CITY OF OAKLAND

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December 31, 2013

OFFICE OF THE MAYOR
HONORABLE CITY COUNCIL
CITY ADMINISTRATOR
CITIZENS OF OAKLAND
OAKLAND, CALIFORNIA

RE: AUDIT RECOMMENDATION FOLLOW-UP REPORT FOR THE OAKLAND POLICE
      DEPARTMENT TECHNOLOGY PERFORMANCE AUDIT

Dear Mayor Quan, President Kernighan, Members of the City Council, City Administrator Santana, and Oakland Citizens

The Office of the City Auditor (Office) is required to report the status of its audit recommendations to the City Council (Council) In August 2012, the Office released the Police Technology Performance Audit FY 2006-07 through 2010-11

The audit contained 22 recommendations The Administration has closed six recommendations and partially closed ten recommendations Six recommendations remain open The Office's follow-up found that OPD and DIT have made many improvements in collaborating more effectively, including developing an inventory of all OPD technology systems and projects However, OPD still has not implemented a strategic plan and it also needs to establish a process to periodically evaluate its technology systems to ensure that the City is receiving its desired benefits In its response, attached to this report, the Administration anticipates addressing all open and partially closed recommendations by July 1, 2014

Audits are an objective assessment of whether or not public resources are responsibly and effectively managed to achieve intended results The impact of an audit's recommendations is achieved when the City Administration ensures prompt and proper implementation, increased accountability, and proper safeguarding of City assets. Therefore, it is critical that the City Administration act upon its responsibility to Oakland residents through timely implementation of audit recommendations.

Office of the Mayor, Honorable City Council, City Administrator and Oakland Citizens
Summary of OPD Technology Follow-up
December 31, 2013
Page 2 of 2

I want to express our appreciation to the City Administrator, Chief of Police, Director of DIT, and staff for their cooperation and commitment to addressing the concerns highlighted in the audit.

Respectfully submitted,

COURTNEY A. RUBY, CPA, CFE
City Auditor

RECOMMENDATION STATUS SUMMARY OF POLICE TECHNOLOGY PERFORMANCE AUDIT: FY 2006-07 through FY 2010-11

OVERVIEW	*The Office of the City Auditor (Office) follows up on the recommendations of all audits to determine if they have been implemented by the Office of the City Administrator (Administration) or City Council (Council). Recommendation follow-ups increase accountability and ensure recommendations identified by the audits are implemented.*

Summary of Process

The purpose of the follow-up process is to assess the implementation status of audit recommendations and when supported, close the recommendations. The Office reviews supporting documentation submitted, conducts interviews, and when applicable, performs on-site visits. The table below shows the three implementation status categories for recommendations.

Open	The recommendation has not been addressed or implemented.
Partially Closed	The recommendation has been partially addressed and implemented; however, part of the recommendation remains open. Further work is needed to close the recommendation.
Closed	The recommendation has been fully addressed and implemented.

Audit Overview

In August 2012, the Office released an audit of the Oakland Police Department's (OPD) technology systems. The objective of the audit was to assess the process for purchasing and maintaining OPD's technology systems, the effectiveness of OPD's organization in overseeing its technology systems, and the fiscal management of OPD's technology systems.

The audit had 10 findings:

- OPD spent at least $1.87 million on technology systems that were never used or underused.
- OPD lacks a formal technology purchasing plan.
- OPD does not appropriately budget for purchasing and maintenance of its technology systems.
- OPD does not have a formal strategic technology plan. However, OPD does have an informal plan on which they have made progress.
- OPD and the Department of Information Technology (DIT) do not have clearly defined roles and responsibilities.
- Communication between OPD and DIT is poor.
- Neither OPD nor DIT has a complete inventory of all OPD technology systems.

- OPD does not comprehensively track technology spending.

- Neither OPD nor DIT maintain all technology contracts and documentation, as required.

- OPD staff does not have a formal background or adequate training in technology and project management.

In response to these findings, the audit provided 22 recommendations to OPD and DIT. These recommendations, as well as their implementation status can be found in the table starting on page 3 of this report.

