



Richmond City Council

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Richmond, Virginia

OFFICE OF THE CITY AUDITOR

REPORT # 2011-07

AUDIT

Of the

Richmond City Department of Recreation, Parks and Community Facilities Infrastructure and Maintenance

February 2011

OFFICIAL GOVERNMENT REPORT

Richmond City Council

OFFICE OF THE CITY AUDITOR

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*Committed to increasing government efficiency, effectiveness,
and accountability on behalf of the Citizens of Richmond.*

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City of Richmond
City Auditor

Executive Summary

February 28, 2011

The Honorable Members of the Richmond City Council
The Richmond City Audit Committee
Mr. Byron C. Marshall, CAO

Subject: Parks and Recreation Infrastructure and Maintenance Audit

The City Auditor's Office has completed an operational audit of the Parks, Recreation and Community Facilities Citywide Maintenance and Parks Operations Divisions. This audit was conducted in accordance with Generally Accepted Government Auditing Standards promulgated by the Comptroller General of the United States. The objectives of this audit were to:

- Evaluate the efficiency and effectiveness of operations;
- Verify the existence and effectiveness of internal controls; and
- Verify compliance with laws/regulations and policies.

Salient Findings:

- Management processes for the two Divisions audited need significant improvement. Several processes essential for effective operation of these Divisions are missing. At this time, it is difficult for Division management to be assured if the assigned tasks are completed. The Divisions do not have adequate records or information that can be used to manage operations or evaluate performance. Based on the available information, it is not possible to evaluate the efficiency or cost-effectiveness of these operations.
- Internal Controls in the Divisions' procedures are significantly weak and do not provide assurance of proper accountability over City resources. The Divisions do not have proper accountability over labor, material and other overhead costs. The existing policies and procedures address only administrative issues such as handling of sick and vacation leave. The operational procedures such as routine and preventive maintenance, inventory control, etc. do not exist. This situation is not conducive to the effective operation of the divisions.

- The parks operations activities are impacted by seasonal weather changes. For example, during winter months, ball-fields are not utilized as much as they are during summer months. Since this Division employs full-time personnel, some labor capacity would be available during winter months due to a reduction of work. Although the Division has some winter projects, management evaluation of the effectiveness of staff use for this purpose has been inadequate. Auditors are recommending a comprehensive study of labor utilization during winter months.
- The auditors performed a physical inspection of 35 park locations and found numerous inadequacies in parks maintenance such as facilities blighted by graffiti, unsightly or unusable sporting facilities and equipment and amenities in disrepair which may be causing potentially hazardous conditions for users.

The City Auditor's Office appreciates the cooperation of the Department of Parks, Recreation and Community Facilities. Please contact me for questions and comments on this report.



Umesh Dalal, CPA, CIA, CIG
City Auditor

***PARKS, RECREATION AND COMMUNITY FACILITIES
CITYWIDE MAINTENANCE AND PARKS OPERATIONS DIVISIONS
AUDIT***

COMPREHENSIVE LIST OF RECOMMENDATIONS

DIVISION	#	NOTE: Division Abbreviation: CM = Citywide Maintenance PO=Parks Operations	PAGE
CM/PO	1	Require detailed documentation of labor hours incurred by each employee and reconcile it to total labor hours paid for by the department.	9
CM/PO	2	Require documentation of analysis justifying the need for any overtime approved by the Division managers.	9
CM/PO	3	Evaluate Division managers on their ability to manage labor costs including overtime.	9
CM/PO	4	Establish a detailed plan for preventive/routine maintenance tasks to be accomplished by each crew/employee.	14
CM/PO	5	Require documentation of costs incurred in accomplishing each task/work order such as labor, materials and supplies costs as applicable.	14
CM/PO	6	Implement a standardized; daily timesheet for all employees that supports all work hours for employees including hours spent on administrative time, leave, assigned tasks, travel and other activities.	14
CM/PO	7	Develop performance measures outlining productivity and quality metrics.	14
CM/PO	8	Require supervisors to conduct regular field inspections of accomplishment of all assigned tasks and quality of work performed.	14
CM/PO	9	Periodically, evaluate cost effectiveness of all alternatives to accomplish desired outcome prior to making decision to use staff time.	14
CM/PO	10	Develop a long-term strategic plan that addresses the individual replacement needs of infrastructure and amenities at the various park locations.	14
PO	11	Establish a definite schedule for all parks including frequency of maintenance.	14
PO	12	Develop a checklist that is used by all groups, which has a pre-populated list of all the possible maintenance activities that could be performed at respective parks. Require all employees to use the checklist and certify accomplishment of each task. Document reasons if some tasks could not be accomplished.	14
PO	13	Periodically analyze spending trends of common supplies used by employees to complete their maintenance activities. Use this information to manage supplies costs.	15

PO	14	Analyze the cost effectiveness of winter projects.	15
CM/PO	15	Utilize the work order system currently used by Facilities Management.	17
CM	16	Create a policy that requires all invoices to include the name of the employee that requested/picked up the item and the work order number/project related to the purchase.	19
CM	17	Require Division managers to verify appropriateness of each purchase.	19
CM	18	Create a log to track the distribution of car wash vouchers detailing the name of the employee receiving the voucher and the date it was received.	19
CM/PO	19	Implement and conduct periodic safety training for all staff. Maintain a training log to keep track of those employees who have attended the training and those who still need to attend.	21
CM/PO	20	Perform periodic reviews of all applicable employees' personnel files to ensure that their licenses and certifications are kept current.	21
PO	21	Prohibit the employee who has an expired CDL to work on tasks that require a CDL. Require him to obtain a current CDL within an established timeframe.	21
CM/PO	22	Place signs or notices in park amenities that are inactive to ensure this is communicated to citizens.	24
CM/PO	23	Develop a vision of ideal appearance of parks facilities and establish procedures to accomplish the vision.	24

Introduction and Background

Introduction

The City Auditor's Office has completed an operational audit of the Parks, Recreation and Community Facilities Citywide Maintenance and Parks Operations Divisions. This audit covers the infrastructure and parks maintenance activities of these Divisions during the 12 month period that ended June 30, 2010. The objectives of this audit were to:

- Evaluate the efficiency and effectiveness of operations;
- Verify the existence and effectiveness of internal controls; and
- Verify compliance with laws/regulations and policies.

