



SEATTLE CITY COUNCIL

Governance and Education Committee

Agenda

Tuesday, September 14, 2021

2:00 PM

Remote Meeting. Call 253-215-8782; Meeting ID: 586 416 9164; or
Seattle Channel online.

M. Lorena González, Chair
Debora Juarez, Vice-Chair
Teresa Mosqueda, Member
Kshama Sawant, Member
Dan Strauss, Member
Andrew J. Lewis, Alternate

Chair Info: 206-684-8809; Lorena.González@seattle.gov

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<http://seattle.gov/cityclerk/accommodations>.



SEATTLE CITY COUNCIL
Governance and Education Committee
Agenda
September 14, 2021 - 2:00 PM

Meeting Location:

Remote Meeting. Call 253-215-8782; Meeting ID: 586 416 9164; or Seattle Channel online.

Committee Website:

<http://www.seattle.gov/council/committees/governance-and-education>

This meeting also constitutes a meeting of the City Council, provided that the meeting shall be conducted as a committee meeting under the Council Rules and Procedures, and Council action shall be limited to committee business.

In-person attendance is currently prohibited per Washington State Governor's Proclamation 20-28.15, until the COVID-19 State of Emergency is terminated or Proclamation 20-28 is rescinded by the Governor or State legislature. Meeting participation is limited to access by telephone conference line and online by the Seattle Channel.

Register online to speak during the Public Comment period at the 2:00 p.m. Governance and Education Committee meeting at <http://www.seattle.gov/council/committees/public-comment>.

Online registration to speak at the Governance and Education Committee meeting will begin two hours before the 2:00 p.m. meeting start time, and registration will end at the conclusion of the Public Comment period during the meeting. Speakers must be registered in order to be recognized by the Chair.

Submit written comments to Councilmember González at Lorena.Gonzalez@seattle.gov

Sign-up to provide Public Comment at the meeting at <http://www.seattle.gov/council/committees/public-comment>

Watch live streaming video of the meeting at <http://www.seattle.gov/council/watch-council-live>

Listen to the meeting by calling the Council Chamber Listen Line at 253-215-8782 Meeting ID: 586 416 9164

One Tap Mobile No. US: +12532158782,,5864169164#

Please Note: Times listed are estimated

A. Call To Order

B. Approval of the Agenda

C. Public Comment

D. Items of Business

1. [CB 120172](#) **AN ORDINANCE relating to City employment, commonly referred to as the Third Quarter 2021 Employment Ordinance; returning positions to the civil service system; and amending classification titles.**

Supporting Documents: [Summary and Fiscal Note](#)
[Central Staff Memo](#)

Briefing, Discussion, and Possible Vote (15 minutes)

Presenter: Karina Bull, Council Central Staff

2. [Appt 02033](#) **Reappointment of David G. Jones as City Auditor, for a term to December 13, 2025.**

Attachments: [Appointment Packet](#)

Briefing, Discussion, and Possible Vote (15 minutes)

Presenter: David Jones, Office of City Auditor

3. 2020 Annual Report & 2021 Work Program Update

Supporting
Documents:

[Office of the City Auditor - 2020 Annual Report
Presentation](#)

Briefing and Discussion (15 minutes)

Presenter: David Jones, City Auditor

E. Adjournment



Legislation Text

File #: CB 120172, Version: 1

CITY OF SEATTLE

ORDINANCE _____

COUNCIL BILL _____

AN ORDINANCE relating to City employment, commonly referred to as the Third Quarter 2021 Employment Ordinance; returning positions to the civil service system; and amending classification titles.

BE IT ORDAINED BY THE CITY OF SEATTLE AS FOLLOWS:

Section 1. Returning 13 positions to Civil Service status. As recommended by the Seattle Human Resources Director in the Classification Determination Report specified, the following positions are returned to Civil Service:

- 1 vacant position (10007022) in Office for Civil Rights, Strategic Advisor 1, General Government (Report #18040)
- 1 vacant position (10007007) in Finance and Administrative Services, Strategic Advisor 1, General Government (Report #18193)
- 2 vacant position (10007044, 10007045) in Finance and Administrative Services, Strategic Advisor, Purchasing, Contracting, & Risk Management (Report #18112)
- 1 vacant position (10007023) in Office of Emergency Management, Strategic Advisor 2, Finance, Budget, and Accounting (Report #18265)
- 3 vacant positions (10007041, 10007042, 10007043) in Seattle Municipal Court, Strategic Advisor 1, Information Technology (Report #18228)
- 1 vacant position (10006988) in Seattle Public Utilities, Executive Assistant, Senior (Report #18220)
- 1 vacant position (10006345) in Parks and Recreation, Manager 2, Engineering and Plans Review

(Report #18239)

- 1 filled position (10006710) in Department of Education and Early Learning, Manager 2, Finance, Budget, and Accounting (Report #18248)
- 1 vacant position (10007030) in Seattle Department of Human Resources, Strategic Advisor 1, General Government (Report #18092)
- 1 filled position (00016088) in Seattle Department of Human Resources, Accountant, Principal (Report #18172)

Section 2. The following classification titles are amended to reflect the transfer of positions from the Seattle Police Department to Community Safety and Communications Center.

Former Classification Titles	New Classification Titles Effective June 1, 2021
Police Comms Dispatcher I	9-1-1 Emergency Comms Dispatcher I
Police Comms Dispatcher II	9-1-1 Emergency Comms Dispatcher II
Police Comms Dispatcher III	9-1-1 Emergency Comms Dispatcher III
Police Comms Dispatcher Supv	9-1-1 Emergency Comms Dispatcher Supv
Police Comms Analyst	9-1-1 Emergency Comms Analyst

Section 3. This ordinance shall take effect and be in force 30 days after its approval by the Mayor, but if not approved and returned by the Mayor within ten days after presentation, it shall take effect as provided by Seattle Municipal Code Section 1.04.020.

Passed by the City Council the _____ day of _____, 2021, and signed by me in open session in authentication of its passage this _____ day of _____, 2021.

President _____ of the City Council

Approved by me this _____ day of _____, 2021.

Jenny A. Durkan, Mayor

Filed by me this _____ day of _____, 2021.

Monica Martinez Simmons, City Clerk

(Seal)

SUMMARY and FISCAL NOTE*

Department:	Dept. Contact/Phone:	CBO Contact/Phone:
Seattle Department of Human Resources	Amanda Grumbach/ 206-684-3068	Arushi Kumar/206-684-0025 Joe Russell/206-684-8546

** Note that the Summary and Fiscal Note describes the version of the bill or resolution as introduced; final legislation including amendments may not be fully described.*

1. BILL SUMMARY

Legislation Title:

AN ORDINANCE relating to City employment, commonly referred to as the Third Quarter 2021 Employment Ordinance; returning positions to the civil service system; and amending classification titles.

Summary and background of the Legislation: If passed, this legislation:

- a. Returns thirteen positions to the civil service system. As a result of a classification review and determination, these positions no longer meet the exemption criteria.
- b. Amends the titles for a classification series. There was no change to the civil service status, rates of pay, or other elements requiring legislation for these positions. Ordinance 126353 authorized the transfer of these positions from the Seattle Police Department to the Community Safety and Communications Center.

2. SUMMARY OF FINANCIAL IMPLICATIONS

Does this legislation amend the Adopted Budget? ___ Yes ___ **X** No

Does the legislation have other financial impacts to the City of Seattle that are not reflected in the above, including direct or indirect, short-term or long-term costs?

There are not costs associated with the change of civil service status for positions. Costs associated with related changes to title or classification will be absorbed by departments' existing budget authority and do not require appropriation of new funds.

Is there financial cost or other impacts of *not* implementing the legislation?

This legislation is needed to appropriately designate civil service status, which can have personnel implications.

3. OTHER IMPLICATIONS

a. Does this legislation affect any departments besides the originating department?

This legislation affects the Seattle Police Department, Community Safety and Communications Center, Office of Civil Rights, Office of Emergency Management, Seattle Parks and Recreation,

Department of Early Learning, Finance and Administrative Services, Seattle Public Utilities, Seattle Municipal Courts, and the Seattle Department of Human Resources.

b. Is a public hearing required for this legislation?

No

c. Is publication of notice with *The Daily Journal of Commerce* and/or *The Seattle Times* required for this legislation?

No.

d. Does this legislation affect a piece of property?

No

e. Please describe any perceived implication for the principles of the Race and Social Justice Initiative. Does this legislation impact vulnerable or historically disadvantaged communities? What is the Language Access plan for any communications to the public?

N/A.

f. Climate Change Implications

1. **Emissions: Is this legislation likely to increase or decrease carbon emissions in a material way?** No.

2. **Resiliency: Will the action(s) proposed by this legislation increase or decrease Seattle's resiliency (or ability to adapt) to climate change in a material way? If so, explain. If it is likely to decrease resiliency in a material way, describe what will or could be done to mitigate the effects.** No.

g. If this legislation includes a new initiative or a major programmatic expansion: What are the specific long-term and measurable goal(s) of the program? How will this legislation help achieve the program's desired goal(s). N/A.

List attachments/exhibits below:

None.

September 13, 2021

MEMORANDUM

To: Seattle City Council
From: Karina Bull, Analyst
Subject: Council Bill 120172: Third Quarter Employment Ordinance

On September 14, 2021, the Governance and Education Committee will discuss and may vote on [Council Bill \(CB\) 120172](#), the Third Quarter Employment Ordinance. This memo summarizes the background and content of the legislation.

Summary

This legislation would (1) return thirteen positions to the civil service system and (2) amend five classification titles. Central Staff has not identified issues or concerns with this legislation.

A. Return thirteen positions to the civil service system

The Seattle Department of Human Resources (SDHR) Director has determined that the work performed by thirteen positions no longer meets the criteria for civil service exemption and recommends returning the positions to civil service. See Table 1 for a list of these positions.