Summary of Results

The August 2012 Police Technology Performance Audit contained 22 recommendations. The Office's recommendation follow-up process found that the Administration has closed six recommendations and partially closed ten recommendations. Six recommendations remain open.
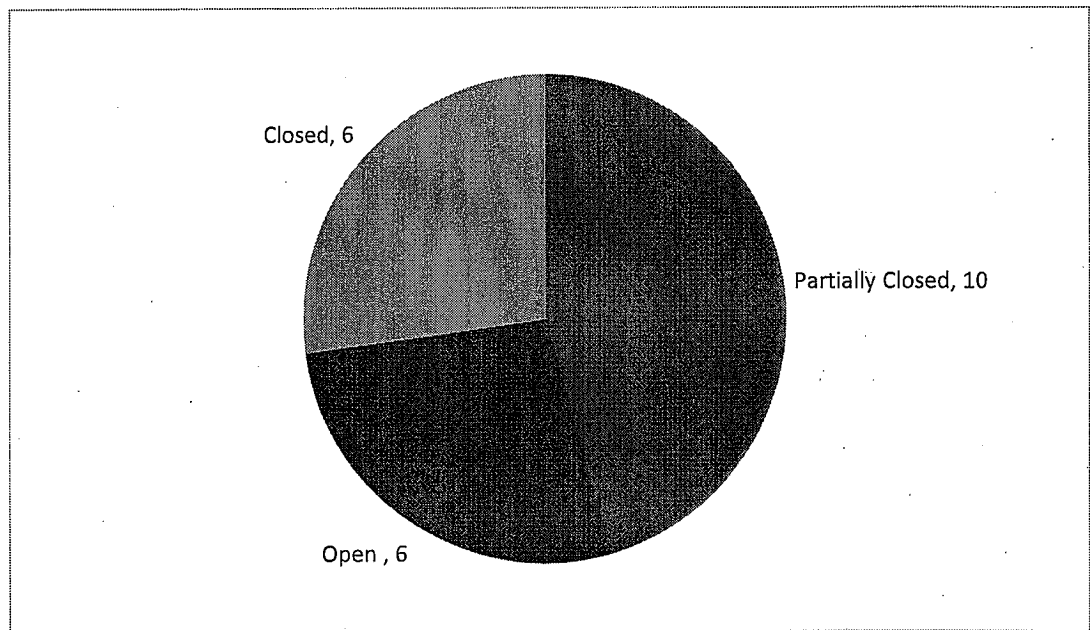
The Administration should continue to work with OPD and DIT to fully implement all open and partially closed recommendations. The Administration should provide evidence to the Office to support that all open and partially closed recommendations have been addressed by July 1, 2014.

Implementation Status of Recommendations

As part of its follow up process to determine the implementation status of each recommendation, the Office interviewed the Administration and reviewed all documentation that was provided to support the implementation status. A status of "Open" means that there is no evidence to support that the recommendation has been implemented; "Partially Closed" means that there is evidence to support that only part of the recommendation has been implemented, "Closed" means that there is evidence to support that the recommendation has been fully implemented. Steps to close the remaining recommendations along with updated deadlines are provided to assist the Administration in implementing the corrective action.

#	RECOMMENDATION	STATUS	EXPLANATION OF STATUS
1	OPD should periodically evaluate all of its technology systems, including ShotSpotter, to ensure that the City is receiving its desired benefits from the systems. If the desired benefits are not being met, OPD should determine the reasons this is occurring and propose changes to the systems and/or its management, as appropriate.	Partially Closed	While OPD provided documentation for upgrades to the CAD (Computer Aided Dispatch) system and an expansion of ShotSpotter that do include evaluations of those systems, they have not evaluated all current OPD systems. Nor have they put a process in place to ensure that future technology systems are evaluated. To close this recommendation, OPD should establish a process to periodically evaluate all of its technology systems to ensure that the City is receiving its desired benefits from the systems. This information should be provided to the Office by July 1, 2014.
2	OPD should consider obtaining performance bonds for all new technology contracts that ensure either a refund or completion of the contract if the vendor goes out of business.	Partially Closed	According to Administration, DIT considers obtaining performance bonds for new, complex or high-risk technology contracts. The Administration stated that it evaluates whether performance bonds are needed on a case-by-case basis and when appropriate will include the bond requirement in the RFP process. The Administration provided the Office with an example of a current contract that includes a performance bond provision. While current department management is following this procedure, it is not formalized and may be impacted if there are personnel changes. To close this recommendation, DIT should formalize its process for assessing and obtaining performance bonds. This information should be provided to the Office by July 1, 2014.
3	OPD should work with the City Attorney to determine if the $65,000 spent on the Evalis system can be recouped.	Open	According to OPD, this item is still pending with the City Attorney's Office. To close this recommendation, OPD should work with the City Attorney's Office to finalize a decision regarding the $65,000 spent on Evalis. This information should be provided to the Office by July 1, 2014.
4	Prior to purchasing a system, OPD should ensure that there is a comprehensive evaluation of all	Partially Closed	OPD and DIT have drafted a project agreement that they intend to use for future technology projects to ensure that there is a comprehensive evaluation of systems. In addition,