This audit was conducted in accordance with Generally Accepted Government Auditing Standards promulgated by the Comptroller General of the United States. The standards provide a reasonable basis for the conclusions regarding the internal control structure over the Parks, Recreation and Community Facilities Department (Parks Department) and the recommendations presented.

Methodology

To complete this audit, the auditor performed the following procedures:

- Obtained and reviewed reports of similar audits conducted on Parks and Recreation departments in other cities.
- Utilized information obtained from the various reports and the internal control questionnaire as a basis for determining the risk that existed, and to establish the audit steps to be performed.
- Interviewed the Superintendent of Citywide Maintenance and various staff members.
- Reviewed the Department's Policy and Procedures manual.
- Conducted physical inspections of various parks in the City.
- Performed a walk-through of the work order system.

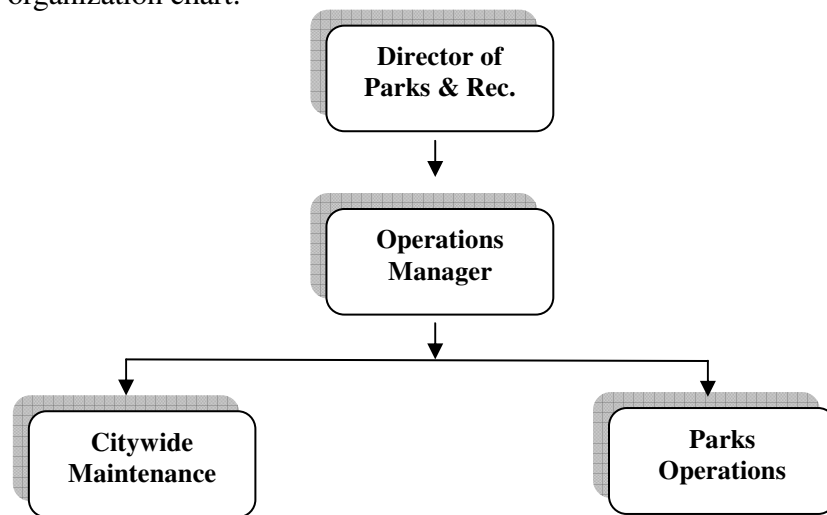
- Reviewed expenditure records, payroll data, and other records.
- Reviewed employee licenses and certifications.
- Performed other audit procedures, as deemed necessary.

***Management
Responsibility***

The management of the City of Richmond is responsible for ensuring resources are managed properly and used in compliance with laws and regulations, City programs are achieving their objectives, and services are being provided efficiently, economically and effectively.

Background

The Operations Manager oversees the Citywide Maintenance and Parks Operations Divisions, as depicted in the following high-level, partial organization chart:



Citywide Maintenance

The Citywide Maintenance Division is responsible for the infrastructure and preventive maintenance activities performed for over 180 City parks, recreation areas and other facilities. Primarily, this Division employs professional tradesmen that conduct mechanical maintenance activities, such as the installation, maintenance, and repairs of air conditioning units, lighting and irrigation systems, plumbing, etc. They also perform jobs

that require painting of various park amenities and facilities including graffiti removal. This Division employs 21 individuals that are supervised by the Superintendent of Citywide Maintenance.

Parks Operations

The Parks Operations Division is responsible for the cleaning of parks and recreation centers. In addition, they maintain athletic ball fields, playgrounds, and other similar facilities. In this Division, the Parks Operations Manager supervises 42 employees.

Observations and Recommendations

Internal Controls

According to Government Auditing Standards, internal control, in the broadest sense, encompasses the agency's plan, policies, procedures, methods, and processes adopted by management to meet its mission, goals, and objectives. Internal control includes the processes for planning, organizing, directing, and controlling program operations. It also includes systems for measuring, reporting, and monitoring program performance.

Internal Controls are significantly weak and do not provide assurance of proper accountability over City resources

Based on the results and findings of the audit methodology employed, auditors concluded that:

- Internal controls are significantly weak and do not provide assurance of proper accountability over City resources invested in these Divisions.
- The management of these operations needs to be improved to ensure proper service delivery to the public and long-term upkeep of City facilities.
- There are numerous opportunities to either enhance existing controls, or put in place controls that are missing.

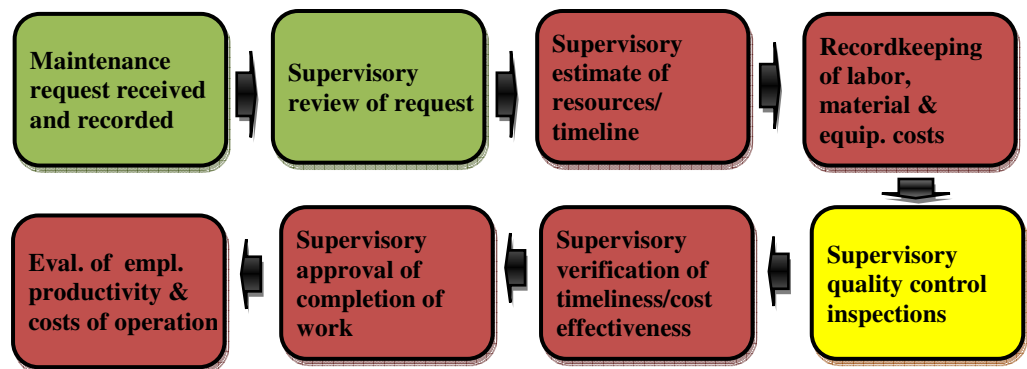
Management of Maintenance Operations

The Citywide Maintenance and the Parks Operations Divisions primarily employ maintenance workers who spend the majority of their work hours in the field with minimal supervision. Management oversight is essential to ensure that work is completed timely, efficiently, effectively, and only necessary parts, materials, supplies, etc., are used to complete each maintenance activity. Therefore, a proper monitoring system and adequate reporting of employee productivity and quality metrics is essential. Failing to establish

sufficient management oversight and accountability increases the likelihood of a non-productive workforce, unsatisfactory work, and unnecessary purchases.

