

**Proposal to Conduct a
Performance Audit of the
City of Rialto's Department of Public Works**

Submitted to:

**City of Rialto
City Administrator's Office
150 S. Palm Avenue
Rialto, CA 92376**

by



Harvey M. Rose Associates, LLC

(415) 552-9292

<http://www.harveyrose.com>

**1390 Market Street, Suite 1150
San Francisco, CA 94102**

July 12, 2019



July 12, 2019

Mr. Sean Grayson
Interim City Administrator, City of Rialto
150 S. Palm Avenue
Rialto, CA 92376

Dear Mr. Grayson:

Harvey M. Rose Associates, LLC (HMR) is pleased to submit this proposal to provide performance audit services to the City of Rialto.

We believe our proposal is fully responsive to the scope and objectives of the services as outlined by my phone calls with you on June 10th and July 11th. Our team is well qualified to provide the requested services for a performance audit of the Public Works Department. HMR has over 40 years of experience in public sector consulting and evaluations. Our proposed team of professionals has experience conducting performance audits, management reviews, and analyses of local governments and agencies in California, including experience in the functions performed by the Public Works Department such as capital planning; development services; water and wastewater services; waste management; fleet, facilities, and park maintenance; and, street repair.

As a company principal, I would serve as the principal-in-charge if HMR is selected to conduct this performance audit. I would serve as the central point of contact during the review process. My contact information is below:

Dan Goncher, Principal
Harvey M. Rose Associates, LLC
1390 Market Street, Suite 1150
San Francisco, California 94102
Phone: (415) 553-4629
Email: dgoncher@harveyrose.com

Thank you for providing our firm with the opportunity to submit a proposal to provide audit services. The attached proposal contains details of our approach to the proposed audit and our rates. We are available to respond to questions or present our proposal to the City Administrator's Office and other parties involved in the selection process upon request.

Sincerely,

Dan Goncher, Principal

Table of Contents

1. Statement of Understanding and Project Approach	1
A. Objectives and Scope.....	1
B. General Approach to the Performance Audit	1
C. Work Plan.....	4
D. Cost Proposal	7
2. Company Information	8
A. Firm Information	8
B. Key Project Personnel.....	9
3. Qualifications and Experience	10
A. Firm Description and Experience	10
B. Key Personnel Qualifications	11
C. Recent Projects.....	11
4. References.....	14

Appendix A: Resumes

Section 1: Statement of Understanding and Project Approach

Our Understanding of the City of Rialto's Performance Audit Objectives

A. Objectives and Scope

The City of Rialto is seeking the services of an independent consultant to conduct a performance audit of the City's Public Works Department.

The objectives of the performance audit are to provide an efficiency evaluation that provides a deep and broad look at the structure of the Department and its divisions as well as its effectiveness in providing services to the public, working with other departments within the City, and effectively communicating with City management and policy makers. Further, these objectives would include identifying any deficiencies in service areas, identifying opportunities for improvement, identifying opportunities for cost reduction and/or revenue enhancement, and assessing options for consolidation of divisions. The performance audit should provide an in-depth evaluation of appropriate decision-making authority, effectiveness in achieving desired results, efficiency and economy in the use of resources, conformity with standard practices for similarly situated municipal departments, comparison with best practices, and compliance with relevant policies, laws, and regulations.

We would conduct the performance audit in compliance with Generally Accepted Government Auditing Standards (GAGAS) as promulgated by the U.S. Government Accountability Office (GAO). Compliance with these standards ensure that our work will be independent, our project staff appropriately trained, our firm and team will not have impairments to their independence in conducting this review, and that the team will be appropriately supervised. All findings and conclusions will be supported by adequate, documented evidence, quality control processes will be in place for the work performed, the draft report will be reviewed by appropriate representatives of the Department and the City, and the final report will be clearly written and presented.

B. General Approach to the Performance Audit

We would utilize a two phase approach to the performance audit. This would consist of an Initial Risk Assessment (Phase One) and risk focused In-Depth Analysis and Reporting (Phase Two). We first present a description of each of the tasks that would be incorporated into the performance audit below. We subsequently provide a separate summary of tasks in Table 1. This table includes a description of the tasks, the estimated number of hours, and proposed schedule. Finally, we include information on the organization, staffing, and cost of the performance audit in Table 2.