	services, software, and hardware necessary for the system to function properly.		OPD and DIT use a Statement of Work to document project management decisions prior to a purchase. To close this recommendation, OPD and DIT should formalize the project agreement. This information should be provided to the Office by July 1, 2014.
5	OPD should adopt an overall, strategic technology purchasing plan that aligns future technology purchases with its strategic goals and needs.	Partially Closed	OPD has completed a five-year capital improvement plan for upgrades to major systems (e.g., Computer Aided Dispatch, Integrated Public Safety System, and Field Based Reporting), and hardware. However, this is not an overall strategic technology purchasing plan that aligns with its strategic goals and needs. As noted in recommendation 7, OPD has not yet adopted a strategic technology plan. To close the recommendation, OPD should create an overall strategic technology purchasing plan that aligns all future purchases with its strategic goals and needs. This information should be provided to the Office by July 1, 2014.
6	OPD should develop a multi-year budget for technology spending that includes expected purchases, implementation costs, and maintenance.	Closed	OPD and DIT has developed a capital improvement plan for the major OPD technology systems (e.g. Computer Aided Dispatch (CAD), Integrated Public Safety System, and Field Based Reporting), as well as laptop and server upgrades through 2018. In addition, they have established an Information Technology systems maintenance and support budget through 2016.
7	OPD should improve its strategic plan by ensuring that all technology objectives are specific and measurable and that the plan is formally adopted and communicated to all appropriate staff, which may be all staff since OPD's technology management is decentralized. Add an objective to create a strategic technology purchasing plan. Further, the strategic plan should be reviewed, tracked, and updated on a regular basis. The frequency of the review should be documented in the plan.	Open	OPD has not implemented a strategic plan. As discussed in the audit, in 2010, OPD drafted but never implemented a strategic plan that addressed technology and provided related objectives. That strategic plan has not been updated, finalized, or communicated to staff, nor has the department replaced it with another strategic plan. To close this recommendation, OPD should establish and implement a strategic plan that includes technology related objectives. The plan should also be reviewed, tracked and updated regularly. This information should be provided to the Office by July 1, 2014.
8	OPD should consult with the City Attorney's Office about how prior vendor outreach for the CAD contract may impact the RFP process going forward.	Open	OPD has contracted with a vendor to design the CAD RFP. According to OPD, the CAD RFP will be issued by the end of 2013. OPD has not provided any evidence that it has consulted with the City Attorney regarding the impact of prior vendor outreach on the upcoming RFP. To close this recommendation, OPD should consult with the City Attorney's Office about how prior vendor outreach may impact the upcoming CAD RFP process. At minimum, there should be an attestation from the City Attorney's Office that

|			this issue was considered. This information should be provided to the Office by July 1, 2014.
9	OPD should work with DIT and the City Administration to clarify when DIT should review all technology purchases and how DIT should document evidence of its review. Going forward, consistently obtain evidence of DIT's approval on technology purchases.	Partially Closed	Administrative Instruction (AI) 1006 provides procedures for purchasing technology equipment. According to OPD and DIT, they follow these city-wide procedures for technology purchasing. However, the audit found that DIT's review was not always documented. According to OPD, it is in the process of hiring an Information Systems Supervisor that will be in work closely with DIT to manage OPD IT purchasing processes. To close this recommendation, OPD should work with DIT to implement a process to ensure that DIT consistently documents its review of all OPD technology purchases. This information should be provided to the Office by July 1, 2014.
10	OPD should develop and implement service level agreements with DIT to establish mutual expectations, roles and responsibilities, deliverables, and performance expectations for each project in development or technology being supported.	Partially Closed	OPD and DIT have established a memorandum of understanding for technology related support services. According to OPD, it is waiting to implement service level agreements for individual projects until two key position are hired, an Information Systems Supervisor and a Chief Information Officer. To close this recommendation, OPD should develop and implement service level agreements with DIT for each of its projects. This information should be provided to the Office by July 1, 2014.
11	OPD and DIT should improve communication about OPD technology projects so that it is timely, comprehensive, and clear. Communication should include information regarding available funding, expenditures, priorities, roles and responsibilities, timelines, and project status. If OPD and DIT are unable to improve communication, they should bring the City Administrator into the process as a facilitator.	Partially Closed	OPD and DIT have implemented weekly meetings to increase communication. However, OPD could not provide evidence that the meetings included the type of communication highlighted in the recommendation. To close this recommendation, OPD and DIT should document that they are communicating regarding available funding, expenditures, priorities, roles and responsibilities, timelines, and project status. Documentation in the form of meeting agendas and notes are one option. This information should be provided to the Office by July 1, 2014.
12	OPD and DIT should initiate the RFP process for the new CAD system.	Open	According to OPD, the CAD RFP is being developed and will be released by the end of 2013. To close this recommendation, OPD should provide a copy of the issued CAD RFP to the Office. This information should be provided to the Office by July 1, 2014.

