Audit Subcommittee Members
Tony Vasquez, Pam O'Connor, Sue Himmelrich,
Elizabeth Van Denburgh, Greg Morena

Compensation Study Advisory Committee Members
Dominic Gomez, Laurence Eubank, Janine Bush,
Libby Bradley, James Williams, Sam Thanawalla,
Homa Mojtabai

CITY OF SANTA MONICA

**SPECIAL JOINT MEETING AGENDA OF THE
AUDIT SUBCOMMITTEE AND
COMPENSATION STUDY ADVISORY COMMITTEE**

SANTA MONICA INSTITUTE TRAINING ROOM
330 OLYPMIC DRIVE, 2ND FLOOR (PLAZA LEVEL)
SANTA MONICA, CA 90401 AND

HOTEL CAMINO REAL PACHUCA
CAMINA REAL DE LA PLATA LOTE 15; LOBBY
42883 ZONA PLATEADA AND

LA QUINTA INN
6801 TOWER RD.; LOBBY
DENVER, CO 80249

WEDNESDAY, AUGUST 23, 2017

**MEETING BEGINS AT 6:00 PM (PST)
MEETING BEGINS AT 8:00 PM (CDT)
MEETING BEGINS AT 7:00 PM (MDT)**

NOTICE IS HEREBY GIVEN that a special joint meeting of the Audit Subcommittee and Compensation Study Advisory Committee will be held at 6:00 PM on Wednesday, August 23, 2017, at the Santa Monica Institute Training Room, 330 Olympic Drive, 2nd Floor (Plaza Level), and at 8:30 PM (CDT) at a teleconference site located at the Hotel Camina Real Pachuca, 42883 Zona Plateada, and at 7:00 PM at a teleconference site located at the La Quinta Inn, 6801 Tower Rd., Denver, CO 80249, where a Councilmember will be present and will participate by telephone

(Please note that Agenda Items may be reordered during the meeting at the discretion of the body.)

1. **Call to order**

*Public comment is permitted only on items on the agenda. No other business will be considered at this time.

2. Swearing-in of new and reappointed Audit Subcommittee Members and Compensation Study Advisory Committee Members, Roll Call, and Introductions

3. Audit Subcommittee Chair and Co-Chair Election

4. Review of Brown Act (presented by Joe Lawrence, Assistant City Attorney)

5. Approval of the Minutes for the Audit Subcommittee January 17, 2017 and April 20, 2017 Meetings

6. Receive Internal Audit Report on Parking Contract Review (presented by Moss Adams LLP)

7. Receive an Update on the FY 2016-17 Internal Audit Workplan and Approve the FY 2017-18 Internal Audit Workplan (presented by Moss Adams LLP)

8. Receive an Overview of the Scope of the Upcoming FY 2016-17 Audit from the City's External Auditor (presented by Rich Kikuchi, Partner, LSL, LLP)

9. Approve the Scope of Work for the Internal Audit Assessment of the City's Compensation and Use of Overtime by Sworn Personnel (presented by Mark Steranka, Partner, Moss Adams LLP)

10. **Adjournment**

STANDARDS OF BEHAVIOR THAT PROMOTE CIVILITY AT ALL PUBLIC MEETINGS:

- Treat everyone courteously;
- Listen to others respectfully;
- Exercise self-control;
- Give open-minded consideration to all viewpoints;
- Focus on the issues and avoid personalizing debate;
- Embrace respectful disagreement and dissent as democratic rights, inherent components of an inclusive public process, and tools for forging sound decisions

This agenda is available in alternate format upon request. The Santa Monica Institute Training Room is wheelchair accessible. If you require any special disability related accommodations (i.e. sign language interpreting, access to an amplified sound system, etc.), please contact the Finance Department at (310) 458-8281 or Finance.Mailbox@smgov.net at least 2 days prior to the scheduled meeting.

This agenda is subject to change up to 24 hours prior to the special meeting. Please check the agenda prior to the meeting for changes.

Finance Department
1717 4th St., Suite 250
Santa Monica CA 90401
(310) 458-8281

Finance.Mailbox@smgov.net
https://finance.smgov.net/

Agenda Item 5.

Approval of the Minutes for the Audit Subcommitee

January 17, 2017 and April 20, 2017 Meetings

(NOT APPROVED)

CITY OF SANTA MONICA

AUDIT SUBCOMMITTEE MEETING

MINUTES

TUESDAY, JANUARY 17, 2017

A regular meeting of the Santa Monica Audit Subcommittee was called to order by Chair Patel, at 7:03 p.m., on Tuesday, January 17, 2017, at Ken Edwards Center, 1527 Fourth Street, Santa Monica, CA 90401

Roll Call:	Present:	Committee Member Frances Ellington Vice Chair Sue Himmelrich Committee Member Tony Vazquez Chair Member Nimish Patel
	Absent:	Committee Member Pam O'Connor
	Also Present:	Director of Finance Gigi Decavalles Interim City Attorney Joseph Lawrence City Clerk Denise Anderson-Warren

CONVENE

On order of Chair, the Audit Subcommittee convened at 7:03 p.m., with Committee Member O'Connor absent.

PUBLIC INPUT

Member of the public Laurence Eubank was present to comment on the Audit Subcommittee makeup.

MINUTES

3. Approval of Minutes for the Audit Subcommittee August 30, 2016 Meeting, were presented.

Motion by Vice Chair Himmelrich, seconded by Committee Member Ellington, to approve the Minutes as presented. The motion was approved by voice vote, with Committee Member O'Connor absent.

MINUTES

4. Approval of Minutes for the Audit Subcommittee October 18, 2016 Meeting, were presented.

Motion by Vice Chair Himmelrich, seconded by Committee Member Ellington, to approve the Minutes as presented. The motion was approved by voice vote, with Committee Member O'Connor absent.

CAFR

5. Receive the Consolidated Annual Financial Report (CAFR) Executive Summary (presented by Rich Kikuchi, Partner, LSL, LLP).

Mr. Kikuchi presented and reported that the City of Santa Monica financial

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transactions are being properly recorded and assets are being safeguarded. His company issued an unmodified opinion. The Financial Audit included: Assess Internal Controls; Separate Financial Statement for the Big Blue Bus; Air Quality; Federal Single Audit, and Auditors' letter. Overall, there were no material or significant discrepancies or weaknesses.

Members of the public Wes Wellman, Mary Marlow, Elizabeth Van Denburgh, and Laurence Eubanks commented and raised questions on the CAFR.

Questions asked and answered included: what is considered materiality for this audit; what is the distinction between internal controls for the internal audit and the internal controls for the external audit; explain the restatement with the Parking Authority; where pension liability is covered in the report; the City Manager asked what are the pros and cons of using the Net Balance sheet; how many years is the unfunded liability, and how is ours compared to other cities.

Motion by Vice Chair Himmelrich, seconded by Committee Member Ellington, to receive and file the presentation, and provide comments as stated. The motion was approved by voice vote, with Committee Member O'Connor absent.

SCOPE OF WORK

6. Receive and approve Scope of Work for Internal Audit Assessment of City's Compensation and Use of Overtime by Sworn Personnel (presented by Mark Steranka, Partner, Moss Adams LLP), was presented.

Mr. Steranka presented the comparisons considered in the Scope of Work areas of focus:

1) The deliverables;
2) Wage setting (how do we pay): Review the City's overall process for establishing compensation levels; and,
3) Overtime Utilization in Public Safety: Review overtime environment and usage.

The goal will be to get more visibility and transparency to the process and numbers, as to how staffing and compensation is used as a City, and try to do that efficiently.

Member of the public Wes Wellman commented on this item.

Questions asked and answered included: Is this something that needs to go before the City Council for approval; has there been a comparison of wages between the private and public sector; an explanation as to why Moss Adams is considered an independent analyst on this subject; are you looking at the overtime, and in comparison does it make more sense to hire more people, or to maintain the current overtime levels; is this project based on an hourly amount or a fee; can you share the other cities that Moss Adams has done this for; assuming in a mature workforce where you have the inverted

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pyramid, will Moss Adams have suggestions for the city as to hiring decisions, etc.; is there any special advantage that Moss Adams has because they are the city's internal auditor, and maybe other firms should be considered for this type of work; what is the typical interval to perform benchmark studies (full compensation study); would Moss Adams recommend a phased approach.

Discussion ensued on the following, including, but not limited to: Compensation versus overtime, with benefits, and amount of efficiency during overtime, consider contracting out for certain types of jobs for better stability; the hiring system and consideration for the need to change that system.

Motion by Vice Chair Himmelrich, seconded by Committee Member Ellington, to receive and approve the Scope of Work for Internal Audit Assessment of City's Compensation and Use of Overtime by Sworn Personnel. The motion was approved by voice vote, with Committee Member O'Connor absent.

The City Manager requested that the staff come back with the final Scope of Work, including the amount, to the next Audit Subcommittee meeting.

INTERNAL AUDIT REPORTS

7. Receive Internal Audit Reports on Human Resources Billing, Cash Handling and Enterprise Risk Assessment (presented by Mark Steranka, Partner, Moss Adams LLP), was presented.

Vice Chair Himmelrich stated for the record that she would like to continue the discussion on Item 7 & 8 until the next meeting, because she did not have time to read them.

There was no one present to speak on this item.

Moss Adams presented the following: HR Benefits Billing – Manual process, limited staffing, performed a comprehensive reconciliation, which was comparing the eligibility in enrollment to the invoices to the payroll deductions. Through the reconciliation process, some recommended process improvements include: The Enterprise Resource Product (ERP), an online benefit program, a full comprehensive plan, including time frames, a system that could improve some processes. If neither of the two current systems work, look outside for a different system that might work; Policy and Procedures – examples of Best Practices Management. A strategic solution for the City would be to get more of the bargaining unions to solidify their benefit plans, thereby making it easier to administer, either through technology or through bargaining negotiations.

Internal Controls testing of Cash Handling – Performed unannounced cash visits, and shared results with Department Heads for those departments; provided specific detailed findings, and provided opportunities for improvements, and procedures and training are key.

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Risk Assessment - Assessed risk that is under the City's control; Santa Monica has no high risk ratings; seven risk ratings were moderate to high, and almost all of the risk ratings were flat, which shows a lot of stability; there were only three risk areas that were rated as increased risk. There are some things that make Santa Monica unique: the high number of daytime population; Geography (beach, surrounded by large cities), the city offers a high level of City Services. 1) Highest risk area with increasing trajectory was Human Capital and Resources (recruiting and retention, high cost of living, and long commutes); 2) Management (change driven, new people and positions); and 3) Technology (retaining IT staff, new ERP system coming in, IT Governance, and IT Security). Overall the city is at a lower risk position than many other cities, a moderate rate is a good risk rating.

Health questions asked and answered of staff included: Is there some way to work with the insurance companies to make the relationships easier; Have you talked with staff to see if the recommendations are feasible; were there any of the 13 findings that we really need to look at; is there a mechanism set up that you can actually identify people who have passed away, and the city is still paying the premiums; what can we do to make improvements so that all areas are improving; were there any concerns about the offsite locations, and were they selected for any specific reason; disaster preparedness, what specific areas; and, as employees are approaching retirement, is there any timeframe required, and is that typical to only have a two week notice.

Motion by Vice Chair Himmelrich, seconded by Committee Member Ellington, to receive and file the report. The motion was approved by voice vote, with Committee Member O'Connor absent.

UPDATE ON INTERNAL AUDIT WORK PLAN

8. Receive an Update on Internal Audit Work Plan (presented by Mark Steranka, Partner, Moss Adams LLP), was presented.

There were no members of the public present for this item.

Mr. Steranka presented; the Ambulance Billing Review, the Benefits Billing and Reconciliation, and Enterprise Risk Assessment were received; Policies and Procedures Validation and Cash Handling Review is on-going.

Supervisor Fraud-Detection Training – create an online version that could be accesed by all employees.

Parking Contract Process review – Audit the vendor and their processes, extending the current contract for one additional year, then send out for a Request for Proposal, similar to the Ambulance Billing Review.

Motion by Vice Chair Himmelrich, seconded by Committee Member Ellington, to receive and file the report. The motion was approved by voice vote, with Committee Member O'Connor absent.

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ADJOURNMENT

On order of the Chair, the Santa Monica Audit Subcommittee meeting was adjourned at 9:58 p.m.

ATTEST:

Denise Anderson-Warren
City Clerk

APPROVED:

Nimish Patel
Chair

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(NOT APPROVED)

CITY OF SANTA MONICA

AUDIT SUBCOMMITTEE MEETING

MINUTES

THURSDAY, APRIL 20, 2017

A special meeting of the Santa Monica Audit Subcommittee was called to order by Vice Chair Himmelrich at 6:18 p.m., on Thursday, April 20, 2017, at 330 Olympic Drive, 2nd Floor (Plaza Level) Santa Monica, CA 90401

Roll Call: Present: Committee Member Frances Ellington
Vice Chair Sue Himmelrich
Committee Member Pam O'Connor *(arrived at 6:32 p.m.)*
Committee Member Tony Vazquez

Also Present: Director of Finance Gigi Decavalles
Interim City Attorney Joseph Lawrence
City Clerk Denise Anderson-Warren

CONVENE

On order of Chair, the Audit Subcommittee convened at 6:18 p.m., with Committee Member O'Connor absent.

ANNOUNCEMENT

The City Clerk made an announcement that the City Council regrettably accepted Nimish Patel's resignation from the Audit Subcommittee at their April 18, 2017 meeting, and that the City Clerk's office will be advertising to fill the vacancy next month.

SCOPE OF WORK

2. Receive the Compensation and Staffing Review Preliminary Work Plan by Moss Adams, LLP and Adopt the Proposed Rules of Conduct for the Audit Subcommittee, was presented.

The Director of Finance presented: 1) Preliminary Work Plan; 2) Recommendation from the City Manager to create an Ad hoc committee, who would sit alongside the Audit Subcommittee when they were discussing the proposed scope, initial findings, and the final report of the compensation study. The proposal is to have five city residents, who would go through an open application process, and the City Manager would select those five residents. The ad hoc committee would only meet alongside the Audit Subcommittee, would be subject to the Brown Act, and would disband once the final report was completed; and, 3) Adopt the Rules of Conduct for the Audit Subcommittee to include the ad hoc committee, which would go before the City Council on May 9, 2017, to ask to have the structure of the Audit Subcommittee temporarily changed. The process following the May 9, 2017 meeting would be: hold the application process; select the five ad hoc members to be seated at the Audit Subcommittee's

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Special June 2017 meeting, where Moss Adams would come back with the proposed scope, and discussions would begin.

Mark Steranka, from Moss Adams presented that there will be three joint meetings of the Audit Subcommittee with the ad hoc members on June 15, 2017 (kick-off meeting), October 17, 2017 (present preliminary findings), and January 16, 2018 (present the final report). There will be general phases: Start-up and firming up and fact finding; Analysis stages (comparisons to peers, comparison to best practices, working with City management) including the four areas of focus (Wage Setting Process, Wages and Benefits, Staffing Methodology, and Public Safety Overtime).

Committee Member O'Connor arrived at 6:32 p.m.

Members of the public Mary Marlow, Janine Bush, Tricia Crane, and Dominic Gomez commented on the recommendation.

Questions asked and answered included: What qualifies the auditor to do this type of work; why are the peer ten cities being used for comparison, and how was it determined; if you receive a large number of qualified candidates, would you automatically expand the membership to six or seven members; as it relates to overtime, how specific will the study get, and will it address the shortage in staff versus hiring more officers and take into consideration the change from 4/10 to 3/12 hour shifts, is that going to be reviewed under this purview; will the review include a comparison of the regular 40 hour work week versus those that work 9/80, and the fact that this is a 24 hour city that has employees working 7 days a week; will bargaining unions be able to participate in the meetings; is it possible to take into account how Santa Monica has changed over time, and expand the comparable cities; and, what is the end game and where do we want to go.

Discussion ensued on the following including, but not limited to: the ad hoc committee and the Rules of Conduct; looking at pension liability and paying it down or finding alternative ways to deal with this; making sure people who work are fairly compensated; a public employee should be included on the ad hoc committee or a member should have experience in public employment; address workers' comp, sick days, and vacation days.

Motion by Vice Chair Himmelrich, seconded by Committee Member O'Connor, to receive and file presentation and provide comments as stated. The motion was approved by voice vote, with all members present.

Committee Member O'Connor, recommended adding a requirement to have one of the representatives have public employment experience.

Vice Chair Himmelrich, recommended giving discretion to the City Manager to appoint five to seven members on the Ad Hoc committee

Motion by Vice Chair Himmelrich, seconded by Committee Member Ellington, to present a staff report to Council recommending the adoption

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of Rules of Conduct for the Audit Subcommittee. The vote was approved by the following vote:

AYES: Committee Members Ellington, O'Connor, Vazquez, Vice Chair Himmelrich
NOES: None
ABSENT: None

Motion by Vice Chair Himmelrich, seconded by Committee Member Ellington, to amend the last sentence of the Proposed Rules of Conduct to say "Members of any ad hoc committee formed may not meet except as allowed in accordance to the Brown Act." The motion was approved by the following vote:

AYES: Committee Members Vazquez, Ellington, O'Connor, Vice Chair Himmelrich
NOES: None
ABSENT: None

Motion by Vice Chair Himmelrich, seconded by Committee Ellington, to direct staff to take the Ad Hoc committee recommendation to the City Council to approve the establishment of a limited term ad hoc committee that would work alongside the Subcommittee in their review of the Compensation and Staffing Review, with a member who has public employment experience, that the City Manager shall have the discretion to appoint five to seven individuals, and extend an invitation to representatives from the various bargaining units to the preliminary findings meetings. The motion was approved by the following vote:

AYES: Committee Members Vazquez, Ellington, O'Connor, Vice Chair Himmelrich
NOES: None
ABSENT: None

The City Manager commented that he does not encourage including employees' usage of sick or vacation time in this study.

ADJOURNMENT

On order of the Chair, the Santa Monica Audit Subcommittee meeting was adjourned at 7:30 p.m.

ATTEST: APPROVED:

Denise Anderson-Warren
City Clerk

Sue Himmelrich
Vice Chair

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Agenda Item 6.

Receive Internal Audit Report on Parking Contract Review

(presented by Moss Adams LLP)

PROPRIETARY AND CONFIDENTIAL

FINAL REPORT

FOR

CITY OF SANTA MONICA

Parking Contract Review

July 27, 2017

Moss Adams
999 Third Avenue, Suite 2800
Seattle, WA 98104
(206) 302-6500

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I. OVERVIEW

As part of the City of Santa Monica's internal audit work plan, the City requested a review of the Agreement for Parking Citation Processing and Payment Services with Conduent. The review took place between January 2017 and June 2017. Specifically, the City requested a review of its processes related to revenue collection for and payment to the City, parking permit inventory management, refunds, collections, reporting, and controls.

We conducted this review under the consultancy standards of the American Institute of Certified Public Accountants (AICPA). As such, this work was not an audit of internal controls or compliance that resulted in a formal opinion or other form of assurance. Moss Adams would like to thank the staff of the Parking and Finance Departments for their cooperation and assistance during our review.

A. BACKGROUND

The City entered into the Agreement with Conduent (formerly known as "Xerox State & Local Solutions" and "ACS State & Local Solutions") on July 12, 2010 for the following services: processing, payment, and dispositions necessary for parking citations pursuant to the laws of the State of California and the City. The Agreement's initial term was for five years with two additional two-year options. The Agreement has been modified three times since its inception. The first modification, dated July 10, 2012, provided new credit card functionality and clarified the parking permit services. The second modification dated, February 13, 2013, covered additional mailings for the parking permit program. The third modification, dated June 23, 2015, exercised the first option term and revised the pricing schedule for the option term.

The main service provided by Conduent to the City is the processing of parking citations, including everything from the initial citation to fine payments to dispute resolution and collections. Conduent provides equipment to issue citations that electronically uploads the information to the eTIMS application where the data is stored. The application automatically generates the appropriate notices and requests for payments based on the data and calendar. Conduent also provides an electronic payment option via the web interface and a lockbox service for those who mail in checks. In the event of nonpayment or a citation dispute, Conduent manages the collections process and performs adjudication calendaring and file set up.

In addition, Conduent administers and performs the fulfillment of the Residential Parking Permit (RPP) Program. Once a resident is set up in the system, the entire process can be completed via the web interface or by mail. Residents may print out a limited number of temporary guest permits from the web in addition to the decals or hangtags they already use. Each year, residents receive a renewal notice and can renew online or via mail. Conduent checks the residency documentation provided by the resident to verify compliance with the program rules. Once verified, Conduent mails the resident their decals and hangtags from the stock on hand.

B. METHODOLOGY

To evaluate the Agreement, our methodology encompassed the following activities:

- Performed interviews with personnel from Conduent, Parking Division, and the Finance Department who are involved in the Parking Citation or RPP process.

- Reviewed a variety of documentation.
- Selected invoices for Parking Citation and RPP services to analyze potential issues and trace billed amounts to source data.
- Performed a physical inventory of the RPP stock located at Conduent.
- Tested Conduent's compliance with the reporting requirements in the Agreement.

C. RESULTS

We identified several areas for improvement including:

- Monthly Invoice Review
- Physical Permit Inventory Stock at Conduent
- California Vehicle Code (CVC) 40200.3(b) Reporting
- Monthly Activity Reports from Conduent
- Decentralized Management of Contract

In total, we identified six findings, which are listed below by improvement area:

- Monthly Invoice Review
  1. Conduent manually produces invoices, which creates the potential for error.
  2. The City does not thoroughly understand the basis for invoice amounts.
- Physical Permit Inventory Stock at Conduent
  3. Physical counts of permit decals and hangtags are reconciled to inventory reports; however, it appears more decals and hangtags are being ordered than needed.
- California Vehicle Code (CVC) 40200.3(b) Reporting
  4. Conduent has not been providing the annual reporting to the City that is required by its contract with the City.
- Monthly Activity Reports from Conduent
  5. The City does not appear to be receiving monthly system-generated activity reports from Conduent.
- Decentralized Management of Contract
  6. Management of the Conduent contract is distributed across multiple City departments with no apparent point person.

II. METHODOLOGY

In order to gain an understanding of the duties and obligations contained in the Agreement and the services and processes performed by the City and Conduent related to such duties and obligations, we performed the following steps:

- Interviewed Conduent management responsible for overseeing the City's program.
- Interviewed City employees from the Parking Division and Finance Department who are involved in the RPP Program or the Citation Processing Program.
- Reviewed a variety of documentation, including the following:
  - Agreement for Parking Citation Processing and Payment Services and its three modifications.
  - Invoice lists from July 2014 to January 2017 for Citation Processing and RPPs.
  - A sample of invoices and their supporting documentation for Citation Processing and RPPs from July 2014 to January 2017.
  - Various reports providing information to the City required by the Agreement (included in the Appendix to this report).
- Performed a physical inventory count and reconciliation of the RPP decals and hangtags for March 2017.
- Performed data and graphical analysis of invoices from July 2014 to January 2017 in order to identify trends or outliers and select invoices for review.
- Reviewed and analyzed select invoices for Citation Processing and RPPs and traced to source information.
- Performed data analysis of the SMRPPERL report for December 2016 in order determine if the RPP invoices were billed by account in accordance with the Agreement.