Table 1: Thirteen positions that would return to civil service

	Job Classification	Department	Vacancy Status	Number of Positions
1	Manager 2, Finance, Budget, and Accounting	Department of Education and Early Learning	Filled	One
2	Strategic Advisor 1, Gen Gov't	Finance and Administrative Services (FAS)	Vacant	One
3	Strategic Advisor, Purchasing, Contracting, & Risk Management	FAS	Vacant	Two
4	Strategic Advisor 1, Gen Gov't	Office for Civil Rights	Vacant	One
5	Strategic Advisor 2, Finance, Budget, and Accounting	Office of Emergency Management	Vacant	One
6	Manager 2, Engineering and Plans Review	Parks and Recreation	Vacant	One
7	Strategic Advisor 1, Gen Gov't	Seattle Department of Human Resources (SDHR)	Vacant	One
8	Accountant, Principal	SDHR	Filled	One
9	Strategic Advisor 1, Information Technology	Seattle Municipal Court	Vacant	Three
10	Executive Assistant, Senior	Seattle Public Utilities	Vacant	One

Under the [City of Seattle \(City\) Charter Article XVI, Section 3](#), the civil service system provides public employees with job protections such as merit-based hiring and promotions, probationary periods of employment, opportunity for employees to correct performance issues, and “for cause” termination (i.e., termination based only on unsatisfactory job performance). Employees exempt from the civil service system do not serve a probationary period and are subject to “at will employment” (i.e., employment that may be terminated at any time for any reason not prohibited by law).

The Charter requires civil service classification for all City employees except for elected officials, heads of departments, specified appointive offices, assistant City Attorneys, members of boards and commissions, and additional positions exempted by legislation approved by two-thirds vote of the Council. In total, about 90 percent of City positions are civil service classified.

Under [Personnel Rule 2.2](#), the SDHR Director may transmit legislation to Council that recommends returning a position to civil service or exempting the position from civil service. Council also has authority to introduce legislation on civil service classification.

B. Amend classification titles

This legislation would amend five classification titles to reflect the transfer of positions from the Seattle Police Department to the Community Safety and Communications Center. See Table 2 for details on the classification titles.

Table 2: Classification titles that would be amended

Former Classification Titles	New Classification Titles ♦ Effective June 1, 2021
Police Comms Dispatcher I	9-1-1 Emergency Comms Dispatcher I
Police Comms Dispatcher II	9-1-1 Emergency Comms Dispatcher II
Police Comms Dispatcher III	9-1-1 Emergency Comms Dispatcher III
Police Comms Dispatcher Supv	9-1-1 Emergency Comms Dispatcher Supv
Police Comms Analyst	9-1-1 Emergency Comms Analyst
Police Comms Dispatcher I	9-1-1 Emergency Comms Dispatcher I

Financial Impacts

There would be no direct costs associated with these employment actions. Any costs that might be associated with an incumbent’s change in civil service status or classification title would be absorbed by the department’s existing budget authority and would not require appropriation of new funds.

Racial Equity Impacts

The City’s commitment to workforce equity includes (1) eliminating institutional and structural barriers impacting employee attraction, selection, participation, and retention and (2) enabling

opportunity for employment success and career growth. Increasing the number of positions with civil service status could support these goals.

The [City's 2021 Workforce Equity Technical Report](#) finds that Black, Indigenous, People of Color (BIPOC) employees, and especially BIPOC women, are underrepresented at the top levels (e.g., supervisors and high wage earners) of City employment when compared to the general population. Increasing the number of positions, especially higher-paying positions, with civil service protections could achieve more equity for BIPOC employees by removing the barriers that create risk and uncertainty for employees seeking career growth. Many of the positions in this legislation that would return to civil service are Strategic Advisor positions. According to SDHR, such positions are often the first type of jobs for employees moving out of step-placement positions and seeking career mobility. Strategic advisor positions that offer job stability and financial security could attract a greater diversity of candidates.

Please contact me if you have questions about this proposed legislation.

cc: Esther Handy, Director
Dan Eder, Deputy Director
Aly Pennucci, Policy and Budget Manager



Legislation Text

File #: Appt 02033, **Version:** 1

Reappointment of David G. Jones as City Auditor, for a term to December 13, 2025.

The Appointment Packet is provided as an attachment.



MEMORANDUM

To: Councilmembers
From: Lorena González, Council President
Date: August 20, 2021
Subject: Reappointment of City Auditor David Jones
CC: Monica Martinez-Simmons, Dan Eder, Lise Kay

It is my intention to nominate David Jones for reappointment as City Auditor. David has served the City very well during his tenure, overseeing numerous performance audits of City departments, programs, grantees and contracts, as well as some non-audit projects. Over the past four years, the Office of City Auditor (OCA) has facilitated and advocated for effective design and rigorous evaluations of City programs in areas including public safety, labor standards, affordable housing, and public health.

The OCA, under David's direction, has also demonstrated national leadership in the incorporation of race and social justice considerations in audit planning and on how to analyze data from an equity perspective. Each of OCA's audits use a modified version of the City's Race and Social Justice Initiative (RSJI) Toolkit to consider RSJI implications during audit planning and fieldwork. Finally, David has supported his staff's professional development, with several individuals completing advanced degrees and others completing certifications and training to add to their subject matter expertise.


Please see David's attached letter of interest and resume for a longer list of his accomplishments and experience.

David's current term expires on December 13, 2021, but the Municipal Code requires the Council to act on the Auditor's reappointment 45 days prior to this date. As Council's annual budget deliberations consume much of the fall schedule, the Governance and Education Committee will consider this reappointment on September 14th with a potential vote. It is anticipated that full Council will consider this reappointment on September 20, 2021.

Please send any questions or concerns to me or to Vy Nguyen (vy.nguyen@seattle.gov) in my office.



City of Seattle Department Head Notice of Appointment

Appointee Name: <i>David G. Jones</i>		
Board/Commission Name: <i>Office of the City Auditor</i>		Position Title: <i>City Auditor</i>
<input type="checkbox"/> Appointment OR <input checked="" type="checkbox"/> Reappointment	City Council Confirmation required? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
Appointing Authority: <input checked="" type="checkbox"/> City Council <input type="checkbox"/> Mayor <input type="checkbox"/> Other: <i>Fill in appointing authority</i>	Term of Position: * 12/14/2021 to 12/13/2025 <input type="checkbox"/> <i>Serving remaining term of a vacant position</i>	
Legislated Authority: <i>Ordinance 122180</i>	Zip Code:	Contact Phone No.:
Background: <i>David G. Jones has worked for 36 years as a government performance auditor and for 31 years as a supervisor or manager of auditors. He has performed and supervised all aspects of the audit process, including planning audits, performing and supervising audit field works and analysis, writing and reviewing draft reports, and make presentations to the City Council and the public. He was first appointed to a four-year term as Seattle City Auditor in 2009, and reappointed in 2013 and 2017. In his most recent term, David G. Jones oversaw and led audits mandated by ordinance and requested by Council on some of the most complex issues facing the City and will continue to lead the City Auditor's Office through the COVID-19 pandemic.</i>		
Authorizing Signature (original signature): 	Appointing Signatory: <i>M. Lorena González</i> <i>Seattle City Council, President</i>	
Date Signed (appointed): <i>8/20/21</i>		

*Term begin and end date is fixed and tied to the position and not the appointment date.



CITY OF SEATTLE ▪ STATE OF WASHINGTON
OATH OF OFFICE

State of Washington

County of King

I, David G. Jones, swear or affirm that I possess all of the qualifications prescribed in the Seattle City Charter and the Seattle Municipal Code for the position of the City Auditor of the Office of City Auditor; that I will support the Constitution of the United States, the Constitution of the State of Washington, and the Charter and Ordinances of The City of Seattle; and that I will faithfully conduct myself as the City Auditor of the Office of City Auditor.

David G. Jones

Subscribed and sworn to before me

this ____ day of _____, 2021.

[Seal]

Monica Martinez Simmons, City Clerk

David G. Jones, CGFM, CIA, CISA

davidg.jones@seattle.gov

(206) 233-1095 (work)

PROFESSIONAL EXPERIENCE

City Auditor, Office of City Auditor, Seattle, Washington, December 2009 – Present.

- Appointed by the Seattle City Council to a four-year term in December 2009 after a national search and reappointed in September 2013 to a second term and in October 2017 to a third term. Responsible for directing and prioritizing all audit activities; developing the office work plan and annual budget; hiring, evaluating, and assigning staff; ensuring quality and relevant work products to meet requesters' needs; maintaining compliance with Government Auditing Standards including successfully passing an independent peer review by the Association of Local Government Auditors (ALGA); making presentations to Seattle City Councilmembers; and responding to inquiries from the public and media. Expanded the office's use of data mining software, statistical analysis, information security reviews, program evaluations, and work with consultants. Served as Acting City Auditor from April 2009 to December 2009.

Deputy City Auditor, Office of City Auditor, Seattle, Washington, January 1998 – March 2009.

- Assisted the City Auditor with the supervision of the seven assistant auditors, administrative staff, consultants, and interns. Responsible for performing quality assurance reviews of draft reports; making presentations to councilmembers, professional associations, and citizen groups; assisting with development of the office work plan, annual report, and budget materials; writing performance evaluations of office staff; developing and updating the office's policies and procedures; participating in hiring and personnel activities; overseeing work related to internal control and information technology; and coordinating and preparing for external peer reviews.

Supervisory Auditor, Office of City Auditor, Seattle, Washington, April 1996 – December 1997.

- Served as the lead auditor of four published audit products. Responsible for supervising audit staff, participating in hiring and personnel activities, and making presentations to the City Council on my reports. Assisted with development of the office work plan. Implemented the office's use of the Control Self-Assessment (CSA) audit technique.

Supervisory Auditor, U.S. General Accounting Office (GAO), Washington, D.C., October 1990 – April 1996.

- Planned and supervised the completion of four audit projects of sensitive U.S. government programs and contributed to the congressional testimony on a fifth program. Two of these audits were cited for their significance and quality in the U.S. Comptroller General's annual reports for 1994 and 1995.

Staff Auditor, U.S. General Accounting Office (GAO), Washington, D.C. and Panama City, Republic of Panama, August 1985 – September 1990.

- Performed audit research and drafted reports, including drafting a report on a \$17.7 million children's health program. Made significant contributions to ten other audits on topics ranging from information management systems to the effectiveness of U.S. narcotics enforcement programs. Earned the Outstanding Achievement Award for contributions to studies that

prompted improvements in the Interstate Commerce Commission's enforcement program and identified \$1.4 billion in reductions to the U.S. Navy's 1987 ship building budget.