Phase 1: Initial Risk Assessment

- Entrance Conference: An entrance conference would be held with management of the Public Works Department and the City Administrator's Office to: (a) introduce the project team; (b) identify managers and key contacts pertinent to the performance audit scope; (c) describe the objectives, methods, and data needs of the project team; and, (d) obtain an overview of departmental practices relevant to the respective organizational evaluations. We would submit and discuss our initial request for information to the Department at this meeting.
- Initial Documentation Request and Review To the extent possible, the information requests for the Department would be consolidated to reduce City staff time required to respond. In addition, we would work with Department staff to refine and clarify these requests and, if necessary, identify other sources of documentation if any requested materials are not available. Other information would likely be added to the list below after initial contact and discussions with Department representatives.
 - We would collect and review core information, documents, and data about the Department to develop a profile of its current resources, business processes, and operations to assess operational and system efficiencies. Information that would be requested from the Department would include: (a) Federal, State, and local laws and mandates; (b) citywide and department-specific mission statements and strategic plans; (c) key Citywide and Department written policies and procedures and internal controls, including, but not limited to, procurement and accounting, inventory/asset management, and contractor services; (d) details of budgeted and actual personnel and non-personnel expenditures and revenues for the current and past three fiscal years as well as details on all revenue sources in place and under consideration; (e) detailed organization charts, position rosters, and job descriptions; (f) flow charts of key business processes; (g) an overview of information systems used by the Department; (h) training programs and records specific to the Department; (i) workload and service level measures for all departmental functions; (j) management reports and performance measures regularly produced to track departmental productivity, efficiency, and quality; (k) any recently performed reviews or audits of the Department; (l) a list of all contracted functions; and, (m) office floor plans showing utilized space.
- Initial Interviews with Key Management and Staff: We would conduct interviews with departmental personnel to clarify and confirm questions pertaining to the data and documents collected. We would also solicit staff opinions on strengths, weaknesses, and opportunities for improvement in the Department.
- Preparation of an Initial Risk Assessment for use in Phase Two: Based on the knowledge gained from Phase One activities, the project team would prepare an initial risk assessment to help focus the in-depth analysis to be conducted in Phase Two. This would include selecting samples of data and documentation for review and transaction testing as well as other additional information requests and interviews.

Phase 2: In-Depth Analysis and Reporting

- Analysis of Data and Transaction Testing: A detailed review of Department data and/or transaction documentation would be conducted to assess departmental performance, efficiency and effectiveness, and compliance with laws, regulations, and policies and procedures. Follow-up interviews would be conducted to confirm or clarify our understanding of our reviews. Details of these tasks are provided below in Table 1.
- Report Preparation, Including Internal Quality Control Reviews: Based on our reviews, analysis, and interviews, the project team would prepare a draft report with evidence-based findings and recommendations. As is our company practice, all of our recommendations will be: (a) directed to a responsible party such as a Division manager; (b) based on documented evidence; and, (c) based on an assessment of the costs and benefits of implementation. The draft report would undergo a rigorous internal quality control process prior to transmittal to City staff for their review.
- Exit Conference: An exit conference would be held with departmental representatives and representatives from the City Administrator's Office to provide a forum to discuss the draft report.
- Finalization, Transmittal, and Presentation of Report: We would revise, refine, and produce a final report after obtaining feedback on the draft from departmental representatives. We would be available to present the results of the performance audit to the City Council as requested.

We would provide the City's project manager, likely from the City Administrator's Office, with regular status reports detailing the activities and progress during the reporting period throughout both Phase One and Phase Two of the performance audit.

C. Work Plan

To accomplish the preliminary objectives of this performance audit we would complete the 12 tasks as detailed in Table 1 below.

We estimate that the evaluation of the Public Works Department would require 400 professional hours from July to December 2019, with a final report summarizing our findings to be completed by the end of December 2019.

Table 1: Preliminary Work Plan

Phase 1: Initial Risk Assessment			
Task # & Title	Task Summary	Hours	Schedule
1: Entrance Conference	Hold entrance conference with departmental representatives and City Administrator's Office.	6	Late July to Early August
2: Collect & Analyze Core Department Information	Collect core documentation and data as described in the General Approach. Data would be analyzed to develop a profile of the Department's resources and businesses processes in order to assess structural, operational, and financial efficiencies and identify risks for more detailed review in Phase Two. In addition to the information described in the general approach, our information request would include, but not be limited to: (a) reports or studies outlining previous departmental re-organizations considered or completed in the last five years; (b) copies of agreements for major functions that have been contracted to outside vendors, including water and wastewater services; and, (c) managerial guidance provided to Department staff.	48	Late July to Early September
3: Interview Key Managers & Staff	Interview key management and staff including, but not limited to: (a) the Director of Public Works; (b) the Public Works Program Coordinator; (c) the Public Works Superintendent; (d) the Principal Civil Engineer; and, (e) key staff members with responsibility for managing procurement, contracted functions, equipment/inventory management, and budgeting.	42	Late July to Early September
4: Refine Project Scope; Report Results to City Administrator	Based on the information received during the Initial Risk Assessment, the Preliminary Work Plan will be revised to focus audit activities on the areas of greatest risk to the City. The City Administrator would approve any revisions or reallocations of audit hours.	8	Mid-September
Subtotal Hours for Phase 1		104	Late July to Mid-September

