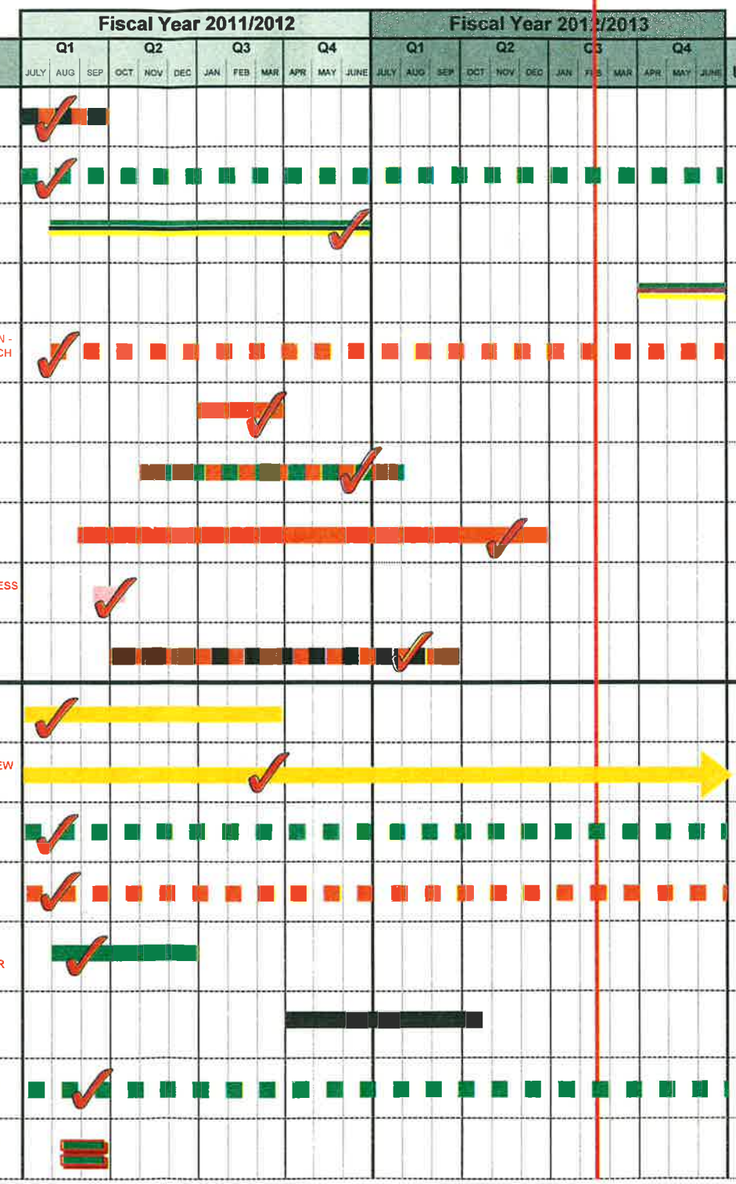
2011 ENGINEERING AUDIT PROGRESS

Grants Pass, OR
Community Development Department

93% Complete



PRIO-RITY	AUDIT ITEM	AUDIT PAGE	RECOMMENDATIONS FROM 2011 YELLOW BOOK AUDIT	CORRELATING ITEMS	STAFF LEAD	STATUS	LAST UPDATED	COMMENTS
C1	31	P.106	Specific and fixed fees for service should be charged for all Engineering services, and the budgetary requirement to fund the Engineering Division through "time and materials" payments eliminated. There are excellent fixed fee for service models that can be emulated including the State of Louisiana's CDBG Program.	3, 22, 30, 32, 33	CD Director / PW Director	TASK ACCOMPLISHED - RESOLUTION #5850	Sep-11	Specific and fixed fees for service are now charged for all Engineering Services. See Resolutions #5850 & 5935.
C2	27	P.98	Continue to use outsourced engineering services to augment in-house Engineering operations. Fully outsourced engineering is not warranted.	5, 6, 14, 15, 23	City Engineer	TASK ACCOMPLISHED - ON-GOING	Sep-11	Outsourced Engineering Services are used as needed. Policy has been implemented to decide when an Engineering Consultant should be used instead of In-house Staff.
C3	1	P.46	Implement a comprehensive five-year Capital Improvement Program consistent with the City's Financial Policies and framed by key process steps noted in this chapter. This should be led by Public Works and the Engineering Division in partnership with the City's Finance Department.	2, 7, 8, 9, 11, 12, 28, 38, 39	Engineering/ Public Works / Finance	TASK ACCOMPLISHED - ON-GOING	6/28/12	Public Works 5 year Capital Improvement Program is complete and has been submitted to the Finance Dept.
C3a	1	P.46	Implement a comprehensive five-year Capital Improvement Program consistent with the City's Financial Policies and framed by key process steps noted in this chapter for Capital Projects related to Lands & Buildings.	2, 7, 8, 9, 11, 12, 28, 38, 39	Engineering/ Parks & Comm Svcs / Finance	WORK IN PROGRESS	2/6/13	The Engineering Division expanded Audit Item #1 to include Lands & Buildings. Parks recently became part of CD and a 5 year CIP plan will be generated during 4th qtr FY 13
C4	25	P.95	Provide 40 hours of training to Engineering Division staff on an annual basis. Ensure at minimum 75% of this training is dedicated to skill set development associated with engineering-related practices.	26	CD Director	ON-GOING RECOMMENDATION - EVALUATE WITH BUDGET EACH YEAR	5/17/12	Use of all avail resources (i.e.webinars, etc) will be used dependent on budget/training avail. Guardian Tracking Sys will be used to sched/track training received.
C5	4	P.64	The Engineering Division should prepare a Design Authorization project plan before the commencement of the design of a capital project.	10	CD Director	TASK ACCOMPLISHED - POLICY IN PLACE	6/21/12	Policy & Checklist approvedand placed in procedure manual.
C6	9	P.73	The Engineering Division should utilize more formal cost of construction guidelines (e.g. ASCE) to determine the staffing requirements for each capital improvement program project in terms of person hours required for design and construction inspection.	1, 7	CD Director / City Engineer	TASK ACCOMPLISHED - ON-GOING	6/28/12	The Engineering Division is using a Resource Loaded Project Schedule to determine the staffing requirements for each Capital Improvement Project.