EDUCATION

Master of Public Policy – John F. Kennedy School of Government, Harvard University, Cambridge, Massachusetts, June 1985.

Bachelor of Arts (History) – Haverford College, Haverford, Pennsylvania, May 1978.

AWARDS

Association of Local Government Auditors (ALGA) 2015 Knighton Distinguished Award for Report by Medium Size Audit Office

Manager for March 18, 2015, report: *Audit of the Seattle Police Department's Public Disclosure Process*

Association of Local Government Auditors (ALGA) 2014 Knighton Exemplary Award for Report by Medium Size Audit Office

Manager for October 17, 2014, report: *Seattle's Paid Sick and Safe Time Ordinance Enforcement Audit*

Association of Local Government Auditors (ALGA) 2010 Knighton Bronze Award for Report by Medium Size Audit Office

Supervisor for July 28, 2010, report: *Anti-Graffiti Efforts: Best Practices and Recommendations*

Association of Local Government Auditors (ALGA) 2007 Knighton Silver Award for Report by Medium Size Audit Office

Supervisor for August 6, 2007, report: *Seattle Indigent Public Defense Services*

Distinguished Faculty Member of Institute of Internal Auditors (IIA) Seminars Program

Named Distinguished Faculty Member in January 2001 for high level of performance in teaching courses on audit report writing, risk assessment, control self-assessment, interviewing techniques, and skills for new supervisory auditors.

GAO Exceptional Performance Bonus Awards, December 1993 and January 1995

For role as Auditor-in-Charge on major reports on the U.S-Israel Arrow missile program and the U.S-Japan FS-X aircraft program.

GAO Assistant Comptroller General Exceptional Performance Commendation, April 1992

For quickly providing the Senate Foreign Relations Committee with information needed for deliberations on military assistance to El Salvador.

GAO Assistant Comptroller General Letters of Commendation, May 1990

For contributions in 1989 and 1990 to reviews of Central American refugees and U.S. programs in Belize under extremely short time frames and stressful conditions.

U.S State Department Superior Honor Award, June 1988

For sustained superior performance with GAO's Latin America office throughout the June 1987 to June 1988 political and economic crisis in the Republic of Panama.

Letters of Commendation, January 1987

From Congressman Bill Chappell and the U.S. Comptroller General for significant assistance provided to the congressional review of the Department of Navy's fiscal year 1987 budget request.

GAO Washington Regional Office Outstanding Achievement Award, October 1986

For outstanding performance during audits of the Interstate Commerce Commission and the U.S. Navy.

ADDITIONAL EXPERIENCE

Certifications:

- Certified Internal Auditor (CIA) from the Institute of Internal Auditors (IIA)
- Certified Government Financial Manager (CGFM) from the Association of Government Accountants (AGA)
- Certified Information Systems Auditor (CISA) from the Information Systems and Control Association (ISACA)

Memberships:

- From 2015-2019, served as chair of the Association of Local Government Auditors (ALGA) Advocacy Committee, which advocates for the establishment and support of local government auditing.
- Former member of the National Association of Local Government Auditors (NALGA) Peer Review Committee and leader of three NALGA peer review teams (reviewed operations of audit offices in Multnomah County, Oregon; Stockton, California; and Austin, Texas). At the request of the King County Auditor, headed the team that performed the peer review of her office in December 2004.
- Member of 2005 King County Auditor Reappointment Committee.

Presentations (invited to speak on audit-related topics):

- Pacific Northwest Intergovernmental Audit Forum
- American Society for Public Administration
- OLGA (a Scandinavian local government auditors association)
- Washington State Finance Officers Association
- Washington Society of Certified Public Accountants
- Washington State Local Government Auditors Association
- Multnomah County Auditor's Office
- University of Washington's Daniel J. Evans School of Public Affairs
- Seattle University's Institute of Public Service
- News Media Internal Audit Association
- Seattle Management Association
- City of Seattle Administrative Forum
- Puget Sound Chapter of the Institute of Internal Auditors



City of Seattle
Office of City Auditor

August 6, 2021

Seattle City Council President Lorena González
600 Fourth Avenue, 2nd Floor
Seattle, Washington 98124

Dear Council President González,

I am writing to convey my interest in serving another term as the City Council-appointed Seattle City Auditor as my current appointment will expire in December of this year. I am seeking this reappointment because I would like to continue promoting equitable, effective, and efficient City programs, and to lead the Office of City Auditor through the changes occurring in Seattle due to the COVID-19 pandemic. I am proud of the independent, objective, and significant work that my office has done during my tenure.

As you will see in my attached resume, I have the educational background and work experience required for reappointment. I have worked successfully for 36 years as a government performance auditor and for 31 years as a supervisor or manager of auditors. I have performed or supervised all aspects of the audit process, including planning audits, performing, and supervising audit fieldwork and analysis, writing reports and reviewing them, and making presentations to the City Council and the public.

I believe the accomplishments of our office during the past four years support my reappointment. The following summary describes some of these accomplishments:

Effectively Responding to City Council Requests and Interests

- Focus on Ordinance Mandated and Council-Requested Audits: In accordance with Seattle Municipal Code 3.40.020, during the past four years, we have prioritized completing audits mandated by ordinances approved by the City Council or requested by City Councilmembers. This work included audits of the effectiveness of the [City's Navigation Team in dealing with unsheltered individuals](#), the [City's handling of Hate Crimes](#), the [City's financial condition based on selected financial and economic indicators](#), the [Seattle Police Department's staffing of special events](#), the [Seattle Fire Department's special events cost recovery efforts](#), the [Seattle Department of Transportation's use of surveillance technologies](#), [Seattle City Light's billing and customer care practices](#), the [City's enforcement of the Minimum Wage Ordinance](#), the [operations of the Seattle Municipal Court's Court Resource Center](#), and the [City's bridge maintenance program](#). These audits have provided the Council with many recommendations for improving City programs and have identified efficiencies and potential additional revenues. For example, in our audit of the Seattle Fire Department's special events efforts we estimated that the department in 2018 could have billed for at least \$180,000 in planning and administrative

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costs and in the [2019 audit we performed with Seattle Public Utilities on New Taps billings](#) identified \$169,233 in billings that were not made that should have been.

- **Relevant Ongoing and Future Work:** Most of our ongoing and planned future work has been mandated by ordinance or requested by Councilmembers. Our ongoing work includes audits of the Seattle Municipal Court’s probation program, the implementation of [Ordinance 125873](#) concerning Notices of Intent to Sell Low-Income Housing, the Seattle Department of Transportation’s sidewalks maintenance efforts, the procurement of Seattle Police Department patrol vehicles, the City’s management of federal emergency COVID funds, and the Human Services Department’s work to support the community-based organizations that have received Community Safety awards. In the future, we are required by the Surveillance Technologies Ordinance to complete reviews by September 2022 of three Seattle City Light technologies and one Seattle Fire Department technology and follow-up on two Seattle Department of Transportation technologies that we previously reviewed.
- **Persistent Follow-Up on Audit Recommendations:** In response to Council requests for information about the status of the implementation of our audit recommendations, in 2010 we began issuing annual reports on the implementation status of all our audit recommendations. This is important because it provides transparency about the effectiveness of our office’s work and helps encourage departments to implement the recommendations in a timely manner. Our annual audit recommendation follow-up reports have shown that since 2007, about 70% of our recommendations have been implemented by departments. To help make it easier for anyone to obtain information about the status of our recommendations, we recently placed an interactive recommendation status [dashboard](#) on our office’s website.
- **Non-Audit Reports on Topics of Interest to the Council:** During the past four years, we have also completed several non-audit projects to provide information to Councilmembers. For example, we issued a 2019 report mandated by [Ordinance 125620](#) on firearms-related hospitalizations and deaths in Seattle for the overall population and among youth, and guns reported to or recorded by the Seattle Police Department as stolen in Seattle. We also produced a [2020 report](#) on our review of loss of assets reports filed by the Information Technology Department to ensure that the department had adequate controls in place to track its equipment.
- **Work on Other Topics of Interest to the Council:** Although most of our work is in response to Council approved ordinances or requests from Councilmembers, we also try to respond to requests from other parties that are aligned with Council interests and priorities. For example, in December 2020, in response to a request from the Core Team of the Rainier Beach: A Beautiful Safe Place for Youth program, we identified and reviewed studies to develop an [annotated bibliography](#) on community-led strategies to address gentrification.

Focusing on High-Risk Areas

- **Homelessness and Encampments:** In 2020, we completed two reports concerning homelessness. First, in response to Seattle City Council President Lorena González’s request, we reviewed [Human Service Department’s \(HSD\) management of the City’s homeless services contracts](#). The report included 18 recommendations for improving HSD’s management of homeless services contracts, homeless policy and program design, and service provider performance and contract compliance. In response to one of our recommendations, HSD developed a proposed timeline for executing contracts that would address the problem of untimely payments to service

providers and has taken steps to improve contract monitoring. Our [second 2020 homelessness report](#) was completed as part of our November 2017 Navigation Team Reporting Plan requested by City Councilmember Lisa Herbold. We identified a strategic approach that includes five steps that the City of Seattle could take to help reduce or prevent unsanctioned encampment trash from accumulating, and to track whether encampment trash accumulation was increasing or decreasing. We offered five recommendations associated with these steps that recognized that the complex issues surrounding unsheltered homelessness require a systematic, coordinated, multi-pronged response, and we hope the report's recommendations will help inform the City's future approaches to homelessness.

