



**CITY OF SOUTH PASADENA
CITY COUNCIL**

AGENDA

**SPECIAL MEETING
CLOSED SESSION**

WEDNESDAY, FEBRUARY 15, 2023 AT 5:30 PM

**AMEDEE O. "DICK" RICHARDS JR. COUNCIL CHAMBERS
1424 MISSION STREET, SOUTH PASADENA, CA 91030**

NOTICE ON PUBLIC PARTICIPATION & ACCESSIBILITY

The South Pasadena City Council Meeting will be conducted in-person from the Amedee O. "Dick" Richards, Jr. Council Chambers, located at 1424 Mission Street, South Pasadena, CA 91030. Pursuant to Assembly Bill 361 Government Code Section 54953, subdivision (e)(3), the City Council may conduct its meetings remotely and may be held via video conference.

Public Comment regarding items on the Closed Session Meeting agenda will be taken at the beginning of the meeting. The public will be released from the meeting so that the City Council may convene Closed Session discussion of items allowed under the Government Code. Any reportable action taken in Closed Session will be reported by the City Attorney during the next Open Session meeting. A separate Zoom link will be provided for the Open Session for the public to attend.

Public Participation may be made as follows:

- In-Person Hybrid – Council Chambers, 1424 Mission Street, South Pasadena, CA 91030
- Via Zoom – Meeting ID: **226 442 7248**
- Written Public Comment – written comment must be submitted by 12:00 p.m. the day of the meeting

1. Go to the Zoom website, <https://zoom.us/join> and enter the Zoom Meeting information; or
2. Click on the following unique Zoom meeting link:
<https://us06web.zoom.us/j/2264427248?pwd=aEFuSGszQ2I5WjJkemoTms0RTIVUT09> or
3. You may listen to the meeting by calling: +1-669-900-6833 and entering the Zoom Meeting ID listed above and Passcode when prompted.

CALL TO ORDER: Mayor Jon Primuth

ROLL CALL: Mayor Jon Primuth
Mayor Pro Tem Evelyn G. Zneimer
Councilmember Jack Donovan
Councilmember Michael A. Cacciotti
Councilmember Janet Braun

PUBLIC COMMENT

CLOSED SESSION AGENDA ITEMS

A. CONFERENCE WITH LEGAL COUNSEL: EXISTING LITIGATION

(Government Code Section 54956.9(d)(1))

1. *Travelers Ins. v. So. Pasadena* (LASC Case No. 22STCV22759)
2. *Fahren James and Victoria Patterson v. City of South Pasadena* (CDCA Case No. 2:21-cv-08256-DSF-KK)
3. *Forbes v. So. Pasadena* (LASC Case No. 22STCV30042)
4. *Albina Magdalena Ormeno v. City of South Pasadena; Mercury Overseas, Inc.* (22AHCV01170)

CERTIFICATION OF POSTING

*I declare under penalty of perjury that I posted this notice of agenda for the meeting to be held on **February 15, 2023**, on the bulletin board in the courtyard of City Hall located at 1414 Mission Street, South Pasadena, CA 91030, and on the City website as required by law, on the date listed below.*

02/9/2023

/S/

Date

Desiree Jimenez, CMC, Chief City Clerk



**CITY OF SOUTH PASADENA
CITY COUNCIL**

AGENDA

**REGULAR MEETING
WEDNESDAY, FEBRUARY 15, 2023, AT 7:00 P.M.**

**AMEDEE O. "DICK" RICHARDS JR. COUNCIL CHAMBERS
1424 MISSION STREET, SOUTH PASADENA, CA 91030**

South Pasadena City Council Statement of Civility

As your elected governing board, we will treat each other, members of the public, and City employees with patience, civility, and courtesy as a model of the same behavior we wish to reflect in South Pasadena for the conduct of all City business and community participation. The decisions made tonight will be for the benefit of the South Pasadena community and not for personal gain.

NOTICE ON PUBLIC PARTICIPATION & ACCESSIBILITY

The South Pasadena City Council Meeting will be conducted in-person from the Amedee O. "Dick" Richards, Jr. Council Chambers, located at 1424 Mission Street, South Pasadena, CA 91030.

The Meeting will be available:

- In Person Hybrid – Council Chambers, 1424 Mission Street, South Pasadena, CA 91030
- Live Broadcast via the City website –
- http://www.spectrumstream.com/streaming/south_pasadena/live.cfm
- Via Zoom – **Webinar ID: 825 9999 2830**

To maximize public safety while still maintaining transparency and public access, members of the public may observe the meeting via Zoom in one of the three methods below:

1. Go to the Zoom website, <https://zoom.us/join> and enter the Zoom Meeting information; or
2. Click on the following unique Zoom meeting link:
<https://us06web.zoom.us/j/82599992830> or
3. You may listen to the meeting by calling: +1-669-900-6833 and entering the Zoom Meeting ID listed above.

CALL TO ORDER: Mayor Jon Primuth

ROLL CALL:

Mayor	Jon Primuth
Mayor Pro Tem	Evelyn G. Zneimer
Councilmember	Jack Donovan
Councilmember	Michael A. Cacciotti
Councilmember	Janet Braun

PLEDGE OF ALLEGIANCE: Councilmember Janet Braun

PUBLIC COMMENT GUIDELINES

The City Council welcomes public input. Members of the public may comment on a non-agenda subject under the jurisdiction of the City Council or on an agenda item. Members of the public will have three minutes to address the City Council, however, the Mayor and City Council may adjust the time allotted, as needed. You may participate **by one of the following options**:

Option 1:

Participate in-person at the City Council Chambers located at 1424 Mission Street, South Pasadena, CA 91030.

Option 2:

Participate via Zoom.

Public comment speakers are able to speak by going to the Zoom webinar controls and clicking on the "Raise Hand" icon. The Meeting Host will be notified that a hand has been raised and speakers will have their microphone un-muted by the Host during the appropriate Public Comment period.

Option 3:

Email public comment to ccpubliccomment@southpasadenaca.gov.

Public Comments received in writing will not be read aloud at the meeting, but will be part of the meeting record. Written public comments will be uploaded to the City website for public viewing under Additional Documents. When submitting a public comment, please make sure to include the following:

- 1) Name (optional), and
- 2) Agenda item you are submitting public comment on.
- 3) Submit by no later than 12:00 p.m., on the day of the City Council meeting. Correspondence received after this time will be distributed the following business day.

PLEASE NOTE: The Mayor may exercise the Chair's discretion, subject to the approval of the majority of the City Council, to adjust public comment time limit to less than three minutes, as needed.

Pursuant to State law, the City Council may not discuss or take action on issues not on the meeting agenda, except that members of the City Council or staff may briefly respond to statements made or questions posed by persons exercising public testimony rights (Government Code Section 54954.2). Staff may be asked to follow up on such items.

CLOSED SESSION ANNOUNCEMENTS**1. CLOSED SESSION ANNOUNCEMENTS****PUBLIC COMMENT****2. PUBLIC COMMENT – GENERAL (NON-AGENDA ITEMS)**

General Public Comment will be limited to 30 minutes at the beginning of the agenda. If there are speakers remaining in the queue, they will be heard at the end of the meeting. Only Speakers who submit a Public Comment card within the first 30 minutes of Public Comment period will be queued up to speak.

RECOGNITION / INTRODUCTION**3. STAFF INTRODUCTION**

Finance Department:

John Downs, Interim Finance Director

Community Development:
Jose Martinez, Planning Counter Technician

CHANGES TO THE AGENDA

4. REORDERING OF, ADDITIONS, OR DELETIONS TO THE AGENDA

CONSENT CALENDAR
OPPORTUNITY TO COMMENT ON CONSENT CALENDAR
Items listed under the Consent Calendar are considered by the City Manager to be routine in nature and will be enacted by one motion unless a public comment has been received or Councilmember requests otherwise, in which case the item will be removed for separate consideration. Any motion relating to an ordinance or a resolution shall also waive the reading of the ordinance or resolution and include its introduction or adoption as appropriate.

5. APPROVAL OF PREPAID WARRANTS IN THE AMOUNT OF \$12,534.42; GENERAL CITY WARRANTS IN THE AMOUNT OF \$533,501.77; VOIDS IN THE AMOUNT OF (\$1,363.94); ONLINE PAYMENTS IN THE AMOUNT OF \$100,262.26; PAYROLL IN THE AMOUNT OF \$966,864.03

Recommendation
It is recommended that the City Council approve the Warrants as presented.

6. MONTHLY INVESTMENT REPORT FOR DECEMBER 2022

Recommendation
It is recommended that the City Council receive and file the Monthly Investment Report for December 2022.

7. APPROVAL OF A PURCHASE ORDER TO D&R OFFICE WORKS, INC. FOR LIBRARY WORKSTATIONS AND APPROPRIATE \$10,000 FROM GENERAL FUND RESERVES

Recommendation
It is recommended that the City Council:

1. Appropriate \$10,000 to the Library Building Improvements Account No. 101-8010-8011-8500 from the General Fund Reserves;
2. Approve a purchase order to D&R Office Works, Inc. for the purchase of eight (8) workstations for Library staff, including delivery, assembly, and sales tax; and
3. Authorize the City Manager to execute the purchase order with D&R Office Works, Inc. in an amount not to exceed \$44,000, including the \$42,221.46 quoted price and a \$1,778.54 contingency.

8. ADOPTION OF A RESOLUTION ADOPTING AN UPDATED CITY OF SOUTH PASADENA EMERGENCY OPERATIONS PLAN AND ANNEXES

RESOLUTION

A RESOLUTION OF THE CITY COUNCIL OF THE CITY OF SOUTH PASADENA, CALIFORNIA, ADOPTING AN UPDATED EMERGENCY OPERATIONS PLAN AND ANNEXES

Recommendation

It is recommended that the City Council adopt the updated Emergency Operations Plan and associated Annexes.

PUBLIC HEARING

9. PUBLIC HEARING TO RECEIVE OBJECTIONS OR PROTESTS TO THE VEGETATION MANAGEMENT PROGRAM REGARDING THE ABATEMENT OF WEEDS, BRUSH, RUBBISH AND REFUSE UPON OR IN FRONT OF SPECIFIED PROPERTY IN THE CITY AND AUTHORIZING BY MINUTE ORDER THE ABATEMENT OF HAZARDOUS VEGETATION

Recommendation

It is recommended that the City Council, after holding a Public Hearing and receiving public testimony and hearing any objections or protests to the procedures for abating brush and native vegetation fire hazards identified in Resolution No.7801, adopt by motion an order directing the abatement of hazardous vegetation.

ACTION / DISCUSSION

10. PRESENTATION OF THE OTHER POST-EMPLOYMENT BENEFITS (OPEB) ACTUARIAL STUDY BY FOSTER & FOSTER

Recommendation

It is recommended that the City Council receive and file the presentation of the Other Post-Employment Benefits Liability Actuarial Study by Foster & Foster.

11. PRESENTATION OF THE ANNUAL COMPREHENSIVE FINANCIAL REPORT FOR FISCAL YEAR ENDING JUNE 30, 2022

Recommendation

Staff recommends that the City Council receive and file the annual audit reports for the year ended June 30, 2022.

12. TERMINATION OF EMERGENCY ORDER EFFECTIVE MARCH 1, 2023; REMOTE TELECONFERENCING MEETING OF LEGISLATIVE BODIES; CONTINUATION OF PARTICIPATION BY THE PUBLIC THROUGH REMOTE ACCESS

Recommendation

The Agenda Report will be provided under separate cover.

13. FINANCE DEPARTMENT CURRENT STATUS UPDATE AND ORGANIZATIONAL ASSESSMENT

Recommendation

It is recommended that the City Council receive and file a report and presentation on the Finance Department Current Status Update/ Organizational Assessment.

INFORMATIONAL REPORT

14. PRESENTATION OF THE CITY'S INVESTMENT BY MORGAN STANLEY AND WESTERN ASSET MANAGEMENT

Recommendation

It is recommended that the City Council receive and file the presentation of the City's Investment by Morgan Stanley and Western Asset Management.

PUBLIC COMMENT – CONTINUED

15. CONTINUED PUBLIC COMMENT – GENERAL

This time is reserved for speakers in the Public Comment queue not heard during the first 30 minutes of Item No. 2. No new speakers will be accepted at this time.

COMMUNICATIONS

16. COUNCILMEMBER COMMUNICATIONS

Time allotted to speak per Councilmember is three minutes. Additional time will be allotted at the end of the City Council meeting agenda, if necessary.

17. CITY MANAGER COMMUNICATIONS

ADJOURNMENT

FOR YOUR INFORMATION

FUTURE CITY COUNCIL MEETINGS

March 1, 2023	Regular City Council Meeting	7:00 p.m.
March 15, 2023	Regular City Council Meeting	7:00 p.m.
April 5, 2023	Canceled due to Spring Break	7:00 p.m.

PUBLIC ACCESS TO AGENDA DOCUMENTS AND BROADCASTING OF MEETINGS

City Council meeting agenda packets, any agenda related documents, and additional documents are available online for public viewing on the City’s website:

www.southpasadenaca.gov/CityCouncilMeetings2023

Regular meetings are live streamed via the internet at:

http://www.spectrumstream.com/streaming/south_pasadena/live.cfm

AGENDA NOTIFICATION SUBSCRIPTION

If you wish to receive an agenda email notification please contact the City Clerk’s Division via email at CityClerk@southpasadenaca.gov or call (626) 403-7230.

ACCOMMODATIONS



The City of South Pasadena wishes to make all of its public meetings accessible to the public. If special assistance is needed to participate in this meeting, please contact the City Clerk’s Division at (626) 403-7230 or cityclerk@southpasadenaca.gov. Upon request, this agenda will be made available in appropriate alternative formats to persons with disabilities. Notification at least 48 hours prior to the meeting will assist staff in assuring that reasonable arrangements can be made to provide accessibility to the meeting (28 CFR 35.102-35.104 ADA Title II).

CERTIFICATION OF POSTING

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02/9/2023

/S/

Date

Desiree Jimenez, CMC, Chief City Clerk



City Council Agenda Report

ITEM NO. 5

DATE: February 15, 2023

FROM: Arminé Chaparyan, City Manager *AC*

PREPARED BY: Hsiulee Tran, Deputy Finance Director

SUBJECT: Approval of Prepaid Warrants in the Amount of \$12,534.42; General City Warrants in the Amount of \$533,501.77; Voids in the Amount of (\$1,363.94); Online Payments in the Amount of \$100,262.26; Payroll in the Amount of \$966,864.03

Recommendation

It is recommended that the City Council approve the Warrants as presented.

Fiscal Impact

Prepaid Warrants:

Warrant # 315926-315932	\$	4,741.74
ACH	\$	7,792.68
Voids	\$	0

General City Warrants:

Warrant # 315933-316014	\$	339,259.92
ACH	\$	194,241.85
Voids	\$	(1,363.94)

Payroll Period Ending: 01/26/2023 \$ 1,521.75

Payroll Period Ending: 02/03/2023 \$ 965,342.28

Wire Transfers Out – To (LAIF) \$ 0

Wire Transfers In – From (LAIF) \$ 0

Wire Transfers (RSA) \$ 0

Wire Transfers Out – To (Acct # 2413) \$ 0

Wire Transfers Out – To (Acct # 1936) \$ 0

Online Payments \$ 100,262.26

Prepaid Warrants \$ 0

General City Warrants \$ 0

Total \$ 1,611,798.54

Commission Review and Recommendation

This matter was not reviewed by a Commission.

Key Performance Indicators

This item is in line with the Finance Department's Key Performance Indicators identified in the Fiscal Year 2022-2023 Budget. The Accounts Payable process is completely digital and routed via a workflow process. This cuts down staff time significantly, as well as streamlines a previously strenuous process. This process also falls in line with the City's environmental strategies by reducing the amount of paper used.

Explanation of Terms

Warrant – Directs the Finance Department to pay a sum of money out of the City's funds to bearer of claim/invoice (named individual, company) also known as a payable. The warrants (payments) are only released after City Council approval.

Warrant Summary – Summarizes all of the payments prepared during a specific cycle. The beginning of the cycle is the period after the last set of warrants were approved by Council and released as payment. The end of the cycle is the last date of invoice processing. All the warrants for the current cycle are summarized and the detail of warrants provided to Council for review and approval.

Prepaid Warrant List - A Prepaid Warrant directs the Finance Department to pay a sum of money out of the City's funds to bearer of claim/invoice (named individual, company) also known as a payable. The Prepaid Warrants (payments) are released prior to City Council approval, however reported to City Council as a Prepaid. Prepayments are generally time sensitive and would incur additional charges if not paid within a specific time frame.

General City Warrant List – Detailed listing of all payments made for a specific cycle. The beginning of the cycle is the period after the last set of warrants were approved by Council and released as payment. The end of the cycle is the last date of invoice processing.

Online Payments – Payments made online. These are typically for time sensitive utilities, credit card payments, and sometimes require the use of the payee's portal (SCE, So Cal Gas, Amazon, etc.).

Voids – Checks that were issued and voided. Examples of such instances would be lost checks that were mailed out. Checks that were on a warrant that did not get approved by Council.

Payroll – All payments made related to payroll, such as payroll taxes, retirement benefits, CalPERS, Garnishments, payroll etc.

Approval of Warrants
February 1, 2023
Page 3 of 3

Attachments:

1. Warrant Summary
2. Prepaid Warrant List
3. General City Warrant List
4. Online Payments
5. Voids
6. Payroll

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ATTACHMENT 1
Warrant Summary

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**City of South Pasadena
Demand/Warrant Register
Recap by fund**

Date 2/15/2023

Fund No.	Amounts		
	Prepaid	Written	
General Fund	101	1,549.29	334,506.81
Insurance Fund	103	-	-
Street Improvement Program	104	-	1,042.75
Facilities & Equip.Cap. Fund	105	-	-
Programs and Projects	107	-	320.00
Local Transit Return "A"	205	-	2,984.92
Local Transit Return "C"	207	-	1,636.35
TEA/Metro	208	-	-
Sewer Fund	210	-	1,807.60
CTC Traffic Improvement	211	-	-
Rogan HR5294 Grant	214	-	74,489.86
Street Lighting Fund	215	-	50,670.93
Public, Education & Govt Fund	217	-	-
Clean Air Act Fund	218	-	-
Business Improvement Tax	220	-	-
Gold Line Mitigation Fund	223	-	-
Mission Meridian Public Garage	226	-	804.13
Housing Authority Fund	228	-	-
State Gas Tax	230	4,583.12	10,241.71
County Park Bond Fund	232	-	4,138.96
Measure R	233	-	-
Measure M	236	-	-
Road Maint & Rehab (SB1)	237	-	-
MSRC Grant Fund	238	-	-
Measure W	239	-	3,424.63
Measure H	241	-	-
Prop C Exchange Fund	242	-	-
Bike & Pedestrian Paths	245	-	-
BTA Grants	248	-	-
Golden Street Grant	249	-	-
Capital Growth Fund	255	-	8,276.65
CDBG	260	-	-
Asset Forfeiture	270	-	-
Police Grants - State	272	-	-
Homeland Security Grant	274	-	-
Park Impact Fees	275	-	-
Historic Preservation Grant	276	-	-
HSIP Grant	277	-	-
Arroyo Seco Golf Course	295	-	-
Sewer Capital Projects Fund	310	-	-
Water Fund	500	-	16,278.61
Water Efficiency Fund	503	-	10,505.92
2016 Water Revenue Bonds Fund	505	-	-
SRF Loan - Water	506	-	-
Water & Sewer Impact Fee	510	-	-
Public Financing Authority	550	-	-
Payroll Clearing Fund	700	6,402.01	12,371.94
Column Totals:		12,534.42	533,501.77

Fund No.	Amounts		
	Prepaid	Written	
RSA	227	-	-
RSA Report Totals:		-	-
City Report Totals:			546,036.19

Payroll Period Ending: 01/26/2023	1,521.75
Payroll Period Ending: 02/03/2023	965,342.28
Wire Transfer Out - To LAIF	-
Wire Transfer In - From LAIF	-
Wire Transfer - RSA	-
Wire Transfer Out - To Acct. # 2413	-
Wire Transfer Out - To Acct. # 1936	-
Online Payments	100,262.26
Voids - Prepaid	-
Voids - General Warrant	(1,363.94)

Grand Report Total: 1,611,798.54

Jon Primuth, Mayor

Hsiulee Tran, Deputy Finance Director

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ATTACHMENT 2
Prepaid Warrant List

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Accounts Payable

Check Detail

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Printed: 02/06/2023 - 3:54PM



Check Number	Check Date	Amount
CSD3014 - Ca. State Disbursement Unit		
315926	01/31/2023	
Inv	PR 01/06/2023	
<u>Line Item Date</u>	<u>Line Item Description</u>	
01/06/2023	Garnishment Case # FAMSS-1406906	814.15
Inv PR 01/06/2023 Total		814.15
Inv	PR 01/20/2023	
<u>Line Item Date</u>	<u>Line Item Description</u>	
01/20/2023	Garnishment Case # FAMSS-1406906	814.15
Inv PR 01/20/2023 Total		814.15
Inv	PR 12/23/2022	
<u>Line Item Date</u>	<u>Line Item Description</u>	
12/23/2022	Garnishment Case # FAMSS-1406906	814.15
Inv PR 12/23/2022 Total		814.15
315926 Total:		2,442.45
CSD3014 - Ca. State Disbursement Unit Total:		
		2,442.45
CMRSFP - CMRS-FP		
315927	01/31/2023	
Inv	600102810	
<u>Line Item Date</u>	<u>Line Item Description</u>	
01/17/2023	Funds for Library Postage machine	500.00
Inv 600102810 Total		500.00
315927 Total:		500.00
CMRSFP - CMRS-FP Total:		
		500.00
DTV5012 - DIRECTV		
315928	01/31/2023	
Inv	068653046221229	
<u>Line Item Date</u>	<u>Line Item Description</u>	

Check Number	Check Date	Amount
12/29/2022	068653046 Period 12/28/22 - 1/27/23	103.23
Inv 068653046221229 Total		103.23
315928 Total:		103.23
DTV5012 - DIRECTV Total:		103.23
FRNCPOST - FRANCO TYP-POSTALIA, INC.		
315929	01/31/2023	
Inv	RI105609131	
<u>Line Item Date</u>	<u>Line Item Description</u>	
01/04/2023	FP Mailing Solutions Lease	108.06
Inv RI105609131 Total		108.06
315929 Total:		108.06
FRNCPOST - FRANCO TYP-POSTALIA, INC. Total:		108.06
LEISGMAN - Goodman, Leisa		
315930	01/31/2023	
Inv	1054	
<u>Line Item Date</u>	<u>Line Item Description</u>	
01/06/2023	100 Library note cards and envelopes	240.00
Inv 1054 Total		240.00
315930 Total:		240.00
LEISGMAN - Goodman, Leisa Total:		240.00
LATS2011 - Los Angeles Times		
315931	01/31/2023	
Inv	10004495887	
<u>Line Item Date</u>	<u>Line Item Description</u>	
12/30/2022	Subscription Renewal to the Los Angeles Times	598.00
Inv 10004495887 Total		598.00
315931 Total:		598.00
LATS2011 - Los Angeles Times Total:		598.00
VRMZ7000 - Munoz, Valerie		
315932	01/31/2023	

Check Number	Check Date	Amount
Inv	PR 01/06/2023	
<u>Line Item Date</u>	<u>Line Item Description</u>	
01/06/2023	Garnishment	750.00
Inv PR 01/06/2023 Total		750.00
315932 Total:		750.00
VRMZ7000 - Munoz, Valerie Total:		750.00
SSDV2018 - Sandoval, Sheila		
0	01/31/2023	
Inv	PR 01/06/2023	
<u>Line Item Date</u>	<u>Line Item Description</u>	
01/06/2023	Garnishment	956.03
01/06/2023	Garnishment	120.21
Inv PR 01/06/2023 Total		1,076.24
Inv	PR 01/20/2023	
<u>Line Item Date</u>	<u>Line Item Description</u>	
01/20/2023	Garnishment	956.03
01/20/2023	Garnishment	110.63
Inv PR 01/20/2023 Total		1,066.66
Inv	PR 12/23/2022	
<u>Line Item Date</u>	<u>Line Item Description</u>	
12/23/2022	Garnishment	110.63
12/23/2022	Garnishment	956.03
Inv PR 12/23/2022 Total		1,066.66
0 Total:		3,209.56
SSDV2018 - Sandoval, Sheila Total:		3,209.56
VUL6601 - Vulcan Materials Company		
0	01/31/2023	
Inv	73362263	
<u>Line Item Date</u>	<u>Line Item Description</u>	
08/03/2022	PW Street Division: Asphalt cold mix for street repairs	2,838.48
Inv 73362263 Total		2,838.48
Inv	73432486	
<u>Line Item Date</u>	<u>Line Item Description</u>	
10/05/2022	PW Street Division: Liquid emulsion for asphalt roadway repairs	1,234.80

Check Number	Check Date	Amount
Inv 73432486	Total	1,234.80
Inv	73472270	
<u>Line Item Date</u>	<u>Line Item Description</u>	
11/09/2022	PW Street Division: Fill sand for sandbags	509.84
Inv 73472270	Total	509.84
0 Total:		4,583.12
VUL6601 - Vulcan Materials Company Total:		4,583.12
Total:		12,534.42

ATTACHMENT 3 General City Warrant List

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Accounts Payable

Check Detail

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Check Number	Check Date		Amount
AKGSHFLP - Akin Gump Strauss Hauer & Feld LLP			
315933	02/15/2023		
Inv	2024247		
<u>Line Item Date</u>	<u>Line Item Description</u>		
01/18/2023	Legal Services Rendered: 10/31/2022		3,588.00
Inv 2024247 Total			3,588.00
Inv	2024248		
<u>Line Item Date</u>	<u>Line Item Description</u>		
01/18/2023	Legal Services Rendered: 11/30/2022		4,602.00
Inv 2024248 Total			4,602.00
Inv	2024249		
<u>Line Item Date</u>	<u>Line Item Description</u>		
01/18/2023	Legal Services Rendered: 12/31/2022		7,410.00
Inv 2024249 Total			7,410.00
315933 Total:			15,600.00
AKGSHFLP - Akin Gump Strauss Hauer & Feld LLP Total:			
			15,600.00
ACMT2920 - All City Management Services, Inc.			
315934	02/15/2023		
Inv	82448		
<u>Line Item Date</u>	<u>Line Item Description</u>		
01/17/2023	Crossing Guard Services: December 11-24, 2022		9,161.19
Inv 82448 Total			9,161.19
315934 Total:			9,161.19
ACMT2920 - All City Management Services, Inc. Total:			
			9,161.19
ALL0197 - All Star Fire Equipment, Inc.			
315935	02/15/2023		
Inv	245261		
<u>Line Item Date</u>	<u>Line Item Description</u>		

Check Number	Check Date	Amount
01/30/2023	Fire Safety Clothing & Equipment - Wildland Boots	710.56
Inv 245261	Total	710.56
Inv 245290		
<u>Line Item Date</u>	<u>Line Item Description</u>	
01/23/2023	Fire Safety Clothing & Equipment - Bunker Boots	395.80
Inv 245290	Total	395.80
315935 Total:		1,106.36
ALL0197 - All Star Fire Equipment, Inc. Total:		1,106.36
AMAZONCP - Amazon Capital Services, Inc.		
0	02/15/2023	
Inv 14T4-DQGD-N4P6		
<u>Line Item Date</u>	<u>Line Item Description</u>	
01/30/2023	City Manager's Office Supplies	280.86
Inv 14T4-DQGD-N4P6	Total	280.86
Inv 17RV-PC3H-MJT3		
<u>Line Item Date</u>	<u>Line Item Description</u>	
01/16/2023	Wireless Keyboard & Mouse	30.84
Inv 17RV-PC3H-MJT3	Total	30.84
Inv 19K9-1TQD-NTKW		
<u>Line Item Date</u>	<u>Line Item Description</u>	
01/23/2023	Books for Library Collection	128.51
Inv 19K9-1TQD-NTKW	Total	128.51
Inv 1C3K-FRWW-NQ6V		
<u>Line Item Date</u>	<u>Line Item Description</u>	
01/23/2023	Senior Center Luna New Year supplies	20.37
Inv 1C3K-FRWW-NQ6V	Total	20.37
Inv 1M3J-NTTX-LY9R		
<u>Line Item Date</u>	<u>Line Item Description</u>	
01/30/2023	Fire - Oil cleaner, cleaning kit	121.21
01/30/2023	Fire - Sandbags	282.81
Inv 1M3J-NTTX-LY9R	Total	404.02
Inv 1PJH-4T34-P3GQ		
<u>Line Item Date</u>	<u>Line Item Description</u>	
01/30/2023	Fire - magnetic wire pulling system	55.32

Check Number	Check Date	Amount
Inv 1PJH-4T34-P3GQ Total		55.32
Inv 1RHQ-H9K7-MP4H		
<u>Line Item Date</u>	<u>Line Item Description</u>	
01/16/2023	Towels for Staff Break room	35.27
Inv 1RHQ-H9K7-MP4H Total		35.27
Inv 1T71-7FN3-M3PC		
<u>Line Item Date</u>	<u>Line Item Description</u>	
01/26/2023	Rec. and Camp Med cleaning supplies. Senior Center Lunar event	122.62
01/26/2023	Rec. and Camp Med cleaning supplies. Senior Center Lunar event	18.62
01/26/2023	Rec. and Camp Med cleaning supplies. Senior Center Lunar event	61.96
Inv 1T71-7FN3-M3PC Total		203.20
Inv 1WHH-FJL3-63M4		
<u>Line Item Date</u>	<u>Line Item Description</u>	
01/30/2023	Sandbags for floods	996.15
01/30/2023	Fire - wheel chock, ice bags name plate	41.51
Inv 1WHH-FJL3-63M4 Total		1,037.66
0 Total:		2,196.05
AMAZONCP - Amazon Capital Services, Inc. Total:		2,196.05
AKDC9265 - Ashok Kumar Dhingra		
315936	02/15/2023	
Inv CSP 2023-01		
<u>Line Item Date</u>	<u>Line Item Description</u>	
01/19/2023	Seismic and Structural Evaluation	5,856.00
Inv CSP 2023-01 Total		5,856.00
315936 Total:		5,856.00
AKDC9265 - Ashok Kumar Dhingra Total:		5,856.00
RatPactI - ASM Industrial Corp.		
315937	02/15/2023	
Inv 13831		
<u>Line Item Date</u>	<u>Line Item Description</u>	
12/02/2022	Monthly Gopher Abatement for Dec 2022-Arroyo Park	500.00
Inv 13831 Total		500.00

Check Number	Check Date		Amount
Inv	14151		
<u>Line Item Date</u>	<u>Line Item Description</u>		
01/06/2023	Monthly Gopher Abatement for Jan 2022-Arroyo Park		500.00
Inv 14151 Total			500.00
315937 Total:			1,000.00
RatPactI - ASM Industrial Corp. Total:			1,000.00
AT&T5006 - AT&T			
315938	02/15/2023		
Inv	130464796		
<u>Line Item Date</u>	<u>Line Item Description</u>		
01/17/2023	AN 130464796 (1/18/23-2/17/23)U-Verse Internet 18 Mbps/1.5 Mbr		90.24
Inv 130464796 Total			90.24
315938 Total:			90.24
315939	02/15/2023		
Inv	331841-08023436		
<u>Line Item Date</u>	<u>Line Item Description</u>		
01/07/2023	AN331 841-0802 343 6(12/8/22-1/7/23)1. Cir. Alarm RD at Fremont		35.09
Inv 331841-08023436 Total			35.09
Inv	626441-64973570		
<u>Line Item Date</u>	<u>Line Item Description</u>		
01/13/2023	AN 626 441-6497 357 0 (1/13/23-2/12/23) 1 MBL FX to Verdugo alt.		1,088.71
Inv 626441-64973570 Total			1,088.71
315939 Total:			1,123.80
315940	02/15/2023		
Inv	000019392820		
<u>Line Item Date</u>	<u>Line Item Description</u>		
01/20/2023	AN 9391062308(12/20/22-1/19/23) City Landlines		16,579.78
Inv 000019392820 Total			16,579.78
Inv	000019393146		
<u>Line Item Date</u>	<u>Line Item Description</u>		
01/20/2023	CALNET 9391081369 12/20/22-1/19/23		66.03
Inv 000019393146 Total			66.03

Check Number	Check Date	Amount
315940 Total:		16,645.81
<hr/>		
ATCN9011 - AT&T Total:		17,859.85
<hr/>		
CIN4011 - AT&T Mobility		
315941	02/15/2023	
Inv	287014917916x01	
<u>Line Item Date</u>	<u>Line Item Description</u>	
01/08/2023	AN 287014917916 (12/9/22-1/8/23)PD Ipads + SPASMOB Library	635.97
Inv 287014917916x01 Total		635.97
Inv	287288006612X12	
<u>Line Item Date</u>	<u>Line Item Description</u>	
12/02/2022	Public Works Cell Phones -DEC 2022	82.40
12/02/2022	Public Works Cell Phones -DEC 2022	945.82
12/02/2022	Public Works Cell Phones -DEC 2022	158.10
12/02/2022	Public Works Cell Phones -DEC 2022	236.76
Inv 287288006612X12 Total		1,423.08
<hr/>		
315941 Total:		2,059.05
<hr/>		
CIN4011 - AT&T Mobility Total:		2,059.05
<hr/>		
HELBCN - Bacon, Helen		
315942	02/15/2023	
Inv	128250	
<u>Line Item Date</u>	<u>Line Item Description</u>	
01/25/2023	Refund of recreation class due to cancelation by instructor.	129.00
Inv 128250 Total		129.00
<hr/>		
315942 Total:		129.00
<hr/>		
HELBCN - Bacon, Helen Total:		129.00
<hr/>		
BAK0369 - Baker & Taylor Books		
0	02/15/2023	
Inv	2037129981	
<u>Line Item Date</u>	<u>Line Item Description</u>	
01/11/2023	Library Books	1,321.50
Inv 2037129981 Total		1,321.50
Inv	2037161524	
<u>Line Item Date</u>	<u>Line Item Description</u>	
01/12/2023	Library Books	476.59

Check Number	Check Date	Amount
Inv 2037161524 Total		476.59
Inv 2037163639		
<u>Line Item Date</u>	<u>Line Item Description</u>	
01/11/2023	Library Books	240.91
Inv 2037163639 Total		240.91
Inv 2037201823		
<u>Line Item Date</u>	<u>Line Item Description</u>	
01/05/2023	Library Books	83.68
Inv 2037201823 Total		83.68
Inv 2037206021		
<u>Line Item Date</u>	<u>Line Item Description</u>	
01/11/2023	Library Books	43.97
Inv 2037206021 Total		43.97
Inv 2037223331		
<u>Line Item Date</u>	<u>Line Item Description</u>	
01/04/2023	Library Books	459.02
Inv 2037223331 Total		459.02
Inv 2037229334		
<u>Line Item Date</u>	<u>Line Item Description</u>	
01/04/2023	Library Books	49.38
Inv 2037229334 Total		49.38
Inv 2037237086		
<u>Line Item Date</u>	<u>Line Item Description</u>	
01/10/2023	Library Books	258.42
Inv 2037237086 Total		258.42
0 Total:		2,933.47
BAK0369 - Baker & Taylor Books Total:		2,933.47
BAK0366 - Baker & Taylor Entertainment		
0	02/15/2023	
Inv H63626660		
<u>Line Item Date</u>	<u>Line Item Description</u>	
01/10/2023	DVDs/CDs	419.73
Inv H63626660 Total		419.73

Check Number	Check Date	Amount
Inv H63721260		
<u>Line Item Date</u>	<u>Line Item Description</u>	
01/12/2023	DVDs/CDs	112.41
Inv H63721260 Total		112.41
Inv H63797350		
<u>Line Item Date</u>	<u>Line Item Description</u>	
01/16/2023	DVDs/CDs	121.87
Inv H63797350 Total		121.87
0 Total:		654.01
BAK0366 - Baker & Taylor Entertainment Total:		654.01
WON6400 - Bob Wondries Ford		
315943	02/15/2023	
Inv 639050		
<u>Line Item Date</u>	<u>Line Item Description</u>	
01/26/2023	Inspection on Veh #80 - replace spark plugs & helicoil	741.35
Inv 639050 Total		741.35
315943 Total:		741.35
WON6400 - Bob Wondries Ford Total:		741.35
DABN8267 - Bohan, Diana 101-8030-8021-8267-000		
0	02/15/2023	
Inv 9228		
<u>Line Item Date</u>	<u>Line Item Description</u>	
01/26/2023	Contract Instructor-Jan Senior monthly Yoga class	191.20
Inv 9228 Total		191.20
0 Total:		191.20
DABN8267 - Bohan, Diana Total:		191.20
NCOBORLD - Borland, Nicola		
315944	02/15/2023	
Inv 128254		
<u>Line Item Date</u>	<u>Line Item Description</u>	
01/25/2023	Refund recreation class due to cancelation by Instructor.	258.00

Check Number	Check Date		Amount
Inv 128254	Total		258.00
			<hr/>
315944	Total:		258.00
			<hr/>
NCOBORLD - Borland, Nicola Total:			258.00
JSHBRDEN - Breeden, Josh			
315945	02/15/2023		
Inv	128335		
<u>Line Item Date</u>	<u>Line Item Description</u>		
01/24/2023	Refund of Gazebo Reservation due to weather.		90.00
Inv 128335	Total		90.00
			<hr/>
315945	Total:		90.00
			<hr/>
JSHBRDEN - Breeden, Josh Total:			90.00
BRMR8267 - BRIT West Soccer			
315946	02/15/2023		
Inv	9243		
<u>Line Item Date</u>	<u>Line Item Description</u>		
01/20/2023	Contract Instructor for Soccer Classes- Tiny Pros 2-3.5-SA		202.80
Inv 9243	Total		202.80
Inv	9245		
<u>Line Item Date</u>	<u>Line Item Description</u>		
01/20/2023	Contract Instructor for Soccer Classes- Tiny Pros 2-3.5-SU		135.20
Inv 9245	Total		135.20
Inv	9249		
<u>Line Item Date</u>	<u>Line Item Description</u>		
01/20/2023	Contract Instructor for Soccer Classes- Tiny Pros 3.5-5-SA		405.60
Inv 9249	Total		405.60
Inv	9278		
<u>Line Item Date</u>	<u>Line Item Description</u>		
01/20/2023	Contract Instructor for Soccer Classes- Club Pros 5-7SA		202.80
Inv 9278	Total		202.80
Inv	9279		
<u>Line Item Date</u>	<u>Line Item Description</u>		
01/20/2023	Contract Instructor for Soccer Classes- Club Pros 5-7 SU		270.40
Inv 9279	Total		270.40

Inv 9305

<u>Line Item Date</u>	<u>Line Item Description</u>	
01/20/2023	Contract Instructor for Soccer Classes- Club Pros 7-12 SA	135.20

Inv 9305 Total		135.20
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Inv 9307

<u>Line Item Date</u>	<u>Line Item Description</u>	
01/20/2023	Contract Instructor for Soccer Classes- Club Pros 7-12 SU	135.20

Inv 9307 Total		135.20
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Inv 9398

<u>Line Item Date</u>	<u>Line Item Description</u>	
01/20/2023	Contract Instructor for Soccer Classes- Tiny Pros 3.5-5-SU	743.60

Inv 9398 Total		743.60
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315946 Total:		2,230.80
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BRMR8267 - BRIT West Soccer Total:		2,230.80
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PMAB8021 - Budka, Pamela Avry

315947 02/15/2023

Inv 9191

<u>Line Item Date</u>	<u>Line Item Description</u>	
01/26/2023	Contract Class Instructor- January Senior Meditation Class	64.00

Inv 9191 Total		64.00
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Inv 9196

<u>Line Item Date</u>	<u>Line Item Description</u>	
01/26/2023	Contract Class Instructor- Jan Senior Meditation Walk-In Class	56.00

Inv 9196 Total		56.00
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Inv 9476

<u>Line Item Date</u>	<u>Line Item Description</u>	
01/26/2023	Contract Class Instructor- January Senior Chair YogaClass	48.00

Inv 9476 Total		48.00
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Inv 9481

<u>Line Item Date</u>	<u>Line Item Description</u>	
01/26/2023	Contract Class Instructor- Jan Senior Chair Yoga Walk-In Class	68.00

Inv 9481 Total		68.00
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Check Number	Check Date	Amount
315947 Total:		236.00
PMAB8021 - Budka, Pamela Avry Total:		236.00
DEP5072 - CA Dept of Transportation		
315948	02/15/2023	
Inv	SL210623	
<u>Line Item Date</u>	<u>Line Item Description</u>	
04/21/2021	Signals & Lighting Shared Cost with Caltrans-Jan-March 2021	1,171.39
Inv SL210623 Total		1,171.39
Inv	SL230036	
<u>Line Item Date</u>	<u>Line Item Description</u>	
10/25/2022	Signals & Lighting Shared Cost with Caltrans-July-Sep 2022	2,247.38
Inv SL230036 Total		2,247.38
315948 Total:		3,418.77
DEP5072 - CA Dept of Transportation Total:		3,418.77
CAN0607 - Cantu Graphics Inc.		
315949	02/15/2023	
Inv	21232	
<u>Line Item Date</u>	<u>Line Item Description</u>	
12/13/2022	Business Cards	33.02
Inv 21232 Total		33.02
Inv	21283	
<u>Line Item Date</u>	<u>Line Item Description</u>	
01/13/2023	Guide to Doing Business Booklet	277.83
Inv 21283 Total		277.83
Inv	21293	
<u>Line Item Date</u>	<u>Line Item Description</u>	
01/25/2023	Police Department posters	131.20
Inv 21293 Total		131.20
Inv	22196	
<u>Line Item Date</u>	<u>Line Item Description</u>	
01/30/2023	Poster for Community Development	293.82
Inv 22196 Total		293.82

Check Number	Check Date	Amount
315949 Total:		735.87
CAN0607 - Cantu Graphics Inc. Total:		735.87
MATTCHAG - Chang, Matt		
315950	02/15/2023	
Inv	0076977/0077456	
<u>Line Item Date</u>	<u>Line Item Description</u>	
10/02/2023	Conference Parking Reimbursement	70.00
Inv 0076977/0077456 Total		70.00
Inv	2022246050	
<u>Line Item Date</u>	<u>Line Item Description</u>	
11/10/2023	Reimbursement for LA County Recorder Posting.	75.00
Inv 2022246050 Total		75.00
315950 Total:		145.00
MATTCHAG - Chang, Matt Total:		145.00
TIM4011 - Charter Communications		
315951	02/15/2023	
Inv	0357905010523	
<u>Line Item Date</u>	<u>Line Item Description</u>	
01/24/2023	Acct# 8448 30 008 0357905 (1/05/23 - 02/04/23)	130.52
Inv 0357905010523 Total		130.52
315951 Total:		130.52
TIM4011 - Charter Communications Total:		130.52
STPHCHCY - Chauncey, Stephen A		
315952	02/15/2023	
Inv	12/06-12/09/22	
<u>Line Item Date</u>	<u>Line Item Description</u>	
01/26/2023	Radar/Lidar Training for Officer Godoy 12/06-12/09/22	170.00
Inv 12/06-12/09/22 Total		170.00
315952 Total:		170.00
STPHCHCY - Chauncey, Stephen A Total:		170.00

CHE6010 - Chem Pro Laboratory, Inc.

315953	02/15/2023	
Inv	IN95611	
<u>Line Item Date</u>	<u>Line Item Description</u>	
10/27/2022	Monthly cleaning and treatment of City cooling tower-Oct 2022	153.00
Inv IN95611 Total		153.00
Inv	IN96723	
<u>Line Item Date</u>	<u>Line Item Description</u>	
11/01/2022	Monthly cleaning and treatment of City cooling tower-Nov 2022	153.00
Inv IN96723 Total		153.00
Inv	IN99693	
<u>Line Item Date</u>	<u>Line Item Description</u>	
12/01/2022	Monthly cleaning and treatment of City cooling tower-Dec 2022	153.00
Inv IN99693 Total		153.00
315953 Total:		459.00

CHE6010 - Chem Pro Laboratory, Inc. Total: 459.00

CINTAS - Cintas CORP No. 2

315954	02/15/2023	
Inv	4143565381	
<u>Line Item Date</u>	<u>Line Item Description</u>	
01/16/2023	Uniform Cleaning Services - January 2023	88.63
01/16/2023	Uniform Cleaning Services - January 2023	18.72
01/16/2023	Uniform Cleaning Services - January 2023	80.85
01/30/2023	Uniform Cleaning Services - January 2023	35.49
01/16/2023	Uniform Cleaning Services - January 2023	30.24
Inv 4143565381 Total		253.93
Inv	5140225644	
<u>Line Item Date</u>	<u>Line Item Description</u>	
01/10/2023	First Aid Cabinets and PW Vehicle Kits- Monthly Check Jan 2023	3.94
01/10/2023	First Aid Cabinets and PW Vehicle Kits- Monthly Check Jan2022	3.94
01/10/2023	First Aid Cabinets and PW Vehicle Kits- Monthly Check Jan 2023	3.94
01/10/2023	First Aid Cabinets and PW Vehicle Kits- Monthly Check Jan2022	3.94
01/10/2023	First Aid Cabinets and PW Vehicle Kits- Monthly Check Jan2022	3.94
01/10/2023	First Aid Cabinets and PW Vehicle Kits- Monthly Check Jan2022	3.94
01/10/2023	First Aid Cabinets and PW Vehicle Kits- Monthly Check Jan2022	3.94
01/10/2023	First Aid Cabinets and PW Vehicle Kits- Monthly Check Jan2022	3.95
Inv 5140225644 Total		31.53
Inv	9206366319	
<u>Line Item Date</u>	<u>Line Item Description</u>	

Check Number	Check Date	Amount
01/17/2023	First Aid Cabinet & AED Monthly Servicing - FY2022-2023	153.25
Inv 9206366319	Total	153.25
315954 Total:		438.71
CINTAS - Cintas CORP No. 2 Total:		438.71
ALPD4010 - City of Alhambra Police Department		
315955	02/15/2023	
Inv	SP12-2022	
<u>Line Item Date</u>	<u>Line Item Description</u>	
01/26/2023	Inmate housing for December 2022	2,580.00
Inv SP12-2022	Total	2,580.00
315955 Total:		2,580.00
ALPD4010 - City of Alhambra Police Department Total:		2,580.00
PAS4012 - City of Pasadena		
315956	02/15/2023	
Inv	30020474	
<u>Line Item Date</u>	<u>Line Item Description</u>	
01/17/2023	Forensic services 22-10733	270.60
Inv 30020474	Total	270.60
315956 Total:		270.60
PAS4012 - City of Pasadena Total:		270.60
SPMN3010 - City of South Pasadena		
315957	02/15/2023	
Inv	19126 - 1/18/23	
<u>Line Item Date</u>	<u>Line Item Description</u>	
01/25/2023	Water utility bill for Garfield park restrooms.11/14/22-01/10/23	439.33
Inv 19126 - 1/18/23	Total	439.33
315957 Total:		439.33
SPMN3010 - City of South Pasadena Total:		439.33
SOU5400 - City of South Pasadena Finance Petty Cash		
315958	02/15/2023	

Inv FIN-PettyCash

<u>Line Item Date</u>	<u>Line Item Description</u>	
01/31/2023	Petty Cash Reimbursement	37.01
01/31/2023	Petty Cash Reimbursement	145.62
01/31/2023	Petty Cash Reimbursement	84.70
01/31/2023	Petty Cash Reimbursement	236.31
01/31/2023	Petty Cash Reimbursement	62.00
01/31/2023	Petty Cash Reimbursement	80.16
01/31/2023	Petty Cash Reimbursement	11.98
01/31/2023	Petty Cash Reimbursement	60.00

Inv FIN-PettyCash Total 717.78

315958 Total: 717.78

SOU5400 - City of South Pasadena Finance Petty Cash Total: 717.78

SOU5340 - City of South Pasadena-Library Petty Cash

315959 02/15/2023

Inv 01/03/2023

<u>Line Item Date</u>	<u>Line Item Description</u>	
01/03/2023	2023 Rose Parade programs	22.05

Inv 01/03/2023 Total 22.05

Inv 01/12/2023

<u>Line Item Date</u>	<u>Line Item Description</u>	
01/12/2023	Postage to ship item to Bob Baker Marionette Theatre	4.16

Inv 01/12/2023 Total 4.16

Inv 01/20/2023

<u>Line Item Date</u>	<u>Line Item Description</u>	
01/20/2023	Blu Ray for Library Collection	21.53

Inv 01/20/2023 Total 21.53

Inv 08/18/2022

<u>Line Item Date</u>	<u>Line Item Description</u>	
08/18/2022	Comics for Library Collection	19.85

Inv 08/18/2022 Total 19.85

Inv 09/07/2022

<u>Line Item Date</u>	<u>Line Item Description</u>	
09/07/2022	Refreshments for consultant meeting	2.99

Inv 09/07/2022 Total 2.99

Inv 09/30/2022

<u>Line Item Date</u>	<u>Line Item Description</u>	
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Check Number	Check Date		Amount
09/30/2022		Magazine for Library Collection	14.26
Inv 09/30/2022 Total			14.26
Inv	12/22/2022		
<u>Line Item Date</u>		<u>Line Item Description</u>	
12/22/2022		Fed Ex shipping to return Quadient Postage machine	28.10
Inv 12/22/2022 Total			28.10
Inv	12/30/2022		
<u>Line Item Date</u>		<u>Line Item Description</u>	
12/30/2022		DVDs for Library Collection	67.68
Inv 12/30/2022 Total			67.68
315959 Total:			180.62
SOU5340 - City of South Pasadena-Library Petty Cash Total:			180.62
COP0708 - CopWare, Inc			
315960	02/15/2023		
Inv	86273		
<u>Line Item Date</u>		<u>Line Item Description</u>	
01/26/2023		Ca Peace Officers Legal Sourcebook-Yearly License for Police	965.00
Inv 86273 Total			965.00
315960 Total:			965.00
COP0708 - CopWare, Inc Total:			965.00
CRSR2010 - Corodata Shredding Inc.			
0	02/15/2023		
Inv	DN 1393062		
<u>Line Item Date</u>		<u>Line Item Description</u>	
12/31/2022		Shredding Services - December 2022	83.69
Inv DN 1393062 Total			83.69
0 Total:			83.69
CRSR2010 - Corodata Shredding Inc. Total:			83.69
CPR0551 - CPRS District XIII			
315961	02/15/2023		