C7	16	P.81	Implement the variety of Project Management practices identified in this report to either augment or replace existing Engineering project management methodologies.	34	CD Director	TASK ACCOMPLISHED - ON-GOING	2/6/2013	Policies implemented: Decision Making Process for In House Staff vs. Consultant, Eng. Design Authorization & Consultant Eval Criteria. Policies will be generated as needed.
C8	13	P.78	The Engineering Division should prepare a final "lessons learned" project close-out report.	14, 15	Project Supervisor	TASK ACCOMPLISHED - PROCESS IN PLACE	Sep-11	At the completion of each CIP & dev. installed project a "wrap up" mtg is held to discuss areas that went well/needing improvement. A report is generated. Report updated to include comment section.
C9	28	P.99	Upon noted process improvements, use the American Society of Civil Engineers and Association of Professional Engineers and Geoscientists workload guidelines to develop engineering and inspection staffing estimates for various CIP projects and the Engineering Division overall. This should be accomplished within the next 12-18 months.	1, 9, 7	CD Director / PW Director	TASK ACCOMPLISHED - ON-GOING	2/6/2013	Provided through the Resource Loaded Project Schedule
N10	33	P.106	Eliminate the Internal Services Fund model for the Engineering Division and fund the Division through annual appropriations from relevant funding sources (e.g. utilities, general fund, road tax, etc.).	31	Finance Director	TASK ACCOMPLISHED - RESOLUTION #5850 & 5935	Sep-11	Specific and fixed fees for service are now charged for all Engineering Services. See Resolutions #5850 & 5935.
N11	32	P.106	Update Engineering (and other City fees) on a regular basis based upon the fully-loaded cost of conducting business. Loaded costs should be fundamental to a fee-based cost recovery model.	31	Finance Director	TASK ACCOMPLISHED - REVIEW AGAIN SPRING 2013	5/17/12	FY12 - Resolution #5935
N12	26	P.95	Complete annual performance evaluations on all Engineering Division staff positions each calendar year. Incorporate into the evaluations desired key competencies and recommended training regimens.	25	City Engineer	TASK ACCOMPLISHED - ON-GOING	5/17/12	Evaluations are current and training schedules will be posted in the Guardian Tracking System
N13	29	P.99	Maintain existing staffing levels in the Engineering Division in the short term.	9, 28	CD Director	TASK ACCOMPLISHED - ON-GOING	Sep-11	Existing staff levels are being maintained.
N14	22	P.88	Revisit methods for recording employee time by "project category" in the Engineering Division, monitoring both leave usage, and use of "General Utility" and "Other" time category utilization.	3	City Engineer	TASK ACCOMPLISHED - EMPLOYEES NOW HAVE MULTIPLE CATEGORIES FOR RECORDING TIME	5/17/12	The "general utility" and "other" categories have been eliminated and more descriptive entries have been created.
N15	8	P.69	Implement a 24-month capital project Gantt Bar Chart with milestone highlights to facilitate capital project planning. Update these products quarterly.	1	PW Director	WORK IN PROGRESS	6/28/2012	
N16	38	P.113	The Engineering Division should develop a capital improvement project procedures manual.	1	City Engineer	TASK ACCOMPLISHED - ON-GOING	5/17/12	A manual has been created and as policies and procedures are approved the procedures manual is updated.
N17	11	P.76	The Engineering Division should prepare a periodic capital improvement program project status report.	1	City Engineer	TASK ACCOMPLISHED - ON-GOING	5/17/12	The City Engineer meets weekly with the Public Works Director to provide project updates.