- **Surveillance Technologies:** We completed the first two usage reviews of City surveillance technologies required by the City's Surveillance Technologies [Ordinance 125376](#). The reports on SDOT's [License Plate Readers](#) and [Closed-Circuit Television Traffic Cameras](#) contained a total of 28 recommendations.
- **Utility Audits:** After an over \$1 million fraud occurred in 2011 at Seattle Public Utilities (SPU), the Council authorized a position in our office dedicated to utility audits. Since 2011, we have had ongoing audits of SPU and Seattle City Light (SCL), focusing on high-risk utility revenue streams and customer service. The recommendations from these reports are intended to ensure that SPU and SCL collect and deposit the appropriate amounts of customer payments, take reasonable steps to protect City assets and prevent fraud, and provide good customer service. During the past four years, we have issued audit reports on [SPU wholesale water sales](#), [SPU New Taps billing and controls](#), [SCL billing for utility pole attachments and replacements](#), and one on [SCL's customer care and billing practices](#) requested by Councilmember Mosqueda in response to customer concerns about unexpected high bills. In these reports, we made a total of 50 recommendations for improvements. We are currently conducting a review of SPU's residential solid waste billing process.
- **Assist the Office of Inspector General (OIG):** In instances in which the Office of Police Accountability (OPA) staff have a conflict of interest in investigating alleged police officer misconduct, the Office of Inspector General (OIG) assumes responsibility for conducting the investigation. In such cases, our office conducts the quality assurance certification review of the investigation that is normally performed by OIG on OPA's work. To date we have conducted five of these reviews.

Supporting Evidence-Based Practices and Program Evaluation

- **Work in Four Council Priority Areas:** In response to direction from the City Council, our office has continued during the past four years to facilitate and be an advocate for effective design and rigorous evaluations of City programs. We have conducted such work in four areas that are Council priorities: Public Safety, Labor Standards, Affordable Housing, and Public Health.
- **Public Safety Through Non-Arrest Approaches to Reducing Youth Violence:** Our work in this area was an outgrowth of our Council-requested work on crime hot spots and the Seattle Youth Violence Prevention Initiative. Since 2012, we have been providing technical assistance for the implementation and evaluation of two public safety projects in Rainier Beach. First, we continue to provide technical assistance in the implementation and evaluation of [Rainier Beach: A Beautiful Safe Place for Youth \(ABSPY\)](#), a community-led, place-based approach to reducing youth victimization and crime in the Rainier Beach neighborhood. ABSPY focuses on five

“hotspots” in the Rainier Beach neighborhood where crime has been highly concentrated. Second, our office continues to serve as co-research lead and grant coordinator with George Mason University’s Center for Evidence-Based Crime Policy, the Seattle Public Schools, and several community partners on a five-year \$3.8 million research grant funded by the U.S. Department of Justice, National Institute of Justice. This grant is intended to reduce school discipline, youth crime, victimization, and youth exposure to the criminal legal system in Rainier Beach through non-punitive approaches. The initiative combines the application of Positive Behavioral Interventions and Supports (PBIS) and Restorative Practices (RP) in schools and community settings. These public health-oriented, evidence-informed strategies focus on transforming adult-run systems and institutions while providing youth with multi-tiered systems of support. Decades of rigorous research and practice have found PBIS to be an effective framework for helping schools serve as effective learning environments, reducing suspensions and discipline referrals, and improving students’ social and academic performance, attendance, perception of safety, and organizational health of schools. RP have been found to be generally effective in reducing recidivism, improving school climate, student connectedness and academic achievement. The project in Rainier Beach, is the first in the country to expand the use of PBIS from schools to community settings including the community center, library, public spaces, and local businesses and involves an assessment of whether the integration of PBIS and RP frameworks can improve school climate and overall rates of youth crime and community safety.

- Labor Standards Work on Secure Scheduling: As required by the [Secure Scheduling Ordinance](#), which made Seattle the second U.S. city to establish guidelines to promote predictable employee scheduling and incomes, our office convened and is managing a team of academic researchers with expertise in employee scheduling to analyze the legislation’s impacts. The research team’s members are from the University of Chicago, University of California Berkeley, Rutgers University, and the University of Washington’s West Coast Poverty Center. To date the team has published three reports: a [2018 report](#) on baseline conditions, a [2019 report](#) on the ordinance’s effects on workers and employers after the first year of implementation, and a [2021 report](#) on the law’s impact on workers two years after the law’s passage. The final report on the impact of the ordinance on employers two years after the ordinance’s passage is scheduled for issuance in 2021.
- Affordable Rental Housing Evaluation: In response to legislation passed by the Council concerning affordable housing, our office selected and oversaw the work of University of Washington researchers to gather critical baseline data on rental housing conditions and cost. [Their report](#), which was published in July 2018, provided insights into tenant and landlord experiences, particularly related to new City laws, and data on the Seattle rental market (e.g., rental rates). This study focused on the experiences of renters and landlords operating in the Seattle market as well as the distribution, condition, cost and change in rental housing in the Seattle area from August 2017 through April 2018. It provides valuable information about Seattle’s rental housing market that can be used as the basis for future evaluations.
- Public Health and Economic Effects of the Sweetened Beverage Tax: Ordinance 125324 passed by the Seattle City Council in June 2017, required the City Auditor to contract with academic researchers to conduct a multi-year evaluation of the behavioral, health, and economic impacts of the Sweetened Beverage Tax, including one requested by several Councilmembers on food deserts in Seattle and an assessment of Seattle's food bank network. We contracted with Public Health - Seattle and King County (Public Health) to lead the evaluations. Public Health

contracted with the University of Washington and Seattle Children's Research Institute to help it conduct the evaluations. This work, since 2017, has been funded by Sweetened Beverage Tax revenues of \$500K annually and is funded through 2021. The [first report](#) was published in 2018 and provided baseline information on conditions before the implementation of the tax in Seattle. The [second report](#) released in January 2019 provided information collected by the research team on the prices of taxed and nontaxed beverages before the tax took effect and six months after the start of the tax. The [third report](#), issued in February 2019, was on healthy food availability and Seattle's food bank network. The [fourth report](#), issued in 2020, summarizes findings from data collected 12 months after implementation of the tax on the price of beverages in stores and the beverage consumption of a cohort of lower-income children and parents living in Seattle and the South King County area. The next report is scheduled to be published in 2021 on conditions 24 months after the Tax's implementation.

Advancing Professionalism and Analytical Capabilities

- Another Successful External Peer Review: In November 2017, our office underwent and passed its [third external peer review](#) of our compliance with the U.S. Comptroller General's rigorous Government Auditing Standards, which was conducted by a team of outside auditors selected by the Association of Local Government Auditors (ALGA). Our office will undergo another ALGA peer review in late 2021.
- Awards for Office Reports: During my third term as City Auditor, our office won two more ALGA Knighton Awards for the quality and impact of our audit reports: our [April 2017 report](#) "Audit of Seattle's Incentive Zoning for Affordable Housing" and our [September 2020 report](#) "Seattle Department of Transportation: Strategic Approach to Vehicle Bridge Maintenance is Warranted."
- Professional Development: Our staff members have continued to further their professional development. In 2020, Claudia Gross Shader earned a PhD in Criminology from Hebrew University and Melissa Alderson earned an Executive Master's in Public Administration from the University of Washington. In 2021, IB Osuntoki earned a Master's in Public Health from the University of Washington. We have also continued to encourage and support our staff in earning certifications that demonstrate their knowledge of topics that make them better performance auditors. In 2018, Jane Dunkel and Melissa Alderson earned Certified Government Auditing Professional certifications from the Institute of Internal Auditors and in 2019 Marc Stepper became a Certified Information Systems Auditor. I was also pleased that some of our staff learned how to use the Power BI software that enabled Sean DeBlieck to create an interactive dashboard for our audit recommendation database.
- Commitment to RSJI and DEI: As City Auditor, I created a working environment in which our office's staff know that we support the City's Race and Social Justice Initiative (RSJI) and value diversity, equity, and inclusion (DEI) in all aspects of our work. Furthermore, I have encouraged members of our office to do the work necessary to ensure that DEI figures prominently in the local government auditing community. As a result:
 1. For each of our audits we use a modified version of the City's Race and Social Justice Initiative (RSJI) Toolkit to consider the RSJI implications of our work during audit planning and fieldwork. We updated this tool to include asking City departments that we audit if they had completed an RSJI Toolkit on the issues included in the audit scope, thereby holding

them accountable for this work, and asking our auditors to perform and document outreach to stakeholders, and to develop more inclusive and diverse lists for distributions of our reports. Our tool has been adopted by other local government audit offices. During the past four years, we have used this tool on 23 audits.

2. During the past four years, our office has had a representative on the Legislative Department's RSJI Change Team.
3. We encourage staff to take a minimum amount of training annually on RSJI issues and we track the hours they earn each year on such training. I have also empowered staff to form small groups to study and discuss RSJI issues.
4. Members of our office contributed to the auditing profession's use and knowledge of RSJI principles through our participation in the Association of Local Government Auditors (ALGA). Virginia Garcia of our office served as chair of ALGA's newly formed Diversity, Equity, and Inclusion (DEI) Committee. The committee, under her leadership, influenced local government auditors nationally by encouraging the use of the RSJI toolkit in audit planning, providing training on how to analyze data from an equity perspective, highlighting these issues at conferences, working successfully to have a DEI Board Officer position added to the ALGA Board of Directors and to have DEI included in ALGA's vision, mission, and strategic plan.
5. Our office also worked with ALGA to submit materials and lobby successfully to have the U.S. Government Accountability Office reinstate equity in the [Government Auditing Standards](#) as a relevant issue to audit. This will have far reaching impacts on the field of auditing, as most local, state, and federal auditors in the U.S. follow these standards.

I would relish the opportunity to continue to work with my colleagues on addressing ongoing areas of risk facing the City of Seattle.

Thank you for considering my request for reappointment to the position of Seattle City Auditor.

Sincerely,

A handwritten signature in black ink that reads "David G. Jones". The signature is written in a cursive, slightly slanted style.

David G. Jones
City Auditor
Attachment:

8_06_21 DavidGJones_Resume

City Auditor Reappointment

Questions for David Jones

Please return by 9/8/2021

1. Please tell us about your progress on the following goals set by Council with the Office of the City Auditor (OCA):
 - Be a champion for effective program design and evaluations with City government, including partnering with departments early on to establish programs in a way that measuring effectiveness is possible;

Toward these goals we're managing ongoing evaluations, have published reports and are currently working on projects concerning program design and evaluation topics. In some cases, we have been able to partner with Executive branch departments and in other instances this did not occur.

Since 2017, as required by ordinance, our office is overseeing multi-year evaluations by research teams of the Sweetened Beverage Tax and the Secure Scheduling Ordinance.