Check Number	Check Date	Amount
Inv	CPRS D85 Event	
<u>Line Item Date</u>	<u>Line Item Description</u>	
01/26/2023	CPRS D13 Breakfast 3 Attendees: L.Hakobian, M.Synnyder, J.Bell	75.00
Inv CPRS D85 Event Total		75.00
315961 Total:		75.00
CPR0551 - CPRS District XIII Total:		75.00
CSGCONLT - CSG Consultants, Inc.		
315962	02/15/2023	
Inv	47329	
<u>Line Item Date</u>	<u>Line Item Description</u>	
11/15/2022	Entitlement Expediting Services (181,185,187 Monterey)	1,730.00
Inv 47329 Total		1,730.00
315962 Total:		1,730.00
CSGCONLT - CSG Consultants, Inc. Total:		1,730.00
CTCTCH - CTC Technology & Energy		
315963	02/15/2023	
Inv	23140090	
<u>Line Item Date</u>	<u>Line Item Description</u>	
01/26/2023	CENIC W1-FI and CENIC Broadband FY 2022-23	2,717.58
Inv 23140090 Total		2,717.58
315963 Total:		2,717.58
CTCTCH - CTC Technology & Energy Total:		2,717.58
DEL0771 - Delta Dental of California		
315964	02/15/2023	
Inv	BE005349445	
<u>Line Item Date</u>	<u>Line Item Description</u>	
02/01/2023	Dental Insurance Premiums - February 2023	12,371.94
Inv BE005349445 Total		12,371.94
315964 Total:		12,371.94
DEL0771 - Delta Dental of California Total:		12,371.94

Check Number	Check Date		Amount
GEMT5550 - Department of Health Care Services			
315965	02/15/2023		
Inv	GEM0223NFYA		
<u>Line Item Date</u>	<u>Line Item Description</u>		
01/30/2023	Fire - Ground Emergency Medical Transport Quality Assurance Fee		7,654.50
Inv GEM0223NFYA Total			7,654.50
315965 Total:			7,654.50
GEMT5550 - Department of Health Care Services Total:			7,654.50
PMLDONG - Dong, Pamella C.			
0	02/15/2023		
Inv	9211		
<u>Line Item Date</u>	<u>Line Item Description</u>		
01/23/2023	Contract Class Instructor- Senior Center Tai Chi		20.00
Inv 9211 Total			20.00
Inv	9213		
<u>Line Item Date</u>	<u>Line Item Description</u>		
01/23/2023	Contract Class Instructor- Senior Center Tai Chi Qi Gong Walk-In		4.00
Inv 9213 Total			4.00
0 Total:			24.00
PMLDONG - Dong, Pamella C. Total:			24.00
DDL8010 - Dr. Detail Ph.D LLC			
0	02/15/2023		
Inv	2748		
<u>Line Item Date</u>	<u>Line Item Description</u>		
01/18/2023	Dial-A-Ride Fleet Washing and Santizing for January		600.00
Inv 2748 Total			600.00
Inv	2751		
<u>Line Item Date</u>	<u>Line Item Description</u>		
01/26/2023	Camp Med Carpet cleaning service for upper and lower floors.		495.00
Inv 2751 Total			495.00
0 Total:			1,095.00
DDL8010 - Dr. Detail Ph.D LLC Total:			1,095.00

ELSRTIRE - El Sereno Tire Shop

315966 02/15/2023

Inv 02453

<u>Line Item Date</u>	<u>Line Item Description</u>	
01/20/2023	Patch for vehicle 79 (back left tire)	20.00

Inv 02453 Total 20.00

315966 Total: 20.00

ELSRTIRE - El Sereno Tire Shop Total:

20.00

ENT8216 - Entersect

315967 02/15/2023

Inv 123EP30995

<u>Line Item Date</u>	<u>Line Item Description</u>	
01/21/2023	EPO live search for Detectives	2.99

Inv 123EP30995 Total 2.99

315967 Total: 2.99

ENT8216 - Entersect Total:

2.99

LILESTDA - Estrada, Lilly

315968 02/15/2023

Inv 04/26/2022

<u>Line Item Date</u>	<u>Line Item Description</u>	
01/25/2023	Rater Lunch Reimbursement	36.54

Inv 04/26/2022 Total 36.54

Inv 07/20/2022

<u>Line Item Date</u>	<u>Line Item Description</u>	
01/25/2023	Post Office Reimbursement	73.60

Inv 07/20/2022 Total 73.60

315968 Total: 110.14

LILESTDA - Estrada, Lilly Total:

110.14

EXSF8020 - Extreme Safety

315969 02/15/2023

Inv 00107879

<u>Line Item Date</u>	<u>Line Item Description</u>
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Check Number	Check Date		Amount
01/30/2023		Equipment Maintenance - Fit Test	105.00
		Inv 00107879 Total	105.00
315969 Total:			105.00
EXSF8020 - Extreme Safety Total:			105.00
FED1109 - FedEx			
315970	02/15/2023		
		Inv 8-006-32203	
<u>Line Item Date</u>		<u>Line Item Description</u>	
01/13/2023		Shipment to background investigator	16.52
		Inv 8-006-32203 Total	16.52
315970 Total:			16.52
FED1109 - FedEx Total:			16.52
BTFELSR - Felser, Betsy			
315971	02/15/2023		
		Inv DI1114-01	
<u>Line Item Date</u>		<u>Line Item Description</u>	
01/23/2023		Drip Irrigation Rebate (Max Amount)- DI1114-01	300.00
		Inv DI1114-01 Total	300.00
315971 Total:			300.00
BTFELSR - Felser, Betsy Total:			300.00
FUNEXPRS - Fun Express, LLC			
315972	02/15/2023		
		Inv 722187338-01	
<u>Line Item Date</u>		<u>Line Item Description</u>	
01/17/2023		Lunar New Year supplies for Senior Center	90.21
		Inv 722187338-01 Total	90.21
315972 Total:			90.21
FUNEXPRS - Fun Express, LLC Total:			90.21
GALL5011 - Galls, LLC			
315973	02/15/2023		

Check Number	Check Date		Amount
Inv	023132036		
<u>Line Item Date</u>	<u>Line Item Description</u>		
01/30/2023	Fire - Safety uniform belt for Anderson		25.14
Inv 023132036 Total			25.14
Inv	023156305		
<u>Line Item Date</u>	<u>Line Item Description</u>		
01/30/2023	Fire - Safety uniform for Anderson		585.06
Inv 023156305 Total			585.06
315973 Total:			610.20
GALL5011 - Galls, LLC Total:			610.20
GLCI2997 - Graphic Electric Inc.			
315974	02/15/2023		
Inv	99987		
<u>Line Item Date</u>	<u>Line Item Description</u>		
11/15/2022	Troubleshoot and Repair Ballast Field Lights		5,650.69
Inv 99987 Total			5,650.69
315974 Total:			5,650.69
GLCI2997 - Graphic Electric Inc. Total:			5,650.69
CRHY8067 - Hartney, Corey			
0	02/15/2023		
Inv	9330		
<u>Line Item Date</u>	<u>Line Item Description</u>		
01/23/2023	Contract Class Instructor - Basketball January Beginner		429.00
Inv 9330 Total			429.00
Inv	9333		
<u>Line Item Date</u>	<u>Line Item Description</u>		
01/23/2023	Contract Class Instructor- Basketball January Intermediate		71.50
Inv 9333 Total			71.50
0 Total:			500.50
CRHY8067 - Hartney, Corey Total:			500.50
HDLC3011 - HdL Coren & Cone			

Check Number	Check Date		Amount
315975	02/15/2023		
Inv	SIN024993		
<u>Line Item Date</u>	<u>Line Item Description</u>		
01/24/2023	Contract Services - Property Tax: Quarterly (January - March)		3,249.26
Inv SIN024993 Total			3,249.26
315975 Total:			3,249.26
HDLC3011 - HdL Coren & Cone Total:			3,249.26
MOBPLAN - Henninger, Grant			
315976	02/15/2023		
Inv	169		
<u>Line Item Date</u>	<u>Line Item Description</u>		
01/17/2023	Housing Element Consultant		54,000.00
Inv 169 Total			54,000.00
315976 Total:			54,000.00
MOBPLAN - Henninger, Grant Total:			54,000.00
HOMCOMMU - Hom, Reagan			
315977	02/15/2023		
Inv	011723		
<u>Line Item Date</u>	<u>Line Item Description</u>		
01/17/2023	Electrical work on PD unit #1406		350.00
Inv 011723 Total			350.00
315977 Total:			350.00
HOMCOMMU - Hom, Reagan Total:			350.00
HOM1515 - Home Depot Credit Services			
315978	02/15/2023		
Inv	5351034		
<u>Line Item Date</u>	<u>Line Item Description</u>		
12/28/2022	Additional Battery for Ring Camera located at PW Yard		38.58
Inv 5351034 Total			38.58
Inv	WP56394013		
<u>Line Item Date</u>	<u>Line Item Description</u>		
01/03/2023	Second Additional Battery for Ring Camera located at PW Yard		38.58
Inv WP56394013 Total			38.58

Check Number	Check Date	Amount
315978 Total:		77.16
HOM1515 - Home Depot Credit Services Total:		77.16
MADHRTN - Horton, Madeleine		
315979	02/15/2023	
Inv 128253		
<u>Line Item Date</u>	<u>Line Item Description</u>	
01/24/2023	Refund of Rec Class due to class cancelation by instructor.	129.00
Inv 128253 Total		129.00
315979 Total:		129.00
MADHRTN - Horton, Madeleine Total:		129.00
JULIBARO - Ibaro, Julie		
315980	02/15/2023	
Inv 128333		
<u>Line Item Date</u>	<u>Line Item Description</u>	
01/24/2023	Refundable Sercurity deposit for WMB reservation.	561.00
Inv 128333 Total		561.00
315980 Total:		561.00
JULIBARO - Ibaro, Julie Total:		561.00
CDPS1020 - ICC General Code		
315981	02/15/2023	
Inv GC0007846		
<u>Line Item Date</u>	<u>Line Item Description</u>	
06/20/2022	Municipal Code - Ord Nos. 2357-2364	1,542.05
Inv GC0007846 Total		1,542.05
Inv GC0008710		
<u>Line Item Date</u>	<u>Line Item Description</u>	
09/30/2022	Municipal Code - Ord Nos. 2345-2348-2351-2353-2355- 2364 & 23	273.80
Inv GC0008710 Total		273.80
315981 Total:		1,815.85
CDPS1020 - ICC General Code Total:		1,815.85

JSAR4011 - Jack's Auto Repair

315982 02/15/2023

Inv 17961

<u>Line Item Date</u>	<u>Line Item Description</u>	
01/18/2023	Repair to catalytic converter pipe for vehicle 79.	275.00

Inv 17961 Total 275.00

315982 Total: 275.00

JSAR4011 - Jack's Auto Repair Total:

275.00

JKPRPTY - JK Property Management Services, Inc.

315983 02/15/2023

Inv 2662

<u>Line Item Date</u>	<u>Line Item Description</u>	
12/12/2022	Holiday Lights and Decor Display, Storage, Installation, Removal	31,210.00

Inv 2662 Total 31,210.00

Inv 2663

<u>Line Item Date</u>	<u>Line Item Description</u>	
12/12/2022	Holiday Lights and Decor Display, Storage, Installation, Removal	19,505.00

Inv 2663 Total 19,505.00

315983 Total: 50,715.00

JKPRPTY - JK Property Management Services, Inc. Total:

50,715.00

KOAC6010 - KOA Corporation

315984 02/15/2023

Inv JC11001 - 2

<u>Line Item Date</u>	<u>Line Item Description</u>	
10/18/2022	Engineering Design Services for North-South Corridor Transportation	285.50
10/18/2022	Engineering Design Services for North-South Corridor Transportation	2,569.50

Inv JC11001 - 2 Total 2,855.00

Inv JC11001 - 4

<u>Line Item Date</u>	<u>Line Item Description</u>	
12/14/2022	Engineering Design Services for North-South Corridor Transportation	29,127.94
12/14/2022	Engineering Design Services for North-South Corridor Transportation	3,236.44

Inv JC11001 - 4 Total 32,364.38

Inv JC11001 - 5

<u>Line Item Date</u>	<u>Line Item Description</u>	
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Check Number	Check Date		Amount
01/24/2023		Engineering Design Services for North-South Corridor Transportation	42,792.42
01/24/2023		Engineering Design Services for North-South Corridor Transportation	4,754.71
		Inv JC11001 - 5 Total	47,547.13
315984 Total:			82,766.51
KOAC6010 - KOA Corporation Total:			82,766.51
JSHKRV - Krilov, Josh			
315985	02/15/2023		
		Inv 128234	
<u>Line Item Date</u>		<u>Line Item Description</u>	
01/24/2023		Refund request of Gazebo due to weather.	134.00
		Inv 128234 Total	134.00
315985 Total:			134.00
JSHKRV - Krilov, Josh Total:			134.00
CUR7778 - L.N. Curtis & Sons			
315986	02/15/2023		
		Inv INV666548	
<u>Line Item Date</u>		<u>Line Item Description</u>	
01/30/2023		Fire - 240V Charger for vehicle	575.51
		Inv INV666548 Total	575.51
315986 Total:			575.51
CUR7778 - L.N. Curtis & Sons Total:			575.51
LAPG8520 - LA Police Gear Inc.			
315987	02/15/2023		
		Inv IV01959647	
<u>Line Item Date</u>		<u>Line Item Description</u>	
01/24/2023		Pepper spray for officers	749.70
		Inv IV01959647 Total	749.70
315987 Total:			749.70
LAPG8520 - LA Police Gear Inc. Total:			749.70
LDCR6410 - LandCare USA LLC			

Check Number	Check Date		Amount
0	02/15/2023		
Inv	547918		
<u>Line Item Date</u>	<u>Line Item Description</u>		
08/31/2022	Landscape and Lighting Maint. District-Aug 2022		4,227.30
08/31/2022	Prop A Park Maintenance-Aug 2022		1,233.21
08/31/2022	Water Distribution-Aug 2022		1,669.68
08/31/2022	Park Maintenance Contract Services-Aug 2022		17,223.90
Inv 547918 Total			24,354.09
Inv	578546		
<u>Line Item Date</u>	<u>Line Item Description</u>		
11/30/2022	Park Maintenance Contract Services-Nov 2022		17,223.90
11/30/2022	Landscape and Lighting Maint. District-Nov 2022		4,227.30
11/30/2022	Prop A Park Maintenance-Nov 2022		1,233.21
11/30/2022	Water Distribution-Nov 2022		1,669.68
Inv 578546 Total			24,354.09
Inv	587702		
<u>Line Item Date</u>	<u>Line Item Description</u>		
12/31/2022	Park Maintenance Contract Services		20,491.56
12/31/2022	Water Distribution-Dec 2022		1,669.68
12/31/2022	Landscape and Lighting Maint. District-Dec 2022		959.64
12/31/2022	Prop A Park Maintenance-Dec 2022		1,233.21
Inv 587702 Total			24,354.09
0 Total:			73,062.27
LDCR6410 - LandCare USA LLC Total:			73,062.27
ZZLI3012 - Li, Zhenzhen			
315988	02/15/2023		
Inv	DW1206-01		
<u>Line Item Date</u>	<u>Line Item Description</u>		
01/23/2023	Residential Rebate for Water Efficient Dishwasher. DW1206-01.		499.99
Inv DW1206-01 Total			499.99
315988 Total:			499.99
ZZLI3012 - Li, Zhenzhen Total:			499.99
MMV9126 - Mission Meridian Village POA			
315989	02/15/2023		
Inv	101-102		
<u>Line Item Date</u>	<u>Line Item Description</u>		
12/20/2022	Mission Meridian HOA Parking Dues - Dec'22		1,730.17

Check Number	Check Date	Amount
Inv 101-102 Total		1,730.17
Inv 103		
<u>Line Item Date</u>	<u>Line Item Description</u>	
12/20/2022	Mission Meridian HOA Parking Dues - Dec'22	804.13
Inv 103 Total		804.13
315989 Total:		2,534.30
MMV9126 - Mission Meridian Village POA Total:		2,534.30
MOR2900 - Morrow & Holman Plumbing Inc		
315990	02/15/2023	
Inv P-11-19981		
<u>Line Item Date</u>	<u>Line Item Description</u>	
11/15/2022	Emergency Plumbing-PD Womens Restroom Plumbing	148.31
Inv P-11-19981 Total		148.31
Inv P-11-20024		
<u>Line Item Date</u>	<u>Line Item Description</u>	
11/21/2022	Emergency Plumbing-PD Womens Locker room Issues	181.25
Inv P-11-20024 Total		181.25
315990 Total:		329.56
MOR2900 - Morrow & Holman Plumbing Inc Total:		329.56
OVD8011 - OverDrive Inc.		
0	02/15/2023	
Inv 01148CO23008430		
<u>Line Item Date</u>	<u>Line Item Description</u>	
01/10/2023	eBooks / eAudiobooks	2,577.06
Inv 01148CO23008430 Total		2,577.06
Inv 01148CO23010645		
<u>Line Item Date</u>	<u>Line Item Description</u>	
01/11/2023	eBooks / eAudiobooks	777.09
Inv 01148CO23010645 Total		777.09
0 Total:		3,354.15
OVD8011 - OverDrive Inc. Total:		3,354.15

Check Number	Check Date		Amount
PWP4465 - Pasadena Water & Power			
315991	02/15/2023		
Inv	11/14-12/12/22		
<u>Line Item Date</u>	<u>Line Item Description</u>		
01/26/2023	City Of Pasadena water purchase Nov-Dec 2022		2,576.51
Inv 11/14-12/12/22 Total			2,576.51
315991 Total:			2,576.51
PWP4465 - Pasadena Water & Power Total:			2,576.51
PHOE4610 - Phoenix Group Information Systems			
315992	02/15/2023		
Inv	122022184		
<u>Line Item Date</u>	<u>Line Item Description</u>		
01/24/2023	Citations processed for the month of December 2022		3,605.48
Inv 122022184 Total			3,605.48
315992 Total:			3,605.48
PHOE4610 - Phoenix Group Information Systems Total:			3,605.48
PDI417 - Plumbers Depot Inc.			
315993	02/15/2023		
Inv	PD-52351		
<u>Line Item Date</u>	<u>Line Item Description</u>		
11/10/2022	Sewer Maintenance-Plug for Storm Drains		1,683.02
Inv PD-52351 Total			1,683.02
315993 Total:			1,683.02
PDI417 - Plumbers Depot Inc. Total:			1,683.02
POS5265 - Post Alarm Systems			
0	02/15/2023		
Inv	1550172		
<u>Line Item Date</u>	<u>Line Item Description</u>		
01/04/2023	Post Alarm Services for Orange Grove Recreation Center		54.33
01/04/2023	Post Alarm Services for War Memorial Building		54.33
Inv 1550172 Total			108.66
0 Total:			108.66

POS5265 - Post Alarm Systems Total:	108.66
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PSOMAS - PSOMAS

315994 02/15/2023

Inv 192346

<u>Line Item Date</u>	<u>Line Item Description</u>	
01/23/2023	Assistance with General Plan & Downtown Specific Update	320.00

Inv 192346 Total	320.00
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315994 Total:	320.00
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PSOMAS - PSOMAS Total:	320.00
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QUI5869 - Quill Corporation

315995 02/15/2023

Inv 30042938

<u>Line Item Date</u>	<u>Line Item Description</u>	
01/10/2023	Wet Floor Caution fold-up signs	115.73

Inv 30042938 Total	115.73
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315995 Total:	115.73
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QUI5869 - Quill Corporation Total:	115.73
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QUI7779 - Quinn Company

315996 02/15/2023

Inv PC810948614

<u>Line Item Date</u>	<u>Line Item Description</u>	
05/02/2022	Annual Maintenance for Street Roadway Machinery-Hydraulic fluid	392.36

Inv PC810948614 Total	392.36
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Inv PC810960477

<u>Line Item Date</u>	<u>Line Item Description</u>	
01/26/2023	Annual Maintenance for Street Roadway Machinery-Hydraulic fluid	439.37

Inv PC810960477 Total	439.37
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Inv PC810962928

<u>Line Item Date</u>	<u>Line Item Description</u>	
10/17/2022	Annual Maintenance for Street Roadway Machinery-Hydraulic fluid	1,464.56

Inv PC810962928 Total	1,464.56
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Check Number	Check Date		Amount
Inv	WO810243464		
<u>Line Item Date</u>	<u>Line Item Description</u>		
11/09/2022	Annual Maintenance for Street Roadway Machinery-Hydraulic fluid		2,135.50
Inv	WO810243464 Total		2,135.50
315996 Total:			4,431.79
QUI7779 - Quinn Company Total:			4,431.79
RTPC5500 - Regional TAP Service Center			
315997	02/15/2023		
Inv	6018469		
<u>Line Item Date</u>	<u>Line Item Description</u>		
01/18/2023	Metro 30 Day Senior Bus Pass subsidy payment for December 2022		212.00
Inv	6018469 Total		212.00
315997 Total:			212.00
RTPC5500 - Regional TAP Service Center Total:			212.00
RHCC7101 - Rio Hondo College			
315998	02/15/2023		
Inv	F22-400-ZSPS		
<u>Line Item Date</u>	<u>Line Item Description</u>		
01/26/2023	Driver Training for Officer Giron on 12/09/2022		25.00
Inv	F22-400-ZSPS Total		25.00
315998 Total:			25.00
RHCC7101 - Rio Hondo College Total:			25.00
RIPU8540 - Roadline Products Inc. USA			
315999	02/15/2023		
Inv	18189		
<u>Line Item Date</u>	<u>Line Item Description</u>		
11/21/2022	Street Maintenance-Equipment sign post and anchors		912.87
Inv	18189 Total		912.87
315999 Total:			912.87
RIPU8540 - Roadline Products Inc. USA Total:			912.87

Check Number	Check Date		Amount
SGVMC111 - San Gabriel Valley Medical Center			
316000	02/15/2023		
Inv	899936		
<u>Line Item Date</u>	<u>Line Item Description</u>		
01/26/2023	Blood alcohol withdrawal # 899936		48.00
Inv 899936 Total			48.00
316000 Total:			48.00
SGVMC111 - San Gabriel Valley Medical Center Total:			48.00
SAXE2013 - Saxe-Clifford PH.D, Susan			
316001	02/15/2023		
Inv	22-1229-7		
<u>Line Item Date</u>	<u>Line Item Description</u>		
01/30/2023	Fire - Psychological evaluation for firefighter applicant		450.00
Inv 22-1229-7 Total			450.00
316001 Total:			450.00
SAXE2013 - Saxe-Clifford PH.D, Susan Total:			450.00
SEITECIN - SEITec, Inc.			
316002	02/15/2023		
Inv	1027-002-2		
<u>Line Item Date</u>	<u>Line Item Description</u>		
12/19/2022	Technical services to assist City in stormwater project funding,		917.10
Inv 1027-002-2 Total			917.10
Inv	1027-003-2		
<u>Line Item Date</u>	<u>Line Item Description</u>		
12/19/2022	Technical services to assist City in stormwater project funding,		2,507.53
Inv 1027-003-2 Total			2,507.53
Inv	1027-004-2		
<u>Line Item Date</u>	<u>Line Item Description</u>		
12/19/2022	Technical services to assist City in stormwater project funding,		3,953.96
Inv 1027-004-2 Total			3,953.96
316002 Total:			7,378.59
SEITECIN - SEITec, Inc. Total:			7,378.59

Check Number	Check Date		Amount
SHO7777 - Showcases			
0	02/15/2023		
Inv	325512		
<u>Line Item Date</u>	<u>Line Item Description</u>		
01/20/2023	DVD cases		432.00
Inv 325512 Total			432.00
0 Total:			432.00
SHO7777 - Showcases Total:			432.00
WLST8267 - Shuttic, William 101-8030-8021-8267-000			
0	02/15/2023		
Inv	9178		
<u>Line Item Date</u>	<u>Line Item Description</u>		
01/26/2023	Contract Instructor-Jan Senior monthly Functional Fitness class		140.00
Inv 9178 Total			140.00
0 Total:			140.00
WLST8267 - Shuttic, William Total:			140.00
STA5219 - Staples Business Advantage			
0	02/15/2023		
Inv	3518931697		
<u>Line Item Date</u>	<u>Line Item Description</u>		
09/28/2022	Yard Breakroom supplies		9.76
09/28/2022	Yard Breakroom supplies		9.76
09/28/2022	Yard Breakroom supplies		9.76
09/28/2022	Yard Breakroom supplies		9.76
09/28/2022	Yard Breakroom supplies		9.76
09/28/2022	Yard Breakroom supplies		9.76
Inv 3518931697 Total			58.56
Inv	3521880879		
<u>Line Item Date</u>	<u>Line Item Description</u>		
10/29/2022	Office Supplies		42.46
Inv 3521880879 Total			42.46
Inv	3525445476		
<u>Line Item Date</u>	<u>Line Item Description</u>		
12/13/2022	Credit Memo		-491.72
Inv 3525445476 Total			-491.72

Check Number	Check Date	Amount
Inv	3525615702	
<u>Line Item Date</u>	<u>Line Item Description</u>	
12/15/2022	Office Supplies & First Aid	202.77
Inv 3525615702 Total		202.77
Inv	3527217441	
<u>Line Item Date</u>	<u>Line Item Description</u>	
01/26/2023	Recreation Office Supplies	100.40
Inv 3527217441 Total		100.40
Inv	3527565068	
<u>Line Item Date</u>	<u>Line Item Description</u>	
01/30/2023	Fire - General office supplies	71.43
Inv 3527565068 Total		71.43
Inv	3527637844	
<u>Line Item Date</u>	<u>Line Item Description</u>	
01/11/2023	Office Supples - Coffee, Toner, Cables, Mesh.	407.90
Inv 3527637844 Total		407.90
Inv	3527789926	
<u>Line Item Date</u>	<u>Line Item Description</u>	
01/13/2023	Police Department Office Supplies	171.20
Inv 3527789926 Total		171.20
Inv	3527980618	
<u>Line Item Date</u>	<u>Line Item Description</u>	
01/14/2023	Yard Breakroom supplies	9.76
01/14/2023	Yard Breakroom supplies	9.76
01/14/2023	Yard Breakroom supplies	9.76
01/14/2023	Yard Breakroom supplies	9.76
01/14/2023	Yard Breakroom supplies	9.76
01/14/2023	Yard Breakroom supplies	9.76
Inv 3527980618 Total		58.56
Inv	3528205304	
<u>Line Item Date</u>	<u>Line Item Description</u>	
01/19/2023	Binders, paper clips, scotch tape, thermal register rolls	74.39
Inv 3528205304 Total		74.39
Inv	3528205305	
<u>Line Item Date</u>	<u>Line Item Description</u>	
01/13/2023	Police Department Office Supplies	253.54

Check Number	Check Date	Amount
Inv 3528205305 Total		253.54
Inv 3528205306		
<u>Line Item Date</u>	<u>Line Item Description</u>	
01/19/2023	Police Department Office Supplies	289.52
Inv 3528205306 Total		289.52
Inv 3528586477		
<u>Line Item Date</u>	<u>Line Item Description</u>	
01/24/2023	Office Supplies	130.38
Inv 3528586477 Total		130.38
Inv 3528701395		
<u>Line Item Date</u>	<u>Line Item Description</u>	
01/25/2023	Office Supplies	98.48
Inv 3528701395 Total		98.48
Inv 3528701396		
<u>Line Item Date</u>	<u>Line Item Description</u>	
01/30/2023	Fire - General office supplies	54.89
Inv 3528701396 Total		54.89
Inv 3528855563		
<u>Line Item Date</u>	<u>Line Item Description</u>	
01/27/2023	Office Supplies	17.63
Inv 3528855563 Total		17.63
0 Total:		1,540.39
STA5219 - Staples Business Advantage Total:		1,540.39
SCRR4010 - Superior Court of California, County of LA		
316003 02/15/2023		
Inv December 2022		
<u>Line Item Date</u>	<u>Line Item Description</u>	
01/24/2023	Citations processed for the month of December 2022	3,443.00
Inv December 2022 Total		3,443.00
316003 Total:		3,443.00
SCRR4010 - Superior Court of California, County of LA Total:		3,443.00
SWRCB900 - SWRCB		

Check Number	Check Date		Amount
0	02/15/2023		
Inv	WD-0214717		
<u>Line Item Date</u>	<u>Line Item Description</u>		
12/08/2022	NPDES Permit Fees FY 2022-23		794.00
Inv	WD-0214717 Total		794.00
0 Total:			794.00
SWRCB900 - SWRCB Total:			794.00
COBR7131 - The Advantage Group			
0	02/15/2023		
Inv	152704		
<u>Line Item Date</u>	<u>Line Item Description</u>		
01/30/2023	HRA Administration Fee - January 2023		306.00
Inv	152704 Total		306.00
Inv	February		
<u>Line Item Date</u>	<u>Line Item Description</u>		
01/30/2023	HRA Retiree Premiums - February 2023		16,246.80
Inv	February Total		16,246.80
0 Total:			16,552.80
COBR7131 - The Advantage Group Total:			16,552.80
CAPEACEO - The California Peace Officers' Association			
316004	02/15/2023		
Inv	346910		
<u>Line Item Date</u>	<u>Line Item Description</u>		
01/26/2023	Public Records Act Training for Clerk Ochoa		250.00
Inv	346910 Total		250.00
Inv	346920		
<u>Line Item Date</u>	<u>Line Item Description</u>		
01/26/2023	Public Records Act Training for Clerk Ramirez		250.00
Inv	346920 Total		250.00
316004 Total:			500.00
CAPEACEO - The California Peace Officers' Association Total:			500.00

TRA5998 - Transtech Engineers, Inc.

0	02/15/2023		
Inv	20215689		
<u>Line Item Date</u>	<u>Line Item Description</u>		
04/30/2022	1818 Peterson Soils Report		1,590.00
Inv 20215689 Total			1,590.00
Inv	20216464		
<u>Line Item Date</u>	<u>Line Item Description</u>		
05/31/2022	23 Short Way Soils Report		1,534.00
Inv 20216464 Total			1,534.00
Inv	202231066		
<u>Line Item Date</u>	<u>Line Item Description</u>		
12/31/2022	Transtech Building & Safety Services: (December 2022)		19,144.50
Inv 202231066 Total			19,144.50
Inv	20231065		
<u>Line Item Date</u>	<u>Line Item Description</u>		
11/30/2022	Transtech Plan Check Services: (November 2022)		24,459.62
Inv 20231065 Total			24,459.62
Inv	20231067		
<u>Line Item Date</u>	<u>Line Item Description</u>		
12/31/2022	#20231067-Dec 2022		245.00
Inv 20231067 Total			245.00
0 Total:			46,973.12

TRA5998 - Transtech Engineers, Inc. Total: 46,973.12

TTTC6710 - TT Technologies, Inc.

316005	02/15/2023		
Inv	TT76618		
<u>Line Item Date</u>	<u>Line Item Description</u>		
01/16/2023	Cable Grip Replacement-Water Div.		1,172.37
Inv TT76618 Total			1,172.37
316005 Total:			1,172.37

TTTC6710 - TT Technologies, Inc. Total: 1,172.37

ULIN8021 - Uline, Inc.

Check Number	Check Date		Amount
0	02/15/2023		
Inv	80303354		
<u>Line Item Date</u>	<u>Line Item Description</u>		
01/19/2023	Replacement of round tables for WMB		1,233.84
Inv 80303354 Total			1,233.84
Inv	85620281		
<u>Line Item Date</u>	<u>Line Item Description</u>		
01/19/2023	Interior trash cans for Eddie Park House & the Youth House		653.34
Inv 85620281 Total			653.34
0 Total:			1,887.18
ULIN8021 - Uline, Inc. Total:			1,887.18
POR4707 - United Site Services, Inc.			
316006	02/15/2023		
Inv	INV-01297728		
<u>Line Item Date</u>	<u>Line Item Description</u>		
12/27/2022	Portable Toilet at Skate Park: 12/27/22-01/23/23		368.34
Inv INV-01297728 Total			368.34
316006 Total:			368.34
POR4707 - United Site Services, Inc. Total:			368.34
UPP7789 - Upper San Gabriel Valley MWD			
316007	02/15/2023		
Inv	So-Pas-01.06.23		
<u>Line Item Date</u>	<u>Line Item Description</u>		
01/23/2023	MWD Co-Fund December 2022		3,877.00
Inv So-Pas-01.06.23 Total			3,877.00
Inv	SoPas-11.15.22		
<u>Line Item Date</u>	<u>Line Item Description</u>		
01/23/2023	MWD Co-Fund October 2022		1,159.97
Inv SoPas-11.15.22 Total			1,159.97
Inv	SoPas-12.15.22		
<u>Line Item Date</u>	<u>Line Item Description</u>		
01/23/2023	MWD Co-Fund November 2022		415.00
Inv SoPas-12.15.22 Total			415.00

Check Number	Check Date	Amount
316007 Total:		5,451.97
UPP7789 - Upper San Gabriel Valley MWD Total:		5,451.97
LUVA8110 - Vazquez, Luis		
316008	02/15/2023	
Inv	1/27/2023	
<u>Line Item Date</u>	<u>Line Item Description</u>	
01/30/2023	Fire - Refund for training	300.00
Inv 1/27/2023 Total		300.00
316008 Total:		300.00
LUVA8110 - Vazquez, Luis Total:		300.00
VERW6711 - Verizon Wireless		
316009	02/15/2023	
Inv	9925580308	
<u>Line Item Date</u>	<u>Line Item Description</u>	
01/17/2023	AN 842311063-00002 (12/18/22-1/17/23) Fire Ipads	765.13
Inv 9925580308 Total		765.13
316009 Total:		765.13
VERW6711 - Verizon Wireless Total:		765.13
VTMS4011 - Vital Medical Services, LLC		
316010	02/15/2023	
Inv	4058	
<u>Line Item Date</u>	<u>Line Item Description</u>	
12/31/2022	Calls for service 12.31.22, DR #22-18909, DR# 22-18998	939.00
Inv 4058 Total		939.00
316010 Total:		939.00
VTMS4011 - Vital Medical Services, LLC Total:		939.00
WES4152 - West Coast Arborists, Inc.		
0	02/15/2023	
Inv	193716	
<u>Line Item Date</u>	<u>Line Item Description</u>	
11/30/2022	Street Maintenance Professional Services-11/16/22-11/30/22	23,620.00
11/30/2022	Street Tree Maintenance In-Lieu Tree Planting-11/16/22-11/30/22	1,696.00

Check Number	Check Date		Amount
Inv 193716		Total	25,316.00
Inv 194246			
<u>Line Item Date</u>	<u>Line Item Description</u>		
12/15/2022	Street Maintenance Professional Services-12/1/2022-12/15/2022		775.00
12/15/2022	St. Tree Maint. Annual Tree Planting & Removal 12/1/22-12/15/22		720.00
12/15/2022	Street Maintenance Contract Services-12/1/2022-12/15/2022		7,940.00
Inv 194246		Total	9,435.00
Inv 194247			
<u>Line Item Date</u>	<u>Line Item Description</u>		
12/15/2022	Street Maintenance Professional Services 12/1/2022-12/15/2022		340.00
Inv 194247		Total	340.00
Inv 194595			
<u>Line Item Date</u>	<u>Line Item Description</u>		
12/31/2023	St. Tree Maint. Annual Tree Planting & Removal 12/16/22-12/31/22		2,700.00
12/31/2022	Park Maintenance Contract Services 12/16/2022-12/31/2022		1,905.00
Inv 194595		Total	4,605.00
0 Total:			39,696.00
WES4152 - West Coast Arborists, Inc. Total:			39,696.00
WLHD8020 - Westlake Hardware			
0	02/15/2023		
Inv 14303042			
<u>Line Item Date</u>	<u>Line Item Description</u>		
10/18/2022	Fire - Insect traps		223.15
Inv 14303042		Total	223.15
Inv 14303160			
<u>Line Item Date</u>	<u>Line Item Description</u>		
12/01/2022	Hardware Supplies for Public Works Dep.-Water Div		356.85
Inv 14303160		Total	356.85
Inv 14303225			
<u>Line Item Date</u>	<u>Line Item Description</u>		
12/20/2022	Hardware Supplies for Public Works Dep.-Facilities Div		66.11
Inv 14303225		Total	66.11
0 Total:			646.11

WLHD8020 - Westlake Hardware Total: 646.11

WHI6410 - Whittier Fertilizer Co.

316011 02/15/2023
 Inv 393462

<u>Line Item Date</u>	<u>Line Item Description</u>	
11/16/2022	Soil Mix for Arroyo North and South (AYSO)	66.15

Inv 393462 Total 66.15

Inv 393655

<u>Line Item Date</u>	<u>Line Item Description</u>	
11/22/2022	Soil Mix for Arroyo North and South (AYSO)	129.10

Inv 393655 Total 129.10

316011 Total: 195.25

WHI6410 - Whittier Fertilizer Co. Total: 195.25

WIL2010 - Willdan Engineering

316012 02/15/2023
 Inv 00418094

<u>Line Item Date</u>	<u>Line Item Description</u>	
01/17/2023	On-Call Construction Mgmt. - Fair Oaks Signal Project	1,042.75
01/17/2023	On-Call Construction Mgmt. - Fair Oaks Signal Project	1,042.75

Inv 00418094 Total 2,085.50

316012 Total: 2,085.50

WIL2010 - Willdan Engineering Total: 2,085.50

PUFG8267 - Wong, Pauline Sam

0 02/15/2023
 Inv 9185

<u>Line Item Date</u>	<u>Line Item Description</u>	
01/26/2023	Contract Instructor- Jan Senior Line Dance Monthly	48.00

Inv 9185 Total 48.00

Inv 9187

<u>Line Item Date</u>	<u>Line Item Description</u>	
01/26/2023	Contract Instructor- Jan Senior Line Dance Walk-In	184.00

Inv 9187 Total 184.00

Check Number	Check Date	Amount
Inv 9359		
<u>Line Item Date</u>	<u>Line Item Description</u>	
01/26/2023	Contract Instructor- Jan Adult Line Dance Monthly Beginner	13.00
Inv 9359 Total		13.00
Inv 9361		
<u>Line Item Date</u>	<u>Line Item Description</u>	
01/26/2023	Contract Instructor- Jan Senior Line Dance Monthly Intermediate	26.00
Inv 9361 Total		26.00
Inv 9726		
<u>Line Item Date</u>	<u>Line Item Description</u>	
01/26/2023	Contract Instructor- Jan Adult Line Dance Walk-In	104.00
Inv 9726 Total		104.00
0 Total:		375.00
PUFG8267 - Wong, Pauline Sam Total:		375.00
YTH1023 - Y Tire Performance LLC		
316013	02/15/2023	
Inv 33926		
<u>Line Item Date</u>	<u>Line Item Description</u>	
12/10/2022	Vehicle Maintenance for Street Division Unit # 330	2,682.31
Inv 33926 Total		2,682.31
Inv 34096		
<u>Line Item Date</u>	<u>Line Item Description</u>	
11/02/2022	Vehicle Maintenance for Street Division-New Tire-PW Prius	93.42
Inv 34096 Total		93.42
Inv 34339		
<u>Line Item Date</u>	<u>Line Item Description</u>	
12/10/2022	Vehicle Maintenance for Street Division Unit # 327	2,009.23
Inv 34339 Total		2,009.23
316013 Total:		4,784.96
YTH1023 - Y Tire Performance LLC Total:		4,784.96
CHGFYNG - Yang, Ching F		
316014	02/15/2023	

Check Number	Check Date	Amount
Inv	DI0123-01	
<u>Line Item Date</u>	<u>Line Item Description</u>	
01/23/2023	Residential Rebate for Drip Irrigation	300.00
Inv DI0123-01 Total		300.00
316014 Total:		300.00
CHGFYNG - Yang, Ching F Total:		300.00
ZUMAR103 - Zumar Industries, Inc.		
0	02/15/2023	
Inv	97902	
<u>Line Item Date</u>	<u>Line Item Description</u>	
10/13/2022	Signs for Library Park	1,002.25
Inv 97902 Total		1,002.25
0 Total:		1,002.25
ZUMAR103 - Zumar Industries, Inc. Total:		1,002.25
Total:		533,501.77

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ATTACHMENT 4

Online Payments

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City of
SOUTH PASADENA

Online Payment Log			
Date	Vendor	Amount	Description
1/30/2023	So Cal Edison	\$26,830.11	Online Payment for City Owned So Cal Edison Account 33859.
2/2/2023	So Cal Edison	\$73,432.15	Online Payment for City Owned So Cal Edison Account 11581.

Total: **\$100,262.26**

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ATTACHMENT 5
Prepaid &Warrant Voids

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Accounts Payable

Void Check Proof List

User: calvarez
Printed: 02/01/2023 - 8:08AM
Batch: 00001.02.2023



Account Number	Amount	Invoice No	Inv Date	Description	Reference	Task Label	Type	PONumber	Close PO?	Line Item
Vendor: CRSR2010				Corodata Shredding Inc.						
Check No: 0				Check Date: 02/01/2023						
	108.94	DN 1393062	12/31/2022	Shredding Services - December					No	0
101-2030-2033-8180-000										
Check Total:	108.94									
Vendor Total:	108.94									
Report Total:	108.94									

Accounts Payable

Void Check Proof List

User: calvarez
 Printed: 02/06/2023 - 4:02PM
 Batch: 00002.02.2023



Account Number	Amount	Invoice No	Inv Date	Description	Reference	Task Label	Type	PONumber	Close PO?	Line Item
Vendor: ASOP8030				Aire Serv of Pasadena						
Check No: 315710				Check Date: 01/18/2023						
101-6010-6601-8120-000	1,255.00	AZ76083592	07/02/2022	HVAC System for San Pasqual Stables					No	0
Check Total:	1,255.00									
Vendor Total:	1,255.00									
Report Total:	1,255.00									

ATTACHMENT 6
Payroll Summary

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Payroll

Payroll Summary Report



Payroll Date: 1/26/2023 Off-Cycle

Checks	\$	-
Direct Deposits	\$	1,466.73
IRS Payments	\$	43.50
EDD - State of CA	\$	11.52
PERS Pension	\$	-
Deferred Comp	\$	-
PERS Health	\$	-
Subtotal:	\$	1,521.75

Payroll Date: 2/3/2023 Regular

Checks	\$	-
Direct Deposits	\$	488,619.47
IRS Payments	\$	107,136.49
EDD - State of CA	\$	32,409.51
PERS Pension	\$	123,595.41
Deferred Comp	\$	25,729.88
PERS Health	\$	187,851.52
Subtotal:	\$	965,342.28

Grand Total: **\$ 966,864.03**

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City Council Agenda Report

ITEM NO. 6

DATE: February 15, 2023

FROM: Arminé Chaparyan, City Manager *PCM TR AC*

PREPARED BY: John Downs, Interim Finance Director
Hsiulee Tran, Deputy Finance Director/Controller
Albert Trinh, Finance Manager

SUBJECT: **Monthly Investment Report for December 2022**

Recommendation

It is recommended that the City Council receive and file the Monthly Investment Report for December 2022.

Background

As required by law, a monthly investment report, which includes water bond funds, is presented to the City Council disclosing investment activities, types of investments, dates of maturities, amounts of deposits, rates of interest, and securities with a maturity of more than 12 months at current market values.

The reports reflect all investments at the above-referenced date and conform to the California Government Code, Section 53600 et. seq., and the City Investment Policy adopted by Resolution No. 7635. A copy of the Resolution is available in the City Clerk's Office.

Analysis

The Monthly Investment Report provides a detailed report of the City's investments in various bonds and the Local Agency Investment Fund (LAIF). The report reflects that the City complies with the reporting requirements of California Government Code Section 53646, whereby the agency must describe the investments made, indicate monies under the management of contracted parties, discuss compliance with local investment policy, and discuss whether the agency can meet its expenditure requirements for the next six months. Investments herein provide sufficient cash flow liquidity to meet the estimated expenditures, as required in the investment policy.

Key Performance Indicators and Strategic Plan

This item is in line with the Finance Department's Key Performance Indicator. The Monthly Investment Report is prepared in a timely manner.

Monthly Investment Report for December 2022

Page 2 of 2

Fiscal Impact

There is no fiscal impact associated with this recommendation.

Commission Review and Recommendation

Item not required to be reviewed by a commission.

Attachment: City Investment Report for December 2022

ATTACHMENT 1
City Investment Reports for December 2022

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Exhibit A
City of South Pasadena
INVESTMENT REPORT
December 31, 2022

Investment Balances at Month End

INSTITUTION NAME	MATURITY DATE	CURRENT YIELD	PERCENT OF PORTFOLIO	COST	CURRENT MARKET VALUE *
LOCAL AGENCY INVESTMENT FUND:					
LAIF City	ON DEMAND	2.173%	24.37%	15,663,303.28	15,663,303.28
SUBTOTAL			24.37%	\$ 15,663,303.28	\$ 15,663,303.28
ZIONS BANK					
Corporate Bonds	See Exhibit B-1	2.92%	22.22%	14,283,772.11	13,587,285.54
U.S. Treasury Bills	See Exhibit B-1	2.44%	3.86%	2,478,660.00	2,497,830.00
US Treasury Notes & Bonds	See Exhibit B-1	1.31%	47.89%	30,784,233.57	29,531,980.72
US Obligations Variable	See Exhibit B-1	4.38%	1.66%	1,066,455.34	1,065,872.24
SUBTOTAL			75.63%	\$ 48,613,121.02	\$ 46,682,968.50
TOTAL INVESTMENTS			100.00%	\$ 64,276,424.30	\$ 62,346,271.78

BANK ACCOUNTS:

Bank of the West Accounts Balance:	\$ 9,123,165.91
Zions Bank Uninvested Cash Balance ¹ :	\$ 260,491.71
Zions Bank Unsettled Transactions ¹	-
BNY Mellon Uninvested Cash Balance ²	\$ 160,398.31

Footnotes:

¹ The Zions Bank Uninvested Cash Balance and Unsettled Transactions are separate from the investment portion. The sum of the three Zions Bank balance totals to the balance reflected on the provided statement.

² The BNY Mellon Uninvested Cash Balance is information-only as it is funds intended for 2016 Water Revenue Bond.

Required Disclosures:

Average weighted maturity of the portfolio	<u>496</u> DAYS
Average weighted total yield to maturity of the portfolio	<u>1.975%</u>
Projected Expenditures for the next 6 months:	
Projected with Prior Year Same Period:	\$ 19,555,142
Projected with FY 2023 Adopted Budget:	\$ 36,749,639

* Current market valuation is required for investments with maturities of more than twelve months.

In compliance with the California Government Code Section 53646, as the City Treasurer of the City of South Pasadena, based on the information provided I hereby identify that the City is able to meet its expenditure requirements for the next six months and that all investments are in compliance to the City's Statement of Investment Policy.

I also certify that this report reflects all Government Agency pooled investments and all City's bank balances.



