

PYRAMID CONSULTING, LLC



Mandeville Efficiency Study

*Evaluation of department operations --
Administration, Planning and Public
Works.*

January 20, 2021

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Facts, Findings & Recommendations Report

1 EXECUTIVE SUMMARY

This study commissioned in October 2020 by Mayor Clay Madden shortly after taking office is a significant step forward to achieving a continuous improvement environment at the City of Mandeville. Mayor Madden and the City of Mandeville are seeking to evaluate and improve the delivery of government services to its primary customers (e.g. the citizens) as well as improve the current operations efficiency and effectiveness of city government for the Administration, Planning and Public Works departments. Pyramid Consulting, LLC is providing this report as the result of a 90 day study period and including the following data gathering activities:

- Thirty-eight (38) completed employee surveys,
- Six (6) one-on-one interviews with senior staff,
- Five (5) employee focus group meetings,
- Three (3) department level process analysis meetings, and
- Evaluation of the current city operations documentation.

The results of the operations study are predominately focused on the higher priority potential areas of improvement including:

- Quality and consistency of primary operational processes and tools,
- Organizational systems that affect operational performance, and
- Identification of operational risk factors.

In order to provide a framework for discussion of these potential areas of improvement, this report is development from an overall **quality management** perspective. Using an overall quality management approach allows for comparison of the current city operations with industry standards and other governmental best practices.

This report also provides observations and recommendations based on three primary operational process areas. These primary operational process areas establish the major themes that are integral to the study recommendations. These primary operational process areas are:

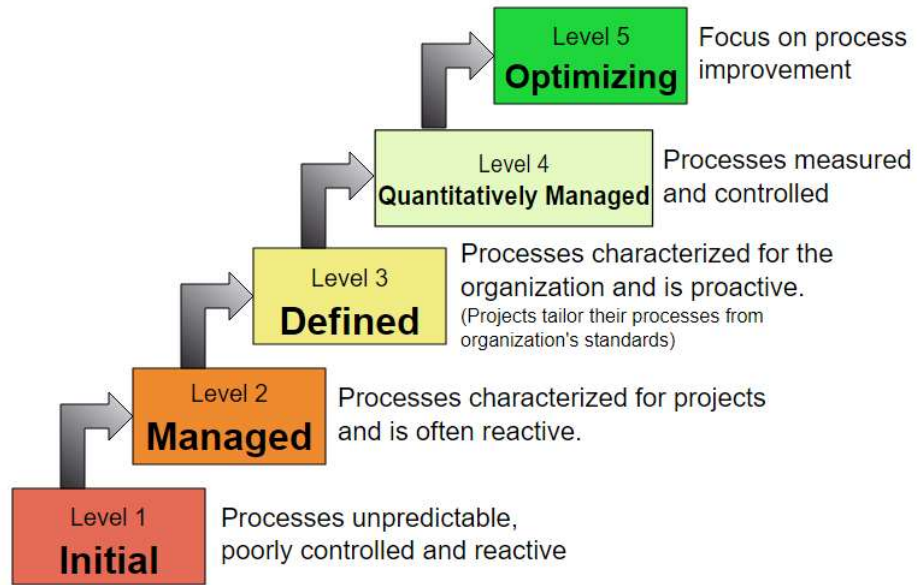
- Contract management
- Project management
- Information Technology architecture

And finally, this report recommends the establishment of a 2-year operational strategic goal. The goal is to implement the necessary improvements in the primary operational processes to address the organizational systems that are negatively affecting operational performance and to resolve or mitigate the identified operational risk factors. This 2-year strategic goal will require the

support of both the City Council as well as the City Administration. A reasonable target for the 2-year strategic goal is to be recognized as an **organizational capability level 2** on the Capability Maturity Model Integration (CMMI)¹ scale for project management and contracting process areas (see Figure 1).

Figure 1- Organizational Capability Process Levels Defined

Characteristics of the Maturity levels



The concept of organizational maturity generally refers to the evolutionary steps of an organization building its *people, processes and technology readiness and capability* through the adoption of quality management practices.

This report identifies the specific “gaps” in organizational capabilities of the City of Mandeville government services that are deficient when compared to a capability Level 2 organizational maturity. Based on an objective assessment of current performance of government services for contract management and project management, the City of Mandeville organizational maturity level would be classified as a capability Level 1.

¹ Capability Maturity Model Integration (CMMI) is a process level improvement training and appraisal program. Administered by the CMMI Institute, a subsidiary of ISACA, it was developed at [Carnegie Mellon University \(CMU\)](#)

2 INTRODUCTION

On October 27, 2020, the City of Mandeville issued a contract to Pyramid Consulting, LLC to conduct an evaluation of the organizational structure, current policies/procedures and internal controls for significant operational areas of city government including Administration, Planning and Public Works departments. The objectives of the assessment as stated in the contract Statement of Work (SOW) are as follows:

- Summarize Employee Feedback
- Analysis of Organizational Structure
- Analysis of Job Descriptions and Job Duties
- Assessment of Policies and Procedure
- Analysis of Internal Controls
- Assessment of Remediation Results of Recommendations from 2010 Study.

In essence, the primary deliverable of the Pyramid Consulting contract (in the form of this report) is to analyze and evaluate how current staff resources and operational procedures could be utilized more efficiently and to recommend steps that that would result in more effective operations for the City of Mandeville.

3 RESEARCH AND DATA GATHERING

The purpose of the research and data gathering activities is to investigate and document the current City of Mandeville operational practices and business processes that support the delivery of government services. There are multiple techniques used to gather the needed information including staff interviews, employee surveys, employee focus group meetings as well as the collection and evaluation of all available policies, procedures, personnel job descriptions and various other documents.

3.1 Employee Interview Results

The primary objective of the formal interviews is to solicit information about:

- Business processes in each individual department,
- Policies and procedures available for daily operations of each department,
- Information technology and network infrastructure.

There are six (6) formal interviews with key department staff conducted between November 6 and November 10, 2020 included in the analysis. The range of individuals that are included in the interview process covers city departments (Finance, Planning, Public Works, Human Resources and Cultural Development) as well as the IT representative from Digicomm.

The Interview Summary below (Figure 2) identifies the number of times during the interviews a reference is made to one of the Areas of Improvement--Policy, People, Tools, or Process. The most mentioned areas to improve from the formal interviews are the **People** and **Tools** categories (See comment 1-b). In terms of specific items receiving the most mention, there are several comments about the ineffectiveness of the current records management system, PaperVision. There are also mentions of the functionality of the “new” telephone system not providing efficient services to the departments. And there is general agreement that the computer workstations need to be upgraded including new notebook computers with the capability to work from home.

Figure 2- Interview Summary Results

Areas of Improvement	Policy	People	Tools	Process
IT network and laptops need improvement?			6	
Computer application systems need improvement?			5	
Major problems that inhibit the operations efficiency?	2			1
Resources that are lacking or not available?		8	6	
Process that are insufficient or non-existent?				6
Regulations or practices that inhibit progress?	1			
Total	3	8	17	7

1-a. The current requirement for the City Council to approve all new or change to non-Police Civil Service employee job description adds 1 month to the hiring process.

1-b. At least 2 specific mentions of poor Wifi response, PaperVision, telephone system, laptop computers, staffing shortages and employee training.

1-c. General agreement of lack of formal process documentation for department operations.

3.2 Employee Focus Group Results

The results of the five focus group meetings are described in a more detailed breakdown of their perceived obstacles and problems (i.e. areas of improvement) and are summarized in *Appendix A*. Organizational systems are used to describe the internal characteristics of an organization and to create a basis for measuring and comparing organizations.

There are five systems that comprise the inner workings of organizations. They are:

- **Culture:** the behavioral patterns (habits and conventions) generally adopted within the organization.
- **Structure:** the definition of jobs and the reporting hierarchy (organization chart), as well as the processes that combine people into teams as work flows across organizational boundaries.
- **Internal efficiency:** the budgeting, priority setting, project-approval, and tracking processes which determine how resources flow through an organization and to its clients.
- **Methods and tools:** the procedures, methodologies, skills, and tools that people in an organization use.
- **Metrics and rewards:** the feedback loops that inform people about how they are doing in time to adjust their behavior, and the incentives for improving performance.

Referring to Appendix A, for each itemized focus group suggestion for improvement, the number in parentheses at the end of the suggestion statement indicates the number of instances the focus group participants mentioned that issue during the focus group meetings. The "X" in one or more columns indicates a need for an internal organizational improvement in the particular area corresponding to one of the five organizational systems.

For example, the first itemized focus group response in *Appendix A -- "Provide customer online access via website for all City services (6)"* -- indicates that this particular issue is mentioned six times during the focus group meetings. Also, improving this issue will impact or require action in two specific areas indicated by the "X" in columns representing the organizational systems ***Internal Efficiency*** and ***Methods & Tools***.

For analysis purposes, a weighted-score is calculated for each organizational system by multiplying each focus group response marked with "X" by the number in parentheses. Summing the weighted-scores for all responses produces the total score for each organizational system. The results of this analysis have been provided in Table 1 below. The higher a weighted-scores indicates the organizational system that has a higher relative importance to address improvement opportunities than the other organizational systems. For example, the employee focus group feedback indicates that ***Internal Efficiency*** with a higher weighted-score of 58 is more urgent to focus improvement efforts than the other organizational systems.

Table 1- Focus Group Meeting Analysis Results

<i>Organization Systems</i>	<i>Culture</i>	<i>Structure</i>	<i>Internal Efficiency</i>	<i>Methods & Tools</i>	<i>Metrics & Rewards</i>
<i>Weighted-score</i>	9	32	58	24	8

3.3 Employee Survey Results

There are a total of thirty-eight (38) employee surveys included in the study. The purpose of the survey is to diagnose the root cause(s) of potential organizational concerns. The questions in the survey are chosen as representative of symptomatic conditions that could indicate organizational weaknesses.

The employee survey results are itemized in Figure 3 and represent an indicator of several “root causes” to understanding organizational performance. The weighted-average column represents the summation of the 38 employee survey responses based on assigned values for each possible response. For example, the assigned values are indicators of **needed improvement** (-) and **no need for improvement** (+).