On June 6, 2017, the Seattle City Council passed Ordinance 125324 imposing a tax on engaging in the business of distributing sugar-sweetened beverages in Seattle. The ordinance required our office to oversee a five-year evaluation that assesses the impact of the tax on 1) economic outcomes (such as household food expenditures, beverage prices and sales, jobs, and store revenues) and 2) health behaviors (such as dietary purchases and consumption), 3) intermediate health outcomes, and 4) identification and assessment of food deserts in the city, and 5) the effectiveness and efficiency of the foodbank network in Seattle. The evaluation is also assessing the process of implementing the tax, including perceptions of Seattle residents and specifically low-income households, food retailers, tax administrators, and City of Seattle officials. The Seattle research team that we contracted with includes Public Health– Seattle & King County, the University of Washington, and Seattle Children's Research Institute. Our office has overseen five of these evaluation reports since 2017. Noteworthy findings two years after the tax include that Seattle residents with lower incomes had increasingly negative perceptions of the healthfulness of sugary beverages, with larger numbers believing that sugary beverages increase risk for chronic diseases.

On July 1, 2017, the Seattle City Council passed Ordinance 125135, creating one of the nation's first laws mandating schedule predictability for a subset of workers. The Secure Scheduling Ordinance (SSO) covers hourly workers at retail and food service establishments with 500 or more employees worldwide and at full-service restaurants with at least 500 employees and at least 40 locations worldwide. As mandated by the Ordinance, our office engaged a team of researchers with expertise in working conditions

to conduct an evaluation of the law's impacts in the first and second years of its implementation. The evaluation consists of two complementary parts: a Worker Impact Study that evaluates the impacts of the ordinance on the work schedules reported by covered workers, and an Employer Implementation Study that examines the implementation of the SSO as reported by frontline managers responsible for scheduling workers in covered worksites. Our office has overseen three SSO evaluation reports since 2017. Noteworthy findings two years after the law went into effect include that the SSO continued to have positive effects on workers' schedule predictability. In addition, the evaluation found that the SSO led to increases in job satisfaction and workers' overall well-being and financial security. In particular, the evaluation found that SSO had the following impacts for Seattle workers: increased work schedule stability and predictability; increased job satisfaction and satisfaction with work schedules; increased overall happiness and sleep quality; and reduced material hardship.

Our office has tried to partner with City departments early on to establish programs in a way that measuring effectiveness is possible.

Since 2013, we have been engaged in a long-term partnership with community-based organizations, City departments, and Seattle Public Schools to implement and rigorously evaluate a community-led program to address youth victimization and crime at five locations in Rainier Beach. In 2016, at request of CM Burgess, we issued a [report](#) on ten considerations for conducting a rigorous evaluation of a pilot Implementation of an Acoustic Gunshot Locator System, when the City was considering deploying such a system, to help ensure that it produced the desired outcomes for Seattle. The report summarized the current literature on acoustic gunshot locator systems and the essential factors for conducting an evaluation of them. In 2017, we produced a report after the passage of [Ordinance 125315](#), which established a new police oversight structure for Seattle, that provided information to the City Council about the issues involved in evaluating the new police oversight system. We produced another [report](#) in 2017, at the request of Councilmember (CM) Herbold, that provided a reporting plan to enable the City Council to evaluate the effectiveness of the Navigation Team's efforts to address unsheltered people living in Seattle. At the time the report was released, the Executive agreed with the plan, but ultimately did not implement the recommendations we made in this report and subsequent ones we issued on the Navigation Team.

Currently, at the request of CMs Lewis and Herbold, we are working on a report that will help the City design a data-dashboard to better understand whether City-funded programs to address issues related to unsanctioned encampments are having a positive effect in three domains (i.e., lived experience, public health, system performance). Also, at the request of CM Herbold, we are working with the Human Services Department to ensure that its new investments in community safety are informed by the best available research evidence and are well-positioned to measure their effectiveness.

- Stand firm as the City’s primary process and accountability watchdog, independent from the executive branch;

As City Auditor, to ensure that our office follows rigorous federal audit standards for independence from the Executive branch, I have had our office undergo thorough independent external reviews by the Association of Local Government Auditors (ALGA). The peer review reports opine on our office’s adherence to the U.S. Government Accountability Office’s Government Auditing Standards, which includes an assessment of our office’s independence and the quality of our audits. Since I became City Auditor in 2009, our office has successfully passed [three ALGA peer reviews](#) (2011, 2014, 2017) that attest to our office’s independence and the quality of our audits.

The best evidence of our independence and focus on accountability can be found in our reports that contain numerous conclusions and recommendations for improving Executive branch programs. Between 2007 and 2020, 69 percent of the 788 recommendations we made have been implemented to accomplish things such as more effective and efficient City programs, enhanced protection of City assets, better information for City decision makers, decreased costs, and increased revenues. Since I became City Auditor in 2009, our office has produced a report each year that contains the implementation status of our report recommendations and documents our success in enhancing the accountability of City government.

- Continue to proactively commence audits on topics you deem to be important to the City; and

Every year, we produce at least one self-initiated report that our office deems to be of importance to the City. Our annual recommendation follow-up reports were initiated by our office, and we have initiated and conducted several audits of the utilities’ billing processes (e.g., a 2016 report on [Seattle City Light Billable Services](#), a 2018 report on [Seattle Public Utilities Wholesale Water Sales](#), a 2019 report on [Seattle Public Utilities New Taps Billing and Controls Review](#), a 2020 report on [Seattle City Light’s Billable Pole Attachments and Pole Replacements Audit](#)). Furthermore, we are currently working on a self-initiated audit of Seattle Public Utilities Residential Solid Waste program that we expect to complete this year. We also initiated and completed a [2020 report](#) on our review of loss of assets reports filed by the Information Technology Department to ensure that the department had adequate controls in place to track its equipment. In December 2020, in response to a request from the Core Team of the Rainier Beach: A Beautiful Safe Place for Youth program, we identified and reviewed studies to develop an [annotated bibliography](#) on community-led strategies to address gentrification.

- Improve the consistency of report formatting and branding.

To address the consistency and branding of Office of City Auditor documents, we created new report and presentation templates and a resource guide that defines and describes our office's publication standards. These standards include style, formatting, font, and standard colors. Our reports, presentations, publications, memos, etc. are also reviewed by a designated team member to check for consistency and formatting before publication.

2. Do you have any suggestions for improving how Council and OCA work together?

I believe our office has had good relations with the Council. One element that is particularly beneficial is the Council practice of consulting with our office before it passes an ordinance or Statement of Legislative Intent (SLI) that specifies that our office should do certain work. This allows us to allocate resources appropriately and keep our portfolio of projects on schedule.

I also appreciate the City Council's understanding of the need for our office, while prioritizing work requested by Council, to conduct its work independently by allowing the City Auditor to decide on what work the office should perform and how it performs its work.

3. Are there any goals you would like OCA to focus on during a subsequent term as City Auditor?

First, I would like to continue our legacy of providing timely and accurate reports containing useful recommendations for improvements in City programs to the City Council and other City decision makers and the public. Second, I would also to continue to produce reports that focus on equity as well as the traditional audit topics of effectiveness and efficiency. Third, I want to have a smooth transition to successfully replace the long-serving auditors who have and will retire from our office. Fourth, I want to continue to further strengthen our office's ability to perform complex quantitative analyses and to efficiently audit information technology issues.

4. What do you see as the primary challenges facing OCA in the next four years?

I foresee two primary challenges facing the Office of City Auditor in the next four years. One of the challenges will be balancing our workload with the additional demand generated by the [Surveillance Technology Ordinance](#) that requires our office to review non-police technologies. In 2022, we not only have to perform initial reviews of four surveillance technologies (i.e., Seattle Fire Department Computer-Aided Dispatch, three Seattle City Light diversion technologies) but the ordinance also requires us to conduct annual reviews of the technologies that we have previously reviewed, which to date are Seattle Department of Transportation License Plate Readers and Traffic Cameras. This means by September 2022 we will have to complete reports on six surveillance technologies. Furthermore, reports on two more technologies (i.e., Seattle Fire Department Emergency Scene Cameras and Hazmat Cameras) will be due in September 2022 if

Council approves, before the end of 2021, these technologies' Surveillance Impact Reports. Under either scenario, we will have to dedicate a substantial portion of our staff to this line of work leaving us with little staff time to audit other City issues and programs.

A second significant challenge will be dealing with the retirements of some of our most experienced auditors. I address how I plan to meet this challenge in my response below to Question #15.

5. Do you believe your budget appropriation is sufficient? Staffing adequate?

Our office will always strive to be as productive as it can with whatever resources we receive. Nevertheless, I believe the City would benefit from the addition of more staff to our office. An increase in our staff count would allow us to better manage the workload imposed by the Surveillance Technologies Ordinance while also continuing to be responsive to Council requests, legal mandates, and unanticipated issues (e.g., the shutdown in 2021 of the upper West Seattle Bridge that led to a Council request for our audit of the City's bridge maintenance program). Also, given our current budget for staffing and consultants, we have been able to do only a limited amount of proactive self-initiated work to focus on issues and risks that our office believes warrant audits. Furthermore, given the retirements of several of our most experienced staff who could conduct complex performance audits by themselves, we will likely need to work more in teams and provide an increased level of supervision to new staff, which means that more staff will be needed.

6. Given the growth of the City and expanding legal mandates, does the Office of the City Auditor (OCA) have sufficient capacity and funding to manage its workload?

See answer to number 5.

7. How do you integrate racial and social justice concerns into your work?

For each of our audits we use a modified version of the City's Race and Social Justice Initiative (RSJI) Toolkit to consider the RSJI implications of our work during audit planning and fieldwork. We updated this tool to include asking City departments that we audit if they had completed an RSJI Toolkit on the issues included in the audit scope, thereby holding them accountable for this work, and asking our auditors to perform and document outreach to stakeholders, and to develop more inclusive and diverse lists for distributions of our reports. Our tool has been adopted by other local government audit offices. During the past four years, we have used this tool on 23 audits.

To help ensure that our office's staff improves its knowledge of RSJI so that they are better able to incorporate it into their work, we encourage our staff to take a minimum amount of training

annually on RSJI issues and we track the hours they earn each year on such training. I have also empowered staff to form small groups to study and discuss RSJI issues.

