-term initiative, CD staff has created an interim report to communicate information on a monthly basis. The data points in the report have been adjusted so that no manual adjustment to the data is needed outside of the Accela platform. The data on the interim report is verified through a supervisor or designated staff person by separately running the Accela report and comparing it to the interim report. Additional work is needed to document this process (estimated completion date is end of June 2019). The estimated completion date for the automated dashboard is December 2020.</p> <p><u>Audit Comment to Follow-up:</u> Additional follow-up on this item is scheduled for 6-months from follow-up issuance date.</p>
November 2019	<p>This item remains in process. Staff has initiated the online dashboard/automated report and is currently in the process of testing the functionality.</p> <p><u>Audit Comment to Follow-up:</u> Additional follow-up on this item is scheduled for 6-months from follow-up issuance date regarding documented procedures.</p>
September 2020	<p>Dashboard has not been completed yet. CD is working with the IT Department to provide a more accurate timeline for launching of the Dashboard.</p> <p><u>Audit Comment to Follow-up:</u> Additional follow-up on this item is scheduled for 6-months from follow-up issuance date.</p>
June 2021	<p>This continues to be a function of the Accela software. Council has approved a \$500,000 budget to move forward with updates to Accela. Reporting is one of the key components of the Accela updates. We are in the process of putting together a scope of work for a third party consultant to tackle this item. A timeline has been created that outlines when the consultant is estimated to be under contract.</p> <p><u>Audit Comment to Follow-up:</u> Examined the timeline provided by the department, <i>Accela Timeline for Scoping Project and Beginning Contract</i>. The timeline appears reasonable and in-line with seeking a resolution to the audit recommendation. Additional follow-up on this item is scheduled in two months.</p>
December 2021	<p>This continues to be a function of Accela. We have completed the 1st step in the process for the City Council approved budget. We completed the required Charter with IT and submitted it in September. We are still waiting for the approval from IT in order to begin the contract procurement for the improvements with an outside vendor as described in the proposed charter.</p> <p><u>Audit Comment to Follow-up:</u> Examined the <i>Accela Improvements Project Charter</i> provided by the Director of Development Services. The document details the project that should resolve the audit findings and this recommendations related to Accela functionality. Audit has been reasonably assured that the project will be followed-through upon; no additional follow-up is scheduled. This item is closed.</p>

6 Lack of Succession Planning for Reporting Process

<p>Departmental procedures are not documented for the reporting process; a key employee is the only employee that creates the reports. Establishing written procedures detailing important departmental procedures is the first step to clarify processes and employee expectations when carrying out their day-to-day functions concerning report generation. Departmental procedures that are not documented may be conducted incorrectly or inappropriately when a key employee is no longer able to perform the procedures.</p>	<p>We recommend a procedures manual be created and a secondary employee be trained to prepare reports for consistency and departmental succession planning.</p>	<p>Management will inform staff that the “CD Activity report” will be discontinued and no longer distributed. By August 2018, management will inform staff that the blue and white CD Activity report will be discontinued. Management will ensure that all positions have a desk manual on how to perform each task within each job, and how to pull the new report to be built by Truepoint.</p>
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Follow-up Status:

<p>February 2019</p>	<p>The CD Activity report has been discontinued. Documentation of this procedure in a desk manual is still needed; Estimated completion date is end of June 2019. <u>Audit Comment to Follow-up:</u> Additional follow-up on this item is scheduled for 6-months from follow-up issuance date.</p>
<p>November 2019</p>	<p>This item remains in process. The desk manual will be completed once the automated report is finalized as that has key determining factors for the manual. <u>Audit Comment to Follow-up:</u> Additional follow-up on this item is scheduled for 6-months from follow-up issuance date regarding documented procedures.</p>
<p>September 2020</p>	<p>We are currently looking for additional budget in order to hire a third party consultant to build this out in Accela, including a procedural document related to the reporting process. <u>Audit Comment to Follow-up:</u> Additional follow-up on this item is scheduled for 6-months from follow-up issuance date.</p>
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