<i>Weighted-average Assigned Values</i>	<i>Strongly Agree</i>	<i>Agree</i>	<i>Disagree</i>	<i>Strongly Disagree</i>
<i>Positive Survey Question</i>	+2	+1	-1	-2
<i>Negative Survey Question</i>	-2	-1	+1	+2

Figure 3 – Employee Survey Results

Operations Study Employee Survey	Total Number of Survey Answers					Weighted Average
	Neutral	Agree	Somewhat Agree	Somewhat Disagree	Disagree	
Total Responses = 38						
People in the organization are happy and motivated	0	4	8	11	15	-25
People are chronically overworked (more work than time avail)	0	16	10	5	7	-23
Task priorities are set by individual departments rather than by importance to the overall City strategy	7	10	13	5	3	-22
Budgeted funds for department operations are not adequate to successfully complete assigned responsibilities	5	12	9	7	5	-16
Employees believe that their performance doesn't matter	4	12	8	8	6	-12
It's hard to get help from others, since one department's highest priority may be another department's lowest	1	9	13	7	8	-8
Jobs are not well focused on specialties; people are expected to be "experts" at too many things at once	3	10	9	8	8	-5
While individuals and small groups may be capable, the org is not good at cross-functional teamwork	4	5	15	7	7	-4
Needed specialists are not available with the organization	4	6	11	13	4	-2
Specialists may exist, but people become generalists because they can't depend on other specialists to help (lack of teamwork)	4	7	10	11	6	-1
Training is available to meet the needs of individual tasks	3	10	8	7	10	1
People make promises that they know they cannot keep	4	8	8	9	9	3
The interdependencies between groups are well understood	1	5	15	12	5	3
The P&Z department function is sufficiently effective	9	8	9	6	6	7
The PW department functions are sufficiently effective	5	9	10	8	6	8
Formal org structure is adequate to meet the tasks demands	2	10	12	6	8	10
Individuals are producing satisfactory work (quality)	1	12	15	6	3	27
Employees have clear understanding of roles & responsibilities	0	12	17	5	4	28
The internal support functions are sufficiently effective	4	13	14	6	1	32
Individuals have the skills & abilities to meet their assignments	0	16	14	4	4	34

Using the same organizational systems classification from Section 3.2 (Employee Focus Group Results), the employee survey questions are categorized as one of the organizational systems and result in the following relative importance index (see Table 2). A negative relative importance index value indicates the need to improve organizational performance problems. The absolute value indicates the degree that one organizational system is a higher relative importance to address improvement opportunities than another organizational system. The employee survey indicates that *Internal Efficiency* with a higher negative index value is more urgent to focus improvement efforts than the other organizational systems.

Table 2- Organizational systems Index

Organization Systems	Culture	Structure	Internal Efficiency	Methods & Tools	Metrics & Rewards
Index Value	-3.45	9.00	-13.80	32.70	-0.60

Strengths	
Positives	
Concerns	
Weaknesses	

3.4 Other Data Collection

3.4.1 Process Analysis Department Meetings

Three process analysis department meetings are included in the data collection phase of this study. The department level process analysis discussions are intended to identify “gaps” in current business processes. These processes and the departments that are primarily responsible for their execution are as follows:

- Capital projects: Public Works department
- Purchasing and Contracts: Administration Finance department
- Permitting administration: Planning department

3.4.2 Department IT System Demonstrations

Two demonstrations of current Public Works department IT systems are also included in the study evaluation. These systems are as follows:

- DigiWork
- RoadSoft

4 ANALYSIS AND ASSESSMENT

What conclusions are indicated from the research and data gathering results? Are there correlations among the three separate employee feedback techniques – employee interviews, employee focus groups and employee surveys? What are the “gaps” identified that have a direct impact on the operational efficiency of the Finance, Planning or Public Works departments? What computer application systems are contributing to inefficient operations due to misuse or missing functionality altogether? The answers to these questions are addressed in the remainder of this report.

4.1 Summarize Employee Feedback

4.1.1 Employee Interview Feedback

There are somewhat different opportunities for improvement (OPI) indicated from the three separate employee feedback techniques. The one-on-one interviews with Directors generally indicate (Figure 2) a need to improve IT infrastructure, staffing levels, employee training and formal process documentation. Some of these concerns are addressed in Section 5, Recommendations.

An interesting personnel administration requirement coming from the HR Director interview is that all non-Police civil service job descriptions that are created or changed MUST be approved by ordinance by the City Council. This requirement is apparently inherent in the current oversight of civil service employees but may explain why there is reluctance to update these job descriptions as responsibilities or job qualifications change over time.

4.1.2 Employee Focus Group Feedback

The five (5) focus group’s feedback indicates several specific opportunities for improvement that are included in *Appendix A*. The top focus group OPIs are as follows:

- Improve project cross-functional processes and communications
- Improve administrative processes
- Improve IT technology
- Improve intra-office communications
- Inadequate staffing levels
- Provide employee training opportunities

4.1.3 Employee Survey Feedback

The employee surveys include the most diverse participation of employee responsibilities and the employee survey feedback is more statistically accurate due to the number of returned survey responses. The most important OPIs from the employee surveys (Figure 3) are derived as “root causes” from the top five (5) weighted average responses indicating needed improvement including²:

- Culture
- Metrics & Rewards
- Internal Efficiency

The highest negative rating for all survey questions with a score of (-25) is “*People in the organization are happy and motivated*” meaning that employees are NOT happy and motivated. This sentiment is a symptom of two possible causes.

The first potential cause that employees are not happy and motivated is that “*People are chronically overworked*”. If people are continually overworked, it means that demand exceeds supply. There are a variety of reasons why this might occur. People could repeatedly underestimate the time projects will take, and then find themselves using any discretionary time to catch up on overdue projects. Or the existing staffing level is not sufficient to meet demand so people might be agreeing to projects even if they don't have the resources to do them.

When put under pressure, employees may decide it is easier to say an unqualified “yes” (even when they know resources aren't available) than it is to say an honest “no” or to qualify the “no” with when resources are available. Of course, this situation leads to commitments that exceed available resources. To meet one commitment, employees “rob Peter to pay Paul” and miss other commitments. As a result, the organization becomes ineffective and untrustworthy.

In this case the underlying solution to the root cause is addressed by changing the ***Culture***. There needs to be a culture that allows employees to not accept a task that is not accompanied with the required information. To support the authority of an employee to say “no” to a task also requires the organization to document the process that clearly describes the information that **MUST** be provided when making the request for the task to be completed. Without this change in culture, employees feel pressured to work extra hard to make up for their over

² RoadMap, Root-Cause Diagnostic Expert System; NDMA

commitment. This is not a one-time problem. So long as the culture tolerates saying "yes" inappropriately, the pressure will remain

The second potential cause that employees are not happy and motivated is that “*Employees believe that their performance doesn’t matter*”. When there are no personal consequences to performance (good or bad), it's tough to feel motivated. Employees think, "Why should I work extra hard, when so-and-so does just as well with no effort?"

Employees may see their peers goofing off without being subjected to discipline, or others working extra hard for no apparent reward. In some organizations, everybody gets a "good" on their performance appraisals regardless of their performance. A classic example is the civil service pay scale system where there is no incentive to perform well since all pay increases are based on a standard pay scale increase.

If an individual is not performing adequately, management must deal fairly but firmly with the individual. Management must find a way to measure performance, and then link rewards (and punishments) with those metrics. As Peter Drucker is often quoted as saying, “You can’t manage what you don’t measure.” The underlying solution to this root cause is addressed by improving the ***Metrics & Rewards*** system in the organization.

As previously discussed, organizational systems are used to describe the internal characteristics of an organization. The organizational systems are used for this assessment as a proxy for identifying more specific opportunities for improvement from both the employee focus group meetings and the employee survey results. Comparing the *weighted-scores* and the *index values* in Table 1 and Table 2 respectively, there is a strong correlation in both cases for the ***Internal Efficiency*** organizational system indicating a greater urgency for improvement.

A high correlation for the organizational system ***Internal Efficiency*** is also a direct indication of the need to better understand how *cross-functional work flows* through the individual departments especially for project management (e.g. to initiate, manage, monitor and close projects) and contract management (e.g. to authorize, review, approve and monitor). There is a more detailed description and discussion in Section 4.2 and Section 4.4 of the characteristics of a municipal government using a quality management system framework to achieve process improvement.

4.2 Analysis of Organizational Structure

The elements of organizational structure are *generally understood* to be:

- Reporting relationships (e.g. organization chart),
- Allocation of decision making (e.g. authority/authorization level) and
- Deployment of resources to functions (e.g. departments/groups).

However, there is another significant element of organizational structure that goes beyond the generally understood elements. The degree of formalization is a measure of how well the organizational activities and tasks are described and documented.

Formalization - the amount of written documentation in the organization, including procedures, job descriptions, regulations, and policy manuals describing behavior and activities

In quality management systems there are documented formal statements of *what, why, who, where, when* and *how* the primary activities of an organization or department are performed for a specific customer product or service. These formal statements take the form in varying degrees through the following documentation types:

- Policies,
- Standard Operating Procedure (SOPs),
- Processes, and
- Work Instructions.

The current City organizational structure adequately accomplishes the elements of the generally understood organizational structure. The latest annual City of Mandeville Operating Budget provides a description of each department's functional responsibilities and organization chart for city-wide government operations. The degree of formalization within the Finance, Planning and Public Works departments is lacking in several significant operational functions (see Section 5, Recommendations).

4.3 Analysis of Job Descriptions and Job Duties

The results of the analysis to review job descriptions indicate that in general the existing job descriptions for all classified (e.g. civil service) and non-classified (defined in the Home Rule Charter Section 4-05) are adequately maintained. The job descriptions clearly identify the following components of the job description:

- Overall position description with general areas of responsibility listed,
- Essential functions of the job described with a couple of examples of each,
- Required knowledge, skills, and abilities,
- Required education and experience,
- A description of the physical demands, and
- A description of the work environment.

4.4 Assessment of Policies and Procedure

The City is regulated under various state laws, home rule charter provisions and ordinances that in some cases substitute for "policies" that generally define the *what, who, when* and *where* the regulations are to be performed. However, the City is solely responsible for documenting the *how* these regulations and all other operational responsibilities are to be performed in department procedures and work instructions and also documenting the processes that require cooperation across departments (cross-functional).

4.4.1 Project Management

The current responsibility for initiating a budgeted project is generally delegated to the department that oversees the ongoing operation and maintenance of the project deliverable. This is true for major capital projects for City infrastructure (e.g. roads, water, sewer, etc.) or beautification projects (e.g. landscape plan implementation) and repair/maintenance projects (e.g. seawall replacement, Galvez canal wall replacement).

The Public Works department is responsible for the majority of the infrastructure projects and is also responsible for developing and submitting the capital budget request for each of these projects. The Planning department (via the Parks and Parkways Commission) is responsible for the majority of the beautification projects and is also responsible for developing and submitting the operating budget request for each of these projects. There are still other projects that do not clearly fall into one of these types of projects that are planned and budgeted by outside engineering firms under a professional services contract

Since responsibilities are distributed to multiple departments and outside engineering firms for planning and initiating all projects, the responsibility for managing the implementation of these projects is also distributed with no consistency in how the implementation contracts are monitored and controlled. There is essentially no formal written documentation that describes how a major capital project is managed from budget identification and approval to final acceptance and closure.

For example there is no formal definition of why a specific sewer lift station capital project is selected for replacement or major upgrade. Informally there is antidotal evidence (i.e. maintenance repairs, age of equipment, system pressure failures, etc.) but no formal documented justification for replacement. Normally a financial justification for capital projects is submitted for approval before that project is included in a Capital Improve Plan (CIP). A formal **business case** is typically used to document the financial justification (see sample Capital Budget Procedure, Attachment 1).