13	OPD should follow up with OFD on the potential of $700,000 in grant funds that may still be available to use on the new CAD system.	Closed	OPD provided documentation that the $700,000 grant funds were used for other purposes.
14	OPD should work with the City Administrator's Office to determine the appropriate number of DIT project managers that should be assigned to OPD.	Closed	OPD and the Administration presented a technology proposal for upgrades which included technology upgrades and a request for three additional technology project managers. Council approved the proposal on July 30, 2013.
15	OPD and DIT should work together to establish a comprehensive inventory of all OPD technology systems and projects. This inventory should be regularly updated with information, including but not limited to: system version number, license number, number of users, as well as maintenance and upgrade schedules.	Closed	OPD and DIT have developed an inventory of all of OPD's technology systems and projects. Further, According to OPD, the new Oracle R12 upgrade application includes Asset Management software and they will be exploring the functions and features of this module to assess if the platform can be used to further consolidate OPD's asset management.
16	OPD and DIT should work with OPD Fiscal to establish a clear process that captures and tracks all technology expenditures and compares budget to actual.	Closed	OPD has a technology unit budget, a technology project tracking sheet, and planning documents for capital improvement projects. In addition, OPD uses Oracle reports to track expenses and compare budget to actual.
17	OPD and DIT should regularly review all OPD technology expenses and use total spending as a guide for future technology budgeting and planning. Evidence of the review should be consistently documented and retained.	Partially Closed	OPD uses its technology unit budget and its technology planning documents to inform its budget. In addition, according to OPD, the department meets with DIT regularly to incorporate future technology needs into budgeting and planning. OPD did not provide evidence that OPD and DIT regularly review all OPD technology expenditures. To close this recommendation, OPD and DIT should provide evidence that technology expenses are regularly reviewed by OPD and DIT management. This information should be provided to the Office by July 1, 2014.
18	OPD should comply with AI 141 by retaining and filing all OPD technology contracts and documentation. Files must be retained according to the timelines approved in the Records Retention Schedule.	Partially Closed	According to OPD, they are filing and retaining all new OPD technology contracts. According to OPD, it does not plan on locating or centrally filing all of its technology contracts. As the audit found, OPD was unable to locate several of the contracts in the audit sample. To close this recommendation, OPD should provide evidence that it has complied with AI 141 by demonstrating all contracts and related documentation are maintained in accordance with the City's record retention schedule. Centrally filing all technology contracts and related documents is one way to help ensure compliance with AI

			141. This information should be provided to the Office by July 1, 2014.
19	OPD should comply with AI 4311 and the 2006 City Administrators Procedure Memo by ensuring all contracts are filed with the City Clerk's office.	Partially Closed	OPD is filing new contracts with the City Clerk's office. According to OPD, it does not currently have a plan to ensure that all of its technology contracts are filed with the City Clerk's office, as required by AI 4311. As the audit found, OPD was unable to locate several of the contracts in the audit sample. To close this recommendation, OPD should provide evidence that it has complied with AI 4311 and filed all active (not just new) technology contracts with the City Clerk's office. This information should be provided to the Office by July 1, 2014.
20	OPD should ensure that technology contracts are periodically monitored and evaluated in accordance with AI 150, which includes review of contractor's quarterly reports and invoices for accuracy and thorough documentation and evaluation of the work performed by the contractor at the completion of the services.	Closed	OPD provided documentation that it follows the City of Oakland procedures and processes for monitoring contracts.
21	OPD should conduct a skills assessment of staff to determine additional training that is needed for OPD IT and other OPD division staff that are currently managing OPD technology.	Open	OPD has not conducted a skills assessment of its OPD IT staff or other OPD staff who manage technology. To close this recommendation, OPD should conduct a skills assessment to determine project management and technology training that is needed for its staff who are responsible for managing OPD technology systems and projects. This information should be provided to the Office by July 1, 2014.
22	OPD should develop a training plan to ensure that staff receive the skills needed to manage technology projects in conjunction with DIT.	Open	OPD does not have a training plan to ensure that OPD IT staff receives the skills needed to manage technology projects in conjunction with DIT. OPD's standard training includes police functions but does not include any training related to technology or program management. To close this recommendation, OPD should develop a training plan for staff that manage technology projects to ensure that they have the necessary skills. This information should be provided to the Office by July 1, 2014.
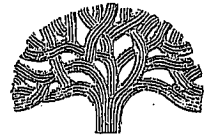
CITY OF OAKLAND