Members of our office contributed to the auditing profession's use and knowledge of RSJI principles through our participation in the Association of Local Government Auditors (ALGA). Virginia Garcia of our office served as chair of ALGA's newly formed Diversity, Equity, and Inclusion (DEI) Committee. The committee, under her leadership, influenced local government auditors nationally by encouraging the use of the RSJI toolkit in audit planning, providing training on how to analyze data from an equity perspective, highlighting these issues at conferences, working successfully to have a DEI Board Officer position added to the ALGA Board of Directors and to have DEI included in ALGA's vision, mission, and strategic plan.

Finally, our office has worked with ALGA to submit materials and lobby successfully to have the U.S. Government Accountability Office reinstate equity in the [Government Auditing Standards](#) as a relevant issue to audit. This will have far reaching impacts on the field of auditing, as most local, state, and federal auditors in the U.S. follow these standards.

8. Is there any area of the City's government that OCA does not currently audit that you would like to see OCA take on in the future?

There are areas of City government that our office has not audited or has not audited in recent years that could benefit from future audits. These include:

- City departments' performance in meeting environmental goals
- City departments' adherence to Race and Social Justice Initiative (RSJI) Executive Orders and [Resolution 31164](#) concerning RSJI
- Emergency management and continuity of operations
- Utility affordability programs
- City wide human resource functions
- Purchasing functions
- Developer compliance with City requirements in exchange for benefits
- Code enforcement
- Permitting
- Non-Police overtime
- Equity in City justice systems
- Public disclosure
- Contract management
- Capital facilities inspections
- Administration of City healthcare plans
- City built infrastructure maintenance
- Community Centers
- Infrastructure security

9. Do you or your staff ever experience interference or obstruction while doing your work?

During the last four years, we have not experienced any significant instances of interference or obstruction of our work. However, our information requests and requests for reviews of draft reports are often competing with other Executive staff priorities, which has in some cases thrown us off schedule by delaying the completion of some of our projects and delaying the initiation of new audits.

10. Given the increasing significance of technology issues for the City, including cybersecurity and surveillance, has the OCA developed specialized in-house expertise in technology audits and/or program evaluation?

Yes. The Office of City Auditor has developed in-house expertise with information technology (IT) audits and evaluations. Two of our staff are Certified Information Systems Auditors (CISA) and two are Certified Internal Auditors (CIA). Both certifications require knowledge of controls over IT, an understanding of cybersecurity risks, and familiarity with cybersecurity frameworks and standards. Our office supports and encourages staff to enhance their ability to conduct IT audits through ongoing training. Additionally, as we plan for new staff, one criterion we will be looking for is experience with and/or knowledge of IT auditing.

11. Are there other emerging areas where OCA will need to retain outside consultants or build in-house expertise?

At this point, aside from cybersecurity and surveillance technologies issues, we are not currently aware of any emerging areas in which we are certain that we will need outside consultants or to build further in-house expertise. However, we know, based on experience, that it would be helpful for our office to have discretionary funding to hire consulting help when the need arises. Cuts to our budget in recent years have made this impossible. In the past, we used office funds to hire consultants to perform security assessments of City information technology systems, which led to recommendations to better protect these systems. We also hired a highly skilled quantitative analyst to review King County data in our 2011 audit of the City's wastewater, which led to a valuable audit finding.

12. Is OCA coordinating with the Office of Inspector General in approaching issues of common interest, such as audit protocols and/or reports and the annual surveillance technology usage reports?

Yes, we have coordinated with the Office of Inspector General (OIG) on several issues of common interest. First, we have kept the OIG informed about any new work that we are starting that concerns the Seattle Police Department (SPD) or public safety issues. For example, we notified OIG early on about the audit Councilmember Lewis asked us to perform on the SPD patrol car fleet. Second, we have kept OIG informed about our work following up on recommendations from past audit reports that we completed on SPD (e.g., our [2016 report on SPD's management of](#)

[overtime](#)). Third, we have coordinated with OIG on the review of surveillance technologies our two offices are mandated to perform by [Ordinance 125679](#). For example, in 2020, OIG and our office issued joint memos on the status of our [2018](#) and [2019](#) Annual Surveillance Reviews. We also worked with OIG to agree on whose office should perform the reviews of certain public safety surveillance technologies – our office will cover the Seattle Fire Department’s Computer Aided Dispatch System while OIG will perform the reviews of the 911 Logging Recorder and Parking Enforcement Systems. We have been and will be continuing discussions with OIG about agreeing on a common methodology and format for our future reviews of surveillance technologies. Finally, we assist the OIG when Office of Police Accountability (OPA) staff have a conflict of interest in investigating alleged police officer misconduct. In such cases, OIG assumes responsibility for conducting the investigation, and our office conducts the quality assurance certification review of the investigation that is normally performed by OIG on OPA’s work. To date we have conducted five of these reviews.

13. Please describe what you consider to be your major accomplishments during your tenure to date.

This question asks what I consider to be “my” major accomplishments during my tenure as City Auditor. While I have worked very hard and am very proud of my role in the many accomplishments of our office during the past twelve years, I cannot emphasize enough that it has been a team effort involving everyone in the office to make these positive things happen. Given that, here’s a list of some of the accomplishments I am most proud of:

- Since 2007, achieving about a 70% implementation rate for the 788 audit recommendations contained in our reports. These recommendations have led to cost savings, identification of revenues, avoidance of and decreases in the risks faced by City programs, and increased transparency and accountability of City government operations to the Council and public.
- Since I became City Auditor in 2009, our office has won five national [awards](#) from the Association of Local Government Auditors (ALGA) for the quality and impact of our audit reports.
- When I became City Auditor, I decided that our office every three years would undergo independent peer reviews by ALGA to determine whether our office was adhering to the rigorous [Government Auditing Standards](#) issued by the U.S. Comptroller General. We successfully passed [three peer reviews in 2011, 2014, and 2017](#), and will be undergoing another peer review in November.
- I am very proud of how our office produced the same number of products during the past year compared to the previous year despite having to switch to working remotely because of the COVID pandemic.

- Our office produced many reports concerning equity issues and has embraced the principles of the City’s Race and Social Justice Initiative and embedded it in our work (see answer to Question 7 above for more details).

For more details on our accomplishments, please see the August 6, 2021, letter that I submitted to the Council President González requesting reappointment to another term as City Auditor, and the City Charter required [annual reports](#) our office has produced since 2009.

14. What do you perceive as key unimplemented OCA recommendations from past audits?

As of December 31, 2020, we had 108 pending recommendations that had not yet been implemented. In my judgment, key unimplemented Office of City Auditor recommendations include:

- In our 2009 audit of the Management of City Trees, we recommended that the City adopt new tree regulations for tree protection on private property. We decided to stop tracking this recommendation because more than a decade had passed since we made this recommendation.
- In our 2015 report [Audit of the Seattle Police Department’s Public Disclosure Process](#), we recommended that the Seattle Police Department’s (SPD) Public Disclosure Unit (PDU) begin to track its workload and use performance data to develop a staffing model to enable SPD management to assess the PDU’s staffing levels, and determine the most appropriate mix of PDU positions, and adjust staff as needed. To date, this hasn’t been done. We will consider this recommendation implemented when SPD has obtained at least some of the additional resources identified by the staffing analysis. If this issue is not addressed, SPD will continue to risk long delays in responding to public disclosure requests.
- We are currently following up on the three unimplemented recommendations from our 2015 report [The City of Seattle Could Reduce Violent Crime and Victimization by Strengthening Its Approach to Street Outreach](#), at the request of Councilmember Herbold, through our ongoing audit concerning the Community Safety Initiative.
- There are currently seven unimplemented recommendations from our [2016 Seattle Police Department Overtime Controls Audit](#). Of these recommendations, six of seven can’t be implemented until SPD can implement the automated Work Scheduling and Timekeeping System (WTS). One of the unimplemented recommendations concerns SPD’s ability to track officers’ off-duty work. Also, there was one recommendation that SPD implemented but then unimplemented. That recommendation called for SPD to assign someone independent of SPD Operations to monitor and analyze payroll to look for anomalies in overtime pay. SPD implemented this recommendation by adding a position to their Budget Section funded by the 2016 First Quarter Supplemental Budget Ordinance, but

later 2020 budget constraints made SPD stop funding this additional, independent layer of monitoring.

- In our 2017 report [Audit of Seattle’s Incentive Zoning for Affordable Housing](#), in which we found that the City had not collected \$3.4 million payment for affordable housing, we made recommendations to change the Seattle Municipal Code to require better documentation of payments and the methodology to calculate them. However, staffing shortages and other priorities prevented the Executive from implementing these recommendations.
- Although it is no longer operational, we had key recommendations from our four reports issued between 2017 through 2020 on the City’s Navigation Team that were never implemented. Most notably recommendations from our [2017 Reporting Plan for Navigation Team](#) involving self-assessment in staffing, opportunities for prioritizing hygiene, opportunities to prevent trash accumulation, and developing an evaluation plan with input from unsheltered individuals. At the request of Councilmembers Lewis and Herbold, our office is currently working on a follow-up report that incorporates some of our previous Navigation Team report recommendations into a dashboard that tracks conditions related to unsanctioned encampments.
- There are still 12 recommendations from our 2017 report [Special Events – Police Staffing and Cost Recovery](#) that are pending and have not yet been implemented.
- In our 2019 report [City of Seattle Financial Condition 2017](#), we recommended that the City should maintain a stable employer contribution rate and continue to fund Seattle City Employees Retirement System (SCERS) at or above the actuarially determined rate to help them achieve full funding by the end of 2042. This is in line with what the Council committed to doing when it adopted [Resolution 31474](#) in August 2013. We consider the recommendation pending as the City will need to continue funding SCERS at or above the actuarially required contribution rate in subsequent years to achieve the goal of fully funding the pension liability by 2042. We will consider this recommendation implemented when SCERS' pension liability is fully funded.
- There are four pending recommendations from In our 2019 report [Seattle Fire Department – Special Event Cost Recovery](#) that have not yet been implemented because meetings of a Citywide working group to develop a strategy pertaining to various special events issues were canceled due to the COVID-19 pandemic, which meant that no action was taken to further any of our office's recommendations. Activities related to this recommendation are supposed to be led by the Mayor's Office and the working group may reconvene in 2021. We will decide on the classification of this recommendation's implementation status based on the outputs created by the working group.