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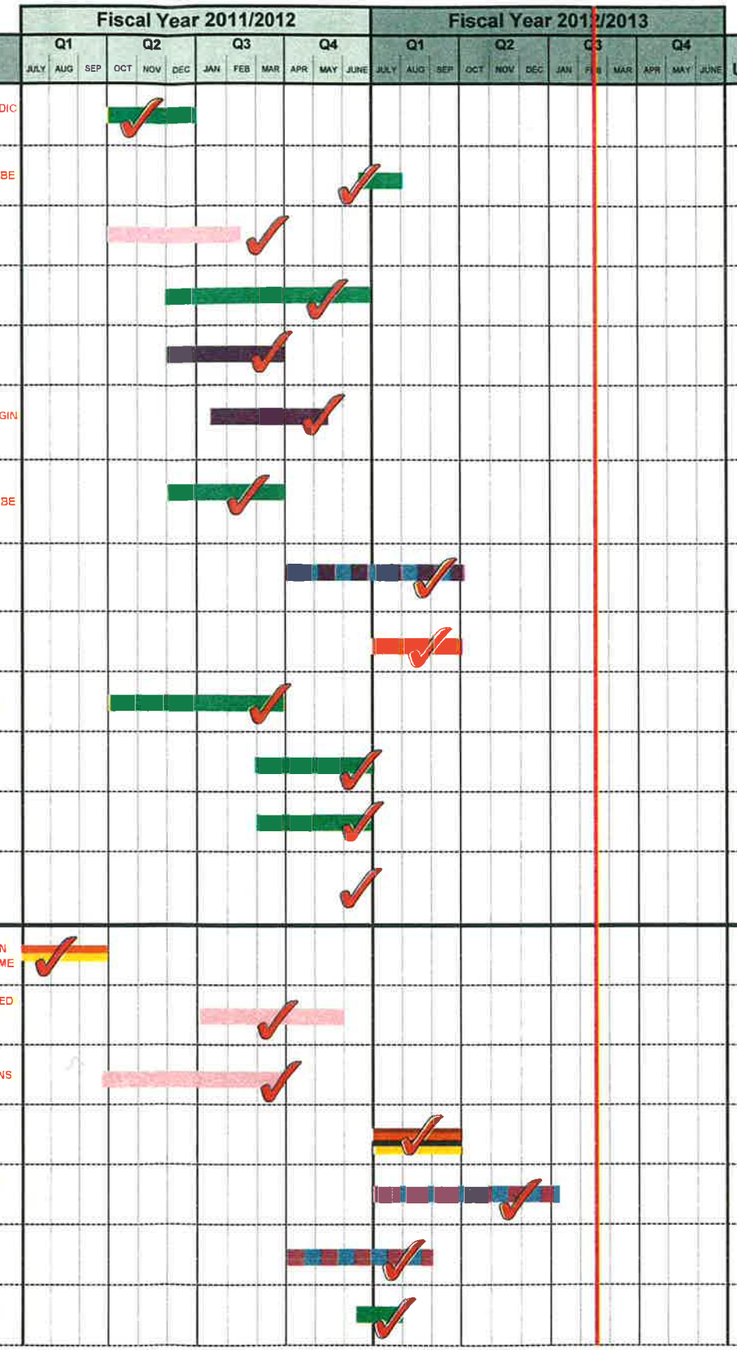
N18	20	P.85	The Engineering Division should provide feedback and assistance after each submittal when consulting engineers are involved in the development of the application and when they encountered particular problems meeting submittal requirements.	17, 27	City Engineer	TASK ACCOMPLISHED - PERIODIC FOLLOW-UP	Dec-11	Each submittal is reviewed by the Engineering Department and follow up phone calls or meetings are arranged if needed to discuss the submittal requirements in greater detail.
N19	2	P.53	Develop more robust capital project budget estimating to avoid cost overruns and enhance project cost estimating. Training should be provided that is consistent with the AACE Total Cost Management Framework.	1	City Engineer	TASK ACCOMPLISHED - RECOMMENDATION WILL NOT BE IMPLEMENTED	6/28/2012	AACE guidelines provide proj est for very large scale projs & would require addl specl staffing to implement. The proj est sys we use is consistent with the econ & local constr costs. It is recommended this item not be implemented.
N20	5	P.66	Formalize through a documented procedure a decision-making process for determining use of in-house staff versus private consultant on engineering design projects.	27	Project Supervisor	TASK ACCOMPLISHED - PROCEDURE IN PLACE	6/26/2012	Policy approved & placed in Procedures Manual
N21	3	P.57	Re-design Engineering Division project time tracking to include ASCE task categories noted in this report and eliminating such generic time tasks as "Administration," "Miscellaneous," and "General Research" which appear overused. These ASCE tasks can be augmented but tasks should be informative as to what duties and responsibilities are accomplished.	22	City Engineer	TASK ACCOMPLISHED	2/6/13	Categories have been created & will be implemented with the FY 13 construction season.
N22	6	P.66	Formalize through a documented procedure how design and other engineering consultant are selected. Provide criteria for selection with formal weightings for each criterion. Maintain formal scoring/selection sheets of hired consultants in project files.	27	Eng Technician	TASK ACCOMPLISHED - PROCEDURE IN PLACE	6/21/2012	Policy approved & placed in Procedures Manual
N23	7	P.67	The Engineering Division should prepare a resource loaded project schedule for all of the capital projects that will be designed and inspected during that fiscal year.	1, 9	Eng Technician	TASK ACCOMPLISHED - TO BEGIN WITH FY13	6/28/12	Spreadsheet has been created & projects ranked by priority. Priority 1 proj will use Engr's est. to calc staff requirements requested by item C6. Projects ranked 2 & 3 will use current funding amt to calc staff requirements & will be recalc when they are a priority 1 status.
N24	10	P.75	The project engineering staff assigned to the design of a project should complete a design report for each significant and complicated capital improvement project when the design is no more than 10% complete.	4	City Engineer	TASK ACCOMPLISHED - RECOMMENDATION WILL NOT BE IMPLEMENTED	6/21/12	City Engineer and Public Works Director met. Cases applicable to this Audit Item within the City of GP budget are very rare. Recommendation was made this Audit Item not be implemented.
N25	19	P.85	The Engineering Division should provide training to consulting engineers and developers regarding its engineering permit submittal requirements.	27	Principal Planner/Eng Tech	TASK ACCOMPLISHED - ON-GOING	2/6/2013	The Eng Div holds a "Meet & Greet" session w/developers & contractors prior to the construction season to update them on any new policies/procedures and provide clarification on issues that arose during the prior construction season
N26	34	P.107	Purchase approximately six (6) licenses of Microsoft Project software for the Engineering Division at an estimated $600 per license. Continue exploring upgrade of the H.T.E. legacy software.	16	CD Director	TASK ACCOMPLISHED - ON-GOING	2/6/2013	Purchase of one license is currently in process. Additional licenses will be purchased as needed.