Zhen Tao, City Treasurer

2/7/2023

Date

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ZIONS BANK®

Exhibit B-1

Statement of Account

December 1, 2022 Through December 31, 2022

South Pasadena Custody

Account Number: [REDACTED]

City of South Pasadena
1414 Mission Street
South Pasadena, CA 91030

[REDACTED]

[REDACTED]

[REDACTED]

Cash Reconciliation

	Income	Principal
Opening Balance December 1, 2022	\$ 847,845.49	\$ -847,845.49
Receipts		
Sales	0.00	2,336,304.07
Interest	10,536.02	0.00
Dividends	590.94	0.00
Other Receipts	0.00	0.00
Collective Fund Earnings	0.00	0.00
Transfers	0.00	0.00
Total Receipts	11,126.96	2,336,304.07
Disbursements		
Purchases	0.00	-2,300,750.76
Fees	0.00	0.00
Other Disbursements	0.00	-5,458.05
Transfers	0.00	0.00
Total Disbursements	0.00	-2,306,208.81
Net Cash Management	0.00	-41,222.22
Closing Balance December 31, 2022	\$ 858,972.45	\$ -858,972.45

Portfolio Summary

December 31, 2022	Portfolio %	Market Value	Projected Income	Current Yield
Cash & Equivalents	0.55%	260,491.71	9,981.25	3.83%
Fixed Income	99.45%	46,682,968.50	891,065.07	1.91%
Total Portfolio	100.00 %	46,943,460.21	901,046.32	1.92%
Accrued Income		207,399.60		
Total Market Value		47,150,859.81		

Holdings

Shares / PV	Asset Description		Cost	Price	Market Est	Ann Inc	Yield	Acc Income	
<u>Money Market Funds - Taxable</u>									
260,491.71	Fidelity Gov Port III FCGXX		260,491.71	1.00	260,491.71	9,981.25	3.83%	3,864.21	
260,491.71	* * Sub Totals * *		260,491.71		260,491.71	9,981.25	3.83%	3,864.21	
<u>Corporate Bonds (30/360)</u>									
383,000	Bank of New York Mellon	2.950%	01/29/2023	384,493.77	99.88	382,536.37	11,298.50	2.95%	4,765.57
470,000	General Dynamics Corp	3.375%	05/15/2023	476,093.05	99.44	467,380.73	15,862.50	3.39%	1,993.89
466,000	Burlington Northn Santa Fe	3.850%	09/01/2023	471,247.13	99.18	462,184.11	17,941.00	3.88%	5,963.63
237,000	Cisco Systems Inc	2.200%	09/20/2023	235,410.30	98.23	232,795.67	5,214.00	2.24%	1,456.42
473,000	Deere John Capital Corp	3.650%	10/12/2023	482,792.76	99.21	469,275.71	17,264.50	3.68%	3,761.54
474,000	State Street Corp	3.700%	11/20/2023	491,415.00	98.76	468,122.40	17,538.00	3.75%	1,959.55
469,000	Caterpillar Finl Svcs	3.750%	11/24/2023	488,541.36	98.99	464,257.75	17,587.50	3.79%	1,768.58
594,000	Truist Finl Corp	3.750%	12/06/2023	610,589.30	98.93	587,647.48	22,275.00	3.79%	1,493.30
237,000	3M Co	3.250%	02/14/2024	233,641.71	98.17	232,656.69	7,702.50	3.31%	2,926.09
467,000	Blackrock Inc	3.500%	03/18/2024	471,794.13	98.40	459,518.27	16,345.00	3.56%	4,656.96
235,000	MetLife Inc	3.600%	04/10/2024	242,189.29	98.22	230,825.95	8,460.00	3.67%	1,890.50
468,000	Comcast Corp New	3.700%	04/15/2024	486,999.46	98.51	461,037.56	17,316.00	3.76%	3,627.65
470,000	Ace Ina Hldgs Inc	3.350%	05/15/2024	455,881.20	97.91	460,162.90	15,745.00	3.42%	1,979.12
478,000	Texas Instruments Inc	2.625%	05/15/2024	484,080.02	97.29	465,024.60	12,547.50	2.70%	1,577.20
242,000	Paccar Financial Corp	2.150%	08/15/2024	245,945.38	95.47	231,039.61	5,203.00	2.25%	1,962.03
598,000	Unitedhealth Group Inc	2.375%	08/15/2024	612,447.46	96.20	575,285.60	14,202.50	2.47%	5,355.69
241,000	United Parcel Svcs Inc	2.200%	09/01/2024	242,165.57	95.76	230,789.70	5,302.00	2.30%	1,762.40
490,000	Coca Cola Co	1.750%	09/06/2024	490,801.14	95.34	467,178.51	8,575.00	1.84%	2,730.59
610,000	PNC Finl Svcs Group Inc	2.200%	11/01/2024	612,034.86	95.59	583,114.07	13,420.00	2.30%	2,211.68
483,000	Pepsico Inc	2.250%	03/19/2025	494,354.84	95.15	459,556.42	10,867.50	2.36%	3,065.97
487,000	Target Corp	2.250%	04/15/2025	494,519.29	94.88	462,089.89	10,957.50	2.37%	2,295.57
504,000	US Bancorp	1.450%	05/12/2025	498,297.09	92.79	467,640.96	7,308.00	1.56%	979.84
827,000	JPMorgan Chase & Co	3.900%	07/15/2025	873,558.57	97.73	808,257.78	32,253.00	3.99%	14,865.21
585,000	Bank Of America Corp	3.875%	08/01/2025	624,331.14	97.43	569,974.20	22,668.75	3.98%	9,434.76

Holdings

Shares / PV	Asset Description		Cost	Price	Market Est	Ann Inc	Yield	Acc Income	
472,000	Home Depot Inc	3.350%	09/15/2025	499,974.23	97.04	458,010.87	15,812.00	3.45%	4,637.60
513,000	Bristol-Myers Squ bb Co	0.750%	11/13/2025	473,796.54	89.94	461,405.27	3,847.50	0.83%	505.12
257,000	Prudential Finl Inc	1.500%	03/10/2026	249,874.41	90.01	231,323.13	3,855.00	1.67%	1,184.50
523,000	Procter & Gamble Co	1.000%	04/23/2026	501,840.38	89.67	468,949.82	5,230.00	1.12%	978.80
524,000	Schwab Charles Corp	1.150%	05/13/2026	503,714.96	88.96	466,164.56	6,026.00	1.29%	791.12
485,000	Intel Corp	2.600%	05/19/2026	497,799.65	93.31	452,574.30	12,610.00	2.79%	1,444.16
351,000	Amazon Com Inc	4.550%	12/01/2027	353,148.12	99.86	350,504.66	15,970.50	4.56%	1,293.70
14,113,000	** Sub Totals **			14,283,772.11		13,587,285.54	397,205.25	2.92%	95,318.74
	<u>U.S. Treasury Bills</u>								
2,500,000	U S Treasury Bills		01/12/2023	2,478,660.00	99.91	2,497,830.00	60,922.07	2.44%	0.00
2,500,000	** Sub Totals **			2,478,660.00		2,497,830.00	60,922.07	2.44%	0.00
	<u>U.S. Treasury Notes & Bonds</u>								
2,246,000	U S Treasury Notes	1.750%	01/31/2023	2,251,056.92	99.82	2,241,950.46	39,305.00	1.75%	16,341.48
2,648,000	U S Treasury Notes	1.375%	06/30/2023	2,640,009.54	98.43	2,606,315.18	36,410.00	1.40%	18,205.00
1,471,000	U S Treasury Notes	0.250%	09/30/2023	1,446,948.50	96.68	1,422,101.02	3,677.50	0.26%	929.48
2,133,000	U S Treasury Notes	2.875%	11/30/2023	2,179,603.78	98.37	2,098,172.38	61,323.75	2.92%	5,222.63
2,036,000	U S Treasury Notes	2.125%	03/31/2024	2,034,316.55	96.91	1,973,010.23	43,265.00	2.19%	10,935.11
2,888,000	U S Treasury Notes	2.000%	04/30/2024	2,893,472.33	96.52	2,787,370.53	57,760.00	2.07%	9,733.04
2,753,000	U S Treasury Notes	0.625%	10/15/2024	2,688,117.38	93.44	2,572,441.74	17,206.25	0.67%	3,639.78
2,539,000	U S Treasury Notes	0.500%	03/31/2025	2,466,140.98	91.91	2,333,699.00	12,695.00	0.54%	3,208.63
2,320,000	U S Treasury Notes	0.250%	06/30/2025	2,213,630.56	90.66	2,103,316.64	5,800.00	0.28%	2,900.00
2,077,000	U S Treasury Notes	0.375%	11/30/2025	1,972,491.75	89.54	1,859,646.10	7,788.75	0.42%	663.33
2,215,000	U S Treasury Notes	0.375%	01/31/2026	2,109,604.43	89.06	1,972,647.99	8,306.25	0.42%	3,453.41
2,062,000	U S Treasury Notes	0.750%	03/31/2026	1,982,404.35	89.73	1,850,323.33	15,465.00	0.84%	3,908.74
2,598,000	U S Treasury Notes	0.750%	08/31/2026	2,485,764.10	88.66	2,303,493.32	19,485.00	0.85%	6,566.77
1,400,000	U S Treasury Notes	4.125%	09/30/2027	1,420,672.40	100.54	1,407,492.80	57,750.00	4.10%	14,596.15
31,386,000	** Sub Totals **			30,784,233.57		29,531,980.72	386,237.50	1.31%	100,303.55

Holdings

Shares / PV	Asset Description		Cost	Price	Market Est	Ann Inc	Yield	Acc Income
<u>U.S. Obligations Variable</u>								
1,065,000	U S Treasury Notes Adj Rt	4.385%	10/31/2023	1,066,455.34	100.08	1,065,872.24	46,700.25	4.38% 7,913.10
1,065,000	* * Sub Totals * *			1,066,455.34		1,065,872.24	46,700.25	4.38% 7,913.10
49,324,491.71	* * Grand Totals * *			48,873,612.73		46,943,460.21	901,046.32	1.92% 207,399.60

Cash Summary

Principal Cash	-858,972.45
Income Cash	858,972.45
Invested Income	0.00

Account Transactions

Date	Description	Income	Principal	Carrying Value
	Starting Balances	\$ 847,845.49	\$ -847,845.49	\$ 49,138,843.17
	<u>Interest</u>			
12/06/2022	Interest Truist Finl Corp 3.7500% 12/06/23	8,775.00		
12/08/2022	Accrued Interest Received Amazon Com Inc 2.4000% 02/22/23	2,494.53		
12/08/2022	Purchase Accrued Interest Amazon Com Inc 4.5500% 12/01/27	-310.54		
12/08/2022	Maturity - Interest U S Treasury Bills 12/08/22	14,998.00		
12/22/2022	Purchase Accrued Interest U S Treasury Notes 4.1250% 09/30/27	-13,168.27		
12/29/2022	Purchase Accrued Interest Truist Finl Corp 3.7500% 12/06/23	-301.87		
12/29/2022	Purchase Accrued Interest Coca Cola Co 1.7500% 09/06/24	-549.31		
12/29/2022	Purchase Accrued Interest Deere John Capital Corp 3.6500% 10/12/23	-780.69		
12/29/2022	Purchase Accrued Interest Procter & Gamble Co 1.0000% 04/23/26	-220.00		
12/29/2022	Purchase Accrued Interest State Street Corp 3.7000% 11/20/23	-400.83		
	Sub Total	10,536.02	0.00	0.00
	<u>Dividends</u>			
12/01/2022	Dividend Fidelity Gov Port III FCGXX Interest From 11/01/2022 To 11/30/2022	590.94		
	Sub Total	590.94	0.00	0.00
	<u>Buys</u>			
12/08/2022	Buy Amazon Com Inc 4.5500% 12/01/27 351000 Par Val @ \$100.612		-353,148.12	353,148.12

Account Transactions

Date	Description	Income	Principal	Carrying Value
12/22/2022	Buy U S Treasury Notes 4.1250% 09/30/27 1400000 Par Val @ \$101.4766		-1,420,672.40	1,420,672.40
12/29/2022	Buy Truist Finl Corp 3.7500% 12/06/23 126000 Par Val @ \$99.354		-125,186.04	125,186.04
12/29/2022	Buy Coca Cola Co 1.7500% 09/06/24 100000 Par Val @ \$95.655		-95,655.00	95,655.00
12/29/2022	Buy Deere John Capital Corp 3.6500% 10/12/23 100000 Par Val @ \$99.122		-99,122.00	99,122.00
12/29/2022	Buy Procter & Gamble Co 1.0000% 04/23/26 120000 Par Val @ \$89.816		-107,779.20	107,779.20
12/29/2022	Buy State Street Corp 3.7000% 11/20/23 100000 Par Val @ \$99.188		-99,188.00	99,188.00
	Sub Total	0.00	-2,300,750.76	2,300,750.76
	<u>Sells</u>			
12/08/2022	Sell Amazon Com Inc 2.4000% 02/22/23 Sold 353000 Par Val @ \$99.519 Cost Basis Removed \$352,656.56 Short Term Gain/Loss : \$-2,543.24 Long Term Gain/Loss : \$1,188.75		351,302.07	-359,729.83
12/08/2022	Maturity U S Treasury Bills 12/08/22 2000000 PV @ \$ 99.2501 Cost Basis Removed \$1,985,002.00		1,985,002.00	-1,985,002.00
	Sub Total	0.00	2,336,304.07	-2,344,731.83

Account Transactions

Date	Description	Income	Principal	Carrying Value
<u>Disbursements</u>				
12/09/2022	Cash Disbursement Miscellaneous Disbursement Paid To : Morgan Stanley & Co. LLC Per Sec. 9 of the Custody Agreement Inv#10823022341 dtd 12-07-22 Acct#255-138705 Inv#0108230		-3,998.05	
12/20/2022	Cash Disbursement Fee Paid To Bank - CC Paid To : Zions Bank Per Sec. 9 Custody Agreement. Quarterly Administration Fee \$1460 (July 2022 - September 2023) Invoice No. 10802 Dated 10/13/22.		-1,460.00	
	Sub Total	0.00	-5,458.05	0.00
<u>Other/Miscellaneous</u>				
12/20/2022	Explanation Market Fee received in the amount of \$500.00. Per invoice dated 09/30/2022.			
12/20/2022	Explanation Miscellaneous Fee received in the amount of \$960.00. Per invoice dated 12/20/2022.			
	Sub Total	0.00	0.00	0.00
<u>Cash Management</u>				
12/01/2022	Sweep - Buy Fidelity Gov Port III FCGXX 590.94 Par Val @ \$1.00		-590.94	590.94
12/06/2022	Sweep - Buy Fidelity Gov Port III FCGXX 8775 Par Val @ \$1.00		-8,775.00	8,775.00
12/08/2022	Sweep - Buy Fidelity Gov Port III FCGXX 2000337.94 Par Val @ \$1.00		-2,000,337.94	2,000,337.94
12/09/2022	Sweep - Sell Fidelity Gov Port III FCGXX Sold 3998.05 Par Val @ \$1.00		3,998.05	-3,998.05
12/20/2022	Sweep - Sell Fidelity Gov Port III FCGXX Sold 1460 Par Val @ \$1.00		1,460.00	-1,460.00

Account Transactions

Date	Description	Income	Principal	Carrying Value
12/22/2022	Sweep - Sell Fidelity Gov Port III FCGXX Sold 1433840.67 Par Val @ \$1.00		1,433,840.67	-1,433,840.67
12/29/2022	Sweep - Sell Fidelity Gov Port III FCGXX Sold 529182.94 Par Val @ \$1.00		529,182.94	-529,182.94
	Sub Total	0.00	-41,222.22	41,222.22
	Ending Balances	\$ 858,972.45	\$ -858,972.45	\$ 49,136,084.32

**Corporate Trust Services provided by Zions Bancorporation, N.A.
Statement Disclosures & Other Important Information**

Please review your statement promptly and report any discrepancies immediately to your account administrator listed on the first page.

Market value information (including accrued income) furnished herein has been obtained from sources that Zions Bancorporation, N.A. believes to be reliable. Zions Bancorporation, N.A. makes no representation, warranty or guarantee, express or implied, that any quoted value necessarily reflects the proceeds that may be received on the sale of a security or asset. Securities and asset prices may vary from actual liquidation value and should only be used as general guide to portfolio value. Prices are received from various pricing services. However, pricing services are sometimes unable to provide timely information. Where pricing sources are not readily available, particularly on certain debt securities, estimated prices may be generated by a matrix system taking various factors into consideration.

Securities, including mutual funds, are not bank deposits and are not FDIC insured, nor are they obligations of or guaranteed by Zions Bancorporation, N.A., its affiliates or of any federal or state government or government sponsored agency. Securities, including mutual funds, involve investment risks, including the possible loss of the principal amount invested.

Exhibit B-2

**Funds and Investments
Held by Contracted (Third) Parties
December 31, 2022**

2016 Water Revenue Bonds

Investment Type	Issuer	Settlement Date	Par Value	Coupon Rate	Market Value	Current YTM	Maturity Date	Days to Maturity	CUSIP Account Number
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BNY Mellon Project Fund

1	Cash		358.94	0.010%	358.94	0.010%		1	
2	Morgan Stanley Treasury Portfolio		160,039.37	0.250%	158,291.81	0.250%		1	
Subtotal Cash & Cash Equivalents		0.52%	160,398.31	0.249%	158,650.75	0.249%		1	
Total Project Fund			160,398.31	0.249%	158,650.75	0.249%		1	

Exhibit C

**December 31, 2022
Investment Report**

Summary of Invested Funds -- Last Day of the Month

MONTH	FY 2013-14	FY 2014-15	FY 2015-16	FY 2016-17	FY 2017-18	FY 2018-19	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23
JULY	17,332,153	20,958,651	26,306,572	28,541,631	74,033,803	33,187,829	34,119,395	39,309,559	47,220,730	62,091,716
AUGUST	17,330,985	12,658,088	26,294,151	28,405,544	73,122,925	31,258,493	34,245,197	35,205,219	47,188,874	62,035,853
SEPTEMBER	16,331,557	19,715,369	22,058,959	27,049,892	70,952,657	31,219,168	34,211,588	35,108,138	50,651,612	62,025,768
OCTOBER	13,841,158	17,221,779	22,325,114	27,023,005	70,917,973	26,989,542	30,424,551	32,530,753	47,647,956	62,066,381
NOVEMBER	13,836,635	17,221,849	22,287,418	73,246,265	26,547,176	26,916,772	30,394,571	36,836,391	47,638,933	62,383,437
DECEMBER	16,837,192	20,603,990	22,253,300	71,499,585	28,949,643	27,028,835	30,398,333	36,824,546	51,976,067	62,346,272
JANUARY	18,846,359	26,309,319	27,399,997	71,229,735	32,878,042	35,305,506	30,183,446	43,433,939	56,735,289	
FEBRUARY	18,845,663	26,260,788	30,108,605	71,084,575	33,013,420	34,571,287	35,784,459	43,636,405	44,768,920	
MARCH	13,145,894	26,315,158	28,939,924	72,604,964	32,833,141	32,568,840	35,894,036	43,608,698	53,763,388	
APRIL	13,153,853	26,326,876	28,276,276	75,018,330	33,064,100	32,242,202	36,081,161	42,158,002	53,442,475	
MAY	23,452,878	26,310,240	28,429,928	76,053,277	32,879,674	36,925,478	34,133,626	42,180,215	53,637,240	
JUNE	22,452,628	29,289,712	26,594,581	75,918,587	33,102,349	38,922,757	34,218,755	42,164,581	53,485,809	

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City Council Agenda Report

ITEM NO. 7

DATE: February 15, 2023

FROM: Arminé Chaparyan, City Manager *Ac*

PREPARED BY: Cathy Billings, Library Director

SUBJECT: **Approval of a Purchase Order to D&R Office Works, Inc. for Library Workstations and Appropriate \$10,000.00 from General Fund Reserves**

Recommendation

It is recommended that the City Council:

1. Appropriate \$10,000.00 to the Library Building Improvements Account No. 101-8010-8011-8500 from the General Fund Reserves; and
2. Approve a purchase order to D&R Office Works, Inc. for the purchase of eight (8) workstations for Library staff, including delivery, assembly, and sales tax; and
3. Authorize the City Manager to execute the purchase order with D&R Office Works, Inc. in an amount not to exceed \$44,000.00, including the \$42,221.46 quoted price and a \$1,778.54 contingency.

Background

Current Library workstations are furnished with 20+ year old products that no longer meet the needs of current staffing levels, space management, and efficiencies. Half of the Library's full-time staff and all 15 of the part-time Aides and Clerks work out of the same small workroom on the Library's first floor. Some of the existing furnishings are not designed for computer work and are non-ergonomic. The workstations have no barriers between them and therefore no privacy or noise blocking capability. Improvements to the workspace and furnishings will provide improved workflows and productivity.

Analysis

Eight workstations are required to accommodate current staffing levels: five full-time staff, five part-time clerks, and one part-time weekend "in-charge" librarian. Five workstations will be assigned to the following full-time staff: Support Services Manager, Public Services Manager, Support Services Librarian, Circulation Supervisor, and Clerk II. The six part-time employees each work a maximum of 18 hours per week, and will share three workstations. The proposed workstations have 65" walls on three sides which will provide the conditions conducive to productivity that are currently lacking.

For the acquisition of these new workstations, the Library will utilize the competitive bidding process undertaken by the Public Works Department for workstation furniture for the Garfield Reservoir facility. In accordance with the City's purchasing policy, Public Works solicited proposals to purchase, deliver, and assemble workstations. D&R Office Works, Inc., was the lowest of the three bids obtained. D&R's proposal for the Library workstations uses the same furniture product line that was used in the competitive bid for Public Works. The City Council approved the Public Works purchase at the July 20, 2022 City Council meeting (Agenda Item #20).

Key Performance Indicators and Strategic Plan

This item is in line with the City's Adopted 2021-2026 Strategic Plan, item 6.h. City Workforce: To pursue a healthy Workplace Culture including efforts to raise employee morale. It is also related to the special project listed with the Library's Key Performance Indicators regarding the addition of a full-time Support Services Librarian and the reorganization of roles and responsibilities in the Support Services Division and revisions to the Division's policies, procedures and workflows.

Fiscal Impact

The Library is able to fund the majority of the Library Workstation Project (Project) with already budgeted Fiscal Year 2022-23 funds. A budget amendment request moved \$3,000.00 from the Library's Building Maintenance Account No. 101-8010-8011-8120 to the Library's Machinery & Equipment Account No. 101-8010-8011-8250, making a total of \$10,500.00 available for the project in that account. An additional \$23,500.00 is available in the Library's Building Improvements Account No. 101-8010-8011-8500, for a total of \$34,000.00 available in the Library's approved Budget. This staff report recommends that the City Council approve an appropriation from the General Fund Reserves in the amount of \$10,000.00 to cover the remaining cost of the project.

Due to inflation, the City will collect as much as \$36,000.00 more in Library Special Tax Revenue than was budgeted for Fiscal Year 2022-23. The appropriation of an additional \$10,000.00 for the Library is not expected to have a negative impact on the City's Budget overall.

Environmental Analysis

Assembly of workstations inside an existing facility is exempt from the California Environmental Quality Act (CEQA) analysis based on State CEQA Guidelines Section requirements under Section 21084 of the Public Resources Code, in accordance with Article 19, Section 15301, Class (1) "existing facilities."

Commission Review and Recommendation

This matter was presented as an informational item only to the Library Board of Trustees on January 12, 2023. No action was taken.

Attachments:

1. D&R Office Works, Inc. Proposal for Library Workstations

Approve a Purchase Order to D&R Office Works, Inc. for Library Workstations
February 15, 2023
Page 3 of 3

2. Public Works Department Furnishings Item: July 20, 2022 City Council Agenda Report, Item #20

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ATTACHMENT 1
D&R Office Works, Inc. Proposal for Library
Workstations

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office works, inc. 9956 baldwin place el monte, ca 91731
626.454.4660
www.dandofficeworks.com

PROPOSAL

1/25/2023

BJ FERRANTE

BILL TO:
CATHY BILLINGS
CITY OF SOUTH PASADENA - PUBLIC LIBRARY
1100 OXLEY STREET
SOUTH PASADENA CA 91030-3298
626-403-7352

SHIP TO:
SAME

ITEM	QTY.	MODEL / DESCRIPTION	UNIT	EXTENDED
1	8	HON H36720R Brigade Ped "R" Pull Freestanding B/B/F 20"D x 28"H .L Lock: Lock \$(P1) P1 Paint Opts .T5 Greige	\$253.00	\$2,024.00
2	8	HON H882 Brigade 800 Series Lateral File 2 Drawer 36W .L Standard Random Key Lock \$(P1) P1 Paint Opts .T5 Greige	\$529.32	\$4,234.56
3	5	HON HRVOH48FM Abound Overhead-Metal Flipper Door 48" \$(P1) P1 Paint Opts .T5 Greige .L Lock: Lock	\$266.33	\$1,331.65
4	8	HON HRVSH48 Abound Open Shelf 48" \$(P1) P1 Paint Opts .T5 Greige	\$123.00	\$984.00
5	8			

		HON	HWC4824P	\$264.00	\$2,112.00
			Systems Corner Worksurface 48Wx24D Edgeband Curved		
			\$(L1STD) Grd L1 Standard Laminates		
			.PINC Pinnacle		
			.PINC EDGE: Pinnacle		
			.T5 Grommet: Greige		
6	5	HON	HWR2448P	\$165.67	\$828.35
			Systems Rectangular Worksurface Edgeband 24D x 48W		
			\$(L1STD) Grd L1 Standard Laminates		
			.PINC Pinnacle		
			.PINC EDGE: Pinnacle		
			.T5 Grommet: Greige		
7	8	HON	HWR2442P	\$156.00	\$1,248.00
			Systems Rectangular Worksurface Edgeband 24D x 42W		
			\$(L1STD) Grd L1 Standard Laminates		
			.PINC Pinnacle		
			.PINC EDGE: Pinnacle		
			.T5 Grommet: Greige		
8	21	HON	HH871248	\$89.00	\$1,869.00
			Electrical Power Harness 48W 3-1 & 2-2 Systems		
9	5	HON	HS30ABC	\$154.44	\$772.20
			Brigade Bookcase 2-Shelf 12-5/8D x 34-1/2W x 29H		
			\$(P1) P1 Paint Opts		
			.T5 Greige		
10	13	HON	HETP6548FP	\$194.67	\$2,530.71
			Tackable Panel w/o TC 65H x 48W		
			\$(A) Gr A Fabric		
			.APN FABRIC: Appoint		
			09 COLOR: Morel		
			\$(P1) P1 Paint Opts		

		.T5	Greige		
11	5	HON	H511596	\$118.33	\$591.65
			Bookcase Laminate Top 34-1/2W x 12-5/8D		
		\$(L1STD)	Grd L1 Standard Laminates		
		.PINC	Pinnacle		
12	8	HON	HETP3548FP	\$142.00	\$1,136.00
			Tackable Panel w/o TC 35H x 48W		
		\$(A)	Gr A Fabric		
		.APN	FABRIC: Appoint		
		09	COLOR: Morel		
		\$(P1)	P1 Paint Opts		
		.T5	Greige		
13	8	HON	HETP3542FP	\$135.00	\$1,080.00
			Tackable Panel w/o TC 35H x 42W		
		\$(A)	Gr A Fabric		
		.APN	FABRIC: Appoint		
		09	COLOR: Morel		
		\$(P1)	P1 Paint Opts		
		.T5	Greige		
14	9	HON	HETP3524FP	\$118.33	\$1,064.97
			Tackable Panel w/o TC 35H x 24W		
		\$(A)	Gr A Fabric		
		.APN	FABRIC: Appoint		
		09	COLOR: Morel		
		\$(P1)	P1 Paint Opts		
		.T5	Greige		
15	6	HON	HES3024G	\$258.33	\$1,549.98
			Clear Glass Stacker 30H x 24W		
		\$(P1)	P1 Paint Opts		
		.T5	Greige		
		.Q	Glass: Clear		

16	5	HON	HES3042G	\$334.67	\$1,673.35
			Clear Glass Stacker 30H x 42W		
		\$(P1)	P1 Paint Opts		
		.T5	Greige		
		.Q	Glass: Clear		
17	5	HON	HES3048G	\$360.33	\$1,801.65
			Clear Glass Stacker 30H x 48W		
		\$(P1)	P1 Paint Opts		
		.T5	Greige		
		.Q	Glass: Clear		
18	5	HON	H36820R	\$253.00	\$1,265.00
			Brigade Ped "R" Pull Freestanding F/F 20 20"D x 28"H		
		.L	Lock: Lock		
		\$(P1)	P1 Paint Opts		
		.T5	Greige		
19	3	HON	HETP6524FP	\$151.67	\$455.01
			Tackable Panel w/o TC 65H x 24W		
		\$(A)	Gr A Fabric		
		.APN	FABRIC: Appoint		
		09	COLOR: Morel		
		\$(P1)	P1 Paint Opts		
		.T5	Greige		
20	4	HON	HH871224	\$84.33	\$337.32
			Electrical Power Harness 24W 3-1 & 2-2 Systems		
21	1	HON	HETP3560FP	\$154.67	\$154.67
			Tackable Panel w/o TC 35H x 60W		
		\$(A)	Gr A Fabric		
		.APN	FABRIC: Appoint		
		09	COLOR: Morel		

		\$(P1)	P1 Paint Opts		
		.T5	Greige		
22	1	HON	HES3060G	\$413.00	\$413.00
			Clear Glass Stacker 30H x 60W		
		\$(P1)	P1 Paint Opts		
		.T5	Greige		
		.Q	Glass: Clear		
23	3	HON	HWR2424P	\$125.67	\$377.01
			Systems Rect Worksurface Edgeband 24D X 24W		
		\$(L1STD)	Grd L1 Standard Laminates		
		.PINC	Pinnacle		
		.PINC	EDGE: Pinnacle		
		.T5	Grommet: Greige		
24	3	HON	HRVOH24FM	\$228.00	\$684.00
			Abound Overhead-Metal Flipper Door 24"		
		\$(P1)	P1 Paint Opts		
		.T5	Greige		
		.L	Lock: Lock		
25	13	HON	HH870942	\$102.33	\$1,330.29
			Tasklight 42W		
26	3	HON	HH870924	\$93.33	\$279.99
			Tasklight 24W		
27	2	HON	HH879072	\$94.33	\$188.66
			Base In-Feed Cable Base 3-1 & 2-2 Systems		
28	20	HON	HH871501	\$18.00	\$360.00
			Duplex Receptacle Circuit 1 3-1 & 2-2 Systems		
		.EY	Brownstone		

29	20	HON	HH871502	\$18.00	\$360.00
			Duplex Receptacle Circuit 2 3-1 & 2-2 Systems		
		.EY	Brownstone		
30	21	HON	HETC48	\$28.33	\$594.93
			Panel Top Cap 48"W		
		\$(P1)	P1 Paint Opts		
		.T5	Greige		
31	8	HON	HETC42	\$25.67	\$205.36
			Panel Top Cap 42"W		
		\$(P1)	P1 Paint Opts		
		.T5	Greige		
32	12	HON	HETC24	\$16.00	\$192.00
			Panel Top Cap 24"W		
		\$(P1)	P1 Paint Opts		
		.T5	Greige		
33	1	HON	HETC60	\$35.33	\$35.33
			Panel Top Cap 60"W		
		\$(P1)	P1 Paint Opts		
		.T5	Greige		
34	17	HON	HCKTPS	\$8.67	\$147.39
			Straight Connector Kit		
		.X	No Option		
35	3	HON	HEFEC35P	\$21.33	\$63.99
			Panel Finished End Covers 35H		
		\$(P1)	P1 Paint Opts		
		.T5	Greige		
36	7				

		HON	HEFEC65P	\$27.33	\$191.31
			Panel Finished End Covers 65H		
			\$(P1)		P1 Paint Opts
			.T5		Greige
37	6	HON	HEC65PTN	\$58.00	\$348.00
			65H "T" Connector Post		
			\$(P1)		P1 Paint Opts
			.T5		Greige
38	3	HON	HECVH30P	\$33.00	\$99.00
			Variable Height Connector Kit 30H		
			\$(P1)		P1 Paint Opts
			.T5		Greige
39	6	HON	HECS1	\$6.67	\$40.02
			Single Connector Strap		
40	3	HON	HEC35PLN	\$38.67	\$116.01
			35H "L" Connector Post		
			\$(P1)		P1 Paint Opts
			.T5		Greige
41	11	HON	HECSL	\$6.67	\$73.37
			"L" Connector Strap		
42	8	HON	HEC65PLN	\$60.00	\$480.00
			65H "L" Connector Post		
			\$(P1)		P1 Paint Opts
			.T5		Greige
43	3	HON	HECST	\$9.33	\$27.99
			"T" Connector Strap		

44	9	HON	HWSB2		\$19.67	\$177.03
			Worksurface Bracket Kit			
		\$(P1)		P1 Paint Opts		
		.T5		Greige		
45	8	HON	HWSB2		\$19.67	\$157.36
			Worksurface Bracket Kit			
		\$(P1)		P1 Paint Opts		
		.T5		Greige		
46	16	HON	HCTL242		\$35.00	\$560.00
			24D Cantilever One Pair			
		\$(P1)		P1 Paint Opts		
		.T5		Greige		
				TOTAL:		\$36,546.11
					\$1,750.00	\$1,750.00
			DELIVERY / INSTALLATION			
					\$3,925.35	\$3,925.35
			SALES TAX			
				ORDER TOTAL:		\$42,221.46

TERMS / CONDITIONS:

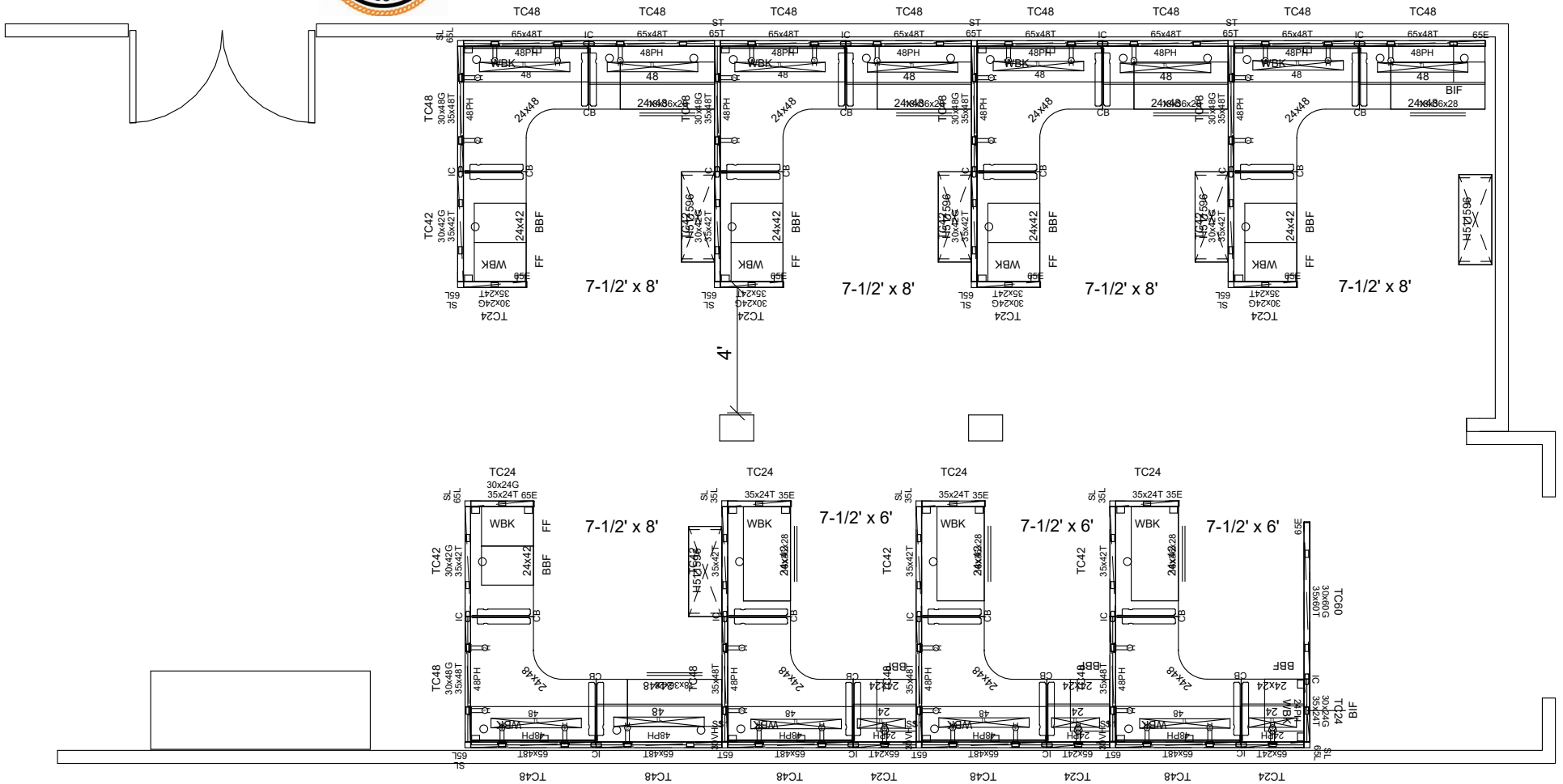
- NET 30 DAYS.
- SPECIAL ORDERS CAN NOT BE CANCELLED.
- CREDIT CARDS: CREDIT CARD PAYMENTS OVER \$5,000.00 WILL BE CHARGED A 3% PROCESSING FEE.
- DELIVERY / INSTALLATION CHARGES BASED ON NORMAL BUSINESS HOURS / AREA CLEARED.
- MOVING OF ADDITIONAL FURNITURE IS NOT INCLUDED
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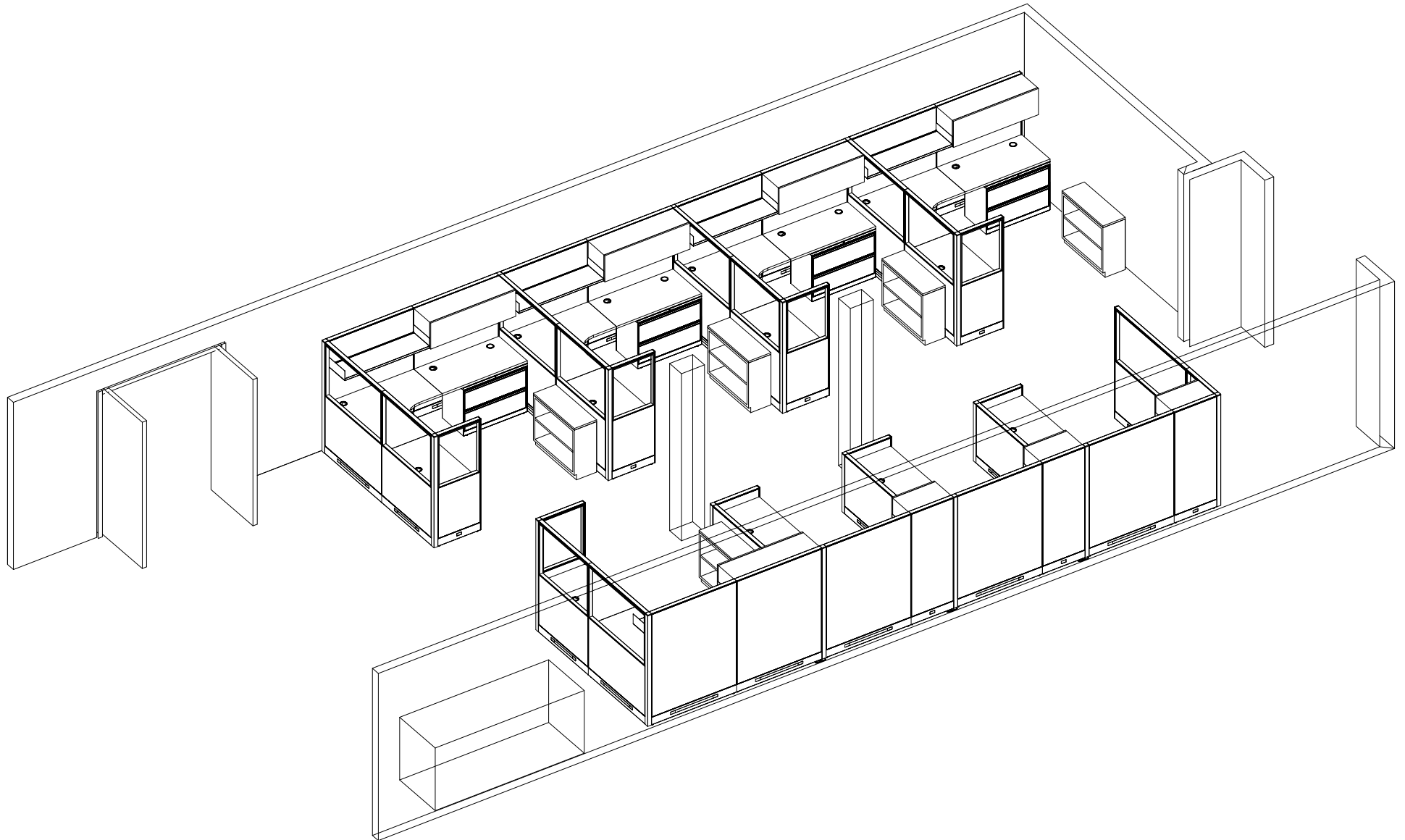
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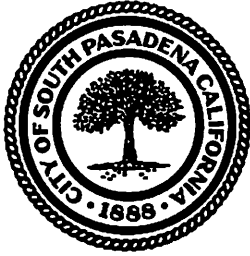




ATTACHMENT 2

Public Works Department Furnishings Item: July
20, 2022 City Council Agenda Report, Item #20

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City Council Agenda Report

ITEM NO. 20

DATE: July 20, 2022

FROM: Arminé Chaparyan, City Manager *AC*

PREPARED BY: H. Ted Gerber, Director of Public Works

SUBJECT: **Approve a Purchase Order to D&R Office Works, Inc. for Workstations at the Garfield Water Distribution Facility**

Recommendation

It is recommended that the City Council:

1. Approve a purchase order to D&R Office Works, Inc. for the purchase of twelve (12) workstations for the Garfield Water Distribution Facility, including delivery, assembly, and sales tax; and
2. Authorize the City Manager to execute the purchase order with D&R Office Works, Inc. in an amount not to exceed \$55,000, including the \$49,438.39 quoted price and a \$5,438.39 contingency.

Background

In late 2021/early 2022, the Public Works Department staff that had occupied workstations and offices at City Hall moved to the second floor of the Garfield Water Distribution Facility. The City Hall office area previously occupied by Public Works staff is now occupied by Management Services staff.

Prior to the move, the Garfield Water Distribution Facility second floor was an open space with no fixed workstation units. Subsequently, the Public Works Department requested a mid-year budget adjustment from City Council in early 2022 to accommodate the purchase of workstations for full-time and part-time office staff. At present, the existing office staff at the Garfield Water Distribution Facility are utilizing temporary tables as workstations.

Analysis

Twelve workstations are required in the second floor open area for current Public Works office positions and positions that are now in recruitment. Positions currently in recruitment are the Public Works Assistant, Senior Civil Engineer, Associate Engineer, Civil Engineering Assistant, Two Inspectors, Two Management Analysts, Engineering Division Intern, Environmental Services & Sustainability Intern, and a forthcoming Transportation position.

The Public Works Director and Public Works Deputy Director are seated in the former Deputy Director and Water Operations Manager offices. The Water Operations

Manager and Environmental Services & Sustainability Manager will have offices located in another part of the building, in a separate effort.

In accordance with the City's purchasing policy, the Public Works Department solicited proposals to purchase, deliver, and assemble the workstations:

Vendor	Price
M3 Office (South Pasadena)	\$65,940.33
2010 Office Furniture (South El Monte)	\$45,188.56
D&R Office Works, Inc. (El Monte)	\$44,546.60

Note: D&R Office Works, Inc. was the only vendor to include chairs as requested in the quote. For comparison, the value of the chairs and chair sales tax was removed from D&R's price in the above table.

Fiscal Impact

Sufficient funds are available in the Public Works Administration & Engineering Special Department Expense Account No. 101-6010-6011-8020-000 (\$40,000) and Water Distribution Special Department Expense Account No. 500-6010-6710-8020-000 (\$15,000) as funds were appropriately carried forward from Fiscal Year 2021-2022.

Environmental Analysis

Assembly of workstations inside an existing facility is exempt from the California Environmental Quality Act (CEQA) analysis based on State CEQA Guidelines Section requirements under Section 21084 of the Public Resources Code, in accordance with Article 19, Section 15301, Class (1) "existing facilities."

Attachment: D&R Office Works, Inc. Proposal

ATTACHMENT
D&R Office Works Proposal



office works, inc. 9956 baldwin place el monte, ca 91731
626.454.4660
www.dandrofficeworks.com

PROPOSAL

6/9/2022
BJ FERRANTE

BILL TO:
ANTENEH TESFAYE
CITY OF SOUTH PASADENA
416 GARFIELD AVE.
SOUTH PASADENA CA 91030
626-460-6393

SHIP TO:
SAME
LEANNA DEWITT

ITEM	QTY.	MODEL / DESCRIPTION	UNIT	EXTENDED
1	14	HON HETC24 Panel Top Cap 24"W	\$14.61	\$204.54
2	18	HON HETC72 Panel Top Cap 72"W	\$39.61	\$712.98
3	8	HON HCKTSP Straight Connector Kit	\$7.79	\$62.32
4	14	HON HEFEC65P Panel Finished End Covers 65H	\$25.32	\$354.48
5	4	HON HEC65PTN 65H "T" Connector Post	\$53.90	\$215.60
6	12	HON HEC65PLN 65H "L" Connector Post	\$55.84	\$670.08
7	12	HON HECSL "L" Connector Strap	\$6.17	\$74.04
8	4	HON HECST "T" Connector Strap	\$8.44	\$33.76
9	2	HON HH871224		

			Electrical Power Harness 24W 3-1 & 2-2 Systems	\$78.57	\$157.14
10	12	HON	HH871236 Electrical Power Harness 36W 3-1 & 2-2 Systems	\$78.57	\$942.84
11	22	HON	HH871501 Duplex Receptacle Circuit 1 3-1 & 2-2 Systems	\$16.56	\$364.32
12	24	HON	HH871502 Duplex Receptacle Circuit 2 3-1 & 2-2 Systems	\$16.56	\$397.44
13	4	HON	HH879072 Base In-Feed Cable Base 3-1 & 2-2 Systems	\$87.66	\$350.64
14	4	HON	HWR2472P Systems Rectangular Worksurface Edgeband 24D x 72W	\$201.62	\$806.48
15	12	HON	HWR2436P Systems Rectangular Worksurface Edgeband 24D x 36W	\$132.14	\$1,585.68
16	6	HON	HWV93AARP Systems 72x36x24x24Rt Corner Cove Worksurface Edgeband	\$254.55	\$1,527.30
17	6	HON	HWV93AALP Systems 72x36x24x24Left Corner Cove Worksurface Edgebd	\$254.55	\$1,527.30
18	12	HON	HVFB20R Box/Box/File 28H x 19 7/8D x 15W	\$212.34	\$2,548.08
19	4	HON	HVFF23R File/File 28H x 22 7/8D x15W	\$216.56	\$866.24
20	16	HON	HCTL242 24D Cantilever One Pair	\$32.47	\$519.52
21	8	HON	HCTL241L		

			Left-hand Cantilever 24"D	\$17.53	\$140.24
22	8	HON	HCTL241R Right-hand Cantilever 24"D	\$17.53	\$140.24
23	16	HON	HWSB2 Worksurface Bracket Kit	\$18.18	\$290.88
24	12	HON	HRVOH36FM Abound Overhead-Metal Flipper Door 36"	\$225.97	\$2,711.64
25	12	HON	HH870930 Tasklight 30W	\$87.99	\$1,055.88
26	8	HON	HVFF20R File/File 28H x 19 7/8D x 15W	\$210.39	\$1,683.12
27	2	HON	HEC65PXN 65H "X" Connector Post	\$51.62	\$103.24
28	2	HON	HECSX "X" Connector Strap	\$10.06	\$20.12
29	2	HON	HEWS65P Wall Starter Kit for Panels 65H	\$41.23	\$82.46
30	14	HON	HES3024G Clear Glass Stacker 30H x 24W	\$250.32	\$3,504.48
31	30	HON	HES3036G Clear Glass Stacker 30H x 36W	\$291.56	\$8,746.80
32	14	HON	HETP3524FP Tackable Panel w/o TC 35H x 24W	\$106.82	\$1,495.48
33	30	HON	HETP3536FP		

			Tackable Panel w/o TC 35H x 36W	\$119.48	\$3,584.40
34	6	HON			
		HETP6536FP			
		Tackable Panel w/o TC 65H x 36W	\$154.22	\$925.32	
35	12	925			
		2360-Y2-A8B			
		Bristol - Mid-Back, Synchro-Tilt Control, A8 Height Adj. Black Arms	\$369.75	\$4,437.00	
			TOTAL:		\$42,842.08
			DELIVERY / INSTALLATION	\$2,000.00	\$2,000.00
			SALES TAX	\$4,596.31	\$4,596.31
			ORDER TOTAL:		\$49,438.39

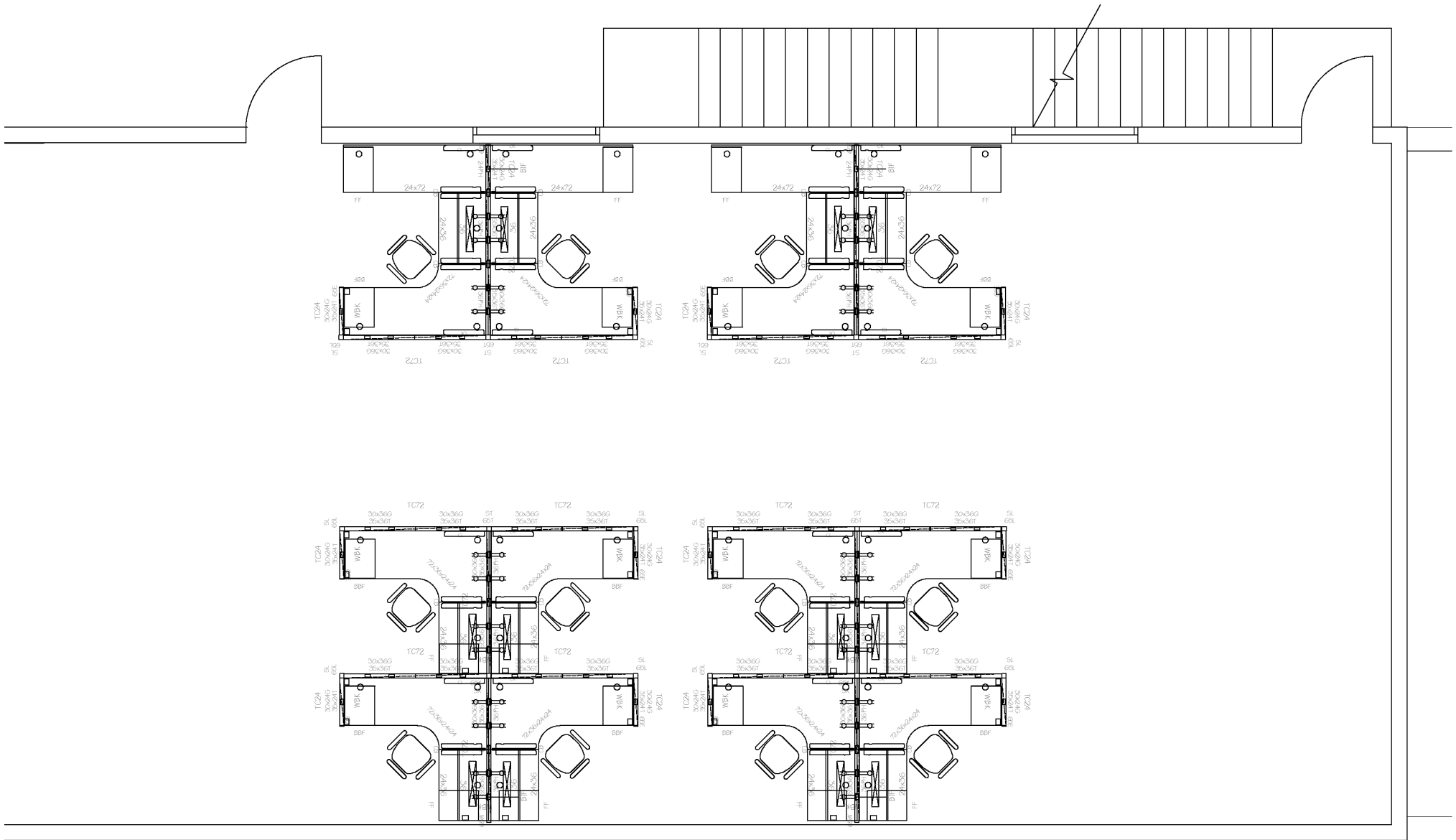
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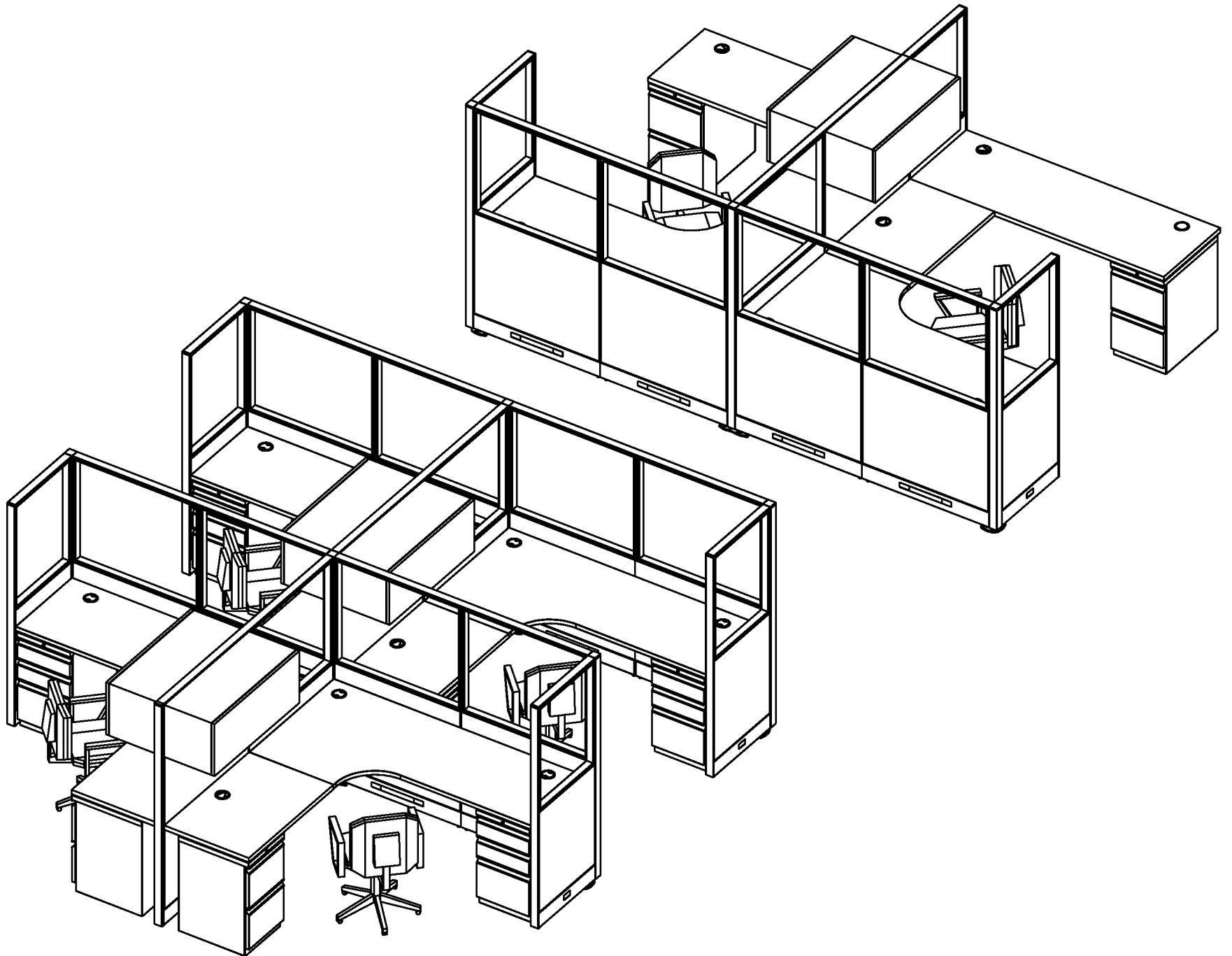
- NET 30
- CREDIT CARDS: CREDIT CARD PAYMENTS OVER \$5,000.00 WILL BE CHARGED A 3% PROCESSING FEE.
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SIGNATURE

DATE

7 - 25





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City Council Agenda Report

ITEM NO. 8

DATE: February 15, 2023

FROM: Arminé Chaparyan, City Manager *sl*

PREPARED BY: Paul Riddle, Fire Chief
Eric Zanteson, Fire Division Chief

SUBJECT: Adoption of a Resolution Adopting an Updated City of South Pasadena Emergency Operations Plan and Annexes

Recommendation

It is recommended that the City Council adopt the updated Emergency Operations Plan (EOP) and associated Annexes.