- There are nine pending recommendations from our [2020 report](#) on the Human Services Department's (HSD) management of homelessness contracts that HSD officials told us would need to be addressed by the King County Regional Homelessness Authority.

15. Do you have a strategy for and/or any concerns about succession planning for your team?

Our office is actively planning for changes that may occur in our staffing, and we have developed mitigation strategies to address key issues. During the past decade, we have benefited from having very experienced auditors and little staff turnover. This allowed us to have many projects staffed by only one person because of their long experience in performance auditing and City government. I am somewhat concerned about how we will replace the many years of experience we have lost and will be losing due to the retirements of some of our most experienced staff. One of our approaches for addressing this will be to hire new staff with highly developed analytical skills and experience with software tools. Furthermore, we are developing a training program to rapidly integrate new members into our office's work and culture. We have successfully piloted a team approach on a recent project which, when rolled out across our audit portfolio, will ensure that we have the proper mixture of skills and experience on each project. Finally, I want to ensure that we have a diversity of staff backgrounds in our office to better mirror the diverse population within Seattle. We plan to develop outreach strategies for hiring that will ensure we attract a diverse pool of candidates.



Legislation Text

File #: Inf 1868, **Version:** 1



Seattle Office of City Auditor

David G. Jones, City Auditor

Published April 1, 2021

www.seattle.gov/cityauditor

2020 Annual Report

Advancing accountability, efficiency, equity, and transparency throughout City government

Message from City Auditor

2020 was an unprecedented year with many challenges. Seattle residents experienced health and economic impacts from the COVID-19 pandemic, protested structural racism and had difficult conversations about policing. On March 9, 2020, our office successfully transitioned to remote work and continued to respond to City Council requests and deliver high-impact results for the City of Seattle.

- In 2020, our performance audits focused on some of the most complex and urgent topics that Seattle faced, such as homelessness, transportation infrastructure, utility billing issues, and surveillance technology.
- We also continued our program evaluation work related to equity issues addressed through the Sweetened Beverage Tax, a federal grant to prevent youth violence in Rainier Beach, and the Secure Scheduling ordinance.
- We produced non-audit reports on the implementation of our office’s audit recommendations, reported losses of information technology assets and summarized research on how communities could resist gentrification.

2021 marks the 30-year anniversary of the Seattle Office of City Auditor (OCA). We have important work planned for 2021 (see our work program on page 6) that will cover effectiveness, efficiency, and equity issues. These issues include evaluating the Seattle Municipal Court’s probation services, conducting a Surveillance Technology Ordinance required review of the Seattle Department of Transportation’s (SDOT) use of traffic cameras, examining the implementation of an ordinance requiring a Notice of Intent to Sell by owners of certain types of low-income housing, auditing SDOT’s sidewalks maintenance program, and reviewing Seattle Public Utilities’ billing for residential solid waste services. We will also continue our annual process of following up and reporting on the implementation status of all our open audit recommendations and our involvement in program evaluations.

I appreciate the commitment of our team in tackling these difficult issues and we look forward to contributing to the City of Seattle’s success in 2021. Finally, I am very pleased to report that our office received the [Association of Local Government Auditors](#) highest award for a 2020 audit report for our September 2020 report [Seattle Department of Transportation: A Strategic Approach to Vehicle Bridge Maintenance is Warranted](#).

Key Audit Issue Areas of 2020



Homelessness



Infrastructure



Utility Billing

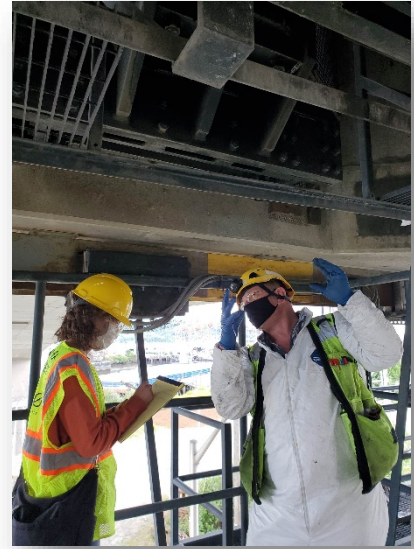


Surveillance

Highlights from 2020

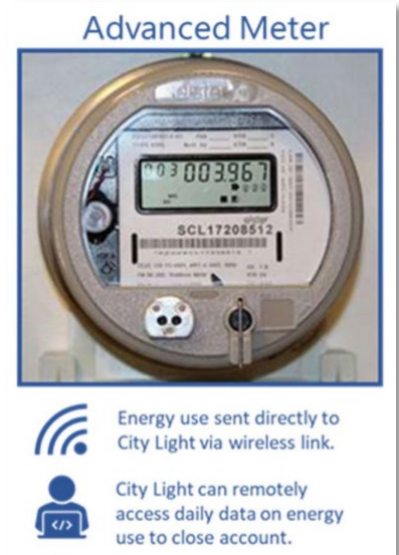
Transportation Infrastructure: At the request of the City Council's Transportation Committee Chair, Councilmember Alex Pedersen, we assessed the physical condition and maintenance investments in Seattle's vehicle bridges. In spring 2019, severe cracks on the West Seattle High Bridge led to its emergency closure. Our audit responded to public and policy concerns about the rest of the City's bridge portfolio. The audit analyzed the condition of Seattle's bridge portfolio, previous City spending on bridge maintenance and repair, and practices for major bridge upkeep. Based on our findings, we recommended that the Seattle Department of Transportation (SDOT) act immediately to implement changes suggested in an informal Federal review of its bridge maintenance program, and to conduct lifecycle analysis on its bridge portfolio so it can make more informed budget requests. We also recommended immediate changes to improve SDOT's bridge maintenance program, such as eliminating unnecessary annual reviews of private bridges, and working to reduce the amount of reimbursable work that bridge maintenance workers do on non-City structures.

OCA Auditor and SDOT Inspector at the Spokane Street Bridge, July 2020.



Electric Utility Billing: In 2020, we issued two reports on this topic. The first report was done at the request of Councilmember Teresa Mosqueda, in response to complaints she received concerning customers' high and unexpected electric bills. Accordingly, we conducted an audit of Seattle City Light's billing and customer service practices. The report includes 16 recommendations for improving City Light's customer service and billing. We found that City Light's newly formed Escalation Team was using leading practices for customer communication and could be a model for handling customer complaints. We recommended that City Light evaluate the effectiveness of this temporarily expanded team (now called the Customer Advocacy Team) and incorporate lessons learned from it into its policies and practices. City Light officials told us that this team has been piloting the use of a Customer Relationship Management tool to do transactional surveys and follow up with customers. Results appear to be promising and City Light may consider expanding the use of this tool to all its staff who interact with customers.

OCA infographic showing relevant features of SCL's advanced meters.



The second report concerned the several million dollars City Light receives annually from entities that attach equipment to City Light utility poles for cell phones, telephones, the internet, and cable television. We examined this process to determine whether City Light had adequate controls in place to help ensure the accuracy, completeness, and timeliness of pole attachment and replacement billing and the timeliness of payment collection. We also examined user access controls to systems that support the billing functions. City Light's billings for pole attachments and pole replacements were, in general, accurate and complete. However, we found that certain internal controls either lacking or need strengthening. For example, City Light has not inventoried their poles in at least 10 years and has no inventory of pole attachments. This means potential lost revenues from pole replacement work and from

annual rental revenue from pole attachments. We also recommended that City Light make greater efforts to collect delinquent joint pole payments.

Homelessness and Encampments: In 2020, we completed two reports concerning homelessness. First, in response to Seattle City Council President Lorena González's request, we reviewed the Human Service Department's (HSD) management of the City's homeless services contracts. The report included eighteen recommendations for improving HSD's management of homeless services contracts, homeless policy and program design, and service provider performance and contract compliance. In response to one of our recommendations, HSD developed a proposed timeline for executing contracts that would address the problem of untimely payments to service providers and has taken steps to improve contract monitoring, although the new King County Regional Homelessness Authority will have the responsibility for homeless contracting and adopting a contracting timeline.

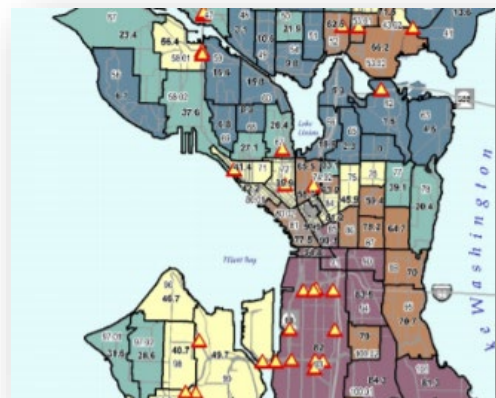
Our second 2020 homelessness report was completed as part of our [November 2017 Navigation Team Reporting Plan](#) requested by City Councilmember Lisa Herbold. We identified a strategic approach that includes five steps that the City could take to help reduce or prevent unsanctioned encampment trash from accumulating, and to track whether encampment trash accumulation was increasing or decreasing: 1) Track trash accumulation systematically, 2) Develop and implement strategies for persistent trash "hot spots", 3) Protect urban streams and watersheds, 4) Improve needle recovery efforts, and 5) Use best practices to deter metal theft. We offered recommendations associated with these steps that recognized that the complex issues surrounding unsheltered homelessness require a systematic, coordinated, multi-pronged response, and we hope the report's recommendations will help inform the City's future approaches to homelessness.

City of Seattle photo from our report about steps the City should take to reduce or prevent unsanctioned encampment trash accumulation.



Surveillance Technology: As required by the Surveillance Technology Ordinance, we reviewed the Seattle Department of Transportation (SDOT) use of License Plate Readers (LPR) technology. We found that for about 10 years, SDOT has been sharing LPR data with the Washington State Department of Transportation (WSDOT) without a data sharing agreement. We recommended that an agreement be executed between SDOT and WSDOT that, at a minimum, addresses data sharing, retention, and deletion of LPR data, including what WSDOT can and cannot do with the LPR data outside of its agreement with SDOT. SDOT indicated that instead of pursuing an agreement with WSDOT, that they plan to completely phase out its use of LPR technology by the end of 2021.