4.4.2 Contract Management

The current responsibility for developing, reviewing and approving contracts is partially delegated to purchasing (for a purchase request that is governed by regulations and requirements established by Louisiana State Public Bid Law LA R.S. 38:2211-2296) and the City Attorney (for legal review only). The responsibility for monitoring the fulfillment of contract terms, conditions and payment of services delivered is ad hoc and not consistently assigned to a specific organizational responsibility.

There is no formal written documentation that follows the Louisiana Legislative Auditor's Best Practices-- Contracting (see Attachment 2) for a contract's life cycle. More importantly there is no explicit assignment of responsibility to a contract manager for contracts as recommended in the LLA Best Practices.

4.4.3 Information Management

The Finance department is responsible for administration and control of the information technology (IT) architecture and all IT systems and equipment. A deficiency exists in information systems management for the planning, developing and testing of a disaster recovery/business continuity plan. Even though there is a written City of Mandeville Information Systems Security

Policy, this policy does not address the requirements for a disaster recovery/business continuity plan.

The disaster recovery/business continuity plan should include, but is not limited to: procedures to test the plan, key members of the disaster team, vendor contact information, declaration process, prioritization of systems to be recovered, and consideration for multiple disasters (fire, flood, power outage, & smoke).

The only IT system that the vendor provides a disaster recovery procedure is MUNIS (e.g. Tyler Technologies Disaster Recovery Plan). The MUNIS plan is not sufficient to represent the disaster recovery/business continuity plan for the City of Mandeville and in fact clearly states this plan is supplemental to an overall citywide plan.

Tyler Disaster Recovery Services (TDRS) does not replace Error! Reference source not found.'s primary DR backup solution and should be considered a supplementary DR solution. Error! Reference source not found. must maintain local backups in addition to TDRS. This DR Plan document should be incorporated into the Error! Reference source not found.'s comprehensive Business Continuity Plan.

Another deficiency exists in the current outsourcing contract with Digicomm in identifying the specific types of services, including a fee schedule for each service, that are currently being provided (see sample IT Services outsourcing specification, Attachment 3). A formal description and a new contract should be developed to identify the relationship of the outsourced IT service provider and responsibilities to the City of Mandeville.

4.4.4 Department Procedures

This section identifies the OPIs at the department level that are deficient in formal procedural documentation or lacking computer systems for automation of manual tasks.

4.4.4.1 Finance Department

The monthly financial close process includes a variety of steps and span several areas of responsibility with the Finance department. A procedure is desirable to outline required month-end close procedures, including reconciliation requirements, review procedures, accruals/journal entries, etc.³

4.4.4.2 Planning Department

There are several areas in the Planning department where the documents that are subject to public records requests are required to be scanned into the PaperVision system. A procedure describing the indexing of scanned documents is desirable to be consistent among all departments to enhance accessibility to required documents.⁴ This procedure applies to other departments that provide documents that are subject to public records requests.

4.4.4.3 Public Works Department

The current work order system in use at the Public Works department (e.g., DigiWork) is not utilizing the features that are available. The DigiWork system is customized based on the specific requirements identified at the time the system

³ City of Mandeville Operations Efficiency Study, Appendix B

⁴ Ibid

was installed. The system demonstration indicates the following features that are not being used:

- Daily WO scheduling function by assistant superintendents to assign work crews
- WO maintenance schedule function for repetitive tasks (e.g. Neighborwoods mowing and weeding)
- WO close notification to citizen who initiated the complaint

There are several areas of responsibility in the Public Works department where documents are subject to public records requests. There is no consistent department procedure outlining steps to store copies of original documents at an off-site location and/or online. An online back-up application should be considered.⁵

The current equipment at both the water system towers and the sewer lift stations are capable of implementing SCADA; however, there is no central monitoring of this equipment. SCADA stands for Supervisory Control and Data Acquisition. It generally refers to industrial computer systems that monitor and control industrial, infrastructure, and/or facility-based processes. Basically, this is a system that allows personnel to remotely control and monitor the plant. Real-time data is collected and historical data is stored.⁶

4.5 Analysis of Internal Controls

Internal controls are designed to provide reasonable, but not necessarily absolute, assurance that:

- City goals and objectives are met;
- Financial reporting is reliable;
- Assets are safeguarded;
- Transactions are accurately and properly recorded and executed in accordance with management authorization;
- Errors and irregularities are prevented to the greatest extent possible; and
- Errors and irregularities that do occur are detected, reported, and corrected in a timely manner.

4.5.1 Professional Services Contracting

An internal control deficiency exists for many professional services contracts. The LLA Best Practices states:

Written policies and procedures over contracting should include (1) types of services requiring written contracts, (2) standard terms and conditions, (3) legal review, (4) approval process, and (5) monitoring process.

Currently there is only a brief mention in the City of Mandeville Purchasing Policy and Procedure Manual, Section II of procurement of services as follows:

⁵ Ibid

⁶ Ibid

For procurement of services such as residential garbage services, janitorial services, auditing services, the Request for Proposals (RFP) process is used.

The only other mention of using the RFP process for professional services is in the Purchasing Manual, Section I.

From the document review process, one existing professional services contract signed on June 30, 2010 is non-compliant with several criteria identified in the LLA Best Practices. The Director of Finance acknowledges the lack of any formal documented procedure for contracting and therefore a risk to compliance with internal controls objectives.

4.5.2 Internal Audit Function

The 2010 City of Mandeville Operations Efficiency Study recommends “*Per policy, the City will maintain a strong internal audit function. No formal internal audit function has been implemented.*” The remediation response specifically states “*The City Council is working on developing an internal audit function.*” The record of meeting minutes shows that the City Council passed ordinance 08-39 on September 11, 2008 that established an internal audit committee including the following purpose:

WHEREAS, the City Council desires to have an additional annual internal audit performed, which is designed specifically to appraise and articulate the adequacy of internal controls, determine compliance with applicable laws, regulations and contracts, assess whether city assets are adequately safeguarded, and to assist city officials in improving the efficiency and effectiveness of government operations and activities in order to maintain the general public’s trust and confidence that City resources are being used effectively and efficiently

The record also shows that the City Council amended ordinance 08-39 with the approval of ordinance 10-04 taking effect on January 29, 2010 to change the membership of the internal audit committee but left intact the original purpose. It is unclear but very likely that the amended ordinance 08-39 is still active and enforceable and therefore available to the current City Council to reactivate the internal audit committee.

4.6 Assessment of Remediation Results of Recommendations from 2010 Study

The status of the remediation actions based on recommendations from the City of Mandeville Operations Efficiency Study dated March 11, 2011 is in *Appendix B*.

5 Recommendations

5.1 Organization Structure

5.1.1 Overall Recommendation Restructure Organization

- Adopt “matrix” organizational structure for Contract and Program management
- Because of the tight relationship between the organization chart and department processes, need to restructure both subsystems together.
- Implement across the organization in a rapid phased approach.

- Small adjustments to an organization chart actually take longer and are much more painful (emotionally and politically). Furthermore, a series of small changes keeps people in chaos, with continued uncertainty and fear. This is far more difficult for staff than one big change.

5.1.2 Establish Program Management Responsibility

- Implement formal documented Program Management policy and procedures (See sample Program Management Policy, Attachment 4)
- Evaluate and purchase an appropriate computer system application to support the program management function
 - Preferably using SharePoint’s capabilities to their fullest
- Develop cross-functional process maps and RACI charts (See Attachment 5) to describe program management responsibilities across all departments

The one-on-one interviews and the department process analysis meetings indicate that most of the current project management processes for the *planning, execution, controlling* and *closing* phases of essentially all projects are at best performed on an ad hoc basis and in many instances are not performed at all. The variation in the performance of the informal processes on a given project appears to be driven by project scope (e.g. size, complexity, and duration) and the level of experience and personal of the selected outside contractor. There are no standard methods or tools established at the project level and hence there is no consistent level of project management processes.

5.1.3 Establish Contract Management Responsibility

- Implement formal documented Contract Management policy and procedures (See sample Contract Management Policy, Attachment 6)
- Evaluate and purchase an appropriate computer system application to support the contract management function
 - Preferably using SharePoint’s capabilities to their fullest
- Develop cross-functional process maps and RACI charts to describe contract management responsibilities across all departments

The one-on-one interviews and the department process analysis meetings indicate that most of the current contract management processes for the *developing, reviewing, approving* and *monitoring* responsibilities of most contracts are at best performed on an ad hoc basis and in many instances are not performed at all. The new Contract Management policy should follow the Louisiana Legislative Auditor’s Best Practices-- Contracting requirements for a contract’s life cycle (Attachment 2).

5.2 Department Recommendations

5.2.1 Planning Department Recommendations

- Develop formal written procedure for Parks & Parkways project design and project management including:
 - Project identification and business case justification

- Grant funding (if applicable)
- Update and maintain Planning department Policies and Procedures Manual (last update June 2011)
- Working with HR department, finalize and complete the current “draft” job description for Director of Planning department.
- Develop cross-functional process maps and RACI charts to document actions and responsibilities for permitting from application to approval
- Improve utilization of GIS system
 - Add all City infrastructure (streets, sewer, water)

5.2.2 Finance Department Recommendations

- Working with Public Works department to develop formal written procedure for capital project budget identification and business case justification
- Implement MUNIS Project Accounting function for project budgeting and cost accounting
- Finalize the City Disaster Recovery Business Continuity plan in compliance with Louisiana Legislative Auditor’s Agreed-upon Procedures
- Consider replacing Digicomm timekeeping and court system with “cloud” versions of MUNIS ERP modules
- Develop formal written work instruction and checklists for all Finance administrative MUNIS job responsibilities

5.2.3 Public Works Department Recommendations

- Develop formal written work instruction and checklists for administrative responsibilities as follows:
 - Digicomm Work Order system
 - Roadsoft program
- Working with HR department to fully implement the employee self-service of the MUNIS system for all PW employees
- Fully implement SCADA network for all water system wells and sewer lift stations citywide
- Fully implement and utilize the custom developed functions of the Digicomm Work Order system:
 - Implement daily WO scheduling function to assign work crews
 - Implement the WO maintenance schedule function

- Implement the WO close notification to citizen who initiated the complaint
- Using Work Order system to provide timely performance charts and graphs for each PW department/category.
 - Number of New and Closed WO per month by category
 - Average duration between New and Closed WO for each category

5.3 Information System Management

5.3.1 IT System Architecture

- Migrate all major IT systems to “hosted cloud” versions utilizing software-as-a-service (SAAS)
 - MUNIS Enterprise Resource Planning (ERP)
- Implement a MS SharePoint data management repository for common information analysis and reporting
- Upgrade the employee personal computers with Wifi access and video cameras as needed for remote work

5.3.2 Document Management System

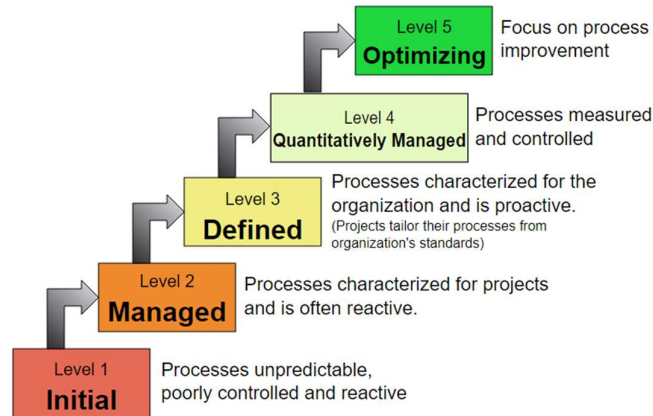
- Evaluate and purchase a 3rd Party software application using Microsoft SharePoint for managing documents, tracking changes to them, and ensuring employees are updated and trained properly.
- Create a document management policy and revision process that uses SharePoint’s capabilities to their fullest.