Background

On December 7, 2022, Fire Department staff presented an overview of the updated EOP to the City Council. During the December 7, 2022 presentation the City Council presented expectations and questions regarding the current EOP. Those items, such as development of Annexes that address additional concerns, have been duly noted and will be developed by staff as time permits. Those items will subsequently be brought forth to the City Council once formally developed into appropriate documents.

In 2020, a Federal Emergency Management Performance Grant (EMPG) was offered to Los Angeles County Disaster Management Area Coordinators to develop a template for an EOP for use by local jurisdictions in Los Angeles County. The template was utilized to update the City of South Pasadena (City) EOP to more closely address the types of emergencies facing the City, and to match our staffing and organization chart. Annexes are documents that provide guidance for specific types of emergencies, and two Annexes have been updated and are attached to supplement the revised EOP. Additional Annexes will be developed to add to this EOP as staff time permits.

Analysis

The purpose of the City EOP is to provide the planning basis for a coordinated response to extraordinary emergency situations associated with natural, and human-caused emergencies or disasters within or affecting the City. This EOP is the principal guiding document for the City's response to, management of, and recovery from real or potential emergencies and disasters occurring within its designated geographic boundaries. This updated EOP, once adopted by City Council, will replace the previous version which was adopted in 2016.

The updated version contains language and processes that have evolved in the seven years since last adoption. The updates include Annexes that address specific types of emergencies that have also evolved since the last EOP adoption specific to heat and earthquake related incidents.

The EOP is being presented for approval as required by the South Pasadena Municipal Code (SPMC). Per SPMC section Chapter 11, titled Emergency Organization, the Mayor and City Manager are assigned the role of Civil Defense and Disaster Council. SPMC Section 11.4 states "It shall be the duty of the South Pasadena disaster council, and it is empowered to develop and recommend for adoption by the City Council, emergency and mutual aid plans and agreements and such ordinances and resolutions and rules and regulations as are necessary to implement such plans and agreements."

Key Performance Indicators and Strategic Plan

This item is in line section 3(c) of the Adopted 2021-2026 Strategic Plan, which addresses emergency preparedness and the renewing of the City's Emergency Operations Plan and Local Hazard Mitigation Plan.

Fiscal Impact

There is no fiscal impact related to this item, outside of staff time and duplication costs. Approval of this EOP will make the City eligible to receive state and federal disaster reimbursement and recovery funds that are made available under local, state, and federal disaster declarations.

Community Outreach

This document and its Annexes were reviewed by the Public Safety Commission on March 14, 2022, the Natural Resources and Environmental Commission on August 23, 2022, the City's Disaster Council on September 13, 2022, Los Angeles County Office of Emergency Management on July 15, 2022, and the AREA C Disaster Management Area Coordinator on July 21, 2022. They all recommended the EOP and Annexes be presented for review and approval to the City Council. City Council heard a presentation at their December 7, 2022 meeting and provided staff direction on next steps and to return with a final document for adoption in early 2023.

Attachments:

1. Resolution
2. Emergency Operations Plan, Part 1
3. Emergency Operations Plan, Part 2
4. Earthquake Annex
5. Heat Emergency Annex

ATTACHMENT 1
Resolution

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RESOLUTION NO. __

A RESOLUTION OF THE CITY COUNCIL OF THE CITY OF SOUTH PASADENA, CALIFORNIA, ADOPTING AN UPDATED EMERGENCY OPERATIONS PLAN AND ANNEXES

WHEREAS, The purpose of the City of South Pasadena (City) Emergency Operations Plan (EOP) is to provide the planning basis for a coordinated response to extraordinary emergency situations associated with natural, and human-caused emergencies or disasters within or affecting the City; and

WHEREAS, the City's last EOP update was in 2016; and

WHEREAS, the City received an updated Emergency Operations Plan template through a Federal Emergency Management Performance Grant for use by local jurisdictions in Los Angeles County; and

WHEREAS, the template was utilized to update the City's EOP to more closely address the types of emergencies facing the City, and to match our staffing and organization chart; and

WHEREAS, the updated EOP includes Annexes that address specific types of emergencies that have evolved since the last EOP adoption specific to heat and earthquake-related incidents; and

WHEREAS, the City Disaster Council, consisting of the Mayor and City Manager, have reviewed the updated EOP; and

WHEREAS, on December 7, 2022, an overview of the updated EOP was presented to the City Council.

NOW, THEREFORE, THE CITY COUNCIL OF THE CITY OF SOUTH PASADENA, CALIFORNIA, DOES RESOLVE, DECLARE, DETERMINE AND ORDER AS FOLLOWS:

SECTION 1. The EOP and Annexes are hereby adopted as the Emergency Operations Plan of the City of South Pasadena.

SECTION 2. The EOP shall become effective immediately upon adoption.

SECTION 3. The City Clerk of the City of South Pasadena shall certify to the passage and adoption of this resolution and its approval by the City Council and shall cause the same to be listed in the records of the City.

PASSED, APPROVED AND ADOPTED ON this 15th day of February, 2023.

Jon Primuth, Mayor

ATTEST:

APPROVED AS TO FORM:

Desiree Jimenez, CMC
Chief City Clerk

Andrew L. Jared, City Attorney

I HEREBY CERTIFY the foregoing resolution was duly adopted by the City Council of the City of South Pasadena, California, at a regular meeting held on the 15th day of February, 2023, by the following vote:

AYES:

NOES:

ABSENT:

ABSTAINED:

Desiree Jimenez, CMC
Chief City Clerk

ATTACHMENT 2
Emergency Operations Plan, Part 1

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EMERGENCY OPERATIONS PLAN

PART 1: BASE PLAN

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CITY OF SOUTH PASADENA

EMERGENCY OPERATIONS PLAN



PART 1: BASE PLAN
2022

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EMERGENCY OPERATIONS PLAN

PART 1: BASE PLAN

JUNE 2022

PREPARED FOR	PREPARED BY
 <p>DISASTER MANAGEMENT AREA PARTNERSHIP</p>	 <p>MICHAEL BRADY EMERGENCY MANAGEMENT CONSULTING</p> <p>Project Manager/Lead Facilitator: Michael Brady michaelbrady101@gmail.com</p> <p>Project Subject Matter Expert/Facilitator: Kurt Johnson</p> <p>Technical Expert & Writer: Hilda Hurtado, CEM, PCP</p>

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1.2 Letter of Promulgation

To: City Officials, Employees and Residents

The preservation of life, property and the environment are inherent responsibilities of local, state, and federal governments. As disasters can occur at any time, the City must provide safeguards that will save lives and minimize property and environmental damage through careful planning, preparedness measures and training. Sound emergency plans carried out by knowledgeable and well-trained personnel can and will minimize losses.

The City's Emergency Operations Plan establishes an Emergency Management Organization and assigns functions and tasks consistent with California's Standardize Emergency Management System (SEMS) and the National Incident Management System (NIMS). It provides for the integration and coordination of planning efforts through a whole community approach and authorizes City's personnel to perform their duties and tasks before, during, and after an emergency.

This plan was developed for City Departments and local special districts with emergency services responsibilities within the City. The content is based upon guidance approved and provided by the Federal Emergency Management Agency standard on EOP organization for a local jurisdiction and the California Office of Emergency Services. Its intent is to provide direction on how to respond to an emergency from the onset, through an extended response and into the recovery process.

Once adopted, this plan is an extension of the County of Los Angeles's Emergency Response Plan and the California Emergency Plan. It will be reviewed and tested periodically and revised as necessary to meet changing conditions such as lessons learned from an actual disaster and emergency; and/or changes in State/Federal guidance.

This EOP will be submitted to the City Council for review, and, upon their concurrence, officially adopted and promulgated.

This promulgation shall be effective upon its signing and shall remain in effect until amended or rescinded by further promulgation. The promulgation of this EOP further affirms the City's support for emergency management, and a safe and resilient community.

Armine Chaparyan

City Manager

Director of Emergency Services

1.3 Approval & Implementation

The City's Emergency Operations Plan addresses the City's planned response to extraordinary emergency situations associated with natural or man-made disasters under an all-hazards

approach. This plan does not apply to normal day-to-day emergencies incidents or the established departmental procedures used to cope with such emergencies. Instead, this plan focuses on operational concepts that would be implemented in large-scale disasters, which can pose major threats to life, property, and the environment, requiring unusual emergency responses.

This plan accomplishes the following:

- Establishes the Emergency Management Organization required to mitigate any significant emergency or disaster affecting the City.
- Identifies the roles and responsibilities required to protect the health and safety of City residents, public and private property, and the environmental, due to natural or human-caused emergency disasters.
- Establishes the operational concepts associated with a field response to emergencies, the City's Emergency Operation Center (EOC) activities and the recovery process.

Upon concurrence of the City Council, the plan will be officially adopted and promulgated. The approval date will be included on the title page and the plan will be distributed to City departments, supporting agencies and community organizations having assigned primary responsibilities with the Emergency Operations Plan, as necessary.

Upon the delegation of authority from the City Manager, specific modifications can be made to this plan without the signature of the City Council. This Emergency Operations Plan and Attachments supersede all previous versions of the City's Emergency Operations Plan.

1.4 Plan Concurrence

The following list of signatures documents each City Council Member's concurrence and receipt of the 2022 City Emergency Operations Plan.

Council Member

Date

Council Member

Date

Council Member

Date

Council Member

Date

Council Member

Date

1.5 Record of Changes

Version Number	Date of Change	Change Made By	Date of Approval	Change Approved by	Description of change
1	6/2022	E. Zanteson			Initial Update
2					
3					
4					
5					
6					
7					
8					
9					
10					

1.6 Record of Distribution

Recipient Name	Recipient Title	Recipient Agency	Date of Delivery	Number of Copies Provided

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2 Purpose, Scope, Situation and Assumptions

2.1 Purpose

The purpose of the City Emergency Operations Plan is to provide the planning basis for a coordinated response to extraordinary emergency situations associated with natural, and human-caused emergencies or disasters within or affecting the City. This plan is the principal guide for the City's response to, management of, and recovery from real or potential emergencies and disasters occurring within its designated geographic boundaries. Specifically, this plan is intended to:

- Outline the methods and procedures used by emergency management personnel to assess emergency situations and take appropriate actions to save lives and reduce injuries, prevent, or minimize damage to public and private property, and protect the environment.
- Identify the components of an Emergency Management Organization and establish associated protocols required to effectively respond to, manage and recover from major emergencies and disasters.
- Develop a whole community approach to emergency management to facilitate a response that is inclusive of the entire community
- Identify the organizational framework for the overall management and coordination of emergency operations in the city by implementing the National Incident Management System (NIMS) and Standardized Emergency Management System (SEMS).
- Identify the responsibilities of local, state, and federal agencies in the event of an emergency or disaster affecting the city.
- Define the operational concepts and procedures associated with the EOC interface with the field emergency responders
- Facilitating mutual aid to supplement local resources.
- Facilitating multi-agency and multi-jurisdictional coordination, particularly between local government, the private sector, operational area (OA), state response levels, and appropriate federal agencies in emergency operations.
- Support the provision for emergency public information throughout the emergency, including information on personal protective actions the public can take.
- Serve as an operational plan as well as a reference document that may be used for pre-emergency planning in addition to emergency operations.
- To be use in coordination with applicable local, state, and federal contingency plans.

Allied agencies, special districts, private enterprise, and volunteer organizations having roles and responsibilities established by this plan are encouraged to develop operating protocols and emergency action checklists based on the provisions of this plan.

Finally, this plan is divided into two parts that contain general and specific information relating to city emergency management operations. Those parts are as follows:

Part 1: Basic Plan. This part provides the structure and organization of the cities

Emergency Management structure, identifies roles and responsibilities, describes the concept of emergency operations, and identifies how the city implements SEMS and NIMS, as established by federal and state emergency management entities.

Part 2: EOC Management and Plan Implementation. This part provides an introduction to EOC operations, processes, considerations, sections and positions and provides supporting documentation such as job aids and forms to support an EOC operations activation.

2.2 Scope

The policies, procedures and provision of this plan are applicable to all agencies and individuals, public and private, having responsibilities for emergency preparedness, response, recovery and/or mitigation activities within the City.

The plan applies to any extraordinary situation associated with any hazard, natural, or human-caused, which may affect the City, as well as situations requiring a planned and coordinated response by multiple agencies or jurisdictions.

Incorporating the Federal Emergency Management Agency's (FEMA) Comprehensive Preparedness Guide (CPG) 101: Developing and Maintaining Emergency Operations Plans, November 2020, Version 3.0 (draftv0.5), the CalOES' Emergency Operations Plan Crosswalk - Local Government, 2020; the Los Angeles County Operational Area Emergency Response Plan, and the State of California Emergency Plan best practices, this plan is designed to be read, understood and exercised prior to an emergency and establishes the framework for the implementation of the Standardized Emergency Management System and National Incident Management System for the City.

This plan will be used in coordination with the State Emergency Plan and the National Response Framework.

2.3 Situation Overview

The City, situated within Los Angeles County, faces a variety of hazards. This plan was developed using an all-hazards planning approach as well as leveraging the specific hazard and vulnerability findings that are identified in the County of Los Angeles All-Hazards Mitigation Plan for the City, which include, but are not limited to:

- Climate Change
- Dam Failure
- Earthquake
- Flood
- Landslide/Mudslide
- Wildfire

More detailed information regarding the hazards to the County and the City can be found in the current County of Los Angeles All-Hazards Mitigation Plan.

2.4 Planning Assumption

The following are assumptions used during the development of this plan. These assumptions translate into basic principles for conducting emergency management operations in preparation for, response to and recovery from major emergencies.

- Emergencies or disasters may occur at any time, day, or night, in populated and remote areas of the City.
- Major emergencies and disasters will require a multi-agency, multi-jurisdictional response. Therefore, it is essential that NIMS, SEMS, and ICS are implemented immediately by responding agencies, and expanded as the situation dictates.
- Large-scale emergencies and disaster may overburden local resources and require the need for mutual aid from neighboring jurisdictions.
- Large-scale emergencies and disasters and the complex organizational structure required to respond to them pose significant challenges in terms of warning and notification, logistics, and agency coordination.
- The City is primarily responsible for emergency actions within City boundaries and will commit all available resources to save lives, minimize injury to persons, protect the environment and minimize property damage.
- Major emergencies and disasters may generate widespread media and public interest; information provided to the public needs to be accurate and timely. Additionally, the media must be considered an ally in largescale emergencies and disasters; it can provide considerable assistance in emergency public information and warning.
- Large-scale emergencies and disaster may pose serious long-term threats to public health, property, the environment, and the local economy. While responding to significant disasters and emergencies, all strategic decisions must consider each of these threats.
- Disasters and emergencies may require an extended commitment of personnel and other resources from involved agencies and jurisdictions.
- The Emergency Management Organization is familiar with this plan, supporting documentation, and NIMS, SEMS, and ICS.

It is the City's intent to fulfill the policies describe here, within the capabilities and resources available at the time of an emergency or disaster.

This plan uses the whole community concept where residents, emergency management representatives, organizational and community leaders, and government officials can understand and assess the needs of their respective communities and determine the best ways to organize and strengthen their resources, capabilities, and interest. Engaging in the whole community emergency management planning process, builds a more effective path to societal security and resilience. This plan supports the following whole community principles:

- Understand and meet the needs of the entire community, including people with disabilities and those with other access and functional needs.
- Engage and empower all parts of the community to assist in all phases of the disaster cycle.

- Strengthen what works well in communities on a daily basis.

In keeping with the whole community approach, this plan was developed with representation from City departments and various other stakeholders. The effectiveness of the emergency response is largely based on the preparedness and resiliency of the community.

Community Resiliency Consists of Three Key Factors:

1. The ability of first responders' agencies (e.g., fire, law etc.) to divert from their day-to-day operations to the emergency disaster effectively and efficiently.
2. The strength of the emergency management system and organization with the region, to include Emergency Operations Centers (EOCs), mass notification systems and communication systems.
3. The preparedness of the region's citizens, businesses, and community organizations.

By focusing on enhancing all three of these components, the City is improving not only the City's resiliency to emergency disaster, but also the regions.

3 Concept of Operations

3.1 Response

During a major emergency response, the City will work in coordination with numerous governmental, non-governmental, and private organizations. To enable a multi-faceted operation, the City follows a specific response structure that designates the way local, county, and state-level entities coordinate and communicate during emergency response operations.

This Concept of Operations provides guidance to City decision makers and plan users regarding the sequence and scope of actions to be taken during a citywide emergency response.

The response phase concept of operations the City practices can be summarized in six key elements: (1) goals, priorities, and strategies; (2) plan activation; (3) proclaiming an emergency; (4) presidential declarations; (5) emergency management response levels; and (6) the sequence of events during disasters.

3.1.1 Goals, Priorities and Strategies

Operational Goals: During the response phase, the agencies charged with responsibilities in this plan should focus on the following five goals:

- 1 Mitigate Hazards
- 2 Meet basic human needs
- 3 Address needs of People with Access and Functional Needs
- 4 Restore essential services
- 5 Support community and economic recovery

Operational Priorities: Operational priorities govern resource allocation and the response strategies for the City and its political subdivisions during an emergency. Below are operational priorities addressed in this plan:

- **Save Lives** – The preservation of life is the top priority and takes precedence over all other considerations.
- **Protect Health and Safety** – Measures should be taken to mitigate the impact of the emergency on public health and safety.
- **Protect Property** – All feasible efforts must be made to protect public and private property and resources, including critical infrastructure, from damage during and after an emergency.
- **Preserve the Environment** – All possible efforts must be made to preserve the environment and protect it from damage during an emergency.

Operational Strategies: To meet the operational goals, emergency responders should consider the following strategies:

- **Mitigate hazards** –As soon as practical, suppress, reduce, or eliminate hazards and/or risks to persons, property, and the environment during the disaster response in order to lessen the actual or potential effects or consequences of future emergencies.

- **Meet basic human needs** –All possible efforts must be made to supply resources to meet basic human needs, including food, water, accessible shelter, medical treatment, and security during an emergency.
- **Address needs of individuals with disabilities or access and functional needs** – People with access and functional needs are more vulnerable to harm during and after an emergency. The needs of these individuals must be considered and addressed.
- **Restore essential services** –Power, water, sanitation, accessible transportation, and other essential services must be restored as quickly as possible to assist communities in returning to normal daily activities.
- **Support Community and Economic Recovery** –All members of the community must collaborate to ensure recovery operations are conducted efficiently, effectively, and equitably, promoting expeditious recovery of the affected areas.

3.1.2 Plan Activation

The City Emergency Operations Plan may be activated by the City Manager or designated alternates under any of the following circumstances:

- By order of the City Manager as designated by the City Municipal Code or as needed on the authority of the City Manager or designee based on incident complexity.
- Upon proclamation by the Governor that a State of Emergency exists.
- Automatically on the proclamation of a State of War Emergency
- Upon declaration by the President, of the existence of a National Emergency.
- Automatically, on receipt of an attack warning or actual attack on the United States, or upon occurrence of a catastrophic disaster that requires immediate government response

3.1.3 Proclaiming an Emergency

The California Emergency Services Act provides for three types of emergency proclamations in California: (1) Local Emergency, (2) State of Emergency, (3) State of War Emergency.

Emergency proclamations expand the emergency powers and authorities of the State and its political subdivisions. They also provide a mechanism for unaffected jurisdictions to provide resources and assistance to affected jurisdictions. Although emergency proclamations facilitate the flow of resources and support to the affected jurisdiction and local government, they are not a prerequisite to providing mutual aid and assistance under existing agreements or requesting assistance from agencies such as the American Red Cross, the Los Angeles County, or the State of California.

Local Emergency Proclamations:

In the case of the existence or threatened existence of an emergency that threatens the people, property, or environment of the City, and the condition is beyond the capability of the city to control effectively, the City Manager can proclaim a local emergency. A local emergency may be proclaimed to exist due to a specific situation, such as earthquake, flood, fire, storm, pandemic, drought, sudden and severe energy shortage, or other condition

If assistance will be requested through California Disaster Assistance Act (CDAA), a Local Emergency may be recommended by the City Manager as specified by the Municipal Code and issued within 10 days after the actual occurrence of a disaster

A Local Emergency proclamation must be ratified by the City Council within 7 days.

The governing body must review the need to continue the proclamation at least every 30 days until the Local Emergency is terminated. The Local Emergency must be terminated by resolution as soon as conditions warrant.

The Proclamation of a Local Emergency provides the governing body with the legal authority to:

- Request the Governor proclaim a State of Emergency, if necessary
- Promulgate or suspend orders and regulations necessary to provide for the protection of life and property, including issuing orders or regulations imposing a curfew within designated boundaries
- Exercise full power to provide mutual aid to any affected area in accordance with local ordinances, resolutions, emergency plans, or agreements
- Request state agencies and other jurisdictions to provide mutual aid
- Require the emergency services of any local official or employee
- Requisition necessary personnel and materials from any local department or agency
- Obtain vital supplies and equipment and, if required, immediately commandeer the same for public use
- Impose penalties for violation of lawful order
- Conduct emergency operations without incurring legal liability for performance, or failure of performance (Article 17 of the Emergency Services Act provides from certain privileges and immunities)

When the City proclaims a Local Emergency, it will:

- Notify the Office of Emergency Management (OEM) Duty Officer
- Notify the Disaster Management Area Coordinator (DMAC)

Proclamation of a State Emergency:

The Governor proclaims a State of Emergency based on the formal request from the City Council and the recommendation of the California Office of Emergency Services. If conditions and time warrant, the Governor drafts and signs a formal State of Emergency Proclamation. The Governor has expanded emergency powers during a proclaimed State of Emergency. The Governor:

- Has the right to exercise police power as deemed necessary, vested in the State Constitution and the laws of California within the designated area
- Is vested with the power to use and commandeer public and private property and personnel, to ensure all resources within California are available and dedicated to the emergency when requested
- Can direct all state agencies to utilize and employ personnel, equipment, and facilities for the performance of any and all activities designed to prevent or alleviate the actual

and threatened damage due to the emergency and can direct them to provide supplemental services and equipment to political subdivisions to restore any service in order to provide for the health and safety of the residents of the affected area.

- May make, amend, or rescind orders and regulations during an emergency and temporarily suspend any non-safety-related statues, ordinances, regulations, or rules that impose restrictions on the emergency response activities

Proclamation of a State of War Emergency

In addition to a State of Emergency, the Governor can proclaim a State of War Emergency whenever California or the nation is attacked by an enemy of the United States, or upon receipt by California of a warning from the federal government indicating that such an enemy attack is probable or imminent. The powers of the Governor granted under a State of War Emergency are commensurate with those granted under a State of Emergency.

3.1.4 Presidential Declarations

When it is clear that State capabilities will be exceeded, the Governor can request federal assistance, including assistance under the Robert T. Stafford Disaster Relief and Emergency Assistance Act (Stafford Act). The Stafford Act authorizes the President to provide financial and other assistance to state and local government, certain private nonprofit organizations, and individuals to support response, recovery, and mitigation efforts following Presidential Emergency or Major Disaster declarations.

Declaration of Emergency or Major Disaster: The President of the United States can declare an Emergency or Major Disaster under the Robert T. Stafford Disaster Relief and Emergency Assistance Act (41 USC §5121 et seq.), thereby providing federal government resources to support the States’ response and recovery activities. While Presidential Declarations under the Stafford Act release federal resources and funding to support response and recovery, federal agencies may also provide assistance under other authorities or agreements that do not require a Presidential Declaration.

3.1.5 Emergency Management Response Levels

The City Emergency Operations Plan will be activated when an emergency occurs or threatens to exceed capabilities to adequately respond to and mitigate an incident(s). The scope of an emergency, rather than the type, will largely determine whether the Emergency Operations Plan and Emergency Operations Center will be activated, and to what level.

For planning purpose, the California Office of Emergency Services has established three EOC activation “levels” of response to emergencies. The City also employs this system to guide local response to emergencies in the table below:

Activation Level	Detail	Event or Situation	Minimum Staffing
Three	Level Three is a minimum activation. This level may be used for situations which initially only require a few people,	<ul style="list-style-type: none"> • Events with potential impacts on the health & safety of the public and/or environment • Weather Alerts 	<ol style="list-style-type: none"> 1. EOC Director 2. Other Designees (Such as Section Coordinators,)

Activation Level	Detail	Event or Situation	Minimum Staffing
	or may virtual	<ul style="list-style-type: none"> Incident involving 2+ City departments Low risk planned event Wind or rainstorm Power outage and Stage 1 & 2 emergencies 	
Two	Level Two activation is normally achieved as an increase from Level Three or a decrease from Level One. This activation level is used for emergencies or planned events that would require more than a minimum staff but would not call for a full activation/staffing	<ul style="list-style-type: none"> Two or more large incidents involving 2 or more departments Major wind or rain Major scheduled event Large scale power outage and Stage 3 power emergencies Hazardous Material Incident involving large scale or possible large-scale evacuations 	<ol style="list-style-type: none"> EOC Director Section Coordinators Branches & Units as appropriate Liaison/Agency Representatives as appropriate Public Information Officer
One	Level One activation involves a complete & full activation of all organizational elements & staffing. Level One would be the initial activation for any major emergency requiring acute State help.	<ul style="list-style-type: none"> Major County/City or Regional emergency, multiple departments with heavy resource involvement 	<ol style="list-style-type: none"> All EOC as appropriate

TABLE 1: EOC ACTIVATION LEVELS

3.1.6 Sequence of Events

Two sequences of events are typically associated with disasters: one involves the response and the other involves emergency proclamations. The response sequence generally describes the emergency response activities to save lives, protect property and preserve the environment. This sequence describes deployment of response teams, activation of emergency management organizations and coordination among the various levels of government. The emergency proclamation sequence outlines the steps to gain expanded emergency authorities needed to mitigate the problem. It also summarizes the steps for requesting state and federal disaster assistance.

3.1.6.1 Before Impact

Before an emergency ever occurs, the City is committed to conducting preparedness activities that include developing plans, training personnel, conducting emergency exercises, educating the public, and arranging to have necessary resources available.

To remain ready to respond, the City will keep their emergency communications systems, warning systems and the Emergency Operations Center ready at all times.

Routine Monitoring for Alerts, Watches and Warnings: Emergency officials constantly monitor events and the environment to identify specific threats that may affect their jurisdiction

and increase awareness level of emergency personnel and the community when a threat is approaching or imminent.

Increased Readiness: Sufficient warning provides the opportunity for response agencies to increase readiness, which are actions designed to increase an agency's ability to effectively respond once the emergency occurs. This includes, but is not limited to:

- Briefing government officials
- Reviewing plans and procedures
- Preparing and disseminating information to the community
- Updating resource lists
- Testing systems such as warning and communications systems
- Activating Emergency Operations Centers, even if precautionary

Pre-Impact: When a disaster is foreseen as highly likely, action is taken to save lives, protect property and the environment. During this phase, warning systems are activated, resources are mobilized, and evacuation begins.

Proclaiming and Emergency: In the case of the existence or threatened existence of an emergency that threatens the people, property, or environment of the City, and the condition is beyond the capability of the city to control effectively, the City Council, or the City Manager if the Council is not in session, can proclaim a local emergency.

3.1.6.2 Immediate Impact

During this phase, emphasis is placed on control of the situation, savings lives and minimizing the effect of the disaster.

Below is a list of actions to be taken:

Alert and Warning: Local response agencies are alerted about an incident by the public through 911, another response agency, or other method. First responders are then notified of the incident. Upon an alert, response agencies notify response personnel.

Resource Mobilization: Response agencies activate personnel and mobilize to support the incident response. As the event escalates and expands, additional resources are activated and mobilized to support the response. Activation and mobilization continue for the duration of the emergency, as additional resources are needed to support the response. This includes resources with the County, or, when resources are exhausted, from surrounding unaffected jurisdictions.

Incident Response: Immediate response is accomplished within the City by local responders. First responders arrive at the incident and function within their established field level plans and procedures. The responding agencies will manage all incidents in accordance with the Incident Command System organizational structures, doctrine, and procedures.

Establishing Incident Command: Incident Command is established to direct, order, and/or control resources by virtue of some explicit legal agency or delegated authority at the field level. Initial actions are coordinated through the on-scene Incident Commander. The Incident commander develops an initial Incident Action Plan, which sets priorities for the incident,

assigns resources, and includes a common communications plan. If multiple jurisdictions or agencies are involved, the first responders will establish a Unified Incident Command Post to facilitate multijurisdictional and multiagency policy decisions. The Incident Commander may implement an Area Command to oversee multiple incidents that are handled by separate Incident Command System organizations or to oversee the management of a large or evolving incident that multiple incident management teams engaged.

Activation of the Multiagency Coordination System: Responding agencies will coordinate and support emergency management and incident response objective through the development and use of integrated Multiagency Coordination Systems (MACS) and Multiagency Coordination System Groups (MAC Groups). This includes developing and maintaining connectivity capability between the Incident Command Post, Local 911 Centers, local Emergency Operations Centers, Regional Emergency Operations Centers, the State Emergency Operations Center and Federal Emergency Operations Center and National Response Framework organizational elements.

Local Emergency Operations Center Activation: Local jurisdictions activate their local Emergency Operations Center based on the magnitude or need for more coordinated management of the emergency. When activated, local EOCs help form a common operating picture of the incident by collecting, analyzing, and disseminating emergency information. The local Emergency Operations Center can also improve the effectiveness of the response by reducing the amount of external coordination of resources by the Incident Commander by providing a single point of contact to support multiagency coordination. When activated the local Emergency Operations Center notifies the Operational Area lead that the local Emergency Operations Center has been activated.

Communications between field and the Emergency Operations Center: When a jurisdiction Emergency Operation Center is activated, communications and coordination are established between the Incident Commander and the Department Operations Center to the Emergency Operations Center, or between the Incident Commander and the Emergency Operations Center.

Operational Area Emergency Operations Center Activation: If one or more local EOCs are activated, or if the event requires resources outside the affected jurisdiction, the Operational Area Emergency Operations Center activates. The Operational Area Emergency Operations Center also activates if a Local Emergency is proclaimed by the affected local government. The Operational Area Emergency Operations Center then coordinates resource requests from the affected jurisdiction to an unaffected jurisdiction, or if resources are not available within the Operational Area, forwards the resource request to the Regional Emergency Operations Center and mutual aid coordinators.

Regional Emergency Operations Center Activation: Whenever an Operational Area Emergency Operations Center is activated the California Office of Emergency Services Regional Administrator will activate the Regional Emergency Operations Center within the affected region and notifies the California office of Emergency Services Headquarters. The Regional Emergency Operations Center will then coordinate resource requests from the affected Operational Area to unaffected Operational Areas within the affected region, or, if resources are not available within the affected region, resource requests are forwarded to the State Operations Center for coordination.

State Level Field Teams: The State may deploy Field Teams (Emergency Services Regional Staff) to provide situation reports on the disaster to the Regional Emergency Operations Center in coordination with responsible Unified Command.

State Operations Center Activation: The State Operations Center is activated when the Regional Emergency Operations Center activates to:

- Continuously monitor the situation and provide situation reports to brief state officials as appropriate
- Process resource request between the affected regions, unaffected regions, and state agency Department Operation Centers
- Process requests for deferral assistance and coordinate with Federal Incident Management Assistance Teams when established
- Coordinate interstate resource request as part of the Emergency Management Assistance Compact or Interstate Disaster and Civil Defense Compact
- The State Operations Center may also be activated independently of a Regional Emergency Operations Center to continuously monitor emergency conditions

Joint Information Center Activation: Where multiple agencies are providing public information, the lead agencies will work together to analyze the information available and provide a consistent message to the public and the media. Where practical, the agencies will activate a Joint Information Center to facilitate the dissemination of consistent information.

State Department Operations Center Activation: Each state agency may activate a Department Operations center to manage information and resources assigned to the incident. If a Department Operations Center is activated, an agency representative or liaison may deploy to facilitate information flow between the two facilities.

Federal Emergency Management Agency Regional Response Coordination Center Activation: The Federal Emergency Management Agency Regional Response Coordination Center may deploy a liaison or Incident Management Assistance Team to the State Operations Center to monitor the situation and provide situational awareness to federal officials.

3.1.6.3 Sustained Operations

As the emergency continues, further emergency assistance is provided to individuals impacted by the disaster and efforts are made to reduce the likelihood of secondary damage. If the situation demands, mutual aid is provided, as well as activities such as search and rescue, shelter and care, and identification of victims.

3.1.6.4 Transition to Recovery

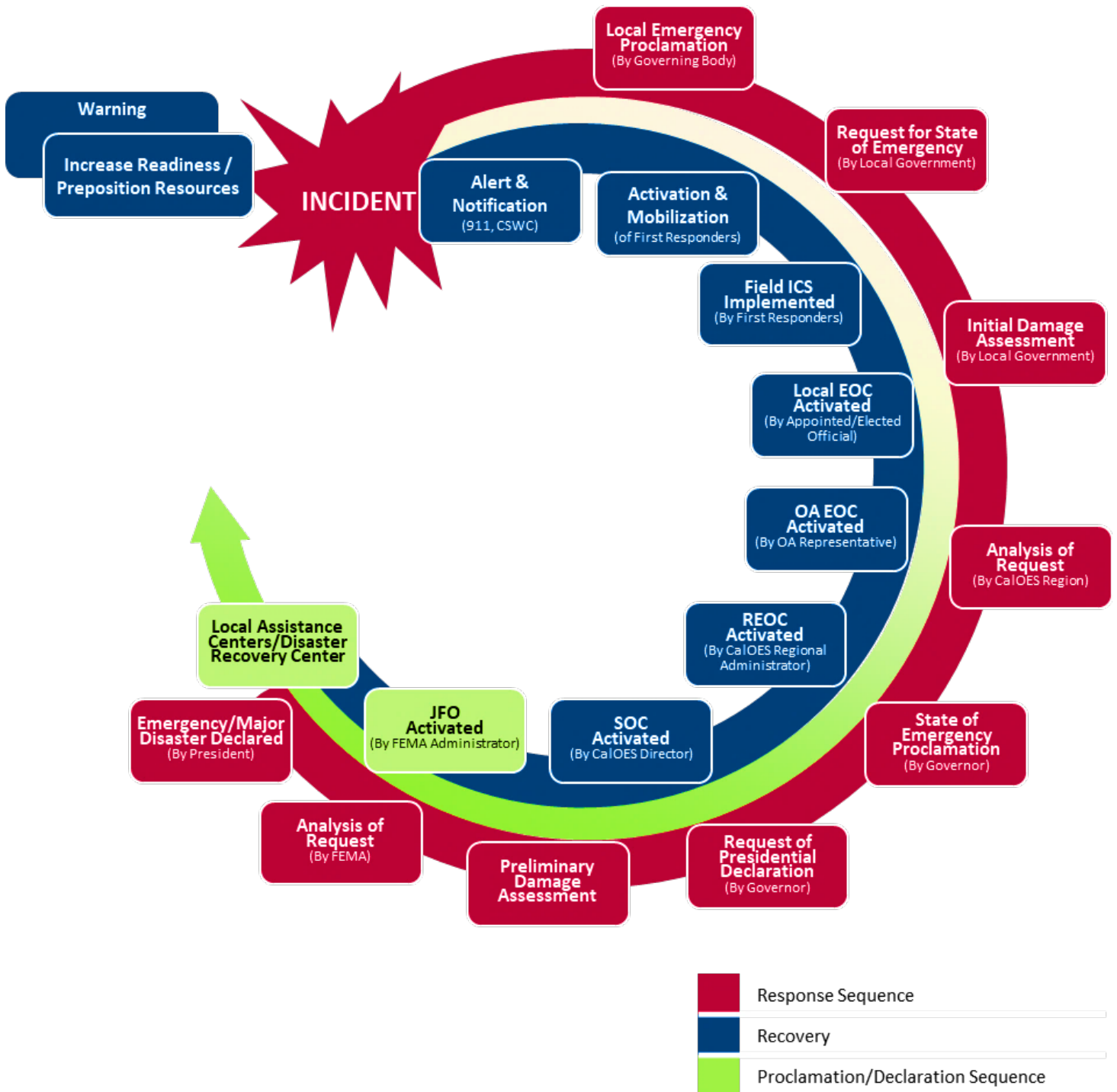
As the initial and sustained operational priorities are met, emergency management officials consider the recovery phase needs. Short-term recovery activities include returning vital life-support systems to minimum operating standards. Long-term activity is designed to return to normal activities. Recovery planning should include reviews of ways to avert or mitigate future emergencies. During the recovery phase, damage is assessed, local assistance centers and disaster recovery centers are opened, and hazard mitigation surveys are performed.

Local Assistance Centers: Local Assistance Centers (LAC) are opened by local governments to assist communities by providing a centralized location for services and resource referrals for unmet needs following a disaster or significant emergency. The LAC is staffed and supported by local, state, and federal agencies, as warranted, as well as nonprofit and voluntary organizations. The LAC provides a venue at which individuals, families, and businesses can access available disaster assistance programs and services. The LACs need to be physically accessible and information needs to be provided in accessible formats for all community members. If federal resources are authorized, a state-federal Disaster Recovery Center (DRC) may be co-located with the LACs.

Joint Field Office: The state coordinates with FEMA as necessary to activate a JFO to coordinate federal support for the emergency. The state will appoint a State Coordinating Officer (SCO) to serve as the state point of contact. A Federal Coordinating Officer (FCO) is appointed upon a Presidential Declaration of an Emergency or Major Disaster.

Demobilization: As resources are no longer needed to support the response, or the response activities cease, resources are demobilized. Demobilization includes provisions to address and validate the safe return of resources to their original location and includes processes for resource tracking and ensuring applicable reimbursement. Where applicable, demobilization should include compliance with mutual aid and assistance provisions.

The sequence of activities occurring for the emergency response and proclamation process is illustrated in **Figure 1 – Response Phase Sequence of Events**.



3.2 Recovery

FIGURE 1: RESPONSE PHASE SEQUENCE OF EVENTS

In the aftermath of a disaster, many citizens will have specific needs that must be met before they can pick up the thread of their pre-disaster lives. Typically, there will be a need for such services as these:

- (1) Assessment of the extent and severity of damages to public and private property.
- (2) Restoration of services generally available in communities - water, food, medical assistance, utilities, and lifelines.
- (3) Repair of damaged homes, buildings, and infrastructure.
- (4) Professional counseling when the sudden changes resulting from the emergency have resulted in mental anguish and inability to cope.

Local governments can help individuals and families recover by ensuring that these services are available and by seeking additional resources if the community needs them. Recovery occurs in two phases: short-term and long-term.

3.2.1 Short-Term

Short-term recovery operations begin during the response phase of the emergency. Although referred to as “short-term” recovery, these activities may last for weeks. Short-term recovery includes actions required to:

- Stabilize the situation.
- Restore services (electricity, water, and sanitary systems)
- Implement critical infrastructure recovery plans to maintain operations during emergencies and the recovery phase.
- Commence the planning for the restoration of the community, including economic functions.
- Address debris that poses a threat to public health and safety.

For federally declared disasters, Disaster Assistance Centers may be established by the Federal Emergency Management Agency (FEMA) to assist disaster victims and businesses in applying for grants, loans, and other benefits. In coordination with the American Red Cross, the City may provide sheltering for disaster victims until housing can be arranged.

3.2.2 Long-Term

Long-term recovery continues the short-term recovery actions focusing on community restoration. Long-term recovery may continue for several months or years depending on the severity and extent of the damage sustained. These activities include those necessary to restore a community to a state of normalcy, given the inevitable changes that result from a major disaster. Long-term recovery activities require significant planning to maximize opportunities and mitigate risks after a major incident and may include the following:

- Reconstruction of facilities and infrastructure including the technology systems and services necessary for restoration of all operations functions.
- Community planning including the development of long-term housing plans.
- Implementation of waivers, zoning changes, and other land-use legislation to promote recovery.

- Assistance to displaced families, which may include financial support as well as social and health services.
- Restoration of the local economic system.
- Integration of mitigation strategies into recovery efforts.
- Documentation of eligible disaster-related costs for reimbursement through state and federal grant programs.

3.3 Continuity

Continuity of Operations and Government: A critical component of the City emergency management strategy involves ensuring that government operations will continue during and after a major emergency or disaster. The ability to maintain essential government functions, including the continuity of lawfully constituted authority is a responsibility that must be provided for to the greatest extent possible.

A major disaster could result in great loss of life and property, including the death or injury of key government officials, the partial or complete destruction of established seats of government and/or the destruction of public and private records essential to continue operations of government and industry.

In the aftermath of a major disaster, during the reconstruction period, law and order must be preserved and, so far as possible, government services must be maintained. The civil government can best complete these services. To this end, it is particularly essential that the local units of government continue to function.

The following portions of the California Government Code and the State Constitution provide authority for the continuity and preservation of State and local government:

- Continuity of Government in California (Article IV, Section 21 of the State Constitution)
- Preservation of Local Government (Article 15 of the California Emergency Services Act)
- Temporary Seat of State Government (Section 450, Title 1, Division 3, Chapter 1 of the Government Code)

Key authorities include Sections 8635 through 8643 of the Government Code:

- Furnish a means by which the continued functioning of political subdivisions can be assured by providing for the preservation and continuation of (City and County) government in the event of an enemy attack, or in the event a State of Emergency or Local Emergency is a matter of statewide concern.
- Authorize political subdivisions to provide for the succession of officers (department heads) having duties related to law and order and/or health and safety.
- Authorize governing bodies to designate and appoint three standby officers for each member of governing body and for the Chief Executive, if not a member of the governing body. Standby officers may be residents or officers of a political subdivision, other than that to which they are appointed. Standby officers take

the same oath as regular officers and are designated numbers 1, 2 and 3 as the case may be.

- Authorize standby officers to report ready for duty in the event of a State of War Emergency, State of Emergency or Local Emergency at the place previously designated.
- Authorize local governing bodies to convene as soon as possible whenever a State of War Emergency, State of Emergency or Local Emergency exists, and at a place not within the political subdivision.

4 Organization and Assignment of Responsibilities

4.1 Roles of Staff in the EOC

For the City, this basic plan establishes the operational organization that is relied on to respond to an emergency. The City uses the Standardized Emergency Management System, The National Incident Management System, and the Incident Command System (See also Section 5.4), to be consistent with the National Response Framework concepts and to be coordinated with other jurisdictional partners within the Los Angeles County.

The following sections list out the city's organization structure as well as departmental roles and responsibilities during an Emergency Operations Center activation.

Additionally, it details out the role that Disaster Management Area Coordinators (DMACs) have during an emergency.

4.2 Role of Elected Official

All disasters are locally driven events, and it is the local official's role to provide leadership and policy guidance to their jurisdiction before, during, and after a disaster. It is important for local elected officials to engage in preparedness efforts, which are ongoing and involve activities undertaken to prepare for disasters and emergencies, as well as to facilitate future response and recovery efforts. The following section detail some of the local official's roles and responsibilities during and following a disaster.

Elected Officials Role During an Emergency Disaster: The primary role of an elected official during a disaster is that of support. As the disaster is occurring and the immediate response is underway, you will best serve your citizens by empowering and allowing your first responders and the EOC staff the freedom to manage the incident as they have been trained to do. Allow them time to stabilize the situation before attempting to step in as a decision maker. Your role as decision maker will come, but the primary goal of addressing a disaster as it is happening is to stabilize the situation quickly and efficiently – your staff will do that for you. To help in this goal, your role consists of:

- Support and work with your emergency management officials, as needed. This may include facilitating communication with and obtaining assistance from other agencies, declaring a local state of emergency, and issuing emergency orders such as imposing curfews etc.
- Communicate quickly, clearly, and effectively to your constituents and work with your partners to ensure a coordinated message.
- Get accurate information out early and often, and ensure all messaging is accessible.
- Maintain situational awareness regarding the disaster by staying informed.
- Provide direction for response-related activities, when appropriate.
- Trust and empower your emergency management officials to make the right decisions.
- Serve your citizens by allowing the First Responders and the EOC staff to manage the incident as they are trained to do. The active participation of Elected Officials in planning /

training before a disaster and leadership during the recovery period is where you will have the greatest impact and be of most value.

- Use an EOC Liaison to help you stay informed during the incident.

Elected Officials Role Following an Emergency Disaster: The primary role of an elected official after a disaster is that of leadership. Once the first responders and EOC staff have stabilized the situation, your role as an elected official becomes crucial to the recovery process. A community is built on law and order, and this stems from City Code, Zoning Regulations, Building Code, Police Enforcement, and much more. Just because a disaster occurs does not mean these regulations are null and void. On the contrary, they are crucial to make sure your community is built back right. For a City to truly recover, diligent and firm adherence to the City's Codes and Regulations must be adhered to. To help in accomplishing this goal, the following is a list of roles for you to fill.

- Understand the disaster assistance programs available and application process for State of California and the Federal Disaster Declarations.
- Support your community throughout the recovery – it can be a long process and may take multiple years.
- Help identify opportunities to rebuild and mitigate future damage through planning and smart infrastructure investments.
- Ask questions – the recovery process and programs can be complex.
- Ensure all Codes and Regulations are enforced during the recovery process.

4.3 Role of City Departments

In the event of an Emergency Operations Center activation, each City department is responsible to support emergency response and recovery objectives and taking the lead regarding the emergency function to which they have been assigned. The departments also provide representatives to the EOC to coordinate people, resources, and information in order to manage an incident that occurs in the city, and to communicate emergency efforts between departments and/or jurisdictions.

Designated department representatives are trained in emergency management and response operations. In addition, these representatives have assigned successors to support EOC staff in the event of extended operations. The sections below outline the designated responsibilities for each of the city departments. Details for department staff roles and responsibilities in the EOC are defined in the EOC position “jobaids” included in part two of this plan.

City Manager’s Office. The executive staff members of the City Manager’s Office are responsible for policy level decisions related to the management of the incident. The office will provide representatives to assist in the EOC, and provide liaison assistance to the operational area, if activated. The City Manager, or designee (e.g., Deputy City Manager, or other designee), will serve as the EOC Manager/Director overseeing the direction and policy guidance of all EOC operations. Policy level decisions are related to formation of policies/procedures, authorization of expenditures, support of local emergency management operations with additional staff, resources, etc., as well as other operations as determined appropriate. The City Manager’s Office will also establish a Public Information Officer (PIO) to staff the position of

EOC PIO to support the collection, verification, and dissemination of emergency related information to the public and the media.

Management Services. Management Services staff serves in the Recovery Coordination Group following the response phase of a disaster event as the city moves into the recovery phase. Management Services supports redevelopment and recovery strategies for the city using current economic development strategies.

Community Development Department. The Community Development Department is responsible for providing support on public infrastructure evaluation/damage assessment, providing GIS support upon request, identifying possible shelter locations (ensuring the structural safety of the buildings), providing staff to the EOC, and administering evaluations and permits in the recovery process. Department representatives from Planning and Building lead the Planning and Intelligence Section in the EOC and may serve in a variety of EOC sections and branches, depending on the needs of the incident.

Finance Department. The Finance Department is responsible for overseeing all expenditures related to emergency management and response operations, including tracking and documentation necessary for recovery reimbursement purposes including personnel time tracking during emergency operations. Finance will provide department representatives to staff the Finance Section in the EOC. Department representatives will utilize established procedures and protocols for expense tracking and documentation but may also develop additional procedures as necessary to fit the needs of emergency operations. Finance will also provide staffing to the Procurement Unit in the Logistics Section in the EOC utilizing established procedures and protocols for purchasing but may develop procedures as necessary to support emergency operations.

Fire Department. The Fire Department is responsible for the management of fire operations within the city during emergency response efforts. This includes the immediate first responder effort to manage any fires, as well as the management of a safe scene, recognition of potential hazardous materials, public safety on scene, and many other responsibilities. The Fire Department will coordinate all response efforts and serve as the main coordination point when requesting fire response or emergency medical service (EMS) assistance from neighboring jurisdictions.

Fire services also include the provision of Emergency Medical Services (EMS), providing life-saving medical care. Fire EMS personnel will work in coordination with private EMS providers to meet the needs of the incident in the event that Fire EMS is overwhelmed. A Fire Department representative will be appointed to serve in the Fire Branch of the Operations Section in the EOC.

Human Resources Division. The City Human Resources Department is responsible for managing all efforts associated with city personnel and volunteers. As emergency resources, city personnel and volunteers may be assigned to positions in the EOC or in the field to support city emergency management and response operations. Department representatives will staff the Personnel Branch of the EOC, addressing issues such as workers compensation, disaster service worker (DSW) agreements, volunteer management, and other various tasks as determined appropriate. In addition, the risk management personnel within Human Resources are responsible for providing a representative to staff the Safety Officer position for the EOC itself.

Information Technology Division. The Information Technology (IT) Contractor is responsible for ensuring the operation of the city's critical IT infrastructure during an emergency and providing technical support to the EOC when activated. IT will staff the Communications Unit in the EOC, and will provide support to GIS, mapping, and any other technical resources. IT should provide representatives to the EOC when activated.

Community Services Department. The Community Services Department is responsible for some logistics functions (supporting staff) and supporting mass care operations, including the implementation of shelter operations in the city. Mass care and shelter operations include the mobilization and deployment of department personnel and resources (in coordination with the operational area) and receiving and registering volunteer resources during emergencies. The Community Services Department will provide staff to manage the shelter facilities and may request additional assistance from the American Red Cross (ARC), if necessary. The Community Services department will appoint department representatives to the city EOC to assist in the coordination of department operations. In addition, the department also serves in a primary role for the provision of services for people with access and functional needs (PAFN) during an emergency. Community Services will also support transportation needs via City busses.

Police Department. The Police Department is responsible for law enforcement operations and terrorism prevention within the city. Police officers will respond to the immediate threats and dangers associated with any emergencies in the city. The Police Department will support emergency operations including, but not limited to prevention of threats, protection of population, evacuation, and damage assessment. A Police Department representative will be appointed to serve in the Law Branch of the Operations Section in the EOC.