N27	35	P.111	The Division should re-invent its performance measurement system using the principal concepts noted in this section. There are numerous professional journals, articles, training sessions, and books on performance measurement.	36, 37	City Engineer	TASK ACCOMPLISHED - ON-GOING	2/6/2013	Performance measures & report have been created and will be implemented this construction season. (Mar-Oct 2013)
N28	36	P.111	The Division should be held accountable for fully implementing a performance measurement system in their organization and should be held accountable for regular reporting of results. This information should be shared, in report format, with the City Manager, and perhaps the Council, on a quarterly basis.	35, 37	City Engineer	TASK ACCOMPLISHED - ON-GOING	2/6/2013	Performance measures & report have been created and will be implemented this construction season. (Mar-Oct 2013)
N29	37	P.111	In the revision of the performance measurement system the Division should properly define and use outputs and outcomes with the intent to capture outcomes as often as possible.	35, 36	City Engineer	TASK ACCOMPLISHED - ON-GOING	2/6/2013	Performance measures & report have been created and will be implemented this construction season. (Mar-Oct 2013)
N30	30	P.106	Formal "Billability" targets should be established for staff of the Engineering Division to help monitor performance.	31	CD Director / PW Director	TASK ACCOMPLISHED - ON-GOING	6/18/2012	Billability Targets have been set and will be evaluated twice per year.
D31	21	P.85	Given existing Engineering development review performance, maintain the present Development Review fixed fee charges for plan check activities.	31	CD Director/Planning Director	TASK ACCOMPLISHED - PLAN CHECK FEES REMAIN THE SAME	Sep-11	Plan Check Fees remain the same.
D32	12	P.76	The periodic capital improvement program project status report should be updated and posted to the City's web site.	1, 11	Project Supervisor	TASK ACCOMPLISHED - POSTED ON WEBSITE BY SUPPORT PERSONNEL	4/3/2012	Capital Improvement Project updates are posted to the website.
D33	15	P.79	The Engineering Division should prepare an "in-house" engineer project close-out rating sheet.	13, 14	Project Supervisor	TASK ACCOMPLISHED - INCORPORATED INTO LESSONS LEARNED PROCESS	4/3/2012	An In-house engineer project close out rating sheet is compiled during the "wrap up" meeting once the project is completed.
D34	24	P.92	Seat an ad-hoc committee of Public Works and Community Development staff to help facilitate an effective transition that will help determine the specific steps necessary to fully re-engineer how such an engineering services transition from the Community Development Department to the Public Works Department should be accomplished.		City Mgr/ CD Dir / PW Dir / Fin Dir	TASK ACCOMPLISHED	2/6/2013	Engineering Division to remain in Community Development
D35	18	P.84	The Engineering Division should publish on a regular basis "Client Assistance Memos" to its web site and e-mail these Client Assistance Memos to consulting engineers and contractors that subscribe to these documents.	17	Principal Planner/Eng Tech	TASK ACCOMPLISHED - ON-GOING	2/6/2013	Application Guides clarify a wide range of frequently asked questions. A Client Assistance Memo for Prequalification is complete & will be posted to the website this month. Additional Memos will be generated as needed.
D36	17	P.83	The Engineering Division should develop application guides for each of its engineering permits including grading permits, parcel maps, tract maps, public improvement plans, etc. that are readily available in easy to read formats. The Engineering Division should publish and prominently display the engineering permit application guides to its web site.	18	Principal Planner/Eng Tech	TASK ACCOMPLISHED	2/6/2013	Developer Installed Guide & Brochure, Encroachment Permit Guide & Grading Permit Guide are available on the website.
D37	39	P.113	The Engineering Division should develop an on-line capital improvement project management guide.	1	City Engineer	TASK ACCOMPLISHED - ON-GOING	2/6/2013	Management Guide has been generated and will be posted to the network this month.