Section 1: Statement of Understanding and Project Approach

Phase 2: In-Depth Analysis and Reporting			
Task # & Title	Task Summary	Hours	Schedule
5: Collect Best Practices, Industry Standards for Comparison	Collect comparative information for Public Works departments in other similarly sized cities to seek details on all functions performed and staffing details in peer jurisdictions. In addition, obtain professional standards and performance benchmarks. Compare collected benchmark and best practices information for comparison with the City of Rialto and determine if it is feasible to adopt such practices.	48	Late August to Early October
6: Budgetary and Financial Review	Collect and analyze budgetary and other financial information to assess the Department's efficiency and capacity for providing a higher level of services to the public. This analysis would include a review of potential revenue enhancements, including taxes, new fees, adjustments to existing fees, and bond-financing options. We would also review budget and expenditure controls to ensure that there is a process in place to monitor expenditure levels throughout the year and to shift resources when appropriate.	40	Mid-September to Mid-October
7: Organizational Structure Analysis	Review and analyze the staffing structure and job descriptions, responsibilities, lines of authority and span of control as well as the functions currently contracted to outside third parties to identify potential inefficiencies or areas of underperformance. This analysis would include a review of previously conducted studies of the Department's organizational structure, contracting, and options for consolidation. In addition, the project team would review communications within the Department and with other Departments and agencies to identify potential improvements to communication protocols.	38	Mid-September to Mid-October
8: Internal Controls Assessment	Based on the risk profile developed during Phase One and our initial review of information requested, we will focus our review of internal controls on the areas of highest risk to the Department and City. The adequacy of internal controls in these areas would be assessed. The project team would likely review policies and procedures, management of inventory and assets, oversight of contracted functions, staff training, and compliance with applicable federal and state laws as part of this review.	30	Mid-September to Mid-October

Section 1: Statement of Understanding and Project Approach

Task # & Title	Task Summary	Hours	Schedule
9: Prepare Draft Report	Prepare draft report that would incorporate evidence-based findings from the previous tasks with appropriate recommendations.	108	By November 15, 2019
10: Conduct Exit Conference	Conduct an exit conference with departmental representatives and the City Administrator's Office to solicit feedback on report findings and recommendations and to discuss areas of disagreement.	6	Late November/Early December
11: Finalize, Transmit, & Present Report	Revise and finalize the draft report based on feedback from departmental representatives and the City Administrator's Office as appropriate. Prepare and present report to City Council.	14	Final Report: December 20, 2019
12: Status Reporting	Provide regular status reports detailing the activities and progress of the performance audit.	12	Late July to Mid-November
Subtotal Hours for Phase 2		296	September to Late December
Total Project Hours		400	

D. Cost Proposal

We have outlined the anticipated hours and budget for the performance audit and the aggregate not-to-exceed amount in Table 2 below. The amounts shown include all costs. We will not bill expenses incurred, such as travel or supplies, as those costs are built into our hourly rates.

Table 2: Cost Proposal

City of Rialto Public Works Department Performance Audit						
Task	Description	Task Hours		Partner-in-Charge (Goncher)	Principal Analyst (Malmut)	Senior Analyst (Balanoff)
1	Entrance Conference	6		2	2	2
2	Collect & Analyze Documentation	48		10	12	26
3	Conduct Survey Interviews	42		14	14	14
4	Refine Project Scope & Report Results	8		4	2	2
5	Benchmarking: Best Practices/Industry Standards	48		2	8	38
6	Budgetary/Financial Review	40		24	16	0
7	Organizational Structure Analysis	38		6	32	0
8	Internal Controls Assessment	30		8	4	18
9	Prepare Draft Report	108		16	46	46
10	Conduct Exit Conference	6		2	2	2
11	Finanlize, Transmit, & Present Report	14		6	4	4
12	Status Reporting	12		10	2	0
	TOTAL	400		104	144	152
	HOURLY RATES	\$194		\$235	\$195	\$165
	TOTAL FEES	\$77,600		\$24,440	\$28,080	\$25,080

Section 2: Company Information

A. Firm Information

Harvey M. Rose Associates, LLC (HMR), established in 1978, specializes in organizational assessments, performance audits and evaluations, budget and financial analyses, and other management review services for public sector agencies, particularly cities, counties, school districts, sewage districts and other local government entities. We have conducted more than 700 projects and analyses of public agencies, ranging from small municipalities to some of the largest and most complex governmental entities in California and the nation, with budgets exceeding \$24 billion annually. Our services have assisted many city, county, other local, and state agencies improve and measure performance, achieve cost savings and/or revenues enhancements, and allocate and manage resources in a more efficient, effective, and economical manner.

The firm is a privately held California-based limited liability corporation. Our headquarters are located in San Francisco and a satellite branch is located in Santa Clara County.

Harvey M. Rose Associates, LLC
1390 Market Street, Suite 1150
San Francisco CA 94102
(415) 552-9292

The firm is owned by four partners, each with experience ranging from 11 to 37 years of auditing and analyzing local government operations, primarily in California. All four partners are actively involved in managing services performed by the company.

All company partners are authorized to execute contracts:

Fred Brousseau (415) 553-4627	Severin Campbell (415) 553-4647	Dan Goncher (415) 553-4629	Cheryl Solov (408) 299-6435
----------------------------------	------------------------------------	-------------------------------	--------------------------------

Our organizational structure is relatively flat, meaning that decision-making is simple, the firm's partners and their areas of specialized expertise are easily accessible to all staff, and all staff members are flexible and work together in different team configurations based on what is best for the project and client. Sharing of skills and experience is strongly encouraged in our organization so that everyone benefits from all dimensions of our deep local government experience.