With any operation involved in service delivery, there should be proper procedures to ensure that all the requested and scheduled services are conducted in a timely and cost effective manner, with proper accountability over the resources. In order to achieve this outcome, the following components of a service delivery process should be effectively executed. The various essential components of the process are color coded in the following diagram to depict operational and control weaknesses of these Divisions:

Auditors found that several critical controls are either weak or missing



Legend:

- Adequate procedure
- Needs improvement
- Procedure does not exist

The auditors found that management oversight of these operations needs improvement. Several critical controls were found to be either weak or missing. Inadequate controls could provide a favorable environment for misuse or abuse of City resources. Currently,

resources spent are not evaluated to determine the value received from the City's investment.

***Labor
Management***

All hourly employees in the Citywide Maintenance Division were not using the timecard system as required by the established procedures. Division Management is not effectively monitoring employees' time, as timecards are not reviewed.

Citywide Maintenance

***In both Divisions,
recordkeeping is
incomplete and
inconsistent***

The auditors' testing of time records for 40 randomly selected pay checks for various employees in Citywide Maintenance revealed that no timecards were used for 11 pay checks.

- The regular hours on the timecards did not agree to the regular hours paid per the Payroll system for 14 of the remaining 29 (48%) sampled items. In four (29%) of those 14 instances, employees were paid for eight hours, but their timecards indicated they worked between four and five hours. Therefore, these employees were paid for hours they did not work. A practice of clocking-in but not clocking-out was observed to be prevalent. These occurrences prevent determination of actual hours worked and render the time-keeping system ineffective. All of these employees were paid for eight hours, even though they did not clock out.
- Employees were paid overtime on 23 of the pay checks. However, auditors found that 14 (61%) of these overtime payments were not supported by appropriate entries on corresponding timecards. It is not clear if the 263 hours of overtime paid on these checks was appropriate. The Superintendent of Citywide Maintenance

indicated that overtime hours are typically not documented on timecards or work orders.

- In addition, employees are not required to sign off on their timecards certifying the accuracy and performance of actual work for the hours reported on their timecards.

The auditors also noted that completed work orders are not compared to timecards to ensure accountability for employees' time. A June 2010 report generated from work order data indicated 12 of the Citywide Maintenance employees worked a total of 710 hours, which represents only 34% of total available hours excluding vacation, sick, and other leave. The reported time does not include administrative or travel time, the only other valid choices. There are no records that can quantify travel or administrative time, so the missing 66% of available time cannot be accounted for. Due to incompleteness, the work order data cannot be used for evaluating appropriateness of labor hours and costs.

Parks Operations

In the Parks Operations Division, there are three different work groups which do not have consistency in the method used to track the employees' time. One of the groups does not use any type of timecard or sign-in sheet to document their employees' time. The supervisor in this group completes the payroll summary sheet based on his observation of the employees that show up for work and leave from work. The second group uses hand-written sign-in sheets, and the third group (except the group's supervisor) uses the timecard system.

There appears to be no supervisory scrutiny of labor hours reported

The auditors tested a sample of 10 pay checks from the two groups that are expected to use either the sign-in sheets or the timecard system. During that testing, the auditors noted the following issues:

- The regular hours on the timecards/sign-in sheets did not agree with the regular hours paid per the Payroll system for four of the 10 (40%) pay checks.
- The employees did not use the timecard properly for four of the 10 (40%) pay checks but were paid for eight hours each.
- There were nine pay checks in the sample where employees were paid for overtime hours per the Payroll system. However, in seven (78%) of these instances, the overtime hours were not reflected on the employee's timecard or sign-in sheet. This represented 113.5 hours of overtime that were unaccounted for during the pay periods corresponding to these nine pay checks.

Overtime hours paid were neither supported by adequate justification nor by proper records

This means that in the limited tests described above, 376.5 hours of overtime from these two Divisions were not properly supported. These Divisions do not have any objective method to validate the appropriateness of this overtime. There is a significant risk that employees may claim overtime without corresponding productive work. Therefore, the City is vulnerable to lose financial resources due to the abusive behavior.

Significant risk exists that employees may claim overtime without corresponding productive work

During FY 2010, the combined budgeted labor costs for the two Divisions were \$2,857,620, which represent 85% of their budgets. Based on the above discussion, it appears that management of labor costs is inadequate.

Recommendations:

- 1. Require detailed documentation of labor hours incurred by each employee and reconcile it to total labor hours paid for by the department.*
- 2. Require documentation of analysis justifying the need for any overtime approved by the Division managers.*
- 3. Evaluate Division managers on their ability to manage labor costs including overtime.*

***Operations
Management***

Formal, written policies and procedures for daily operations do not exist

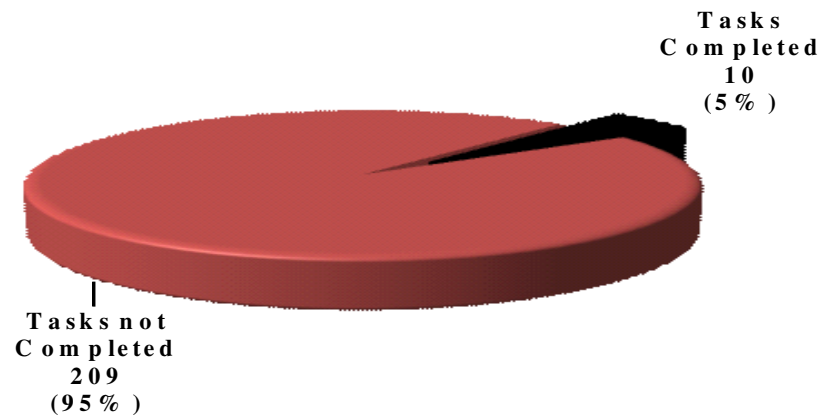
Formal, written policies and procedures for performing preventive/routine maintenance and other daily operational functions do not exist. Not providing written policies and procedures and communicating them to all employees may lead to unclear job duties and responsibilities and inconsistent job performance by employees. The auditors found numerous significant issues related to management oversight and accountability, and employee performance as outlined below:

Citywide Maintenance

- The Superintendent of Citywide Maintenance indicated that a sizable portion of total employee time is spent on scheduled, preventive maintenance tasks. The Division had 219 preventive maintenance activities to be completed during June 2010. Comparison of actual work done to the scheduled work indicated that the Division had completed only 10 (5%) of 219 tasks. The Superintendent of Citywide Maintenance was not aware that most of the preventive maintenance tasks were not completed. The auditors did not

find evidence to verify if the remaining tasks were subsequently completed.