6 SUMMARY

Overall Recommendation *Establish 2-Year Strategic Goal*

Achieve CMMI **Capability** Level 2 for Project Management and Contracting Process Areas

Characteristics of the Maturity levels



As noted the 2-year strategic goal is to achieve CMMI **capability** Level 2 for project management and contracting process areas. CMMI supports two improvement paths using levels. One path enables organizations to incrementally improve processes corresponding to an individual process area (or group of process areas) selected by the organization. The other path enables organizations to improve a set of related processes by incrementally addressing successive sets of process areas.

These two improvement paths are associated with the two types of levels: *capability* levels and *maturity* levels. These levels correspond to two approaches to process improvement called “representations.” The two representations are called “continuous” and “staged.” Using the continuous representation enables you to achieve “capability levels.” Using the staged representation enables you to achieve “maturity levels.”

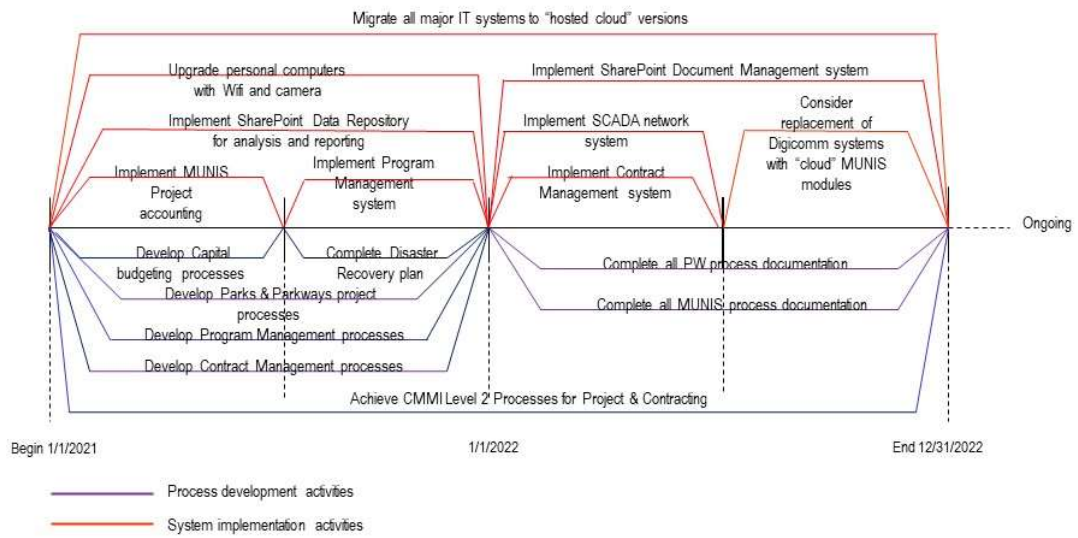
A capability level 1 process is characterized as a *performed process*. A performed process is a process that accomplishes the needed work to produce work products; the specific goals of the process area are satisfied.

A capability level 2 process is characterized as a *managed process*. A managed process is a performed process that is planned and executed in accordance with policy; employs skilled people having adequate resources to produce controlled outputs; involves relevant stakeholders; is monitored, controlled, and reviewed; and is evaluated for adherence to its process description.

In summary, reaching capability level 2 for the project management and contracting process areas is equivalent to saying that there is a policy that

indicates you will perform the processes. There is also a plan for *how the processes are performed*. The plan describes how resources are provided, how responsibilities are assigned, how training to perform the process is provided and the selected work products related to performing the process are controlled. In other words, a capability level 2 process can be planned and monitored just like any project or support activity.

Implementation Roadmap



Appendix A

Organizational systems provide a methodology to describe the internal characteristics of an organization. They create a basis for measuring and comparing organizations. Organizational systems include *culture* (the behavioral patterns, habits and conventions generally adopted within the organization), *structure* (the definition of jobs and the reporting hierarchy per organization chart, as well as the processes that combine people into teams as work flows across organizational boundaries), *internal efficiency* (the budgeting, priority setting, project-approval, and tracking processes which determine how resources flow through an organization and to its clients), *methods & tools* (the procedures, methodologies, skills, and tools that people in an organization use), *metrics & rewards* (the feedback loops that inform people about how they are doing in time to adjust their behavior, and the incentives for improving performance).

FOCUS GROUP RESPONSE (Number of Responses)	Culture	Structure	Internal Efficiency	Methods & Tools	Metrics & Rewards
Provide customer online access via website for all City services. (6). <ul style="list-style-type: none"> • Payments for services, events, etc. • Forms, applications, etc. 			X	X	
Need improvements in IT technology (10). <ul style="list-style-type: none"> • Upgrade MUNIS system to include latest functionality • Inadequate electronic document management • Wifi network (slow response) • Fully implement SCADA system for all infrastructure equipment • Remote recording devices for PW field operations • Improve communications system between field employees and PW office (e.g. hand held radios) 			X	X	
Improve project cross-functional processes and communications (12). <ul style="list-style-type: none"> • Improve cross-functional communications between depts • Improve project management process to provide more timely feedback for project inspections, project documentation, project approvals and payments • Improve project status feedback from external engineering contractors to PW superintendents • Improve communication/collaboration between Planning and PW for residential site planning • Improve PW work order process to establish “measurement” report(s) on disposition of work orders 		X	X		

FOCUS GROUP RESPONSE (Number of Responses)	Culture	Structure	Internal Efficiency	Methods & Tools	Metrics & Rewards
Provide employee training (5). <ul style="list-style-type: none"> • Provide incentives to employees for certification training • Provide “professionalism” training when communicating with irate citizens/customers • Provide employee cross training to better support/understand other functional areas 	X			X	X
Inadequate staffing levels (7). <ul style="list-style-type: none"> • Address “unfilled positions” causing manpower shortages • Need full time code enforcement from start to finish of CLURO regulations • Current manpower does not allow timely cutoff of delinquent utility services • Need additional administrative staff for Planning (losing experience due to retirement) 		X	X		
Improve administrative processes (13). <ul style="list-style-type: none"> • Improve A/P process communications for both department directors and outside vendors to follow the existing procedures • Improve public records request to eliminate unnecessary steps • Improve hiring process to significantly reduce time from advertising to hiring • Improve responsiveness from City Attorney for responding to public records requests, subpoenas and contracts • Improve purchasing process providing more timely submittal of required documentation • Within state law, improve flexibility for purchasing parts and fuel (i.e. blanket PO) • Implement improved purchasing for “supplies” for events at the Community Center • Allow use of credit card for rental fees for Community Center 		X	X		
Improve intra-office communications (8). <ul style="list-style-type: none"> • Improve communications with staff (calendars, availability) to better respond to incoming telephone requests • Implement automated call routing and recorded messaging on City telephone system • Improve communications between departments and management 			X		
Implement/change policies (4). <ul style="list-style-type: none"> • Need policy on personal telephone calls during working hours • Allow pre-court diversion program for Mayor’s court • Implement collection agency for past due water bills • Improve code and citation enforcement for code violation and for littering/dumping on public parks and City right-of-ways 	X				
Improve utilization of GIS system (1). <ul style="list-style-type: none"> • Reviewing available utility services prior to approval of permit 			X		
Need additional office and meeting space for Planning (3). Review Civil Service pay scale for PW employees (3).				X	X

FOCUS GROUP RESPONSE (Number of Responses)	Culture	Structure	Internal Efficiency	Methods & Tools	Metrics & Rewards
Improve communication/cooperation between Planning and Corp of Engineering in determination of “wetlands” classification (1) ORGANIZATIONAL SYSTEMS TOTAL RESPONSES	9	32	X 58	24	8

Appendix B

2010 OPERATIONS EFFICIENCY REVIEW STATUS OF REMEDIATION RECOMMENDATIONS

ALL DEPARTMENTS

2010 Recommendations	2010 Response/Planned Remediation	2020 Status
<p>1. System access to modify and input payroll data should be designated to employees not participating in processes mentioned above. Personnel responsible for these processes should communicate any needed changes to the designated employees for system entry, and review and/or approve final payroll again after changes have been applied</p>	<p>All payroll duties are, and always have been, segregated. Departmental supervisors or secretaries are the only employees allowed to edit time and they cannot edit their own time.</p>	<p align="center">COMPLETED</p> <p align="center">DigiTime system biometrically records employee time.</p>
<p>2. One employee should accept payments and maintain a cash log, a separate employee should process the payment in the system and provide receipt, and neither of these employees should have system rights to modify account data. For completeness, the recording employee should compare original log to a system-generated report.</p>	<p>Two separate Finance employees accept payments Since the City employs only one utility billing clerk, this clerk processes payments and adjustments in the utility billing system. A fourth Finance Dept. employee approves adjustments (including any modifications to utility billing accounts). This is a new step. The accountant (5th different employee) compares system-generated report to daily bank deposits.</p>	<p align="center">COMPLETED</p>
<p>3. For payments processed in Blue Prince, a separate employee other than the recording employee should balance the cash and cash log to the amount in the Munis system and prepare for deposit.</p> <p>For cash receipt functions in which payment entry interfaces with the Munis system, a separate employee other than the payment processor should compare the cash log to the system and prepare the deposit. There should be documentation to support that the review function has been performed, such as a form or sign off on the cash log.</p>	<p>Corrective action implemented: Permits clerk now processes payments in Blue Prince and then issues report with the funds attached to Accounts Receivable in Finance Dept. who records in the accounting system and deposits the funds.</p> <p>Duties have been separated: one employee processes payment, one employee prepares deposits.</p>	<p align="center">COMPLETED</p>

<p>4. Cash and any other liquid assets should be kept in a secure location that is locked and access is restricted. Mailroom activity should be limited to authorized personnel</p>	<p>Cash is rarely received and processed in the mailroom. Because cash is rarely received in the mailroom, it is not feasible to restrict access because employees have to retrieve their mail and this is where the main copier/scanner is located.</p> <p><u>Corrective Action Implemented:</u> A locked cash drawer has now been implemented in the Permits Dept. Now there are locked cash drawers in each location where cash is accepted.</p>	<p>COMPLETED</p>
<p>5. Policies and procedures should be drafted and formally documented. Final documents should be provided to all personnel. See specific department details for policies to be drafted.</p>	<p>The City has always operated from the guidelines established by the City Ordinances and adopted Financial Policies. Finance Departmental Policies and Procedures are documented and updated at least annually. Every Finance Dept employee has informal job instructions <u>but the Finance Dept will work on producing a more detailed procedure manual.</u></p>	<p>INCOMPLETE (See Section 4.4)</p>
<p>6. Policies should be reviewed, updated, and approved on an annual basis.</p>	<p>[No response from City]</p>	<p>INCOMPLETE</p>