As a result, our project teams are flexible and able to respond quickly and effectively to client needs. If the need for a particular skill set is determined to be necessary midway on a project, project staffing can readily be enhanced to ensure that we provide our clients with the best possible final product.

The project team for this proposed performance audit is shown below. Their resumes are attached to this proposal.

B. Key Project Personnel

Key personnel are presented below. All personnel presented below for the evaluation of the Public Works Department are employees with Harvey M. Rose Associates, LLC.

Dan Goncher	Principal In Charge (primary contact person)	415-553-4629	\$235 per hour
Christina Malamut	Principal Analyst	415-553-4626	\$195 per hour
Monica Balanoff	Senior Analyst	415-553-4620	\$165 per hour

Harvey M. Rose Associates, LLC would base its fees on the fee schedule above. The hourly rates shown are based on the final scope and deliverables proposed. Our hourly rates cover staff time and all related expenses including travel, per diem costs, shipping, report preparation, and all others. Our policy is to bill monthly in arrears but we are open to other arrangements proposed by the City.

Section 3: Qualifications and Experience

A. Firm Description and Experience

Harvey M. Rose Associates, LLC (HMR) is a California-based, limited liability corporation. Our firm has been providing performance assessments and related analytical services to cities and other local government entities since 1978.

HMR specializes in management and organizational reviews and consulting services for the public sector. During the 40-year history of our firm, HMR has conducted comprehensive organizational assessments, performance audits, and management reviews of virtually every type of local government agency. We have reviewed the budget and operations of enterprise agencies (such as utilities, wastewater, airports, hospitals, ports, and transit agencies) and non-enterprise agencies (such as public works, community development departments, finance, human resource and information technology departments, parks and recreation, planning, procurement, and others).

Highlights of HMR's experience and qualifications for providing organizational evaluations and management review services include:

- Serving continuously as Budget and Legislative Analyst to the Board of Supervisors of the City and County of San Francisco on a contract basis since 1979, conducting organizational assessments and performance audits, reviewing legislation for fiscal impact, providing policy analyses on legislative proposals, and conducting an annual detailed review of the Mayor's proposed budget for all City agencies.
- Serving continuously as contract Management Auditor to the Board of Supervisors of the County of Santa Clara since 1980, conducting organizational assessments, performance and program evaluations, special studies and risk assessments as directed by the Board, and annually reviewing the County Executive's recommended budget for all County departments.
- Conducting organizational assessments, performance audits, fiscal reviews, management reviews and special studies of schools and special districts including the Sacramento Regional Sanitation District, the Santa Clara Valley Water District, Beverly Hills Unified School District, Los Angeles Unified School District, East Side Union High School District in San Jose, and others.
- Conducting organizational assessments, performance audits, management reviews, fiscal reviews and special studies for California counties including Riverside, Sonoma, Los Angeles, San Bernardino, Sacramento, Humboldt, Mendocino, Amador, Solano, Marin, San Mateo, Orange, San Diego, Ventura, Kern, Fresno, Monterey, Santa Cruz and other counties.
- Conducting organizational assessments, performance audits, fiscal reviews, management reviews and special studies for officials in numerous California cities, including the Los Angeles City Controller, the City Attorney of Fresno, the City Manager of Oakland, the City Manager of Colton, and the Mayor of San Jose, among others.

B. Key Personnel Qualifications

Key personnel are presented below.

Dan Goncher, Principal in Charge: Mr. Goncher is a Principal with extensive experience evaluating and conducting investigations and technical analyses for public sector agencies. Mr. Goncher has managed and conducted organizational and efficiency reviews, performance analyses, budget analyses, management audits, investigations, and special studies in the areas of public works, wastewater, utilities, public health, transportation, real estate, housing, government operations, and others. His project work has taken place in the City and County of San Francisco, the counties of San Bernardino, Los Angeles, Sacramento, Santa Clara, Santa Cruz, and Maui as well as the cities of Los Angeles, Colton, Beverly Hills, Sacramento, Berkeley, Alameda, and Sunnyvale. Mr. Goncher also has experience as a White House Intern and as a Policy Analyst for the British Parliament. Mr. Goncher earned a Master of Public Policy degree from the University of California, Berkeley and received his B.A. (with honors) from American University in Washington, D.C.

Christina Malamut, Principal Analyst: Ms. Malamut has strong experience in local government evaluations. Ms. Malamut has conducted financial, operational, and policy evaluations of a wide variety of government programs, including an audit of processes, systems and controls in place to identify and collect sewer use charges; a staffing analysis of the Maui County Department of Liquor Control; and, a financial assessment of the City of Upland. Ms. Malamut earned a Master of Public Policy degree from the University of California, Berkeley.

Monica Balanoff, Senior Analyst: Ms. Balanoff has valuable experience in performance and management audits, staffing analysis, budget analysis, and policy analysis. Her recent work includes a performance audit of the Port of Los Angeles' Accounts Payable Division; a benchmarking analysis of the Capital Improvement Program in Santa Clara County; and, a staffing analysis of the San Jose Evergreen Community College District. Ms. Balanoff earned a Master of Public Policy degree from the University of California, Berkeley.