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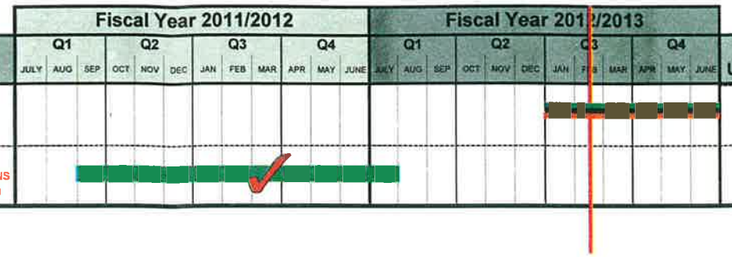
D38	23	P.91	In the long-term hire another entry-level professional engineer position to augment skill sets within the Engineering Division.	27	PW Dir / CD Director	EVALUATION OF RECOMMENDATION IN PROGRESS	6/28/2012	PW Director & CD Director to begin evaluation in 3rd quarter of FY 12/13.
D39	14	P.79	The Engineering Division should prepare a consulting engineer project close-out rating sheet.	13, 15, 27	City Engineer	TASK ACCOMPLISHED - INCORPORATED INTO LESSONS LEARNED PROCESS (ITEM 8)	4/3/2012	A consulting engineer project close out rating sheet is compiled during the "wrap up" meeting once the project is completed.



Legend:

C - Critical

N - Necessary

D - Desirable

✓ - Task Complete

- Comparable Process Already in Place