<p>7. A job audit should be performed to ensure current job titles and descriptions concur with duties required of each position. Job descriptions should reflect the responsibilities of position and not those of the individual employee and responsibility should be delegated accordingly. Job descriptions should be specific and outline tasks required. In addition, job descriptions should be reviewed, updated, and approved annually.</p>	<p>Job Audits – While each job position (and job description) in the City of Mandeville is reviewed by both the employee and supervisor at the individual employee’s Annual Performance Review we will engage in a more comprehensive review of each department/division. The comprehensive review will be taken from a strategic approach. The review will include individual job duties strategically working with the other divisions within their department and other departments within the City organizational chart. <u>Each Supervisor will be trained using best practices as found in the Human Resources community and provided a template for conducting a job audit.</u></p> <p>The Organizational Audit recommended that the Director of Public Works have a job description. This job description is being developed and in draft form at this time. While reviewing the needs for job descriptions it was discovered that two other Directors/Department Heads lacked an official job description. <u>Those positions are for the Director of Planning</u> and the Director of Finance. Those job descriptions are also being developed and are in draft form at this time.</p> <p>HR Department –will provide training/template to all Supervisors in Public Works department, Finance department and Planning department to be used in job audit. (See specifics under each department.)</p>	<p>ONGOING</p>
<p>8. Job responsibilities should be reviewed and delegated appropriately to ensure adequate segregation of duties. In addition, personnel should receive cross training with other positions. Scanning should be centralized. This will improve document retention and efficiency.</p>	<p>Departmental Job Audits will be scheduled to identify current duties and cross training to insure responsibilities adequately cover the responsibilities of the department.</p>	<p>COMPLETED</p>

<p>9. Indexing of scanned documents should be consistent among all departments to enhance accessibility to required documents.</p>	<p>Indexing, scanning and document retention will follow specific city guidelines to insure all Secretary of State requirements are met.</p>	<p>INCOMPLETE</p>
<p>10. There are various computer systems which do not interface with the primary system throughout the departments. A committee should be designed to make decisions on system applications to prevent inefficiencies from occurring in the future.</p>	<p><i><u>A technology plan is in the works and will be completed to address the needs of all departments to include document scanning, indexing, GIS, on-line services, equipment and software.</u></i> The plan will address the needs of each department and the coordination needed to provide a better integrated working relationship between departments.</p>	<p>INCOMPLETE</p>

INFORMATION TECHNOLOGY DEPARTMENT

2010 Recommendations	2010 Response/Planned Remediation	2020 Status
<p>1. An organization wide business continuity and disaster recovery plan has not been formally drafted. The plan should include, but is not limited to: procedures to test plan, key members of the disaster team, vendor contact information, declaration process, prioritization of systems to be recovered, and consideration for multiple disasters (fire, flood, power outage, smoke).</p>	<p>Business continuity and Disaster recovery – All aspects of this process will be part of the unified technology plan. <u>The written plan will be finished by Q2 2011 and implementation will be finished by Q3 2011.</u></p>	<p>INCOMPLETE (See Section 4.4.3)</p>
<p>2. A formal information system operations procedure has not been developed which documents the process to backup key data and information. The policy should include but is not limited to: job scheduling, tape rotation schedules, offsite storage facilities, backup types, backup schedules, utilities to perform backups, identification of individuals responsible for performing backups, FAQs related to backup processing problems, procedures required for backups in the event of a disaster.</p>	<p>The Backup process is in place – formal documentation of the process will be finished by Q2 2011.</p>	<p>COMPLETED (Digicomm supports all backup operations)</p>

<p>3. A formal information security policy has not been developed which should include:</p> <ul style="list-style-type: none"> • Data access points (ex. application, network, remote) • Administrative processes (ex. user setup, removal, user review) • Data Ownership, including classification of data by priority and risk • Data Owners • Physical Security • Individuals responsible for maintaining security, procedures to address information security during a disaster • Security monitoring and violation reporting procedures • Procedures to address misuse of access 	<p>Currently the policies have be managed by the network administrator – on a department, application, user and access basis – all bundled into user and application security rights. This policy will be formally documented for the departments by Q3 2011.</p>	<p>COMPLETED</p>
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<p>4. It was identified that a city-wide record retention policy was currently being developed by the City Clerk. The following information should be included in a record retention policy:</p> <ul style="list-style-type: none"> • Name of file retained • Retention period • Type of document • Location of documentation <p>When a document has passed the required retention period, a policy should be established to provide procedures for accurately destroying that information. The procedures should address both physical records and electronic media. The destruction policy should include: approval and request to destroy records, exceptions for destruction (i.e. litigation), environmentally safe destruction procedures, and vendors authorized for document and media destruction. A form should be used to document the destruction process which includes verification of destruction, method of destruction, description of disposed records, dates covered, approval to destroy records, and signature of witnesses.</p>	<p>Record retention will be documented based on the City Clerk's policy and the processes will be formalized by Q4 2011.</p>	<p>PARTIALLY COMPLETED</p>
<p>5. A formal description should be developed to identify the relationship of the outsourced IT service provider and responsibilities to the City of Mandeville Government.</p>	<p>These details are documented in the contract terms with the City of Mandeville.</p>	<p>PARTIALLY COMPLETED (Contract with Digicomm does not identify specific support services beyond the general statement of "computer software, network, server and technology consulting")</p>

<p>6. A formal IT steering committee has not been established. Currently, there is a need for a formal IT Governance process and communication forum between the various departments. Members should include at a minimum the IT Service Consultant, Finance Director, Public Works Director, Planning & Zoning Director, and HR Director. The benefits and purpose of the IT Steering Committee include: approval of updates to existing policies and procedures, review of upcoming changes to the computer environment and necessary downtime, a forum for discussing any IT related needs from the various departments as well as other governmental entities, assessing requests for new applications or modifications to existing application or functionality, requests for procuring new IT assets, and communication of IT issues among government offices. This should also be a forum to discuss any changes to the government website, as a process for updating the site has not been formalized.</p>	<p>City of Mandeville IT consultant DigiComm Systems has undertaken and begun a unified IT plan. During the process all needs from departments are gathered and reviewed by the Mayor and the Director of Finance. The plan brings together all departments collaborative needs. Additionally, each department will have their specific disaster recovery needs reviewed and documented. These plans identify obsolescence, acquisition of new software and hardware technologies, and continued improvement in best practices based on the available technologies. Technology planning and implementations will be discussed on a regular basis at staff meetings. <u><i>A more formal timeframe for the IT advisory committee will be agreed upon by Q2 2011. The proposed steering committee would be the Director of Finance, IT consultant, and the Mayor. The plan should completed by June of 2011.</i></u> The website update process has been communicated previously via email to all departments but will be formalized in a perpetual process document by Q3 2011</p>	<p style="text-align: center;">INCOMPLETE (No formal IT Plan exists only annual budgeting discussions with department Directors)</p>
<p>7. Ensure that all system interfaces have been properly implemented and are running effectively. Certain functions are processed manually even though a system interface is available.</p>	<p>All interfaces are address in the IT planning document.</p>	<p style="text-align: center;">UNABLE TO IDENTIFY REFERENCED INTERFACE REQUIREMENTS</p>

<p>8. System Inefficiencies-</p> <ul style="list-style-type: none"> • Utility Payments - Credit cards are not accepted for utility payments • PTS - PTS system for the City Court Clerk is not always reliable • GIS - The GIS system has not been fully implemented <p>Telecommunications - The telephone system has limitations in the number of users it can handle. An update of the current telephone system should be considered</p>	<p>Utility payment will be live by June 2011</p> <ul style="list-style-type: none"> • PTS system will be replaced by a grant for a new system by Q1 2012 • GIS implementation should be complete Q3 2011. • The phone system is not limited by the number of users it can handle. The consultant is wrong about this. They did not talk with anyone who knows the system. 	<p>PARTIALLY COMPLETED (Utility payments OK)</p>

PUBLIC WORKS DEPARTMENT

2010 Recommendations	2010 Response/Planned Remediation	2020 Status
<p>1. System access to input and modify payroll data should be designated to employees not participating in processes mentioned above. Personnel responsible for these processes should communicate any needed changes to the designated employees for system entry, and review and/or approve final payroll again after changes have been applied.</p>	<p>Currently Superintendents and Asst. Superintendents are responsible for their dept. They all need a refresher course on the payroll system. We will be scheduling work sessions with the Finance Dept. over the next three months.</p> <p>Designate Public Works Secretary to verify correctness of payroll before submittal.</p> <p>Public Works Director will authorize submittal.</p>	<p style="text-align: center;">COMPLETED</p> <p style="text-align: center;">DigiTime system biometrically records employee time.</p>
<p>2. Back up documents should exist for all files by storing copies of original documents at an off-site location and/or online. An online back-up application should be considered. In addition, the location of scanned documents should be disseminated to employees so that they are easily accessible.</p>	<p>The area with this problem is at the treatment plant. All records must be kept on site for inspections and most of them are done by hand. A retention policy will be implemented. The city clerk is working on a policy for proper retention of all city records.</p> <ul style="list-style-type: none"> • Introduction of hand held computers and SCADA(Supervisory Control and Data Acquisition) will allow the data to be stored on computer hooked up to city server to allow for backup to be stored off site. • <u>SCADA is being installed with the current plant upgrade that should be done in 3 months. Training is included with the installation.</u> • <u>Hand held computers are in the budget along with the design of the program that will allow personnel to be able to capture data on site from around the plant and transfer it to the computer network.</u> • All paper files must be stored at the plant for spot inspections by DEQ and EPA. 	<p style="text-align: center;">INCOMPLETE</p> <p>SCADA system is not operational. Waiting on new radio band network to connect water towers and lift stations. Hand held computers (tablets) were purchased but no longer used in field to update WO.</p>