C. Recent Projects:

The following is a list of notable and recently completed projects by HMR that are relevant to our proposed work on the Public Works Department and represent our experience conducting organizational and efficiency evaluations.

Annual Budget Review for the City and County of San Francisco

Under contract with the San Francisco Board of Supervisors, we review the annual budgets for all County departments including the Public Works Department and the biannual operating and capital budgets for the San Francisco Public Utilities Commission, including the water and wastewater enterprises. Our budget review evaluates the sufficiency of funding sources, efficiency of operations, and capacity of the organization to achieve its goals.

Annual Budget Review for the County of Santa Clara

Under contract with the County of Santa Clara Board of Supervisors, we review the annual budget for all County departments. Our firm has served this role on an ongoing basis since 1981.

Sacramento Regional County Sanitation District Contributing Agencies Evaluation

The purpose of this project was to conduct a revenue audit of four contributing agencies to the Regional Sanitation District. This project assessed the calculation, collection, and transmittal of sewer impact fees and sewer use charges, and found that errors in billings were often caused by a lack of information regarding new construction and tenant improvements relayed to the billings department.

Performance Evaluation of the Colorado Dam Safety Program

This project provided an evaluation of the Division's oversight of dam safety in Colorado. This evaluation found the Dam Safety Program under the Division of Water Resources did not inspect all high hazard dams in compliance with the District's annual inspection cycle that some hazard reclassification reviews were not conducted timely, that the Division lacked efficient mechanisms to motivate dam owners to comply with dam safety rules and statutes, amongst others. The project resulted in five recommendations, all of which the Division agreed.

Performance Audit of the City of Colton Electric Utility

The performance audit of the Colton Electric Utility covered all aspects of the Electric Utility's operations including its energy portfolio, costs, financial relations with the City, compliance with State and other regulatory requirements, contract services, staffing, governance and use of information technology. Recommendations focused on cost reduction, establishing full cost recovery fees, clarification and better controls on the amount of Utility revenues subject to General Fund Transfer, and improved governance over the Utility's billing system.

Performance Audit of the City of Victorville

In May 2012, HMR conducted a limited scope performance audit for the FY 2011-2012 San Bernardino County Civil Grand Jury on the finances of the City of Victorville, including Victorville Municipal Utility Services. We found that the City's solvency, capacity to provide current services, and ability to repay large debt operations were uncertain. The City's General Fund balance was depleted due to several fiscal years of expenditures exceeding revenues along with loans by the General Fund to other City funds as subsidies to support their operations. More than 20 recommendations for improvement in financial oversight and management and for loan repayment were provided to the City.

Management Audit of the Controller-Treasurer Department of the County of Santa Clara

The purpose of the management audit was to examine the operations, management practices and finances of the Controller-Treasurer Department of Santa Clara County and identify opportunities to increase the Department's efficiency, effectiveness and economy. The report identified six findings that encompassed major areas of Department operations.

First 5 Los Angeles Procedures Audit

This audit of the Los Angeles First 5 program identified several operational inefficiencies and made recommendations to improve reporting—particularly of financial information, board actions, and human resource issues.

Performance Audit of the City of Watsonville City Manager's Office, Finance and Administrative Functions

This performance audit of the City of Watsonville included an assessment of the City's internal controls regarding financial and grants management, procurement, contracts, and cash management. Audit findings identified several contracted services which had not been subject to competitive bidding where

contractors had been performing services for the City without service contracts, and had been billing the City many times over their annual expenditure limit. Recommendations identified opportunities for the City to strengthen the competitive bidding process, provide change order oversight, and subsequently minimize the contracting expenditures and the risk of fraud or collusion.

Risk Assessment /Process Audits of Finance and other Administrative Functions for Port of Los Angeles

In 2013, our firm conducted a risk assessment of each division within the Port of Los Angeles (POLA). After reviewing pertinent Port, division-specific, and City policies and procedures in the four subject areas of human resources, finance, contracts, and grants management we assigned risk scores to each division of POLA. Four divisions were selected to undergo process audits. The objectives of the audits were to assess the adequacy of internal controls and policies in the four functional areas listed above; to test sample transactions for division's compliance with Port and division-specific policies and procedures; and, to identify possible changes needed in Port and/or division policies and procedures or division practices to minimize risk.

Performance Audit of the Beverly Hills Unified School District Measure E Capital Bond Program

The performance audit of the Beverly Hills Unified School District Measure E program evaluated policies and procedures; master planning; staffing and costs, scheduling, budget management, and expenditure control; cash flow requirements compared to the adequacy and timing of bond sales; contract solicitation and award; contract administration; management of contractor claims and liens; and, compliance with applicable laws, regulations, and policy. This performance audit report contains 16 recommendations for improvements to the District's Measure E program.