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December 18, 2013

Courtney A. Ruby, City Auditor
City of Oakland, California
1 Frank Ogawa Plaza, 4th Floor
Oakland, CA 94612

RE: Revised Confidential Draft Report of the Police Technology Audit Recommendation Follow-Up

Dear City Auditor Ruby:

I am pleased to provide you with the Administration's response to the Revised Confidential Draft Report of the Police Technology Audit Recommendation Follow-Up. We welcome fair and impartial performance audits conducted cooperatively to improve the effectiveness and transparency of City government operations.

In summary, the audit provided Twenty-two (22) recommendations to OPD and DIT. We are pleased to see that six (6) of these recommendations have been fully implemented and closed, and ten (10) recommendations have been partially closed. The Administration is continuing to work with OPD and DIT to fully implement the remaining six (6) recommendations, which are still open. Staff anticipates that all open and partially closed recommendations will be addressed by July 1, 2014.

Attached to this cover letter is the City's detailed response on Audit recommendations and process to close out the audit.

Sincerely,

Deanna J. Santana
City Administrator

Cc: Sean Whent, Interim Chief of Police
    Ahsan Baig, Interim Information Technology Director
    Osborn K. Solitei, Finance Director/Controller

#	RECOMMENDATION	STATUS	EXPLANATION/FOLLOW-UP	RESPONSES
1	OPD should periodically evaluate all of its technology systems, including Shot Spotter, to ensure that the City is receiving its desired benefits from the systems. If the desired benefits are not being met, OPD should determine the reasons this is occurring and propose changes to the systems and/or its management, as appropriate.	Partially Closed	While OPD provided documentation for upgrades to the CAD (Computer Aided Dispatch) system and an expansion of Shot Spotter that do include evaluations of those systems, they have not evaluated all current OPD systems. Nor have they put a process in place to ensure that future tech systems are evaluated. To close this recommendation, OPD should establish a process to periodically evaluate all of its technology systems to ensure that the City is receiving its desired benefits from the systems. This information should be provided to the Office by July 1, 2014	Staff members from OPD and DIT are meeting regularly to evaluate current technology needs and to further refine and formalize the existing process to acquire new technologies. Currently, OPD and DIT are working collaboratively to develop two RFPs for the new Early Warning System IPAS2 and Next Generation Integrated Public Safety System (IPSS) including CAD/RMS/FBR systems. OPD and DIT are meeting on a weekly basis to evaluate all of their technology systems to ensure that the city is receiving its desired benefits from the new systems. In addition, DIT has contracted with the two consultants, Sierra System and PSCI, to evaluate all technology systems used for IPAS2 and IPSS to be replaced.
2	OPD should consider obtaining performance bonds for all new technology contracts that ensure either a refund or completion of the contract if the vendor goes out of business.	Partially Closed	According to Administration, DIT has considered obtaining performance bonds for new, complex or high-risk technology contracts and has examined best practices in this area. The Administration stated it will evaluate whether performance bonds are needed on a case-by-case basis and, when appropriate, will include the bond requirement in the RFP process. The Administration provided the Office with an example of a current contract that includes a performance bond provision. While current department management is following this	DIT has developed procedures for issuing a performance bond for high-risk technology projects, under the guidance of the City Attorney's Office and the Office of Contracts and Compliance. These procedures entail following the Citywide IT Professional Services Agreement template, which includes a performance bond provision. Since obtaining a performance bond may result in a significant cost increase and schedule delays for the contract, staff determined that the need for performance bond should be evaluated on a