Public Works Department. The Public Works Department serves in a variety of roles to support emergency management and response operations. Responsibilities for Public Works include, but are not limited to, damage assessment, critical infrastructure restoration, support for debris management, transportation, evacuation, and general logistics operations. Department representatives may be appointed to the EOC to serve in both the Operations and Logistics Sections. In addition, Public Works will assist emergency operations by deploying personnel into the incident area to assess damage and begin emergency restoration efforts. These operations will be coordinated through their Department Operations Center (DOC), which will communicate and coordinate with the EOC. A portable radio console can be provided to Public Works DOC so that the DOC can operate from a Public Works Facility if preferred. Public Works is also responsible for the management of flood/mudslide response operations, mitigation, planning and recovery activities. Public Works will monitor and assess weather-related data, provide technical assistance for interpreting river level related data and its impacts in the city, document any flooding through photographs, observations, and computer-generated data, ensure water and sewer are maintained during the emergency and provide staff to the EOC. The flood monitoring information provided by Public Works will assist the EOC in making necessary evacuation, transportation, or other emergency management related decisions. Public Works will coordinate flood fighting operations in coordination with local reclamations districts and other city and contracted partners in the event of potential or actual dam failure, or other weather-related flood emergencies. The Emergency Manager is responsible for the maintenance and access to hazard maps (such as 100-year flood zone maps) and will provide these to Public Works where applicable.

EOC, DOC and Responder Personnel. While this Emergency Operations Plan is focused on the City's organizational response, all city employees with responsibilities for emergency functions would greatly benefit from having a personal and family preparedness plan. Any city employee with responsibility to report to the EOC, a department operations center (DOC), or to field response operations should have a personal and family preparedness plan in place. Personal and family preparedness planning supports city employees in ensuring the safety of their loved ones, and in turn supports the employees with being available to respond to their city emergency management responsibilities.

4.4 Role of Disaster Management Area Coordinators (DMACs)

The mission of DMACs is to coordinate with Area cities in planning for preparedness, mitigation and recovery from emergencies/disasters. During an actual emergency, DMACs are responsible for Advocating for Area cities and liaison with the Los Angeles County Operational Area Emergency Operations Center as (OAEOC) as necessary, assist other Areas as requested; staff City Liaison post at OAEOC.

- Additional they check in with Area cities to quickly determine the impact of the emergency/disaster.
- Provide a quick Area status report to the OAEOC to supplement individual cities' reports. This is not a detailed or formal report. It should be consider outside the normal reporting system and will provide the OAEOC with an indication of where potential problems might exist as well as indicate which Disaster Management Area Coordinators (DMACs) might be in the best position to directly provide staffing to assist the most heavily impacted Area(s) and the OAEOC (staffing may come from the DMAC or from a city within the DMAC's Area).
- Get feedback from the OAEOC as to which DMAC Areas appear to be the most heavily impacted and which appear least impacted. Feedback will include a recommendation from the OAEOC as to which DMAC should provide staffing to the OAEOC (staffing may come from the DMAC or from a city within the DMAC's Area).
- DMAC of selected city provides shit staffing to the OAEOC to represent concerns of cities, to ensure that the needs and concerns of cities are properly represented in the OAEOC, and to participate, as appropriate, in the development of solutions affecting cities.

Finally, the following sections list out the role and responsibilities of the private sector.

4.5 Role of the Private Sector

4.5.1 Contracted City Services

If the City should ever contract for certain services such as Police, Fire or Public Works, and in the event of an Emergency Operations Center activation, each Contracted City Service partner is responsible to support emergency response and recovery objectives and taking the lead regarding the emergency function to which they have been assigned. At a minimum contract city service partners will either provide a representative to the City EOC or provide a contact number for Business Operations Center to coordinate people, resources, and information in order to manage an incident that occurs in the city, and to communicate emergency efforts between their organization and the City.

4.5.2 Residents

The residents of the City are primary beneficiaries of the City's emergency management system. At the same time, residents play an important role in emergency management by ensuring that they and their families are prepared for disasters. Before an emergency, residents can assist the emergency management effort by taking first aid training, maintaining supplies, and being prepared to evacuate or shelter-in-place for several days.

Many residents join disaster volunteers' programs such as Community Emergency Response Teams and remain ready to volunteer or support emergency response and recovery efforts. During an emergency, residents should monitor emergency communications and carefully follow direction from authorities. By being prepared, residents can better serve their family, their community and reduce demands on first responders.

4.5.3 Population with Access and Functional Needs

Populations with access and functional needs include those members of the community that may have additional needs before, during and after an incident in functional areas, including but not limited to maintaining independence, communication, transportation, supervision, and medical care.

Individuals in need of additional response assistance may include those who:

- Have disabilities – temporary and/or lifelong
- Live in assisted living settings
- Are elderly
- Are unaccompanied children
- Are from diverse cultures
- Have limited English proficiency or a non-English speaking
- Have sight or hearing losses (impairments)
- Are transportation dis-advantaged; or
- Other situations that would require assistance

Lessons learned from recent emergencies concerning people with disabilities and older adults have shown that existing paradigm of emergency planning, implementation and response must change to meet the needs of these groups during an emergency. These lessons show four areas that are repeatedly identified as most important to people with disabilities and older adults:

- **Communications and Public Information:** Emergency notification systems must be accessible to ensure effective communication for people who are deaf/hard of hearing, blind/low vision, or deaf/blind
- **Evacuation and Transportation:** Evacuation plans must incorporate disability and older adult transportation providers for identifying and the movement of people with mobility impairments and those with transportation disadvantages

- **Sheltering:** Care and shelter plans must address the access and functional needs of people with disabilities and older adults to allow for sheltering in general population shelters
- **Americans with Disabilities Act:** When shelter facilities are activated, the State will work with local officials to ensure they accommodate the provisions of the Americans with Disabilities Act.

4.5.4 At Risk Individuals

Another perspective is to consider the needs of people who are not in contact with traditional emergency service providers. These people may feel they cannot comfortably or safely access and use the standard resources offered in preparedness, response, and recovery. These include, but are not limited to individuals who are:

- Homeless
- Without transportation
- Out of hearing range of community alert sirens/systems
- Without radio or television to know they need to take action
- Without access to telephones
- Visiting or temporarily residing in an impacted region
- Not familiar with available emergency response and recovery resources
- Limited in their understanding of English
- Geographically or culturally isolated

4.5.5 Businesses

Most of the City's critical infrastructure is owned and maintained by businesses and must be protected during a response to ensure a quick and complete recovery from an emergency. These same businesses provide valuable resources before, during and after an emergency, as well as play a critical role in meeting the needs of those impacted by an emergency.

Target Hazards: Some key locations are potential targets for terrorist attacks and must institute measures to prevent attacks and protect their infrastructure and surrounding community. This requires businesses to coordinate with local, state, and federal governments to ensure that their emergency plans are integrated with government plans.

Hazardous Materials Area Plans: Some industries are required by law or regulation to have emergency operations procedures to address a variety of hazards, the California Office of Emergency Services Hazardous Materials Program requires businesses that handle hazardous materials that meet certain quantity or risk thresholds must submit Business Program Plans and Risk Management Plans to the County's Certified Unified Program Agency or Administering Agency. The administering Agency can then develop Hazardous Material Area Plans to respond to a release of hazardous material within the county.

Business Emergency Plans: This plan recommends that all businesses develop comprehensive emergency plans that include employee injury and illness prevention programs, business resumption and continuity of operations elements. A comprehensive business emergency plan can assist the business and community at-large by providing:

- Information to employees to protect themselves and their families from the effects of likely emergencies
- A business emergency organization with identified positions having clear and specific emergency roles, responsibilities, delegated authority and identified successors
- An identification of actions necessary to protect company property and records during emergencies
- A list of critical products and services
- Production shutdown procedures
- A company command post
- Alternative work sites
- Methods and channels of communication
- Contacts with local emergency management officials
- A method to provide and accept goods and services from other companies

Business Operations Centers: This plan also promotes the use of business operations centers to enhance public and private coordination. Local government can effectively coordinate with businesses by establishing a business operation center that is linked to their existing emergency operations center.

4.5.6 Volunteer Organizations

The City recognizes the value and importance of organizations that perform voluntary services in their community. These organizations have resources, which can augment emergency response and recovery efforts. Some examples of voluntary organization are the following:

- American Red Cross
- Community Emergency Response Team within the City or County
- Amateur Radio Group (SPARC)

4.5.7 Public-Private Partnerships

The private sector provides valuable assistance and resources to support emergency response and recovery activities. The goal of the Public-Private partnership is to advise on:

- Appropriate agreements to provide for quick access to emergency supplies and essential services to minimize the need to stockpile such supplies during normal times
- Logistic measures required to quickly deliver needed supplies and services to affected areas
- Methods to utilize non-profit and private sector capabilities to increase the surge capacity of local agencies responding to emergencies
- Methods to promote the integration of the non-profit and private sectors into the emergency services system so that people can be better informed and prepared for emergencies
- Systems that aid business and economic recovery after an emergency

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5 Direction, Control and Coordination

5.1 Direction and Control

The City is responsible for coordinating the resources, strategies, and policy for any event in the City that exceeds the capacity of field responders. Tactical control always remains the responsibility of field Incident Commanders. The City Manager, working through the mechanism of the Emergency Operations Center, provides direction and control over the coordination of multi-department and multi-jurisdictional resources to support the field responders. Policy decisions may be made by the Emergency Operations Center Manager/Director that is staffed by the City Manager or designee.

5.2 Coordination

The City Emergency Operations Center will coordinate resource requests from the field and other jurisdictions within the City. If request exceed the supply, the Emergency Operations Center will provide resources based on established priorities.

If resources are not available within the City, requests will be made to the Los Angeles Operational Area Emergency Operations Center either directly or through DMACs who are responsible for advocating for Area cities and liaison with the Los Angeles County Operational Area Emergency Operations Center as (OAEOC) as necessary. The Operational Area Emergency Operations Center will coordinate resources obtained from within the operational area. If resources are not available in the operational area, they will request from the Southern Regional Emergency Operations Center. The Regional Emergency Operations Center will coordinate resources obtained from operational areas throughout the region. If resources are not available in the region, they will request from the State Operations Center. If the state cannot supply the resource, they will request from Federal Emergency Management Agency and other federal agencies. Below is a visual of this coordination relationship.

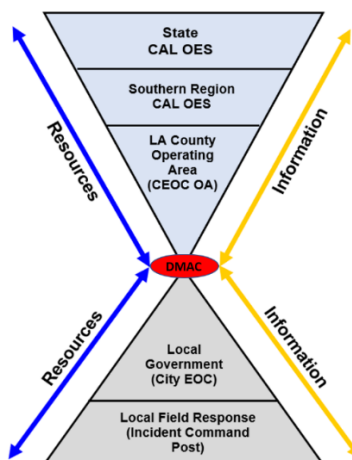


FIGURE 2: DMAC COORDINATION RELATIONSHIP

5.3 Multi-Entity/Jurisdiction Coordination and Mutual Aid

Operational Area Coordination: In the event that an incident overwhelms the resources and capabilities of the City, additional support will be requested from a variety of entities, jurisdictions, and organizations. For general emergency management operations, the city will follow SEMS and make requests for additional assistance through the operational area, working directly with the operational area emergency management personnel and the operational area EOC, if activated. If the emergency requires state and federal support, representatives from the operational area will work with the state level emergency management organization (Regional Emergency Operations Center), following the established SEMS, NIMS, and ICS structures.

When working with external partners such as private companies, non-profit organizations, nongovernment organizations, or other partners, city representatives in the EOC will ensure that these external partners work within the designated organizational structure of the city EOC. The City EOC Manager/Director will designate the coordination procedures for new partners that are not already established as part of the city's emergency management operational systems.

Mutual Aid: California's emergency assistance is based on a statewide mutual aid system designed to ensure additional resources are provided to the state's political subdivisions whenever their own resources are overwhelmed or inadequate. The basis for this system is the California Disaster and Civil Defense Master Mutual Aid Agreement (MMAA), which is entered into by and between the State of California, its various departments and agencies, and the various political subdivisions, municipal corporations, and public agencies to assist each other by providing resources during an emergency. The agreement obligates each signatory entity to provide aid to each other during an emergency without expectation of reimbursement. Under specific conditions, federal and state funding may be appropriated to reimburse public agencies who aid other jurisdictions. If other agreements, memoranda, and contracts are used to provide assistance for consideration, the terms of those documents may affect disaster assistance eligibility and local entities may only be reimbursed if funds are available. This plan promotes the establishment of emergency assistance agreements between public and private sector agencies at all levels.

There are four approved, formal Mutual Aid Systems in California. Those systems are:

- 1 Fire and Rescue
- 2 Law Enforcement
- 3 Coroner
- 4 Emergency Management (resources not covered by the other three systems)

Other informal mutual aid involves, but is not limited to the interchange of:

- 1 Public Information
- 2 Medical and Health
- 3 Communications
- 4 Transportation Services
- 5 Facilities
- 6 Hazardous Material Mutual Aid System
- 7 Volunteer and Private Agencies

California is divided into six mutual aid regions, which are subdivisions of the state emergency services organization to facilitate the coordination of mutual aid and other emergency operations within an area of the State consisting of two or more Operational Area. A map of the Regions is shown in Figure 3: California Mutual Aid Regions. The City is located in Mutual Aid Region I-A.

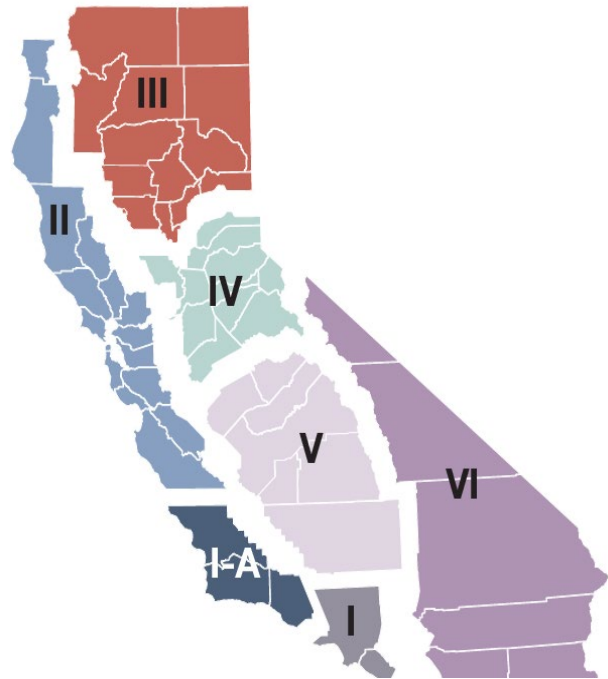


FIGURE 3: CALIFORNIA MUTUAL AID REGIONS

Mutual Aid Coordination: Formal mutual aid requests follow specified procedures and are processed through pre-identified mutual aid coordinators. Mutual aid requests follow discipline-specific chains (i.e., fire, law enforcement etc.) from one level of government to the next. The mutual aid coordinator receives the mutual aid request and coordinates the provision of resources from within the coordinator's geographic area of responsibility. In the event resources are unavailable at one level of government, the request is forwarded to the next higher level of government to be filled.

- **Field Level Requests:** Requests for MMAA resources originate from the Field Level and are managed by the Incident Commander (IC). If the IC is unable to obtain the resource through existing local channels, the request is elevated to the next successive government level until obtained or cancelled.
- **Local Government Request:** Local jurisdictions are responsible for the protection of life and property within the municipal geographic boundaries. The local jurisdiction where the incident occurred should assess its resource inventory and existing local agreements to determine if the requested resource is available. When locally committed resources are exhausted and mutual aid is needed, the local official will request assistance from the OA Mutual Aid Coordinator.
- **Operational Area Requests:** The Operational Area (OA) is a composite of its political subdivisions, (i.e., municipalities, contract cities, special districts, and county agencies). The OA Mutual Aid Coordinator assesses the availability of resources within the OA and fulfills the resource request based upon that assessment. In the event resources are

unavailable at the OA level, the request is forwarded to the responsible Regional Mutual Aid Coordinator to be filled.

- Region Level Requests:** The State is geographically divided into six Mutual Aid Regions. For Law Enforcement Mutual Aid, Region I is divided into two sub-regions. Each Mutual Aid Region is comprised of multiple Operational Areas and has a Regional Mutual Aid Coordinator. The Regional Mutual Aid Coordinator is granted the authority to coordinate the mutual aid response of discipline-specific resources within the Region to support a mutual aid request by a jurisdiction also within the Region. In the event resources are unavailable at the Region level, the request is forwarded to the State Mutual Aid Coordinator to be filled.
- State Level Requests:** On behalf of the Governor, the Director of Cal OES has the responsibility for coordination of state mutual aid resources in support of local jurisdictions during times of emergency. The Director will analyze and coordinate the request by forwarding the request to an unaffected REOC or tasking the appropriate State agency to fill the need.

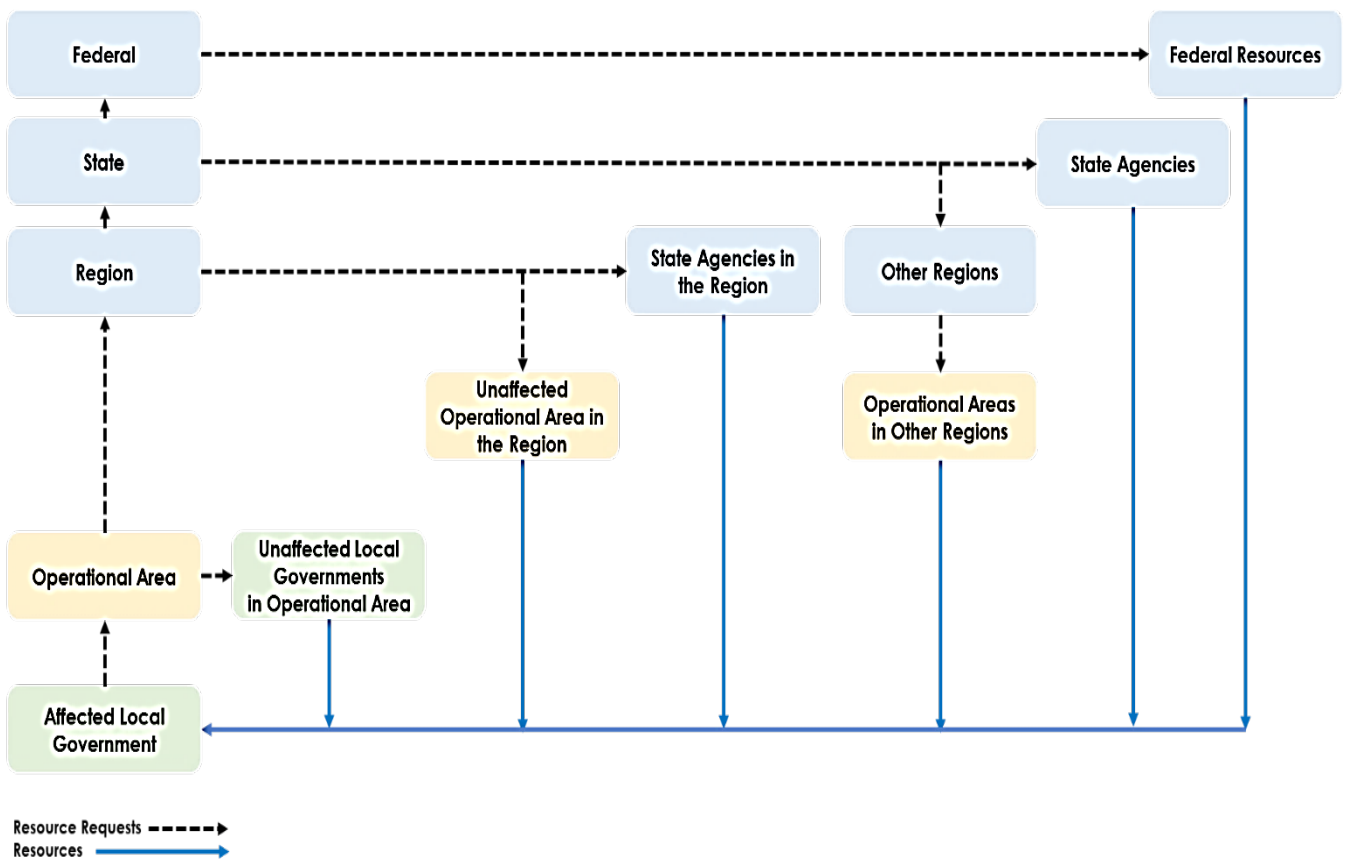


FIGURE 4: FLOW OF REQUEST AND RESOURCES

5.4 NIMS, SEMS, and ICS

Emergency management operations for the City are organized under the guidelines established by NIMS, SEMS, and ICS. These emergency management structures and guidelines provide the foundation for all emergency operations, creating a flexible organizational structure that can be adjusted to meet the needs of any incident, regardless of the size, extent, or associated damage. This plan, following the identified emergency management structures and guidelines, serves as a local, city management plan, and nests into and supports the Los Angeles County and Operational Area Response Plan.

The city will manage their internal operations through the implementation of this plan as outlined, and work in support of county operations if necessary. In following these standardized systems, the city EOC is organized into the sections listed below.

- Management Staff
- Operations Section
- Planning Section
- Logistics Section
- Finance Section

Detailed descriptions of the roles of each position in the EOC can be found in Part 2 of this plan.

NIMS is the national standard for incident management operations defined by the FEMA and based on the National Response Framework. NIMS has been adopted by the City by resolution to serve as its incident management system. ICS is the organizational structure within NIMS that defines how emergency management operations will be organized. All state and local jurisdictions are required to prepare, plan, and respond to emergencies based on the NIMS and ICS standards in order to be eligible for federal reimbursement for emergency related costs. Additional details regarding NIMS and ICS can be found online through FEMA's website.

In addition, the Standardized Emergency Management System (SEMS), based on State of California emergency management standards, has been adopted by the City for managing response to multi agency and multi jurisdiction emergencies, and to facilitate communications and coordination between all levels of the system and among all responding agencies. California Government Code § 8607 requires all local public agencies (cities, special districts, and counties) to respond to emergencies using the SEMS at the scene of a multi-agency emergency and in the EOC.

SEMS defines the organizational structure of local EOCs, reporting to operational area EOCs, which report to Regional EOCs (REOC), to state EOCs, and finally to FEMA. The utilization of SEMS during emergency management and response efforts is required for jurisdictions to be eligible for state reimbursement. Additional information for SEMS can be found online through the California Office of Emergency Services (CalOES) website.

National Incident Management System: The terrorist attacks of September 11, 2001, illustrated the need for all levels of government, the private sector, and nongovernmental agencies to prepare for, protect against, respond to, and recover from a wide spectrum of events that exceed the capabilities of any single entity. These events require a unified and coordinated national approach to planning and to domestic incident management. To address

this need, the President signed a series of Homeland Security Presidential Directives (HSPDs) that were intended to develop a common approach to preparedness and response. Two Policy Directives that are of particular importance to emergency planners:

- **HSPD-5, Management of Domestic Incidents:** Identifies steps for improved coordination in response to incidents. It requires the Department of Homeland Security to coordinate with other federal departments and/or agencies and state, local, and tribal governments to establish a National Response Framework and a National Incident Management System.
- **PPD-8, National Preparedness:** Describes the way federal departments and agencies will prepare. It requires DHS to coordinate with other federal departments and agencies – and with state, local, and tribal governments to develop a National Preparedness Goal.

Together, the National Incident Management System, National Response Framework, and the National Preparedness Goal define what needs to be done to prevent, protect against, respond to, and recover from a major event; and how well it needs to be done. These efforts align federal, state, local, and tribal entities; the private sector; and nongovernmental agencies to provide an effective and efficient national structure for preparedness, incident management, and emergency response.

The National Incident Management System structure provides a consistent framework for incident management at all jurisdictional levels, regardless of the cause, size, or complexity of the incident, building on the Incident Command System and the National Incident Management System provides the nation’s first responders and authorities with the same foundation for incident management for terrorist attacks, natural disasters, and all other emergencies. The National Incident Management System structure requires the institutionalization of the Incident Command System and its use to manage all domestic incidents.

The National Incident Management System structure integrates existing best practices into a consistent, nationwide approach to domestic incident management that is applicable at all jurisdictional levels and across functional disciplines. Six major components make up the National Incident Management system’s approach:

- Command and Management
- Preparedness
- Resource Management
- Communications and Information Management
- Supporting Technologies
- Ongoing Management and Maintenance

Standardize Emergency Management System: The Standardized Emergency Management System is the cornerstone of California’s emergency response system and the fundamental structure for the response phase of emergency management. The Standardized Emergency Management System required by the California Emergency Services Act for managing multiagency and multijurisdictional response to emergencies in California. The system unifies all elements of California’s emergency management community into a single integrated system and standardizes key elements. The Standardized Emergency Management System incorporates the use of the Incident Command System, California Disaster and Civil Defense Master Mutual Aid Agreement, the Operation Area concept and multiagency or inter-agency

coordination. State agencies are required to use the Standardized Emergency Management System and local government entities must use the Standardized Emergency Management System in order to be eligible for any reimbursement of response-related costs under the state's disaster assistance programs.

Standardize Emergency Management System Organization Levels: There are five Standardized Emergency Management System organizational levels.

- **State:** The State Level of the Standardized Emergency Management System prioritizes task and coordinates state resources in response to the request from the Regional Level and coordinates mutual aid among the mutual aid regions and between the Regional Level and State Level. The State Level also serves as the coordination and communication link between the state and the federal emergency response system. The State Level requests assistance from other state governments through the Emergency management Assistance Compact and similar interstate compacts/agreements and coordinates with the Federal Emergency Management Agency when federal assistance is requested. The State Level operates out of the State Operations Center. At the Federal Level, the National Response Framework identifies the methods and means for federal resources to provide support to the state and local government. Federal resources would be accessed via the Standardized Emergency Management System process through the mutual aid region and State Operations Center.
- **Region:** The Regional Level manages and coordinates information and resources among Operational Areas within the mutual aid region and also between the Operational Area and the State Level. The Regional Level also coordinates overall state agency support for emergency response activities within the region. California is divided into three Administrative Regions – Inland, Coastal and Southern (Figure 5); which are further divided into six mutual aid regions (Figure 3).
- **Operational Area:** An operational Area is the intermediate level of the state's emergency management organization, which encompasses a county's boundaries, and all political subdivisions located within that country, including special districts. The Operational Area facilitates and/or coordinates information, resources, and decisions regarding priorities among local governments within the Operational Area. The Operational Area serves as the coordination and communication link between the Local Government Level and Regional Level, State, Federal and Tribal jurisdictions in the Operational Area may have statutory authorities for response similar to that at the local level.



FIGURE 5: ADMINISTRATIVE REGIONS

- **Local Government (The City):** The Local Government Level includes cities, counties and special districts, Local governments are required to use the Standardized Emergency Management System when their Emergency Operations Center is activated, or a local emergency is declared or proclaimed in order to be eligible for state reimbursement of response-related costs.
- **Field:** The Field Level is where emergency response personnel and resources, under the command of responsible officials, carry out tactical decisions and activities in direct response to an incident or threat.

Standardized Emergency Management System Functions: The Standardized Emergency Management System requires that every emergency response involving multiple agencies include the five functions identified in Figure 6: Standardized Emergency Management System Functions. These functions must be applied at each level of the Standardized Emergency Management System organization.

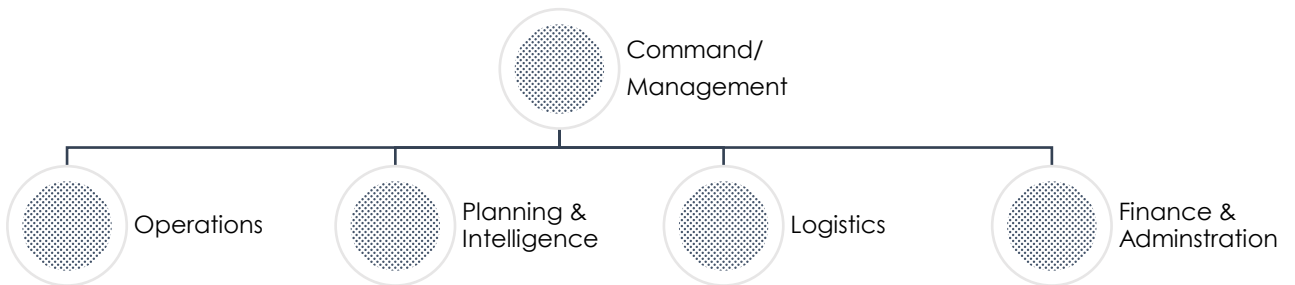


FIGURE 6: STANDARDIZED EMERGENCY MANAGEMENT SYSTEM FUNCTIONS

Command/Management: Command is responsible for the directing, ordering, and/or controlling of resources at the field response level. Management is responsible for overall emergency policy and coordination at the Standardized Emergency Management System Emergency Operations Center levels. Command and Management are further discussed below:

- **Command:** A key concept in all emergency planning is to establish command and tactical control at the lowest level that can perform that role effectively in the organization. In the Incident Command System, the Incident Commander, with appropriate policy direction and authority from the responding agency, sets the objectives to be accomplished and approves the strategy and tactics to be used to meet those objectives. The Incident Commander must respond to higher authority. Depending

upon the incident's size and scope, the higher authority could be the next ranking level in the organization up to the agency or department executive. This relationship provides an operational link with policy executives who customarily reside in the Department Operations Center of the Emergency Operations Center (EOC), when activated.

- **Management:** The Emergency Operations Center serves as a central location from which multiple agencies or organizations coordinate information collection and evaluation, priority setting and resource management. Within the Emergency Operations Center, the Management function:
 - Facilitates multiagency coordination and executive decision making in support of the incident response
 - Implements the policies established by the governing bodies
 - Facilitates the activities of the Multiagency Coordination Group
- **Operations:** Responsible for coordinating and supporting all jurisdictional operations supporting the response to the emergency through implementation of the organizational level's Action Plans. At the Field Level, the Operational Section is responsible for the coordinated tactical response directly applicable to, or in support of the objectives in accordance with the Incident Action Plan. In the Emergency Operations Center, the Operations Section Coordinator/Chief manages functional representatives who share information and decisions about discipline-specific operations.
- **Logistics:** Responsible for providing facilities, services, personnel, equipment, and materials in support of the emergency. Unified ordering takes place through the Logistics Section to ensure controls and accountability over resource requests. As needed, Unit Coordinators are appointed to address the needs for communications, food, medical, supplies, facilities, and ground support.
- **Planning/Intelligence:** Responsible for the collection, evaluation and dissemination of operational information related to the incident for the preparation and documentation of the Incident Action Plan at the Field Level or the Action Plan at an Emergency Operations Center. Planning/Intelligence also maintains information on the current and forecasted situation and on the status of resources assigned to the emergency or the Emergency Operations Center. As needed, Unit Coordinators are appointed to collect and analyze data, prepare situation reports, develop action plans, set Geographic Information Systems priorities, compile, and maintain documentation, conduct advance planning, manage technical specialists, and coordinate demobilization.
- **Finance/Administration:** Responsible for all financial and cost analysis aspects of the emergency and for any administrative aspects not handled by the other functions. As needed, Unit Leaders are appointed to record time for incident of Emergency Operations Center personnel and hire equipment, coordinate procurement activities, process claims and track costs.

The field and Emergency Operations Center functions are illustrated in **Table 2: Field and Emergency Operation Center Standardize Emergency Management Functions Comparison**.

SEMS Function	Field Level	EOCs
Command / Management	Command is responsible for directing, ordering and/or controlling resources	Management is responsible for facilitation of overall policy, coordination, and support of the incident
Operations	The coordinated tactical response of all field operations in accordance with the Incident Action Plan	The coordination of all jurisdictional operations in support of the response to the emergency in accordance with the Emergency Center Action Plan
Planning & Intelligence	The collection, evaluation, documentation and use of intelligence related to the incident	Collecting, evaluating, and disseminating information and maintaining documentation relative to all jurisdiction activities
Logistics	Providing facilities, services, personnel, equipment, and materials in support of the incident	Providing facilities, services, personnel, equipment, and materials in support of all jurisdictional activities as required
Finance & Administration	Financial and cost analysis and administrative aspects not handled by the other functions	Responsible for coordinating and supporting administrative and fiscal consideration surrounding and emergency incident

TABLE 2: FIELD AND EMERGENCY OPERATION CENTER STANDARDIZE EMERGENCY MANAGEMENT FUNCTIONS COMPARISON

6 Communications

6.1 City EOC. Once notified of an emergency or disaster of any size, or of a potential or imminent threat to the city, communications will be established between the City EOC and outside entities, such as field responders, department level personnel, media, or other outside agencies and partners. From the EOC, telephones, cell phones, radios, email, and internet applications (such as VEOCI) are used for direct communications with field responders or outside agencies.

The City EOC can communicate with the OA EOC to access the State OASIS satellite system. OASIS can support the operational area entities by allowing for direct satellite communication with the State's Regional EOC (REOC), and the State Operations Center (SOC). OASIS voice transmission works like a standard telephone and data transmission is similar to a computer modem.

6.2 City Operations and Responders. The City operational staff in the field implement interoperable communications through the use radios to facilitate communications with all responding departments and city entities. Alternate forms of communications such as the use of cell phones, text messaging, email, amateur radio etc., may be utilized if determined necessary. The use of the interoperable radio system allows for communications between DOCs, EOCs, and the Incident Command Post (ICP) that is located near the site of a field emergency incident. DOCs and dispatch centers for private entities (i.e., private EMS providers) are responsible for maintaining communications with the city EOC when it is activated. A cache of radios is available from the Fire Department if radio distribution is needed. A Satellite Phone Hub (Iridium Go) is available for text and voice communications in the event that standard phone lines are not operational. See the Iridium Go binder in the EOC for operations.

6.3 Alert and Warning. In addition to an effective communication capability, government must have an effective means to provide warning alerts to the populations impacted or at risk as the result of an emergency. There are several primary alert and warning systems designed to provide City residents with emergency information. The city employs several modalities and systems to alert residents of impending dangers. These include a mass notification system where resident landline data is preloaded into the system. Residents can also voluntarily opt-in the system by providing additional information such as email, cell phone, and additional residential data. The city also has access to the Integrated Public Alert and Warning System (iPAWS) which enables the city to utilize Wireless Emergency Alerts (WEA) to notify residents on their cell phones under extreme circumstances where there is an imminent threat to life, property, or the environment. Additionally, special broadcasts, or simply driving up and down the streets using the public address system can also be conducted to notify and warn citizens. Police and Fire may be required to disseminate emergency warning to public who cannot be reached by primary warning systems.

7 Information Collection, Analysis and Distribution

Before an Incident. Information is often provided before an incident occurs. Sources may include weather reports, National Oceanic Atmospheric Administration (NOAA) alerts, LA County Flood Control (Public Works) monitoring data, crime reports, credible threats of intentional events, and others. Advanced notice information can be used to activate the EOC, prepare emergency management and response personnel, and provide information to the city population. This advanced information can increase the preparedness level of emergency management and response personnel, ensuring the number of responders and material resources needed for response operations. Advanced information is also used to notify people that might be living in harm's way, and supports individuals and their families with preparing for, or evacuating from, the hazardous situation. Early information can greatly reduce the numbers of people who might otherwise be harmed by the emergency event.

During an Incident. Information collected during the incident assists in determining the correct course of action and emergency management decisions. Information is collected from field responders, DOCs, private entities, the media, social media, community members, and a variety of other sources. All information collected from open-source public resources will be analyzed for accuracy, processed through rumor control, and documented by the respective EOC sections, branches, and units. All information documentation will be provided to the Situation Unit in the Planning Section of the EOC for inclusion into in the EOC Action Plan.

The use of Actions Plans in the City Emergency Operations Center provides a clear and measurable process for identifying objectives and priorities for a given event. Action Planning is an important management tool that involves:

- Process for identifying priorities and objectives for emergency response or recovery efforts
- Plans which document the priorities and objectives and the task and personnel assignments associated with meeting the objectives

The Action Planning process should involve the Emergency Operations Center Director and Section Chiefs/Coordinators (one from each Section) along with other Emergency Operations Center staff, as needed, such as agency representatives.

The initial Emergency Operations Center Action Plan may be a verbal plan that is developed during the first hour or two following Emergency Operations Center action. A verbal plan may also be utilized for incidents involving a limited scope, short duration (less than 12 hours) and/or a limited number of response personnel. An Emergency Operations Center Action Plan will be developed whenever the Emergency Operations Center is activated, either partially or fully. A written Emergency Operations Center Action Plan is required whenever:

- Two or more agencies are involved in the response
- The incident overlaps more than one operational period
- All Emergency Operations Center functions are fully staffed

The Emergency Operations Center Action Plan addresses a specific operational period, which may vary in length from a few hours to days depending on the circumstances. The plan should be regularly reviewed and evaluated through the operational period and revised or updated as warranted.

The Planning Section Chief/Coordinator, with input from the EOC Manager/Director, EOC Coordinator, and the Operations Section Chief/Coordinator, establishes the schedule and cycle for planning and situation information dissemination. Initially, meetings may be conducted every few hours or several times each day. Over time, meetings may be held twice each day, and then daily, depending on the level of operations.

In addition, all EOC situation status reports and EOC Action Plans will be developed and presented for the purpose of information sharing at scheduled meetings during each EOC operational period. Information may also be sent to City departments, Emergency Operations Center personnel, the Operational Area, and other key agencies using the City's Emergency reporting system, OASIS, radio, telephone, email, internet, or fax. Regardless of the method of communication, all data should be verified prior to transmission. If unverified data must be transmitted, it should be clearly designated as unconfirmed information.

The City uses EOC forms found in part two of this plan to record and report information.

After an Incident. Information collected throughout emergency operations will be documented by members of the Planning Section. This information will be used during the recovery phase of the emergency to develop a history of actions and expenditures related to the disaster. Information will also be used for the development of the after-action report that is used to document effective practices, archive effective tools, note areas in which EOC personnel saw need for additional training or tools, and document areas for program enhancements. In addition, the city and other agencies, entities, and organizations involved in the emergency management and response operations will collect information related to their respective after-effects of the incident, such as social and economic impacts, relief support provided, and ongoing recovery operations.

Emergency Public Information. Emergency Public Information is a priority of most importance during emergencies and disasters. City government has a primary responsibility to provide accurate and timely information to the public regarding conditions, threats, and protective measures. To avoid conflicts and confusion, the Emergency Public Information function operates best when centralized and coordinated among all involved jurisdictions, agencies, and organizations.

8 Administration, Finance and Logistics

8.1 Administration

Emergency management operations supporting administration, finance, and logistical processes will be primarily conducted within the Logistics and Finance Sections of the EOC and will include the following considerations:

- Tracking and documentation of expenses
- Documentation of all actions taking during emergency operations
- Procuring necessary equipment, resources, and additional support
- Tracking and documentation of city employee working hours

- Documentation of city employee working hours
- Managing continuity of operations (COOP) for the city
- Developing staff rotation schedules for extended operations
- Managing compensation and claims related to emergency operations
- Tracking and documenting of the deployment and utilization of resources
- Managing additional staff and volunteers to support emergency operations
- Managing both financial and in-kind donations
- Overseeing and managing information technology components and issues as they arise
- And other actions as determined appropriate

8.1.1 City Emergency Operations Policy Statement

Limitations: Due to the nature of emergency response, the outcome is not easy to predict. Therefore, it should be recognized that this plan is meant to serve as a guideline and that the outcome of the response may be limited by scope, magnitude, and duration of the event.

Suspension of Routine Activities and Availability of Employees: Day-to-day functions that do not contribute directly to the disaster operation may be suspended for the duration of an emergency. Efforts normally required for routine activities may be redirected to accomplish emergency tasks. During an emergency response, City employees not otherwise assigned emergency disaster related duties will, unless otherwise restricted, be made available to augment the work of their department, or other City departments, if required.

Employee Personal Preparedness: City employees may not be at peak efficiency or effectiveness during a disaster if the status of their households is unknown or in doubt. Employees who are assigned disaster response duties are encouraged to make arrangement with other employees, friends, neighbors, or relatives to check on their immediate families in the event of a disaster and to communicate that information to the employee through the City Emergency Operations Center.

Non-Discrimination: All local activities will be carried out in accordance with federal nondiscrimination laws. It is the City’s policy that no service will be denied on the basis of race, religion, national origin, age, sex, marital status, veteran status, sexual orientation of the presence of any sensory, mental or physical disability.

Citizen Preparedness: This plan does not substitute government services for individual responsibility. Citizens are expected to be aware of developing events and take appropriate steps to respond in a safe and timely manner. Since the City’s resources and personnel may be overwhelmed at the onset of a disaster event, individuals and organizations should be prepared to be self-sufficient following a disaster. The City will make every effort to provide information to the public via the media and other sources to assist citizens in dealing with the emergency.

8.1.2 Disaster Service Workers

Under California Government Code, Section 3100-3109, all public employees are obligated to serve as Disaster Service Workers. Public employees (civil service) are all persons employed

by any county, city, state agency or public district in the State of California. Disaster Service Workers provide services and support during declared emergencies or disasters.

In the event of a major emergency or disaster, City employees may be called upon to perform certain duties in support of emergency management operations, such as: serve in a position in the Emergency Operations Center, support shelter operations, or work at a logistics base in the field.

- City employees may be required to work at any time during a declared emergency and may be assigned to disaster service work
- Assignments may require service at locations, times and under conditions other than normal work assignments
- Assignment may include duties within the Emergency Operation Center, in the field or at another designated location

Under no circumstances will City employees that do not usually have a response role in their day-to-day responsibilities be asked to perform duties or functions that are hazardous, that they have not been trained to perform or are beyond their recognized capabilities.

8.1.3 Documentation

The Emergency Operations Center Finance/Administration Section will be responsible for maintaining records on damage assessment expenditures, recovery cost expenditures, insurance related documents, personnel overtime and other cost associated with the emergency.

The Emergency Operations Center Planning Section will maintain copies of documents that are integral to Emergency Operation Center functions such as Emergency Operation Center Action Plans, Situation Status Logs, Position Logs etc. that together make up the history and chronology of the emergency events.

8.2 Finance

In the case of a major disaster, the Emergency Operations Center will support county, state, and federal entities with cost recovery efforts, if requested and as able. City citizens may benefit from the Small Business Administration, and the City may benefit from the State and/or the Federal Emergency Management Agency Public Assistance Program. The City may assist the citizenry with public service announcement regarding support available as unemployment benefits, worker's compensation, and insurance benefits.

8.2.1 Expenditure Tracking

The city may be reimbursed for insurance, state and/or federal sources for disaster-related expense. The purpose of this section is to provide guidance on the record keeping requirements for claiming such expenses.

8.2.2 Eligible Expenses

Eligible costs are extraordinary costs incurred while providing emergency services required by the direct impact of a declared disaster and which service is the responsibility of the applicant agency. Eligible costs are generally considered to be the net costs over and above any increased revenue or subsidy of the emergency service. Ineligible expense includes costs for standby personnel and/or equipment and lost revenue.

8.2.3 Recordkeeping Requirements

State and federal governments require detailed information to support claims for reimbursement. Funding will be approved or denied based upon the information supplied by applicant agencies. Documentation supporting all cost claimed will be required, and all information must relate back to individual original source records. The following guidelines should be followed when documenting disaster-related reimbursable expenses:

- Costs and revenue associated with emergency operations should be segregated from normal operating expenses
- Separate records should be maintained for each vehicle and piece of heavy equipment used for emergency operations
- Vehicles and equipment documentation should include the times and/or hours operated by location and operator
- Vehicle operating expenses should include fuel, tires, and maintenance
- Labor costs should be compiled separate from vehicle and/or equipment expenses
- Equipment documentation should include exactly where the equipment was used and for what; hours and minutes used; and the name of the equipment operator if applicable
- Revenues and subsidies for emergency operations must be subtracted from any costs claimed
- Requisitions, purchase orders, and invoices must be maintained for all supplies, materials and equipment expenses claimed
- Costs for supplies and materials must include documentation of exactly where resources were used and for what purpose
- All non-competitive procurements must be justified

Expenditure tracking should commence upon notice or obvious occurrence of disasters that require. The following section focus on logistics and resource management, priorities, and requests.

8.3 Logistics

8.3.1 Resource Management

The resource management function describes the system that will be utilized for identifying available resources within the City to enable timely, efficient, and unimpeded access to resources needed to prepare for, respond to, or recover from an incident. Resource management under the National Incident Management System (NIMS) includes mutual aid and

assistance agreements, the use of special federal, state, territorial, tribal, and local teams, and resource mobilization protocols. This function specifically includes the management of personnel for emergency management operations and addresses necessary coordination efforts with local jurisdictions to secure necessary support and resources.

8.3.2 Resource Priorities

When activated, the City Emergency Operations Center establishes priorities for resource allocation during the emergency. All City resources are considered part of a pool, which may be allocated by the Emergency Operations Center to fulfill priority missions. Each department retains control of its non-assigned resources until released for an emergency assignment by the Emergency Operations Center.

8.3.3 Resource Requests

Resource requests will be made through one of the following processes:

- Discipline-specific (usually Fire and Law) mutual aid systems: Request for resources that are normally within the inventories of the mutual aid system will go from local coordinator to Operational Area Mutual Aid Coordinator to the Regional Mutual Aid Coordination.
- All other resource request will be made through the logistics function at each level.

Resource request from the City will be coordinated with the Los Angeles Operational Area Emergency Operations Center to determine if the resource is available internally or other more appropriate sources located within the Operational Area. Emergency Management Mutual Aid Coordinators at each level will keep the Operations Chief informed of the status of resource request and allocations. Coordinators at each level will communicate and coordinate with each other to maintain current status on resource request and allocation within the disaster area.

Resource request from the City Emergency Operations Center to the Los Angeles Operational Area Emergency Operations Center may be verbally requested and then documented. Available resources will be allocated to the requesting local government, if request for a specific resource exceed the supply, the available resources will be allocated consistent with the priorities established through the action planning process. The Section Chiefs in the Emergency Operations Center are responsible for ensuring that priorities are followed.

Resource requests for equipment, personnel, or technical assistance not available to the City should be coordinated with the Los Angeles County Emergency Operations Center to the Southern Region Regional Emergency Operations Center. Once the request is coordinated, approved and resources deployed, planning in coordination with various Operational Branches, is responsible for tracking the resources.

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9 Plan Development and Maintenance

This section of the City EOP discusses the overall approach to plan development and maintenance responsibilities.

This plan is developed under the authority conveyed to the City Manager's office in accordance with the City's Emergency Organization who has the primary responsibility for ensuring that necessary changes and revisions to this plan are prepared, coordinated, published, and distributed. The City uses the planning process prescribed by the Federal Emergency Management Agency and the State of California. This Plan and supporting documentation are reviewed and updated on a regular basis. The review and updates are coordinated with City Departments and the Los Angeles County.

9.1 Administrative Practices

Adherence to standard administrative and financial procedures is critical to ensure resources and funding to support response and recovery activities are accurately tracked and accounted for. Standard administrative and financial practices also support proper cost accounting in order to obtain any reimbursement provided through disaster assistance programs.

The City follow the administrative practices required by state law and the SEMS Guidelines in Part III of the *SEMS Guidelines* documents California's Emergency Management administrative practices.

9.2 Standard Operating Procedures (SOP)

This Plan is intended to be used in conjunction with county, operational area, and State plans and associated SOPs. Where supporting plans are inconsistent with the general principles described in the State Emergency Plan, the state plan will supersede supporting plans.

SOPs provide the purpose, authorities, duration, and details for the preferred method or performing a single function or a number of interrelated functions in a uniform manner. SOPs must also facilitate the need to carry out actions under conditions that may not have been anticipated when the SOP was drafted. For example, it may be necessary to consider alternative procedures that solve a problem in order to perform in a more time-efficient or cost-efficient way. It is clear; therefore, some procedures may need to be suspended, relaxed, or made operational under threat of disaster. However, such action should be carefully considered, and the consequences should be projected realistically.

9.3 Training and Exercises

All city department personnel that are designated responsible for staffing the EOC are required to complete training related to emergency management operations. All designated personnel will be provided access to a copy of this plan (as noted in the Record of Distribution section of this plan) and are required to read and become familiar with the plan. The Coordinator of Emergency Services will notify holders of this plan of training opportunities associated with

emergency management and operations. The minimum training requirement for employees under NIMS is ICS 100 and ICS 700.

A multi-year training and exercise plan (MYTEP) may be developed and followed that will identify and prioritize the levels of training and exercises the city will follow. This MYTEP should, as best as possible, align with other trainings and exercises within the operational area to ensure practice and integration with OA partners as often as possible. The Coordinator of Emergency Services will be responsible for the ongoing maintenance of the MYTEP and ensure plan reviews, trainings and exercises are conducted accordingly.

Partner jurisdictions and agencies having assigned responsibilities under this plan must ensure their assigned personnel are properly trained to carry out identified responsibilities. Individual jurisdictions and agencies are responsible for maintaining their own plans, training, and program maintenance.

Training and exercises involve a variety of scopes, scales, and participation. Such training events include the following:

Drills. A drill is a small, organized exercise that tests one specific action, such as evacuation of a building, or a sheltering-in-place.

Tabletop exercises. A tabletop exercise is a discussion-based exercise in a low-stress environment to discuss a possible emergency scenario.

Functional exercise. A functional exercise is an activity designed to exercise a single function, or multiple functions through the simulation of a realistic scenario. The functional exercise is designed to simulate real conditions in the EOC, and as such as time constraints on decision making and, by its nature, allows for a more stressful environment.

Full-scale exercise. A full-scale exercise is an activity involving multiple agencies, jurisdictions, entities, organizations, etc., and exercising multiple functions through the simulation of a realistic scenario. This exercise includes the mobilization and utilization of city resources.

9.4 Essential Records Retention

Maintenance of administrative records continues through all phases of an emergency. In preparation for an emergency, training and appropriate forms are provided, including procedures for all units of potential response organization. During a response, entities ensure adequate documentation is collected through the Documentation Unit at the Incident and EOC, for activities of personnel, use of equipment, and expenditures for the emergency. Finally, after the response has been terminated, records should be protected and maintained for audit purposes for up to three years after the closeout of any Presidential disaster declaration. The Cost Unit is responsible for cost recovery records and assisting in collecting any missing information. Problem areas are identified, corrective measures taken, and employees retrained in the proper, updated procedures.

9.5 After Action Reports and Corrective Actions

SEMS regulations require local government agencies, to complete an After-Action Report (AAR) for each Governor proclaimed emergency. After an incident or from a gubernatorial proclamation, the AAR is completed within 120 days. Furthermore, SEMS regulations under Title XIX, Division 2, Chapter 1, Section 2450(a) requires any federal, state, or local jurisdiction proclaiming or responding to a Local Emergency for which the governor has declared a *State of Emergency* or *State of War Emergency* shall complete and transmit an AAR to Cal OES within 90 days of the close of the emergency period.

The identification of corrective actions is critical to the AAR process. Jurisdictions are strongly encouraged to make recommendations for correcting problems noted in the response/recovery effort, or during exercises and training. Corrective actions may encompass anything from detailed recommendations for improving individual agency plans and procedures to broader system-wide improvements. Corrective actions are assigned to relevant stakeholders and tracked to ensure the identified problem has been addressed.