Performance Audit of the San Francisco Sheriff's Department's Workers Compensation and Overtime

The purpose of this performance audit was to examine workers' compensation and the impact that it has on the San Francisco Sheriff Department's use of overtime. The audit included a review of the department's methodology for budgeting for minimum staffing requirements in the jails, as well as examining the use of overtime in the jails, and the use of injury and illness prevention programs and modified duty programs department-wide. This audit contains three findings and five recommendations directed to the Sheriff.

Section 4: References

Randy Wolff
Sacramento Regional County Sanitation District
10060 Goethe Road
Sacramento, CA 95827
(916) 876-6199
wolffr@sacsewer.com

Revenue and control audits of four contributing agencies to the Sacramento County Regional Sanitation District.

Joe Safier
Beverly Hills Unified School District
Measure E Citizens Oversight Committee Member (Former)
255 South Lasky Drive
Beverly Hills, CA 90212
(213) 400-9984

Four annual audits of the Beverly Hills Unified School District’s Measure E bond-funded capital development program.

Jim Olds, Director
Port of Los Angeles
425 S. Palos Verdes Street,
San Pedro, CA 90731
(310) 732-3562

Risk Assessment and Process Audits for the Port of Los Angeles

Appendix A: Resumes

POSITION: Principal – Harvey M. Rose Associates, LLC

EXPERIENCE: ***Project Management and Analysis***

Plan, manage, and conduct performance and management assessments and audits on a wide variety of issues for local government clients as needed. Also provide fiscal, legislative, and budget analysis of proposed resolutions, ordinances and supplemental appropriation requests from departments and programs for the City and County of San Francisco Board of Supervisors.

Public Works, Transportation and Land Use Projects

- Performance Audit of San Bernardino International Airport Operations, Development and Construction Activities
- Audit of Controls to Ensure Proper Billing of Sewer Impact and Use Fees, Sacramento Regional County Sanitation District
- Risk Focused Process Audits of Various Divisions, Port of Los Angeles
 - Managed Review of Grants Management and Capital Assets for Port Police, Goods Movement, and Information Technology Divisions; Assisted with Reviews of Human Resources
- Performance Audit, Port of Los Angeles Real Estate Division
- Project Manager, Performance Audit, Victorville Municipal Utility Services, Southern California Logistics Airport, and the City of Victorville
- Project Manager (Multiple Annual Audits), Proposition 39 Audit of Beverly Hills Unified School District's Measure E Bond Fund Program and associated Capital Development Activities
- Performance Audit, Los Angeles World Airports Capital Development Program
- Project Manager, Study of Impact of Transportation Network Companies in City of Sunnyvale
- Project Manager, Performance Audit of Affordable Housing Policies and Programs, City and County of San Francisco
- Performance Evaluation, State of Colorado Division of Water Resources- Dam Safety Branch
- Review, Transportation Impacts of Proposed California Pacific Medical Center- Cathedral Hill Hospital Development
- Budget Analysis of Public Improvement Costs, City of Los Angeles
- Analysis of Inter-Agency Coordination of Development Projects, City of Los Angeles
- Nationwide Benchmarking Study of Planning Functions, City of Los Angeles
- Operational Performance Audit, Colton Electric Utility
- Energy Efficiency Analysis, Alameda Power and Telecom
- Review of Management Functions of Regional Planning Department, County of Los Angeles
- Annual Review of \$163 million Department of Public Works budget, City and County of San Francisco
- Annual Review of \$838 million San Francisco International Airport Budget

Finance and Government Operations Projects

- Manager, Annual Review of Mayor's Proposed \$11 billion two-year budget for the City and County of San Francisco Board of Supervisors including Department of Public Works and San Francisco Public Utilities Commission
- Analysis of Proposed FY 2017-19 and FY 2019-21 Budget, Oakland City Council (including Department of Public Works)
- Manager, Management Audit of the Santa Clara County Sheriff's Office

- Manager, Performance Evaluations of the Weld County Board of County Commissioners and Clerk and Recorder's Office
- Analysis of Permitting Processes for Certified Farmers Markets, City and County of San Francisco
- Analysis of Citywide Procurement Processes, City and County of San Francisco
- Audit of Santa Clara Stadium Authority Finances, City of Santa Clara
- Audit of Financial Condition and Unfunded Liabilities, City of Upland
- Performance Audit, San Francisco's Lead Worker, Standby, Acting Assignment, and Supervisory Differential Pay Practices
- Fiscal and Legislative Analysis, City and County of San Francisco Proposed Resolutions and Ordinances
- Performance Audit of Citywide IT Purchasing, City and County of San Francisco
- Performance Audit of Citywide Ethics Program, City of Long Beach
- Comparative Analysis of Labor Standards Enforcement, City and County of San Francisco
- Close-out Audit of the Santa Clara County Cal-ID Fingerprinting Program
- Low-Income Investment & Lending Reviews, Federal Reserve Bank of San Francisco

Health and Social Services Projects

- Performance Audit of the Department of Liquor Control (including staffing), Maui County Council
- Annual Review of \$1.6 billion Department of Public Health budget, City and County of San Francisco
- Management Audit, Santa Clara County Behavioral Health Services
- Project Manager, Performance Audit of the City and County of San Francisco Children's Fund as managed by the Department of Children, Youth, and their Families
- Performance Audit, Sacramento Housing and Redevelopment Agency
- Performance Audit, San Francisco Housing Authority
- Special Study, Investigation of the Los Angeles County Elder and Dependent Adult Abuse Prevention Services and Program
- Special Study, Investigation of the Los Angeles County Foster Youth Abuse Prevention Services and Program