III. RESULTS

A. MONTHLY INVOICE REVIEW

1. Finding: Conduent manually produces invoices, which creates the potential for error.

Conduent manually produces invoices from reports in eTIMS and invoices from data provided by third-party providers. Accordingly, there is the potential for input errors and mischarges.

The City traces line-item amounts on invoices to their supporting reports and receipts included with the invoices. In the case of RPP invoices, the City also reconciles the merchant account deposits reported on the invoice to the City's account. Due to the number of transactions and the complexity of credit card payment reporting, it is not possible to reconcile the merchant account deposits to the City's Citation Processing account. The City did not recall finding any errors in the invoice amounts during the past six months.

For the Citation Processing invoices, we selected the largest invoice in April 2016 and the first invoice of the latest price modification in July 2015 to review. The invoices are billed by line items with account codes. We traced each account code amount to the relevant supporting documentation included in the same invoice package the City receives. As such, the City has most of the supporting detail. Our review of the invoice found several unique, smaller dollar items that we had to request additional support to verify. For the main citation billing fees, we traced the amounts to the WHREVRPT reports provided. The collections billings were traced to the SMNEWBL3 report. The merchant account fees were traced to several third-party provider invoices. We compared the July 2015 to the April 2016 third-party invoices to confirm that the account numbers were the same.

We selected RPP invoices from December 2015 and December 2016 since there was a large difference between the two. As with the Citation Processing invoices, we traced each account code amount to the supporting documentation provided in the invoice package. We traced the RPP and beach permit charges to the SMRPPERL report summary provided. We also verified the SMRPPERL report summary to the detailed version of the SMRPPERL. The postage costs were traced to the postage meter report.

We reviewed four invoices from the past two years and found one instance of an input error. However, the error did not impact the amount of the invoice.

Recommendation: The City should continue checking line item amounts on a monthly basis, and begin building a historical file for trend analysis.

Developing historical data will help to identify outliers and changes to invoice amounts that may warrant additional inquiry.

2. Finding: The City does not thoroughly understand the basis for invoice amounts.

The City expressed two areas of concern regarding the amounts invoiced during our interviews. For the RPP invoice, there was concern that accounts were potentially being billed more than once per month. For RPP, the scheduled fee per account per month is $6.90 when a transaction is initiated regardless of the number of transactions in the month. Based on the report used to support the invoice amount, it is not apparent that accounts are billed once for multiple transactions in a month.

The other area of concern was the Citation Processing invoice, which includes a $26 fee charged per citation for going to collections. In total, it is the largest single line item amount paid, and the City does not have a good understanding of the Citation collection process and supporting data.

We analyzed the RPP invoice support detail and determined that there was no double billing of accounts for multiple transaction during the month tested. Our analysis began by testing the December 2016 RPP invoice support included in the invoice package. We reviewed the SMRPPERL-M report that summarizes the number of permits by zone and type as well as the number of accounts processed. The total number of accounts processed appears on the invoice and is the base used to compute the fees. Next, we analyzed the more detailed SMRPPERL report that the SMRPPERL-M summaries. The detailed report contained over 5,000 transactions so it appeared the billing was not by transaction.

Included in the total number of accounts processed is the accounts that purchased beach permits (indicated as a separate line item in the SMRPPERL-M report). To confirm accounts were charged only once for the purchase of a beach permit and RPP, we analyzed the detailed SMRPPERL report. Using the permit codes, we summed the permits purchased and isolated the accounts that did not purchase beach permits. Of the 2,068 billed accounts, 1,873 did not purchase beach permits. The difference is 195 accounts, greater than the 127 accounts that were billed for beach permits. Therefore, there was no billing for multiple transactions on the invoice.

The Citation Processing invoice line item for collections is supported by the collections information in the SMNEWBL3 LD report. We analyzed the detail in the SMNEWBL3 LD report included with the Citation Processing invoice by assessing the accuracy and validity of the collection fee amount. We also discussed with Conduent the collection process and its relationship to the data in the SMNEWBL3 LD report so we could understand what causes the $26 fee to be captured in the system and appear in the report. We determined that the $26 fee is not captured by the system until the $26 collection fee is actually collected from the cited vehicle owner. In some cases, the fee is prorated for partial payment. The collection fee is in addition to the citation and penalties owed by the cited vehicle owner. When the cited vehicle owner pays the citation amount, along with any penalties, the entire gross amount goes into the City's bank account. The Citation Processing invoice then charges the City for the $26 (or the prorated amount) paid by the cited vehicle owner.

Recommendation: The City should request documentation from Conduent regarding how invoices are prepared, including the basis for each line item.

After receiving documentation from Conduent, the City should confirm that it understands the invoices and associated reports. In addition, the City should document its process for reviewing invoices and reports, as well as definitions for each line item.

B. PHYSICAL PERMIT INVENTORY STOCK AT CONDUENT

3. Finding: Physical counts of permit decals and hangtags are reconciled to inventory reports; however, it appears more decals and hangtags are being ordered than needed.

Conduent keeps permit decals and hangtags in a locked room that, based on the contents of the room, appears to be dedicated to this purpose. In addition, the permits used during the day to fulfill orders are kept in a locked work area accessible only by two employees and the program manager. Conduent performs periodic physical counts and tracks them via two internal spreadsheets. On March 16, 2017, we performed a physical count of the permits in the locked room and fulfillment room, and were able to reconcile the physical count to the inventory reports.

We observed for Zone 5 2016 that 5,250 decals were ordered and 2,872 (54.7%) destroyed as well as 14,500 visitor hangtags ordered and 3,400 (23.4%) destroyed. For Zone 4 2016, 4,201 decals were ordered with about 2,045 (48.7%) destroyed and 12,501 Visitor hangtags ordered and about 2,600 (20.8%) destroyed, based on the March inventory.

Recommendation: The City should perform periodic physical counts, ideally after shipments are received by Conduent, to confirm that the quantity received matches the quantity invoiced, and begin to utilize destroyed inventory quantities to better estimate future order quantities.

Prior to each order, Conduent should provide a historical report to the City quantifying order and destruction quantities by zone and type for the previous order of permit stock.

C. CALIFORNIA VEHICLE CODE (CVC) 40200.3(B) REPORTING

4. Finding: Conduent has not been providing the annual reporting to the City that is required by its contract with the City.

Conduent is required to prepare an annual report at the end of the fiscal year as prescribed by CVC 40200.3(b). Conduent has not been providing such a report to the City, and it was not aware of this requirement.

Exhibit A Page 5 of 12 Paragraph 26 states: *Per California Vehicle Code Section 40200.3(b), CONTRACTOR shall prepare a report at the end of each fiscal year setting forth the number of cases processed and all financial and/or citation payments received and distributed, along with any other information that may be required by state law. This report is a public record and shall be delivered to CITY at the end of each fiscal year. At CITY'S request, CONTRACTOR shall hire an auditor to prepare the report. CITY shall bear the cost of the audit after approving of the auditor's cost estimate.*

CVC 40200.3(b) states: *The processing agency shall prepare a report at the end of each fiscal year setting forth the number of cases processed, and all sums received and distributed, together with any other information that may be required by the issuing agency or the Controller. This report is a public record and shall be delivered to each issuing agency. Copies shall be made available, upon request, to the county auditor, the Controller, and the grand jury.*

Recommendation: The City should designate a responsible party to enforce Conduent reporting requirements.

Since the report pertains to the Citation Processing invoices that the Finance Department reviews, someone from Finance should serve as the responsible party. Conduent should be required to provide reports to the designee by the end of the month following the end of each fiscal year. This report should be similar in content to the Conduent monthly Revenue Distribution Report, but it should cover the full fiscal year.

D. MONTHLY ACTIVITY REPORT FROM CONDUENT

5. Finding: The City does not appear to be receiving monthly system-generated activity reports from Conduent.

Each month, Conduent generates a monthly statistical report with comparative data in compliance with the Reporting Requirements in Exhibit A, page 11 of 12 for Citation Processing. Conduent also produces a monthly District and Permit Activity report pursuant to Attachment II page 2 of 7 for RPP. The reports are manually created from data from various system-generated reports. However, based on our interviews with Parking and Finance, the City does not seem to be receiving these reports.

Recommendation: The City should request that Conduent prepare a list of the monthly reports it generates, review a sample of each report, and inform Conduent which reports it would like to receive and who to submit them to.

The City should also determine if there are any additional reports or report modifications it would like to receive and work with Conduent to implement those changes.

E. DECENTRALIZED MANAGEMENT OF CONTRACT

6. Finding: Management of the Conduent contract is distributed across multiple City departments with no apparent point person.

Contract management is divided among three departments, with each department only focusing on its relevant portion of the contract. In addition, there has been turnover of City employees involved with the contract in recent history, so institutional knowledge is limited. Also, there appears to be few documented procedures or references available for those unfamiliar with the contract to use as guidance.

Recommendation: The City should divide the current contract's responsibilities, obligations, rights, and areas to manage or monitor among the three departments, and create common shared storage locations for the individual departments that contain contractual information, invoices, and reports.

To create a more comprehensive file folder, employees may need to search email and other network locations for historical information. The City should also prepare documentation related to important or complex procedures, system-generated report information, and issues that arise during the contract period. In addition, the City should obtain training from Conduent and documentation for all contract-required reports and other useful reports furnished by Conduent.

APPENDIX: CONDUENT-GENERATED REPORTS PURSUANT TO THE AGREEMENT

DISTRICT--004 WILSHIRE/10FWY/COLORADO

PERMIT TYPE	PERMIT NUMBER	ADJ AMOUNT	NET AMOUNT	ADJ REASON	ACCT NO	EFFECTIVE DATE	EXPIRE DATE	ISSUE REASON	ADJ DATE	USER ID	N A M E
RD	1805394	25.00-	25.00-	NEG ADJ	044455	04/01/17	03/31/18	NEW	02/14/17	L78RP002	NICOLAS VAN GERSDORFF
RD	1805394	25.00	50.00	POS ADJ	044455	04/01/17	03/31/18	NEW	02/14/17	L78RP002	NICOLAS VAN GERSDORFF
TOTAL FOR PERMIT-RD			ISSUED--	2	TOTAL AMOUNT--		0.00				
R5	1805351	20.00-	20.00-	NEG ADJ	057023	04/01/17	03/31/18	RENEW	02/14/17	L78RP004	CARA SPRUNK
R5	1805393	20.00	40.00	POS ADJ	044455	04/01/17	03/31/18	NEW	02/14/17	L78RP002	DAISY KWOH
R5	1805393	20.00-	20.00-	NEG ADJ	044455	04/01/17	03/31/18	NEW	02/14/17	L78RP002	DAISY KWOH
TOTAL FOR PERMIT-R5			ISSUED--	3	TOTAL AMOUNT--		20.00-				
V1	1810351	30.00-	30.00-	NEG ADJ	030520	04/01/17	03/31/18	RENEW	02/14/17	L78RP004	SALLY HARVEY
V1	1810352	30.00-	30.00-	NEG ADJ	030520	04/01/17	03/31/18	RENEW	02/14/17	L78RP004	SALLY HARVEY
TOTAL FOR PERMIT-V1			ISSUED--	2	TOTAL AMOUNT--		60.00-				
V4	1810272	30.00-	30.00-	NEG ADJ	070107	04/01/17	03/31/18	RENEW	02/14/17	L78RP002	MARGARITA KOUZEL
V4	1810273	30.00-	30.00-	NEG ADJ	070107	04/01/17	03/31/18	RENEW	02/14/17	L78RP002	MARGARITA KOUZEL
TOTAL FOR PERMIT-V4			ISSUED--	2	TOTAL AMOUNT--		60.00-				
TOTAL FOR DISTRICT-004			ISSUED--	9	TOTAL AMOUNT--		140.00-				

ADJUSTMENT SUMMARY FOR DISTRICT:

REASON	DESCRIPTION	AMOUNT
E	NEG ADJ	185.00-
A	POS ADJ	45.00
	TOTAL.....	140.00-

DISTRICT--002 SANTA MONICA COMM COLLEGE

PERMIT TYPE	PERMIT NUMBER	QTY ISSUED	NET AMOUNT	CANCEL REASON	ACCT NO	EFFECTIVE DATE	EXPIRE DATE	ISSUE REASON	CANCEL DATE	USER ID	N A M E
TW	TW7406306	001	0.00	VOID	000506	03/02/17	03/03/17	NEW	03/02/17	L78CL036	PATRICK REGAN
TOTAL FOR PERMIT-TW			ISSUED--	1	TOTAL AMOUNT--		0.00				
V1	1725833	001	30.00	VOID	000506	07/01/16	06/30/17	RENEW	03/02/17	L78CL036	PATRICK REGAN
V1	1725834	001	30.00	VOID	000506	07/01/16	06/30/17	RENEW	03/02/17	L78CL036	PATRICK REGAN
V1	1730485	001	30.00	VOID	073106	07/01/16	06/30/17	RENEW	03/02/17	L78RP004	KEVIN MEEHAN
V1	1730486	001	30.00	VOID	073106	07/01/16	06/30/17	RENEW	03/02/17	L78RP004	KEVIN MEEHAN
V1	1731078	001	30.00	MOVED	076367	09/07/16	06/30/17	NEW	03/02/17	L78CL036	RAMON SMIKLE
TOTAL FOR PERMIT-V1			ISSUED--	5	TOTAL AMOUNT--		150.00				
TOTAL FOR DISTRICT-002			ISSUED--	6	TOTAL AMOUNT--		150.00				

CANCELLED SUMMARY FOR DISTRICT:

REASON	DESCRIPTION	AMOUNT
V	VOID	120.00
M	MOVED	30.00
	TOTAL.....	150.00

DISTRICT--001 AIRPORT AREA

PERMIT TYPE	PERMIT NUMBER	QTY ISSUED	PERMIT AMOUNT	ISSUE REASON	ACCT NO	EFFECTIVE DATE	EXPIRE DATE	STATE PLATE ID	USER ID	N A M E & A D D R E S
TW	TW7407619	001	0.00	NEW	027708	03/05/17	03/06/17		ERPP	0002827 DELAWARE AVE SANTA MONICA CA 90404
TW	TW7407620	001	0.00	NEW	027708	03/05/17	03/06/17		ERPP	0002827 DELAWARE AVE SANTA MONICA CA 90404
TW	TW7407621	001	0.00	NEW	027708	03/06/17	03/07/17		ERPP	0002827 DELAWARE AVE SANTA MONICA CA 90404
TW	TW7407622	001	0.00	NEW	027708	03/06/17	03/07/17		ERPP	0002827 DELAWARE AVE SANTA MONICA CA 90404

TOTAL FOR PERMIT-TW ISSUED-- 4 TOTAL AMOUNT-- 0.00

TOTAL FOR DISTRICT-001 ISSUED-- 4 TOTAL AMOUNT-- 0.00

MONTHLY SANTA MONICA RESIDENTIAL PERMIT REPORT
02/01/2017 - 02/28/2017

BILLABLE ITEMS
ITEMS PROCESSED BY XEROX STAFF (L78RP**, L63**)

	NUMBER OF PERMITS ISSUED R	V	S	NUMBER OF ACCOUNTS PROCESSED
ZONE 1 - AIRPORT AREA	16	23	0	28
ZONE 2 - SANTA MONICA COMM COLLEGE	46	120	0	105
ZONE 3 - SOUTHWEST SANTA MONICA	22	62	0	52
ZONE 4 - WILSHIRE/10FWY/COLORADO	1027	2043	0	1287
ZONE 5 - NORTH OF WILSHIRE	104	333	0	246
ZONE 99 - BEACH PERMITS	0	0	1	1
TOTAL FOR MONTH	1215	2581	1	1719

NON-BILLABLE ITEMS

	NUMBER OF PERMITS ISSUED R	V	S	NUMBER OF ACCOUNTS PROCESSED
ZONE 1 - AIRPORT AREA	8	6	0	9
ZONE 2 - SANTA MONICA COMM COLLEGE	8	29	0	22
ZONE 3 - SOUTHWEST SANTA MONICA	6	14	0	13
ZONE 4 - WILSHIRE/10FWY/COLORADO	75	187	0	137
ZONE 5 - NORTH OF WILSHIRE	19	55	0	44
ZONE 98 - SENIOR PERMITS	0	0	4	4
ZONE 99 - BEACH PERMITS	0	0	555	344
TOTAL FOR MONTH	116	291	559	573

STATUS	BLOCK START	BLOCK END	PRE FIX	STREET NAME	SUFFIX	POST SUFFIX	BLOCK NO.	DISTRICT	ODD/ EVEN
A	0002301	0002469		ASHLAND	AVE		00651	001	
A	0002511	0002521		CENTINELA	AVE		00783	001	O
A	0002601	0002677		CENTINELA	AVE		00795	001	O
A	0002003	0002017		CENTINELA	AVE		00015	001	
A	0002111	0002111		CENTINELA	AVE		00016	001	
A	0002801	0003350		DELAWARE	AVE		00017	001	
A	0001801	0002109		DORCHESTER	AVE		00018	001	
A	0003044	0003302		EXPOSITION	BLV		00022	001	E
A	0003324	0003324		EXPOSITION	BLV		00023	001	E
A	0002910	0003002		EXPOSITION	BLV		00021	001	E
A	0003004	0003300		EXPOSITION	BLV		00019	001	E
A	0002810	0002908		EXPOSITION	BLV		00020	001	E
A	0002704	0002938		KANSAS	AVE		00024	001	
A	0000111	0000111		MAIN	ST		00627	001	
A	0003435	0003435		OCEAN PARK	BLV		00794	001	
A	0002829	0002829		OCEAN PARK	BLV		00025	001	
A	0003401	0003401		OCEAN PARK	BLV		00027	001	
A	0002341	0002515		OCEAN PARK	BLV		00026	001	O
A	0002524	0002525		PEARL	ST		00487	001	
A	0002529	0002529		PEARL	ST		00031	001	
A	0002401	0002430		PEARL	ST		00029	001	
A	0003401	0003433		PEARL	ST		00784	001	
A	0002506	0002507		PEARL	ST		00483	001	
A	0002514	0002515		PEARL	ST		00484	001	
A	0002501	0002502		PEARL	ST		00030	001	
A	0002338	0002363		PEARL	ST		00604	001	
A	0002530	0002530		PEARL	ST		00488	001	
A	0002601	0003327		PEARL	ST		00032	001	
A	0002517	0002517		PEARL	ST		00485	001	
A	0002520	0002520		PEARL	ST		00486	001	
A	0002711	0002715		PICO	BLV		00682	001	O
A	0003011	0003011		PICO	BLV		00686	001	
A	0003021	0003024		PICO	BLV		00687	001	
A	0002905	0002905		PICO	BLV		00683	001	
A	0002501	0002501		PICO	BLV		00033	001	
A	0002911	0002911		PICO	BLV		00684	001	
A	0002917	0002922		PICO	BLV		00685	001	
A	0001925	0001930		STEWART	ST		00034	001	
A	0002102	0002211		STEWART	ST		00035	001	
A	0002901	0003222		URBAN	AVE		00036	001	

*** MARCH 2017 EXPIRATION DATE ***

DIST	ACCNT NUMBER	PERMIT NUMBR	TYP	NAME	STREET	CITY	ST	ZIP	FEE
004	55399	1701622	R8	ROBERT EMRICH	1717 4TH ST - STE 150	SANTA MONICA	CA	90401	0.00
004	55399	1701614	R8	ROBERT EMRICH	1717 4TH ST - STE 150	SANTA MONICA	CA	90401	0.00
004	55399	1713928	V4	ROBERT EMRICH	1717 4TH ST - STE 150	SANTA MONICA	CA	90401	0.00
004	55399	1713927	V4	ROBERT EMRICH	1717 4TH ST - STE 150	SANTA MONICA	CA	90401	0.00
004	76208	4410439	V4	PERMIT TEST	1717 4TH ST STE 150	SANTA MONICA	CA	90401	0.00
004	76208	ANNUAL	V4	PERMIT TEST	1717 4TH ST STE 150	SANTA MONICA	CA	90401	0.00
004	1330	1700038	R4	DANIEL GALAMBA	1421 23RD ST	SANTA MONICA	CA	90404	0.00
004	1330	1704229	R8	DANIEL GALAMBA	1421 23RD ST	SANTA MONICA	CA	90404	0.00
004	1330	1704228	R8	DANIEL GALAMBA	1421 23RD ST	SANTA MONICA	CA	90404	0.00
004	1330	1706417	V4	DANIEL GALAMBA	1421 23RD ST	SANTA MONICA	CA	90404	0.00
004	1330	1706416	V4	DANIEL GALAMBA	1421 23RD ST	SANTA MONICA	CA	90404	0.00
004	1344	1704488	R8	CAROLE KANTER	1440 23RD ST APT 216	SANTA MONICA	CA	90404	0.00
004	1344	1707279	V4	CAROLE KANTER	1440 23RD ST APT 216	SANTA MONICA	CA	90404	0.00
004	1344	1707278	V4	CAROLE KANTER	1440 23RD ST APT 216	SANTA MONICA	CA	90404	0.00
004	1352	1714911	V4	MONICA WU	1440 23RD ST APT 318	SANTA MONICA	CA	90404	0.00
004	1352	1714912	V4	MONICA WU	1440 23RD ST APT 318	SANTA MONICA	CA	90404	0.00
004	1356	1701948	R4	SYLVIA GENTILE	1450 23RD ST	SANTA MONICA	CA	90404	0.00
004	1356	1701949	R4	SYLVIA GENTILE	1450 23RD ST	SANTA MONICA	CA	90404	0.00
004	1356	1715183	V4	SYLVIA GENTILE	1450 23RD ST	SANTA MONICA	CA	90404	0.00
004	1356	1715184	V4	SYLVIA GENTILE	1450 23RD ST	SANTA MONICA	CA	90404	0.00
004	1458	1707727	V4	LENA DEAN	1426 24TH ST	SANTA MONICA	CA	90404	0.00
004	1458	1707728	V4	LENA DEAN	1426 24TH ST	SANTA MONICA	CA	90404	0.00
004	1465	1700930	R4	MANUEL ISLAS	1444 24TH ST	SANTA MONICA	CA	90404	0.00
004	1465	1700931	R4	MANUEL ISLAS	1444 24TH ST	SANTA MONICA	CA	90404	0.00
004	1465	1702089	R8	MANUEL ISLAS	1444 24TH ST	SANTA MONICA	CA	90404	0.00
004	1465	1710278	V4	MANUEL ISLAS	1444 24TH ST	SANTA MONICA	CA	90404	0.00
004	1465	1715709	V4	MANUEL ISLAS	1444 24TH ST	SANTA MONICA	CA	90404	0.00
004	1470	1704632	R8	DIANNE DUKE	1455 24TH ST APT 17	SANTA MONICA	CA	90404	0.00
004	1470	1708022	V4	DIANNE DUKE	1455 24TH ST APT 17	SANTA MONICA	CA	90404	0.00
004	1470	1708023	V4	DIANNE DUKE	1455 24TH ST APT 17	SANTA MONICA	CA	90404	0.00
004	1526	1704323	R8	RACHEL YGLESIAS	1428 25TH ST APT 2	SANTA MONICA	CA	90404	0.00
004	1526	1706307	V4	RACHEL YGLESIAS	1428 25TH ST APT 2	SANTA MONICA	CA	90404	0.00
004	1526	1706308	V4	RACHEL YGLESIAS	1428 25TH ST APT 2	SANTA MONICA	CA	90404	0.00
004	1527	1701498	R8	KAMELYN BOVINETTE	1428 25TH ST APT 3	SANTA MONICA	CA	90404	0.00
004	1527	ANNUAL	V4	KAMELYN BOVINETTE	1428 25TH ST APT 3	SANTA MONICA	CA	90404	0.00
004	1527	ANNUAL	V4	KAMELYN BOVINETTE	1428 25TH ST APT 3	SANTA MONICA	CA	90404	0.00
004	1532	1705124	R8	GRADY SMITH	1433 25TH ST APT 6	SANTA MONICA	CA	90404	0.00
004	1532	ANNUAL	V4	GRADY SMITH	1433 25TH ST APT 6	SANTA MONICA	CA	90404	0.00
004	1532	ANNUAL	V4	GRADY SMITH	1433 25TH ST APT 6	SANTA MONICA	CA	90404	0.00
004	1533	1700216	R4	ABRAHAM YOMTOB	1434 25TH ST APT 1	SANTA MONICA	CA	90404	0.00
004	1533	1707089	V4	ABRAHAM YOMTOB	1434 25TH ST APT 1	SANTA MONICA	CA	90404	0.00
004	1533	1707090	V4	ABRAHAM YOMTOB	1434 25TH ST APT 1	SANTA MONICA	CA	90404	0.00
004	1543	1704348	R8	SADRU KARIM	1443 25TH ST APT 1	SANTA MONICA	CA	90404	0.00
004	1543	1706619	V4	SADRU KARIM	1443 25TH ST APT 1	SANTA MONICA	CA	90404	0.00
004	1543	1706620	V4	SADRU KARIM	1443 25TH ST APT 1	SANTA MONICA	CA	90404	0.00
004	1546	1700061	R4	OLIVER SEIL	1448 25TH ST APT B	SANTA MONICA	CA	90404	0.00

PROGRAM: DMVSPLIT

Xerox State & Local Solutions Inc.