The Division accomplished only a small fraction of scheduled tasks during June 2010



- The Division does not analyze how often preventive maintenance and infrastructure work is performed at each park. Therefore, there is no confirmation if preventive maintenance is done. Without preventive maintenance, the facilities and infrastructure could more rapidly deteriorate causing major repairs and replacement needs, which may require additional funding.
- The Division does not have a process in place to accurately determine the cost of maintenance at each park location since the parts, materials, equipment, etc., used to complete each project are not documented on work orders. Therefore, the Division does not have the ability to analyze and manage operational costs.
- Performance measures outlining productivity and quality metrics do not exist. The Superintendent of Citywide

The division does not track project costs and is not in a position to manage these costs

At least one of the two supervisors did not conduct field inspections regularly

Maintenance indicated that he relies on spot checks performed by the two supervisors to gauge employee productivity and the quality of their work. However, separate interviews with employees who work in the field from the various trades revealed that one of the two supervisors rarely visits the field employees. Furthermore, supervisors are not required to document the spot checks they perform, and the Division does not have benchmarks against which each employee's work should be inspected. Also, requirements related to the frequency of the inspections do not exist. Therefore, there is no assurance that proper evaluation of work quality is performed.

- The Division has not developed a long-term strategic plan that addresses the individual replacement needs of infrastructure and amenities at the various park locations. They have an inventory of the many assets existing at each park. These assets include playground equipment, basketball and tennis courts, swimming pools, shelters, lights, etc. Creating a meaningful preventive maintenance program and a replacement plan for the Parks' assets is a prudent practice that would allow the City to properly manage and fund the replacement of these assets.

Parks Operations

The Parks Operations Manager stated that most parks are visited daily, while some are inspected only once a week and their visits are documented in checklists. The Division uses checklists to ensure that cleaning and ball field maintenance is completed as expected. There is

no consistency with the format and substance of the checklists used by each of the three groups that work in this Division.

Based on the auditors' review and discussions with supervisory personnel, the following issues demonstrate the lack of management oversight and accountability in this Division:

The Division does not have reliable records to determine if scheduled tasks are completed

- The employees documented their arrival and departure times and the work they performed on the checklist for one day at the beginning of the month. However, instead of completing a checklist for each subsequent day to accurately document the work they performed on each day, the employees photocopied the first sheet, changed the dates at the top for at least three weeks in a row, and then submitted the checklists to management. None of the checklists were reviewed by supervisors.
- Management has no process in place to determine how often maintenance is performed at each park to ensure adequate coverage of all locations.
- Supervisors rarely perform spot checks of the parks to inspect employees' work. Therefore, management has no process in place to validate that employees are performing work efficiently and effectively. The Division management has no other process in place to monitor how employees are spending their time during work hours. Also, performance measures for productivity and quality of work do not exist.
- One of the three groups uses an "A-B-C" indicator that identifies the frequency of each park inspection ("A" being the highest frequency). However, there were several parks listed on their checklist that did not have any "A-B-C" indicator, so it is not clear

Supervisors rarely perform spot checks of the parks to inspect employees' work

how often this group planned to visit those parks. The other two groups have no process to schedule how often each park will be inspected. The auditors also noted that one checklist used did not list any maintenance activities to specify which activities they performed at each park. This means that there are no written expectations from the employees of this Division.

- Parks Operations does not have a daily set schedule to indicate which parks require daily visits. Employees determine which parks they visit each day.
- The Division has no process in place to accurately determine if the cost of maintenance is reasonable since the materials, supplies, etc., used during park inspections is not documented.
- The Parks Operations activities are impacted by seasonal weather changes. For example, during winter months, ball-fields are not utilized as much as they are during summer months. Since this Division employs full-time personnel, some labor capacity would be available during winter months due to the reduction of work. Although the Division has some winter projects, management evaluation of the effectiveness of staff use for this purpose has been inadequate.

The Division needs to study use of staff time during winter months.

There appears to be a lack of accountability and effective internal controls over labor costs, which is a significant component of the overall costs of these two Divisions.

Recommendations:

Citywide Maintenance and Parks Operations:

- 4. Establish a detailed plan for preventive/routine maintenance tasks to be accomplished by each crew/employee.*
- 5. Require documentation of costs incurred in accomplishing each task/work order such as labor, materials and supplies costs as applicable.*
- 6. Implement a standardized; daily timesheet for all employees that supports all work hours for employees including hours spent on administrative time, leave, assigned tasks, travel and other activities.*
- 7. Develop performance measures outlining productivity and quality metrics.*
- 8. Require supervisors to conduct regular field inspections of accomplishment of all assigned tasks and quality of work performed.*
- 9. Periodically, evaluate cost effectiveness of all alternatives to accomplish desired outcome prior to making decision to use staff time.*
- 10. Develop a long-term strategic plan that addresses the individual replacement needs of infrastructure and amenities at the various park locations.*

Parks Operations:

- 11. Establish a definite schedule for all parks including frequency of maintenance.*
- 12. Develop a checklist that is used by all groups, which has a pre-populated list of all the possible maintenance activities that could*

be performed at respective parks. Require all employees to use the checklist and certify accomplishment of each task. Document reasons if some tasks could not be accomplished.

13. Periodically analyze spending trends of common supplies used by employees to complete their maintenance activities. Use this information to manage supplies costs.