			procedure, it is not formalized and may be impacted if there are personnel changes. To close this recommendation, DIT should formalize its process for assessing and obtaining performance bonds. This information should be provided to the Office by July 1, 2014.	case-by-case basis. There is a 10% retention provision in the Standard IT Professional Services Agreement. Performance Bond is typically included because of the integration complexity and time sensitivity. DIT will continue working with Contract Compliance and City Attorney's Office in further refining and enhancing the IT contracting process.
3	OPD should work with the City Attorney to determine if the $65,000 spent of the Evalis system can be recouped.	Open	According to OPD, this item is still pending with the City Attorney's Office. To close this recommendation, OPD should work with the City Attorney's Office to finalize a decision regarding the $65,000 spent on Evalis. This information should be provided to the Office by July 1, 2014	Response from the City Attorney's Office still pending.
4	Prior to purchasing a system, OPD should ensure that there is a comprehensive evaluation of all services, software, and hardware necessary for the system to function properly.	Partially Closed	OPD and DIT have drafted a project agreement that they intend to use for future technology projects to ensure that there is a comprehensive evaluation of systems. In addition, OPD and DIT use a Statement of Work to document project management decisions prior to a purchase. To close this recommendation, OPD and the DIT should finalize the project agreement. This information should be provided to the Office by July 1, 2014.	OPD and DIT use the standard IT Professional Services Agreement template jointly developed by City Attorney's Office and Office of Contract Compliance. OPD and DIT have finalized the project agreement and use it for upcoming technology purchases. The final project charter includes services to be evaluated, including software, and hardware necessary for the system to function properly.
5	OPD should adopt an overall, strategic technology purchasing plan that aligns future technology	Partially Closed	OPD has completed a five-year budget plan for upgrades to major systems (e.g., Computer Aided Dispatch, Integrated	OPD has developed a comprehensive inventory of all assets under its control. Together with DIT, OPD is starting to

			Public Safety System, and Field Based Reporting), and hardware. However, this is not an overall strategic purchasing plan that aligns with its strategic goals and needs. As noted in recommendation 7, OPD has not yet adopted a strategic technology plan. To close the recommendation, OPD should create an overall strategic technology purchasing plan that aligns all future purchases with its strategic goals and needs. This information should be provided to the Office by July 1, 2014.	develop a strategic technology purchase plan, based on this asset and systems inventory. The two consultants, Sierra Systems and PSCI, are developing the IPAS2 and CAD/RMS RFP's conducted a thorough inventory of all OPD business systems. A copy of OPD IT System Maintenance contract is attached.
	purchases with its strategic goals and needs			
6	OPD should develop a multi-year budget for technology spending that includes expected purchases, implementation costs, and maintenance.	Closed	OPD and DIT have developed a capital improvement plan for the major OPD technology systems (e.g. Computer Aided Dispatch (CAD), Integrated Public Safety System, and Field Based Reporting), as well as laptop and server upgrades through 2018. In addition, they have established an Information Technology systems maintenance and support budget through 2016.	This recommendation has been fully addressed and implemented.
7	OPD should improve its strategic plan by ensuring that all technology objectives are specific and measurable and that the plan is formally adopted and communicated to all appropriate staff, which may be all staff since OPD's technology management is decentralized. Add an objective to create a strategic technology purchasing plan. Further,	Open	OPD has not implemented a strategic plan. As discussed in the audit, in 2010, OPD drafted but never implemented a strategic plan that addressed technology and provided related objectives. That strategic plan has not been updated, finalized, or communicated to staff, nor has the department replaced it with another strategic plan.	Together with DIT, OPD is starting to develop a strategic plan that includes technology related objectives. The ongoing development and implementation of this plan is being discussed during the weekly staff meetings of DIT and OPD staff members.

	the strategic plan should be reviewed, tracked, and updated on a regular basis. The frequency of the review should be documented in the plan.		To close this recommendation, OPD should establish and implement a strategic plan that includes technology related objectives. The plan should also be reviewed, tracked and updated regularly. This information should be provided to the Office by July 1, 2014.	
8	OPD should consult with the City Attorney's Office about how prior vendor outreach for the CAD contract may impact the RFP process going forward.	Open	OPD has contracted with a vendor to design the CAD RFP. According to OPD, the CAD RFP will be issued by the end of 2013. OPD has not provided any evidence that it has consulted with the City Attorney regarding the impact of prior vendor outreach on the upcoming RFP. To close this recommendation, OPD should consult with the City Attorney's Office about how prior vendor outreach for the CAD contract may impact the upcoming CAD FRP process. At the minimum, there should be an attestation from the City Attorney's Office that this issue was considered. This information should be provided to the Office by July 1, 2014.	OPD is in the process of consulting with the City Attorney's Office about how prior vendor outreach for the CAD contract may impact the RFP process going forward.
9	OPD should work with DIT and the City Administration to clarify when DIT should review all technology purchases and how DIT should document evidence of its review. Going forward, consistently obtain evidence of DIT's approval on technology purchases.	Partially Closed	Administrative Instruction 1006 provides procedures for purchasing technology equipment. According to OPD and DIT, they follow these city-wide procedures for technology purchasing. However, the audit found that DIT's review was not always documented. According to OPD, it is in the process of hiring an Information Systems Supervisor that will be working closely with DIT to manage OPD IT purchasing	OPD follows Citywide policies and procedures. Specifically, all technology equipment purchases go through DIT approval. The computer specs are available on the City's internal website and OPD follows the technology purchase process established by DIT. For any purchases that necessitate specialized services & equipment or that fall outside of the normal purchasing process, OPD consults with DIT to obtain