The AAR will provide, at a minimum:

- Response actions that were taken.
- Application of SEMS during response.
- Necessary modifications to plans and procedures that are needed.
- Lessons learned.
- Noted areas of improvement.
- Best practice implementations proposed.
- Training needed.
- Recovery activities conducted to date.
- Additional information as appropriate.

Findings and recommendations in the contents of the AAR will be used to further develop and update the city EOP, as necessary. AAR development will include the input of all personnel involved in the incident or exercise.

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10 Authorities and References

FEDERAL

Authorities

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References

- National Response Framework (as revised)
- National Incident Management System
- Federal Emergency Management Agency's (FEMA) Comprehensive Preparedness Guide (CPG) 101: Developing and Maintaining Emergency Operations Plans, November 2020, Version 3.0 (draftv0.5)

STATE

Authorities

- California Disaster Assistance Act, California Government Code Section 8680 et. seq.
- California Disaster and Civil Defense Master Mutual Aid Agreement
- California Government Code, Title 1, Chapter 4, Division 8, Section 3100 - Disaster Service Workers
- California Government Code, Title 1, Chapter 4, Division 8, Section 8635 - Continuity of Government
- California Government Code, Title 2, Division 1, Chapter 7 – California Emergency Services Act

- California Government Code, Title 19, Division 2 – Standardized Emergency Management System
- California Water Code, § 128-Department of Water Resources - Flood Fighting

References

- Standardize Emergency Management System
- California Disaster Assistance Act
- California State Emergency Plan, October 1, 2017

COUNTY

Authorities

- Los Angeles County Emergency Services Code of Ordinances Chapter 2.68 as amended

References

- Los Angeles County Operational Area Emergency Response Plan, June 2012
- Public Draft - 2019 County of Los Angeles All-Hazards Mitigation Plan, 2019

CITY

- City Resolution No. x adopting the Emergency Operations Plan, Basic Plan, on Month DD, YYYYT.
- City, California Municipal Code, Chapter x, Article x, Section x

11 Appendix A - Acronyms

Action Plan (AP)

After Action Report (AAR)

EMERGENCY OPERATIONS PLAN, PART 1
CITY OF SOUTH PASADENA, CA

California Disaster and Civil Defense Master Mutual Aid Agreement (MMAA)
California Disaster Assistance Act (CDAA)
California Emergency Services Act (ESA)
Continuity of Government (COG)
Continuity of Operations (COOP)
Department Operations Center (DOC)
Emergency Management Assistance Compact (EMAC)
Emergency Operations Center (EOC)
Emergency Operations Plan (EOP)
EOC Action Plan (EAP)
Incident Action Plan (IAP)
Incident Commander (IC)
Incident Command Post (ICP)
Incident Command System (ICS)
Joint Information Center (JIC)
Multiagency Coordination Group (MAC Group)
Multiagency Coordination System(s) (MACS)
Multi-year Training and Exercise Plan (MYTEP)
National Incident Management System (NIMS)
National Response Framework (NRF)
Operational Area (OA)
Public Information Officer (PIO)
Regional Emergency Operations Center (REOC)
The Robert T. Stafford Disaster Relief and Emergency Assistance Act (Stafford Act)
Standard Operating Procedure (SOP)
Standardized Emergency Management System (SEMS)
State Operations Center (SOC)

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12 Appendix B – Glossary of Terms

Action Plan (AP): See EOC Action Plan and Incident Action Plan.

Activation: 1) Initial activation of an EOC may be accomplished by a designated official of the emergency response agency that implements SEMS as appropriate to accomplish the agency's role in response to the emergency. 2) An event in the sequence of events normally experienced during most emergencies.

After Action Report (AAR): A report that examines response actions, application of SEMS, modifications to plans and procedures, training needs, and recovery activities. AARs are required under SEMS after any emergency that requires a gubernatorial state of emergency proclamation. Local government AARs must be submitted to Cal OES within 90 days.

Agency: A division of government with a specific function offering a particular kind of assistance. In the Incident Command System (ICS), agencies are defined either as jurisdictional (having statutory responsibility for incident management) or as assisting or cooperating (providing resources or other assistance). Governmental organizations are most often in charge of an incident, though in certain circumstances private sector organizations may be included. Additionally, Non-Governmental Organizations (NGO) may be included to provide support. All-Hazards: Any incident, natural or human-caused, that warrants action to protect life, property, environment, public health, or safety, and minimize disruptions of government, social, or economic activities.

California Disaster and Civil Defense Master Mutual Aid Agreement (MMAA): An agreement entered by and between the State of California, its various departments and agencies, and the various political subdivisions, municipal corporations, and public agencies of the State of California to assist each other by providing resources during an emergency. Mutual Aid occurs when two or more parties agree to furnish resources and facilities and to render services to each other in response to any type of disaster or emergency. California Emergency Support Functions (CA-ESF): The CA-ESFs are a grouping of State agencies, departments, and other stakeholders with similar functional activities/responsibilities whose responsibilities lend to improving the state's ability to collaboratively prepare for, effectively mitigate, cohesively respond to, and rapidly recover from any emergency. CA-ESFs unify a broad-spectrum of stakeholders with various capabilities, resources, and authorities to improve collaboration and coordination for a particular discipline. They also provide a framework for the state government to support regional and community stakeholder collaboration and coordination at all levels of government and across overlapping jurisdictional boundaries.

California Emergency Services Act (ESA): An Act within the California Government Code to ensure preparations within the state will be adequate to deal with natural, human-caused, or war-caused emergencies which result in conditions of disaster or in extreme peril to life, property, and the natural resources of the state, and generally to protect the health and safety and preserve the lives and property of the people of the state.

Catastrophe: Any natural or human-caused incident, including terrorism that results in extraordinary levels of mass casualties, damage, or disruption severely affecting the population, infrastructure, environment, economy, national morale, and/or government functions.

Command: The act of directing, ordering, or controlling by virtue of explicit statutory, regulatory, or delegated authority.

Command/Management: Command is responsible for the directing, ordering, and/or controlling of resources at the field response level. Management is responsible for overall emergency policy and coordination at the SEMS EOC levels.

Command Post: See Incident Command Post.

Command Staff: The Command Staff at the SEMS Field Level consists of the Information Officer, Safety Officer, and Liaison Officer. They report directly to the Incident Commander. They may have an assistant or assistants, as needed. These officers are also found at the EOC levels in SEMS and they report directly to the EOC Director and comprise the Management Staff. They may have an assistant or assistants, as needed.

Communications: Process of the transmission of information through verbal, written, or symbolic means.

Continuity of Government (COG): Activities that address the continuance of constitutional governance. COG planning aims to preserve and/or reconstitute the institution of government and ensure that a department or agency's constitutional, legislative, and/or administrative responsibilities are maintained. This is accomplished through succession of leadership, the pre-delegation of emergency authority, and active command and control during response and recovery operations.

Continuity of Operations (COOP): Planning should be instituted, including all levels of governments, across the private sector and non-governmental organizations as appropriate, to ensure the continued performance of core capabilities and/or critical government operations during any potential incident.

Coordination: The process of systematically analyzing a situation, developing relevant information, and informing appropriate command authority of viable alternatives for selection of the most effective combination of available resources to meet specific objectives. The coordination process (which can be either intra- or inter-agency) does not involve dispatch actions. However, personnel responsible for coordination may perform command or dispatch functions within the limits established by specific agency delegations, procedures, legal authority, etc. Multiagency or interagency coordination is found at all SEMS levels.

Coordination Center: Term used to describe any facility used for the coordination of agency or jurisdictional resources in support of one or more incidents.

Corrective Actions: Implementing procedures based on lessons learned from actual incidents or from training and exercises.

Cost Unit: Functional unit within the Finance/Administration Section responsible for tracking costs, analyzing cost data, making cost estimates, and recommending cost-saving measures.

Critical Infrastructure: Systems and assets, whether physical or virtual, so vital to the United States that the incapacity or destruction of such systems and assets would have a

debilitating impact on security, national economic security, national public health or safety, or any combination of those matters.

Demobilization: The orderly, safe, and efficient return of an incident resource to its original location and status.

Department Operations Center (DOC): An Emergency Operations Center (EOC), specific to a single department or agency where the focus is on internal agency incident management and response. They are often linked to and, in most cases, are physically represented in a combined agency EOC by authorized agent(s) for the department or agency.

Disaster: A sudden calamitous emergency event bringing great damage, loss, or destruction.

Division: The partition of an incident into geographical areas of operation. Divisions are established when the number of resources exceeds the manageable span of control of the Operations Section Chief. A Division is located within the ICS organization between the Branch and resources in the Operations Section.

Documentation Unit: Functional unit within the Planning/Intelligence Section responsible for collecting, distributing, recording, and safeguarding all documents relevant to an incident or within an EOC.

Emergency: Any incident(s), whether natural or human-caused, that requires responsive action to protect life or property. Under the Robert T. Stafford Disaster Relief and Emergency Assistance Act, an emergency means any occasion or instance for which, in the determination of the President, federal assistance is needed to supplement state and local efforts and capabilities to save lives, protect property and public health and safety, or to lessen or avert the threat of a catastrophe in any part of the United States.

Emergency Management Assistance Compact (EMAC): A congressionally ratified organization that provides form and structure to interstate mutual aid. Through EMAC, a disaster-affected state can request and receive assistance from other member states quickly and efficiently, resolving two key issues upfront: liability and reimbursement.

Emergency Management Community: The stakeholders in emergency response in California including the residents of California, the private sector and federal, state, local, and tribal governments.

Emergency Operations Center (EOC): The physical location at which the coordination of information and resources to support incident management (on-scene operations) activities normally takes place. An EOC may be a temporary facility or may be located in a more central or permanently established facility, perhaps at a higher level of organization within a jurisdiction. EOC may be organized by major functional disciplines (e.g., fire, law enforcement, and medical services), by jurisdiction (e.g., federal, state, regional, tribal, city, county), or some combination thereof.

Emergency Operations Plan (EOP): The ongoing plan maintained by various jurisdictional levels for responding to a wide variety of potential hazards.

Emergency Response Agency: Any organization responding to an emergency, or providing mutual aid support to such an organization, whether in the field, at the scene of an incident, or to an operations center.

Emergency Response Personnel: Personnel affiliated with or sponsored by emergency response agencies.

EOC Action Plan: The plan developed at SEMS EOC levels, which contains objectives, actions to be taken, assignments, and supporting information for the next operational period.

Essential Facilities: May include facilities such as law enforcement, fire, emergency operations centers, schools, medical facilities, and other resources that have a role in an effective and coordinated emergency response.

Evacuation: Organized, phased, and supervised withdrawal, dispersal, or removal of civilians from dangerous or potentially dangerous areas and their reception and care in safe areas.

Federal: Of or pertaining to the federal government of the United States of America.
Finance/Administration Section: The section responsible for all administrative and financial considerations surrounding an incident or EOC activation.

Function: Function refers to the five major activities in ICS: Command, Operations, Planning, Logistics and Finance/Administration. The same five functions are also found at all SEMS EOC Levels. At the EOC, the term Management replaces Command. The term function is also used when describing the activity involved, (e.g., the planning function). A sixth function, Intelligence/Investigations, may be established, if required, to meet emergency management needs.

Group: Established to divide the incident management structure into functional areas of operation. Groups are composed of resources assembled to perform a special function not necessarily within a single geographic division. Groups, when activated, are located between branches and resources in the Operations Section. See Division.

Hazard: Something that is potentially dangerous or harmful, often the root cause of an unwanted outcome.

Incident: An occurrence or event, natural or human-caused, which requires a response to protect life or property. Incidents can, for example, include major disasters, emergencies, terrorist attacks, terrorist threats, civil unrest, wildland and urban fires, floods, hazardous materials spills, nuclear accidents, aircraft accidents, earthquakes, hurricanes, tornadoes, tropical storms, tsunamis, war-related disasters, public health and medical emergencies, and other occurrences requiring an emergency response.

Incident Action Plan (IAP): An oral or written plan containing general objective reflecting the overall strategy for managing an incident. It may include the identification of operational resources and assignments. It may also include attachments that provide direction and important information for management of the incident during one or more operational periods. At the SEMS EOC Level, it is called the EOC Action Plan.

Incident Command: Responsible for overall management of the incident and consists of the Incident Commander, either single or unified command, and any assigned supporting staff.

Incident Commander (IC): The individual responsible for all incident activities, including the development of strategies and tactics, and the ordering and the release of resources. The IC has overall authority and responsibility for conducting incident operations and is responsible for the management of all incident operations at the incident site.

Incident Command Post (ICP): The field location where the primary functions are performed. The ICP may be co-located with the incident base or other incident facilities.

Incident Command System (ICS): A standardized on-scene emergency management construct specifically designed to provide for the adoption of an integrated organizational structure that reflects the complexity and demands of single or multiple incidents, without being hindered by jurisdictional boundaries. ICS is the combination of facilities, equipment, personnel, procedures, and communications operating within a common organizational structure, designed to aid in the management of resources during incidents. It is used for all kinds of emergencies and is applicable to small as well as large and complex incidents. ICS is used by various jurisdictions and functional agencies, both public and private, to organize field-level incident management operations.

Information: Pieces of raw, unanalyzed data that identifies persons, evidence, events; or illustrates processes that specify the occurrence of an event. May be objective or subjective and is intended for both internal analysis and external (news media) application. Information is the “currency” that produces intelligence.

Intelligence: Product of an analytical process that evaluates information collected from diverse sources, integrates the relevant information into a cohesive package, and produces a conclusion or estimate. Information must be real, accurate, and verified before it becomes intelligence for planning purposes. Intelligence relates to the specific details involving the activities of an incident or EOC, and current and expected conditions, and how they affect the actions taken to achieve operational period objectives. Intelligence is primarily intended for internal use and not for public dissemination. Intelligence/Investigations: Intelligence gathered within the Intelligence/Investigations function is information that either leads to the detection, prevention, apprehension, and prosecution of criminal activities (or the individual(s) involved) including terrorist incidents or information that leads to determination of the cause of a given incident (regardless of the source) such as public health events or fires with unknown origins. This is different from the normal operational and situational intelligence gathered and reported by the Planning Section.

Joint Information Center (JIC): A facility established to coordinate all incident-related public information activities. It is the central point of contact for all news media. Public information officials from all participating agencies should co-locate at the JIC.

Jurisdiction: A range or sphere of authority. Public agencies have jurisdiction at an incident related to their legal responsibilities and authority. Jurisdictional authority at an incident can be political or geographical (e.g., federal, state, tribal, and local boundary lines) or functional (e.g., law enforcement, public health).

Key Resources: Any publicly or privately controlled resources essential to the minimal operations of the economy and government.

Local Government: According to federal code 36a county, municipality, city, town, township, local public authority, school district, special district, intrastate district, council of governments (regardless of whether the council of governments is incorporated as a nonprofit corporation under state law), regional or interstate government entity, or agency or instrumentality of a local government; an Indian tribe or authorized tribal entity, or in Alaska a Native village or Alaska Regional Native Corporation; a rural community, unincorporated town or village, or other public entity.

Logistics: Providing resources and other services to support incident management.

Logistics Section: The section responsible for providing facilities, services, and material support for an incident or EOC activation.

Management Staff: See Command Staff.

Mitigation: Provide a critical foundation in the effort to reduce the loss of life and property from natural and/or human-caused disasters by avoiding or lessening the impact of a disaster and providing value to the public by creating safer communities. Mitigation seeks to fix the cycle of disaster damage, reconstruction, and repeated damage. These activities or actions, in most cases, will have a long-term sustained effect.

Mobilization: The process and procedures used by all organizations - federal, state, tribal, and local - for activating, assembling, and transporting all resources that have been requested to respond to or support an incident.

Multiagency Coordination Group (MAC Group): Typically, administrators/executives, or their appointed representatives, who are authorized to commit agency resources and funds, are brought together and form MAC Groups. MAC Groups may also be known as multiagency committees, emergency management committees, or as otherwise defined. It can provide coordinated decision-making and resource allocation among cooperating agencies and may establish the priorities among incidents, harmonize agency policies, and provide strategic guidance and direction to support incident management activities.

Multiagency Coordination System(s) (MACS): Multiagency coordination systems provide the architecture to support coordination for incident prioritization, critical resource allocation, communications systems integration, and information coordination. The elements of multiagency coordination systems include facilities, equipment, personnel, procedures, and communications. Two of the most commonly used elements are EOC and MAC Groups. These systems assist agencies and organizations responding to an incident. Mutual Aid Agreements and/or Assistance Agreements: Written or oral agreements between and among agencies/organizations and/or jurisdictions that provide a mechanism to quickly obtain emergency assistance in the form of personnel, equipment, materials, and other associated services. The primary objective is to facilitate rapid, short-term deployment of emergency support prior to, during, and/or after an incident.

Mutual Aid Coordinator: An individual at the local government, Operational Area, Region or State Level that is responsible to coordinate the process of requesting, obtaining, processing, and using mutual aid resources. Mutual Aid Coordinator duties will vary depending upon the mutual aid system.

Mutual Aid Region: A mutual aid region is a subdivision of Cal OES established to assist in the coordination of mutual aid and other emergency operations within a geographical area of the state, consisting of two or more Operational Areas.

National: Of a nationwide character, including the federal, state, tribal, and local aspects of governance and policy.

National Incident Management System (NIMS): Provides a systematic, proactive approach guiding government agencies at all levels, the private sector, and non-governmental organizations to work seamlessly to prevent, protect against, respond to, recover from, and mitigate the effects of incidents, regardless of cause, size, location, or complexity, in order to reduce the loss of life or property and harm to the environment.

National Response Framework (NRF): A guide to how the nation conducts all-hazards incident management. **Non-governmental Organization (NGO):** An entity with an association based on the interests of its members, individuals, or institutions. It is not created by a government, but it may work cooperatively with the government. Such organizations serve a public purpose, not a private benefit. Examples of NGO include faith-based charity organizations and the American Red Cross.

Officer: 1) The ICS title for the personnel responsible for the Command Staff (Management Staff at EOC) positions of Safety, Liaison, and Public Information. 2) One who holds an office or post; especially one elected or appointed to a position of authority or trust in a corporation, government, institution, etc.

Operational Area (OA): An intermediate level of the state emergency organization, consisting of a county and all other political subdivisions within the geographical boundaries of the county.

Operational Period: The time scheduled for executing a given set of operation actions, as specified in the Incident Action Plan. Operational periods can be of various lengths, although usually last 12-24 hours.

Operations Section: The section responsible for all tactical incident operations and implementation of the Incident Action Plan. In ICS, it normally includes subordinate branches, divisions, and/or groups. At the SEMS EOC levels, the section is responsible for the coordination of operational activities. The Operations Section at an EOC contains branches, groups, or units necessary to maintain appropriate span of control.

Organization: Any association or group of persons with like objectives. Examples include, but are not limited to, governmental departments and agencies, private sector, and/or non-governmental organizations.

Planning Section: The section responsible for the collection, evaluation, and dissemination of operational information related to the incident or EOC activities and for the preparation and documentation of the IAP or EOC action plan, respectively. This section also maintains information on the current and forecasted situation and on the status of resources assigned to the incident or EOC activation.

Political Subdivisions: Includes any city, city and county, county, tax or assessment district, or other legally authorized local governmental entity with jurisdictional boundaries.

Preparedness: A continuous cycle of planning, organizing, training, equipping, exercising, evaluating, and taking corrective action in an effort to ensure effective coordination during incident response. Within NIMS, preparedness focuses on the following elements: planning, procedures and protocols, training and exercises, personnel qualification and certification, and equipment certification.

Prevention: Actions to avoid an incident or to intervene to stop an incident from occurring. Prevention involves actions to protect lives and property. It involves applying intelligence and other information to a range of activities that may include such countermeasures as deterrence operations; heightened inspections; improved surveillance and security operations; investigations to determine the full nature and source of the threat; public health and agricultural surveillance and testing processes; immunizations, isolation, or quarantine; and, as appropriate, specific law enforcement operations aimed at deterring, preempting, interdicting or disrupting illegal activity, and apprehending potential perpetrators and bringing them to justice.

Private Sector: Organizations and entities that are not part of any governmental structure. The private sector includes for-profit and not-for-profit organizations, formal and informal structures, commerce, and industry.

Protocols: Sets of established guidelines for actions (which may be designated by individuals, teams, functions, or capabilities) under various specified conditions.

Public Information: Processes, procedures, and systems for communicating timely, accurate, and accessible information on the incident's cause, size, and current situation; resources committed; and other matters of general interest to the public, responders, and additional stakeholders (both directly affected and indirectly affected).

Public Information Officer (PIO): A member of the Command Staff (Management Staff at the SEMS EOC Levels) responsible for interfacing with the public and media and/or with other agencies with incident-related information requirements.

Recovery: The development, coordination, and execution of service- and site-restoration plans; the reconstitution of government operations and services; individual, private-sector, non-governmental, and public assistance programs to provide housing and to promote restoration; long-term care and treatment of affected persons; additional measures for social, political, environmental, and economic restoration; evaluation of the incident to identify lessons learned; post-incident reporting; and development of initiatives to mitigate the effects of future incidents.

Regional Emergency Operations Center (REOC): Facilities found at Cal OES Administrative Regions. REOC provide centralized coordination of resources among Operational Areas within their respective regions and between the Operational Areas and the State Level.

Reimbursement: Provide a mechanism to recoup funds expended for incident-specific activities.

Resource Management: Efficient emergency management and incident response requires a system for identifying available resources at all jurisdictional levels to enable timely and unimpeded access to resources needed to prepare for, respond to, or recover from an incident. Resource management under NIMS includes mutual aid agreements and assistance agreements; the use of special federal, state, tribal, and local teams; and resource mobilization protocols.

Resources: Personnel and major items of equipment, supplies, and facilities available or potentially available for assignment to incident operations and for which status is maintained. Resources are described by kind and type and may be used in operational support or supervisory capacities at an incident or at an EOC.

Response: Activities that address the short-term, direct effects of an incident. Response includes immediate actions to save lives, protect property, and meet basic human needs. Response also includes the execution of EOP and of mitigation activities designed to limit the loss of life, personal injury, property damage, and other unfavorable outcomes. As indicated by the situation, response activities include applying intelligence and other information to lessen the effects or consequences of an incident; increased security operations; continuing investigations into nature and source of the threat; ongoing public health and agricultural surveillance and testing processes; immunizations, isolation, or quarantine; and specific law enforcement operations aimed at preempting, interdicting, or disrupting illegal activity, and apprehending actual perpetrators and bringing them to justice.

Response Personnel: Includes federal, state, territorial, tribal, sub-state regional and local governments, private sector organizations, critical infrastructure owners, and operators, NGO and all other organizations and individuals who assume an emergency management role. Also known as an Emergency Responder.

Safety Officer: A member of the Command Staff (Management Staff at the SEMS EOC Levels) responsible for monitoring incident operations and advising the IC on all matters relating to operational safety, including the health and safety of emergency responder personnel. The Safety Officer may have assistants.

Section: 1) The organizational level having responsibility for a major functional area of incident or EOC Management, (e.g., Operations, Planning, Logistics, Finance/Administration) and Intelligence/Investigations (if established). The section is organizationally situated between the branch and the Incident Command. 2) A separate part or division as: a. A portion of a book, treatise, or writing. b. A subdivision of a chapter. c. A division of law.

Situation Report: Often contains confirmed or verified information regarding the specific details relating to the incident.

Special District: A unit of local government (other than a city, county, or city and county) with authority or responsibility to own, operate, and maintain systems, programs, services, or projects [(as defined in California Code of Regulations (CCR) Section 2900(s)] for purposes of natural disaster assistance. This may include joint powers authority established under Section 6500 et. seq. of the California Code of Regulations.

Stafford Act: The Robert T. Stafford Disaster Relief and Emergency Assistance Act (Stafford Act) establishes the programs and processes for the federal government to provide disaster and emergency assistance to states, local governments, tribal nations, individuals, and qualified private nonprofit organizations. The provisions of the Stafford Act cover all hazards including natural disasters and terrorist events. Relevant provisions of the Stafford Act include a process for Governors to request federal disaster and emergency assistance from the President. The President may declare a major disaster or emergency.

Standard Operating Procedure (SOP): Complete reference document or an operation manual that provides the purpose, authorities, duration, and details for the preferred method of performing a single function or several interrelated functions in a uniform manner.

Standardized Emergency Management System (SEMS): A system required by California Government Code and established by regulations for managing response to multiagency and multijurisdictional emergencies in California. SEMS consists of five organizational levels, which are activated as necessary: Field Response, Local Government, Operational Area, Region, and State.

Standardized Emergency Management System (SEMS) Guidelines: The SEMS guidelines are intended to assist those responsible for planning, implementing, and participating in SEMS.

Standardized Emergency Management System (SEMS) Regulations: Regulations establishing the Standardized Emergency Management System (SEMS) based upon the Incident Command System (ICS) adapted from the system originally developed by the Firefighting Resources of California Organized for Potential Emergencies (FIRESCOPE) program including those currently in use by State agencies, the Multiagency Coordination System (MACS) as developed by FIRESCOPE program, the Operational Area concept, and the Master Mutual Aid Agreement and related mutual aid systems. Regulations are found at Title XIX, Division 2, Chapter 1, Section 2400 et. seq.

State: When capitalized, refers to any State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and any possession of the United States. See Section 2 (14), Homeland Security Act of 2002, Public Law 107-296, 116 Stat. 2135 (2002).

State Operations Center (SOC): The SOC is operated by the California Governor's Office of Emergency Services at the State Level in SEMS. It is responsible for centralized coordination of state resources in support of the three Regional Emergency Operations Centers (REOC). It is also responsible for providing updated situation reports to the Governor and Legislature.

Strategy: The general plan or direction selected to accomplish incident objectives.

System: An integrated combination of people, equipment, and processes that work in a coordinated manner to achieve a specific desired output under specific conditions.

Technical Assistance: Support provided to state, tribal, and local jurisdictions when they have the resources, but lack the complete knowledge and skills needed to perform a required activity (such as mobile-home park design or hazardous material assessments).

Technical Specialists: Personnel with special skills that can be used anywhere within the SEMS organization. No minimum qualifications are prescribed, as technical specialists normally perform the same duties during an incident that they perform in their everyday jobs and they are typically certified in their fields or professions.

Terrorism: Under the Homeland Security Act of 2002, terrorism is defined as activity that involves an act dangerous to human life or potentially destructive of critical infrastructure or key resources; is a violation of the criminal laws of the United States or of any state or other subdivision of the United States in which it occurs; and is intended to intimidate or coerce the civilian population, or influence or affect the conduct of a government by mass destruction,

assassination, or kidnapping. See Section 2 (15), Homeland Security Act of 2002, Public Law 107-296, 116 Stat. 2135 (2002).

Threat: An indication of possible violence, harm, or danger.

Tools: Those instruments and capabilities that allow for the professional performance of tasks, such as information systems, agreements, doctrine, capabilities, and legislative authorities.

Unified Command: An ICS application used when more than one agency has incident jurisdiction or when incidents cross political jurisdictions. Agencies work together through the designated members of the UC, often the senior person from agencies and/or disciplines participating in the UC, to establish a common set of objectives and strategies and a single IAP.

Unit: The organizational element with functional responsibility for a specific incident planning, logistics, or finance/administration activity.

Vital Records: The essential agency records needed to meet operational responsibilities under national security emergencies or other emergency or disaster conditions (emergency operating records), or to protect the legal and financial rights of the Government and those affected by Government activities (legal and financial rights records).

Volunteer: For purposes of NIMS, a volunteer is any individual accepted to perform services by the lead agency (which has authority to accept volunteer services) when the individual performs services without promise, expectation, or receipt of compensation for services performed. See 16 U.S.C. 742f(c) and 29 CFR 553.101.

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ATTACHMENT 3
Emergency Operations Plan Part 2

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EMERGENCY OPERATIONS PLAN

PART 2: EOC MANAGEMENT & IMPLEMENTATION

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CITY OF SOUTH PASADENA

EMERGENCY OPERATIONS PLAN


PART 2: EOC MANAGEMENT & IMPLEMENTATION

2022

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EMERGENCY OPERATIONS PLAN

PART 2: EOC MANAGEMENT AND PLAN IMPLEMENTATION
2022

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1 EOC Activation

1.1 EOC Purpose

The City EOC is a central location from which the City can provide inter-agency coordination and executive decision-making in support of incident response and recovery operations. The purpose of the EOC is to provide a centralized location where public safety, emergency response, and support agencies coordinate planning, preparedness, and response activities. The EOC does not command or control on-scene response efforts, but does carry out the coordination functions through:

1. Collecting, evaluating and disseminating incident information.
2. Analyzing jurisdictional impacts and setting priority actions; and
3. Managing requests, procurement, and utilization of resources.

The decisions made through the EOC are designed to be broad in scope and offer general guidance on priorities. Information is disseminated through the EOC Manager/Director and tactical decisions are coordinated from field response personnel. The EOC serves as a coordinated link between the Chief Elected Official (CEO) of each jurisdiction and the field personnel coordinating the execution of event priorities.

1.2 EOC Facilities

1.2.1 Main EOC facility

Table 1: EOC Information provides location and logistics data useful for activating the EOC. **Figure 1: EOC Area Map** shows the EOC location and the surrounding area.

Address	817 Mound Ave
Phone Number	(626)403-7310
Parking	
Directions	

Table 1: EOC Information

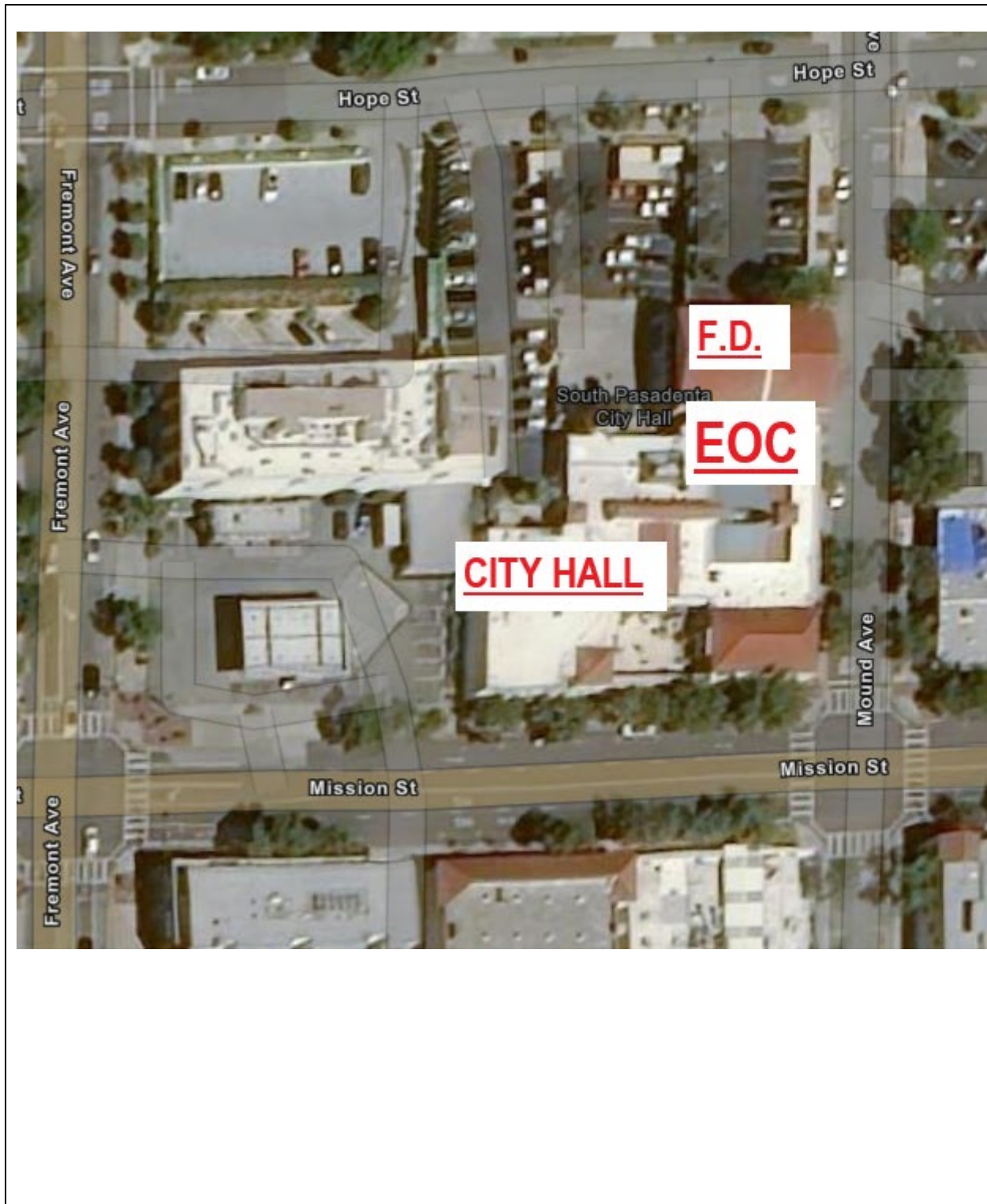


Figure 1: EOC Area Map

1.2.2 Alternate EOC facility

Table 2: Alternate EOC Information provides location and logistics data useful for activating the EOC. **Figure 2: Alternate EOC Area Map** shows the EOC location and the surrounding area.

Address	
Phone Number	
Parking	
Directions	

Table 2: Alternate EOC Information

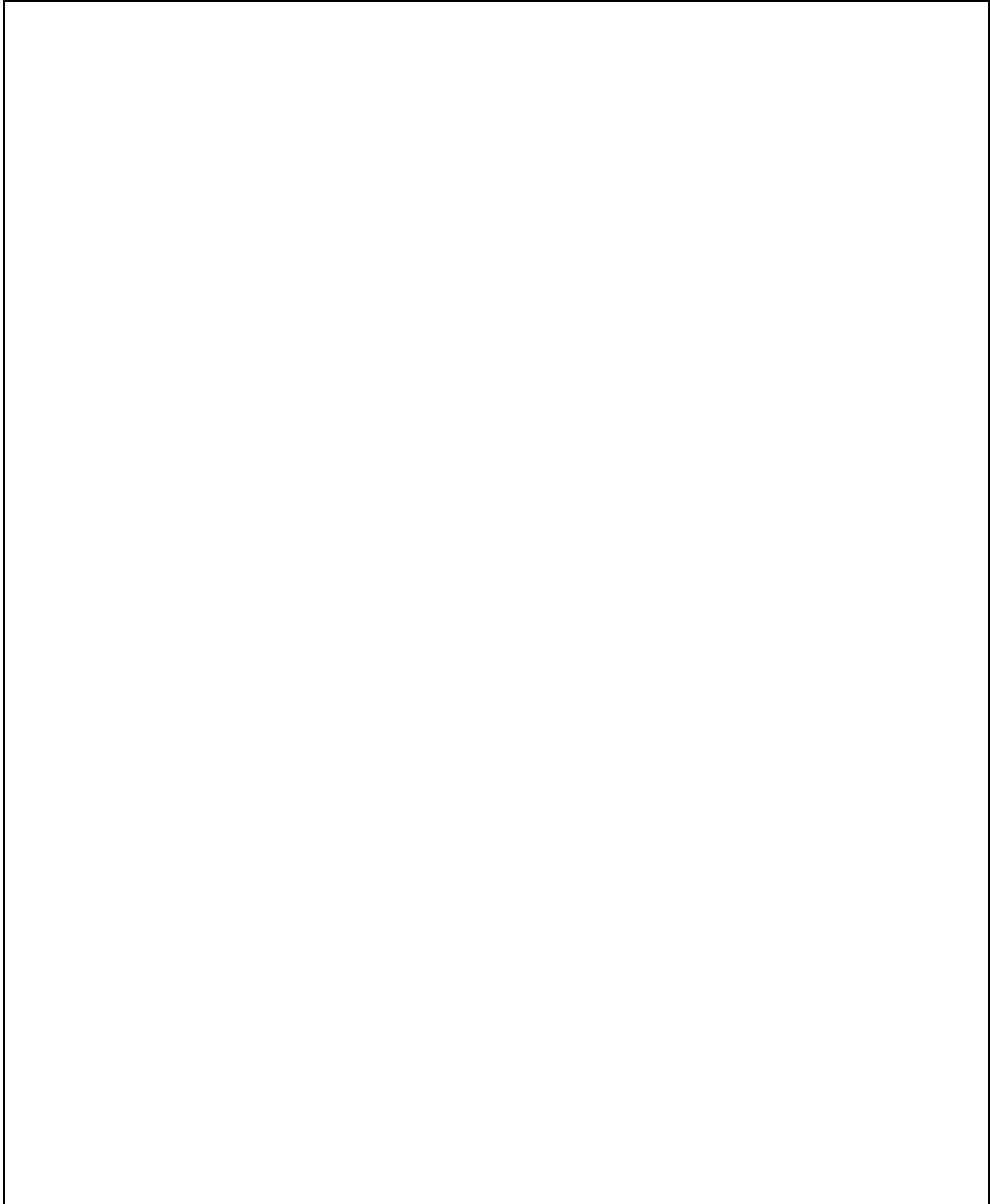


Figure 2: Alternate EOC Area Map

1.2.3 Initial Response

Initial field response operations will be accomplished by the appropriate City departments, member jurisdictions, volunteer agencies, and segments of the private sector. During initial response operations, field responders will place emphasis on saving lives, property, and the environment, controlling the situation, and minimizing the effects of the emergency. The Incident Command System will be used to manage and control the response operations.

The disaster/event may be controlled solely by City emergency responders or with other agencies through the mutual aid system. If the resources available at the field response level are not sufficient to mitigate the situation, the Incident Commander may request that the City Emergency Operations Plan, or the Emergency Operations Center, be activated to support the field operations.

Field Reports. A field report is provided by the incident responders and includes information concerning the nature, severity, and extent of the situation. The information will be used to assess the extent of the disaster/event and determine the appropriate level of response for the City.

1.2.3 Levels of EOC Activation

The City EOC may be activated as needed to support City emergency operations. The EOC may be activated by one of the following:

- City Manager
- City Manager designated alternate
- Upon the request of the City Council/Disaster Council
- Upon the request of the Field Incident Commander (Battalion Chief, Fire Chief or Police Chief)

The City has developed EOC activation criteria that include conditions based on a hazard analysis as well as regulatory requirements. The goal is a rapid EOC activation when it is needed.

Three levels of activation have been identified that will provide EOC staffing commensurate with the coordination needs of varying emergency situations. **Table 3: EOC Activation Criteria**, contains the activation criteria for the City EOC.

Activation Level	Detail	Event or Situation	Minimum Staffing
Three	<ul style="list-style-type: none">• Level Three is a minimum activation. This level may be used for situations which	<ul style="list-style-type: none">• Events with potential impacts on the health & safety of the public and/or environment	<ol style="list-style-type: none">1. EOC Manager2. Other Designees (Such as Section Coordinators,)

Activation Level	Detail	Event or Situation	Minimum Staffing
	<ul style="list-style-type: none"> initially only require a few people. A Level Three activation is also called monitoring level activation. The physical EOC facility may or may not need to be opened or staffed (virtual/Veoci). 	<ul style="list-style-type: none"> Weather Alerts Incident involving 2 or more City departments Low risk planned event Wind or rainstorm Power outage and Stage 1 & 2 emergencies 	
Two	<ul style="list-style-type: none"> Level Two activation is normally achieved as an increase from Level Three or a decrease from Level One. This activation level is used for emergencies or planned events that would require more than a minimum staff but would not call for a full activation/staffing. A Level Two activation are also called partial level activation. The physical EOC facility will need to be opened and staffed. 	<ul style="list-style-type: none"> Two or more large incidents involving 2 or more departments Major wind or rain Major scheduled event Large scale power outage and Stage 3 power emergencies Hazardous Material Incident involving large scale or possible large-scale evacuations Moderate Earthquake 	<ol style="list-style-type: none"> EOC Manager Section Coordinators Branches & Units as appropriate Liaison/Agency Representatives as appropriate Public Information Officer
One	<ul style="list-style-type: none"> Level One activation involves a complete/full activation of all EOC elements & staffing. Level One would be the initial activation for any major emergency requiring acute State assistance. A Level One activation is also called full level activation. The physical EOC facility will need to be opened and fully staffed. 	<ul style="list-style-type: none"> Major County/City or Regional emergency, multiple departments with heavy resource involvement Major Earthquake Terrorism threat or incident 	<ol style="list-style-type: none"> All EOC as appropriate

Table 3: EOC Activation Criteria

1.3 EOC Notification/Personnel Recall

If EOC activation is required, the City Dispatch will notify everyone on the EOC Recall List and provide directions to the primary EOC. If the primary EOC is not available or is inaccessible, an alternate EOC will be activated.

The EOC Emergency Recall List includes personnel who are part of each SEMS function in the Emergency Operations Center, as well as other technical support employees of the City. The Emergency Recall List is to be activated and implemented when an emergency or disaster affects the City and poses a major threat to life, property, and/or the environment.

Maintenance of Emergency Recall List: The City Manager's Office maintains the Emergency Recall List. The City Manager's Office ensures that City Dispatch, and the EOC have current copies of the Emergency Recall List. The Emergency Recall list is activated by City Dispatch and will only be implemented when directed by one of the following County employees:

- City Manager
- City Manager designated alternate
- Upon the request of the City Council/Disaster Council
- Upon the request of the Field Incident Commander and approval of the City Manager of City Manager designated alternate

Notification Implementation: Once EOC activation is requested and properly authorized, the Emergency Recall List will be implemented by City Dispatch personnel. Notifications and alerts begin with the City Manager. If the City Manager cannot be reached, other designees will be contacted until someone is reached to assume the EOC Manager/Director position.

The dispatchers will provide the EOC Manager/Director with a complete status of the incident or disaster, identifying damage sustained, current response actions, resource status, etc. Based on the information provided by the dispatcher, the EOC Manager/Director will determine what parts of the Emergency Alert List will be implemented, including what sections of the City's Emergency Operations Center will be activated and requested to respond.

Additionally, the EOC Manager/Director, when appropriate, will personally contact and inform the City Council of the situation in the City. The EOC Manager/Director may request that the dispatchers notify the Operational Area of the EOC activation.

The City Emergency Recall List consists of the following sections:

- Management
- Operations
- Planning
- Finance
- Logistics

Recall Personnel: When notified of an Emergency Recall, personnel should notify their families, retrieve their emergency operations go bag, and report to the designated City Emergency Operations Center. Personnel should be prepared for a lengthy stay, which will be dependent upon the nature of the disaster and its expected duration.

It is the responsibility of each department head to assign three (3) alternates for each key position. It is also the department head's responsibility to ensure that all designated alternates have knowledge and training in their EOC assigned job functions. The Disaster Management Area Coordinator (DMAC) will assist in Emergency Operations training.

2 EOC Operations

2.1 Summary of EOC Operations

The Standard Emergency Management System (SEMS) is state law, and under SEMS regulations, the City falls under Local Government, one of the five SEMS levels.

As Local Government, the City is an intermediate level of the state's emergency services organization that encompasses the city and all political subdivisions. The City manages and coordinates information, resources and priorities within its boundaries, and serves as the coordination and communication link between the Field Level and the Operational Area.

The City as the Local Government level of SEMS is responsible for:

- Establish coordination and communications with Incident Commanders either;
 - Through department operations centers to the EOC, when activated or,
 - Directly to the EOC, when activated
- Use existing mutual aid systems for coordinating fire and law enforcement resources. Note that the City's role as the local government does not change the coordination of discipline-specific resources, such as fire, law, and medical/health, through their established mutual aid systems.
- Establish coordination and communications between the local government EOC when activated, and any federal, state or local emergency response agency having jurisdiction at an incident within the local government's boundaries.
- Use multi-agency or inter-agency coordination to facilitate decisions for overall local government level emergency response activities

2.2 Emergency Operation Center Protocols

An EOC provides a central location of authority and information and allows for face-to-face coordination among personnel who must make emergency decisions. The following functions are performed in the City EOC:

- Managing and coordinating emergency operations.
- Receiving and disseminating warning information.
- Developing emergency policies and procedures.
- Collecting intelligence from, and disseminating information to, the various EOC representatives, and, as appropriate, to County/Operational Area, State and Federal agencies or if activated Emergency Operation Centers.
- Preparing intelligence/information summaries, situation reports, operational reports, and other reports as required.
- Maintaining general and specific maps, information display boards, and other data pertaining to emergency operations.
- Continuing analysis and evaluation of all data pertaining to emergency operations.
- Controlling and coordinating, within established policy, the operational and logistical support of departmental resources committed to the emergency.
- Maintaining contact and coordination with support DOCs and the Operational Area EOC.

- Providing emergency information and instructions to the public, making official releases to the news media and the scheduling of press conferences, as necessary.

Departments with critical response functions may also activate their Department Operation Centers (DOC) that act as conduits of information between field operations and the EOC.

2.3 Management Organization

The SEMS regulation requires local governments to provide for five functions: management, operations, planning/intelligence, logistics, and finance/administration. These functions, as seen in **Table 4: SEMS Functions** are the basis for structuring the City EOC organization.

Primary SEMS Function	Role of Local Government Level
Management	Responsible for overall emergency policy and coordination through joint efforts of governmental agencies and private organizations
Operations	Responsible for coordinating all jurisdictional operations in support of the emergency response through implementation of the local government's action plan.
Planning/Intelligence	Responsible for collecting, evaluating, and disseminating information; developing the local government action plan in coordination with other functions; and maintaining documentation.
Logistics	Responsible for providing facilities, services, personnel, equipment, and materials.
Finance/Administration	Responsible for financial activities and other administrative aspects, including documenting all costs and expenditures associated with a declared disaster.

Table 4: SEMS Functions

The organizational structure for the City EOC provides for:

- Representatives from the Operational Area
- Mutual Aid Coordinators or their representatives from discipline-specific mutual aid systems
- Coordinators for other major functions needed for mutual aid and inter-jurisdictional coordination
- Representatives from other agencies, community-based organizations, private sector, and volunteer service programs to function as liaison between their organizations and the City EOC
- Other functions as needed to carry out the local government responsibilities of the lead agency

2.4 Resource Management

Resource requests from the field and city departments and requests to the operational area level will be made through one of the following processes:

- Discipline-specific mutual aid systems: requests for resources that are normally within the inventories of the mutual aid system will go from local coordinator to Operational Area Mutual Aid Coordinator to Regional Mutual Aid Coordinator.
- All other resource requests will be made through appropriate branches in the Operations Section who will then initiate the resource request through the Logistics Section at each level with emphasis on the need for lateral coordination with other EOC functions.

Resource requests from field and city departments will be coordinated within the City EOC to determine if the resource is available within City supplies. Available resources will be allocated as they are available.

If requests for a specific resource exceed the supply, the available resources will be allocated by the Operations Section consistent with priorities established through the action planning process. The EOC Management Staff is responsible for ensuring that priorities are followed.

Resources not available within the City will be requested through the Operational Area level. Resource requests should be coordinated internally at the city/local government level before being placed to the Operational Area level.

Functional coordinators in Operations and Logistics are responsible for tracking resource requests.

2.5 EOC Information Management

Within the City EOC, the EOC Forms will be used to provide written communications between the Sections, Branches and Units. Each Section, Branch and Unit will use these forms to order disaster/event related resources and to record information to be transmitted to other Sections/Branches/Units. This system provides an audit trail of all pertinent information necessary to document the actions taken by the City during the response to a disaster, rather than every word uttered between the various EOC Staff.

EOC Forms will not replace face-to-face communications but will ensure a paper trail of critical verbal communication is maintained, if not recorded on the individual's or Section's/Branches'/Units' duty logs. City EOC Forms and other pertinent documents and templates are located in the Form and Tools section of this plan.

Acting as the Local Government, the City coordinates emergency activities within its boundaries, augmenting, not replacing, any member jurisdiction's emergency operations. It also serves as the communications link between the field and the Operational Area. It provides a single point of contact for information on the emergency situation, as well as resource needs and priorities.

Transmission of information to the Operational Area Emergency Operations Center will be accomplished electronically via the Operational Area Response and Recovery System (OARRS) is a web-based system that functions as the OA's primary tool for agencies/jurisdictions and other operational area partners to report their status and needs to the OA.

Critical information from the City to the Operational Area EOC will be submitted via OARRS on a Preliminary Report, Situation Summary, Status Report, and a Flash Report.

Preliminary Report. The Preliminary Report form will be used by the City to transmit information to the Operational Area Emergency Operations Center during the first two hours after an event.

Situation Summary. The Situation summary is an assessment of the emergency and identifies major incidents/problems and response and recovery priorities. It is intended for use after the first two hours of an event.

Status Report. The Status Report is informational, providing data about the effects of the emergency in several categories. The Status Report and Situation Summary will be transmitted to the State together.

Flash Report. The Flash Report is used to transmit vital and/or time-sensitive information between the State and County/Operational Area outside regularly scheduled Situation Summaries and Status Reports.

Resource requests will be made through one of the following processes:

- Discipline-specific mutual aid systems: Requests for resources that are normally within the inventories of the mutual aid system will go from Local Coordinator to Operational Area Mutual Aid Coordinator to the Regional Mutual Aid Coordinator.
- All other resource requests will be made through the operations and logistics functions at each level.

Resource requests from jurisdictions within the City will be coordinated to determine if the resource is available from other departments or other sources within the City. Mutual Aid Coordinators at each level will keep the Operations Chiefs informed of the status of resource requests and allocations. Mutual Aid Coordinators at each level will communicate and coordinate with each other to maintain current status on resource requests and allocations within the disaster area.

Resource requests to the Operational Area are usually submitted through CALEOC. Available resources will be allocated to the requesting local government. If requests for a specific resource exceed the supply, the available resources will be allocated consistent with the priorities established through the action planning process. The Section Chiefs of the Operational Area EOC are responsible for ensuring that priorities are followed.

Resources that are not available within the Operational Area will be requested through the regional level, the State's Coastal Region EOC. Resource requests should be coordinated internally at the Operational Area level before being forwarded to the regional level. The Resource Status Unit Leader in the Logistics Section, in coordination with various Operations Branches, is responsible for tracking resource requests.

2.6 EOC Action Planning

The use of action plans in the City EOC ensures a clear and measurable process for identifying objectives and priorities for a given event. Action planning is an important management tool that involves:

- A process for identifying priorities and objectives for emergency response or recovery efforts
- Plans which document the priorities and objectives, and the tasks and personnel assignments associated with meeting the objectives

The action planning process should involve the EOC Director and Section Chiefs (which includes the Chiefs of each Section), along with other EOC staff, as needed, such as special districts, and other agency representatives.

The Planning and Intelligence Section is responsible for facilitating the action planning meeting and completing and distributing the action plan. Action plans are developed for a specified operational period, which may range from a few hours to 24 hours. The operational period is determined by first establishing a set of priority actions that need to be performed. A reasonable time frame is then established for accomplishing those actions.

The action plans need not be complex but should be sufficiently detailed to guide EOC elements in implementing the priority actions. Guidelines for developing action plans and an action plan format are contained in the Forms and Tools section.