14. Analyze the cost effectiveness of winter projects.

Work Order System

A work order system automates the process of recording incoming maintenance requests in conjunction with recurring, periodic scheduled maintenance. There are many benefits associated with a traditional work order system for a maintenance division. These benefits enable management to:

- schedule work
- assign individual work orders to staff
- track the completion of each work order
- track the cost of labor and materials for individual work orders
- generate reports that analyze employee productivity, analyze the frequency and cost of maintenance for individual locations, and forecast future maintenance and replacement costs based on the useful lives of assets

The current, antiquated work order system in Citywide Maintenance is not adequately used

The work order system used by Citywide Maintenance is not used to track all of the above information. Currently, the system is only used to create work orders, generate the monthly schedule of preventive maintenance activities that are to take place, and produce a monthly report that shows management which work orders were completed each month. The Division's personnel are not aware of the system's capabilities. The system was developed by a vendor (one man

\$5,000 annual support costs paid for the work order system appears to be a waste of resources

operation) over 15 years ago. The source code for the system is based on an antiquated computer technology. In addition, most of the information input in the system is duplicated in a manual spreadsheet. In this event, \$5,000 paid to the vendor in FY10 for supporting a system that is not used for meaningful purposes appears to be a waste of City resources.

Currently, the Parks Operations Division does not utilize a work order system, and relies on manual processes to assign work and complete their maintenance activities, which as discussed before is not effective.

In early 2010, the City's Facilities Maintenance (FM) Division of the Department of Public Works implemented an automated software system to collect, assign and track work orders. The system has the following capabilities:

- Automatically generate work orders for equipment not operating correctly.
- Manually assign, distribute (via email), and track work orders to team members.
- Create equipment profiles that track the age and life expectancy of a City building's critical equipment.
- Create and manage purchase orders for equipment/materials per work order.
- Run predictive analysis on all equipment by forecast and likelihood of maintenance needs, location issues and asset life-cycle analysis.
- Generate reports on:
 - Project managers/technician utilization
 - Scheduled vs. actual jobs completed

- Work order trends based on buildings or technicians
- General inventory counts

Using the above system would enable the Citywide Maintenance and Parks Operations Divisions to document and manage their workload in a meaningful manner.

Recommendation:

Citywide Maintenance and Parks Operations:

15. Utilize the work order system currently used by Facilities Management.

***Operational and
Financial
Analysis***

Effective management of any operation requires gathering of and analyzing pertinent information that facilitates operational and financial decisions. The Citywide Maintenance Division collects the following minimal information:

- Date of request
- Description of work to be done
- Location of work
- Name of the person making request
- Date the work was completed

The above information could inform Division management if the assigned work has been completed. However, this information does not allow Citywide Maintenance to make any meaningful decisions about the appropriateness of resources employed, cost effectiveness of the operation, or efficiency enhancements.

Expenditures

The auditors reviewed supporting documentation for a sample of expenditures in FY10 for Citywide Maintenance and Parks Operations. Auditors found the Parks Operations' expenditures were properly supported. However, they had the following observations related to Citywide Maintenance expenditures:

Extravagant retirement lunches provided by Citywide Maintenance is not a normal and prudent City practice

- Some of the expenditures did not appear to be appropriate, or appeared excessive based on the amounts and the descriptions of the expenses. The auditors noted that this Division had three separate retirement lunches at the cost of \$2,947 during a seven month period. The lunches included an April 2010 retirement lunch where approximately 20-25 people attended. The total expenditure for this lunch was \$712, which included \$374 worth of T-bone steaks (55 pounds), \$22 worth of beef patties (40 count), and \$19 worth of hot dogs (80 count). This lunch had an average cost of \$28-\$35 per person. Auditors' analysis of food expenses for all City departments revealed the above to not be a normal practice.
- One invoice reviewed was for \$1,000, paid to "Car Pool" for 100 car wash vouchers, valued at \$10 each. The car wash vouchers were purchased so that a few selected employees could have their City vehicles washed. The auditors noted that these vouchers were stored in an unlocked drawer in the administrative employee's desk, and the administrative employee gave out multiple vouchers at the same time. The auditors determined a log or any other record for the recipient of vouchers is not maintained. In these circumstances, the vouchers, if used by employees for washing their personal vehicles, will not be detected.

Controls over expenditures need improvement

- Some of the invoices were for small tools, parts, and materials that the Superintendent of Citywide Maintenance approved about one month after their purchase. The invoices did not refer to work order numbers or project locations. This situation makes it difficult for management to determine if the items purchased were needed and actually used for business purposes.
- Some of the invoices did not refer to employees' names. Having the names of employees picking up the supplies allows management to hold them accountable.

Recommendations:

Citywide Maintenance:

- 16. Create a policy that requires all invoices to include the name of the employee that requested/picked up the item and the work order number/project related to the purchase.***
- 17. Require Division managers to verify appropriateness of each purchase.***
- 18. Create a log to track the distribution of car wash vouchers detailing the name of the employee receiving the voucher and the date it was received.***

Training

Safety Training

Periodic safety training is not conducted by the Citywide Maintenance and Parks Operations Divisions. Performing some form of periodic safety training may alert employees to hazards and risks that exist in their job duties. In FY 2010, an Equipment Operator from the Citywide Maintenance Division suffered a severe injury (that required

major surgery) while performing carpentry work that he was not formally trained to perform.

Licenses and Certifications

Appropriate records of job related necessary certifications and licenses were not on file

Some employees in Citywide Maintenance and Parks Operations are required to have licenses to perform their duties since the nature of their work involves a skilled trade such as plumbing. Other employees are required to have a Commercial Drivers License (CDL) in accordance with City policy based on the nature of their job responsibilities. The auditors noted that required licenses or certifications for several employees were either missing from their personnel files or were expired.

Citywide Maintenance did not have job-specific licenses/certifications on file for five employees and another five employees did not have the required CDL on record.

In Parks Operations, one employee's personnel file was missing the required National Playground Safety Inspector certificate. Another employee did not have a current CDL, since it expired on January 31, 2000. This employee began his role as an Equipment Operator with the Division on October 7, 2002. Therefore, he was hired for the position without having the proper credentials, and has been allowed to work in that capacity for approximately eight years.