		processes. To close this recommendation, OPD should work with DIT to implement a process to ensure that DIT consistently documents its review of all OPD technology purchases. This information should be provided to the Office by July 1, 2014.		the DIT Director's approval prior to securing the items.
10	OPD should develop and implement service level agreements with DIT to establish mutual expectations, roles and responsibilities, deliverables, and performance expectations for each project in development or technology being supported.	Partially Closed	OPD and DIT have established a memorandum of understanding for technology related support services. According to OPD, it is waiting to implement service level agreements for individual projects until two key position are hired, an Information Systems Supervisor and a Chief Information Officer. To close this recommendation, OPD should develop and implement service level agreements with DIT for each of its projects. This information should be provided to the Office by July 1, 2014.	DIT and OPD have developed and are currently implementing service level agreement for each of their project.
11	OPD and DIT should improve communication about OPD technology projects so that it is timely, comprehensive, and clear. Communication should include information regarding available funding, expenditures, priorities, roles and responsibilities, timelines, and project status. If OPD and DIT are unable to improve communication, they should bring the	Partially Closed	OPD and DIT have implemented weekly meetings to increase communication. However, OPD could not provide evidence that the meetings included the type of communication highlighted in the recommendation. To close this recommendation, OPD and DIT should document that they are communicating regarding available funding, expenditures, priorities, roles and	DIT and OPD staff meet regularly (typically, on a weekly basis) to discuss current projects, programs, timelines, deliverables, available funding, expenditures, priorities, etc.

	City Administrator into the process as a facilitator.		responsibilities, timelines, and project status. Documentation in the form of meeting agendas and notes are one option. This information should be provided to the Office by July 1, 2014.	
12	OPD and DIT should initiate the RFP process for the new CAD system.	Open	According to OPD, the RFP is in the process of being developed and will be released by the end of 2013. To close this recommendation, OPD should provide a copy of the RFP for the new CAD system once it has been issued. This information should be provided to the Office by July 1, 2014.	The new CAD System RFP is still under development.
13	OPD and DIT should follow up with OFD on the potential of $700,000 in grant funds that may still be available to use on the new CAD system.	Closed	OPD provided documentation that the $700,000 grant funds were used for other purposes.	This recommendation has been closed
14	OPD and DIT should work with the City Administrator's Office to determine the appropriate number of DIT project managers that should be assigned to OPD.	Closed	OPD and the Administration presented a technology proposal for upgrades which included technology upgrades and a request for three additional technology project managers. Council approved the proposal on July 30, 2013.	This recommendation has been closed
15	OPD and DIT should work together to establish a comprehensive inventory of all OPD technology systems and projects. This inventory should be regularly updated with information, including but not limited to: system version number, license number, number of users, as well as maintenance and upgrade schedules.	Closed	OPD and DIT have developed an inventory of all of OPD's technology systems and projects. Further, according to OPD, the new Oracle R12 upgrade applications includes Asset Management software and they will be exploring the functions and features of this module to assess if the platform can be used to further consolidate OPD's asset management.	This recommendation has been closed.