Education, Recreation and Culture Projects

- Audit of Beach Concession Agreements, City of Long Beach
- Review of Los Angeles Community College District's Process for Procuring Inspector General Services
- Nationwide Benchmarking Study of Warehouse Management & Inventory Control, Los Angeles Unified School District
- Project Manager, Performance Audit of Alemany Farmers' Market, City and County of San Francisco

PROFESSIONAL HISTORY:

Harvey M. Rose Associates, LLC, *Principal*, 2019- Present
 Harvey M. Rose Associates, LLC, *Senior Manager*, 2013- 2018
 Harvey M. Rose Associates, LLC *Principal Analyst*, 2011-2013
 Harvey M. Rose Associates, LLC, *Senior Analyst*, 2008 - 2011
 Alameda Power and Telecom, *Consultant*, 2008
 United Kingdom Office of Climate Change, *Intern*, 2007
 City of Berkeley-Office of the Mayor, *Policy Analyst*, 2007
 Federal Reserve Bank of San Francisco, *Bank Examiner*, 2000-2006
 The White House, *Intern*, 1998

EDUCATION:

Master of Public Policy, Goldman School of Public Policy, University of California at Berkeley, 2008
Bachelor of Arts in Communications, Legal Institutions, Economics, & Government; American University, 2000

M. CHRISTINA MALAMUT

POSITION: Principal Analyst – Harvey M. Rose Associates, LLC

EXPERIENCE: *Project Analysis*

Conducts performance and management audits, financial analyses, policy analyses and budget and legislative analyses for cities, counties and other governmental agencies.

Finance and Government Operations Projects

- Special study, Evaluating Operating Budget Development and Expenditure Controls, including a review of purchasing controls and a benchmarking survey of other transit agencies' budgeting practices, San Francisco Bay Area Rapid Transit District (*on-going*)
- Performance audit, Evaluating the Financial Condition and Internal Controls of the City of Upland, CA, including an analysis of the city's operating budget
- Performance audit, Evaluating Internal Controls and Implementation of Bond Program to Improve City Parks, City of Portland
- Financial analysis, including evaluation of reserve balances, of the City of Colton, CA
- Financial analysis, including evaluation of reserve balances, of the City of Claremont, CA
- Financial analysis, including evaluation of reserve balances, of the City of Torrance, CA
- Policy analysis, Community Supportive Banking Options (2017 Update), City and County of San Francisco
- Policy analysis, Social Responsibility Measures for the Largest U.S. Banks, City and County of San Francisco
- Annual operating budget review, Department of Children, Youth, and Families, San Francisco
- Annual operating budget review, Department of Public Health, San Francisco
- Annual operating budget review, Human Services Agency, San Francisco
- Legislative and fiscal impact analysis for proposed legislation for the Budget & Finance Committee of the San Francisco Board of Supervisors

Public Works, Transportation, and Land Use Projects

- Performance audit, Evaluating the Precision of Internal Systems Used to Assess and Collect Wastewater Fees, Sacramento Regional County Sanitation District
- Performance audit, Evaluating the Office of Economic and Workforce Development's Planning for Major Capital Projects to Address Economic Impacts on Small Businesses, City and County of San Francisco (*on-going*)
- Policy analysis, Impact of City Permitting Processes and Timelines on Commercial Vacancies (2018), City and County of San Francisco
- Policy analysis, Preventing and Filling Commercial Vacancies in San Francisco (2017 Update), City and County of San Francisco
- Policy analysis, Estimated Taxes and Fees for Proposed and Potential UCSF Projects, City and County of San Francisco

Social Services, Housing, and Health Projects

- Performance audit, Department of Liquor Control, Maui County, including an analysis of organizational structure and staffing levels
- Performance audit, Animal Services, Sonoma County, including an analysis of contract services' revenue recovery (*on-going*)
- Policy analysis, Economic and Administrative Costs Related to Alcohol Abuse in the City and County of San Francisco
- Legislative analysis, Development Agreements for Redevelopment of HOPE SF Public Housing, City and County of San Francisco
- Legislative analysis, proposed resolution authorizing the expenditure of \$21.68 million to maintain affordability of 70 existing affordable units, City and County of San Francisco

Harvey M. Rose Associates, LLC

Public Safety Projects

- Management Audit, Sheriff's Office, County of Santa Clara, including an analysis of staffing levels (*on-going*)

PROFESSIONAL

HISTORY:

Harvey M. Rose Associates, LLC, *Principal Analyst*, 2017 – Present
San Francisco Budget and Legislative Analyst's Office, *Analyst*, 2016
U.S. Department of Education, Policy and Program Studies Service, *Policy Consultant*, 2016
UC Berkeley Department of Economics, *Graduate Student Instructor*, 2014-2016
City and County of San Francisco, Office of the Chief Data Officer, *Graduate Intern*, 2015
Recyclebank, *Manager—Data Management*, 2012-2014

EDUCATION:

Master of Public Policy, Goldman School of Public Policy, University of California, Berkeley
Bachelor of Arts in Economics, University of Pennsylvania

MONICA L. BALANOFF

POSITION: Senior Analyst – Harvey M. Rose Associates, LLC

EXPERIENCE: *Project Analysis*

Participates in performance audits, special studies, and budget and legislative analyses for counties, cities, and other governmental agencies, and performs other analyses on a wide variety of issues for government clients as needed.