Personnel files are not reviewed periodically to ensure that these required documents are maintained and kept current. Without proper, required certification and/or licenses, the City could have potential liabilities due to regulatory or safety reasons.

Recommendations:

Citywide Maintenance and Parks Operations:

- 19. Implement and conduct periodic safety training for all staff. Maintain a training log to keep track of those employees who have attended the training and those who still need to attend.*
- 20. Perform periodic reviews of all applicable employees' personnel files to ensure that their licenses and certifications are kept current.*

Parks Operations:

- 21. Prohibit the employee who has an expired CDL to work on tasks that require a CDL. Require him to obtain a current CDL within an established timeframe.*

***Park
Appearances***

Citywide Maintenance and Parks Operations are responsible for the infrastructure and maintenance of 169 park locations and amenities such as pools, basketball and tennis courts, softball and baseball fields, playgrounds, shelters, bathrooms, etc.

The auditors performed a physical inspection of 35 park locations, and visited parks of varying sizes and at least one location from each of the City's Council districts. The auditors noted the following during their visits to the 35 locations:

***Auditors'
inspections
revealed
inadequacies in
maintenance
performed***

- Graffiti was an issue in eight of the 35 (23%) locations inspected. Graffiti was located on various types of amenities including playground equipment, exterior doors, basketball backboards, and park benches and tables

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Department of Parks, Recreation and Community Facilities
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Graffiti located on exterior door at Hotchkiss Community Center

- 33 of the 35 locations inspected had basketball or tennis courts. 13 of the 33 (39%) had issues with cracked surfaces with weeds growing through, or issues with missing or torn/ripped nets. Some of the courts could not be used due to their condition.



Missing tennis court nets and cracked surfaces with weeds at Westover

- 25 of the 35 locations inspected had softball/baseball fields. Nine of the 25 (36%) had issues with weeds/grass growing through the infield dirt. The auditors also noted that five of the 25 (20%) had issues with the bleachers that were broken, rusty, or in need of paint or repair.

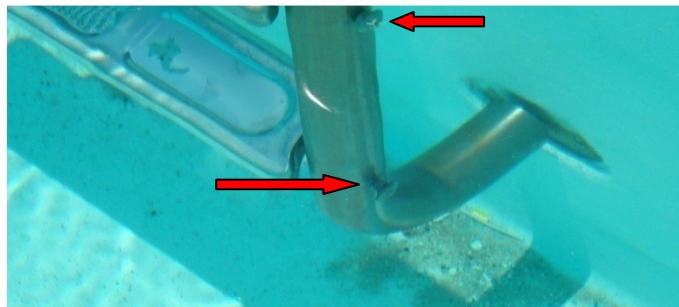


Weed/grass growing through infield dirt at Pine Camp



Bleachers missing back support bars at Parker Field

- Four of the 35 locations visited had swimming pools that the auditors were able to inspect. Three of the four (75%) had issues with the pool ladders and steps being loose or not secure.



Loose ladder w/loose screws on steps in pool @ Battery Park

The auditors were told by Citywide Maintenance and Parks Operations management that a few of these issues may have existed since the locations were inactive. However, there were no signs or notices posted to warn citizens which could expose the City to liabilities.

Overall, it appeared that the larger and more prominent locations such as Forest Hill and Bryan Park are being effectively maintained.

Recommendations:

Citywide Maintenance and Parks Operations:

- 22. Place signs or notices in park amenities that are inactive to ensure this is communicated to citizens.***
- 23. Develop a vision of ideal appearance of parks facilities and establish procedures to accomplish the vision.***

MANAGEMENT RESPONSE FORM

DEPARTMENT OF PARKS, RECREATION AND COMMUNITY FACILITIES

INFRASTRUCTURE AND MAINTENANCE AUDIT - 2011-07

#	RECOMMENDATION	CONCUR Y N	ACTION STEPS
1	<i>Require detailed documentation of labor hours incurred by each employee and reconcile it to total labor hours paid for by the department.</i>	Yes	The City Auditor sits on the Governing Team concerning the ERP process. Since City is in the process of buying a universal time keeping system; and DPR&CF will be participating in this project and time keeping stations will be installed at all major locations. This system will allow all agencies and Departments to keep their time in a systematic fashion as well as reconcile hours worked to hours paid. For the time being, the Department will work toward a interim method of reconciliation of time to comply with this recommendation.
	TITLE OF RESPONSIBLE PERSON		TARGET DATE
	L. Miller/Isaac Adedokun		1 March 2011
	IF IN PROGRESS, EXPLAIN ANY DELAYS		IF IMPLEMENTED, DETAILS OF IMPLEMENTATION
#	RECOMMENDATION	CONCUR Y N	ACTION STEPS
2	<i>Require documentation of analysis justifying the need for any overtime approved by the division managers.</i>	Yes	We are in the process of creating a better OT approval sheet for Top Management. This sheet will have a section on "justification" that will address this
	TITLE OF RESPONSIBLE PERSON		TARGET DATE
	L. Miller - Operations Manager		15 March 2011
	IF IN PROGRESS, EXPLAIN ANY DELAYS		IF IMPLEMENTED, DETAILS OF IMPLEMENTATION
#	RECOMMENDATION	CONCUR Y N	ACTION STEPS
3	<i>Evaluate division managers on their ability to manage labor costs including overtime.</i>	Yes	This will become part of the performance requirements of all supervision.
	TITLE OF RESPONSIBLE PERSON		TARGET DATE
	L. Miller - Operations Manager		1-Apr-11
	IF IN PROGRESS, EXPLAIN ANY DELAYS		IF IMPLEMENTED, DETAILS OF IMPLEMENTATION
#	RECOMMENDATION	CONCUR Y N	ACTION STEPS
4	<i>Establish a detailed plan for preventive/routine maintenance tasks to be accomplished by each crew/employee.</i>	Yes	This recommendation is partially in place. Each employee has signed off on her/his job duties. However, a more detailed routine and preventive maintenance plan via location will be established. See samples attached.
	TITLE OF RESPONSIBLE PERSON		TARGET DATE
	M.L. Mitchum/F. Everett - Division Managers		30-Mar-11
	IF IN PROGRESS, EXPLAIN ANY DELAYS		IF IMPLEMENTED, DETAILS OF IMPLEMENTATION
#	RECOMMENDATION	CONCUR Y N	ACTION STEPS
5	<i>Require documentation of costs incurred in accomplishing each task/work order such as labor, materials and supplies costs as applicable.</i>	Yes	This is already partially in place. All work orders will be tied back to expense in terms of labor and materials/supplies. In the future we will use the system currently used by DPW once licensing and software purchases are made.