<p>3. Overtime work and vehicle usage should be monitored through the use of tracking devices and implementation of review procedures. A policy should be implemented to require regular overview of overtime reported and vehicle usage, and review procedures for specific amounts in excess and any discrepancies or outliers, i.e. a review of an employee's whereabouts is performed for jobs after the first call out that took an excess of three hours to complete.</p>	<p>Requesting that money be funded for the 2012 budget. The dept. is currently scheduling meeting with various vendors to determine which system would be best suited for the dept.</p> <ul style="list-style-type: none"> • <u>We are also working on a new policy that will be implemented once the GPS tracker is installed.</u> • GPS will be used to track and assess movement and help reduce fuel cost. 	<p style="text-align: center;">PARTIALLY COMPLETE</p> <p>GPS installed in 75% of trucks but not used to track and assess movement and help reduce fuel cost.</p>
<p>4. Tools should be tracked using a system-tracking application or excel spreadsheet. Tools should be inventoried on a regular basis to mitigate the risk of unauthorized usage of tools. Purchases should be made by a designated employee as needed based on tracking data to increase efficiency and decrease expenditures. A standard set of tools and equipment should be loaded on each truck, with tools labeled by truck number.</p>	<p><u>Public Works superintendents will now perform inspections on a quarterly basis.</u> We are looking into ways to mark all tools to the associated truck number so tools are not transferred from one truck to another.</p> <p><u>Long term we are trying to add to IT plan to incorporate hand held instruments in vehicles that would tie into the work order system that would allow us to also track the use of all tools.</u></p>	<p style="text-align: center;">PARTIALLY COMPLETE</p> <p>Tools are inventoried annually. The Work Order system has the capability to assign equipment to a truck but this function is not being used.</p>
<p>5. Implementation of policy to include all purchase requisitions must be approved by a designated employee prior to purchasing.</p>	<p>Superintendents and Asst. Superintendent have ability to purchase up to \$500.00.</p> <p>Other employees will need to get verbal permission to make purchases over \$50.00.</p>	<p style="text-align: center;">COMPLETED</p>

<p>6. A formal policy should be drafted to outline procedures for handling internal work orders and external requests. The policy should outline recurring steps for system entry, tracking, and filing the work order and specific requirements for handling citizen requests. In regards to citizen requests, procedures should outline the timeline for call response and completion and specify actions required for various scenarios, i.e. which situations require direct contact, courtesy or scheduling calls, or door hangers. This will provide a standard practice to improve consistency among the various work crews and present a formalized protocol for dealing with citizens.</p> <p>Requirements regarding citizen letters should be formally documented. The policy should also specify timeline requirement for letter delivery.</p>	<p>Current work order system is old and needs to be updated. Part of the Public Works IT plan will be to <u>upgrade work order system and to improve it base of the problems we have had with the current system.</u></p> <p>Currently it is very time consuming process for the clerk to input data into the system. We include all work orders into the system.</p> <p>We generate internal work orders for daily operations as well as ones created from complaints from the citizens.</p> <p>Once the work order is generate for the dept. the dept. Superintendent reviews and schedule the work. It will be his responsibility to inform the citizen on the work schedule.</p> <p>Once work is complete the completed work order is returned to the clerk and entered into the system. Complete work orders are run weekly and any of them generated by citizen complaint are labeled and a follow up letter is drafted and sent to the Mayor for signature.</p>	<p style="text-align: center;">PARTIALLY COMPLETE</p> <p>A new work order system was developed and installed (DigiWork). There is no formal “policy” on the procedures for handling internal work orders and external requests.</p> <p>The new work order system is NOT BEING USED as designed and there is no citizen notification after work order is closed.</p>
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<p>7. A policy should be drafted and included in the Employee Manual related to certification requirements for the Public Works Department. The policy should summarize what is required for each position and/or department, including water certifications, various driving requirements, and operator licenses.</p>	<p>All water and sewer employee are required to be certified in accordance with the Sanitary Code</p> <ul style="list-style-type: none"> • Each sewer and water employee is constantly working toward different levels of certification. • Once the employee is certified he must continue to have so many hours of instruction per year base on the level of certification. • There are 4 levels of certification in both water and sewer with 4 certificates in each level. <p><u><i>For each level of certification the employee should be paid a monthly stipend as long is his certification is current. Public Works Director will propose a pay plan in the 2012 budget.</i></u></p>	<p style="text-align: center;">ACTIVE/ONGOING</p> <p style="text-align: center;">No policy developed and no monthly stipend paid for employee certification levels as incentives.</p>
<p>8. A rotation policy should be drafted to include specific equipment expectancy, indicating how long it will be maintained by the City and procedures for eliminating old equipment, i.e. every so many years, specific equipment is replaced and the old equipment is donated or disposed.</p>	<p>Not a major problem. We evaluate older equipment on the basis of cost to repair vs. replace.</p>	<p style="text-align: center;">ACTIVE/ONGOING</p> <p style="text-align: center;">Annual inventory review</p>

<p>9. A job audit should be performed to ensure current job titles and descriptions concur with duties required of each position. Job descriptions should reflect the responsibilities of position and not the individual employee and responsibility should be delegated accordingly. Job descriptions should be specific and outline tasks required. In addition, job descriptions should be reviewed, updated, and approved annually.</p>	<p>Each of the Following Employees will be responsible for completing the job audits of their direct reports.</p> <ul style="list-style-type: none"> • (Public Works Department Director – Engineering Assistant, 3 Superintendents, Secretary, Clerk I- Receptionist • Engineering Asst. – Field Representative • Water Works Superintendent – Plant Operator, Asst. Super. Water, Asst. Super. Sewer • Streets Superintendent – Crew Chief, Equipment Operator, MWII Streets, MWI Streets • Bldgs & Grounds Superintendent- Crew Chief, Asst. Super. Bldgs/Grounds, Equipment Operator, MWII, MWI • Asst. Superintendent- Water – Crew Chief, Equipment Op., MWII, MWI • Asst. Superintendent - Sewer – Crew Chief, TV Technician, Equipment Op., MWII, MWI 	<p style="text-align: center;">ACTIVE/ONGOING Under review</p>
<p>10. Public Works Director. There is no formal job description. Job description should be drafted to include required responsibilities. Job description should also be approved by the appropriate authority.</p>	<p>The Organizational Audit recommended that the Director of Public Works have a job description. This job description is being developed and in draft form at this time.</p>	<p style="text-align: center;">COMPLETED</p>

<p>11. Procedures for overtime work should be evaluated, as there may be a more efficient and effective approach to handle these situations.</p> <p>Currently, on-call crew members have to come to the office, clock in, and switch vehicles before heading to the job site. This would involve a different method of reporting overtime. However, on the first call, crew members get paid for at least three hours no matter the duration of the job. Therefore, the important factor is what time they clock-out because clock-in time can be tracked by incoming calls.</p>	<p>Currently working on a policy and would look to implement based on budget constraints.</p>	<p style="text-align: center;">COMPLETED</p> <p style="text-align: center;">Currently there is an annual calendar of “scheduled overtime” for weekend and after hours duty. If an emergency exists that requires more manpower then additional crew is on “callout overtime” for that emergency.</p>
<p>12. Public Works Department radios should be upgraded, as they are not reliable to contact crews for priority situations.</p>	<p>There is currently a parish wide discussion on the radio system. There is a new system that will work on a state wide network. The cost parish wide is around \$30,000,000</p> <p>The Public Works is looking at radios that would work for us now and have the ability to transfer to the state wide system once a decision is made.</p> <p>DPW is currently working on an RFQ to determine if more money will need to be budgeted in the 2012 budget.</p>	<p style="text-align: center;">COMPLETED</p> <p style="text-align: center;">All radios use City provided radio network</p>
<p>13. Computers are currently using Word 2003. Upgrade is recommended</p>	<p>We will address this in the public works IT plan.</p>	<p style="text-align: center;">COMPLETED</p>

<p>14. In regards to school fieldtrip tours, an analysis of the benefit as compared to costs and time is recommended to determine if these should be continued.</p> <p>The City is paying approximately \$60,000 per year to provide for these field trips. If the City elects to continue to provide these field trips, then it should look for funding sources that may reduce the direct cost to the City</p>	<p>We are currently applying for an EPA grant. This program was started by receiving an EPA grant years ago. The biggest problem we are running into is that there are plenty of grants to start a program but very few to keep the program going. If we make it a 501(c) 3 can we get donations to help keep it going and reduce the burden to the city?</p>	<p>ACTIVE/ONGOING (Paused during COVID)</p>
<p>15. Grass at the treatment plant is being cut by inmates, crew members in the Sewer Department, and contract workers.</p> <p>This delegation should be reviewed to determine if there is a more cost effective approach</p>	<p>Current contract has not been modified in year. Will look at current contract and make adjustment and rebid at the end of the year.</p>	<p>COMPLETED</p>
<p>16. The Sewer and Water Department should implement hand-held computers when dealing with lift station pumps. Currently, procedures involve excess steps and computers are unreliable. Efficiency would improve as data would be entered on-site, the computers would populate the data, and results would be identified at that time. Any responses to problems would be handled at that time instead of leaving and returning to the site after entering all the information.</p>	<p>This is in the current budget and we can roll this out in 3 to 6 months</p>	<p>INCOMPLETE</p> <p>SCADA system implementation will monitor and capture relevant operational data that will be stored in the system electronic files.</p>

<p>17. The City should consider implementing SCADA for its lift stations. SCADA stands for Supervisory Control and Data Acquisition. It generally refers to industrial computer systems that monitor and control industrial, infrastructure, and/or facility-based processes. Infrastructure processes may be public or private, and include water treatment and distribution and wastewater collection and treatment. Basically, this is a system that allows personnel to remotely control and monitor the plant. Real-time data is collected and historical data is stored.</p>	<p>This is will greatly enhance the capabilities of public works. We currently have over 75 lift stations citywide. They are all set up to receive SCADA. The cost will be to run cable line, phone line or radio tower to each lift station so we can communicate to each site. This is the high cost which has prevented the city from switching over to SCADA. Once you have communication you will have to pay for either the cable modem or DSL modem for each station. This could be \$24,000 a year fee just for the service and do to the sewer gases at each site could be a very costly maintenance problem. We will reevaluate the cost in 2012</p>	<p style="text-align: center;">INCOMPLETE</p> <p style="text-align: center;">Currently in process of implementing radio network to support water towers and lift stations which already have SCADA system capability.</p>
<p>18. Scanning should be centralized to a specific employee and document indexing should be formalized to make the process more efficient and maintain location of original documents</p>	<p>The city clerk is working on a record retention plan city wide. The public works dept. will follow the requirements as the plan dictates.</p>	<p style="text-align: center;">ACTIVE/ONGOING</p>
<p>19. Structure and consistency should be applied to daily operations and equally among the various departments. Disciplinary procedures should be the same for all departments</p>	<p>Based on the finding of this audit the public works dept. has implemented a disciplinary review board that consist of all the superintendents so they can discuss and be consistent with disciplinary judgment throughout each dept. in public works</p>	<p style="text-align: center;">COMPLETED</p> <p style="text-align: center;">Disciplinary reviews are conducted by Civil Service board if required.</p>