RUNDATE: 02/22/2017
RUNTIME: 18:04:13
PAGE NO: 1

CLIENT : LOS ANGELES, CA

D.M.V. COURT TAPE SPLIT REPORT - SERVICE CENTER: 19

CITY	COURT	TAPE	-REJECTS-	COLLECTED	COLLECTED $	REMOVALS	ADDITIONS	--SWAPS--	-UNKNOWN-
OAKLAND	01301	80	0	1,155	$236,911	1,526	4,079	0	0
BERKELEY	01303	80	0	422	$65,322	351	960	0	0
LOS ANGELES, CITY OF	19312	19	0	10,581	$2,000,374	17,099	28,344	0	0
WEST HOLLYWOOD	19347	19	0	757	$95,962	896	1,567	0	0
SANTA MONICA COURT	19375	80	0	1,076	$144,111	1,205	2,200	0	0
L.A. COUNTY SHERIFF	19393	19	0	1,336	$232,514	2,105	4,383	0	0
L.A. METRO	19395	19	0	71	$11,892	63	173	0	0
ISD PARKING SERVICES	19726	80	0	9	$1,296	4	7	0	0
BEACHES AND HARBORS	19746	80	0	82	$14,190	124	236	0	0
BEVERLY HILLS	19747	80	0	247	$39,018	170	0	0	0

** FINAL TOTALS **

CITY OF OAKLAND	01301	0	1,155	$236,911	1,526	4,079	0	0
CITY OF BERKELEY	01303	0	422	$65,322	351	960	0	0
CITY OF LOS ANGELES	19312	0	10,581	$2,000,374	17,099	28,344	0	0
WEST HOLLYWOOD	19347	0	757	$95,962	896	1,567	0	0
SANTA MONICA	19375	0	1,076	$144,111	1,205	2,200	0	0
L. A. COUNTY SHERIFF	19393	0	1,336	$232,514	2,105	4,383	0	0
L. A. METRO	19395	0	71	$11,892	63	173	0	0
TOTAL TO TIMS CLIENTS		0	14,497	$2,593,861	21,964	37,153	0	0

PROGRAM: TVEISRPT Xerox State & Local Solutions Inc RUNDATE: 03/06/2017
RUNTIME: 05:34:49

CLIENT : SANTA MONICA ISSUANCE REPORT PAGE NO: 1

M O N T H L Y V I E W

MARCH CURRENT MONTH					FEBRUARY PREVIOUS MONTH				
1	1,032	12		23	1	1,067	12	525	23 835
2	699	13		24	2	683	13	1,096	24 765
3	703	14		25	3	792	14	1,275	25 458
4	551	15		26	4	651	15	935	26 679
5	547	16		27	5	461	16	703	27 912
6		17		28	6	681	17	380	28 898
7		18		29	7	904	18	428	29
8		19		30	8	1,054	19	644	30
9		20		31	9	845	20	784	31
10		21			10	792	21	1,161	
11		22			11	498	22	823	
TOTAL:			3,532		TOTAL:			21,729	

Y E A R L Y V I E W

CURRENT YEAR: 2017			LAST YEAR: 2016		
	TRANS	DOLLARS		TRANS	DOLLARS
JAN	21,676		JAN	21,690	
FEB	21,729		FEB	22,150	
MAR	3,532		MAR	24,466	
APR			APR	25,204	
MAY			MAY	25,191	
JUN			JUN	24,685	
JUL			JUL	25,215	
AUG			AUG	26,067	
SEP			SEP	23,572	
OCT			OCT	22,870	
NOV			NOV	22,019	
DEC			DEC	21,550	
TOTAL	46,937		TOTAL	284,679	

O V E R V I E W

YEAR: 2017

	ISSUANCE	NOTICE		PAYMENT	
	TRANS	MAIL	DOLLARS	TRANS	DOLLARS
SUNDAY 03/05/2017	547	1,026	62,256	351	22,40
WTD	3,532	7,673	931,319	2,879	186,95
MTD	3,532	7,673	931,319	2,879	186,95
YTD	46,937	50,899	5,209,693	42,997	2,920,31

SEARCH

SEARCH RESULTS

There are several possible matches for your search criteria:
Notice Type: Instate SP Coll
Earliest Mail Date: 02/01/2017

Notice Type All
Earliest Mail Date 02/01/2017
Sequence Number
Citation Number
State Plate CA

SEARCH

	Notice Type	Mail Date	Sequence Number	Citation Count	Notice Count	Page Count	Total Due	Notice Review Status
◉	003 INSTATE SP COLL	02/01/2017	0	1	1	1	$458.00	
○	003 INSTATE SP COLL	02/02/2017	0	568	524	568	$78,754.00	
○	003 INSTATE SP COLL	02/07/2017	0	241	225	241	$29,941.00	
○	003 INSTATE SP COLL	02/08/2017	0	2	1	2	$158.00	
○	003 INSTATE SP COLL	02/09/2017	0	364	334	364	$48,449.00	
○	003 INSTATE SP COLL	02/13/2017	0	4	4	4	$556.00	
○	003 INSTATE SP COLL	02/15/2017	0	2	2	2	$250.00	
○	003 INSTATE SP COLL	02/16/2017	0	862	782	862	$114,231.00	
○	003 INSTATE SP COLL	02/21/2017	0	185	174	185	$22,793.00	
○	003 INSTATE SP COLL	02/22/2017	0	3	2	3	$393.00	
○	003 INSTATE SP COLL	02/23/2017	0	510	472	510	$68,254.00	
○	003 INSTATE SP COLL	02/27/2017	0	2	2	2	$239.00	
○	003 INSTATE SP COLL	02/28/2017	0	2	1	2	$292.00	

MONTHLY SUMMARY STATISTICS

Santa Monica Parking Violations Bureau
February 2017

19 WORKDAYS	FY 2016-2017		MONTHLY AVERAGE	
	FEB 2016	YTD 16/17	FY 16/17	FY 15/16
CUSTOMER SERVICE				
CALLS ACCEPTED	6,115	56,408	7,051	7,038
CALLS COMPLETED	5,970	55,241	6,905	6,902
AVG DAILY CALLS COMPLETED	314	338		
CALL COMPLETION %	97.63%	97.93%	97.93%	98.06%
AVERAGE ANSWER DELAY (MIN)	1.65	1.51	1.51	0.99
CORRESPONDENCE REC'D	3,165	35,021	4,378	4,494
CORRESPONDENCE PROC'D	3,165	35,021	4,378	4,494
AVG DAILY CORR PROCESSED	167			
CORRESPONDENCE BACKLOG	0	0	0	0
AVERAGE PROCESSED %	100%	100%	100%	100%

AVERAGE TALK TIME (minutes)	2.96
AVERAGE IVR CAPTURE RATE	51%

eTIMS® SANTA MONICA :: Notice Management

Home | Help | Log Out eTIMS Subsystems GO

SEARCH

SEARCH RESULTS

There are several possible matches for your search criteria:
Notice Type: Instate Note 1
Earliest Mail Date: 03/01/2017

Notice Type All **Citation Number**

Earliest Mail Date 03/01/2017 **State Plate** CA

Sequence Number

SEARCH

	Notice Type	Mail Date	Sequence Number	Citation Count	Notice Count	Page Count	Total Due	Notice Review Status
◉	001 INSTATE NOTE 1	03/01/2017	0	1,052	988	990	$57,802.00	
○	001 INSTATE NOTE 1	03/02/2017	0	736	674	683	$41,073.00	
○	001 INSTATE NOTE 1	03/06/2017	0	588	542	545	$31,158.00	
○	001 INSTATE NOTE 1	03/07/2017	0	581	542	543	$32,278.00	
○	001 INSTATE NOTE 1	03/08/2017	0	1,024	977	981	$58,480.00	

Choose View Function Optional Sequence # GO

PROGRAM: WHREVRPT LS

Xerox State & Local Solutions Inc.

RUNDATE: 03/02/2017
RUNTIME: 18:01:05
PAGE NO: 1

CLIENT : SANTA MONICA

R E V E N U E D I S T R I B U T I O N R E P O R T
***** FOR 2/01/2017 THRU 2/28/2017 *****
***** SUMMARY TOTALS *****

TICKET NUMBER	AMOUNT PAID	COLLECTION FEES	COURT FEE	JUSTICE FEE	SPECIAL FEE	HANDICAPPED FEE	COUNTY/STATE SHARE	CITY SHARE	P C B P L K
BOUNCED CHECK :									
PAYMENT	25.00	0.00	0.00	0.00	0.00	0.00	0.00	25.00	
** TOTAL **	25.00	0.00	0.00	0.00	0.00	0.00	0.00	25.00	
	TOTAL PAYMENTS:	1	TOTAL ADJUSTMENTS:	0	TOTAL TRANSACTIONS:	1			
CASHIERING :									
PAYMENT	11,809.00	130.00	1,600.00	400.00	0.00	50.00	300.00	9,329.00	
ERROR CORR	-200.00	0.00	-20.00	-5.00	0.00	0.00	0.00	-175.00	
** TOTAL **	11,609.00	130.00	1,580.00	395.00	0.00	50.00	300.00	9,154.00	
	TOTAL PAYMENTS:	203	TOTAL ADJUSTMENTS:	2	TOTAL TRANSACTIONS:	205			
LOCKBOX :									
PAYMENT	254,045.32	2,144.69	34,991.18	8,745.00	0.00	600.00	5,755.88	201,808.57	
CREDIT	802.00	0.00	30.00	7.50	0.00	0.00	25.00	739.50	
** TOTAL **	254,847.32	2,144.69	35,021.18	8,752.50	0.00	600.00	5,780.88	202,548.07	
	TOTAL PAYMENTS:	4,208	TOTAL ADJUSTMENTS:	10	TOTAL TRANSACTIONS:	4,218			
DMV :									
PAYMENT	144,111.00	26,754.00	8,330.00	2,082.50	0.00	150.00	2,612.50	104,182.00	
** TOTAL **	144,111.00	26,754.00	8,330.00	2,082.50	0.00	150.00	2,612.50	104,182.00	
	TOTAL PAYMENTS:	1,076	TOTAL ADJUSTMENTS:	0	TOTAL TRANSACTIONS:	1,076			
CITY CASHIERING:									
PAYMENT	17,679.00	1,310.21	1,619.86	405.00	0.00	0.00	757.50	13,586.43	
** TOTAL **	17,679.00	1,310.21	1,619.86	405.00	0.00	0.00	757.50	13,586.43	
	TOTAL PAYMENTS:	245	TOTAL ADJUSTMENTS:	0	TOTAL TRANSACTIONS:	245			
PAY BY WEB :									
PAYMENT	796,167.00	21,291.62	101,607.00	25,402.50	0.00	950.00	22,612.20	624,303.68	
DEBIT	-252.00	-26.00	-30.00	-7.50	0.00	0.00	0.00	-188.50	
** TOTAL **	795,915.00	21,265.62	101,577.00	25,395.00	0.00	950.00	22,612.20	624,115.18	
	TOTAL PAYMENTS:	12,039	TOTAL ADJUSTMENTS:	3	TOTAL TRANSACTIONS:	12,042			

R E V E N U E D I S T R I B U T I O N R E P O R T

***** FOR 2/01/2017 THRU 2/28/2017 *****

***** SUMMARY TOTALS *****

TICKET NUMBER	AMOUNT PAID	COLLECTION FEES	COURT FEE	JUSTICE FEE	SPECIAL FEE	HANDICAPPED FEE	COUNTY/STATE SHARE	CITY SHARE	P C B P L K
PAY BY PHONE :									
PAYMENT	113,363.00	4,064.74	13,675.44	3,416.50	0.00	354.00	2,430.06	89,422.26	
** TOTAL **	113,363.00	4,064.74	13,675.44	3,416.50	0.00	354.00	2,430.06	89,422.26	
	TOTAL PAYMENTS:	1,607	TOTAL ADJUSTMENTS:	0	TOTAL TRANSACTIONS:	1,607			
FTB INTERCEPT :									
PAYMENT	6,094.50	1,145.41	330.00	82.50	0.00	0.00	117.60	4,418.99	
** TOTAL **	6,094.50	1,145.41	330.00	82.50	0.00	0.00	117.60	4,418.99	
	TOTAL PAYMENTS:	58	TOTAL ADJUSTMENTS:	0	TOTAL TRANSACTIONS:	58			
PROD CONTROL :									
BOUNCED CK	-391.00	0.00	-50.00	-12.50	0.00	0.00	0.00	-328.50	
REFUND	-13,380.84	0.00	-210.00	-52.50	0.00	0.00	-67.50	-13,050.84	
DEBIT	-1,880.00	0.00	-280.00	-70.00	0.00	0.00	0.00	-1,530.00	
CREDIT	1,965.00	51.03	278.14	70.00	0.00	0.00	47.38	1,518.45	
** TOTAL **	-13,686.84	51.03	-261.86	-65.00	0.00	0.00	-20.12	-13,390.89	
	TOTAL PAYMENTS:	0	TOTAL ADJUSTMENTS:	266	TOTAL TRANSACTIONS:	266			

R E V E N U E D I S T R I B U T I O N R E P O R T
***** FOR 2/01/2017 THRU 2/28/2017 *****
***** SUMMARY TOTALS *****

TICKET NUMBER	AMOUNT PAID	COLLECTION FEES	COURT FEE	JUSTICE FEE	SPECIAL FEE	HANDICAPPED FEE	COUNTY/STATE SHARE	CITY SHARE	P C B P L K
GRAND TOTAL	1,329,956.98	56,865.70	161,871.62	40,464.00	0.00	2,104.00	34,590.62	1,034,061.04	

TOTAL PAYMENTS: 19,437 TOTAL ADJUSTMENTS: 281 TOTAL TRANSACTIONS: 19,718

CITATIONS PAID: 19,436

COURT FEE

COUNTY-COURTHOUSE CONSTRUCTION FUND	40,488.04
(GC 76100 - $2.50)	
STATE-COURT FACILITIES CONSTRUCTION FUND	121,383.58
(GC 70372(B)	
SB1407 ($3.00)	48,556.50
SB425 ($1.50)	24,276.50
TRIAL COURT TRUST FUND (GC 76000.3 - SB857 $3.00)	48,550.58
(UNTIL 06/30/2013 UNLESS EXTEND. PER GC 76000.3(E))	

JUSTICE

COUNTY CRIMINAL JUSTICE FACILITIES CONST FUND	40,464.00
(GC 76101 - $2.50)	

CITATION COLLECTION SYSTEM

PAID CITATION DISTRIBUTION REPORT

CITY OF SANTA MONICA

COURTHOUSE CONSTRUCTION AND CRIMINAL JUSTICE FACILITIES FUNDS
FOR THE MONTH OF FEBRUARY 2017

TOTAL CITATIONS PAID		16,331
TOTAL AMOUNT PAID	$	1,217,393.43
TOTAL CONSTRUCTION FUND	$	202,335.62

CITATION COLLECTION SYSTEM

PAID CITATION DISTRIBUTION REPORT

CITY OF SANTA MONICA

PENALTIES FOR EQUIPMENT AND REGISTRATION VIOLATIONS
FOR THE MONTH OF FEBRUARY 2017

TOTAL CITATIONS PAID		2,880
TOTAL AMOUNT PAID	$	102,460.52
TOTAL PENALTIES FOR VIOLATIONS	$	34,590.62

CITATION COLLECTION SYSTEM

PAID CITATION DISTRIBUTION REPORT

CITY OF SANTA MONICA

HANDICAPPED FEES
FOR THE MONTH OF FEBRUARY 2017

TOTAL CITATIONS PAID		45
TOTAL AMOUNT PAID	$	17,205.00
TOTAL PENALTIES FOR VIOLATIONS	$	2,104.00

CITATION COLLECTION SYSTEM

PAID CITATION DISTRIBUTION REPORT

CITY OF SANTA MONICA

FOR THE MONTH OF FEBRUARY 2017

NO FEES DISTRIBUTES

TOTAL CITATIONS PAID		403
TOTAL AMOUNT PAID	$	3,530.16
TOTAL FEES DISTRIBUTED	$	0.00

GRAND TOTAL ALL:

TOTAL CITATIONS PAID		19,718
TOTAL AMOUNT PAID	$	1,329,956.98
TOTAL FEES DISTRIBUTED	$	295,895.94

SANTA MONICA
Name and Address Summary
Feb-17

DATE	RUN DATE		TOTAL PROCESSED	GOOD RETURNS	%	ERRORS	%	
Wednesday	1-Feb		691	658	95.22%	33	4.78%	100.00%
Thursday	2-Feb		970	922	95.05%	48	4.95%	100.00%
Friday	3-Feb		658	635	96.50%	23	3.50%	100.00%
Saturday	4-Feb		736	687	93.34%	49	6.66%	100.00%
Sunday	5-Feb		605	558	92.23%	47	7.77%	100.00%
Monday	6-Feb				#DIV/0!	-	#DIV/0!	#DIV/0!
Tuesday	7-Feb	a	417	382	91.61%	35	8.39%	100.00%
Tuesday	7-Feb	b	627	595	94.90%	32	5.10%	100.00%
Wednesday	8-Feb		815	786	96.44%	29	3.56%	100.00%
Thursday	9-Feb		979	926	94.59%	53	5.41%	100.00%
Friday	10-Feb		785	736	93.76%	49	6.24%	100.00%
Saturday	11-Feb		726	707	97.38%	19	2.62%	100.00%
Sunday	12-Feb		505	475	94.06%	30	5.94%	100.00%
Monday	13-Feb				#DIV/0!	-	#DIV/0!	#DIV/0!
Tuesday	14-Feb	a	493	451	91.48%	42	8.52%	100.00%
Tuesday	14-Feb	b	977	950	97.24%	27	2.76%	100.00%
Wednesday	15-Feb		1,109	1,060	95.58%	49	4.42%	100.00%
Thursday	16-Feb		890	843	94.72%	47	5.28%	100.00%
Friday	17-Feb	a	662	624	94.26%	38	5.74%	100.00%
Friday	17-Feb	b	3,676	3,432	93.36%	244	6.64%	100.00%
Saturday	18-Feb		409	351	85.82%	58	14.18%	100.00%
Sunday	19-Feb		409	381	93.15%	28	6.85%	100.00%
Monday	20-Feb				#DIV/0!	-	#DIV/0!	#DIV/0!
Tuesday	21-Feb	a	559	531	94.99%	28	5.01%	100.00%
Tuesday	21-Feb	b	693	669	96.54%	24	3.46%	100.00%
Wednesday	22-Feb		1,008	959	95.14%	49	4.86%	100.00%
Thursday	23-Feb		797	755	94.73%	42	5.27%	100.00%
Friday	24-Feb		802	754	94.01%	48	5.99%	100.00%
Saturday	25-Feb		716	675	94.27%	41	5.73%	100.00%
Sunday	26-Feb		410	395	96.34%	15	3.66%	100.00%
Monday	27-Feb				#DIV/0!	-	#DIV/0!	#DIV/0!
Tuesday	28-Feb				#DIV/0!	-	#DIV/0!	#DIV/0!
					#DIV/0!	-	#DIV/0!	#DIV/0!
					#DIV/0!	-	#DIV/0!	#DIV/0!
					#DIV/0!	-	#DIV/0!	#DIV/0!
					#DIV/0!	-	#DIV/0!	#DIV/0!
					#DIV/0!	-	#DIV/0!	#DIV/0!
			22,124	**20,897**	**94.45%**	**1,227**	**5.55%**	