	TITLE OF RESPONSIBLE PERSON		TARGET DATE
	M.L. Mitchum/F. Everett - Division Managers		6/30/11
	IF IN PROGRESS, EXPLAIN ANY DELAYS		IF IMPLEMENTED, DETAILS OF IMPLEMENTATION
#	RECOMMENDATION	CONCUR Y N	ACTION STEPS
6	<i>Implement a standardized; daily timesheet for all employees that supports all work hours for employees including hours spent on administrative time, leave, assigned tasks, travel and other activities.</i>	Yes	A "universal daily time sheet" for all divisions will be created and put in place.
	TITLE OF RESPONSIBLE PERSON		TARGET DATE
	L. Miller - Operations Manager		3/15/2011
	IF IN PROGRESS, EXPLAIN ANY DELAYS		IF IMPLEMENTED, DETAILS OF IMPLEMENTATION
#	RECOMMENDATION	CONCUR Y N	ACTION STEPS
7	<i>Develop performance measures outlining productivity and quality metrics.</i>	Yes	We will develop additional performance measures that include goals regarding error rates, core business practices and quality assurance inspections.
	TITLE OF RESPONSIBLE PERSON		TARGET DATE
	M.L Mitchum/F. Everett/L. Miller		4/1/2011
	IF IN PROGRESS, EXPLAIN ANY DELAYS		IF IMPLEMENTED, DETAILS OF IMPLEMENTATION
#	RECOMMENDATION	CONCUR Y N	ACTION STEPS
8	<i>Require supervisors to conduct regular field inspections of accomplishment of all assigned tasks and quality of work performed.</i>	Yes	We will create an inspection form to document supervisors' periodic inspections and establish the frequency of inspections.
	TITLE OF RESPONSIBLE PERSON		TARGET DATE
	M.L. Mitchum/F. Everett/L. Miller		15-Mar-11
	IF IN PROGRESS, EXPLAIN ANY DELAYS		IF IMPLEMENTED, DETAILS OF IMPLEMENTATION
#	RECOMMENDATION	CONCUR Y N	ACTION STEPS
9	<i>Periodically, evaluate cost effectiveness of all alternatives to accomplish desired outcome prior to making decision to use staff time.</i>	Yes	Staff currently meets to address "new and improved" ways of conducting business. We are putting in place a Watch Station system in the next 60 days to track productivity. We will review of our work practices periodically as we have always done.
	TITLE OF RESPONSIBLE PERSON		TARGET DATE
	M.L. Mitchum/F. Everett/L. Miller		1-Apr-11
	IF IN PROGRESS, EXPLAIN ANY DELAYS		IF IMPLEMENTED, DETAILS OF IMPLEMENTATION
#	RECOMMENDATION	CONCUR Y N	ACTION STEPS
10	<i>Develop a long-term strategic plan that addresses the replacement needs of each infrastructure asset and amenities at the various park locations.</i>	Yes	The department does not currently have an asset management system to quickly address this recommendation. The department will discuss the availability of an asset management module with the ERP Committee.
	TITLE OF RESPONSIBLE PERSON		TARGET DATE
	L. Miller - Operations Manager		7/1/2011
	IF IN PROGRESS, EXPLAIN ANY DELAYS		IF IMPLEMENTED, DETAILS OF IMPLEMENTATION

#	RECOMMENDATION	CONCUR Y N	ACTION STEPS
11	<i>Establish a definite schedule for all parks including frequency of maintenance.</i>	Yes	The ABC system of site inspections will be utilized by all 3 groups within the Park Operations Division. We will define the rate of frequency by location in the master sheet.
	TITLE OF RESPONSIBLE PERSON		TARGET DATE
	M.L. Mitchum/F. Everett/L. Miller		3/1/2011
	IF IN PROGRESS, EXPLAIN ANY DELAYS		IF IMPLEMENTED, DETAILS OF IMPLEMENTATION
#	RECOMMENDATION	CONCUR Y N	ACTION STEPS
12	<i>Develop a checklist that is used by all groups, which has a pre-populated list of all the possible maintenance activities that could be performed at respective parks. Require all employees to use the checklist and certify accomplishment of each task. Document reasons if some tasks could not be accomplished.</i>	Yes	We will revise our current checklist sheet to include possible maintenance activities, which will be location dependent. Additionally, as stated above we are moving toward a Watch Man Station Keeping system
	TITLE OF RESPONSIBLE PERSON		TARGET DATE
	M.L. Mitchum/F. Everett - Division Managers		4/1/2011
	IF IN PROGRESS, EXPLAIN ANY DELAYS		IF IMPLEMENTED, DETAILS OF IMPLEMENTATION
#	RECOMMENDATION	CONCUR Y N	ACTION STEPS
13	<i>Periodically analyze spending trends of common supplies used by employees to complete their maintenance activities. Use this information to manage supplies costs.</i>	Yes	We are a cyclical operation in terms of peak use periods and workload, but we will review and track spending patterns on a semi-annual basis to see if any savings can be obtained.
	TITLE OF RESPONSIBLE PERSON		TARGET DATE
	M.L. Mitchum/F. Everett/L. Miller		5/1/11
	IF IN PROGRESS, EXPLAIN ANY DELAYS		IF IMPLEMENTED, DETAILS OF IMPLEMENTATION
#	RECOMMENDATION	CONCUR Y N	ACTION STEPS
14	<i>Analyze the cost effectiveness of winter projects.</i>	Yes	Staff have winter projects such as park cleanups, painting and repairs to picnic tables, park volunteer projects, snow removal, etc. Winter projects will be studied and evaluated annually to ensure optimal productivity is attained.
	TITLE OF RESPONSIBLE PERSON		TARGET DATE
	M.L. Mitchum/L. Miller		12/1/2011
	IF IN PROGRESS, EXPLAIN ANY DELAYS		IF IMPLEMENTED, DETAILS OF IMPLEMENTATION
#	RECOMMENDATION	CONCUR Y N	ACTION STEPS
15	<i>Utilize the work order system currently used by Facilities Management.</i>	Yes	Staff will investigate a work order system similar if not the same as DPW-FM as the licensing issue has been addressed in other Departments.
	TITLE OF RESPONSIBLE PERSON		TARGET DATE
	M.L. Mitchum/F. Everett/L. Miller		4/1/2011
	IF IN PROGRESS, EXPLAIN ANY DELAYS		IF IMPLEMENTED, DETAILS OF IMPLEMENTATION