FINANCE DEPARTMENT

2010 Recommendations	2010 Response/Planned Remediation	2020 Status
<p>1. Various employees have access to the mailroom, prepare deposit slips, and make bank deposits. The employee responsible for processing cash receipts can also accept payments and open mail.</p> <p>Employees involved in the cash receipts cycle should not have access to the mailroom. Duties mentioned above should be performed by separate employees.</p>	<p>As stated before, payment acceptance/processing has always been segregated. Because of our size and a limited number of employees, there are times when employees are on leave and another employee must assume those duties temporarily. (Finance Dept employees are cross-trained in order for work to continue and to get money in the bank during vacation/sick leave absences).</p>	<p>COMPLETED</p>
<p>2. The initiation of purchase orders and accounts payable functions should be segregated. The Purchasing Agent supervises the accounts payable process and has access to the accounts payable system.</p> <p>The Purchasing Agent should not have access to the accounts payable system, as these positions should be segregated</p>	<p>Corrective action implemented. Purchasing Agent's duties have been segregated from Accounts Payable clerk duties. Purchasing Agent will no longer supervise the accounts payable process</p>	<p>COMPLETED</p>
<p>3. Processing of cash receipts should be segregated from processing customer complaints and investigating and adjusting discrepancies. The employee responsible for processing cash receipts handles customer complaints and has system access to adjust meter readings</p> <p>The employee responsible for processing cash receipts should not handle customer complaints or have access to modify billings.</p>	<p>Corrective action implemented. Approval from utility billing manager is required for utility billing clerk to make any changes or adjustments to accounts.</p>	<p>COMPLETED</p>

<p>4. Processing of cash receipts should be segregated for delinquency account and fee assessment. The employee responsible for processing cash receipts handles delinquent accounts, including review procedures, fee assessment, scheduling of utility cutoffs, and can adjust penalty fees. This increases the risk that fees are not properly assessed to all necessary accounts and necessary accounts will not be cutoff for non-payment.</p> <p>The employee responsible for processing cash receipts should not handle customer complaints or have access to modify billings.</p>	<p>Corrective action implemented. Approval from utility billing manager is required for utility billing clerk to make any changes or adjustments to accounts.</p>	<p>COMPLETED</p>
<p>5. Payroll processing and disbursements should be segregated. The employee responsible for processing payroll also prints checks that have automatic signatures.</p> <p>Payroll disbursements should be prepared by an employee other than the payroll processor.</p>	<p>Because the City has a limited number of employees and because of the confidentiality of payroll information, there is only one employee who maintains payroll processes. Payroll is less than 125 employees. Finance Director approves detailed Payroll report prior to the printing of checks.</p>	<p>COMPLETED</p>
<p>6. Customer account billing adjustments should require additional approval. Utility usage can be adjusted by two employees in the department without approval. In addition, there are no review procedures for consideration of population completeness.</p> <p>Usage adjustments should require approval. Approvals should be documented in the system or using a standard form. A system-generated report of fee adjustments should be reviewed monthly to evaluate the complete population for any unauthorized or fraudulent adjustments. This should be drafted to formal policy.</p>	<p>In response to all recommendations: Corrective action implemented. All changes/adjustments in the utility billing system require prior approval by the utility billing manager, who supervises the utility billing process.</p>	<p>COMPLETED No formal policy</p>

<p>7. Fees waived and necessary accounts that are not cut off should be reviewed by a designated authority. The same employee handles delinquent accounts, assesses and modifies penalty fees, and schedules utility cutoffs. Waivers and extended cutoffs are not approved, and there are no review procedures for consideration of population completeness.</p> <p>Waiver of fees and cutoffs that are extended should require approval. Approvals should be documented in the system or using a standard form. A system-generated report of waivers and necessary accounts that were not cut off should be reviewed by a designated employee to evaluate the complete population for any unauthorized or fraudulent activity. This should be drafted to formal policy.</p>	<p>Corrective action implemented. All changes/adjustments in the utility billing system require prior approval by the utility billing manager, who supervises the utility billing process.</p>	<p>COMPLETED No formal policy</p>
<p>8. Delinquent accounts should be reviewed by a designated employee. Review of delinquent accounts is performed by the employee responsible for processing cash receipts, billing adjustments, late fee assessment and modification, customer complaints, and cutoffs.</p> <p>A system-generated report of delinquent accounts by days past due should be reviewed by a designated employee to verify significant delinquencies are properly authorized, fees are properly assessed and appropriate accounts are being cut off in accordance with policy. The designated employee should be separate of the cash receipts function and not have user access to modify fees or account data.</p>	<p>Corrective action implemented. All changes/adjustments in the utility billing system require prior approval by the utility billing manager, who supervises the utility billing process.</p>	<p>COMPLETED No formal policy</p>

<p>9. Mailroom. Policy should state who has access rights, and who is to perform these functions in the event of employee absence.</p>	<p>Cash is rarely processed in the mailroom. All City employees have to have access to copier/scanner, mailboxes, etc.</p>	<p>N/A</p>
<p>10. Cemetery. The policy should be structured to document pricing, sales procedures/requirements, and document storage/maintenance.</p>	<p>City Ordinances provides all guidelines for all Mandeville Cemetery processes.</p>	<p>N/A Ordinance # ?</p>
<p>11. Check signing authorities. Currently, checks are signed by the Finance Director, the Mayor, or Mayor's administrative assistant. Checks are printed with automatic signature. Check signing authorities and dollar limitations should be drafted to formal policy.</p>	<p>Corrective action implemented: Prior to accounts payable checks being processed, the Warrant report of checks to be processed requires 2 authorized signatures.</p>	<p>COMPLETED</p>
<p>12. Approved vendors. Vendors should be approved and the approved list and approval requirements should be documented in the purchasing policy.</p>	<p>The City does not see the need for an approved vendor list. The City follows all purchasing procedures established by LA R.S. 38:2211-2296 (Title 38/Public Bid Law). According to Public Bid Law – there is no pre-qualification of vendors in order for them to bid on a formal bid project. Formal solicitations are advertised in the City's legal journal and Daily Journal of Commerce, both of these entities post the ad on their online service that is broadcast nationally. The Purchasing Agent does keep an informal manual list of vendors who have supplied information to the City. The City solicits as many vendors as possible for bids or proposals. If a policy mandated that the City have an approved vendors list, the City would have to have the proper software to provide the database that could maintain the list and properly notify vendors of bids. Such a database is driven usually by commodity classifications for the right vendors to get the right bid information. The City of Mandeville does not use commodity codes</p>	<p>N/A</p>

<p>13. Delinquent payments. A policy listing delinquent account procedures should be drafted. Policy should include penalty amounts that correlate to days delinquent. Policy should also include cutoff procedures and specifications that result in discontinued service.</p>	<p>City Ordinance addresses delinquent payments. Finance Department's Policies and Procedures already address this issue.</p>	<p>Ordinance # ?</p>
<p>14. New/closed account services. A policy should be drafted specifying new account procedures, including application requirements and deposit amounts. The policy should also include a refund policy and timeline for refund distribution</p>	<p>Is also covered in City Ordinances</p>	<p>Ordinance # ?</p>
<p>15. Billing. A policy should be drafted to include a deadline for when bills must be mailed, process for handling billing complaints and review/approval procedures for billing adjustments.</p>	<p>Covered in City Ordinances.</p>	<p>Ordinance # ?</p>
<p>16. NSF Payments. A policy should be drafted to include procedures for NSF payments. Policy should state for each day payment is not received, the steps the City will take for contacting the customer and obtaining payment.</p>	<p>City works with and follows St. Tammany Parish District Attorney's Office guidelines in handling NSF payments.</p>	<p>IN PROCESS</p>
<p>17. Pet Project. A policy should be drafted to outline requirements and fees regarding the project</p>	<p>Pet Project should be reviewed and reevaluated as a service that the City provides</p>	<p>INCOMPLETE</p>

<p>18. Customer Complaints/Requests. There is no policy or procedure for handling customer complaints. Policy should outline required steps to handle complaints or requests, and should also include procedures to document the nature of the call for record keeping in the event there are multiple complaints.</p>	<p>City of Mandeville has had excellent feedback on how complaints are handled. The City will work on developing a formal written complaint process.</p>	<p style="text-align: center;">INCOMPLETE</p>
<p>19. Financial Close. A policy should be in place to outline required month-end close procedures, including reconciliation requirements, review procedures, accruals/journal entries, etc.</p>	<p>Finance Dept. follows generally accepted accounting principles (GAAP).</p>	<p style="text-align: center;">INCOMPLETE</p>
<p>20. Refunds. A policy should be drafted to include refund policy of service deposits and time frame for when the City will have them paid after service is discontinued.</p>	<p>MUNIS accounting software program automatically processes monthly water/sewer deposit refunds</p>	<p style="text-align: center;">COMPLETED No formal policy</p>
<p>21. Per policy, the City will maintain a strong internal audit function. No formal internal audit function has been implemented.</p>	<p>The City Council is working on developing an internal audit function.</p>	<p style="text-align: center;">INCOMPLETE</p> <p style="text-align: center;">City Council created an Internal Audit Committee (Ord 08-39) and then amended the Committee membership(Ord 10-04)</p>
<p>22. Per policy, the City will maintain a centralized purchasing system where all government purchases will be coordinated by the Finance Department. Purchases of supplies for the police department are not orchestrated through the Finance Department</p>	<p>The Finance Dept is working toward all purchases for the police dept to be procured by the Purchasing Agent in the Finance Dept.</p>	<p style="text-align: center;">COMPLETED</p>

<p>23. Job titles and descriptions should accurately reflect personnel responsibilities.</p> <p>A job audit should be performed to ensure current job titles and descriptions concur with duties required of each position. Job descriptions should reflect the responsibilities of position and not the individual employee and responsibility should be delegated accordingly. Job descriptions should be specific and outline tasks required. In addition, job descriptions should be reviewed, updated, and approved annually</p>	<p>HR Department - provide training/template to all Supervisors in Finance department to be used in job audit,</p> <p>Employee responsible for completing the job audits of their direct reports.</p> <ul style="list-style-type: none"> Finance Director - Clerk I-Receptionist, Clerk I - Mailroom Clerk, Clerk I- Sales Tax Assistant, Clerk I- Data Entry Clerk, Sales Tax Administrator, Clerk II- Utility Billing, Clerk II- Accounts Payable & Purchasing, Bookkeeper, Purchasing Agent/Accts Payable, Accountant, Sr. Accountant, Clerk II – Court Clerk, Clerk II- City Clerk 	<p>ACTIVE/ONGOING</p> <p>Under review</p>
<p>24. To improve efficiency of the purchasing cycle, purchasing requirements should be communicated and implemented by the Department Heads. This will decrease time spent by the Purchasing Agent on incomplete documentation or requirements</p>	<p>Corrective action implemented</p>	<p>COMPLETED</p> <p>Purchasing Manual</p>
<p>25. To reduce time spent on payment processing, online bill pay should be offered and credit card payments should be accepted.</p>	<p>Working on steps to implement online bill pay – should be available in June 2011</p>	<p>COMPLETED</p>
<p>26. Job duties and responsibilities throughout the department should be reviewed and assessed based on job description. Cross training should be performed where feasible. Additional tasks should be assigned to employees with availability</p>	<p>[NO RESPONSE FROM CITY]</p>	<p>ACTIVE/ONGOING</p> <p>Under review</p>