2.7 EOC Coordination

Inter-agency coordination inside and outside the EOC is important for:

- Establishing overall priorities
- Allocating critical resources
- Development of strategies for handling multi-agency and multi-jurisdictional response problems
- Sharing information
- Facilitating communications

Inter-agency coordination is an integral part of the functioning of a City EOC. The EOC is staffed by representatives from the departments and agencies working together to coordinate the City's emergency response. Agency representatives from local governments including special districts, community-based organizations, volunteer services programs (VSPs), and private organizations, may also participate with EOC functional elements in coordinating the city response effort. Coordination with agencies not represented in the EOC may be accomplished through telecommunications, satellite, or other electronic means.

2.7.1 Field Responders

City EOC communications and coordination must be established with city field responders who are responding to the emergency. When no Departmental Operations Centers (DOCs) are activated, the Incident Commander(s) operating in the field will report directly to the Operations Section Chief in the City EOC, via the City dispatchers or through other methods that are available.

When City Departments (Public Works for example) have activated their DOCs, the Field Incident Commander will continue to report directly to the Operations Section Chief in the City EOC and provide status reports to their DOC.

2.7.2 Departmental Operation Centers (DOCs)

The appropriate City EOC Section/Branch/Unit will coordinate with DOCs to obtain information for advance planning, logistical needs, available personnel and equipment resources, and other information as required. The DOCs will assist the City EOC in supporting field operations.

2.7.3 Operation Area

During EOC activation, direct communications and coordination may be established with the Operational Area and any Operational Area member jurisdictions, specifically is emergency incident falls between the City limits and a neighbor jurisdiction. Initially, communications will be established by any means available and with whoever is available, regardless of their functional EOC position. Ideally, communications and coordination with the Operation Area EOC and neighboring City EOCs will occur along functional lines.

Whenever feasible, an agency representative from the City should report to the Operational Area EOC, when the City EOC has been activated. The city representatives will ensure that adequate coordination and information exchange arrangements are made with the Operational Area.

2.7.4 Private and Volunteer Agencies

Coordination of response activities with many non-governmental agencies may occur, primarily at the field level. However, the City EOC will establish coordination with private and volunteer agencies that have multi-jurisdictional or city-wide response roles. The agencies that play key roles in the response should have representatives at the City EOC.

Coordination with volunteer and private agencies that do not have representatives in the EOC may be accomplished through telecommunications.

2.7.5 Special Districts and Utilities (Schools, So Cal Gas, SCE and Metro Transit)

The emergency response role of special districts is generally focused on their normal services or functional area of responsibility. Ideally, the special district involved in the emergency response will have a representative at the City EOC, serving as the focal point of coordination and work with other local government representatives in the EOC. If a special district is unable to send a representative, then the Liaison Officer in the EOC will be responsible for establishing communications and coordination with the special district.

2.7.6 Region Emergency Operations Center

Direct coordination and communications with the Southern Region Emergency Operations Center (REOC) is essential. There is one primary method and one alternate method for the Operational Area to coordinate with the Regional EOC:

- Primary Method - The REOC sends a field representative to the Operational Area
- Alternate Method - The Operational Area and the REOC coordinate through various telecommunications systems

Coordination and communications between the County EOC and the Region EOC will occur between the five SEMS functions. Direct coordination and communications will also be established between the Operational Area Mutual Aid Coordinators, who are located in the County EOC, and the Region's Mutual Aid Coordinator, who are located in the State's Coastal Region EOC. These coordinators may be functioning from their respective Operational Area and regional EOCs or from other locations depending on the situation and the mutual aid system.

2.7.7 State & Federal Field Response

There are some instances where a state or federal agency will be part of a field response in the county. State agency field response may result of a flood fight effort, oil spill, hazardous materials accident or other hazard scenarios. Federal field response could result from the same scenarios or a military aircraft accident, where the federal military authorities are the Incident Commander.

When a state agency or federal agency is involved in field operations, coordination will be established with the City EOC. State or federal agencies operating in the field may be found in any ICS section, branch, or unit; or part of a Unified Command. The incident will determine their location.

Emergency Operations Center Phone Numbers

Management

(626) 441-0384

Operations

FIRE (626) 441-0946

LAW (626) 441-2013

PW (626) 441-1783

Planning & Intelligence

(626) 441-1783

Logistics

(626) 403-7310

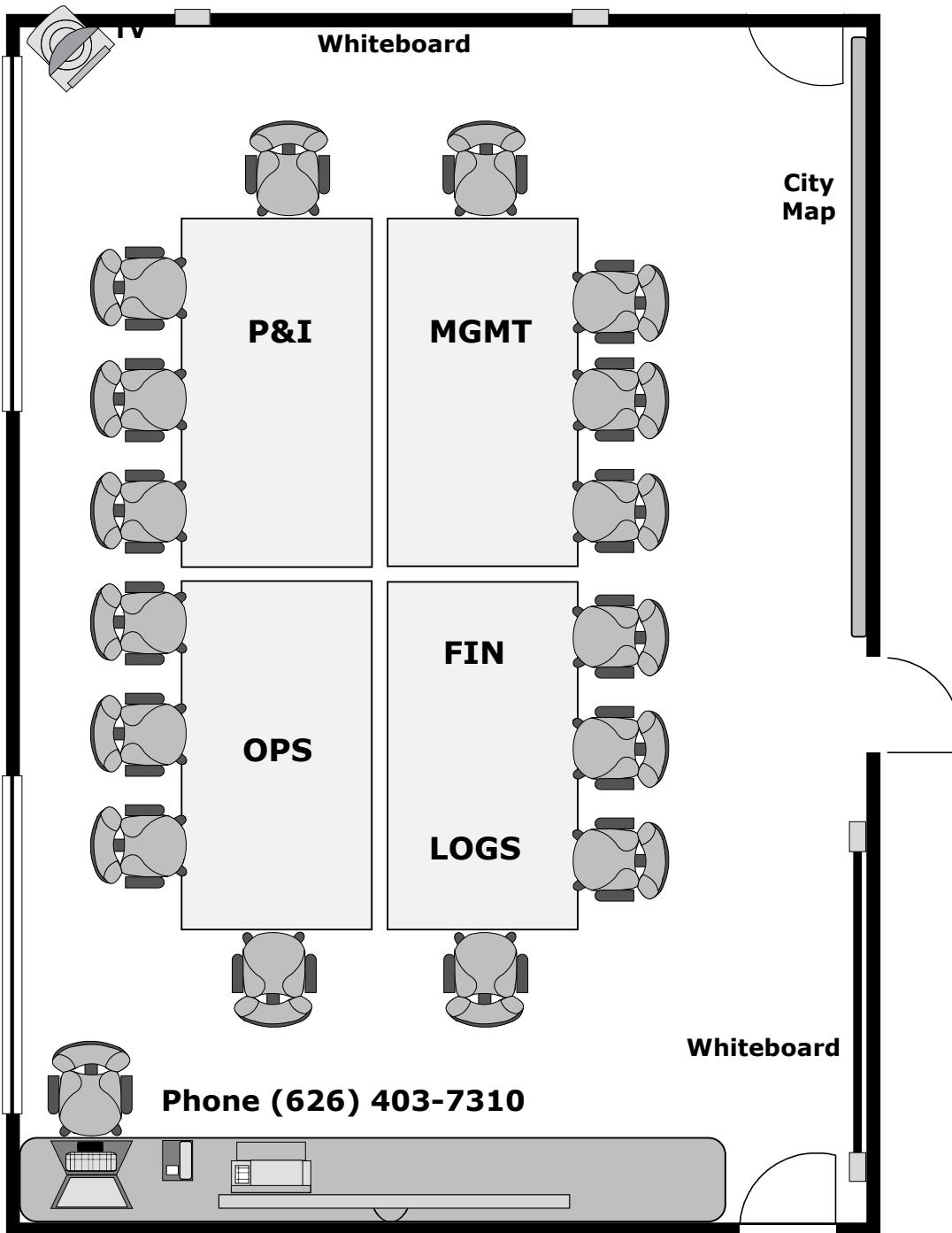
Finance

(626) 441-1468

3 EOC Position JobAids

The following pages contain functional descriptions and jobaids for each position in the City EOC. **Figure 4: EOC Organization Chart** below, provides an overview of the City's EOC organization.

Emergency Operations Center Diagram



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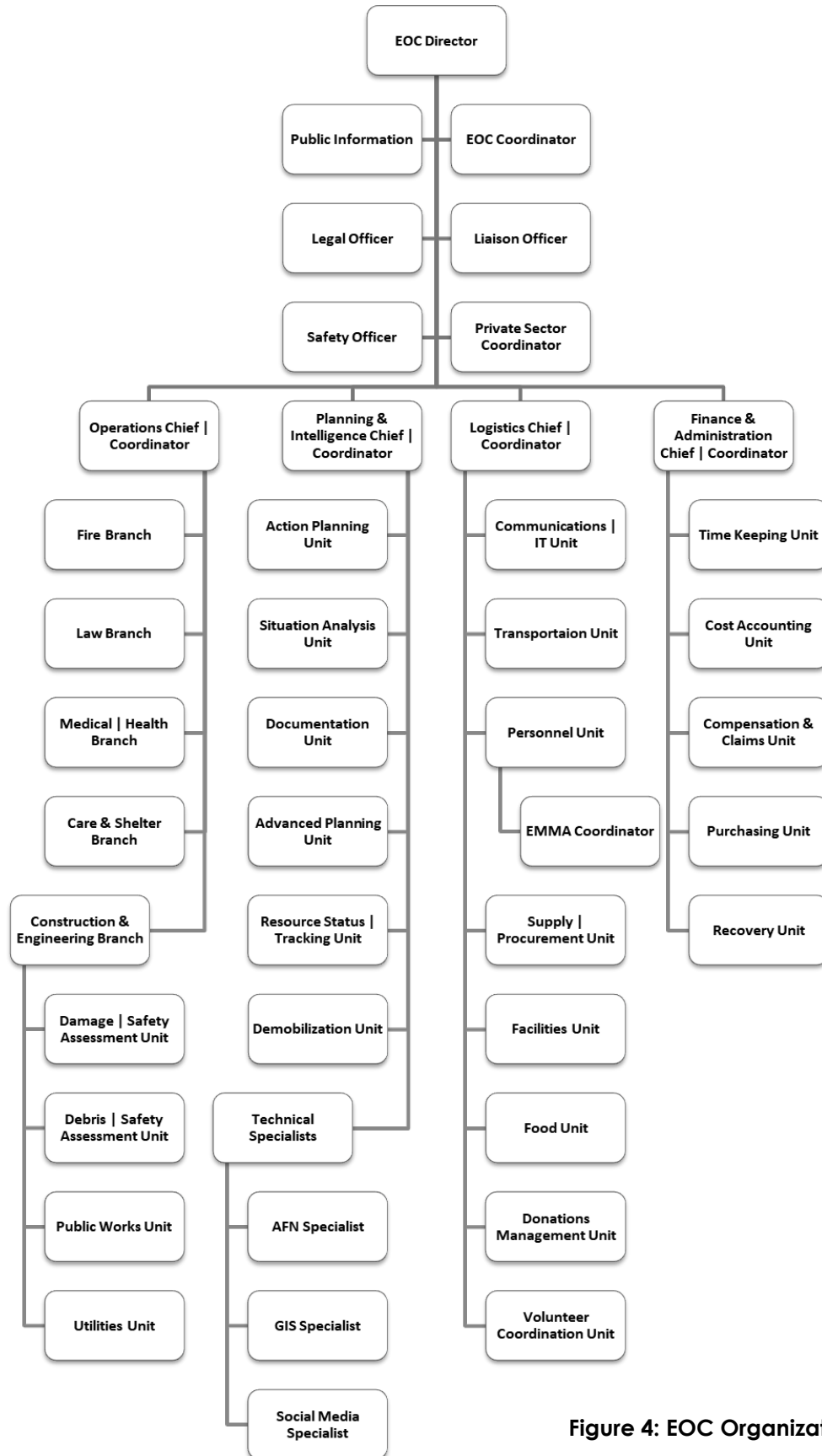


Figure 4: EOC Organization Chart

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3.1 Management Section

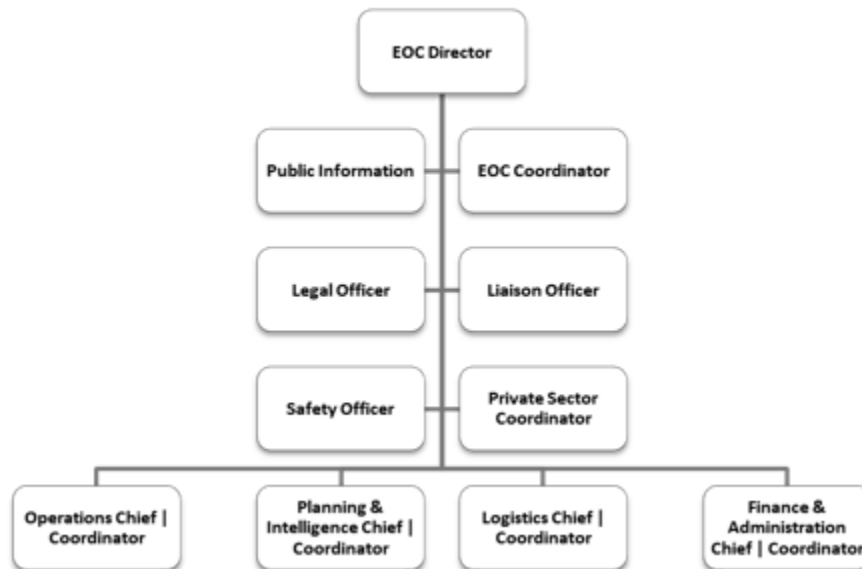


Figure 5: EOC Management Section

This section contains functional section and position descriptions, responsibilities, and jobaids for personnel assigned to the Management Section of the City EOC. Jobaids describe the minimum actions that should be accomplished by personnel assigned to functional positions within the section.

Section Overview:

- The Management Section is responsible for overall emergency policy and coordination.








Section Responsibilities Include:

- Overall management and coordination of emergency response and recovery operations
- Oversee and manage all Sections in the EOC.
- Coordinate and liaison with appropriate federal, state, local government, private and volunteer entities
- Establish priorities and resolve demand conflicts
- Prepare and disseminate emergency public information, other essential information and data about impacts and damage

Figure 5: EOC Management Section, above, shows all of the positions that are part of the EOC Management Section.



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JobAid: EOC Director

POSITION OVERVIEW		<ul style="list-style-type: none"> • Overall responsibility and authority for the operation of the EOC. • Will assure EOC is staffed and operated at a level commensurate with the emergency.
REPORT TO	CITY COUNCIL or DESIGNEE	
TO ME	GENERAL STAFF <ul style="list-style-type: none"> • Operations Section Chief/Coordinator • Planning/Intelligence Chief Section Coordinator • Logistics Section Chief/Coordinator • Finance/Administration Section Chief/ Coordinator 	MANAGEMENT STAFF <ul style="list-style-type: none"> • EOC Coordinator • Public Information Officer • Liaison Officer/Agency Representative • Safety Officer • Legal Officer • Private Sector Coordinator
PLANS & REPORTS		EOC ACTION PLAN REVIEW + APPROVAL ADVANCE PLAN(S) REVIEW + APPROVAL DEMobilIZATION PLAN REVIEW + APPROVAL PRESS RELEASES REVIEW + APPROVAL REPORTS REVIEW + APPROVAL
FORMS & GUIDES		<ul style="list-style-type: none"> • POSITION JOBAID • ALL ICS FORMS (IF USING) • EOC-225 FOR PD CREDENTIALING • PROCLAMATION RESOLUTION GUIDE <ul style="list-style-type: none"> • PLANNING “P” • RECOVERY PLAN/PROJECT MANAGEMENT
TECHNOLOGY		<ul style="list-style-type: none"> • LAPTOP • PHONE (DESK OR CELL)
RESOURCES		<ul style="list-style-type: none"> • WORKSTATION • POSITION BINDER (CAN BE VIRTUAL) • VEST
PROFESSIONAL CREDENTIAL		To receive professional credit for Emergency Management EOC/Career Credentialing, complete and turn in:  EOC-225 to CALOES credentialcoord@caloes.ca.gov



TYPE	TIME	STATUS C=Complete I=In-Progress P=Pending
------	------	--




DUTIES

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
		<ul style="list-style-type: none"> Establish appropriate EOC staffing level Continuously monitor organizational effectiveness and make appropriate changes 	
		Exercise overall management responsibility for the coordination between emergency response agencies in the jurisdiction.	
		<ul style="list-style-type: none"> Alongside General Staff, set jurisdictional priorities for response. Ensure all department/agency actions support established EOC priorities. 	
		Ensure that inter-agency coordination is accomplished effectively.	
ACTIVATION			
		Determine appropriate level of activation based on known situation	
		Mobilize/Recall appropriate personnel to the EOC for initial activation.	
		Respond immediately to EOC site and determine operational status.	
		<ul style="list-style-type: none"> Obtain briefing from available sources. Ensure that EOC is properly set up and ready for operations. Ensure that EOC check-in procedure is established  (FORM EOC-211, FORM EOC-205A) 	
		Ensure that EOC organization and staffing chart is posted and completed  (FORM EOC-207)	
		Determine needed EOC sections, assign Section Chief/Coordinators and ensure sections are adequately staffed. <ul style="list-style-type: none"> <input type="checkbox"/> Operations Section Chief/Coordinator <input type="checkbox"/> Logistics Section Chief/Coordinator <input type="checkbox"/> Planning/Intelligence Section Chief/Coordinator <input type="checkbox"/> Finance/Administration Section Chief/Coordinator 	

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
		Determine needed Management Staff positions and ensure they are filled as soon as possible. <ul style="list-style-type: none"> <input type="checkbox"/> EOC Coordinator <input type="checkbox"/> Public Information Officer <input type="checkbox"/> Rumor Control Coordinator <input type="checkbox"/> Liaison Officer <input type="checkbox"/> Agency Representative <input type="checkbox"/> Safety Officer 	
		Ensure telephone and/or radio communications with other EOCs/DOCs is established and functioning.	
		Schedule the initial EOC Action Planning Meeting  (FORM EOC-230)	
		Alongside General Staff, determine what representation is needed at the EOC from other emergency response agencies.	
		Assign a liaison officer to coordinate outside agency response to the EOC, and if needed, assist in establishing an Inter-Agency Coordination Group.	
RESPONSE			
		Monitor general staff activities to ensure appropriate actions are being taken.	
		Alongside Public Information Officer, conduct news conferences and review media releases for final approval. Follow established procedure for public information.  (FORM PRESS RELEASE)	
		Ensure Liaison Officer is providing and maintaining effective inter-agency coordination.	
		Based on status reports, establish initial strategic objectives for the EOC.	
		Alongside Management Staff, prepare EOC objectives for the initial Action Planning Meeting.  (FORM EOC-202)  (GUIDE PLANNING “P” GUIDE)	

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
		<ul style="list-style-type: none"> • Convene Initial Action Planning meeting. • Ensure that all Section Chief/Coordinators, Management Staff, and key agency representatives are in attendance. • Ensure appropriate Action Planning procedures are followed. <ul style="list-style-type: none"> 📄 (GUIDE PLANNING “P” GUIDE) • Ensure meeting is facilitated appropriately by the Planning/Intelligence Section, and consensus among EOC Coordinator, PIO, and Section Chiefs/Coordinators on objectives for forthcoming operational period. <ul style="list-style-type: none"> ☐ Assess the situation, define problems, set priorities, and establish strategic and SMART objectives for the response/recovery period ☐ Determine the Operational Period time frame (i.e., 6-, 8- or 12-hour shifts) ☐ Review and identify the need for additional staffing and/or other resources 	
		<p>When Action Plan is completed by the Planning/Intelligence Section, review, approve and authorize its distribution and implementation.</p> <p>📄 (FORMS EOC-201, EOC-202, EOC-205A, EOC-207, EOC-208, EOC-211, EOC-213, EOC-215, EOC-215A, EOC-230 OR PLAN EOC ACTION PLAN)</p>	
		<p>Conduct periodic briefings with general staff to ensure strategic objectives are current and appropriate.</p>	
		<p>Conduct periodic briefings for elected officials or their representatives.</p> <p>📄 (FORM EOC-209 OR REPORT SITUATION STATUS)</p>	
		<p>If appropriate, issue an Emergency Proclamation, and coordinate local government proclamations with other emergency response agencies.</p> <p>📄 (FORM PROCLAMATION RESOLUTION)</p>	
SHIFT CHANGE/TRANSFER OF DUTIES			
		<ul style="list-style-type: none"> • Provide turnover briefing to position replacement. 	
		<ul style="list-style-type: none"> • Provide details regarding ongoing activities and planned activities to be accomplished during the upcoming operational period. <ul style="list-style-type: none"> 📄 (FORM USE CURRENT POSITION JOBAID) 📄 (FORM USE CURRENT EOC-214) 	

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
		Ensure next shift's staff are accounted for	
		Ensure the safety and well-being of staff being dismissed for the operational period	
		Provide all completed documentation to the Documentation Unit	
		Follow EOC check out procedures, including signing out  (FORM EOC-211, FORM EOC-205A)	
DEMOBILIZATION			
		Authorize demobilization of sections, branches and units when they are no longer required informally or via a plan.  (PLAN DEMOBILIZATION PLAN)	
		Notify higher level EOCs and other appropriate organizations of planned demobilization, as appropriate.	
		Ensure that open actions not completed will be handled after demobilization.	
		Ensure that all required forms or reports are completed prior to demobilization.	
		Prepare to provide input to the after-action report.	
		Proclaim termination of the emergency response and proceed with recovery operations.	
TERMINATION			
		Alongside Public Information Officer, make emergency termination notifications to City Council, Response Partners, Community and OP Area.	

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
		Provides a final emergency briefing of the event to EOC personnel to include: <ul style="list-style-type: none"> <input type="checkbox"/> Date/time of termination. <input type="checkbox"/> Requests all documentation developed during the event response. <input type="checkbox"/> Instructions for support of recovery operations or assembly of the final report. <input type="checkbox"/> Time and date of formal debrief to identify issues, lessons learned, and corrective actions. <input type="checkbox"/> Instructions for resumption of normal operations. 	
		Determine if a formal Recovery Plan is required based on a review of the technical criteria by: <ul style="list-style-type: none"> <input type="checkbox"/> Length and resources required for investigating and fact-finding activities. <input type="checkbox"/> Assessment of property damage efforts require substantial and prolonged coordination and communications with off-site governments, agencies, and/or response organizations. <input type="checkbox"/> Number of personal injuries or illnesses requiring protracted follow-up treatment, analysis, and public information. 	
		<ul style="list-style-type: none"> • Supervise the transition of the EOC from response to recovery operations, as necessary. • Appoint a recovery manager; the recovery manager will establish a recovery organization and recovery plan. <p style="text-align: center;"> (GUIDE RECOVERY PLAN/PROJECT MANAGEMENT)</p>	
		<ul style="list-style-type: none"> • Proclaim EOC Deactivate. • Approve deactivation of other emergency facilities that were opened because of the emergency. 	
		Assists with recovery objectives, as requested for Recovery Plan. <p style="text-align: center;"> (GUIDE RECOVERY PLAN/PROJECT MANAGEMENT)</p>	
		Turn over command to Recovery Manager.	
		Schedule Incident Debriefing.	
		<ul style="list-style-type: none"> • Assists with the development of a Final AAR. • Approved final AAR <p style="text-align: center;"> (REPORT LOCAL GOVERNMENT AFTER ACTION REPORT)</p>	
		Turns in completed job aids, forms, and notes to Documentation Unit.	

SHIFT/STAFF CHANGE

TASKS (PENDING)

NOTES

Name:

**Forwarding
Phone #:**








Date:

Time:




_____ am / pm



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JobAid: EOC Coordinator





POSITION OVERVIEW		<ul style="list-style-type: none"> The EOC Coordinator assists and serves as an advisor to the Emergency Director and General Staff as needed Oversees the overall functioning of the emergency operations center
REPORT TO		EOC DIRECTOR
PLANS & REPORTS		<ul style="list-style-type: none"> ALL PLANS ALL REPORTS
FORMS & GUIDES		<p>FORMS</p> <ul style="list-style-type: none"> ALL POSITION JOBAID EOC-225 FOR PD CREDENTIALING <p>GUIDES</p> <ul style="list-style-type: none"> ALL
TECHNOLOGY		<ul style="list-style-type: none"> LAPTOP PHONE (DESK OR CELL)
RESOURCES		<ul style="list-style-type: none"> WORKSTATION POSITION BINDER (CAN BE VIRTUAL) VEST
PROFESSIONAL CREDENTIAL		<p>To receive professional credit for Emergency Management EOC/Career Credentialing, complete and turn in:</p> <p> (EOC-225) to CALOES credentialcoord@caloes.ca.gov</p>

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
DUTIES			
		Facilitate the overall functioning of the EOC.	
		<ul style="list-style-type: none"> Assist and serve as an advisor to the EOC Director and General Staff as needed. Provide information and guidance related to the internal functions of the EOC. Ensure compliance with operational area emergency plans and procedures. 	
		Assist the Liaison Officer in ensuring proper procedures are in place for directing agency representatives and conducting VIP/visitor tours of the EOC.	

ACTIVATION	
	Check in at the EOC  (FORM EOC-211, FORM EOC-205A)
	Assist with EOC Set-up (If not already fully set-up)
	Check workstation to ensure readiness
	Wear identification vest and read over jobaid.
	Receive situation, section and position briefing from available and appropriate personnel.
	Ensure readiness to maintain concise records of position activities  (FORM EOC-214)
	Assist the EOC Director in determining appropriate staffing for the EOC.  (FORM EOC-207)
	Provide assistance and information regarding section staffing to all general staff.

RESPONSE	
	Assist the EOC Director and the General Staff in developing overall strategic objectives as well as section objectives for the EOC Action Plan.  (FORM EOC-202)  (GUIDE PLANNING “P” GUIDE)

TYPE	TIME	STATUS
	Advise the EOC Director on proper procedures for enacting emergency proclamations, emergency ordinances and resolutions, and other legal requirements.  (FORM PROCLAMATION RESOLUTION)  (GUIDE LEGAL AUTHORITIES)	C=Complete I=In-Progress P=Pending
	Assist the Planning/Intelligence Section in the development, continuous updating, and execution of the EOC Action Plan.  (PLAN EOC ACTION PLAN)  (GUIDE PLANNING “P” GUIDE)	
	Provide overall procedural guidance to General Staff as required.	
	Provide general advice and guidance to the EOC Director as required.	

		Ensure that all appropriate notifications are made to same and one level higher EOCs.	
		Ensure that all communications with appropriate emergency response agencies is established and maintained.	
		Assist the EOC Director in preparing for and conducting briefings with Management Staff, the agency or jurisdiction policy groups, the media, and the public.  (REPORT EOC-209) or (REPORT SITUATION STATUS)  (FORM PRESS RELEASE)	
		Assist the Liaison Officer with coordination of all EOC visits.	
		Aid with shift change activity as required.	
SHIFT CHANGE/TRANSFER OF DUTIES			
		Provide turnover briefing to position replacement.	
		Provide details regarding ongoing activities and planned activities to be accomplished during the upcoming operational period.  (FORM USE CURRENT POSITION JOBAID)  (FORM USE CURRENT EOC-214)	
		Provide all completed documentation to the Documentation Unit	
		Follow EOC check out procedures, including signing out, workstation clean-up and forwarding phone number where you can be reached. (FORM EOC-211, FORM EOC-205A)	
TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
DEMOBILIZATION			
		Deactivate position when authorized by EOC Director and follow Demobilization Unit Leader directions/plan.	
		Complete all required forms, reports, and other documentation. Provide all completed documentation to the Documentation Unit, prior to your departure.	
		Clean up your work area before you leave.	
		Provide a forwarding phone number where you can be reached.	
		Be prepared to provide input to the after-action report.	

SHIFT/STAFF CHANGE

TASKS (PENDING)

NOTES

Name:

Forwarding

Phone #:








Date:





Time:




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JobAid: Legal Officer

<p>POSITION OVERVIEW</p>		<ul style="list-style-type: none"> • Provides legal counsel to the Emergency Services Director / EOC Director and all City / Agency Staff in legal matters pertaining to emergency response and recovery. • Assists in the preparation of proclamations, ordinances, and other legal documents; and maintains the City's / Agency's legal records and reports.
<p>REPORT TO</p>		<p>EOC DIRECTOR</p>
<p>PLANS & REPORTS</p>		<p>SHARES WITH RELEVANT STAKEHOLDERS. NOT RESPONSIBLE FOR DEVELOPMENT.</p>
<p>FORMS & GUIDE</p>		<p>FORM</p> <ul style="list-style-type: none"> • POSITION JOBAID • EOC-205A COMMUNICATION LIST • EOC-211 CHECK-IN LIST • EOC-214 ACTIVITY LOG • EOC-225 FOR PD CREDENTIALING • PROCLAMATION RESOLUTION <p>GUIDE</p> <ul style="list-style-type: none"> • LEGAL AUTHORITIES
<p>TECHNOLOGY</p>		<ul style="list-style-type: none"> • LAPTOP • PHONE (DESK OR CELL)
<p>RESOURCES</p>		<ul style="list-style-type: none"> • WORKSTATION • POSITION BINDER (CAN BE VIRTUAL) • VEST
<p>PROFESSIONAL CREDENTIAL</p>		<p>To receive professional credit for Emergency Management EOC/Career Credentialing, complete and turn in:</p> <p> (EOC-225) to CALOES credentialcoord@caloes.ca.gov</p>

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
DUTIES			
		Advises the Multi-Agency Coordination/Policy Group and/or EOC Director, and the Management and General Staff, as needed, on the legality and/or legal implications of contemplated emergency actions and policies (Reference the California Emergency Services Act, Stafford Act, etc., as necessary).	
		Establishes areas of legal responsibility and/or potential liabilities.	
		As needed, prepares documents relative to evacuations, curfews, and demolition of hazardous structures or conditions.	
		Develops emergency rules, regulations and laws required for acquisition and/or control of critical resources.	
ACTIVATION			
		Check in at the EOC  (FORM EOC-211, FORM EOC-205A)	
		Assist with EOC Set-up (If not already fully set-up)	
		Check workstation to ensure readiness	
		Wear identification vest and read over job aid.	
		Receive situation, section and position briefing from available/appropriate personnel.	
		Ensure readiness to maintain concise records of position activities  (FORM EOC-214)	
		Obtain assistance for position through the Personnel Unit in Logistics, as required.	
RESPONSE			
		Assist as necessary with Emergency Proclamation Resolution Process and Forms.  (FORM PROCLAMATION RESOLUTION)	
		Provide technical knowledge of jurisdictional authorities.  (GUIDE LEGAL AUTHORITIES)	

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
		Develops emergency rules, regulations and laws required for acquisition and/or control of critical resources.	
		Prepares documents relative to evacuations, curfews, and demolition of hazardous structures or conditions.	
SHIFT CHANGE/TRANSFER OF DUTIES			
		Provide turnover briefing to position replacement.	
		Provide details regarding ongoing activities and planned activities to be accomplished during the upcoming operational period.  (FORM USE CURRENT POSITION JOBAID)  (FORM USE CURRENT EOC-214)	
		Provide all completed documentation to the Documentation Unit	
		Follow EOC check out procedures, including signing out, workstation clean-up and forwarding phone number where you can be reached.  (FORM EOC-211, FORM EOC-205A)	
DEMOBILIZATION			
		Deactivate position when authorized by EOC Director and follow Demobilization Unit Leader directions/plan.	
		<ul style="list-style-type: none"> • Release agency representatives that are no longer required in the EOC when authorized by the EOC Director. • Ensure that you collect any documentation from them that would be relevant for after-action report. 	
		Complete all required forms, reports, and other documentation. Provide all completed documentation to the Documentation Unit, prior to your departure.	
		Clean up your work area before you leave.	
		Provide a forwarding phone number where you can be reached.	
		Be prepared to provide input to the after-action report.	

SHIFT/STAFF CHANGE

TASKS (PENDING)

NOTES

Name:








Forwarding

Phone #: _____

Date:



Time: _____ **am / pm**








JobAid: Liaison Officer


POSITION OVERVIEW		<ul style="list-style-type: none"> Responsible for serving as the point of contact to all internal and external individuals, organizations, agencies and customers Oversee all special events, dignitary visits and field liaison positions
REPORT TO		EOC DIRECTOR
PLANS & REPORTS		SHARES WITH RELEVANT STAKEHOLDERS. NOT RESPONSIBLE FOR DEVELOPMENT
FORMS		<ul style="list-style-type: none"> POSITION JOBAID EOC-205A COMMUNICATION LIST EOC-209 INCIDENT STATUS SUMMARY EOC-211 CHECK-IN LIST EOC-214 ACTIVITY LOG EOC-225 FOR PD CREDENTIALING
TECHNOLOGY		<ul style="list-style-type: none"> LAPTOP PHONE (DESK OR CELL)
RESOURCES		<ul style="list-style-type: none"> WORKSTATION POSITION BINDER (CAN BE VIRTUAL) VEST
PROFESSIONAL CREDENTIAL		<p>To receive professional credit for Emergency Management EOC/Career Credentialing, complete and turn in:</p> <p> (EOC-225) to CALOES credentialcoord@caloes.ca.gov</p>

TYPE	TIME	STATUS
		C=Complete I=In-Progress P=Pending

DUTIES		
	<ul style="list-style-type: none"> Oversee all liaison activities, including coordinating outside agency representatives assigned to the EOC. Handle requests from other EOCs for EOC agency representatives. 	
	Establish and maintain a central location for incoming agency representatives, providing workspace and support as needed.	
	Ensuring that position specific guidelines, policy directives, situation reports, and a copy of the EOC Action Plan is provided to Agency Representatives upon check-in.	
	In conjunction with the EOC Coordinator, provide orientations for VIPs and other visitors to the EOC.	

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
		Ensuring that demobilization is accomplished when directed by the EOC Director.	
ACTIVATION			
		Check in at the EOC  (FORM EOC-211, FORM EOC-205A)	
		Assist with EOC Set-up (If not already fully set-up)	
		Check workstation to ensure readiness	
		Wear identification vest and read over job aid.	
		Receive situation, section and position briefing from available/appropriate personnel.	
		Ensure readiness to maintain concise records of position activities  (FORM EOC-214)	
		Obtain assistance for position through the Personnel Unit in Logistics, as required.	
RESPONSE			
		Contact Agency Representatives already on-site, ensuring that they: <ul style="list-style-type: none"> <input type="checkbox"/> Have signed into the EOC <input type="checkbox"/> Understand their role in the EOC <input type="checkbox"/> Know their work locations <input type="checkbox"/> Understand the EOC organization and floor plan. 	
		Determine if additional representation is required from: <ul style="list-style-type: none"> <input type="checkbox"/> Community based organizations <input type="checkbox"/> Private organizations <input type="checkbox"/> Utilities not already represented <input type="checkbox"/> Other agencies 	
		Alongside EOC Director and EOC Coordinator, establish and maintain Interagency Coordination Group made up of outside agency representatives and executives not assigned to specific sections within the EOC.	

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
		<ul style="list-style-type: none"> Assist the EOC Director and EOC Coordinator in conducting regular briefings for the Inter-Agency Coordination Group. Assist with distribution of the current EOC Action Plan and Situation Report. <ul style="list-style-type: none">  (PLAN EOC ACTION PLAN)  (FORM EOC-209) or (REPORT SITUATION STATUS) 	
		Request that Agency Representatives maintain communications with their agencies and obtain situation status reports regularly.	
		With the approval of the EOC Director, provide agency representatives from the EOC to other EOCs as required and requested.	
		<ul style="list-style-type: none"> Maintain active roster of agency representatives located at the EOC Roster should be distributed internally on a regular basis. <ul style="list-style-type: none">  (FORM EOC-211 JUST FOR AGENCY REPRESENTATIVES)  (FORM EOC-205A JUST FOR AGENCY REPRESENTATIVES) 	
SHIFT CHANGE/TRANSFER OF DUTIES			
		Provide turnover briefing to position replacement.	
		Provide details regarding ongoing activities and planned activities to be accomplished during the upcoming operational period. <ul style="list-style-type: none">  (FORM USE CURRENT POSITION JOBAID)  (FORM USE CURRENT EOC-214) 	
		Provide all completed documentation to the Documentation Unit	
		Follow EOC check out procedures, including signing out, workstation clean-up and forwarding phone number where you can be reached. <ul style="list-style-type: none">  (FORM EOC-211, FORM EOC-205A) 	
DEMOBILIZATION			
		Deactivate position when authorized by EOC Director and follow Demobilization Unit Leader directions/plan.	
		<ul style="list-style-type: none"> Release agency representatives that are no longer required in the EOC when authorized by the EOC Director. Ensure that you collect any documentation from them that would be relevant for after-action report. 	

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
		Complete all required forms, reports, and other documentation. Provide all completed documentation to the Documentation Unit, prior to your departure.	
		Clean up your work area before you leave.	
		Provide a forwarding phone number where you can be reached.	
		Be prepared to provide input to the after-action report.	
TERMINATION			
		Provide Public Information officer with agency roster for final termination notification  (FORM EOC-211 JUST FOR AGENCY REPRESENTATIVES)	
SHIFT/STAFF CHANGE			
TASKS (PENDING)			








NOTES



Name: _____ **Forwarding**
Phone #: _____





Date: _____ **Time:** _____ **am / pm**









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JobAid: Public Information Officer

POSITION OVERVIEW		Responsible for providing news and information on the emergency/disaster to the media, the public, all departments and required agencies.
REPORT	TO	EOC DIRECTOR
PLANS & REPORTS		PRESS RELEASES DEVELOPS
FORMS & GUIDES		<p>FORMS</p> <ul style="list-style-type: none"> • POSITION JOBAID • EOC-205A COMMUNICATION LIST • EOC-211 CHECK-IN LIST • EOC-214 ACTIVITY LOG • MEDIA CALL • PUBLIC CALL • DISASTER ASSISTANCE DIRECTORY • PRESS RELEASE • MEDIA BRIEFING SCHEDULE • EOC-225 FOR PD CREDENTIALING <p>GUIDE</p> <ul style="list-style-type: none"> • MEDIA CENTER/JOINT INFORMATION CENTER • EMERGENCY ALERT SYSTEM NOTIFICATION
TECHNOLOGY		<ul style="list-style-type: none"> • LAPTOP • PHONE (DESK OR CELL)
RESOURCES		<ul style="list-style-type: none"> • WORKSTATION • POSITION BINDER (CAN BE VIRTUAL) • VEST
PROFESSIONAL CREDENTIAL		<p>To receive professional credit for Emergency Management EOC/Career Credentialing, complete and turn in:</p> <p> (EOC-225) to CALOES credentialcoord@caloes.ca.gov</p>

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
DUTIES			
		Serve as the central coordination point for the agency or jurisdiction for all media releases.	
		Ensure that the public within the affected area receives complete, accurate, and consistent information about life safety procedures, public health advisories, relief and assistance programs and other vital information.	
		Coordinate media releases with Public Information Officers at incidents or representing other affected emergency response agencies as required.	
		Develop the format for press conferences, in conjunction with the EOC Director.	
		Maintaining a positive relationship with the media representatives.	
		Supervising the Public Information Branch.	
ACTIVATION			
		Check in at the EOC  (FORM EOC-211, FORM EOC-205A)	
		Assist with EOC Set-up (If not already fully set-up)	
		Check workstation to ensure readiness	
		Wear identification vest and read over jobaid.	
		Receive situation, section and position briefing from available and appropriate personnel.	
		Ensure readiness to maintain concise records of position activities  (FORM EOC-214)	
		Determine staffing requirements and make required personnel assignments for the Public Information function to the Personnel Unit in Logistics, as required.	
RESPONSE			
		Obtain policy guidance from the EOC Director regarding press releases.	

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
		<ul style="list-style-type: none"> Keep the EOC Director advised of all unusual requests for information and of all major critical or unfavorable media comments. Recommend procedures or measures to improve media relations. 	
		Coordinate with the Situation Analysis Unit and identify the method for obtaining and verifying significant information as it is developed.	
		Develop and publish a media-briefing schedule, to include location, format, and preparation and distribution of handout materials.  (FORM MEDIA BRIEFING SCHEDULE)	
		Implement and maintain an overall information release program.	
		Establish a Media or Joint Information Center, as required, providing necessary space, materials, telephones, and electrical power.  (GUIDE MEDIA CENTER/JOINT INFORMATION CENTER)	
		<ul style="list-style-type: none"> Maintain up-to-date status boards and other references at the Media or Joint Information Center. Provide adequate staff to answer questions from members of the media. 	
		Interact with other EOC PIOs and obtain information relative to public information operations.	
		Develop content for state Emergency Alert System (EAS) releases if available. Monitor EAS releases as necessary.  (GUIDE EMERGENCY ALERT SYSTEM NOTIFICATIONS)	
		In coordination with other EOC sections and as approved by the EOC Director, issue timely and consistent advisories and instructions for life safety, health, and assistance for the public.	
		<ul style="list-style-type: none"> At the request of the EOC Director, prepare media briefings and press releases for members of the agencies or jurisdiction policy groups. Provide other assistance as necessary to facilitate their participation in media briefings and press conferences.  (FORM PRESS RELEASE)	
		Ensure that a rumor control function is established to correct false or erroneous information.	
		Ensure that adequate staff is available at incident sites to coordinate and conduct tours of the affected areas.	

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
		Provide appropriate staffing and telephones to efficiently handle incoming media and public calls.  (FORM MEDIA CALL)  (FORM PUBLIC CALL)	
		Prepare, update, and distribute to the public a Disaster Assistance Information Directory, which contains locations to obtain food, shelter, supplies, health services, etc.  (FORM DISASTER ASSISTANCE DIRECTORY)	
		Ensure that announcements, emergency information and materials are translated and prepared for special populations (non-English speaking, hearing impaired etc.).	
		Monitor broadcast media, using information to develop follow-up press releases and rumor control.  (FORM PRESS RELEASE)	
		Ensure that file copies are maintained of all information released.	
		Provide copies of all press releases to the EOC Director for approval.  (FORM USE CURRENT PRESS RELEASES)	
		Prepare final press releases and advise media representatives of points-of-contact for follow-up stories.	
SHIFT CHANGE/TRANSFER OF DUTIES			
		Provide turnover briefing to position replacement.	
		Provide details regarding ongoing activities and planned activities to be accomplished during the upcoming operational period.  (FORM USE CURRENT POSITION JOBAID)  (FORM USE CURRENT EOC-214)	
		Provide all completed documentation to the Documentation Unit	
		Follow EOC check out procedures, including signing out, workstation clean-up and forwarding phone number where you can be reached.  (FORM EOC-211, FORM EOC-205A)	
DEMOBILIZATION			
		Deactivate position when authorized by EOC Director and follow Demobilization Unit Leader directions/plan.	

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
		Complete all required forms, reports, and other documentation. Provide all completed documentation to the Documentation Unit, prior to your departure.	
		Clean up your work area before you leave.	
		Provide a forwarding phone number where you can be reached.	
		Be prepared to provide input to the after-action report.	
TERMINATION			
		Alongside EOC Director and Liaison Officer, make emergency termination notifications to City Council, Response Partners, Community and OP Area.	

SHIFT/STAFF CHANGE

TASKS (PENDING)

NOTES

Name:








Forwarding





Phone #: _____




Date:

Time: _____ **am / pm**

JobAid: Safety Officer

POSITION OVERVIEW		<ul style="list-style-type: none"> • Responsible for identifying and mitigating safety hazards and situations of potential City / Agency liability during EOC operations. • Ensuring that all facilities used in support of EOC operations have safe operating conditions (building, parking lots, etc.)
REPORT	TO	EOC DIRECTOR
PLANS & REPORTS		EOC ACTION PLAN PROVIDES INPUT ADVANCE PLANS + REPORTS (DEMO, RECOVERY ETC.) PROVIDES INPUT
FORMS		<ul style="list-style-type: none"> • POSITION JOBAID • EOC-205A COMMUNICATION LIST • EOC-208 SAFETY MESSAGE • EOC-211 CHECK-IN LIST • EOC-214 ACTIVITY LOG • EOC-215A SAFETY ANALYSIS • EOC-225 FOR PD CREDENTIALING
TECHNOLOGY		<ul style="list-style-type: none"> • LAPTOP • PHONE (DESK OR CELL)
RESOURCES		<ul style="list-style-type: none"> • WORKSTATION • POSITION BINDER (CAN BE VIRTUAL) • VEST
PROFESSIONAL CREDENTIAL		<p>To receive professional credit for Emergency Management EOC/Career Credentialing, complete and turn in:</p> <p> (EOC-225) to CALOES credentialcoord@caloes.ca.gov</p>

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
DUTIES			
		Ensure that all buildings and other facilities used in support of the EOC are in a safe operating condition.	
		Monitor operational procedures and activities in the EOC to ensure they are being conducted in a safe manner, considering the existing situation and conditions.	
		Stop or modify all unsafe operations outside the scope of the EOC Action Plan, notifying the EOC Director of actions taken.	
ACTIVATION			
		Check in at the EOC  (FORM EOC-211, FORM EOC-205A)	
		Assist with EOC Set-up (If not already fully set-up)	
		Check workstation to ensure readiness	
		Wear identification vest and read over job aid.	
		Receive situation, section and position briefing from available/appropriate personnel.	
		Ensure readiness to maintain concise records of position activities  (FORM EOC-214)	
RESPONSE			
		<ul style="list-style-type: none"> • Tour the entire EOC facility and evaluate conditions. • Advise the EOC Director of any conditions and actions that might result in liability, (unsafe layout or equipment set-up, etc.) 	
		Study the EOC facility and document the locations of all fire extinguishers, emergency pull stations, and evacuation routes and exits.  (FORM EOC-215a)	
		Be familiar with particularly hazardous conditions in the facility; act when necessary.	
		Prepare and present safety briefings for the EOC Director and General Staff at appropriate meetings.  (FORM EOC-208)	

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
		If the event that caused activation was an earthquake, provide guidance regarding actions to be taken in preparation for aftershocks.	
		Ensure that the EOC facility is free from any environmental threats - e.g., radiation exposure, air purity, water quality, etc.	
		Keep the EOC Director advised of unsafe conditions; act when necessary.	
		Coordinate with the Finance/Administration Section in preparing any personnel injury claims or records necessary for proper case evaluation and closure.	
SHIFT CHANGE/TRANSFER OF DUTIES			
		Provide turnover briefing to position replacement.	
		Provide details regarding ongoing activities and planned activities to be accomplished during the upcoming operational period.  (FORM USE CURRENT POSITION JOBAID)  (FORM USE CURRENT EOC-214)	
		Provide all completed documentation to the Documentation Unit	
		Follow EOC check out procedures, including signing out, workstation clean-up and forwarding phone number where you can be reached.  (FORM EOC-211, FORM EOC-205A)	
DEMOBILIZATION			
		Deactivate position when authorized by EOC Director and follow Demobilization Unit Leader directions/plan.	
		Complete all required forms, reports, and other documentation. Provide all completed documentation to the Documentation Unit, prior to your departure.	
		Clean up your work area before you leave.	
		Provide a forwarding phone number where you can be reached.	
		Be prepared to provide input to the after-action report.	

SHIFT/STAFF CHANGE

TASKS (PENDING)

NOTES

Name:

Forwarding

Phone #: _____

Date:

Time: _____ **am / pm**

3.2 Operations Section

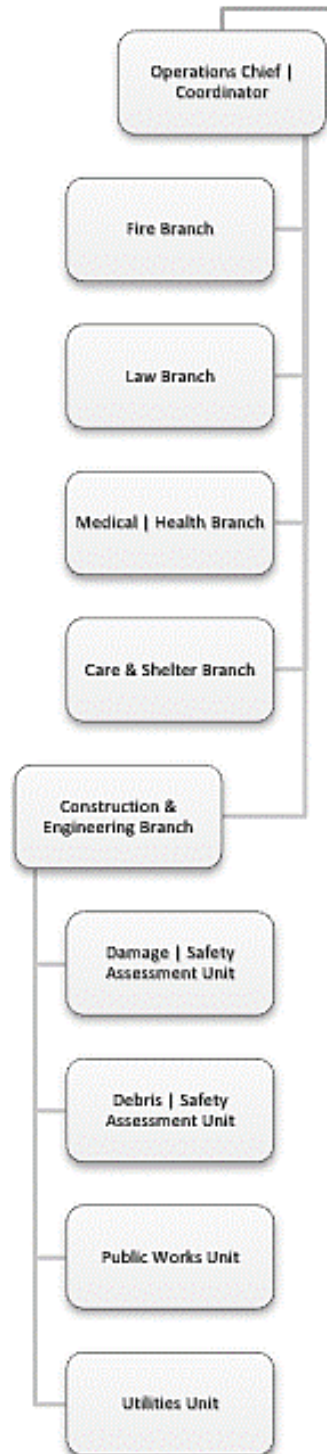


Figure 6: EOC Operations Section

This section contains functional section and position descriptions, responsibilities, and jobaids for personnel assigned to the Operations Section of the City EOC. Jobaids describe the minimum actions that should be accomplished by personnel assigned to functional positions within the section.

Section Overview:








- The Operations Section is primarily responsible for managing the operations of various response elements involved in the disaster/emergency




Section Responsibilities Include:

- **Fire:** Fire/Rescue, Hazardous Materials, Emergency Medical Services, Environmental Preservation
- **Law:** Coroner, Law Enforcement, Investigations, Security
- **Care & Shelter:** Care and Shelter
- **Public Works:** Street, Traffic, Utilities, Solid Waste, Wastewater, Parking, Facility and Vehicle Maintenance
- **Construction & Engineering:** Building Safety, Building Damage, and Safe Access














Figure 6: EOC Operations Section, above, shows all the positions that are part of the EOC Operations Section.