#	RECOMMENDATION	CONCUR Y N	ACTION STEPS
16	<i>Create a policy that requires all invoices to include the name of the employee that requested/picked up the item and the work order number/project related to the purchase.</i>	Yes	Agree. This will be put in place in March 2011.
	TITLE OF RESPONSIBLE PERSON		TARGET DATE
	F.Everett/M.L. Mitchum - Division Managers		3/15/2011
	IF IN PROGRESS, EXPLAIN ANY DELAYS		IF IMPLEMENTED, DETAILS OF IMPLEMENTATION
#	RECOMMENDATION	CONCUR Y N	ACTION STEPS
17	<i>Require division managers to verify appropriateness of each purchase.</i>	Yes	Agree. All division managers will sign off on purchases and verify appropriateness. A Department-wide policy will be created to accomplish this.
	TITLE OF RESPONSIBLE PERSON		TARGET DATE
	M.L. Mitchum/F.Everett - Division Managers		3/15/2011
	IF IN PROGRESS, EXPLAIN ANY DELAYS		IF IMPLEMENTED, DETAILS OF IMPLEMENTATION
#	RECOMMENDATION	CONCUR Y N	ACTION STEPS
18	<i>Create a log to track the distribution of car wash vouchers detailing the name of the employee receiving the voucher and the date it was received.</i>	Yes	A car wash voucher system is in place with a voucher log created.
	TITLE OF RESPONSIBLE PERSON		TARGET DATE
	M.L. Mitchum/F. Everett - Division Managers		1/1/2011
	IF IN PROGRESS, EXPLAIN ANY DELAYS		IF IMPLEMENTED, DETAILS OF IMPLEMENTATION
			Log created and kept at FM. Car wash tickets are kept under lock and key.
#	RECOMMENDATION	CONCUR Y N	ACTION STEPS
19	<i>Implement and conduct periodic safety training for all staff. Maintain a training log to keep track of those employees who have attended the training and those who still need to attend.</i>	Yes	Safety Training dates are being set up with Risk Management. An attendance log will be created as part of this process.
	TITLE OF RESPONSIBLE PERSON		TARGET DATE
	M.L.Mitchum/F.Everett - Division Managers		3/1/2011
	IF IN PROGRESS, EXPLAIN ANY DELAYS		IF IMPLEMENTED, DETAILS OF IMPLEMENTATION
#	RECOMMENDATION	CONCUR Y N	ACTION STEPS
20	<i>Perform periodic reviews of all applicable employees' personnel files to ensure that their licenses and certifications are kept current.</i>	Yes	Personnel files are not kept on site with the Supervisor. They are kept with HR. However, a "license and certifications" log will be created and maintained by Supervision. Spot checks will occur annually in July and January.

TITLE OF RESPONSIBLE PERSON		TARGET DATE	
M.L. Mitchum/F. Everett - Division Manager		7/2011 & 1/2011	
IF IN PROGRESS, EXPLAIN ANY DELAYS		IF IMPLEMENTED, DETAILS OF IMPLEMENTATION	
#	RECOMMENDATION	CONCUR Y N	ACTION STEPS
21	<i>Prohibit the employee who has an expired CDL to work on tasks that require him to have a CDL. Require him to obtain a current CDL within an established timeframe.</i>	Yes	This has been corrected. The employee in question has passed his written test and will be taking the road test in February-March 2011.
TITLE OF RESPONSIBLE PERSON		TARGET DATE	
M.L. Mitchum/F. Everett - Division Managers		3/2011	
IF IN PROGRESS, EXPLAIN ANY DELAYS		IF IMPLEMENTED, DETAILS OF IMPLEMENTATION	
#	RECOMMENDATION	CONCUR Y N	ACTION STEPS
22	<i>Place signs or notices in park amenities that are inactive to ensure this is communicated to citizens.</i>	Yes	Signs or notices will be placed by park locations if their intended operational purpose has changed or if we determine the amenity should remain inactive for a sustained period of time.
TITLE OF RESPONSIBLE PERSON		TARGET DATE	
M.L. Mitchum/L. Miller		7/1/11	
IF IN PROGRESS, EXPLAIN ANY DELAYS		IF IMPLEMENTED, DETAILS OF IMPLEMENTATION	
#	RECOMMENDATION	CONCUR Y N	ACTION STEPS
23	<i>Develop a vision of ideal appearance of parks facilities and establish procedures to accomplish the vision.</i>	Yes	The Parks and Recreation Department has a vision statement that complements the vision of the Mayor and City Administration. The procedural changes we are implementing per the above recommendations should enable the department to ensure compliance with this vision. We will evaluate our progress, and if necessary, implement additional procedures by July 1, 2011, to accomplish this vision.
TITLE OF RESPONSIBLE PERSON		TARGET DATE	
L. Miller - Operations Manager w/Director approval		Completed	
IF IN PROGRESS, EXPLAIN ANY DELAYS		IF IMPLEMENTED, DETAILS OF IMPLEMENTATION	