	Item #	Category	Type	Jul-16	Aug-16	Sep-16	Oct-16	Nov-16	Dec-16	Jan-17	Feb-17	Mar-17	Apr-17	May-17	Jun-17	FYTD
	1	# of Business Days	#	23	23	21	20	20	20	20	19					166
Issuance Based	2	Citations Issued	#	25,243	25,970	23,626	22,860	21,999	21,396	21,944	21,640					184,678
	3	Windshield Payment Rate* (as of 3/9/17)	%	54.60%	55.90%	54.10%	54.60%	53.70%	53.50%	53.40%	36.60%					53%
	4	Paid on Notice* (as of 3/9/17)	%	56.20%	53.50%	55.10%	50.90%	50.20%	46.00%	33.70%	6.50%					51%
	5	Payment Rate* (as of 3/9/17)	%	84.40%	83.90%	83.30%	81.50%	80.20%	77.90%	70.30%	38.10%					79%
	6	Dismissal Rate* (as of 3/9/17)	%	2.70%	2.40%	2.20%	2.70%	3.00%	2.40%	1.60%	1.10%	0.00%	0.00%	0.00%	0.00%	3%
	7	Closure Rate* (as of 3/9/17)	%	87.10%	86.30%	85.50%	84.20%	83.20%	80.30%	71.90%	39.20%					82%
Activity Based	8	Cites Updated	#	25,215	26,067	23,572	22,870	22,019	21,550	21,676	21,729					396,383
	9	DMV Name & Address - IN STATE	%	95.08%	94.84%	94.67%	94.51%	94.24%	94.53%	94.65%	94.41%					94%
	10	DMV Name & Address - OUT OF STATE**	%	91.79%	89.40%	91.20%	89.92%	91.08%	90.03%	90.57%	92.94%					91%
	11	Notices - CITY NOTICES	#	17,472	21,074	21,513	20,771	15,240	19,034	16,686	14,155					145,945
	12	Notices - CORRESPONDENCE	#	2,510	2,711	2,418	2,631	2,552	1,663	2,561	1,701					18,747
	13	Notices - SPECIAL COLLECTIONS NOTICES	#	8,233	5,172	6,076	2,677	7,623	10,861	6,273	7,059					53,974
	14	Gross Collected	$	$1,510,001.06	$1,621,737.89	$1,521,263.28	$1,453,180.94	$1,415,791.14	$1,336,796.16	$1,403,398.86	$1,329,956.98					11,592,126
	15	Gross Collected	#	22,343	24,103	22,109	21,224	20,518	20,251	20,285	19,437					170,270
	16	Refunded	$	(16,544)	(20,616)	(4,301)	(8,296)	(3,041)	(63,176)	(2,419)	(13,381)					(131,774)
	17	Refunded	#	226	270	74	99	42	775	36	189					1,711
	18	Bounced Check Fees	$	$100.00	$175.00	$25.00	$75.00	$25.00	$100.00	$35.00	$25.00					560
	19	Bounced Check Fees	#	4	6	1	3	1	2	2	1					20
	20	Lockbox	$	$296,061.74	$336,066.40	$299,795.22	$286,845.38	$164,288.14	$271,534.01	$263,713.00	$254,847.32					2,173,151
	21	Lockbox	#	4,810	5,471	4,857	4,617	4,329	4,454	4,244	4,208					36,990
	22	City Cashiering	$	$19,654.00	$26,927.00	$22,196.00	$18,740.00	$18,986.00	$24,941.00	$19,122.00	$17,679.00					168,245
	23	City Cashiering	#	244	316	260	250	229	296	263	245					2,103
	24	Cashiering	$	$13,776.00	$15,589.00	$14,239.00	$11,306.00	$12,460.00	$13,004.00	$11,626.00	$11,609.00					103,609
	25	Cashiering	#	224	255	226	191	197	188	201	203					1,685
	26	Pay By Phone	$	$143,140.00	$150,514.00	$143,098.00	$137,895.00	$135,151.00	$119,918.00	$117,352.00	$113,363.00					1,060,431
	27	Pay By Phone	#	2,167	2,217	2,103	1,990	1,892	1,692	1,678	1,607					15,346
	28	Pay by Web	$	$891,989.00	$965,508.00	$883,090.00	$869,777.60	$861,296.00	$835,254.00	$861,110.00	$795,915.00					6,963,940
	29	Pay by Web	#	13,690	14,716	13,439	13,145	12,923	12,611	12,898	12,039					105,461
	30	DMV	$	$157,231.00	$144,639.00	$149,202.00	$137,961.00	$126,125.00	$130,451.00	$131,261.00	$144,111.00					1,120,981
	31	DMV	#	1,152	1,094	1,102	1,011	942	964	986	1,076					8,327
	32	FTB	$	$5,118.32	$3,504.42	$14,131.06	$1,721.96	$730.00	$5,148.96	$1,842.86	$6,094.50					38,292
	33	FTB	#	52	28	122	17	5	44	15	58					341
	34	Production Control	$	($17,069.00)	($21,184.93)	($4,513.00)	($11,141.00)	($3,270.00)	($63,554.81)	($2,663.00)	($13,686.84)					(137,083)
	35	Production Control (Transactions)	#	0	0	141	209	142	828	115	266					1,701
	36	Gross Per Ticket	$	$67.58	$67.28	$68.81	$68.47	$69.00	$66.01	$69.18	$68.42	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!
	37	Net Per Ticket	$	$55.62	$51.56	$54.07	$58.55	$60.57	$61.37	$61.26	$63.94	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!
	38	Special Collections Revenue - Gross (Citations Paid)	#	2,161	2,160	2,238	1,977	2,037	2,014	2,105	2,232					16,924
	39	Special Collections Revenue - Gross (Dollars Collected)	$	$275,971.32	$267,379.42	$193,050.06	$260,719.49	$265,434.00	$265,417.96	$268,770.86	$288,746.50					2,085,490
	40	Special Collections Revenue - Gross (Collections Fee)	$	$51,282.79	$52,091.37	$54,203.73	$50,384.17	$51,903.36	$51,198.97	$53,478.34	$56,865.70					421,408
	41	Calls Accepted	#	7,733	8,758	7,831	7,128	6,514	6,058	6,271	6,115					56,408
	42	Calls Completed	#	7,567	8,619	7,665	6,957	6,373	5,932	6,158	5,970					55,241
	43	Call Completion	%	97.85%	98.41%	97.88%	97.60%	97.84%	97.92%	98.20%	97.63%	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!
	44	Average Answer Delay (minutes)	M	1.53	1.49	1.48	1.64	1.43	1.30	1.54	1.65					1.51
	45	Average Talk Time (minutes)	M	2.78	2.79	2.76	2.79	2.83	2.88	2.83	2.96					2.83
	46	Correspondence Received***	#	4,325	4,900	4,028	4,494	6,466	3,299	4,344	3,165					30,696

REGISTRY CONTROL REPORT
BY STATE
FROM 01/01/17 THRU 01/31/17

CLIENT: R1S STATE: OOS

	REQSTD	HIT RATE %	HT + MK MISMTCH	HT + MK MIS %
RQ TTL:	0	0.00	0	0.00
RR TTL:	0	0.00	0	0.00

CLIENT: R1S STATE: OOS

	REQSTD	HIT RATE %	HT + MK MISMTCH	HT + MK MIS %
RQ TTL:	973	90.26	1010	93.69
RR TTL:	4	8.16	19	38.78

PROGRAM: LAMISSPC FY
EXTRACT DATE: 03/04/2017
CLIENT : SANTA MONICA

Conduent Business Services, LLC.

IN STATE COLLECTION STATS FOR CLIENT: SANTA MONICA

RUNDATE: 03/04/2017
RUNTIME: 06:58:56

ISSUE MONTH	TOTAL ISSUED	WNDSHLD PAID	% OF ISSUED	CITES NOTICED	PAID ON NOTICE	% OF NOTICED	PARTIALLY SUSPENDED/ DISMISSED	FULLY SUSPENDED/ DISMISSED	CURRENTLY ON DMV HOLD	PAYMENT RATE	CLOSURE RATE	TOTAL OPEN UN-NOTICED	% OF ISSUED
JUL-13	24,624	13,561	55.00%	12,443	8,342	67.00%	137	1,040	96	88.90%	93.70%	452	1.80%
AUG-13	23,249	12,591	54.10%	12,259	8,285	67.50%	135	792	88	89.70%	93.70%	434	1.80%
SEP-13	22,880	12,535	54.70%	11,858	7,945	67.00%	131	812	89	89.50%	93.60%	417	1.80%
OCT-13	24,405	13,246	54.20%	12,538	8,554	68.20%	156	884	104	89.30%	93.50%	428	1.70%
NOV-13	22,466	12,196	54.20%	11,615	8,002	68.80%	147	849	94	89.90%	94.30%	294	1.30%
DEC-13	22,396	11,866	52.90%	11,994	8,313	69.30%	211	811	95	90.10%	94.60%	235	1.00%
JAN-14	21,136	11,670	55.20%	11,136	7,325	65.70%	140	708	97	89.80%	93.80%	220	1.00%
FEB-14	20,514	11,143	54.30%	11,006	7,314	66.40%	112	711	106	89.90%	93.90%	219	1.00%
MAR-14	20,950	11,629	55.50%	10,810	7,218	66.70%	125	746	120	89.90%	94.10%	228	1.00%
APR-14	21,628	11,963	55.30%	11,241	7,452	66.20%	78	826	159	89.70%	93.90%	254	1.10%
MAY-14	23,695	12,648	53.30%	12,768	8,543	66.90%	85	920	154	89.40%	93.60%	264	1.10%
JUN-14	20,744	11,236	54.10%	11,166	7,330	65.60%	95	757	129	89.50%	93.60%	288	1.30%
TOTAL	268,687	146,284	54.40%	140,834	94,623	67.10%	1,552	9,856	1,331	89.60%	93.90%	3,733	1.30%
JUL-14	24,211	13,266	54.70%	12,843	8,533	66.40%	112	809	175	90.00%	93.80%	297	1.20%
AUG-14	21,301	11,607	54.40%	11,342	7,475	65.90%	111	790	172	89.50%	93.80%	231	1.00%
SEP-14	23,470	12,657	53.90%	12,762	8,373	65.60%	95	802	246	89.60%	93.40%	266	1.10%
OCT-14	23,169	12,349	53.20%	12,393	8,265	66.60%	106	929	198	88.90%	93.40%	246	1.00%
NOV-14	22,391	12,227	54.60%	11,869	7,901	66.50%	140	764	205	89.80%	93.90%	241	1.00%
DEC-14	23,567	12,707	53.90%	12,690	8,452	66.60%	164	846	230	89.70%	94.00%	240	1.00%
JAN-15	24,631	13,493	54.70%	13,039	8,606	66.00%	152	870	220	89.70%	93.80%	303	1.20%
FEB-15	22,325	12,717	56.90%	11,458	7,305	63.70%	95	777	207	89.60%	93.50%	359	1.60%
MAR-15	23,027	12,903	56.00%	12,208	7,827	64.10%	91	712	258	90.00%	93.50%	297	1.20%
APR-15	22,684	12,781	56.30%	12,053	7,572	62.80%	105	721	276	89.70%	93.30%	278	1.20%
MAY-15	21,982	12,276	55.80%	11,518	7,424	64.40%	115	624	251	89.60%	92.90%	310	1.40%
JUN-15	22,306	12,801	57.30%	11,422	7,249	63.40%	105	611	281	89.80%	93.00%	438	1.90%
TOTAL	275,064	151,784	55.10%	145,597	94,982	65.20%	1,391	9,255	2,719	89.70%	93.50%	3,506	1.20%
JUL-15	20,792	11,437	55.00%	10,796	7,033	65.10%	80	825	320	88.80%	93.10%	317	1.50%
AUG-15	23,854	13,564	56.80%	11,716	7,405	63.20%	121	683	323	87.90%	91.20%	674	2.80%
SEP-15	23,515	12,973	55.10%	12,262	8,010	65.30%	120	624	497	89.20%	92.30%	344	1.40%
OCT-15	23,186	12,729	54.80%	11,899	7,809	65.60%	111	692	566	88.50%	92.00%	373	1.60%
NOV-15	20,812	11,239	54.00%	11,132	7,106	63.80%	145	622	570	88.10%	91.80%	291	1.30%
DEC-15	22,159	12,300	55.50%	11,660	7,526	64.50%	130	601	549	89.40%	92.70%	329	1.40%
JAN-16	20,041	10,961	54.60%	10,438	6,691	64.10%	100	652	641	88.00%	91.80%	328	1.60%
FEB-16	20,135	11,261	55.90%	10,537	6,473	61.40%	95	566	754	88.00%	91.30%	301	1.40%
MAR-16	22,561	12,348	54.70%	11,959	7,320	61.20%	105	634	990	87.10%	90.40%	333	1.40%
APR-16	22,930	12,734	55.50%	12,087	7,268	60.10%	107	580	1,106	87.20%	90.20%	359	1.50%
MAY-16	22,949	12,672	55.20%	12,195	7,235	59.30%	95	646	1,232	86.70%	89.90%	299	1.30%
JUN-16	22,670	12,682	55.90%	12,040	6,929	57.50%	106	491	1,507	86.50%	89.10%	296	1.30%
TOTAL	265,604	146,900	55.30%	138,721	86,805	62.50%	1,315	7,616	9,055	87.90%	91.30%	4,244	1.50%

Conduent Business Services, LLC.

IN STATE COLLECTION STATS FOR CLIENT: SANTA MONICA

ISSUE MONTH	TOTAL ISSUED	WNDSHLD PAID	% OF ISSUED	CITES NOTICED	PAID ON NOTICE	% OF NOTICED	PARTIALLY SUSPENDED/ DISMISSED	FULLY SUSPENDED/ DISMISSED	CURRENTLY ON DMV HOLD	PAYMENT RATE	CLOSURE RATE	TOTAL OPEN UN-NOTICED	% OF ISSUED
JUL-16	22,909	12,474	54.40%	12,464	7,057	56.60%	93	541	1,766	85.20%	88.00%	303	1.30%
AUG-16	23,570	13,217	56.00%	12,592	6,800	54.00%	83	501	1,934	84.90%	87.40%	286	1.20%
SEP-16	21,521	11,655	54.10%	11,638	6,457	55.40%	85	418	1,968	84.10%	86.40%	301	1.30%
OCT-16	20,736	11,402	54.90%	11,154	5,684	50.90%	125	462	2,074	82.30%	85.20%	277	1.30%
NOV-16	20,039	10,819	53.90%	10,774	5,425	50.30%	136	484	1,820	81.00%	84.10%	256	1.20%
DEC-16	19,694	10,598	53.80%	10,643	4,953	46.50%	131	349	0	78.90%	81.40%	348	1.70%
JAN-17	20,096	10,798	53.70%	10,295	3,579	34.70%	115	212	0	71.50%	73.10%	1,112	5.50%
FEB-17	19,874	7,411	37.20%	4,905	327	6.60%	58	168	0	38.90%	40.00%	8,244	41.40%
MAR-17	0	0	.00%	0	0	.00%	0	0	0	.00%	.00%	0	.00%
APR-17	0	0	.00%	0	0	.00%	0	0	0	.00%	.00%	0	.00%
MAY-17	0	0	.00%	0	0	.00%	0	0	0	.00%	.00%	0	.00%
JUN-17	0	0	.00%	0	0	.00%	0	0	0	.00%	.00%	0	.00%
TOTAL	168,439	88,374	52.40%	84,465	40,282	47.60%	826	3,135	9,562	76.30%	78.70%	11,127	6.60%
GRAND TOTAL	977,794	533,342	54.50%	509,617	316,692	62.10%	5,084	29,862	22,667	86.90%	90.50%	22,610	2.30%

Conduent Business Services, LLC.

OUT OF STATE COLLECTION STATS FOR CLIENT: SANTA MONICA

ISSUE MONTH	TOTAL ISSUED	WNDSHLD PAID	% OF ISSUED	CITES NOTICED	PAID ON NOTICE	% OF NOTICED	PARTIALLY SUSPENDED/ DISMISSED	FULLY SUSPENDED/ DISMISSED	CURRENTLY ON DMV HOLD	PAYMENT RATE	CLOSURE RATE	TOTAL OPEN UN-NOTICED	% OF ISSUED
JUL-13	2,395	1,250	52.10%	839	521	62.00%	0	77	0	73.90%	77.10%	277	11.50%
AUG-13	2,381	1,319	55.30%	849	548	64.50%	0	51	0	78.40%	80.50%	212	8.90%
SEP-13	2,150	1,157	53.80%	779	459	58.90%	3	65	0	75.10%	78.30%	201	9.30%
OCT-13	2,304	1,239	53.70%	857	510	59.50%	3	46	0	75.90%	78.00%	201	8.70%
NOV-13	2,194	1,178	53.60%	821	463	56.30%	3	56	0	74.70%	77.40%	196	8.90%
DEC-13	1,846	978	52.90%	718	409	56.90%	3	43	0	75.10%	77.60%	146	7.90%
JAN-14	1,969	1,071	54.30%	751	438	58.30%	2	58	0	76.60%	79.60%	145	7.30%
FEB-14	1,930	1,086	56.20%	719	421	58.50%	4	46	0	78.00%	80.60%	123	6.30%
MAR-14	1,823	1,014	55.60%	703	386	54.90%	0	45	0	76.70%	79.20%	97	5.30%
APR-14	1,874	1,013	54.00%	743	418	56.20%	2	56	0	76.30%	79.40%	106	5.60%
MAY-14	2,109	1,109	52.50%	846	491	58.00%	2	75	0	75.80%	79.50%	127	6.00%
JUN-14	1,940	1,042	53.70%	760	398	52.30%	2	67	0	74.20%	77.70%	125	6.40%
TOTAL	24,915	13,456	54.00%	9,385	5,462	58.10%	24	685	0	75.90%	78.70%	1,956	7.80%
JUL-14	2,481	1,364	54.90%	942	542	57.50%	1	61	0	76.80%	79.30%	163	6.50%
AUG-14	2,378	1,332	56.00%	898	491	54.60%	2	58	0	76.60%	79.10%	145	6.00%
SEP-14	2,229	1,184	53.10%	892	472	52.90%	2	63	0	74.20%	77.20%	147	6.50%
OCT-14	2,287	1,170	51.10%	932	498	53.40%	2	79	0	72.90%	76.40%	153	6.60%
NOV-14	2,000	1,087	54.30%	808	447	55.30%	2	56	0	76.70%	79.60%	108	5.40%
DEC-14	1,946	1,055	54.20%	781	450	57.60%	0	43	0	77.30%	79.50%	115	5.90%
JAN-15	2,376	1,278	53.70%	924	507	54.80%	4	77	0	75.10%	78.50%	178	7.40%
FEB-15	2,118	1,177	55.50%	823	451	54.70%	2	53	0	76.80%	79.40%	149	7.00%
MAR-15	2,297	1,253	54.50%	921	501	54.30%	3	58	0	76.30%	79.00%	143	6.20%
APR-15	2,069	1,169	56.50%	774	432	55.80%	7	47	0	77.30%	79.90%	139	6.70%
MAY-15	2,139	1,139	53.20%	879	510	58.00%	2	42	0	77.00%	79.10%	140	6.50%
JUN-15	2,250	1,227	54.50%	873	507	58.00%	3	51	0	77.00%	79.40%	142	6.30%
TOTAL	26,570	14,435	54.30%	10,447	5,808	55.50%	30	688	0	76.10%	78.80%	1,722	6.40%
JUL-15	2,059	1,069	51.90%	849	482	56.70%	2	48	0	75.30%	77.70%	128	6.20%
AUG-15	2,433	1,326	54.50%	903	467	51.70%	3	52	0	73.60%	75.90%	174	7.10%
SEP-15	2,291	1,216	53.00%	939	516	54.90%	6	45	0	75.60%	77.80%	137	5.90%
OCT-15	2,289	1,212	52.90%	965	515	53.30%	4	46	0	75.40%	77.60%	108	4.70%
NOV-15	1,988	1,048	52.70%	847	486	57.30%	1	37	0	77.10%	79.00%	98	4.90%
DEC-15	1,772	949	53.50%	731	422	57.70%	4	37	0	77.30%	79.60%	101	5.60%
JAN-16	1,909	976	51.10%	821	481	58.50%	4	37	0	76.30%	78.40%	123	6.40%
FEB-16	1,836	993	54.00%	750	439	58.50%	3	47	0	77.90%	80.70%	94	5.10%
MAR-16	2,079	1,088	52.30%	878	483	55.00%	1	49	0	75.50%	77.90%	111	5.30%
APR-16	2,159	1,152	53.30%	892	493	55.20%	2	34	0	76.10%	77.80%	130	6.00%
MAY-16	2,154	1,160	53.80%	873	483	55.30%	2	49	0	76.20%	78.60%	131	6.00%
JUN-16	2,162	1,148	53.00%	898	498	55.40%	1	32	0	76.10%	77.60%	140	6.40%
TOTAL	25,131	13,337	53.00%	10,346	5,765	55.70%	33	513	0	76.00%	78.10%	1,475	5.80%

Conduent Business Services, LLC.