16	OPD and DIT should work with OPD Fiscal to establish a clear process that captures and tracks all technology expenditures and compares budget to actual.	Closed	OPD has a technology unit budget, a technology project tracking sheet, and planning documents for capital improvement projects. In addition, OPD uses Oracle reports to track expenses and comparer budget to actual.	This recommendation has been closed.
17	OPD and DIT should regularly review all OPD technology expenses and use total spending as a guide for future technology budgeting and planning. Evidence of the review should be consistently documented and retained.	Partially Closed	OPD uses its technology unit budget and its technology planning documents to inform its budget. In addition, according to OPD, the department meets with DIT regularly to incorporate future technology needs into budgeting and planning. OPD did not provide evidence that OPD and DIT regularly review all OPD technology expenditures. To close this recommendation, OPD and DIT should provide evidence that technology expenses are regularly reviewed by OPD and DIT management. This information should be provided to the Office by July 1, 2014.	OPD has provided a detailed listing of all technology systems and projects under its budgetary control. This information was used to develop the FY 2013-15 CIP Budget. OPD provided documentation to support the expenditures that are under the control of OPD. Currently OPD and DIT are meeting regularly to incorporate future technology needs into future budgeting and planning.
18	OPD and DIT should comply with AI 141 by retaining and filing all OPD technology contracts and documentation. Files must be retained according to the timelines approved in the Records Retention Schedule.	Partially Closed	According to OPD, they are filing and retaining all new OPD technology contracts. According to OPD, it does not plan on locating or centrally filing all of its technology contracts. As the audit found, OPD was unable to locate several of the contracts in the audit sample. To close this recommendation, OPD should provide evidence that it has complied with	OPD has provided all contracts that fall within its budgetary control, as required by AI 141.

			AI 141 by demonstrating all contracts and related documentation are maintained in accordance with the City's record retention schedule. Centrally filing all technology contracts and related documents is one way to help ensure compliance with AI 141. This information should be provided to the Office by July 1, 2014.	
19	OPD and DIT should comply with AI 4311 and the 2006 City Administrators Procedure Memo by ensuring all contracts are filed with the City Clerk's office.	Partially Closed	OPD is filing new contacts with the City Clerk's Office. According to OPD, it does not currently have a plan to ensure that all of its technology contracts are filed with the City Clerk's Office, as required by AI 4311. As the audit found, OPD was unable to locate several of the contracts in the audit sample. To close this recommendation, OPD should comply with AI 4311 and filed all active (not just new) technology contracts with the City Clerk's office. This information should be provided to the Office by July 1, 2014.	OPD's contracting procedures are documented in the folder titled Contracting Instructions. OPD does keep a copy of the contract to which it is a party. Additionally, contracts are also on file with DCP and the City Clerk. OPD does not have a plan to locate and centrally file completed contracts. OPD has provided all contracts that fall within its budgetary control, as required by AI 141.
20	OPD and DIT should ensure that technology contracts are periodically monitored and evaluated in accordance with AI 150, which includes review of contractor's quarterly reports and invoices for accuracy and thorough documentation and evaluation of the work performed by the contractor at	Closed	OPD provided documentation that it follows the City of Oakland procedures and processes for monitoring contracts.	This recommendation has been closed

	the completion of the services.		
21	OPD should conduct a skills assessment of staff to determine additional training that is needed for OPD IT and other OPD division staff that are currently managing OPD technology.	Open	OPD has not conducted a skills assessment of its OPD IT staff or other OPD staff who manage technology. To close this recommendation, OPD should conduct a skills assessment to determine project management and technology training that is needed for its staff that is responsible for managing OPD technology systems and projects. This information should be provided to the Office by July 1, 2014.	OPD does not have technology project managers on staff at the present time. Currently, the City's DIT coordinates project management tasks with OPD stakeholders on any new technology projects. OPD and DIT are in the process of developing the Business Analysts classifications to support these technology projects. The newly created job classification of Business Analyst IV in Oakland Police Department will be accountable to the City CIO with respect to technology direction, including, but not limited to, IT policy, planning and management. The BA IV classification will be responsible for conducting the skills assessment to determine project management and technology training that is needed for its staff that is responsible for managing OPD technology systems and projects.
22	OPD should develop a training plan to ensure that staff receives the skills needed to manage technology projects in conjunction with DIT.	Open	OPD does not have a training plan to ensure that OPD IT staff receives the skills needed to manage technology projects in conjunction with DIT. OPD's standard training includes police functions but does not include any training related to technology or program management. To close this recommendation, OPD should	OPD does not have technology project managers on staff at the present time. Currently, the City's DIT coordinates project management tasks with OPD stakeholders on any new technology projects. OPD and DIT are in the process of developing the Business Analysts

		develop a training plan for staff that manages technology projects to ensure that they have the necessary skills. This information should be provided to the Office by July 1, 2014.	classifications to support these technology projects. The newly created job classification of Business Analyst IV in Oakland Police Department will be accountable to the City CIO with respect to technology direction, including, but not limited to, IT policy, planning and management. The BA IV classification will be responsible for conducting the skills assessment to determine project management and technology training that is needed for its staff that is responsible for managing OPD technology systems and projects.