Finance and Government Operations Projects

- Performance audit, Accounts Payable Division at the Port of Los Angeles, Port of Los Angeles Departmental Audit Manager
- Management Audit, Office of the Medical Examiner-Coroner, Santa Clara County Board of Supervisors
- Management Audit, South Santa Clara County Fire District, Santa Clara County Board of Supervisors
- Benchmarking Analysis comparing the Capital Improvement Program in Santa Clara County to other jurisdictions, Santa Clara County Board of Supervisors
- Cost analysis, Street Cleaning Proposal for San Francisco Board of Supervisors
- Staffing Analysis, San Jose Evergreen Community College District (on going)
- Analysis of Grand Jury Report on Accessory Dwelling Units and Modular Homes; Reviewed grand jury recommendation that the Department of Building Inspection waive fees for single family home owners to construct Accessory Dwelling Units
- Annual Budget Review, \$35.6 million San Francisco Retirement System, FY 2019-20 budget
- Annual Budget Review, \$93.3 million San Francisco Department of Human Resources FY 2018-19 budget
- Annual Budget Review, \$73.1 million San Francisco District Attorney's Office FY 2019-20 budget; \$63.1 million San Francisco District Attorney's Office FY 2018-19 budget
- Annual Budget Review, \$41.2 million San Francisco Public Defender's Office FY 2019-20 budget; \$36.6 million San Francisco Public Defender's Office FY 2018-19 budget
- Annual Budget Review, \$34.6 million Superior Court of California-County of San Francisco FY 2018-19 budget; \$34.1 million Superior Court of California-County of San Francisco FY 2018-19 budget
- Legislative analysis of proposed resolution to approve an emergency declaration for the repair of a damaged sewer system estimated to cost \$700,000
- Legislative Analysis of proposed resolution to extend a contract for online job application services for the City of San Francisco and increase the contract value to \$3.1 million
- Legislative Analysis of proposed resolution authorizing a \$77.2 million contract for the administration of parking, transit citations, and parking permits for the San Francisco Municipal Transit Agency
- Legislative Analysis of proposed resolution authorizing a \$124.8 million contract for the management and operation of the San Francisco International Airport's public and employee parking facilities

Social Services, Housing, and Health Projects

- Policy analysis, spending enhancements to address homelessness in San Francisco, San Francisco Board of Supervisors Budget and Finance Committee; FY 2018-19; FY 2019-20
- Policy analysis, spending enhancements to address pedestrian safety, San Francisco Board of Supervisors Budget and Finance Committee; FY 2018-19
- Policy analysis, Assessing policy alternatives to address commercial displacement in the City of Oakland; Oakland Office of the Mayor

- Legislative analysis of proposed resolution authorizing a grant increase of \$35.6 million for a non-profit provider of housing and supportive services under the San Francisco Department of Homelessness and Supportive Housing
- Legislative analysis of proposed resolution to approve a four year extension of a lease between the San Francisco Department of Public Health and a non-profit provider for the provision of mental health services

Public Safety Projects

- Policy Analysis, City Wide response to Open Air Drug Dealing, San Francisco Board of Supervisors
- Policy analysis, Evaluation of the implementation of California Senate Bills 11, 29, and 82, legislation aimed at decreasing incidents of violence against mentally ill people; California Senate Office of Research.
- Policy analysis, Evaluation of San Francisco Juvenile Probation Department's alternatives to incarceration programs; San Francisco Juvenile Probation Department

**PROFESSIONAL
HISTORY:**

Harvey M. Rose Associates, LLC, *Senior Analyst*, 2017-present
 University of California, Berkeley, Professor Robert Reich, *Head Graduate Student Instructor*, 2017
 California Senate Office of Research, *Policy Consultant*, 2017
 City of Oakland Office of the Mayor, *Policy Fellow*, 2016
 City and County of San Francisco Juvenile Probation Department, *Policy Consultant*, 2016
 VOICES Youth Center, *Youth Organizer, Education & Employment Program Coordinator*, 2013-2015
 Seeds of Peace, *Seas of Peace Co-Founder and Director*, 2011-2013
 Prospera, *Program and Curriculum Development Fellow*, 2012-2013

EDUCATION:

Master of Public Policy, Goldman School of Public Policy, University of California, Berkeley
 Bachelor of Arts in Middle Eastern Studies, minor in Public Policy, Dartmouth College, Hanover, NH

SKILLS:

High proficiency in reading and writing in Spanish; STATA, Microsoft word, Excel, and PowerPoint.