OUT OF STATE COLLECTION STATS FOR CLIENT: SANTA MONICA

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JUL-16	2,334	1,311	56.10%	950	482	50.70%	4	42	0	76.80%	78.70%	118	5.00%
AUG-16	2,400	1,321	55.00%	974	470	48.20%	2	40	0	74.60%	76.30%	156	6.50%
SEP-16	2,105	1,128	53.50%	870	441	50.60%	4	34	0	74.50%	76.30%	125	5.90%
OCT-16	2,124	1,092	51.40%	910	460	50.50%	5	30	0	73.00%	74.70%	139	6.50%
NOV-16	1,960	999	50.90%	854	413	48.30%	4	32	0	72.00%	73.80%	116	5.90%
DEC-16	1,702	860	50.50%	702	275	39.10%	2	22	0	66.60%	68.00%	148	8.60%
JAN-17	1,848	933	50.40%	720	137	19.00%	3	22	0	57.90%	59.20%	241	13.00%
FEB-17	1,766	527	29.80%	90	0	.00%	0	13	0	29.80%	30.50%	1,139	64.40%
MAR-17	0	0	.00%	0	0	.00%	0	0	0	.00%	.00%	0	.00%
APR-17	0	0	.00%	0	0	.00%	0	0	0	.00%	.00%	0	.00%
MAY-17	0	0	.00%	0	0	.00%	0	0	0	.00%	.00%	0	.00%
JUN-17	0	0	.00%	0	0	.00%	0	0	0	.00%	.00%	0	.00%
TOTAL	16,239	8,171	50.30%	6,070	2,678	44.10%	24	235	0	66.80%	68.40%	2,182	13.40%
GRAND TOTAL	92,855	49,399	53.20%	36,248	19,713	54.30%	111	2,121	0	74.40%	76.80%	7,335	7.80%

G R A N D T O T A L S

ISSUE MONTH	TOTAL ISSUED	WNDSHLD PAID	% OF ISSUED	CITES NOTICED	PAID ON NOTICE	% OF NOTICED	PARTIALLY SUSPENDED/ DISMISSED	FULLY SUSPENDED/ DISMISSED	CURRENTLY ON DMV HOLD	PAYMENT RATE	CLOSURE RATE	TOTAL OPEN UN-NOTICED	% OF ISSUED
JUL-13	27,019	14,811	54.80%	13,282	8,863	66.70%	137	1,117	96	87.60%	92.20%	729	2.60%
AUG-13	25,630	13,910	54.20%	13,108	8,833	67.30%	135	843	88	88.70%	92.50%	646	2.50%
SEP-13	25,030	13,692	54.70%	12,637	8,404	66.50%	134	877	89	88.20%	92.30%	618	2.40%
OCT-13	26,709	14,485	54.20%	13,395	9,064	67.60%	159	930	104	88.10%	92.20%	629	2.30%
NOV-13	24,660	13,374	54.20%	12,436	8,465	68.00%	150	905	94	88.50%	92.80%	490	1.90%
DEC-13	24,242	12,844	52.90%	12,712	8,722	68.60%	214	854	95	88.90%	93.30%	381	1.50%
JAN-14	23,105	12,741	55.10%	11,887	7,763	65.30%	142	766	97	88.70%	92.60%	365	1.50%
FEB-14	22,444	12,229	54.40%	11,725	7,735	65.90%	116	757	106	88.90%	92.80%	342	1.50%
MAR-14	22,773	12,643	55.50%	11,513	7,604	66.00%	125	791	120	88.90%	92.90%	325	1.40%
APR-14	23,502	12,976	55.20%	11,984	7,870	65.60%	80	882	159	88.60%	92.70%	360	1.50%
MAY-14	25,804	13,757	53.30%	13,614	9,034	66.30%	87	995	154	88.30%	92.50%	391	1.50%
JUN-14	22,684	12,278	54.10%	11,926	7,728	64.70%	97	824	129	88.10%	92.20%	413	1.80%
TOTAL	293,602	159,740	54.40%	150,219	100,085	66.60%	1,576	10,541	1,331	88.40%	92.60%	5,689	1.90%
JUL-14	26,692	14,630	54.80%	13,785	9,075	65.80%	113	870	175	88.80%	92.40%	460	1.70%
AUG-14	23,679	12,939	54.60%	12,240	7,966	65.00%	113	848	172	88.20%	92.30%	376	1.50%
SEP-14	25,699	13,841	53.80%	13,654	8,845	64.70%	97	865	246	88.20%	92.00%	413	1.60%
OCT-14	25,456	13,519	53.10%	13,325	8,763	65.70%	108	1,008	198	87.50%	91.90%	399	1.50%
NOV-14	24,391	13,314	54.50%	12,677	8,348	65.80%	142	820	205	88.80%	92.70%	349	1.40%
DEC-14	25,513	13,762	53.90%	13,471	8,902	66.00%	164	889	230	88.80%	92.90%	355	1.30%
JAN-15	27,007	14,771	54.60%	13,963	9,113	65.20%	156	947	220	88.40%	92.50%	481	1.70%
FEB-15	24,443	13,894	56.80%	12,281	7,756	63.10%	97	830	207	88.50%	92.30%	508	2.00%
MAR-15	25,324	14,156	55.80%	13,129	8,328	63.40%	94	770	258	88.70%	92.10%	440	1.70%
APR-15	24,753	13,950	56.30%	12,827	8,004	62.30%	112	768	276	88.60%	92.20%	417	1.60%
MAY-15	24,121	13,415	55.60%	12,397	7,934	63.90%	117	666	251	88.50%	91.70%	450	1.80%
JUN-15	24,556	14,028	57.10%	12,295	7,756	63.00%	108	662	281	88.70%	91.80%	580	2.30%
TOTAL	301,634	166,219	55.10%	156,044	100,790	64.50%	1,421	9,943	2,719	88.50%	92.20%	5,228	1.70%
JUL-15	22,851	12,506	54.70%	11,645	7,515	64.50%	82	873	320	87.60%	91.70%	445	1.90%
AUG-15	26,287	14,890	56.60%	12,619	7,872	62.30%	124	735	323	86.50%	89.80%	848	3.20%
SEP-15	25,806	14,189	54.90%	13,201	8,526	64.50%	126	669	497	88.00%	91.10%	481	1.80%
OCT-15	25,475	13,941	54.70%	12,864	8,324	64.70%	115	738	566	87.30%	90.70%	481	1.80%
NOV-15	22,800	12,287	53.80%	11,979	7,592	63.30%	146	659	570	87.10%	90.70%	389	1.70%
DEC-15	23,931	13,249	55.30%	12,391	7,948	64.10%	134	638	549	88.50%	91.80%	430	1.70%
JAN-16	21,950	11,937	54.30%	11,259	7,172	63.70%	104	689	641	87.00%	90.60%	451	2.00%
FEB-16	21,971	12,254	55.70%	11,287	6,912	61.20%	98	613	754	87.20%	90.40%	395	1.70%
MAR-16	24,640	13,436	54.50%	12,837	7,803	60.70%	106	683	990	86.10%	89.30%	444	1.80%
APR-16	25,089	13,886	55.30%	12,979	7,761	59.70%	109	614	1,106	86.20%	89.10%	489	1.90%
MAY-16	25,103	13,832	55.10%	13,068	7,718	59.00%	97	695	1,232	85.80%	89.00%	430	1.70%
JUN-16	24,832	13,830	55.60%	12,938	7,427	57.40%	107	523	1,507	85.60%	88.10%	436	1.70%
TOTAL	290,735	160,237	55.10%	149,067	92,570	62.00%	1,348	8,129	9,055	86.90%	90.20%	5,719	1.90%

G R A N D T O T A L S

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JUL-16	25,243	13,785	54.60%	13,414	7,539	56.20%	97	583	1,766	84.40%	87.10%	421	1.60%
AUG-16	25,970	14,538	55.90%	13,566	7,270	53.50%	85	541	1,934	83.90%	86.30%	442	1.70%
SEP-16	23,626	12,783	54.10%	12,508	6,898	55.10%	89	452	1,968	83.30%	85.50%	426	1.80%
OCT-16	22,860	12,494	54.60%	12,064	6,144	50.90%	130	492	2,074	81.50%	84.20%	416	1.80%
NOV-16	21,999	11,818	53.70%	11,628	5,838	50.20%	140	516	1,820	80.20%	83.20%	372	1.60%
DEC-16	21,396	11,458	53.50%	11,345	5,228	46.00%	133	371	0	77.90%	80.30%	496	2.30%
JAN-17	21,944	11,731	53.40%	11,015	3,716	33.70%	118	234	0	70.30%	71.90%	1,353	6.10%
FEB-17	21,640	7,938	36.60%	4,995	327	6.50%	58	181	0	38.10%	39.20%	9,383	43.30%
MAR-17	0	0	.00%	0	0	.00%	0	0	0	.00%	.00%	0	.00%
APR-17	0	0	.00%	0	0	.00%	0	0	0	.00%	.00%	0	.00%
MAY-17	0	0	.00%	0	0	.00%	0	0	0	.00%	.00%	0	.00%
JUN-17	0	0	.00%	0	0	.00%	0	0	0	.00%	.00%	0	.00%
TOTAL	184,678	96,545	52.20%	90,535	42,960	47.40%	850	3,370	9,562	75.50%	77.80%	13,309	7.20%
GRAND TOTAL	1,070,649	582,741	54.40%	545,865	336,405	61.60%	5,195	31,983	22,667	85.80%	89.30%	29,945	2.70%

SM Detail

Ticket	Dispo Date	Disposition	Dispo Desc	Total Paid	Payment Type	Amount
914563860	07/06/2016	20	RFND REQST	$0	REFUND	$-64
915634392	11/08/2016	20	RFND REQST	$0	REFUND	$-64
914971201	07/14/2016	21	OVPA REFND	$64	REFUND	$-64
915148124	07/28/2016	21	OVPA REFND	$64	REFUND	$-64
904790913	10/27/2016	21	OVPA REFND	$79	REFUND	$-79
910421956	10/27/2016	21	OVPA REFND	$157	REFUND	$-157
910833556	10/27/2016	21	OVPA REFND	$157	REFUND	$-157
910940273	10/27/2016	21	OVPA REFND	$79	REFUND	$-79
911413705	10/27/2016	21	OVPA REFND	$157	REFUND	$-56
911767242	10/27/2016	21	OVPA REFND	$135	REFUND	$-53
911988755	10/27/2016	21	OVPA REFND	$135	REFUND	$-106
912120215	10/27/2016	21	OVPA REFND	$157	REFUND	$-52
912174351	10/06/2016	21	OVPA REFND	$25	REFUND	$-64
912177114	10/27/2016	21	OVPA REFND	$157	REFUND	$-50
912658504	10/27/2016	21	OVPA REFND	$53	REFUND	$-106
912920470	10/13/2016	21	OVPA REFND	$64	REFUND	$-64
912939241	10/27/2016	21	OVPA REFND	$157	REFUND	$-157
913241313	10/27/2016	21	OVPA REFND	$79	REFUND	$-79
913262276	10/27/2016	21	OVPA REFND	$157	REFUND	$-157
913300360	10/27/2016	21	OVPA REFND	$157	REFUND	$-157
913963024	10/27/2016	21	OVPA REFND	$135	REFUND	$-53
914076424	10/27/2016	21	OVPA REFND	$135	REFUND	$-135
914558164	10/06/2016	21	OVPA REFND	$135	REFUND	$-82
914582712	10/06/2016	21	OVPA REFND	$157	REFUND	$-157
914723821	10/27/2016	21	OVPA REFND	$157	REFUND	$-157
914723832	10/27/2016	21	OVPA REFND	$79	REFUND	$-79
914770043	10/13/2016	21	OVPA REFND	$154	REFUND	$-154
914785056	10/27/2016	21	OVPA REFND	$135	REFUND	$-135
914804715	10/27/2016	21	OVPA REFND	$157	REFUND	$-157

Unapplied	Refund Month	Code
	July	235
	November	235
	July	
	July	
	December	231
	December	231
	December	231
	December	231
	December	231
	December	231
	December	231
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	December	231

	Refunded	Amount
July	226	$-16,544
August	270	$-20,616
September	74	$-4,301
October	99	$-8,926
November	42	$-3,041
December	775	$-63,176
January	36	$-2,419
February	189	$-13,381
Sum:	**1,711**	

PROGRAM: SMNEWBL3 LS

Conduent Business Services, LLC.

RUNDATE: 03/02/2017
RUNTIME: 18:02:22
PAGE NO: 1

CLIENT : SANTA MONICA

R E V E N U E D I S T R I B U T I O N R E P O R T
***** FOR 2/01/2017 THRU 2/28/2017 *****

** BILLIABLE ITEMS **

ASSIGN CODE	DESCRIPTION	COUNT	PAYMENT AMOUNT	SPC FEES	AMT WITH FEE
C15	IN STATE ASSIGN	115	$14,304.00	$2,908.16	$11,632.64
C50	RENTAL	11	$1,885.00	$286.00	$1,144.00
C80	IN STATE	2,106	$272,557.50	$53,671.54	$214,686.16
	BILLABLE	2,232	$288,746.50	$56,865.70	$227,462.80

CLIENT : SANTA MONICA

R E V E N U E D I S T R I B U T I O N R E P O R T
***** FOR 2/01/2017 THRU 2/28/2017 *****

** NON BILLIABLE ITEMS **

ASSIGN CODE	DESCRIPTION	COUNT	PAYMENT AMOUNT	SPC FEES	AMT WITH FEE
C15	IN STATE ASSIGN	6	$102.00	$0.00	$0.00
C50	RENTAL	2	$238.00	$0.00	$0.00
C80	IN STATE	101	$6,798.16	$0.00	$0.00
	NON BILLABLE	109	$7,138.16	$0.00	$0.00

R E V E N U E D I S T R I B U T I O N R E P O R T
***** FOR 2/01/2017 THRU 2/28/2017 *****

** ALL ITEMS **

ASSIGN CODE	DESCRIPTION	COUNT	PAYMENT AMOUNT	SPC FEES	AMT WITH FEE
C15	IN STATE ASSIGN	121	$14,406.00	$2,908.16	$11,632.64
C50	RENTAL	13	$2,123.00	$286.00	$1,144.00
C80	IN STATE	2,207	$279,355.66	$53,671.54	$214,686.16
	ALL ITEMS	2,341	$295,884.66	$56,865.70	$227,462.80

Hearings Rec Last Month

Sus Process	Sus Ticket N	Sus Tick Issu	Violation Ext	Sus Code	Sus Desc
02/01/2017	916762700	09/29/16	5204	254	RCDHRNGNFN
02/01/2017	916929366	10/14/16	308110	254	RCDHRNGNFN
02/01/2017	916999871	10/24/16	312270	254	RCDHRNGNFN
02/01/2017	917228896	11/16/16	316250	254	RCDHRNGNFN
02/01/2017	917238895	11/23/16	312270	247	HRG REQ RE
02/01/2017	917312233	12/03/16	316250	251	FRM-PYMTWV
02/01/2017	917344153	12/05/16	308110	254	RCDHRNGNFN
02/02/2017	916891091	10/27/16	312270	251	FRM-PYMTWV
02/02/2017	916967892	10/24/16	308110	251	FRM-PYMTWV
02/02/2017	917150835	11/13/16	304050B	247	HRG REQ RE
02/02/2017	917204864	11/16/16	312845	254	RCDHRNGNFN
02/02/2017	917253072	11/28/16	304050B	247	HRG REQ RE
02/03/2017	916769770	09/28/16	308110	247	HRG REQ RE
02/06/2017	917003430	10/31/16	304050B	247	HRG REQ RE
02/06/2017	917081270	11/03/16	312845	247	HRG REQ RE
02/06/2017	917103165	11/10/16	304050B	247	HRG REQ RE
02/06/2017	917142553	11/11/16	308110	247	HRG REQ RE
02/06/2017	917157356	11/14/16	312845	247	HRG REQ RE
02/06/2017	917205730	11/21/16	22500I	247	HRG REQ RE
02/06/2017	917221001	11/21/16	316250	254	RCDHRNGNFN
02/06/2017	917237823	12/05/16	308110	254	RCDHRNGNFN
02/06/2017	917238663	11/18/16	316250	254	RCDHRNGNFN
02/06/2017	917262846	11/28/16	22500E	254	RCDHRNGNFN
02/06/2017	917269323	12/07/16	304050B	247	HRG REQ RE
02/06/2017	917331111	12/07/16	308110	251	FRM-PYMTWV
02/06/2017	917338520	12/02/16	312845	247	HRG REQ RE
02/06/2017	917404740	12/15/16	308110	247	HRG REQ RE
02/07/2017	916072150	11/26/16	308110	247	HRG REQ RE
02/07/2017	916502694	08/30/16	312845	254	RCDHRNGNFN

HEARING SCHEDULE LIST SANTA MONICA
FOR: 02/08/17

HEARING OFFICER: SANTA MONICA IN-PERSON HEARING

TIME	CITY	CITATION	LICENSE	VIOLATORS NAME	LIABLE	NOT LIABLE	NO SHOW
~~08:00~~	~~SM~~	~~916849485~~	~~CA6WHS908~~	~~ORSI AGNES~~ Cancel			
08:15	SM	916883225	CA7FKL680	SALKO STEPHEN E	X		
08:30	SM	916947076	CA7FKL680	SALKO STEPHEN E	X		
08:45	SM	916913001	CA5XSA280	KAHENIAN FARID	X		
09:00	SM	916890914	CA4JBN210	BABZADEH JACQUELINE			X
09:15	SM	916890903	CA4JBN210	BABZADEH JACQUELINE			X
~~09:30~~	~~SM~~	~~916931260~~	~~CA6SNF420~~	~~ALLEN ROBERT F~~ Cancel			
09:45	SM	916793205	CA7EVM274	ORTIZ JOSE WERNY		X	
10:00	SM	917156354	CA7FZW765	AKHAVI FARHAD			X
10:15	SM	916893725	CA7RHV514	LUISI MARIA A	X		
10:30	SM	916899185	CA7RHV514	LUISI MARIA A	X		
10:45	SM	916804545	CA7RHV514	LUISI MARIA A	X		
11:00	SM	915736021	CA5TGW259	JENSEN JARED			X
11:15	SM	917128656	CADP288NE	BARRINGER JAMES	X		
~~11:30~~	~~SM~~	~~917111753~~	~~CA7PJP911~~	~~CARUSO MONIQUE~~ Reschedule			
11:45	SM	916885756	CA7RBL618	CHOWDHURY MD EBRAHIM			X
12:00	SM	916931131	CA7GWM672	WOLTER ZORA			X
12:15	SM	916787071	CA7KLS412	KYTMANOVA REGINA			X

12

Salass 2/8/17

HEARING EXAMINERS SIGNATURE DATE

CITATION DETAIL

* IN-PERSON HEARINGS IN SANTA MONICA *

HEARING DATE	HEAR TIME	CITATION NUMBER	DECISION	DISPO DATE	CLERK
02/08/2017	08 15	916883225	LIABLE	02/09/2017	L63PC54
02/08/2017	08 30	916947076	LIABLE	02/09/2017	L63PC54
02/08/2017	08 45	916913001	LIABLE	02/09/2017	L63PC54
02/08/2017	09 00	916890914	NO SHOW	02/09/2017	L63PC54
02/08/2017	09 15	916890903	NO SHOW	02/09/2017	L63PC54
02/08/2017	09 45	916793205	NOT LIABLE	02/09/2017	L63PC54
02/08/2017	10 00	917156354	NO SHOW	02/09/2017	L63PC54
02/08/2017	10 15	916893725	LIABLE	02/09/2017	L63PC54
02/08/2017	10 30	916899185	LIABLE	02/09/2017	L63PC54
02/08/2017	10 45	916804545	LIABLE	02/09/2017	L63PC54
02/08/2017	11 00	915736021	NO SHOW	02/09/2017	L63PC54
02/08/2017	11 15	917128656	LIABLE	02/09/2017	L63PC54
02/08/2017	11 45	916885756	NO SHOW	02/09/2017	L63PC54
02/08/2017	12 00	916931131	NO SHOW	02/09/2017	L63PC54
02/08/2017	12 15	916787071	NO SHOW	02/09/2017	L63PC54
02/15/2017	08 00	917185780	NO SHOW	02/16/2017	L63PC54
02/15/2017	08 15	917088605	NO SHOW	02/16/2017	L63PC54
02/15/2017	08 30	916799063	NO SHOW	02/16/2017	L63PC54
02/15/2017	09 30	917163096	LIABLE	02/16/2017	L63PC54
02/15/2017	09 45	917227916	NOT LIABLE	02/16/2017	L63PC54
02/15/2017	10 00	916964252	LIABLE	02/16/2017	L63PC54
02/15/2017	10 15	917023995	NOT LIABLE	02/16/2017	L63PC54
02/15/2017	10 30	916276233	NO SHOW	02/16/2017	L63PC54
02/22/2017	08 00	917102336	NO SHOW	02/23/2017	L63PC54
02/22/2017	08 15	916919161	LIABLE	02/23/2017	L63PC54
02/22/2017	08 30	916922775	LIABLE	02/23/2017	L63PC54
02/22/2017	08 45	917243294	NO SHOW	02/23/2017	L63PC54
02/22/2017	09 00	917243681	NO SHOW	02/23/2017	L63PC54
02/22/2017	10 15	916890166	LIABLE	02/23/2017	L63PC54
02/22/2017	10 30	916669622	NOT LIABLE	02/23/2017	L63PC54
02/22/2017	10 45	917115765	NO SHOW	02/23/2017	L63PC54
02/22/2017	11 00	917310951	LIABLE	02/23/2017	L63PC54
02/22/2017	11 00	917310951	NO SHOW	02/23/2017	L63PC54
02/22/2017	11 30	917124843	NOT LIABLE	02/23/2017	L63PC54
02/22/2017	11 45	917083543	LIABLE	02/23/2017	L63PC54
02/22/2017	12 00	917238895	LIABLE	02/23/2017	L63PC54

TOTAL 36

* WRITTEN DECLARATION HEARINGS IN SANTA MONICA *

HEARING DATE	HEAR TIME	CITATION NUMBER	DECISION	DISPO DATE	CLERK
02/08/2017	07 45	917176385	LIABLE	02/09/2017	L63PC54
02/08/2017	07 45	917171835	LIABLE	02/09/2017	L63PC54
02/08/2017	07 45	916862796	LIABLE	02/09/2017	L63PC54
02/08/2017	07 45	917002645	LIABLE	02/09/2017	L63PC54
02/08/2017	07 45	916938982	LIABLE	02/09/2017	L63PC54
02/08/2017	07 45	917011126	LIABLE	02/09/2017	L63PC54
02/08/2017	07 45	916914736	LIABLE	02/09/2017	L63PC54
02/08/2017	07 45	916862800	LIABLE	02/09/2017	L63PC54
02/08/2017	07 45	916624726	LIABLE	02/13/2017	L63PC54
02/08/2017	07 45	P7131436	LIABLE	02/09/2017	L63PC54
02/08/2017	07 45	917082644	LIABLE	02/09/2017	L63PC54
02/15/2017	07 45	916959525	LIABLE	02/16/2017	L63PC54
02/15/2017	07 45	917126011	LIABLE	02/16/2017	L63PC54
02/15/2017	07 45	917165686	LIABLE	02/16/2017	L63PC54
02/15/2017	07 45	917201342	LIABLE	02/16/2017	L63PC54
02/15/2017	07 45	917151196	LIABLE	02/16/2017	L63PC54
02/15/2017	07 45	917236106	LIABLE	02/16/2017	L63PC54
02/15/2017	07 45	917031776	LIABLE	02/16/2017	L63PC54
02/15/2017	07 45	917004690	LIABLE	02/16/2017	L63PC54
02/15/2017	07 45	916920686	LIABLE	02/16/2017	L63PC54
02/15/2017	07 45	916819164	LIABLE	02/16/2017	L63PC54
02/15/2017	07 45	916959901	LIABLE	02/16/2017	L63PC54
02/15/2017	07 45	916959912	LIABLE	02/16/2017	L63PC54
02/15/2017	07 45	916855063	NOT LIABLE	02/16/2017	L63PC54
02/15/2017	07 45	916731664	LIABLE	02/16/2017	L63PC54
02/22/2017	07 45	917069226	LIABLE	02/23/2017	L63PC54
02/22/2017	07 45	917172911	LIABLE	02/23/2017	L63PC54
02/22/2017	07 45	917201084	LIABLE	02/23/2017	L63PC54
02/22/2017	07 45	917157651	LIABLE	02/23/2017	L63PC54
02/22/2017	07 45	917150835	LIABLE	02/23/2017	L63PC54
02/22/2017	07 45	917253072	LIABLE	02/23/2017	L63PC54
02/22/2017	07 45	917025395	LIABLE	02/23/2017	L63PC54

TOTAL 32

GRAND TOTALS 68

PROGRAM: SMREVTRN

CLIENT : SANTA MONICA

Xerox State & Local Solutions Inc.
CITY OF SANTA MONICA
ADMINISTRATIVE REVIEW TRANSMITTAL LOG

RUNDATE: 01/05/2017
RUNTIME: 05:34:10
PAGE NO: 1

DATE ENTERED: 1-4-17 DATE RETURNED TO PVB:
DATE SENT TO CITY: 1-5-17 PVB CLERK ID:

ITEM#	CITATION#	ISSUE DT	PLATE#	BADGE#	VIOLATION	LIABLE CODE	NOT LIABLE CODE	REQUEST FOR INFO	REDUCE FINE TO	COMMENTS
1	917508756	12/30/16	AK3SW133	3863	METEROVER	482				
2	917453036	12/18/16	AZF0796B	3714	PREF PKG	170				
3	917361594	12/22/16	CA	3916	PAYDISPLAY	180				
4	917467595	12/27/16	CA	3706	ST SWEEPNG	473				
5	917449820	12/20/16	CA	3694	METEROVER	415				
6	917500802	12/29/16	CA	3706	METEROVER			191		
7	917425595	12/14/16	CAARQTEKK	3403	NO TABS	184				
8	917384845	12/14/16	CARADEAZY	3591	ST SWEEPNG	167				
9	917507183	01/02/17	CA1UAM261	3685	PREF PKG	180				
10	917348566	01/03/17	CA3NDZ043	3920	PREF PKG			103		
11	916072382	12/16/16	CA4JUD449	3396	PREF PKG		101			
12	917480303	12/31/16	CA4LNX886	3872	METEROVER	452				
13	917508712	12/30/16	CA4USY899	3863	METEROVER	419				
14	917465544	12/29/16	CA4ZBA702	3685	SUNSET	170				
15	917384440	12/14/16	CA43180H1	3591	ST SWEEPNG		188			

PLEASE USE LETTER 203
FOR ALL NOT LIABLE
DECISIONS

3529

RECEIVED
FEB 09 2017
PRODCONTROL

CONDUENT

CITY OF SANTA MONICA
PARKING CITATION ISSUANCE

MONTH OF: February 1, through February 28, 2017
INVOICE #: 004 TVEISRPT XE

	DATE	HANDHELD/ ELECTRONIC	HANDWRITTEN/ MANUAL	TICKETS DAILY	CUMULATIVE
WED	2/1/2017	1,001	66	1,067	1,067
THU	2/2/2017	683	0	683	1,750
FRI	2/3/2017	792	0	792	2,542
SAT	2/4/2017	651	0	651	3,193
SUN	2/5/2017	461	0	461	3,654
MON	2/6/2017	640	41	681	4,335
TUE	2/7/2017	861	43	904	5,239
WED	2/8/2017	990	64	1,054	6,293
THU	2/9/2017	845	0	845	7,138
FRI	2/10/2017	773	19	792	7,930
SAT	2/11/2017	498	0	498	8,428
SUN	2/12/2017	525	0	525	8,953
MON	2/13/2017	1,096	0	1,096	10,049
TUE	2/14/2017	1,254	21	1,275	11,324
WED	2/15/2017	928	7	935	12,259
THU	2/16/2017	660	43	703	12,962
FRI	2/17/2017	380	0	380	13,342
SAT	2/18/2017	428	0	428	13,770
SUN	2/19/2017	644	0	644	14,414
MON	2/20/2017	784	0	784	15,198
TUE	2/21/2017	1,161	0	1,161	16,359
WED	2/22/2017	764	59	823	17,182
THU	2/23/2017	766	69	835	18,017
FRI	2/24/2017	759	6	765	18,782
SAT	2/25/2017	458	0	458	19,240
SUN	2/26/2017	679	0	679	19,919
MON	2/27/2017	884	28	912	20,831
TUE	2/28/2017	897	1	898	21,729
	TOTAL:	21,262	467	21,729	21,729

PROGRAM: TVEISRPT Xerox State & Local Solutions Inc RUNDATE: 03/01/2017
RUNTIME: 05:40:22

CLIENT : SANTA MONICA ISSUANCE REPORT PAGE NO: 1

M O N T H L Y V I E W

MARCH CURRENT MONTH				FEBRUARY PREVIOUS MONTH				
1	12	23		1	1,067	12	525	23	835
2	13	24		2	683	13	1,096	24	765
3	14	25		3	792	14	1,275	25	458
4	15	26		4	651	15	935	26	679
5	16	27		5	461	16	703	27	912
6	17	28		6	681	17	380	28	898
7	18	29		7	904	18	428	29	
8	19	30		8	1,054	19	644	30	
9	20	31		9	845	20	784	31	
10	21			10	792	21	1,161		
11	22			11	498	22	823		
TOTAL:		0		TOTAL:		21,729			

PERFORMANCE COMPLIANCE STATISTICS

Santa Monica Parking Violations Bureau
February 2017

Date	Day	Calls Answered	Calls Accepted	Calls Completion Rate	Avg Answer Delay (minutes)	Correspondence		
						Received	Processed	Processed > 2nd Day
1-Feb	Wed	241	248	97.18%	2.17	93	93	
2-Feb	Thu	274	276	99.28%	1.03	290	290	
3-Feb	Fri	226	229	98.69%	0.38	100	100	
6-Feb	Mon	335	342	97.95%	1.50	317	317	
7-Feb	Tue	351	354	99.15%	1.35	138	138	
8-Feb	Wed	284	289	98.27%	0.97	94	94	
9-Feb	Thu	241	244	98.77%	1.10	136	136	
10-Feb	Fri	218	222	98.20%	1.38	164	164	
13-Feb	Mon	385	395	97.47%	2.23	197	197	
14-Feb	Tue	289	299	96.66%	0.98	90	90	
15-Feb	Wed	296	310	95.48%	1.75	132	132	
16-Feb	Thu	275	283	97.17%	1.73	79	79	
17-Feb	Fri	276	281	98.22%	1.28	236	236	
20-Feb	Mon	President's Day Holiday						
21-Feb	Tue	510	529	96.41%	2.10	342	342	
22-Feb	Wed	375	383	97.91%	2.03	95	95	
23-Feb	Thu	268	273	98.17%	2.53	103	103	
24-Feb	Fri	433	443	97.74%	1.62	199	199	
27-Feb	Mon	377	388	97.16%	2.32	269	269	
28-Feb	Tue	316	327	96.64%	2.80	91	91	
Total		***5,970***	***6,115***	***97.63%***		***3,165***	***3,165***	***0***
Avg					***1.65***			

Initial Review (226) Outstanding Over 30 Days, Under 15

Sus Process	Sus Ticket N	Sus Tick Issu	Violation Ext	Violation Des	Sus Code	Sus Desc	Suspensio

50 Days

n (	Suspension I	Total Amt Du

Agenda Item 7.

Receive an Update on the FY 2016-17 Internal Audit Workplan and

Approve the FY 2017-18 Internal Audit Workplan

(presented by Moss Adams LLP)

MOSSADAMS

MEMORANDUM

Date: August 23, 2017

To: City of Santa Monica Audit Subcommittee

From: Mark Steranka

Subject: Internal Audit Status Report January 16, 2017 through August 15, 2017

Parking Contract Process Review

- Schedule: January 1, 2017 through July 31, 2017
- Activities for This Period: Submitted final report.
- Activities for Next Period: none
- Issues: none

Accounts Receivable Review

- Schedule: June 1, 2017 through October 15, 2017
- Activities for This Period: Conducted kickoff meeting and initiated document review.
- Activities for Next Period: Develop and administer survey, perform analysis, and prepare report.
- Issues: none

Compensation Review

- Schedule: July 1, 2017 through January 31, 2018
- Activities for This Period: Initiated data gathering.
- Activities for Next Period: Perform peer benchmarking, data analysis, and prepare preliminary findings.
- Issues: none

Policies and Procedures Validation:

- Schedule: August 1, 2016 through June 30, 2018
- Activities for This Period: Reviewed materials provided by City and validated findings.
- Activities for Next Period: Review materials provided by City and validate findings.
- Issues: none

Supervisor Training:

- Schedule: September 1, 2016 through October 15, 2017
- Activities for This Period: Prepared training materials and delivered training.
- Activities for Next Period: Record a webinar to achieve broader coverage.
- Issues: none

Assurance, tax, and consulting offered through Moss Adams LLP. Wealth management offered through Moss Adams Wealth Advisors LLC. Investment banking offered through Moss Adams Capital LLC.

MOSSADAMS

City of Santa Monica
FY 17-18 Internal Audit Program

Audit Subcommittee Meeting

August 23, 2017

MOSSADAMS

Overview

I. Introduction

II. Internal Audit Program Components

III. Internal Audit Program Review

IV. FY 17-18 Internal Audit Potential Projects

V. FY 17-18 Internal Audit Recommended Plan

I. Introduction

- The City retained Moss Adams to serve as the designated Internal Auditor and conduct projects focusing on:
  - Risks
  - Internal controls
  - Efficiency and effectiveness
  - Best practices
  - Compliance
- Work is being completed under the standards from the Institute of Internal Auditors (IIA) and AICPA consultancy standards

II. Internal Audit Program Components

Internal Audit

Risks | Internal Controls | Compliance | Performance

Areas of Focus: accounting and financial reporting, asset management, capital programs, compliance, economics and funding, fraud, governance, human resources, internal controls, maintenance and operations, management, operations and service delivery, organization and staffing, processes and procedures, procurement, public safety, risk management, and technology

III. Internal Audit Program Review

Project	Results
• Ambulance Contract Review	28 findings & recommendations
• Benefits Billing Review	13 findings & recommendations
• Cash Handling IC Testing	21 findings & recommendations
• Enterprise Risk Assessment	17 risk factors evaluated
• Internal Controls review	42 findings & recommendations
• Parking Contract Review	6 findings & recommendations

III. Internal Audit Program Review (cont.)

Project	Status
• Bank Reconciliation Support	Completed
• External Audit Support	Completed
• Accounts Receivable Review	Ongoing
• Compensation Review	Ongoing
• Policy & Procedure Validation	Ongoing
• Supervisor Fraud Training	Ongoing

IV. FY 17-18 Internal Audit Potential Projects

1. Procurement Internal Controls Testing
2. P-Card Internal Controls Testing
3. Travel Expense Internal Controls Testing
4. Grants Management Internal Controls Testing
5. Fleet Efficiency Study
6. Computer Replacement Study
7. Big Blue Bus Efficiency Study
8. Ongoing Internal Audit Services

IV. FY 17-18 Internal Audit Potential Projects (cont.)

1. Procurement Internal Controls Testing: Sample and test procurements for compliance with policies and procedures and compare to best practices (12 weeks)
2. P-Card Internal Controls Testing: Sample and test P-Card usage for compliance with policies and procedures and compare to best practices (12 weeks)
3. Travel Expense Internal Controls Testing: Sample and test travel expenses for compliance with policies and procedures and compare to best practices (12 weeks)
4. Grants Management Internal Controls Testing: Sample and test travel expenses for compliance with policies and procedures and compare to best practices (12 weeks)

IV. FY 17-18 Internal Audit Potential Projects (cont.)

5. Fleet Efficiency Study: Assess management and operations of the City's fleet function (14 weeks)
6. Computer Replacement Study: Assess the assignment, tracking, and replacement of City computers, as well as associated policies and procedures (14 weeks)
7. Big Blue Bus Overtime Study: Assess current use of overtime, review relevant policies and procedures, and compare to best industry practices (12 weeks)
8. Ongoing Internal Audit Services: Attend Audit Subcommittee and Council meetings; prepare status reports, manage internal audit program, and prepare FY 18-19 internal audit plan (52 weeks)

V. FY 17-18 Internal Audit Recommended Plan

#	Project	Duration	7-9/17	10-12/17	1-3/18	4-6/18
A	Accounts Receivable Review (cont.)	12 weeks				
B	Compensation Study (cont.)	36 weeks				
C	Policies and Procedures Validation (cont.)	52 weeks				
D	Supervisor Fraud Training (cont.)	4 weeks				
E	Fleet Efficiency Study	14 weeks				
F	P-Card Internal Controls Testing	12 weeks				
G	Big Blue Bus Overtime Study	12 weeks				
H	Ongoing Internal Audit Services	52 weeks				

The material appearing in this presentation is for informational purposes only and is not legal or accounting advice. Communication of this information is not intended to create, and receipt does not constitute, a legal relationship, including, but not limited to, an accountant-client relationship. Although these materials may have been prepared by professionals, they should not be used as a substitute for professional services. If legal, accounting, or other professional advice is required, the services of a professional should be sought.

Agenda Item 8.

Receive an Overview of the Scope of the Upcoming

FY 2016-17 Audit from the City's External Auditor

(presented by Rich Kikuchi, Partner, LSL, LLP)

LSL

CPAs AND ADVISORS

Presentation to Santa Monica Audit Subcommittee

August 23, 2017

Focused on YOU

LSL CPAs AND ADVISORS

Audit Responsibilities and Process

- LSL has been engaged by the City to perform a ***financial audit*** and to assist in preparing your Comprehensive Annual Financial Report (CAFR).

- Testing of <u>account balances</u>
- Consider your current <u>internal controls</u>

- Internal controls are those policies and procedures in place to safeguard the assets of the City and to prevent, detect and correct any material errors arising in the accounting system of the City.

LSL CPAs AND ADVISORS

Audits to be Performed

- City CAFR Audit
- Big Blue Bus Audit
- Federal NTD Report
- Air Quality Management District (AQMD) Audit (in progress)
- Federal Single Audit

LSL CPAs AND ADVISORS

Audit Process and Report

- Interim Audit (April)
  - Planning
  - Inquiry and documentation
  - Internal controls

- Year-End Audit (September)
  - Account analysis
  - Confirmations and Cut-off procedures
  - GASB 68 Testwork

- Comprehensive Annual Financial Report
  - Introductory Section (Transmittal Letter)
  - Financial Section (Audit Report, MD&A, Statements and Footnotes)
  - Statistical Section

LSL CPAs AND ADVISORS

The Financial Audit and Reasonable Assurance

- The goal of the financial audit is to obtain reasonable – not absolute – assurance that the financial statements are fairly presented.

- The concept of **reasonable assurance** means that auditors do not attempt to ensure that all data contained in financial statements are 100 percent accurate; rather, they seek to affirm (on a test basis) that the financial statements are free from **material misstatement.**

LSL

CPAs AND ADVISORS

Statement of Auditing Standards (SAS) 114

- “our responsibility, as described by professional standards, is to express opinions about whether the financial statements prepared by management with your oversight are fairly presented, in all material respects,”

LSL CPAs AND ADVISORS

Consideration of Fraud in a Financial Audit

The auditor's planned scope and timing of the audit includes obtaining the information needed to identify risks of material misstatement due to fraud.

In accordance with (SAS 99) we annually consider fraud risks which may materially affect the financial statements or result in a material noncompliance

LSL CPAs AND ADVISORS

Summary

- LSL has been engaged to perform a financial audit
- Other audits are: Big Blue Bus, Single Audit, Federal NTD Report and Air Quality Management
- SAS 114 requires auditor communication with those in charge with governance

Agenda Item 9.

Approve the Scope of Work for the Internal Audit Assessment

of the City's Compensation and Use of Overtime by Sworn Personnel

(presented by Mark Steranka, Partner, Moss Adams LLP)

Audit Subcommittee Report

Meeting: August 23, 2017
Agenda Item:

To: Audit Subcommittee

From: Gigi Decavalles-Hughes, Director, Finance Department

Subject: Approve the Compensation and Staffing Review Scope of Work and Work Plan for Moss Adams, LLP

Recommended Action

Staff recommends that the Audit Subcommittee consider and approve the scope of work and work plan for the Compensation and Staffing Review to be conducted by Moss Adams, LLP.

Executive Summary

At its January 17 and April 20, 2017 meetings, the Audit Subcommittee discussed the potential scope of work and structure of a staff compensation review. The review will be completed by Moss Adams, LLP, the City's Internal Auditor. To provide an additional layer of transparency and understanding to the review, a limited-term, seven-member ad hoc committee of residents appointed by the City Manager, the Compensation Study Advisory Committee (CSAC), will assist the Audit Subcommittee and staff in critically reviewing and objectively considering the City's methodologies related to compensation. The Audit Subcommittee and the CSAC members will review and discuss the attached proposed work plan, after which the Audit Subcommittee will approve the work plan to be followed in this study.

Background

On January 17, 2017, in response to concerns raised by a number of community groups related to news stories about City of Santa Monica staff compensation, and calls by these groups that an independent audit be conducted, the Audit Subcommittee discussed a proposed scope of work for a compensation audit to be completed by the City's Internal Auditor, Moss Adams, LLP. In the weeks that followed the meeting, community members met with the City Manager to discuss their concerns about compensation and the objectivity of an audit conducted by the City's Internal Auditor. Additionally, various neighborhood groups also expressed their concern about staff compensation. The scope of work was further developed and reconsidered at the April 20, 2017 Audit Subcommittee meeting (Attachment A), where community members

provided feedback during public testimony. Also considered and approved at the April 20 meeting was the creation of an ad hoc committee, composed of up to 7 community members, who would join Subcommittee discussions specifically related to the scope, findings, and final report of the compensation review. At its May 9, 2017 meeting, Council directed the City Manager to seek applications from members of the public who would be interested in serving on the ad hoc committee, named the Compensation Study Advisory Committee (CSAC), and then make appointments (Attachment B). As noted in the Rules of Conduct, Section 5, (Attachment C) members of the CSAC would not have a vote, but would be able to ask questions of staff and the Internal Auditor, and make suggestions regarding scope, and review and ask questions regarding initial findings and the final report. The CSAC would convene three times- to discuss the scope of the project, to discuss the initial findings of the review, and to receive the final report.

Discussion

Moss Adams has provided a proposed scope of work for the compensation review that includes a review of the methodology used for setting compensation levels, a comparison of wages and benefits across peer cities, the factors that determine the number of staff providing services, and the use of overtime by public safety employees (Attachment D). The proposed review would compare the City's processes and compensation packages with 10 peer cities. Additionally, the review would document the factors that drive the size of staff and compare the methods by which the City provides services with those of peer cities. Finally, the review would analyze how and why overtime has been used by public safety personnel over the past three years.

Staff is recommending that the Subcommittee, with input from the members of the CSAC and staff, discuss the scope of the compensation study and confirm the final workplan. Staff anticipates that the Subcommittee will consider initial findings at its October 17, 2017 Regular Meeting, and receive the final report at its January 16, 2018 Regular Meeting. CSAC members would be present and participating in Subcommittee deliberations during these meetings.

Financial Impacts and Budget Actions

The cost of this review is not to exceed $210,000 and may be carried out within the existing budget and scope authority of the Moss Adams internal audit contract. Staff will propose budget adjustments as part of the Year End Budget process to accommodate the additional budget needed to carry out the project in FY 2017-18.

Prepared By: Gigi Decavalles-Hughes, Finance Director

Attachments:

A. April 20, 2017 Audit Subcommittee Staff Report

B. May 9, 2017 City Council Staff Report

C. Revised Rules of Conduct of the Audit Subcommittee

D. Proposed City of Santa Monica Compensation and Staffing Review Work Plan, prepared by Moss Adams, LLP

City of Santa Monica®

Audit Subcommittee Report

Meeting: April 20, 2017
Agenda Item:

To: Audit Subcommittee

From: Gigi Decavalles-Hughes, Director, Finance Department

Subject: Receive the Compensation and Staffing Review Preliminary Work Plan by Moss Adams, LLP, and Adopt the Proposed Rules of Conduct for the Audit Subcommittee

Recommended Action

Staff recommends that the Audit Subcommittee:

1. Receive the Compensation and Staffing Review preliminary work plan by Moss Adams, LLP;
2. Direct staff to present a staff report to Council recommending the adoption of Rules of Conduct for the Audit Subcommittee and approving the establishment of a limited term 5-person ad hoc committee that would work alongside the Subcommittee in their review of the Compensation and Staffing Review; and
3. Approve the attached Audit Subcommittee Rules of Conduct.

Executive Summary

At its January 17, 2017 meeting, the Audit Subcommittee discussed the potential scope of work of a staff compensation review. The review would be completed by Moss Adams, LLP, the City's Internal Auditor. Subcommittee members specified that the scope of work should include a review of the methodology used for setting compensation levels, a comparison of wages and benefits across peer cities, the factors that determine the number of staff providing services, and the use of overtime by public safety employees. Staff has since worked with the internal auditor to develop an approach to the study, and has spoken to community members who sought assurances that the study would be objective and thorough. As a result, staff is recommending that the Audit Subcommittee review the updated preliminary scope of work and direct staff to present a staff report to the City Council asking that an ad hoc committee made up of interested community members be assembled to take part in Audit Subcommittee discussions on the compensation study. Finally, in order to provide clear expectations for staff, Audit Subcommittee members, ad hoc committee members, and members of the public, staff recommends that Council adopt Rules of Conduct for the Audit Subcommittee.

Background

On January 17, 2017, in response to concerns raised by a number of community groups related to news stories about City of Santa Monica staff compensation, and calls by

these groups that an independent audit be conducted, the Audit Subcommittee discussed a proposed scope of work for a compensation audit to be completed by the City's Internal Auditor, Moss Adams, LLP. The initial scope of work included a review of the City's wage setting process as well as an overtime utilization review. Among community members' areas of concern were the cost of compensation, overtime, and other pay and total compensation for City staff, the methodology used to set compensation levels, how the City compares to peer cities, the size of the City government, and whether sufficient internal controls exist to manage these areas.

The Audit Subcommittee expressed an interest in an expanded scope of work that would also include a comparison of wages and benefits across peer cities and an understanding of the factors that determine the number of staff providing services. In the weeks that followed the meeting, community members met with the City Manager to discuss their concerns about compensation and the objectivity of an audit conducted by the City's Internal Auditor. Additionally, various neighborhood groups also expressed their concern about staff compensation.

Discussion

Moss Adams has updated the scope of work for the compensation review to include a review of the methodology used for setting compensation levels, a comparison of wages and benefits across peer cities, the factors that determine the number of staff providing services, and the use of overtime by public safety employees (Attachment A). The review would compare the City's processes and compensation packages with 10 peer cities. Additionally, the review would document the factors that drive the size of staff and compare the methods by which the City provides services with those of peer cities. Finally, the review would analyze how and why overtime has been used by public safety personnel over the past three years. Staff is seeking to provide an additional layer of transparency and understanding to the review to be conducted by Moss Adams, and to merge the conversations that community members have been having with the City Manager into this review. In the past, the Council has appointed special-purpose committees (Civic Center Working Group, Promenade Uses Task Force, Civic Auditorium Working Group) or directed the City Manager to appoint special working

groups (Minimum Wage Working Group) to facilitate public participation in the development of special plans and strategies. A limited-term, five-member ad hoc committee of residents could assist the Audit Subcommittee and staff in critically reviewing and objectively considering the City's methodologies related to compensation. For this reason, staff recommends that the Audit Subcommittee ask the City Council to direct the City Manager to appoint an ad hoc committee that would join Subcommittee discussions specifically related to the scope, findings, and final report of the compensation review. The Council could direct the City Manager to seek applications from members of the public who would be interested in serving on the committee, and then make appointments from the applications.

The ad hoc committee would only convene during the time that the Audit Subcommittee is discussing the compensation study agenda item. As noted in the attached Rules of Conduct, the ad hoc committee would not have a vote, but would be able to ask questions of staff and the Internal Auditor, and make suggestions regarding scope, initial findings and the final report. The ad hoc committee would convene three times- to discuss the scope of the project, to discuss the initial findings of the review, and to receive the final report.