Detail from an OCA map showing SDOT LPR cameras locations and equity.

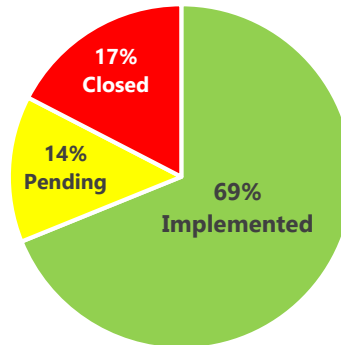


Follow Up on Recommendations

In 2020 we continued our annual practice of following up on the status of open audit recommendations. As can be seen from the chart at right, 69 percent of our recommendations made between 2007 and 2020 have been implemented.

High impact recommendations that were implemented in 2020 are detailed in [our annual recommendation report](#), which was published on March 26, 2021. We also added a new, interactive recommendation status dashboard to our website. A screenshot of the new dashboard is provided below.

Status of All OCA Recommendations Made Between 2007 and 2020.



Screenshot of our NEW interactive recommendation status dashboard online [HERE](#).

Office of City Auditor Recommendation Follow Up
Status as of December 31, 2020

NOTE: This report only covers the recommendations that were pending at the end of 2020, and does not include the status of recommendations implemented or closed in previous years.

We recognize that our office is located on the traditional land of the Duwamish People, the First People of Seattle. We honor the land and the Duwamish People, past and present.

Year: Report Title

- Select all
- 2009
- 2010
- 2015
- 2016
- 2017

Department

- Select all
- City Attorney
- City Council
- HSD
- ITD
- Mavor

Status (12/31/20)

- Select all
- Closed
- Implemented
- Pending

STATUS KEY

IMPLEMENTED: Recommendation is substantially complete or fully implemented.

PENDING: Recommendation is not complete. We will follow up annually.

CLOSED: Recommendation is not complete but our office will not continue to follow up on this recommendation because it is no longer relevant or unlikely to be implemented.

Department	Closed	Implemented	Pending	Total
HSD	47	6	15	68
SCL	1	11	21	33
SPD	8	3	17	28
OLS		12	9	21
SDOT			19	19
ITD			11	11
SPU		1	5	6
Mayor	5			5
City Council			4	4
SFD			4	4
OPCD	3			3
SDCI	2	1		3
City Attorney			1	1
OH			1	1
SCERS			1	1
SDHR			1	1
Total	66	35	108	209

Rec. #	Original Recommendation	Status as of 12/31/20	Status Detail 12/31/20
577	The City Council and the Special Events Office should consider establishing criteria and a schedule for setting the fees for police services for Citywide permitted events (e.g., updating SMC 15.52 or developing department policies). (Report Recommendation 5b)	Pending	City Council Center special events police is busy with the police that the review of now until 2022. H includes a Statement that SPD makes of City Auditor in the overtime worked events.
736	The Human Services Department should review and evaluate its goal for agency-wide fiscal audits.	Pending	The Human Services goals for fiscal audits cooperation with Specialists by Q4. this team's role and outcomes from the plan to support a...

2020 Published Reports

Performance Audits

- [Five Steps the City Should Take to Reduce Trash Around Unsanctioned Encampments](#)
- [Seattle City Light Customer Care and Billing Audit](#)
- [Homeless Contracts Management Audit](#)
- [Seattle Department of Transportation: A Strategic Approach to Vehicle Bridge Maintenance is Warranted](#)
- [Seattle City Light Billable Pole Attachments and Pole Replacements Audit](#)
- [Surveillance Usage Review: Seattle Department of Transportation License Plate Readers](#)

Evaluations

- [The Evaluation of Seattle's Sweetened Beverage Tax 12 Month Report: Store Audits & Child Cohort](#)
- [The Evaluation of Seattle's Sweetened Beverage Tax Frequently Asked Questions \(FAQs\)](#)

Other Reports

- [Status Report on Implementation of Office of City Auditor Recommendations as of December 2019](#)
- [Follow Up on Recent Loss Reports filed by the Information Technology Department](#)
- [Community Resistance to Gentrification: What is Effective?](#)

Seattle Office of City Auditor Staff

David G. Jones, City Auditor
Sean DeBlicek, Deputy City Auditor
Rhonda Lyon, Office Manager
Claudia Gross Shader, Assistant City Auditor
IB Osuntoki, Strategic Advisor
Jane Dunkel, Assistant City Auditor
Luiza Barbato Montesanti, Audit Intern
Marc Stepper, Assistant City Auditor
Megumi Sumitani, Assistant City Auditor
Melissa Alderson, Assistant City Auditor
Robin Howe, Assistant City Auditor
Virginia Garcia, Assistant City Auditor



In addition to the work we performed in 2020 to improve the effectiveness, efficiency, and equity of City of Seattle programs, members of our office contributed to the auditing profession by supporting the work of the Association of Local Government Auditors (ALGA) by serving on ALGA committees and contributing articles to ALGA's quarterly journal. For example, Virginia Garcia served as chair of ALGA's newly formed Diversity, Equity, and Inclusion Committee.

We are very proud that Claudia Gross Shader earned her PhD in criminology, and that our intern Luiza Barbato Montesanti was hired as an analyst with the City of Seattle's Community Police Commission.

Our office fully supports the City's efforts to end institutional racism in City government and achieve racial equity across our community. To meet this end, we include race and social justice reviews as a standard part of our audit process and use internal metrics to encourage our staff to build their expertise in race and social justice issues.

Office of City Auditor Annual Work Program [As of March 2021 and subject to change]

Ongoing Projects	Source	Estimated Completion Date
Audit of Surveillance Technologies: Seattle Department of Transportation Traffic Cameras	Ordinance 125376	Q2 2021
Notice of Intent to Sell Low-Income Housing	Ordinance 125873	Q3 2021
Audit of Seattle Department of Transportation Sidewalk Maintenance	Councilmember Lewis Request	Q3 2021
Audit of Seattle Municipal Court Probation Program	2020 Budget City Council Statement of Legislative Intent (CJ-1-B-1)	Q3 2021
Audit of Seattle Public Utilities Residential Solid Waste	Initiated by City Auditor	Q3 2021
COVID-19 Emergency Federal Funding	Councilmembers González and Mosqueda Request	Q3 2021
Safe Gun Storage Statistical Reports	Ordinance 125620	Q3 2021
Management of Sweetened Beverage Tax Evaluation Contract	Ordinance 125324	Next report to be published in 2021
Management of Secure Scheduling Evaluation Contract	Ordinance 125135	Final report on Employer Implementation to be published in 2021
Participation in Federally Funded Evaluation of National Institute of Justice Grant: Rainier Beach Campus Positive Behavioral Interventions and Supports	Follow-up to City Council requested report published by our office in 2011 on crime hot spots	Q4 2022
Follow-up Report on our 12/30/20 report on SDOT License Plate Readers Surveillance Technology	Ordinance 125376	Q3 2021

Future Required Projects	Source	Estimated Completion Date
Seattle City Light Binoculars/Spotting Scope Surveillance Technology	Ordinance 125376	Q3 2022
Seattle City Light Check Meter Device Surveillance Technology	Ordinance 125376	Q3 2022
Seattle City Light SensorLink Amp Fork Surveillance Technology	Ordinance 125376	Q3 2022
Seattle Fire Department Computer-Aided Dispatch Surveillance Technology	Ordinance 125376	Q3 2022
Seattle Department of Transportation Acyclica Surveillance Technology	Ordinance 125376	TBD
Seattle Fire Department Emergency Scene Cameras Surveillance Technology	Ordinance 125376	TBD
Seattle Fire Department Hazmat Camera Surveillance Technology	Ordinance 125376	TBD

Office of City Auditor 2020 Annual Report & 2021 Work Program Status Update

PRESENTATION TO THE GOVERNANCE & EDUCATION COMMITTEE

SEPTEMBER 14, 2021



Overview/Key Takeaways

Since January 2020 we have:

- Published 16 products, including seven audit reports, focusing on critical issues including homelessness, utilities, and transportation infrastructure;
- Successfully transitioned to a remote work environment;
- Followed up on over 200 recommendations for improving City programs.



Highlights from 2020-21

Audits published in the past 18 months had key recommendations:

- Ways to reduce the \$27.4 million annual funding gap for maintaining Seattle's bridges;
- Improving services for customers with unexpected high electricity bills;
- Improving oversight of a City Light multi-million-dollar revenue stream;
- Improving homeless services;
- improving oversight of SDOT surveillance technologies.



Homelessness



Utility Billing



Infrastructure



Surveillance



Work Program: Plans and Progress 1/3

Project	Source	Estimated Completion Date As of September 2021
SDOT Traffic Cameras	Ordinance 125376	Published June 2021
Sweetened Beverage Tax Evaluation	Ordinance 125324	Published August 2021
Safe Gun Storage Statistical Report	Ordinance 125620	September or October 2021
SMC Probation Program	2020 SLI	September or October 2021
Notice of Intent to Sell Low-Income Housing	Ordinance 125873	September or October 2021



Work Program: Plans and Progress 2/3

Project	Source	Estimated Completion Date As of September 2021
SPU Residential Solid Waste	City Auditor	Q4 2021
Encampment Dashboard	CM Herbold and CM Lewis Request	Q4 2021
SDOT Sidewalk Maintenance	CM Lewis Request	Q4 2021 or Q1 2022
COVID-19 Emergency Funding	Council President González and CM Mosqueda Request	Q1 2022
SPD Fleet Management	CM Lewis Request	Q1 2022



Work Program: Plans and Progress 3/3

Project	Source	Estimated Completion Date As of September 2021
Secure Scheduling Final Evaluation	Ordinance 125135	Q1 2022
Community Safety Initiative	CM Herbold Request	Q2 2022
Seattle City Light Diversion Surveillance Technologies	Ordinance 125376	Q3 2022
Seattle Fire Department CAD Surveillance Technology	Ordinance 125376	Q3 2022
Evaluation of Rainier Beach NIJ Grant for PBIS	Council Request	2022



Overview/Key Takeaways

Since January of 2020 we have:

- Published 16 products, including seven audit reports, focusing on critical issues including homelessness, utilities, and transportation infrastructure;
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Questions?