PLANNING DEPARTMENT

2010 Recommendations	2010 Response/Planned Remediation	2020 Status
<p>1. Cash receipts, permit issuance, and user access to modify fee amounts should be segregated. Employees in the Planning & Zoning Department can accept payment, enter payments into the Blue Prince system, and issue the permit. Permits cannot be issued until payment is received in Blue Prince. The same employees have access to adjust rates and issue receipts. The employee recording cash receipts in the Munis system does not have access to Blue Prince to verify completeness of cash receipts.</p> <p>One employee should accept payments and record to the cash log; another employee should enter the payment in the system and issue the permit. Neither of these employees should have access to the change fees. For completeness, the recording employee should compare original cash log to Blue Prince items paid and issued. Currently, a control is in place to reconcile paperwork submitted to the finance department to funds received by the permits department.</p>	<p>Currently, there is one permit clerk in the office. To resolve this issue, a daily deposit report, which cannot be altered, has been created in Blue Report and will allow verification of funds posted and voided for the day. For control, this report will be submitted to the Finance department at the end of each work day with all monies collected. If an adjustment is to be made for a permit, it is required to be pre- approved and signed off by the Director. The signed detail fee sheet will then be attached to the nightly deposit report. In addition, the Finance department will conduct random audits on all permits and their respective fees.</p>	<p align="center">COMPLETED</p> <p align="center">Blue Prince system replace with My Permits Now (MPN)</p>

<p>2. Implementation of control to verify cash recorded and reduces risk of asset misappropriation related to cash receipts. Receipts are given to an employee of the Finance Department to record in the Munis system. However, Blue Prince does not interface with Munis. As a result, the risk exists that cash activity may be incomplete. Completeness verification procedures are lacking at the processing level in Blue Prince and the recording level in Munis.</p> <p>For completeness, the recording employee in the Finance Department should compare original log to Blue Prince items paid and issued for completeness. After data is recorded in Munis, a separate employee other than the recording employee should compare the original cash log to the Munis system to verify accuracy and completeness, balance cash, and prepare the deposit slip.</p>	<p>The Planning Department will provide any and all documentation to the Finance Department to allow for verification of accuracy and completeness of cash activity. A report has been created in Blue Report which lists all cash and check records. This should reconcile with the invoice number on the individual receipts. This is turned into accounting at the end of each work day with all monies received that day.</p>	<p>COMPLETED (MPN daily log)</p>
<p>3. Customer account adjustments should require additional approval. Fees can be waived or adjusted by several employees in the department.</p> <p>All fee adjustments should require approval. Approvals should be documented in the system or using a standard form. A system-generated report of fee adjustments should be reviewed monthly to evaluate the complete population for any unauthorized or fraudulent activity. This should be drafted to formal policy.</p>	<p>All Fee adjustments require prior approval from the Department Head. To document fee adjustments, a report has been created in Blue Report which lists all postings: paid, due and voided. This report lists the property address and the person who applied the adjustment. This report can be run daily, weekly or any increment desired. If an adjustment has been issued the user is required to document the reason for the adjustment. This report will be submitted to the Department Head for signature and then filed with the property records.</p>	<p>COMPLETED (MPN daily log)</p>

<p>4. Approval of tree protection should be documented. Approvals are maintained in Blue Prince for the various project stages except for tree protection. According to code, this is required to be done prior to construction. There have been instances where this was not performed in accordance with code.</p>	<p>A pre-approval field for tree protection in addition to the landscape approval has been added in Blue Prince. This will assure tree protection is installed and inspected before a permit is issued.</p>	<p>COMPLETED</p>
<p>5. Cash receipts should be adequately safeguarded. Cash receipts are maintained in an envelope in the department, and all employees have access to this area.</p> <p>Cash and any other liquid assets should be kept in a secure location that is locked and access is restricted.</p>	<p>Cash and other liquid assets have been relocated to a secure, locked file cabinet that is access restricted. The average cash maintained on a daily basis is less than \$50.00. Any cash amount received greater than \$100.00 at any given time is immediately turned over to the designated employee in the Finance Department with associated receipts.</p>	<p>COMPLETED</p>
<p>6. Customer Complaints/Requests. There is no policy or procedure for handling customer complaints. A written policy should outline required steps to handle complaints or requests, and should also include procedures to document the nature of the call for record keeping in the event there are multiple complaints.</p>	<p>Blue Prince contains a Code Enforcement module that will allow for a tracking procedure to handle customer complaints/requests. The Department has addressed this issue by creating a case file in the enforcement module for every complaint/enforcement issue generated. Additionally, this case file will generate an inspection request for the designated code enforcement person, and will allow documentation throughout the process until resolved.</p> <p>A policy regarding handling customer complaints/enforcements has been drafted and is on file with both the Permits Clerk and the Secretary of the Planning Department</p>	<p>COMPLETED</p> <p>No formal Policy available but remediation action is enforced</p>
<p>7. Arborists Requirements. A policy should be drafted to state requirements of arborists' registration and fees associated with illegal operations.</p>	<p>Response: The requirements of arborists' registration and fees associated with enforcements has been established in the CLURO. (Comprehensive Land Use Regulations Ordinance).</p>	<p>COMPLETED</p>

<p>8. Job titles and descriptions should accurately reflect personnel responsibilities.</p> <p>A job audit should be performed to ensure current job titles and descriptions concur with duties required of each position. Job descriptions should reflect the responsibilities of position and not the individual employee and responsibility should be delegated accordingly. Job descriptions should be specific and outline tasks required. In addition, job descriptions should be reviewed, updated, and approved annually.</p>	<p>HR Department - provide training/template to all Supervisors in Planning department to be used in job audit</p> <p>Employee responsible for completing the job audits of their direct reports.</p> <ul style="list-style-type: none"> • Planning Director - Clerk I-Permit Clerk, Secretary, Inspector- Landscape & Urban Forestry, Planner I – GIS Administrator, Planner I- Special Projects-Plans/Code Review, Building Inspector. 	<p style="text-align: center;">ACTIVE/ONGOING</p> <p style="text-align: center;">Under review</p>
<p>9. Permits Clerk has availability to perform additional tasks. Several duties appear to be inefficient for other personnel to perform in addition to their primary responsibilities; examples include code enforcement paperwork and sign permits legwork. In addition, the Permits Clerk should be involved in the permits process and the handling of customer inquiries.</p>	<p>When available, the Permits Clerk will help with data input for the GIS or other duties as requested. Although it may appear that some duties are inefficient for other personnel to perform in addition to their primary responsibilities, a certain level of expertise and knowledge is required for performance of some of these duties and it would be undesirable and inefficient for the Permit Clerk to perform these duties. Currently, there is one Permit Clerk and she is the primary contact in the permits process and the handling of customer inquiries. Further evaluation of duties and job description will be performed through job description audit.</p>	<p style="text-align: center;">COMPLETED</p> <p style="text-align: center;">New responsibilities assigned</p>

<p>10. Planner I – GIS Administrator has availability to perform additional tasks. It does not appear that there is a direct focus of responsibility, and duties performed are assigned as needed. Responsibilities should be increased and clearly defined.</p>	<p>The Planner I position serves as the initial contact for all customer inquiries regarding the Planning and Zoning process. This includes meeting with the public and providing information on land use, site development, zoning, subdivision, ownership and all other matters relating to the CLURO. Additionally, this position prepares casework for the Planning & Zoning Commission meetings and performs site plan review for compliance with the CLURO on all projects submitted for permitting. Although intra-departmentally, the focus of responsibilities is clearly defined, the job description should be updated to reflect all responsibilities. The position also serves as a GIS Administrator; however, due to software licensing expenses, these duties have not been able to be fully fulfilled. The City is working towards obtaining the additional software license so that these duties may be performed once the GIS is operational</p>	<p style="text-align: center;">COMPLETED New position created and responsibilities assigned</p>
<p>11. The phone system should be analyzed to verify features are properly administered. Issues include answering department calls if another department employee is on a different line</p>	<p>Implementation time: Immediate (complete)</p>	<p style="text-align: center;">COMPLETED New telephone system installed</p>
<p>12. Scanning should be centralized to a specific employee and document indexing should be formalized to make the process more efficient and maintain location of original documents.</p>	<p>This is an issue broader than just the Planning Department. Organization, document indexing and coordination should be formalized and consistent for the entire City.</p>	<p style="text-align: center;">INCOMPLETE</p>
<p>13. Costs related to tree planting and removal should be considered to verify the most cost effective approach is being utilized. Work is either contracted or done by the Public Works Department. It may be more effective for tasks to be done in-house or by a contracted arborist.</p>	<p>An RFQ can be prepared for tree removal and routine pruning and costs for each method reviewed and compared for most cost effective approach. Costs related to tree (and landscape installation have been compared for the most cost effective approach and found to be more cost effective in house.</p>	<p style="text-align: center;">COMPLETED</p>

<p>14. A consistent mapping strategy should be implemented. The strategy should be focused on an efficient means of producing effective output. Responsibilities and training should be communicated to respective personnel.</p>	<p>City entered into contract with a GIS consultant in January 2011 to ensure that Mandeville's GIS is available to all city employees, that the GIS data is accurate, updated, readily available for access and that standard GIS maps are available (zoning, parcel etc) when needed. The following progress has been made to date:</p> <p>Evaluation of Mandeville's GIS and related systems to ensure that these systems are organized effectively. City staff has diagrammed the links between existing systems and the stability of those links. Diagrams have been presented to City administration along with the business case for keeping, changing, or eliminating the links, working towards the goal of a simplified system. This process of discovery has been extremely important to establish the current state of Mandeville's GIS systems.</p> <p>Staff meets with the consultant on a standing weekly basis. The team has divided the City into work zones and is evaluating the first zone to determine that the existing data is correct and that the data meets standard specifications for GIS systems. Corrections and other changes are also being performed by City staff and verified by the project manager (consultant). Tests will be done to ensure that the changes are compatible with existing systems before the certified data is deployed.</p> <p>Ongoing:</p> <p>As a zone is completed, the team will insure that data elements are stored properly to enable easy GIS map creation. Documentation of data locations will be provided to City staff.</p>	<p>ONGOING</p>
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	<p>The team will evaluate existing work processes and recommend necessary changes to them as well as create and document new work processes to ensure the stability of GIS in the future by having processes in place for maintaining and creating data layers. All changes to systems and processes will be driven by business needs, documented, and presented to City administration for approval.</p> <ul style="list-style-type: none"> The team will ensure that the access of GIS data by City staff will be simple and intuitive. A data access application will be deployed on the City computers with users that need to access it. The team will utilize existing software to provide this capability if available. Final look and feel of the GIS map user interface application will be approved by City staff before deployment. The team will devise a documented training methodology and provide training on the use of the interface to City staff 	
<p>15. Read-only access to the mapping system should be granted to employees within the department to efficiently complete their job functions. User access should be granted to more than one employee to conserve operations</p>	<p>Following the implementation of the GIS all employees will have read only access to mapping and other city information. (See GIS information above.</p>	<p style="text-align: center;">ONGOING New employee to address</p>
<p>16. Available software programs should be evaluated to determine whether one may provide for on-line applications so that the number of paper applications can be reduced.</p>	<p>Digicomm is currently under contract to evaluate existing and available software to determine the most feasible software to use. Recommendation is expected within 3-6 months</p>	<p style="text-align: center;">COMPLETED MPN installed</p>