Staff has prepared draft Rules of Conduct for the Audit Subcommittee (Attachment B). Section 5 of the Rules specifies the parameters by which an ad hoc committee may function alongside the Subcommittee.

If the Audit Subcommittee wishes to move forward with the plan to request the appointment of an ad hoc committee, staff would prepare a staff report for the May 9, 2017 City Council meeting. Council would be asked to approve both the Rules of Conduct and the City Manager's appointment of the ad hoc committee. A public application and selection process would be completed in May and the ad hoc committee would convene for the first time at the June 15, 2017 Special Meeting of the Audit Subcommittee. At that time, the Subcommittee would confirm the final scope of the audit with the input of the ad hoc committee and staff.

Staff anticipates that the Subcommittee will consider initial findings at its October 17, 2017 Regular Meeting, and receive the final report at its January 16, 2018 Regular

Meeting. Community members applying for a seat on the ad hoc committee would be required to be available for the three meetings.

Financial Impacts and Budget Actions

The cost of this review is not to exceed $210,000 and may be carried out within the existing budget and scope authority of the Moss Adams internal audit contract. Staff will propose budget adjustments as part of the Biennial Budget process to accommodate the additional budget needed to carry out the project in FY 2017-18.

Prepared By: Gigi Decavalles-Hughes, Finance Director

Attachments:

A. Proposed City of Santa Monica Compensation and Staffing Review Work Plan, prepared by Moss Adams, LLP

B. Proposed Rules of Conduct for the Audit Subcommittee

MOSS-ADAMS LLP

City of Santa Monica
Compensation and Staffing Review
Work Plan

I. Project Objectives
• Perform a review of the City of Santa Monica's overall a) wage setting process, b) wage and benefits packages, c) staffing methodology and levels, and d) use of overtime for public safety services.

II. Scope of Work	
Phase 1 – Project Initiation and Ongoing Management	
1.1	Conduct kickoff meeting with Audit Subcommittee and Ad Hoc Committee (citizens committee appointed by City Manager) to confirm objectives, participants, schedule, and deliverables.
1.2	Submit document request list to City and 10 peers. Peers include Beverly Hills, Burbank, Culver City, El Segundo, Gardena, Glendale, Inglewood, Pasadena, Redondo Beach, and Torrance.
1.3	Schedule interviews with City stakeholders, including City Manager's Office, department heads, and bargaining unit heads.
1.4	Schedule interviews with peers.
1.5	Conduct project management and progress reporting.
1.6	Perform quality assurance.
Phase 2 – Fact Finding	
2.1	Obtain and review relevant documents from the City for the selected years (see III. Areas of Focus for the years that apply to each component of the project objective), including, but not limited to, budgets and CAFRs, service level agreements and reports, organizational charts, staffing lists, HR wage setting policies and procedures, labor agreements, overtime usage reports for Public Safety employees.
2.2	Conduct interviews with City stakeholders.
2.3	Gather information from peers through website searches, online survey, and interviews.
2.4	Develop preliminary findings (see III. Areas of Focus).
2.5	Present preliminary findings to Audit Subcommittee and Ad Hoc Committee.
2.6	Revise preliminary findings as necessary.

MOSS ADAMS LLP

II. Scope of Work	
Phase 3 – Analysis	
3.1	Compare City Santa Monica's a) overall wage setting process, b) wage and benefits package, c) staffing methodology and levels, and d) use of overtime for public safety services with that of peers.
3.2	Determine gaps between current City and peer practices and, to the greatest extent possible, reasons for gaps.
3.3	Conduct alternatives analysis to define solutions.
3.4	Prepare draft findings and recommendations and review with City to verify facts and test the practicality of recommendations.
3.5	Revise draft findings and recommendations as necessary.
Phase 4 – Reporting	
4.1	Submit draft report.
4.2	Submit final report.
4.3	Present final report to Audit Subcommittee and Ad Hoc Committee.

III. Areas of Focus	
A.	Wage Setting Process: Document the current wage setting process for each bargaining unit, and assess processes for opportunities for improvement.
B.	Wages and Benefits: Understand the terms of bargaining unit agreements, compare to peers for the past three fiscal years (FY 14, FY 15, and FY 16), and document results for a representative sample set of positions (levels and types of positions) for each City department.
C.	Staffing Methodology and Levels: Document the City's staffing philosophy and related policies; document staffing levels for the selected number of years (see VI. Budget for optional years ranges); and document results. Compare to peer service offerings and insourcing versus outsourcing practices. Compare to peer key performance indicators (e.g., efficiency measure such as cost per FTE or capita and effectiveness measure such as service delivery outputs or outcomes).
D.	Public Safety Overtime: Document overtime utilization for the past three fiscal years (FY 14, FY 15, and FY 16) by department, unit, and person. Compare to staffing levels, turnover, and key performance indicators (e.g., efficiency measure such as cost per FTE or capita and effectiveness measure such as crime rate or response time).

MOSS-ADAMS LLP

IV. Schedule

- May 2017 project start and January 2018 project completion
- Committee Meetings (Audit Subcommittee with Ad Hoc Committee): project kickoff on June 15, 2017, briefing on preliminary findings on October 17, 2017, and delivery of final report on January 16, 2018

V. Budget

- Professional fees $190,000 to $210,000, plus expenses
- Budget range reflects years covered by staffing analysis:
    - 3 years, FY 14 through FY 16
    - 6 years, FY 07, FY 09, FY 11, FY 13, FY 15, and FY 16
    - 10 years, FY 07 through FY 16
- Work will be performed in accordance with AICPA consultancy standards

VI. Staffing

- Colleen Rozillis, PMP, Manager (PM)
- Mark Steranka, Partner (QA)
- Tammy Lohr, Consultant (Analysis)
- Emily Oxenford, Senior Research Analyst (Benchmarking)

Rules of Conduct for the Audit Subcommittee of the City Council

On July 28, 2015, the City Council of the City of Santa Monica adopted Resolution Number 10901(CCS), establishing an Audit Subcommittee (the "Audit Subcommittee") to assist the Council in fulfilling their oversight responsibility for the financial reporting process, the framework for internal control, and the audit process. The City Council has defined the purpose of the Audit Subcommittee, its composition, length of member appointments and guidelines on scheduling regular meetings. Audit Subcommittee meetings shall be held in compliance with the State's Open Meeting Laws. Notice of meetings, including adjournment, shall also be given in accordance with the provisions of the Ralph M. Brown Act, California Government Code section 54950 *et seq*. (the "Brown Act"). These Rules of Conduct are adopted by the Audit Subcommittee in order for the Committee to efficiently hold its meetings in compliance with all State and local laws. In the event of a conflict between the provisions of the Brown Act or any other law and any provision of these Rules of Conduct, the Brown Act, or other law, shall prevail. The noticing provisions shall further be subject to any amendments of the Brown Act.

Section 1. QUORUM. A majority of Committee Members shall constitute a quorum for the transaction of business, except to adjourn. All three Council Committee members must be present for a meeting to occur.

Section 2. OFFICERS POWERS AND DUTIES:
Each year at its first meeting, the voting members of the Committee will elect a Chair and a Vice-Chair. Until new officers are elected, the outgoing officers shall continue to serve, when a quorum is needed and no officers are available.

The Chair shall be the Presiding Officer at all meetings. In the absence of the Chair, the Vice Chair shall preside. In the absence of both the Chair and Vice Chair, the City Clerk or designee shall call the Committee members present to serve until the arrival of the Chair or Vice Chair or until adjournment.

Section 3. Except as otherwise provided, the Audit Subcommittee shall follow the City Council Rules of Order and Procedures, Resolution Number 10928(CCS) as applicable and as may be amended from time to time, in the conduct of its meetings. A copy of those Rules are attached.

Section 4. REGULAR MEETINGS. Regular meetings of the Audit Subcommittee shall be held at least quarterly on such dates, such locations and at such times as may be fixed by the Committee.

Section 5. AD HOC COMMITTEES. The City Council may approve the creation of an ad hoc committee to take part in Audit Subcommittee discussions. Any such ad hoc committee shall serve for a limited time and scope of work, as approved by the City Council. Any ad hoc committee formed shall be subject to the Open Meeting Laws and

shall only convene during public meetings of the Audit Subcommittee. Any ad hoc committee formed may not:

(a) take any final action on matters which also require Audit Subcommittee members' approval;
(b) fill vacancies on the Audit Subcommittee; or
(c) make any appointments to the ad hoc committee.

Members of any ad hoc committee formed may not meet with other members of such ad hoc committee outside of the public Audit Subcommittee meetings.

City of Santa Monica®

City Council Report

City Council Meeting: May 9, 2017
Agenda Item: 3.J

To: Mayor and City Council

From: Gigi Decavalles-Hughes, Director, Finance Department

Subject: Adoption of Audit Subcommittee Rules of Conduct and Recommendation to Create an Ad Hoc Committee

Recommended Action

Staff recommends that the City Council:

1. Approve the establishment of a limited term ad hoc committee to take part in Audit Subcommittee discussions on a staff compensation study conducted by Moss Adams, LLP; and
2. Approve the attached Audit Subcommittee Rules of Conduct.

Executive Summary

Consistent with the mandate of our ongoing internal efficiency audits, staff and the City Council Audit Subcommittee have scheduled a review of staff compensation and public safety overtime. Both topics have sparked significant community scrutiny in recent months. At its April 20, 2017 meeting, the Audit Subcommittee reviewed a preliminary scope of work for the compensation review and recommended that an ad hoc committee, made up of interested community members selected by the City Manager, be assembled to take part in the Audit Subcommittee discussions on the compensation study. The review would be completed by Moss Adams, LLP, the City's Internal Auditor. As the Audit Subcommittee is a subcommittee of the City Council, it is necessary for the Council to approve changes to its structure and protocol. Staff recommends that the Council approve the creation of an ad hoc committee and direct the City Manager to select members of the committee, and adopt the Rules of Conduct for the Audit Subcommittee in order to provide clear expectations for staff, Audit Subcommittee members, ad hoc committee members, and members of the public.

Background

By law, the City commissions an annual financial audit of its financial balance sheet and accounting practices by an independent accounting firm (characterized as the "outside" auditor.) In addition, the City also employs an independent auditing firm to conduct studies and make recommendations regarding the City's internal financial and operational practices to improve efficiency and ensure compliance with best financial and managerial practices (characterized as our "internal" auditor.)

On January 17, 2017, in response to concerns raised by a number of community groups related to news stories about City of Santa Monica staff compensation, and calls by these groups that an “independent” audit be conducted, the Audit Subcommittee discussed a proposed scope of work for a compensation audit to be completed by the independent firm that acts as the City’s Internal Auditor, Moss Adams, LLP.

The initial scope of work included a review of the City’s wage and benefit setting process as well as an overtime utilization review. Among community members’ areas of concern were the cost of compensation, overtime, and other pay and total compensation for City staff, the methodology used to set compensation levels, how the City compares to peer cities, the size of the City government, and whether sufficient internal controls exist to manage these areas.

The Audit Subcommittee expressed an interest in an expanded scope of work that would also cover a comprehensive comparison of wages and benefits across peer cities and an understanding of the factors that determine the number of staff providing services. In the weeks that followed the meeting, several community members met with the City Manager to discuss their concerns about compensation and the objectivity of any study overseen by the City. Various neighborhood and civic groups also expressed concerns about staff compensation.

Discussion

At its April 20, 2017 meeting the Audit Subcommittee received and reviewed a revised preliminary scope of work for the compensation study, agreed to the establishment of an ad hoc committee that would take part in discussions regarding the compensation study, and approved Rules of Conduct for the Audit Subcommittee.

The preliminary scope of work presented by Moss Adams, LLP includes a review of the methodology used for setting compensation levels, a comparison of wages and benefits across peer cities, the factors that determine the number of staff providing services, and the use of overtime by public safety employees (Attachment A).

Staff is seeking to provide an additional layer of transparency and understanding to the review to be conducted by Moss Adams, and to merge the conversations that community members have been having with the City Manager into this review. In the past, the Council has appointed special-purpose committees (Civic Center Working Group, Promenade Uses Task Force, Civic Auditorium Working Group) or directed the City Manager to appoint special working groups (Minimum Wage Working Group) to facilitate public participation in the development of special plans and strategies.

A limited-term, ad hoc committee made up of residents could assist the Audit Subcommittee and staff in critically reviewing and objectively considering the City's methodologies related to compensation. For this reason, the Audit Subcommittee approved staff's recommendation that the City Council direct the City Manager to appoint an ad hoc committee of five to seven residents that would join Subcommittee discussions specifically related to the scope, findings, and final report of the compensation review. The Council could direct the City Manager to seek applications from members of the public who would be interested in serving on the committee, and then make appointments from those applications. The Subcommittee also agreed that at least one of the ad hoc committee members must have substantial work experience working in the public sector. Additionally, Audit Subcommittee members expressed an interest in inviting City bargaining unit representatives to provide their input on the initial findings of the study.

The ad hoc committee would only convene during the time that the Audit Subcommittee is discussing the compensation study agenda item. As noted in the attached Rules of Conduct, the ad hoc committee would not have a vote, but would be able to ask questions of staff and the Internal Auditor, and make suggestions regarding scope, initial findings and the final report. The ad hoc committee would convene three times alongside the Audit Subcommittee to discuss the scope of the project, to discuss the initial findings of the review, and to receive the final report.

Staff has prepared draft Rules of Conduct for the Audit Subcommittee (Attachment B). Section 5 of the Rules specifies the parameters by which an ad hoc committee may function alongside the Subcommittee.

If the Council were to approve the establishment of a limited term ad hoc committee, a public application and selection process would be completed in May and the ad hoc committee would convene for the first time at the June 15, 2017 Special Meeting of the Audit Subcommittee. At that time, the Subcommittee would confirm the final scope of the audit with the input of the ad hoc committee and staff.

Staff anticipates that the Subcommittee will consider initial findings at its October 17, 2017 Regular Meeting, and receive the final report at its January 16, 2018 Regular Meeting. Community members applying for a seat on the ad hoc committee would be required to be available for the three meetings.

One alternative approach to having an ad hoc committee would be to proceed without one under the purview of the Audit Subcommittee which includes two citizen members in addition to the three Councilmembers. The Council could also choose to select the members itself, which would take a little more time. Finally, the Council could expand the Audit Subcommittee on a permanent basis as some community members have advocated.

Financial Impacts and Budget Actions

The cost of this review is not to exceed $210,000 and may be carried out within the existing budget and scope authority of the Moss Adams internal audit services contract. Staff will propose, as part of the FY 2017-19 Biennial Budget, one-time budget adjustments using Finance Department expenditure control savings funds to accommodate the additional budget needed to carry out the project in FY 2017-18.

Prepared By: Gigi Decavalles-Hughes, Director

Approved	**Forwarded to Council**
Gigi Decavalles-Hughes, Director 5/1/2017	Rick Cole, City Manager 5/2/2017

Attachments:

A. City of Santa Monica Compensation Review - Moss Adams Work Plan

B. Resolution_Proposed Rules of Conduct for the Audit Subcommittee

City Council Meeting: June 27, 2017 Santa Monica, California

RESOLUTION NUMBER _____ (CCS)

(City Council Series)

A RESOLUTION OF THE CITY COUNCIL
OF THE CITY OF SANTA MONICA REVISING
RULES OF CONDUCT FOR THE CITY COUNCIL AUDIT COMMITTEE

WHEREAS, the City Council of the City of Santa Monica (the "City Council") recognizes the importance of transparency and accountability in the administration of public resources, and the City Council is ultimately responsible for ensuring that the City of Santa Monica (the "City") is meeting its internal control and financial reporting responsibilities; and

WHEREAS, on July 28, 2015, the City Council adopted Resolution Number 10901 (CCS) ("Resolution 10901"), establishing an Audit Subcommittee of the City Council ("Audit Committee"), in accordance with financial management best practices; and

WHEREAS, the City Council established the Audit Committee to ensure regular and direct communication between the City's independent auditors and the City Council and further the City Council's goals of transparency and accountability in the administration of public resources; and

WHEREAS, Resolution 10901 defines the purpose of the Audit Committee, its composition, length of member appointments and guidelines for scheduling its Regular Meetings; and

WHEREAS, on April 20, 2017, the Audit Committee recommended that the City Council adopt Rules of Conduct for the Audit Committee in order for the Committee to efficiently conduct its meetings in compliance with all State and local laws; and

WHEREAS, on May 9, 2017, the City Council adopted Resolution Number 11042 (CCS) adopting Rules of Conduct for the Audit Committee; and

WHEREAS, the City Council recognizes scheduling challenges resulting from restrictive attendance requirements and wishes to ensure that Audit Committee business moves forward in a timely manner; and

WHEREAS, the City Council now desires to revise the attendance requirements set forth in the Rules of Conduct for the Audit Committee to provide flexibility in the management of the Audit Committee.

NOW, THEREFORE, THE CITY COUNCIL OF THE CITY OF SANTA MONICA DOES RESOLVE AS FOLLOWS:

SECTION 1. Open Meeting Laws. Audit Committee meetings shall be held in compliance with the State's Open Meeting Laws. Notice of meetings, including adjournment, shall also be given in accordance with the provisions of the Ralph M. Brown Act, California Government Code section 54950 *et seq.* (the "Brown Act"). In the event of a conflict between the provisions of the Brown Act or any other law and any provision

of these Rules of Conduct, the Brown Act, or other law, shall prevail. The noticing provisions shall further be subject to any amendments of the Brown Act.

SECTION 2. Quorum. A majority of Committee Members shall constitute a quorum for the transaction of business, except to adjourn. Two Council Committee members must be present for a meeting to occur.

SECTION 3. Officers Powers and Duties. Each year at its first meeting, the voting members of the Committee will elect a Chair and a Vice-Chair. Until new officers are elected, the outgoing officers shall continue to serve, when a quorum is needed and no officers are available.

The Chair shall be the Presiding Officer at all meetings. In the absence of the Chair, the Vice Chair shall preside. In the absence of both the Chair and Vice Chair, the City Clerk or designee shall call the Committee members present to serve until the arrival of the Chair or Vice Chair or until adjournment.

SECTION 4. Conduct of Meetings. Except as otherwise provided, the Audit Committee shall follow the City Council Rules of Order and Procedures, Resolution Number 10928 (CCS) ("Resolution 10928"), as applicable, and as may be amended from time to time, in the conduct of its meetings. A copy of Resolution 10928 is attached hereto as Exhibit A and incorporated herein by this reference.

SECTION 5. Regular Meetings. Regular meetings of the Audit Committee shall be held at least quarterly on such dates, such locations and at such times as may be fixed by the Committee.

SECTION 6. Ad Hoc Committees. The City Council may approve the creation of an ad hoc committee to take part in Audit Committee discussions. Any such ad hoc committee shall serve for a limited time and scope of work, as approved by the City Council. Any ad hoc committee formed shall be subject to the Open Meeting Laws and shall only convene during public meetings of the Audit Committee. Any ad hoc committee formed may not:

(a) take any final action on matters which also require Audit Committee members' approval;

(b) fill vacancies on the Audit Committee; or

(c) make any appointments to the ad hoc committee.

Members of any ad hoc committee formed may not meet except as allowed in accordance in the Brown Act.

SECTION 7. Resolution 11042 is hereby repealed in its entirety.

SECTION 8. The City Clerk shall certify to the adoption of this Resolution, and thenceforth and thereafter the same shall be in full force and effect.

APPROVED AS TO FORM:

AKS

Joseph Lawrence

JOSEPH LAWRENCE
Interim City Attorney

Exhibit A Resolution 10928

Exhibit A

City Council Meeting: December 15, 2015 Santa Monica, California

RESOLUTION NO. 10928 (CCS)

A RESOLUTION OF THE CITY COUNCIL
OF THE CITY OF SANTA MONICA AMENDING THE RULES OF ORDER AND
PROCEDURE FOR THE CONDUCT OF CITY COUNCIL MEETINGS AND
REPEALING RESOLUTION NUMBER 10921(CCS)

THE CITY COUNCIL OF THE CITY OF SANTA MONICA DOES RESOLVE AS FOLLOWS:

SECTION 1. The City Council Rules of Order and Procedure are hereby established as follows:

RULES FOR CITY COUNCIL MEETINGS

RULE 1. RULES OF ORDER.

Except as otherwise provided by these rules, the City Charter, the Municipal Code, or applicable provisions of state law, the procedures of the City Council shall be governed by the latest revised edition of Roberts Rules of Order.

The City Council rules, or any one thereof, may be suspended by a vote of two-thirds (2/3) of the Councilmembers present.

RULE 2. TIME AND PLACE FOR HOLDING REGULAR MEETINGS.

Pursuant to the provisions of Section 611 of the Santa Monica City Charter, the City Council establishes the second and fourth Tuesdays of each month as the days for holding regular meetings of the City Council. The regular meeting shall commence at 5:30 p.m., for the Closed Session. It is the intention of the City Council that all other agenda items shall commence at 6:30 p.m., following the Closed Session. If any such Tuesday falls on any day designated by law by the City Council as a day for public feast,

Thanksgiving or holiday, such regular meeting shall be held on the date of the regular meeting next following said Tuesday at the hour heretofore fixed or at such other day as may be fixed. The City Council Chamber in City Hall is established as the place for holding its regular meetings.

RULE 3. QUORUM AND ACTION

In accordance with Section 614 of the Santa Monica City Charter, four Councilmembers shall constitute a quorum for the transaction of business. Except as otherwise provided in the Charter, or other law or these rules action shall be taken by a majority vote of the entire membership of the City Council. However, in the case of a quasi-judicial hearing, if only four Councilmembers are participating, the applicant or appellant shall be entitled to request and receive a continuance of the hearing, until such time as five Councilmembers are participating.

Whenever any Councilmember questions the presence of a quorum, the presiding officer shall forthwith direct the City Clerk to call the roll, each Councilmember shall respond when his or her name is called and the Clerk shall announce the result. Such proceedings shall be without debate, but no Councilmember who is speaking may be interrupted by a question as to the presence of a quorum.

The Council may also establish standing subcommittees of its members to address designated areas of City business on the Council's behalf and may establish ad hoc committees to formulate reports or recommendations on particular matters.

RULE 4. MEETINGS TO BE PUBLIC - EXCEPTION FOR CLOSED SESSIONS.

As required by the Ralph M. Brown Act (the "Brown Act"), California Government Code Sections 54950, et seq all regular, adjourned regular and special meetings of the City Council shall be public, provided, however, the City Council may meet in a Closed Session from which the public is excluded, for those purposes authorized by the Brown Act.

No Councilmember, employee of the City, or any other person present during a Closed Session of the City Council shall disclose to any person the content or substance of any communication which took place during the Closed Session unless the City Council specifically authorizes the disclosure by majority vote or unless the disclosure is required by law.

RULE 5. AGENDA.

The City Clerk shall prepare the Agenda under the direction of the City Manager as follows:

(a) The City Manager shall consult with the Mayor and Mayor Pro Tempore in the preparation of the Agenda.

(b) The Agenda and all available supporting documents shall be delivered to Councilmembers on the Tuesday preceding the Tuesday City Council meeting to which it pertains or as soon thereafter as possible.

(c) Any Councilmember or the City Manager may direct that any matter within the City Council's jurisdiction be placed upon the Agenda. Councilmembers should endeavor to submit agenda items by 3:00 p.m. on Thursday in order to ensure that matters will be agendized for the following Tuesday. Subject to Brown Act requirements, items submitted after 3:00 p.m. Thursday will be agendized for the following Tuesday if possible.

Councilmember items may only be combined with other items on the agenda by a vote of the Council. A Councilmember who wishes to combine his or her item with another item on the agenda may direct that the following language be included with the agenda item: "This item may be considered with Item ." The City Manager may combine staff items on the agenda in order to ensure that the public's business is handled efficiently and conveniently.

(d) The City Clerk shall post the Agenda as required by the Brown Act. Copies of the Agenda shall be posted in the lobby of City Hall and the Police Department. The

City Clerk shall maintain on file in his or her office declarations establishing compliance with the posting requirements.

(e) No action shall be taken on any item not appearing on the posted Agenda unless the item is added to the Agenda in the manner required by the Brown Act.

(f) Matters directed to be placed on the Agenda at the direction of Councilmembers shall be listed on the Agenda in the order of receipt by the City Clerk.

(g) Written requests to the City Council shall be received and opened by the City Clerk and referred to the City Manager or his or her designee and either shall be transmitted to the appropriate board, commission or staff member or shall be placed on the Agenda if City Council consideration is deemed appropriate by the Mayor or City Manager. Written requests being agendized shall be scheduled for Council consideration at the earliest convenient meeting, taking into consideration the length and content of meeting agendas. Members of the public submitting written requests shall be advised of how their request is being handled. Councilmembers shall receive copies of those written requests which are not agendized. Agendized communications shall be listed on the Agenda in order of receipt. No communication shall be placed on an Agenda if it contains material that:

(1) Is profane.

(2) Is potentially slanderous or libelous.

(3) Advocates or opposes the candidacy of any person or party for any elective office.

(4) Is primarily an advertisement or promotion or has as a substantial purpose, the advancement of any cause the major benefit of which is private and not public.

Members of the public submitting written requests to the Council are encouraged to limit their submissions to one per meeting.

RULE 6. CATEGORIES AND ORDER OF BUSINESS.

The business of the City Council shall be conducted in the order and manner specified below. The order may be changed by a majority vote of those present. The following is the order of business:

(a) Call to Order.

(b) Salute to the Flag.

(c) Roll Call.

(d) Closed Session.

(e) Special Agenda Items. This item includes the City Manager's Report, proclamations, commendations, introductions of special guests, special meetings, and presentations and reports by other non-City public entities or legislative bodies.

(f) Consent Calendar. The consent calendar shall consist of the approval of minutes of previous meetings and those other items such as contracts and routine resolutions which do not necessitate a separate public hearing and which are determined in the Agenda preparation process to be relatively non-controversial. Ordinances for second reading and adoption may be placed on the consent calendar if all members of the City Council were present when the vote for first reading and introduction took place and this vote was unanimous. The consent calendar shall be considered as one item regardless of the number of matters appearing on it and may be approved by a single vote. The title to the individual consent items need not be read unless a request to do so is made by any Councilmember. Members of the public shall have no more than one opportunity to address the City Council concerning any and all items on the consent calendar. Members of the public shall be heard prior to City Council consideration of the consent calendar. Councilmembers may request to have individual matters removed from the consent calendar so that they may be heard on those matters. All matters remaining on the consent calendar may be approved by a single vote. Any items removed from the consent calendar shall be considered separately in the order of their appearance

on the Agenda. Removed items may be heard immediately following the consent calendar or may be heard after the City Council concludes Closed Session or Study Session.

(g) Study Session. During Study Sessions staff will present information regarding a complex matter that will be subject to Council deliberation and decisions in the future. No Council action will be recommended or taken as part of the Study Session.

(h) Continued Items. This item includes agendized items of a previous City Council meeting not considered at such meeting. The City Council may vote by a majority of its members to have a carry-over item placed on a subsequent agenda as a continued item.

(i) Administrative Proceedings. This item includes proceedings requiring the City Council to make a quasi-judicial decision concerning an individual application or appeal.

(j) Ordinances.

(1) Second Reading and Adoption. No public discussion is permitted on second readings.

(2) Introduction and First Reading.

(k) Staff Administrative Items. This category will include policy matters to be considered by the City Council or at joint meetings of the City Council, Parking Authority, Housing Authority, the Public Financing Authority and/or Redevelopment Successor Agency.

(l) Public Hearings. This item consists of public hearings required by specific provisions of law.

(m) Reports of Boards and Commissions. Boards and commissions who may present reports under this item include, but are not limited to, all City boards, commissions

and task forces. Reports may also be provided by the Santa Monica Pier Corporation, Downtown Santa Monica, Inc., Santa Monica Convention and Visitors Bureau.

(n) Resolutions. A resolution will be considered under this item only if its substance makes extensive public input advisable, or if it should be considered after another item on the Agenda, otherwise the resolution will be considered on the Consent Calendar.

(o) Written Communication. This item allows the Council to consider issues raised by written submissions from the public.

(p) Councilmember Discussion Items. Staff items as deemed necessary.

(q) Public Input. This item allows members of the public to address the City Council on matters that are within the Council's subject matter jurisdiction. No formal action may be taken on any matter under this item unless the item is specifically agendized.

RULE 7. PREPARATION OF MINUTES.

The City Clerk shall have exclusive responsibility for preparation of the Minutes, and any directions for corrections in the Minutes shall be made only by majority vote of the City Council.

RULE 8. APPROVAL OF MINUTES.

Minutes of a City Council meeting may be approved without reading if the City Clerk has previously furnished each Councilmember with a copy and unless a reading is ordered by a majority vote of the Council.

RULE 9. PRESIDING OFFICER.

The Mayor shall be the Presiding Officer at all meetings of the City Council. In the absence of the Mayor, the Mayor Pro Tempore shall preside. In the absence of both the Mayor and Mayor Pro Tempore, the City Clerk shall call the City Council to order and a temporary Presiding Officer shall be elected by the Councilmembers present to serve until the arrival of the Mayor or Mayor Pro Tempore or until adjournment.

RULE 10. POWERS AND DUTIES OF PRESIDING OFFICER.

(a) Participation. The Presiding Officer may move, second, and debate from the chair, subject only to such limitations of debate as are imposed upon Councilmembers by these rules, and shall not be deprived of any of the rights or privileges of a Councilmember by reason of his or her acting as the Presiding Officer.

(b) Duties. The Presiding Officer shall:

(1) preserve order at all meetings of the City Council

(2) state (or cause to be stated) each question coming before the City Council

(3) announce the decisions of the City Council on all subjects

(4) decide all questions of order subject to the right to appeal rulings on questions of order to the entire City Council and

(5) encourage all persons present at the meeting to conform their conduct to the City's Civility Policy.

RULE 11. SWORN TESTIMONY AND SUBPOENA POWER.

Any Councilmember may request that anyone appearing before the City Council on any matter shall be sworn. On receipt of such a request, all proceedings shall be suspended and the City Council will immediately vote on whether the individual should be sworn. A majority vote of the Councilmembers present shall determine whether the speaker shall be placed under oath. All oaths will be administered by the City Clerk.

The City Council shall have the power to issue subpoenas as provided in City Charter Section 614.

RULE 12. RULES OF DEBATE.

(a) Getting the Floor. A Councilmember desiring to speak shall gain recognition by the Presiding Officer.

(b) Questions to Staff. Every Councilmember desiring to question City staff shall address his or her questions to the City Manager, the City Attorney, the City Clerk or designated staff. Members of the City staff, after recognition by the Presiding Officer shall hold the floor until completion of their remarks or until recognition is withdrawn by the Presiding Officer.

(c) Interruptions. A Councilmember who has the floor shall not be interrupted when speaking unless he or she is called to order by the Presiding Officer, a point of order or a personal privilege is raised by another Councilmember or the speaker chooses to yield to a question by another Councilmember. If a Councilmember is called to order, he or she shall cease speaking until the question of order is determined.

(d) Points of Order. The Presiding Officer shall determine all points of order subject to the right of any Councilmember to appeal to the City Council. If an appeal is taken, the question shall be: "Shall the decision of the Presiding Officer be sustained?" The Presiding Officer's decision may be overruled by a two-thirds vote of the Councilmembers then present.

(e) Point of Personal Privilege. The right of a Councilmember to address the City Council on a question of personal privilege shall be limited to cases in which the Councilmember's integrity, character, or motives are questioned or where the safety or welfare of the City Council is concerned.

(f) Privilege of Final Comment. The Councilmember moving the introduction or adoption of an ordinance, resolution, or motion, shall have the privilege of

speaking last on the matter after all other Councilmembers have been given an opportunity to speak.

(g) Motion to Reconsider Legislative Actions. A motion to reconsider any legislative action taken by the City Council may be made only by one of the Councilmembers on the prevailing side and may be seconded by any Councilmember. Such motion may be made at any time and shall be debatable. A motion by a non-prevailing Councilmember or a request by a member of the public for reconsideration may be made only if one year has passed since the action was taken.

(h) Calling for the Question. A question may be called by majority vote of those present. However, neither the moving party nor the party seconding any motion may call for the question, each Councilmember shall be afforded one opportunity to speak on each item before the question is called, and a question may not be called to interrupt or cut off a particular speaker.

(i) Limitation of Debate. Councilmembers shall limit their remarks to the subject under debate. No Councilmember shall be allowed to speak more than once upon any particular subject until every other Councilmember desiring to do so has spoken. Prior to beginning deliberation, the Council may, by a two-thirds vote of those present, limit the amount of time that each Councilmember may spend stating his or her views on a particular agenda item.

RULE 13. PROTEST AGAINST CITY COUNCIL ACTION.

Any Councilmember shall have the right to have the reasons for his or her opposition to any action of the City Council entered in the Minutes. Such opposition shall be made in the following manner: "I would like the Minutes to reflect that I opposed this action for the following reasons..."

RULE 14. DISCLOSURE FOR QUASI JUDICIAL MATTERS.

On quasi-judicial matters, Councilmembers shall verbally disclose off the record contacts relating to the item, after the item is called and before Council consideration of

the matter. Disclosure shall include the identity of an individual(s) with whom the Councilmember had contact, and the nature of the contact.

RULE 15. PUBLIC TESTIMONY.

(a) Pursuant to the Brown Act, public testimony is permitted on all agenda items, except ordinances for second reading, and the public shall have an opportunity to comment on any matter which is not on the Agenda but is within the Council's jurisdiction. However, members of the public do not have the right to give testimony outside the scope of or unrelated to the agenda item under consideration. Additionally, members of the public should strive to avoid unduly reiterating their own or others' testimony.

(b) Registration. Any member of the public wishing to address the City Council regarding any item on the Agenda for public discussion shall register with the City Clerk prior to the start of the meeting, if possible, but no later than prior to the public hearing on that item. Except when donating time to another speaker, a request received after the start of the hearing shall be considered late and may only be heard with Council approval.

(c) Manner of Addressing the City Council. After being recognized by the Presiding Officer, each member of the public addressing the City Council shall go to the podium, state his or her name and whom he or she is representing, if he or she represents an organization or other person. Each member of the public is encouraged, but not required, to also state his or her address, neighborhood, or city of residence. All remarks shall be addressed to the City Council as a whole and not to any individual member thereof. After a public hearing has been closed, no member of the public shall address the City Council on the matter under consideration without first securing Council approval.

(d) Time Limits. Except on Written Communication, members of the public shall limit their remarks to two minutes per agenda item unless the City Council grants additional time by majority vote. For purposes of these Rules, the consent calendar shall be considered one item. Persons speaking on another's written communication and persons submitting late chits, who receive permission to speak shall be limited to one minute. On Written Communication, those speaking on another's item may speak only if

the person raising the matter appears and testifies. If the person who raises the item does not appear and testify, the matter shall be received and filed and persons wishing to speak on the matter may give their testimony during Public Input. A member of the public wishing to speak on more than one item shall limit his or her remarks to a total of six minutes per meeting unless the Council grants additional time by majority vote. A member of the public may allocate time between items in one minute increments up to two minutes. Testimony given as an applicant or appellant does not count toward the six minute maximum. A Board or Commission member reporting to the City Council on behalf of a Board or Commission shall not be subject to these rules on time limits; however, Council may limit the duration of such reports.

(e) Special Time Limits for Applicants and Appellants. Applicants and appellants on administrative items shall limit their remarks to ten minutes and may reserve some of their time for use for rebuttal at the conclusion of the public hearing. The appellant shall have the opportunity to address the City Council first and last.

(f) Special Time Limits for Special Agenda Items. Public testimony is permitted on the City Manager's Report. Proclamations, commendations and appearances by special guests are ceremonial items. In order to ensure adequate time for the Council's regular business, only honorees and guests may address the Council on such items. Groups of honorees or guests, who wish to speak, should appoint one or two representatives to speak for them.

Special Assistance for Those Who Cannot Wait to Speak. Members of the public, including those with special needs, who cannot wait to speak on an agenda item may request assistance from the City Clerk, and a member of the Clerk's office will provide assistance in preparing a written statement of testimony for distribution to the Council.

(g) Donating Time to Another Speaker. Except on Public Input, a member of the public may donate two minutes per agenda item to another speaker, and a speaker may accept one such donation from another per agenda item. The speaker and the person donating time shall turn in their chits together, notify the clerk of the donation, and go to the podium together. The speaker shall state both of their names and state that he

or she is speaking for both. Donated time shall not increase an individual speaker's total time limit of six minutes per meeting. Any request received after the start of the hearing shall be considered late and the donator will not be permitted to donate his/her time.

RULE 16. RULES OF CONDUCT AND SAFETY.

When the City Council is in session, all persons present must preserve safety and order and should strive to conform their conduct to the City's Civility Policy. Members of the public should sit in the audience seating area, unless addressing the Council or entering or leaving the Council Chambers, should not block the aisles with personal belongings and should not bring audible equipment into the Council Chambers including cellular telephones or pagers. Members of the public may not, except when testifying on or participating in an agenda item, enter the well area, which is the open area directly in front of the dais and extending outward from it to a line running between the points on the Clerk's desk and the podium nearest to the audience.

Any person who disrupts the meeting shall be called to order by the Presiding Officer. Disruption shall include but not be limited to, blocking the audience or camera view of the proceedings. If such conduct continues, the Presiding Officer may request the Sergeant at Arms to remove the person from Council Chambers.

The Chief of Police or such member or members of the Police Department as he or she may designate, shall be Sergeant At Arms of the City Council and shall carry out all orders given by the Presiding Officer through the City Manager for the purpose of maintaining order at City Council meetings. Any Councilmember may move to require the Presiding Officer to enforce the rules, and the affirmative vote of a majority of the City Council shall require him or her to do so.

RULE 17. SEATING ORDER.

After each municipal election, the City Clerk shall determine City Council member seating order by drawing lots.

RULE 18. ENTITLEMENT TO VOTE AND FAILURE TO VOTE.

Every Councilmember is entitled to vote unless disqualified by reason of a conflict of interest. A Councilmember who abstains from voting consents to the decision made by the voting Councilmembers.

RULE 19. VOTING PROCEDURE.

Any vote of the City Council, including a roll call vote, may be registered by the members answering "Yes" for an affirmative vote or "No" for a negative vote upon his or her name being called by the City Clerk. Voting order shall be based on seating order with each roll call vote beginning at alternating ends of the dais and the Mayor voting last.

RULE 20. DISQUALIFICATION FOR CONFLICT OF INTEREST.

Any Councilmember who is disqualified from voting on a particular matter by reason of a conflict of interest shall publicly state or have the Presiding Officer state the nature of such disqualification and shall leave the dais prior to Council consideration of the matter. A Councilmember stating such disqualification shall not be counted as part of a quorum and shall be considered absent for the purpose of determining the outcome of any vote on such matter.

RULE 21. TIE VOTE.

Tie votes shall be lost motions.

RULE 22. CHANGING VOTE.

The vote of a Councilmember may be changed only if he or she makes a timely request to do so immediately following the announcement of the vote by the City Clerk or the Presiding Officer and prior to the time that the next item in the order of business is taken up.

RULE 23. PROCEDURE ON AGENDA ITEMS REQUIRING A MOTION.

The following procedure shall be followed in connection with any Agenda item requiring a motion:

(a) City Clerk reads the title.

(b) Presiding Officer calls for a staff report.

(c) Councilmembers question City staff.

(d) Council conducts Public hearing.

(e) Council deliberates.

(f) A Councilmember makes a motion, another Councilmember seconds the motion, and the Council debates it, with the maker of the motion having the opportunity to speak last.

(g) The Presiding Officer or City Clerk restates the motion.

(h) The Council votes on the motion.

(i) The Presiding Officer or City Clerk announces result.

RULE 24. PRESENCE OF CITY STAFF AT CITY COUNCIL MEETINGS.

The City Manager, City Clerk, and City Attorney, or, in their absence, their authorized representatives, shall attend and be present during all City Council meetings and give necessary service and advice.

RULE 25. RECORD OF MEETINGS.

All public meetings of the City Council shall be recorded. The recording shall be made by the City Clerk and retained in accordance with the City's record retention schedule. The use of other recording or television equipment is permitted so long as it is not disruptive of the meeting.

RULE 26. INTERPRETATION AND MODIFICATION OF THESE RULES.

These rules shall be interpreted liberally in order to provide for the optimum in the free interchange of information and public debate without an unnecessary waste of time or duplication of effort. These rules may be amended by resolution.

RULE 27. FAILURE TO OBSERVE RULES OF ORDER.

These rules of order and procedures govern the conduct of City Council meetings. These rules are intended to expedite the transaction of the business of the City Council in an orderly fashion and are deemed to be procedural only. Failure to strictly observe these rules shall not affect the jurisdiction of the City Council or invalidate any action taken at a meeting that otherwise conforms to law.

SECTION 2. Resolution Number 10921(CCS) and all other resolutions adopting, amending, or relating to City Council Rules of Order, are hereby repealed in their entirety.

SECTION 3. The City Clerk shall certify to the adoption of this Resolution, and thenceforth and thereafter the same shall be in full force and effect.

APPROVED AS TO FORM:

Marsha Jones Moutrie

MARSHA JONES MOUTRIE
City Attorney

Adopted and approved this 15th day of December, 2015.

Tony Vazquez, Mayor

I, Denise Anderson-Warren, Acting City Clerk of the City of Santa Monica, do hereby certify that the foregoing Resolution No. 10928 (CCS) was duly adopted at a meeting of the Santa Monica City Council held on the 15th day of December, 2015, by the following vote:

AYES: Councilmembers O'Connor, O'Day, Himmelrich, Davis, McKeown, Mayor Pro Tem Winterer, Mayor Vazquez

NOES: None

ABSENT: None

ATTEST:

Denise Anderson-Warren, Acting City Clerk

REFERENCE:

Amended
Resolution No. 11046
(CCS)

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City of Santa Monica
Compensation and Staffing Review
Work Plan

I. Project Objectives
• Perform a review of the City of Santa Monica's overall a) wage setting process, b) wage and benefits packages, c) staffing methodology and levels, and d) use of overtime for public safety services.

II. Scope of Work	
Phase 1 – Project Initiation and Ongoing Management	
1.1	Conduct kickoff meeting with Audit Subcommittee and Ad Hoc Committee (citizen's committee appointed by City Manager) to confirm objectives, participants, schedule, and deliverables.
1.2	Submit document request list to City and 10 peers. Peers include Beverly Hills, Burbank, Culver City, El Segundo, Gardena, Glendale, Inglewood, Pasadena, Redondo Beach, and Torrance.
1.3	Schedule interviews with City stakeholders, including City Manager's Office, department heads, and bargaining unit heads.
1.4	Schedule interviews with peers.
1.5	Conduct project management and progress reporting.
1.6	Perform quality assurance.
Phase 2 – Fact Finding	
2.1	Obtain and review relevant documents from the City for the selected years (see III. Areas of Focus for the years that apply to each component of the project objective), including, but not limited to, budgets and CAFRs, service level agreements and reports, organizational charts, staffing lists, HR wage setting policies and procedures, labor agreements, overtime usage reports for Public Safety employees.
2.2	Conduct interviews with City stakeholders.
2.3	Gather information from peers through website searches, online survey, and interviews.
2.4	Develop preliminary findings (see III. Areas of Focus).
2.5	Present preliminary findings to Audit Subcommittee and Ad Hoc Committee.
2.6	Revise preliminary findings as necessary.

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II. Scope of Work	
Phase 3 – Analysis	
3.1	Compare City Santa Monica's a) overall wage setting process, b) wage and benefits package, c) staffing methodology and levels, and d) use of overtime for public safety services with that of peers.
3.2	Determine gaps between current City and peer practices and, to the greatest extent possible, reasons for gaps.
3.3	Conduct alternatives analysis to define solutions.
3.4	Prepare draft findings and recommendations and review with City to verify facts and test the practicality of recommendations.
3.5	Revise draft findings and recommendations as necessary.
Phase 4 – Reporting	
4.1	Submit draft report.
4.2	Submit final report.
4.3	Present final report to Audit Subcommittee and Ad Hoc Committee.

III. Areas of Focus	
A.	Wage Setting Process: Document the current wage setting process for each bargaining unit, and assess processes for opportunities for improvement.
B.	Wages and Benefits: Understand the terms of bargaining unit agreements, compare to peers for the past three fiscal years (FY 14, FY 15, and FY 16), and document results for a representative sample set of positions (levels and types of positions) for each City department.
C.	Staffing Methodology and Levels: Document the City's staffing philosophy and related policies; document staffing levels for FY 07 through FY 16; and document results. Compare to peer service offerings and insourcing versus outsourcing practices. Compare to peer key performance indicators (e.g., efficiency measure such as cost per FTE or capita and effectiveness measure such as service delivery outputs or outcomes).
D.	Public Safety Overtime: Document overtime utilization for the past three fiscal years (FY 14, FY 15, and FY 16) by department, unit, and person. Compare to staffing levels, turnover, and key performance indicators (e.g., efficiency measure such as cost per FTE or capita and effectiveness measure such as crime rate or response time).

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IV. Schedule
• May 2017 project start and January 2018 project completion • Committee Meetings (Audit Subcommittee with Ad Hoc Committee): project kickoff on August 23, 2017, briefing on preliminary findings on October 17, 2017, and delivery of final report on January 16, 2018

V. Budget
• Professional fees not to exceed $210,000, plus expenses • Work will be performed in accordance with AICPA consultancy standards

VI. Staffing
• Colleen Rozillis, PMP, Manager (PM) • Mark Steranka, Partner (QA) • Tammy Lohr, Consultant (Analysis) • Emily Oxenford, Senior Research Analyst (Benchmarking)