JobAid: Operations Chief/Coordinator

POSITION OVERVIEW		Responsible for the management and coordination of all EOC related operational functions. The Operations Section Coordinator will ensure, based on the emergency, that all necessary operational functions have been activated and are appropriately staffed		
REPORT TO	TO	MANAGEMENT EOC DIRECTOR		
REPORT TO ME	STAFF	<ul style="list-style-type: none"> • Fire Branch • Law Branch • Medical/Health Branch • Care & Shelter Branch • Construction & Engineering Branch • Debris Management Unit • Public Works Unit • Utilities Unit 		
PLANS		EOC ACTION PLAN SUPPORTS DEVELOPMENT		
FORMS & REPORTS		<table border="0" style="width: 100%;"> <tr> <td style="vertical-align: top; width: 50%;"> FORMS <ul style="list-style-type: none"> • POSITION JOBAID • RESOURCE REQUEST • EOC-205A COMMUNICATION LIST • EOC-209 INCIDENT STATUS SUMMARY • EOC-211 CHECK-IN LIST • EOC-213 RESOURCE REQUEST • EOC-214 ACTIVITY LOG • EOC-215 RESOURCE PLANNING WORKSHEET • EOC-225 FOR PD CREDENTIALING </td> <td style="vertical-align: top; width: 50%;"> REPORT <ul style="list-style-type: none"> • AGRICULTURAL STATUS • ENERGY STATUS • FIREFIGHTING STATUS • HAZMAT STATUS • MASS CARE STATUS • PUBLIC SAFETY STATUS • PUBLIC WORKS STATUS • SEARCH & RESCUE STATUS • TRANSPORTATION STATUS • UTILITY STATUS </td> </tr> </table>	FORMS <ul style="list-style-type: none"> • POSITION JOBAID • RESOURCE REQUEST • EOC-205A COMMUNICATION LIST • EOC-209 INCIDENT STATUS SUMMARY • EOC-211 CHECK-IN LIST • EOC-213 RESOURCE REQUEST • EOC-214 ACTIVITY LOG • EOC-215 RESOURCE PLANNING WORKSHEET • EOC-225 FOR PD CREDENTIALING 	REPORT <ul style="list-style-type: none"> • AGRICULTURAL STATUS • ENERGY STATUS • FIREFIGHTING STATUS • HAZMAT STATUS • MASS CARE STATUS • PUBLIC SAFETY STATUS • PUBLIC WORKS STATUS • SEARCH & RESCUE STATUS • TRANSPORTATION STATUS • UTILITY STATUS
FORMS <ul style="list-style-type: none"> • POSITION JOBAID • RESOURCE REQUEST • EOC-205A COMMUNICATION LIST • EOC-209 INCIDENT STATUS SUMMARY • EOC-211 CHECK-IN LIST • EOC-213 RESOURCE REQUEST • EOC-214 ACTIVITY LOG • EOC-215 RESOURCE PLANNING WORKSHEET • EOC-225 FOR PD CREDENTIALING 	REPORT <ul style="list-style-type: none"> • AGRICULTURAL STATUS • ENERGY STATUS • FIREFIGHTING STATUS • HAZMAT STATUS • MASS CARE STATUS • PUBLIC SAFETY STATUS • PUBLIC WORKS STATUS • SEARCH & RESCUE STATUS • TRANSPORTATION STATUS • UTILITY STATUS 			
TECHNOLOGY		<ul style="list-style-type: none"> • LAPTOP • PHONE (DESK OR CELL) 		
RESOURCES		<ul style="list-style-type: none"> • WORKSTATION • BINDER • VEST 		
PROFESSIONAL CREDENTIAL		To receive professional credit for Emergency Management EOC/Career Credentialing, complete and turn in:  (EOC-225) to CALOES credentialcoord@caloes.ca.gov		

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
DUTIES			
		Ensure that the Operations Function is carried out including coordination of activities for all operational functions assigned to the EOC.	
		Ensure that operational objectives and assignments identified in the EOC Action Plan are carried out effectively.	
		Establish the appropriate level of branch and unit organizations within the Operations Section, continuously monitoring the effectiveness and modifying accordingly.	
		Exercise overall responsibility for the coordination of Branch and Unit activities within the Operations Section.  (FORM EOC-215)	
		Ensure that the Planning/Intelligence Section is provided with Status Reports and Major Incident Reports.	
		Conduct periodic Operations briefings for the EOC Director as required or requested.	
		Supervise the Operations Section.	
ACTIVATION			
		Check in at the EOC.  (FORM EOC-211, FORM EOC-205A)	
		Assist with EOC Set-up (If not already fully set-up).	
		Check workstation to ensure readiness.	
		Wear identification vest and read over job aid.	
		Receive situation, section and position briefing from available and appropriate personnel.	
		Ensure readiness to maintain concise records of position activities.  (FORM EOC-214)	
		Ensure that the Operations Section is set up properly and that appropriate personnel, equipment, and supplies are in place, including maps and status boards.	
		Meet with Planning/Intelligence Section Coordinator; obtain a preliminary situation briefing.	

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
		Based on the situation, activate positions/branch within the section as needed: <ul style="list-style-type: none"> <input type="checkbox"/> Fire Branch <input type="checkbox"/> Law Branch <input type="checkbox"/> Medical/Health Branch <input type="checkbox"/> Care & Shelter Branch <input type="checkbox"/> Construction & Engineering Branch <input type="checkbox"/> Damage/Safety Assessment <input type="checkbox"/> <i>Debris Management Unit</i> <input type="checkbox"/> <i>Public Works Unit</i> <input type="checkbox"/> <i>Utilities Unit</i> 	
		Determine if there are mutual aid requests for these functional areas. Initiate coordination with appropriate mutual aid systems as required.	
		Request additional personnel for the section as necessary for 24-hour operation.	
		<ul style="list-style-type: none"> • Obtain a current communications status briefing from the Communications Branch Coordinator in Logistics. • Ensure that there is adequate equipment and radio frequencies available as necessary for the section. 	
		Determine estimated times of arrival of section staff from the Personnel Branch in Logistics.	
		Confer with the EOC Director to ensure that the Planning/Intelligence and Logistics Sections are staffed at levels necessary to provide adequate information and support for operations.	
		Coordinate with the Liaison Officer regarding the need for Agency Representatives in the Operations Section.	
		Coordinate with the Planning/Intelligence Section Coordinator to determine the need for any Technical Specialists.	
		Establish radio or phone communications with Department Operations Centers (DOCs), and/or with Incident Commander(s) as directed and coordinate accordingly.	
		Determine activation status of other EOCs in the Operational Area or adjacent areas and establish communication links with their Operations Sections if necessary.	

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
		Based on the situation known or forecasted, determine likely future needs of the Operations Section.	
		Identify key issues currently affecting the Operations Section; meet with section personnel and determine appropriate section objectives for the first operational period.	
		Review responsibilities of branches in section; develop an Operations Plan detailing strategy for carrying out Operations objectives.	
		Adopt a pro-active attitude. Think ahead and anticipate situations and problems before they occur.	
RESPONSE			
		Ensure Operations Section position logs and other necessary files are maintained.	
		<p>Ensure that situation and resources information is provided to the Planning/Intelligence Section on a regular basis or as the situation requires, including Status Reports and Major Incident Reports.</p> <ul style="list-style-type: none">  (FORM EOC-209 OR OPTIONS BELOW)  (REPORT AGRICULTURAL STATUS)  (REPORT COMMUNICATION STATUS)  (REPORT ENERGY STATUS)  (REPORT FIREFIGHTING STATUS)  (REPORT HAZMAT STATUS)  (REPORT MASS CARE STATUS)  (REPORT PUBLIC SAFETY STATUS)  (REPORT PUBLIC WORKS STATUS)  (REPORT SEARCH & RESCUE STATUS)  (REPORT TRANSPORTATION STATUS)  (REPORT UTILITY STATUS) 	
		Ensure that all media contacts are referred to the Public Information Officer.	
		<p>Conduct periodic briefings and work to reach consensus among staff on objectives and work assignments for forthcoming operational periods.</p> <ul style="list-style-type: none">  (FORM EOC-215) 	
		Attend and participate in EOC Director's Action Planning meetings.	
		Provide the Planning/Intelligence Section Coordinator with the Operations Section's objectives prior to each Action Planning meeting.	

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
		Work closely with each Branch Coordinator to ensure that the Operations Section objectives, as defined in the current Action Plan, are being addressed.	
		Ensure that the branches coordinate all resource needs through the Logistics Section.  (FORM RESOURCE REQUEST OR EOC-213)	
		Ensure that intelligence information from Branch Coordinators is made available to the Planning/ Intelligence Section in a timely manner.	
		Ensure that fiscal and administrative requirements are coordinated through the Finance/ Administration Section (notification of emergency expenditures and daily time sheets).	
		Brief the EOC Director on all major incidents.	
		Complete a Major Incident Report for all major incidents; forward a copy to the Planning/ Intelligence Section.	
		Brief Branch Coordinators periodically on any updated information you may have received.	
		Share status information with other sections as appropriate.	
SHIFT CHANGE/TRANSFER OF DUTIES			
		Provide turnover briefing to position replacement.	
		Provide details regarding ongoing activities and planned activities to be accomplished during the upcoming operational period.  (FORM USE CURRENT POSITION JOBAID)  (FORM USE CURRENT EOC-214)	
		Provide all completed documentation to the Documentation Unit.	
		Follow EOC check out procedures, including signing out, workstation clean-up and forwarding phone number where you can be reached.  (FORM EOC-211, FORM EOC-205A)	
DEMOBILIZATION			
		Deactivate position when authorized by EOC Director and follow Demobilization Unit Leader directions/plan.	

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
		<ul style="list-style-type: none"> • Complete all required forms, reports, and other documentation. • Provide all completed documentation to the Documentation Unit, prior to your departure. Turn over financial information to Finance/Administration Section Coordinator.	
		Clean up your work area before you leave.	
		Provide a forwarding phone number where you can be reached.	
		Be prepared to provide input to the after-action report.	

SHIFT/STAFF CHANGE

TASKS (PENDING)

NOTES

Name:

Forwarding








Phone #: _____



Date:









Time: _____ **am / pm**




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JobAid: Fire Branch

POSITION OVERVIEW		Responsible for coordinating personnel, equipment and resources committed to fire, field medical, search and rescue, and hazardous materials elements of the incident.
REPORT TO		OPERATIONS CHIEF/COORDINATOR
PLANS		EOC ACTION PLAN SUPPORTS DEVELOPMENT
FORMS & REPORTS		FORMS <ul style="list-style-type: none"> • POSITION JOBAID • EOC-205A COMMUNICATION LIST • EOC-209 INCIDENT STATUS SUMMARY • EOC-211 CHECK-IN LIST • EOC-214 ACTIVITY LOG • EOC-225 FOR PD CREDENTIALING • FIRE DEPLOYED RESOURCES REPORTS <ul style="list-style-type: none"> • FIREFIGHTING STATUS • SEARCH & RESCUE STATUS • HAZMAT STATUS
TECHNOLOGY		<ul style="list-style-type: none"> • LAPTOP • PHONE (DESK OR CELL)
RESOURCES		<ul style="list-style-type: none"> • WORKSTATION • POSITION BINDER (CAN BE VIRTUAL) • VEST
PROFESSIONAL CREDENTIAL		To receive professional credit for Emergency Management EOC/Career Credentialing, complete and turn in:  (EOC-225) to CALOES credentialcoord@caloes.ca.gov

TYPE	TIME	STATUS C=Complete I=In-Progress P=Pending
DUTIES		
	Coordinate fire, emergency medical, hazardous materials, and urban search and rescue operations in the jurisdictional area.	
	Assist Fire & Rescue Mutual Aid System Coordinator in acquiring mutual aid resources, as necessary.	
	Coordinate the mobilization and transportation of all resources through the Logistics Section.	
	Complete and maintain status reports for major incidents requiring or potentially requiring operational area, state and federal response, and maintains status of unassigned fire & rescue resources.	
	Coordinate with the Law Enforcement Branch Coordinator on jurisdiction Search & Rescue activities.	
	Implement the objectives of the EOC Action Plan assigned to the Fire & Rescue Branch.	
	Supervise the Fire & Rescue Branch.	
ACTIVATION		
	Check in at the EOC  (FORM EOC-211, FORM EOC-205A)	
	Assist with EOC Set-up (If not already fully set-up)	
	Check workstation to ensure readiness	
	Wear identification vest and read over job aid.	
	Receive situation, section and position briefing from available and appropriate personnel.	
	Ensure readiness to maintain concise records of position activities  (FORM EOC-214)	
	Based on the situation, activate the necessary Units within the Fire & Rescue Branch: <ul style="list-style-type: none"> • Fire & Rescue Unit • Emergency Medical Unit • HazMat Unit 	

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
		<p>If the mutual aid system is activated, coordinate use of fire resources with the Operational Area Fire & Rescue Mutual Aid Coordinator.</p> <p> (FORM FIRE DEPLOYED RESOURCES)</p>	
		<p>Prepare and submit a preliminary status report and major incident reports as appropriate to the Operations Section Coordinator.</p> <p> (REPORT FIREFIGHTING STATUS)  (REPORT SEARCH & RESCUE STATUS)  (REPORT HAZMAT STATUS)</p>	
		<p>Prepare objectives for the Fire & Rescue Branch; provide them to the Operations Section Coordinator prior to the first Action Planning meeting.</p>	
RESPONSE			
		<p>Ensure that Branch and Unit position logs and other necessary files are maintained.</p>	
		<p>Obtain and maintain current status on Fire & Rescue missions being conducted in the jurisdictional area.</p>	
		<p>Provide the Operations Section Coordinator and the Planning/Intelligence Section with an overall summary of Fire & Rescue Branch operations periodically or as requested during the operational period.</p> <p> (FORM EOC-209) OR  (REPORT FIREFIGHTING STATUS)  (REPORT SEARCH & RESCUE STATUS)  (REPORT HAZMAT STATUS)</p>	
		<p>On a regular basis, complete and maintain the Fire & Rescue Status Report.</p>	
		<p>Refer all contacts with the media to the Public Information Branch.</p>	
		<p>Ensure that all fiscal and administrative requirements are coordinated through the Finance/ Administration Section (notification of any emergency expenditures and daily time sheets).</p>	
		<p>Prepare objectives for the Fire & Rescue Branch for the subsequent operational period; provide them to the Operations Section Coordinator prior to the end of the shift and the next Action Planning meeting.</p>	
		<p>Provide your relief with a briefing at shift change; inform him/her of all on going activities, branch objectives for the next operational period, and any other pertinent information.</p>	

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
SHIFT CHANGE/TRANSFER OF DUTIES			
		Provide turnover briefing to position replacement.	
		Provide details regarding ongoing activities and planned activities to be accomplished during the upcoming operational period.  (FORM USE CURRENT POSITION JOBAID)  (FORM USE CURRENT EOC-214)	
		Provide all completed documentation to the Documentation Unit	
		Follow EOC check out procedures, including signing out, workstation clean-up and forwarding phone number where you can be reached.  (FORM EOC-211, FORM EOC-205A)	
DEMOBILIZATION			
		Deactivate position when authorized by EOC Director and follow Demobilization Unit Leader directions/plan.	
		<ul style="list-style-type: none"> • Complete all required forms, reports, and other documentation. • Provide all completed documentation to the Documentation Unit, prior to your departure. • Turn over financial information to Finance/Administration Section Coordinator. 	
		Clean up your work area before you leave.	
		Provide a forwarding phone number where you can be reached.	
		Be prepared to provide input to the after-action report.	

SHIFT/STAFF CHANGE

TASKS (PENDING)

NOTES

Name:

Forwarding








Phone #: _____



Date:




Time: _____ **am / pm**


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JobAid: Law Branch

POSITION OVERVIEW		Responsible for coordinating personnel, equipment and resources committed to fire, field medical, search and rescue, and hazardous materials elements of the incident
REPORT TO		OPERATIONS CHIEF/COORDINATOR
PLANS		EOC ACTION PLAN SUPPORTS DEVELOPMENT
FORMS & REPORT		<p>FORMS</p> <ul style="list-style-type: none"> • POSITION JOBAID • EOC-205A COMMUNICATION LIST • EOC-211 CHECK-IN LIST • EOC-214 ACTIVITY LOG • EOC-225 FOR PD CREDENTIALING <p>REPORT</p> <ul style="list-style-type: none"> • PUBLIS SAFETY STATUS
TECHNOLOGY		<ul style="list-style-type: none"> • LAPTOP • PHONE (DESK OR CELL)
RESOURCES		<ul style="list-style-type: none"> • WORKSTATION • POSITION BINDER (CAN BE VIRTUAL) • VEST
PROFESSIONAL CREDENTIAL		To receive professional credit for Emergency Management EOC/Career Credentialing, complete and turn in:  (EOC-225) to CALOES credentialcoord@caloes.ca.gov

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
DUTIES			
		Coordinate movement and evacuation operations during an emergency.	
		Alert and notify the public of the impending or existing emergency.	
		Coordinate law enforcement, search and rescue, and traffic control operations during the emergency.	
		Coordinate site security at incidents.	
		Coordinate with the Law Enforcement Branch Coordinator on jurisdiction Search & Rescue activities.	
		Coordinate Law Enforcement Mutual Aid requests from emergency response agencies through the Law Enforcement Mutual Aid Coordinator at the Operational Area EOC.	
		Supervise the Law Enforcement Branch.	
ACTIVATION			
		Check in at the EOC  (FORM EOC-211, FORM EOC-205A)	
		Assist with EOC Set-up (If not already fully set-up)	
		Check workstation to ensure readiness	
		Wear identification vest and read over jobaid.	
		Receive situation, section and position briefing from available and appropriate personnel.	
		Ensure readiness to maintain concise records of position activities  (FORM EOC-214)	
		Based on the situation, activate the necessary Units within the Law Enforcement Branch: <ul style="list-style-type: none"> • Law Enforcement Operations Unit • Coroner/Fatalities Management Unit • Search and Rescue Unit 	

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
		Contact and assist the Operational Area EOC Law Enforcement and Coroner's Mutual Aid Coordinators as required or requested.	
		Based on the initial EOC strategic objectives, prepare objectives for the Law Enforcement Branch and provide them to the Operations Section Coordinator prior to the first Action Planning meeting.	
RESPONSE			
		Ensure that Branch and Unit position logs and other necessary files are maintained.	
		Maintain status on Law Enforcement missions being conducted.	
		Provide the Operations Section Coordinator and the Planning/Intelligence Section with an overall summary of Law Enforcement Branch operations periodically or as requested during the operational period.  (REPORT PUBLIC SAFETY STATUS)	
		On a regular basis, complete and maintain the Law Enforcement Status Report.	
		Refer all contacts with the media to the Public Information Branch.	
		Ensure that all fiscal and administrative requirements are coordinated through the Finance/ Administration Section (notification of any emergency expenditures and daily time sheets).	
		Prepare objectives for the Law Enforcement Branch for the subsequent Operational period; provide them to the Operations Section Coordinator prior to the end of the shift and the next Action Planning Meeting.	
		Provide your relief with a briefing at shift change, informing him/her of all ongoing activities, branch objectives for the next operational period, and any other pertinent information.	
SHIFT CHANGE/TRANSFER OF DUTIES			
		Provide turnover briefing to position replacement.	
		Provide details regarding ongoing activities and planned activities to be accomplished during the upcoming operational period.  (FORM USE CURRENT POSITION JOBAID)  (FORM USE CURRENT EOC-214)	
		Provide all completed documentation to the Documentation Unit.	

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
		Follow EOC check out procedures, including signing out, workstation clean-up and forwarding phone number where you can be reached.  (FORM EOC-211, FORM EOC-205A)	
DEMOBILIZATION			
		Deactivate position when authorized by EOC Director and follow Demobilization Unit Leader directions/plan.	
		<ul style="list-style-type: none"> • Complete all required forms, reports, and other documentation. • Provide all completed documentation to the Documentation Unit, prior to your departure. • Turn over financial information to Finance/Administration Section Coordinator. 	
		Clean up your work area before you leave.	
		Provide a forwarding phone number where you can be reached.	
		Be prepared to provide input to the after-action report.	

SHIFT/STAFF CHANGE

TASKS (PENDING)

NOTES

Name:

Forwarding








Phone #: _____



Date:




Time: _____ **am / pm**

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JobAid: Medical/Health Branch

POSITION OVERVIEW		Provides oversight and management for Medical Health Branch activities.
REPORT TO		OPERATIONS CHIEF/COORDINATOR
PLANS		EOC ACTION PLAN SUPPORT DEVELOPMENT
FORMS		<ul style="list-style-type: none"> • POSITION JOBAID • EOC-205A COMMUNICATION LIST • EOC-211 CHECK-IN LIST • EOC-214 ACTIVITY LOG • EOC-225 FOR PD CREDENTIALING
TECHNOLOGY		<ul style="list-style-type: none"> • LAPTOP • PHONE (DESK OR CELL)
RESOURCES		<ul style="list-style-type: none"> • WORKSTATION • POSITION BINDER (CAN BE VIRTUAL) • VEST
PROFESSIONAL CREDENTIAL		<p>To receive professional credit for Emergency Management EOC/Career Credentialing, complete and turn in:</p> <p> (EOC-225) to CALOES credentialcoord@caloes.ca.gov</p>

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
DUTIES			
		Medical/Health operations are coordinated by the Medical/Health Branch in the Operations Section.	
ACTIVATION			
		Check in at the EOC  (FORM EOC-211, FORM EOC-205A)	
		Assist with EOC Set-up (If not already fully set-up)	
		Check workstation to ensure readiness	
		Wear identification vest and read over job aid.	
		Receive situation, section and position briefing from available and appropriate personnel.	
		Ensure readiness to maintain concise records of position activities  (FORM EOC-214)	
RESPONSE			
		Manages and supervises the Medical/Health Branch.	
		Continuously monitors the organizational effectiveness and modifies as necessary.	
		Ensures coordination of hospitals, health units, continuing care, mental health, and environmental health within the jurisdiction.	
		Ensures all Medical/Health Branch resources are tracked and accounted for in cooperation with the Planning Section Resource Unit, as well as resources ordered through Mutual Aid.	
		Ensures the Medical/Health Branch function is carried out	
		Meets regularly with Medical/Health Branch staff and works to reach consensus on Operations Section objectives for forthcoming operational periods and ensures they are carried out effectively as per the EOC Action Plan.	

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
		Based on the situation, activates and directs appropriate Groups or Units within the Branch. Designates Group Supervisors or Unit Leaders as necessary. Examples: <ul style="list-style-type: none"> • Environmental Management Group Supervisor/Unit Leader • Emergency Medical Services Group Supervisor/Unit Leader • Healthcare Facilities Group Supervisor/Unit Leader • Public Health Group Supervisor/Unit Leader • Mental Health Group Supervisor/Unit Leader • Medical/Health DOC Director (if DOC activated) 	
SHIFT CHANGE/TRANSFER OF DUTIES			
		Provide turnover briefing to position replacement.	
		Provide details regarding ongoing activities and planned activities to be accomplished during the upcoming operational period.  (FORM USE CURRENT POSITION JOBAID)  (FORM USE CURRENT EOC-214)	
		Provide all completed documentation to the Documentation Unit	
		Follow EOC check out procedures, including signing out, workstation clean-up and forwarding phone number where you can be reached.  (FORM EOC-211, FORM EOC-205A)	
DEMOBILIZATION			
		Deactivate position when authorized by EOC Director and follow Demobilization Unit Leader directions/plan.	
		<ul style="list-style-type: none"> • Complete all required forms, reports, and other documentation. • Provide all completed documentation to the Documentation Unit, prior to your departure. • Turn over financial information to Finance/Administration Section Coordinator. 	
		Clean up your work area before you leave.	
		Provide a forwarding phone number where you can be reached.	
		Be prepared to provide input to the after-action report.	

SHIFT/STAFF CHANGE

TASKS (PENDING)

NOTES








Name: _____



**Forwarding
Phone #:** _____





Date: _____

Time: _____ **am / pm**

JobAid: Care & Shelter Branch

POSITION OVERVIEW		Responsible for opening and operating evacuation centers and mass care facilities in the City until, and if, the American Red Cross assumes responsibility; coordinating efforts with the American Red Cross and other volunteer agencies; and supporting the Personnel Unit in the care and sheltering of employees and their families
REPORT TO		OPERATIONS CHIEF/COORDINATOR
PLANS		EOC ACTION PLAN SUPPORTS DEVELOPMENT
FORMS & REPORT		FORMS <ul style="list-style-type: none"> • POSITION JOBAID • EOC-205A COMMUNICATION LIST • EOC-211 CHECK-IN LIST • EOC-214 ACTIVITY LOG • EOC-225 FOR PD CREDENTIALING REPORT <ul style="list-style-type: none"> • MASS CARE STATUS
TECHNOLOGY		<ul style="list-style-type: none"> • LAPTOP • PHONE (DESK OR CELL)
RESOURCES		<ul style="list-style-type: none"> • WORKSTATION • POSITION BINDER (CAN BE VIRTUAL) • VEST
PROFESSIONAL CREDENTIAL		To receive professional credit for Emergency Management EOC/Career Credentialing, complete and turn in:  (EOC-225) to CALOES credentialcoord@caloes.ca.gov

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
DUTIES			
		Coordinate directly with the American Red Cross and other volunteer agencies to provide food, potable water, clothing, shelter and other basic needs as required to disaster victims.	
		Assist the American Red Cross with inquiries and registration services to reunite families or respond to inquiries from relatives or friends.	
		Assist the American Red Cross with the transition from mass care to separate family/individual housing.	
		Supervise the Care & Shelter Unit.	
ACTIVATION			
		Check in at the EOC.  (FORM EOC-211, FORM EOC-205A)	
		Assist with EOC Set-up (If not already fully set-up).	
		Check workstation to ensure readiness.	
		Wear identification vest and read over job aid.	
		Receive situation, section and position briefing from available and appropriate personnel.	
		Ensure readiness to maintain concise records of position activities.  (FORM EOC-214)	
RESPONSE			
		Establish and maintain a position log and other necessary files.	
		<ul style="list-style-type: none"> • Coordinate with the Liaison Officer to request an Agency Representative from the American Red Cross. • Work with the Agency Representative to coordinate all shelter and congregate care activity. 	
		Establish communications with other volunteer agencies to provide clothing and other basic life sustaining needs.	
		Ensure that each activated shelter meets the requirements as described under the Americans With Disabilities Act.	

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
		Assist the American Red Cross in staffing and managing the shelters to the extent possible.	
		In coordination with the American Red Cross, activate an inquiry registry service to reunite families and respond to inquiries from relatives or friends.	
		Assist the American Red Cross with the transition from operating shelters for displaced persons to separate family/individual housing.	
		Complete and maintain the Care and Shelter Status Report Form.  (REPORT MASS CARE STATUS)	
		Refer all contacts with the media to the Public Information Officer.	
SHIFT CHANGE/TRANSFER OF DUTIES			
		Provide turnover briefing to position replacement.	
		Provide details regarding ongoing activities and planned activities to be accomplished during the upcoming operational period.  (FORM USE CURRENT POSITION JOBAID)  (FORM USE CURRENT EOC-214)	
		Provide all completed documentation to the Documentation Unit.	
		Follow EOC check out procedures, including signing out, workstation clean-up and forwarding phone number where you can be reached.  (FORM EOC-211, FORM EOC-205A)	
DEMOBILIZATION			
		Deactivate position when authorized by EOC Director and follow Demobilization Unit Leader directions/plan.	
		<ul style="list-style-type: none"> • Complete all required forms, reports, and other documentation. • Provide all completed documentation to the Documentation Unit, prior to your departure. • Turn over financial information to Finance/Administration Section Coordinator. 	
		Clean up your work area before you leave.	
		Provide a forwarding phone number where you can be reached.	

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
		Be prepared to provide input to the after-action report.	

SHIFT/STAFF CHANGE

TASKS (PENDING)

NOTES

Name:

Forwarding








Phone #: _____




Date:






Time: _____ **am / pm**




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JobAid: Construction & Engineering Branch

POSITION OVERVIEW		Supports emergency response operations under the Operations Section and provides guidance for initial size-up, rapid needs, and preliminary disaster safety reports on the areas affected, damaged, and destroyed during an emergency event		
REPORT TO	OPERATIONS CHIEF/COORDINATOR			
REPORT TO ME	<ul style="list-style-type: none"> • Damage/Safety Assessment Unit • Debris Management Unit • Public Works Unit • Utilities Unit 			
PLANS		EOC ACTION PLAN SUPPORTS DEVELOPMENT		
FORMS & REPORTS		<table border="0"> <tr> <td data-bbox="524 785 941 1142"> FORMS <ul style="list-style-type: none"> • POSITION JOBAID • EOC-205A • COMMUNICATION LIST • EOC-211 CHECK-IN LIST • EOC-214 ACTIVITY LOG • EOC-225 FOR PD CREDENTIALING • WINDSHIELD SURVEY • INITIAL DAMAGE ESTIMATE </td> <td data-bbox="980 785 1328 926"> REPORTS <ul style="list-style-type: none"> • PUBLIC WORKS & ENGINEERING STATUS • ENERGY STATUS </td> </tr> </table>	FORMS <ul style="list-style-type: none"> • POSITION JOBAID • EOC-205A • COMMUNICATION LIST • EOC-211 CHECK-IN LIST • EOC-214 ACTIVITY LOG • EOC-225 FOR PD CREDENTIALING • WINDSHIELD SURVEY • INITIAL DAMAGE ESTIMATE 	REPORTS <ul style="list-style-type: none"> • PUBLIC WORKS & ENGINEERING STATUS • ENERGY STATUS
FORMS <ul style="list-style-type: none"> • POSITION JOBAID • EOC-205A • COMMUNICATION LIST • EOC-211 CHECK-IN LIST • EOC-214 ACTIVITY LOG • EOC-225 FOR PD CREDENTIALING • WINDSHIELD SURVEY • INITIAL DAMAGE ESTIMATE 	REPORTS <ul style="list-style-type: none"> • PUBLIC WORKS & ENGINEERING STATUS • ENERGY STATUS 			
TECHNOLOGY		<ul style="list-style-type: none"> • LAPTOP • PHONE (DESK OR CELL) 		
RESOURCES		<ul style="list-style-type: none"> • WORKSTATION • POSITION BINDER (CAN BE VIRTUAL) • VEST 		
PROFESSIONAL CREDENTIAL		To receive professional credit for Emergency Management EOC/Career Credentialing, complete and turn in:  (EOC-225) to CALOES credentialcoord@caloes.ca.gov		

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
DUTIES			
		Survey all utility systems, and restore systems that have been disrupted, including coordinating with utility service providers in the restoration of disrupted services.	
		Survey all public and private facilities, assessing the damage to such facilities, and coordinating the repair of damage to public facilities.	
		Survey all other infrastructure systems, such as streets and roads within the jurisdictional area.	
		Assist other sections, branches, and units as needed.	
		Supervise the Construction/Engineering Branch.	
ACTIVATION			
		Check in at the EOC.  (FORM EOC-211, FORM EOC-205A)	
		Assist with EOC Set-up (If not already fully set-up).	
		Check workstation to ensure readiness.	
		Wear identification vest and read over jobaid.	
		Receive situation, section and position briefing from available and appropriate personnel.	
		Ensure readiness to maintain concise records of position activities.  (FORM EOC-214)	
		Based on the situation, activate the necessary Units within the Construction & Engineering Branch: <ul style="list-style-type: none"> • Utilities Unit • Public Works Unit • Damage/Safety Assessment Unit 	
		Contact and assist the Operational Area Public Works Mutual Aid Coordinator with the coordination of mutual aid resources as necessary.	
		Provide an initial situation report to the Operations Section Coordinator.  (REPORT PUBLIC WORKS & ENGINEERING STATUS)	

TYPE	TIME	STATUS C=Complete I=In-Progress P=Pending
	<ul style="list-style-type: none"> Based on the initial EOC strategic objectives, prepare objectives for the Construction/ Engineering Branch. Provide them to the Operations Section Coordinator prior to the first Action Planning meeting. 	
RESPONSE		
	Ensure that Branch and Unit position logs and other necessary files are maintained.	
	Maintain current status on all construction/engineering activities being conducted.	
	Ensure that damage and safety assessments are being carried out for both public and private facilities.  (FORM WINDSHIELD SURVEY)	
	Request mutual aid as required through the Operational Area Public Works Mutual Aid Coordinator.	
	Determine and document the status of transportation routes into and within affected areas.	
	Coordinate debris removal services as required.	
	Provide the Operations Section Coordinator and the Planning/Intelligence Section with an overall summary of Construction/Engineering Branch activities periodically during the operational period or as requested.  (REPORT PUBLIC WORKS & ENGINEERING STATUS)	
	Ensure that all Utilities and Construction/Engineering Status Reports, as well as the Initial Damage Estimation are completed and maintained.  (REPORT PUBLIC WORKS & ENGINEERING STATUS)  (REPORT ENERGY STATUS)  (FORM INITIAL DAMAGE ESTIMATE)	
	Refer all contacts with the media to the Public Information Branch.	
	Ensure that all fiscal and administrative requirements are coordinated through the Finance/ Administration Section (notification of any emergency expenditures and daily time sheets).	
	<ul style="list-style-type: none"> Prepare objectives for the Construction/Engineering Branch for the subsequent operations period. Provide them to the Operations Section Coordinator prior to the end of the shift and the next Action Planning meeting. 	

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
		Provide your relief with a briefing at shift change, informing him/her of all ongoing activities, branch objectives for the next operational period, and any other pertinent information.	
SHIFT CHANGE/TRANSFER OF DUTIES			
		Provide turnover briefing to position replacement.	
		Provide details regarding ongoing activities and planned activities to be accomplished during the upcoming operational period.  (FORM USE CURRENT POSITION JOBAID)  (FORM USE CURRENT EOC-214)	
		Provide all completed documentation to the Documentation Unit.	
		Follow EOC check out procedures, including signing out, workstation clean-up and forwarding phone number where you can be reached.  (FORM EOC-211, FORM EOC-205A)	
DEMOBILIZATION			
		Deactivate position when authorized by EOC Director and follow Demobilization Unit Leader directions/plan.	
		<ul style="list-style-type: none"> • Complete all required forms, reports, and other documentation. • Provide all completed documentation to the Documentation Unit, prior to your departure. • Turn over financial information to Finance/Administration Section Coordinator. 	
		Clean up your work area before you leave.	
		Provide a forwarding phone number where you can be reached.	
		Be prepared to provide input to the after-action report.	

SHIFT/STAFF CHANGE

TASKS (PENDING)

NOTES

Name:

Forwarding








Phone #: _____



Date:






Time: _____ **am / pm**

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JobAid: Damage & Safety Assessment Unit

POSITION OVERVIEW		Provides communication with the field level and/or coordinates the Initial Damage Estimate (IDEs); coordinates with public and private sector representatives to identify damages
REPORT TO	OPERATIONS CHIEF/COORDINATOR	
PLANS		EOC ACTION PLAN SUPPORT DEVELOPMENT
FORMS		<ul style="list-style-type: none"> • POSITION JOBAID • EOC-205A COMMUNICATION LIST • EOC-211 CHECK-IN LIST • EOC-214 ACTIVITY LOG • EOC-225 FOR PD CREDENTIALING • INITIAL DAMAGE ESTIMATE • WINDSHIELD SURVEY
TECHNOLOGY		<ul style="list-style-type: none"> • LAPTOP • PHONE (DESK OR CELL)
RESOURCES		<ul style="list-style-type: none"> • WORKSTATION • POSITION BINDER (CAN BE VIRTUAL) • VEST
PROFESSIONAL CREDENTIAL		<p>To receive professional credit for Emergency Management EOC/Career Credentialing, complete and turn in:</p> <p> (EOC-225) to CALOES credentialcoord@caloes.ca.gov</p>

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
DUTIES			
		Collect initial damage/safety assessment information from other branches/units within the Operations Section.	
		If the emergency is storm, flood, or earthquake related, ensure that inspection teams have been dispatched to assess the condition of the dam.	
		Provide detailed damage/safety assessment information to the Planning/Intelligence Section, with associated loss damage estimates.	
		Maintain detailed records on damaged areas and structures.	
		Initiate requests for Engineers, to inspect structures and/or facilities.	
		Supervise the Damage/Safety Assessment Unit.	
ACTIVATION			
		Check in at the EOC.  (FORM EOC-211, FORM EOC-205A)	
		Assist with EOC Set-up (If not already fully set-up).	
		Check workstation to ensure readiness.	
		Wear identification vest and read over job aid.	
		Receive situation, section and position briefing from available and appropriate personnel.	
		Ensure readiness to maintain concise records of position activities.  (FORM EOC-214)	
RESPONSE			
		Establish and maintain a position log and other necessary files.	
		Obtain initial damage/safety assessment information from Fire & Rescue Branch, Law Enforcement Branch, Utilities Unit and other branches/units as necessary.	
		Coordinate with the American Red Cross, utility service providers, and other sources for additional damage/safety assessment information.	

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
		Prepare detailed damage/safety assessment information, including estimate of value of the losses, and provide to the Planning/Intelligence Section.  (FORM INITIAL DAMAGE ESTIMATE)  (FORM WIND SHIELD SURVEY)	
		Clearly label each structure and/or facility inspected in accordance with ATC-20 standards and guidelines.	
		Maintain a list of structures and facilities requiring immediate inspection or engineering assessment.	
		Initiate all requests for engineers and building inspectors through the Operational Area EOC.	
		Keep the Construction/Engineering Branch Coordinator informed of the inspection and engineering assessment status.	
		Refer all contacts with the media to the Public Information Officer.	
SHIFT CHANGE/TRANSFER OF DUTIES			
		Provide turnover briefing to position replacement.	
		Provide details regarding ongoing activities and planned activities to be accomplished during the upcoming operational period.  (FORM USE CURRENT POSITION JOBAID)  (FORM USE CURRENT EOC-214)	
		Provide all completed documentation to the Documentation Unit.	
		Follow EOC check out procedures, including signing out, workstation clean-up and forwarding phone number where you can be reached.  (FORM EOC-211, FORM EOC-205A)	
DEMOBILIZATION			
		Deactivate position when authorized by EOC Director and follow Demobilization Unit Leader directions/plan.	
		<ul style="list-style-type: none"> • Complete all required forms, reports, and other documentation. • Provide all completed documentation to the Documentation Unit, prior to your departure. • Turn over financial information to Finance/Administration Section Coordinator. 	

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
		Clean up your work area before you leave.	
		Provide a forwarding phone number where you can be reached.	
		Be prepared to provide input to the after-action report.	

SHIFT/STAFF CHANGE

TASKS (PENDING)

NOTES

Name:

Date:








Forwarding



Phone #: _____




Time: _____ **am / pm**

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JobAid: Debris Management Unit

POSITION OVERVIEW		Responsible for debris management and removal.
REPORT TO		OPERATIONS CHIEF/COORDINATOR
PLANS		EOC ACTION PLAN SUPPORTS DEVELOPMENT
FORMS		<ul style="list-style-type: none"> • POSITION JOBAID • EOC-205A COMMUNICATION LIST • EOC-211 CHECK-IN LIST • EOC-214 ACTIVITY LOG • EOC-225 FOR PD CREDENTIALING
TECHNOLOGY		<ul style="list-style-type: none"> • LAPTOP • PHONE (DESK OR CELL)
RESOURCES		<ul style="list-style-type: none"> • WORKSTATION • POSITION BINDER (CAN BE VIRTUAL) • VEST
PROFESSIONAL CREDENTIAL		<p>To receive professional credit for Emergency Management EOC/Career Credentialing, complete and turn in:</p> <p> (EOC-225) to CALOES credentialcoord@caloes.ca.gov</p>

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
DUTIES			
		Develops and coordinates a response plan for debris management and removal.	
		Identifies and coordinates debris management and removal criteria to facilitate the FEMA eligibility.	
		Coordinates procurement and contracts with Logistics and Finance and Administration.	
ACTIVATION			
		Check in at the EOC.  (FORM EOC-211, FORM EOC-205A)	
		Assist with EOC Set-up (If not already fully set-up).	
		Check workstation to ensure readiness.	
		Wear identification vest and read over job aid.	
		Receive situation, section and position briefing from available and appropriate personnel.	
		Ensure readiness to maintain concise records of position activities.  (FORM EOC-214)	
RESPONSE			
		Establish and maintain a position log and other necessary files.	
		Implementing jurisdiction-specific Debris Management Plan.	
		Keep the section informed on the status of debris management.	
		Refer all contacts with the media to the Public Information Officer.	
SHIFT CHANGE/TRANSFER OF DUTIES			
		Provide turnover briefing to position replacement.	

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
		Provide details regarding ongoing activities and planned activities to be accomplished during the upcoming operational period.  (FORM USE CURRENT POSITION JOBAID)  (FORM USE CURRENT EOC-214)	
		Provide all completed documentation to the Documentation Unit.	
		Follow EOC check out procedures, including signing out, workstation clean-up and forwarding phone number where you can be reached.  (FORM EOC-211, FORM EOC-205A)	
DEMOBILIZATION			
		Deactivate position when authorized by EOC Director and follow Demobilization Unit Leader directions/plan.	
		<ul style="list-style-type: none"> • Complete all required forms, reports, and other documentation. • Provide all completed documentation to the Documentation Unit, prior to your departure. • Turn over financial information to Finance/Administration Section Coordinator. 	
		Clean up your work area before you leave.	
		Provide a forwarding phone number where you can be reached.	
		Be prepared to provide input to the after-action report.	

SHIFT/STAFF CHANGE

TASKS (PENDING)

NOTES

Name:








Date:



Forwarding





Phone #: _____

Time: _____ **am / pm**

JobAid: Public Works Unit

POSITION OVERVIEW		Evaluates and assesses the safety and condition of roadways, bridges, and other public works infrastructure.
REPORT TO	OPERATIONS CHIEF/COORDINATOR	
PLANS		EOC ACTION PLAN SUPPORT DEVELOPMENT
FORMS & REPORTS		<p>FORMS</p> <ul style="list-style-type: none"> • POSITION JOBAID • EOC-205A COMMUNICATION LIST • EOC-211 CHECK-IN LIST • EOC-214 ACTIVITY LOG • EOC-225 FOR PD CREDENTIALING <p>REPORT</p> <ul style="list-style-type: none"> • PUBLIC WORKS STATUS
TECHNOLOGY		<ul style="list-style-type: none"> • LAPTOP • PHONE (DESK OR CELL)
RESOURCES		<ul style="list-style-type: none"> • WORKSTATION • POSITION BINDER (CAN BE VIRTUAL) • VEST
PROFESSIONAL CREDENTIAL		To receive professional credit for Emergency Management EOC/Career Credentialing, complete and turn in:  (EOC-225) to CALOES credentialcoord@caloes.ca.gov

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
DUTIES			
		Assist other Operation Section Branches by providing construction equipment and operators as necessary.	
		Provide heavy equipment assistance to the Damage/Safety Assessment Unit as required.	
		Provide emergency construction and repair to damaged roadways. Assist with the repair of utility systems as required.	
		Providing flood-fighting assistance, such as sandbagging, rerouting waterways away from populated areas, and river, creek, or streambed debris clearance.	
		Supervise the Public Works Unit.	
ACTIVATION			
		Check in at the EOC  (FORM EOC-211, FORM EOC-205A)	
		Assist with EOC Set-up (If not already fully set-up)	
		Check workstation to ensure readiness	
		Wear identification vest and read over job aid.	
		Receive situation, section and position briefing from available and appropriate personnel.	
		Ensure readiness to maintain concise records of position activities  (FORM EOC-214)	
RESPONSE			
		Establish and maintain a position log and other necessary files.	
		Ensure that appropriate staff are available to assist other emergency responders with the operation of heavy equipment, in coordination with the Logistics Section.	
		Ensure that engineering staff are available to assist the Damage/Safety Assessment Unit in inspecting damaged structures and facilities.	

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
		As requested, direct staff to provide flood fighting assistance, clear debris from roadways and water ways, assist with utility restoration, and build temporary emergency structures as required.	
		Work closely with the Logistics Section to provide support and materiel as required.	
		Keep the Construction/Engineering Branch Coordinator informed of unit status.  (REPORT PUBLIC WORKS STATUS)	
		Refer all contacts with the media to the Public Information Officer.	
SHIFT CHANGE/TRANSFER OF DUTIES			
		Provide turnover briefing to position replacement.	
		Provide details regarding ongoing activities and planned activities to be accomplished during the upcoming operational period.  (FORM USE CURRENT POSITION JOBAID)  (FORM USE CURRENT EOC-214)	
		Provide all completed documentation to the Documentation Unit	
		Follow EOC check out procedures, including signing out, workstation clean-up and forwarding phone number where you can be reached.  (FORM EOC-211, FORM EOC-205A)	
DEMOBILIZATION			
		Deactivate position when authorized by EOC Director and follow Demobilization Unit Leader directions/plan.	
		<ul style="list-style-type: none"> • Complete all required forms, reports, and other documentation. • Provide all completed documentation to the Documentation Unit, prior to your departure. • Turn over financial information to Finance/Administration Section Coordinator. 	
		Clean up your work area before you leave.	
		Provide a forwarding phone number where you can be reached.	
		Be prepared to provide input to the after-action report.	

SHIFT/STAFF CHANGE

TASKS (PENDING)

NOTES

Name:








Forwarding



Phone #: _____





Date:

Time: _____ **am / pm**

JobAid: Utilities Unit

POSITION OVERVIEW		Coordinates with public and private utilities, including electric, gas, water, waste, and telephone to receive an assessment of the systems, and coordinates with utility companies to develop a restoration plan
REPORT TO		OPERATIONS CHIEF/COORDINATOR
PLANS		EOC ACTION PLAN SUPPORTS DEVELOPMENT
FORMS & REPORT		<p>FORMS</p> <ul style="list-style-type: none"> • POSITION JOBAID • EOC-205A COMMUNICATION LIST • EOC-211 CHECK-IN LIST • EOC-214 ACTIVITY LOG • EOC-225 FOR PD CREDENTIALING <p>REPORT</p> <ul style="list-style-type: none"> • UTILITY STATUS
TECHNOLOGY		<ul style="list-style-type: none"> • LAPTOP • PHONE (DESK OR CELL)
RESOURCES		<ul style="list-style-type: none"> • WORKSTATION • POSITION BINDER (CAN BE VIRTUAL) • VEST
PROFESSIONAL CREDENTIAL		<p>To receive professional credit for Emergency Management EOC/Career Credentialing, complete and turn in:</p> <p> (EOC-225) to CALOES credentialcoord@caloes.ca.gov</p>

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
DUTIES			
		Assess the status of utilities, provide Utility Status Reports as required.	
		Coordinate restoration of damaged utilities with utility representatives in the EOC if present, or directly with Utility companies.	
		Supervise the Utilities Unit.	
ACTIVATION			
		Check in at the EOC.  (FORM EOC-211, FORM EOC-205A)	
		Assist with EOC Set-up (If not already fully set-up).	
		Check workstation to ensure readiness.	
		Wear identification vest and read over jobaid.	
		Receive situation, section and position briefing from available and appropriate personnel.	
		Ensure readiness to maintain concise records of position activities.  (FORM EOC-214)	
RESPONSE			
		Establish and maintain a position log and other necessary files.	
		Establish and maintain communications with the utility providers.	
		Determine the extent of damage to utility systems.	
		Coordinate with the Liaison Officer to ensure that agency representatives from affected utilities are available to respond to the EOC.	
		Ensure that all information on system outages is consolidated and provided to the Situation Analysis Unit in the Planning/Intelligence Section.	
		Ensure that support to utility providers is available as necessary to facilitate restoration of damaged systems.	

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
		Keep the Health & Welfare Branch Coordinator informed of any damage to sewer and sanitation systems, as well as possible water contamination problems.	
		Keep the Construction/Engineering Branch Coordinator informed of the restoration status.	
		Complete and maintain the Utilities Status Report.  (REPORT UTILITY STATUS)	
		Refer all contacts with the media to the Public Information Officer.	
SHIFT CHANGE/TRANSFER OF DUTIES			
		Provide turnover briefing to position replacement.	
		Provide details regarding ongoing activities and planned activities to be accomplished during the upcoming operational period.  (FORM USE CURRENT POSITION JOBAID)  (FORM USE CURRENT EOC-214)	
		Provide all completed documentation to the Documentation Unit.	
		Follow EOC check out procedures, including signing out, workstation clean-up and forwarding phone number where you can be reached.  (FORM EOC-211, FORM EOC-205A)	
DEMOBILIZATION			
		Deactivate position when authorized by EOC Director and follow Demobilization Unit Leader directions/plan.	
		<ul style="list-style-type: none"> • Complete all required forms, reports, and other documentation. • Provide all completed documentation to the Documentation Unit, prior to your departure. • Turn over financial information to Finance/Administration Section Coordinator. 	
		Clean up your work area before you leave.	
		Provide a forwarding phone number where you can be reached.	
		Be prepared to provide input to the after-action report.	

SHIFT/STAFF CHANGE

TASKS (PENDING)

NOTES

Name:

Forwarding

Phone #: _____

Date:

Time: _____ **am / pm**

3.3 Planning & Intelligence Section



Figure 7: EOC Planning & Intelligence Section

This section contains functional section and position descriptions, responsibilities, and jobaids for personnel assigned to the Planning & Intelligence Section of the City EOC. Jobaids describe the minimum actions that should be accomplished by personnel assigned to functional positions within the section.

Section Overview:








- The Planning & Intelligence Section is primarily responsible for compiling, assembling, and reporting all safety/damage assessment information



Section Responsibilities Include:


- Collect, evaluate, analyze, display, and disseminate incident information and status of all assigned and available resources
- Functions as the primary support for decision-making to the overall emergency organization
- Provides anticipatory appraisals and develops plans necessary to cope with changing events





Figure 7: EOC Planning & Intelligence Section, above, shows all the positions that are part of the EOC Planning & Intelligence Section.





JobAid: Planning & Intelligence Chief/Coordinator

POSITION OVERVIEW		Responsible for managing the collection, documentation, evaluation, forecasting, dissemination and use of information about the development of the incident and status of resources
REPORT TO	TO	MANAGEMENT EOC DIRECTOR
	TO ME	STAFF <ul style="list-style-type: none"> • Situation Analysis Unit <i>Technical Specialist</i> • Documentation Unit <i>AFN Specialist</i> • Advanced Planning Unit <i>GIS Specialist</i> • Resource Status/Tracking Unit <i>Social Media Specialist</i> • Demobilization Unit
PLANS & REPORTS		EOC ACTION PLAN OVERSEE DEVELOPMENT ADVANCE PLANS OVERSEE DEVELOPMENT OPERATION SECTION REPORTS OVERSEES COMPLITATION & DISTRIBUTION LOCAL GOVERNMENT AFTER ACTION REPORT SUPPORTS DEVELOPMENT
FORMS		<ul style="list-style-type: none"> • POSITION JOBAID • EOC-201 INCIDENT BRIEFING • EOC-202 INCIDENT OBJECTIVES • EOC-205A COMMUNICATION LIST • EOC-207 ORGANIZATION CHART • EOC-209 INCIDENT STATUS SUMMARY • EOC-211 CHECK-IN LIST • EOC-214 ACTIVITY LOG • EOC-215 RESOURCE PLANNING WORKSHEET • EOC-215A SAFETY ANALYSIS • EOC-225 FOR PD CREDENTIALING • EOC-230 DAILY MEETING SCHEDULE
TECHNOLOGY		<ul style="list-style-type: none"> • LAPTOP • PHONE (DESK OR CELL)
RESOURCES		<ul style="list-style-type: none"> • WORKSTATION • POSITION BINDER (CAN BE VIRTUAL) • VEST
PROFESSIONAL CREDENTIAL		To receive professional credit for Emergency Management EOC/Career Credentialing, complete and turn in:  (EOC-225) to CALOES credentialcoord@caloes.ca.gov

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
DUTIES			
		Establish the appropriate level of staffing and organization for the Section.	
		Exercise overall responsibility for the coordination of unit activities within the section.	
		Supervise the Planning/Intelligence Section.	
		Ensure that the following responsibilities of the Section are addressed as required: <ul style="list-style-type: none"> • Collect, analyze, and display situation information • Prepare periodic Situation Report • Preparing and distributing the EOC Action Plan and facilitating the Action Planning meeting • Conducting Advance Planning activities and report • Providing technical support services to the various EOC sections and branches, and documenting and maintaining files on all EOC activities 	
		In coordination with the other Section Coordinators, ensure that Status Reports are completed and utilized as a basis for Situation Analysis Reports, and the EOC Action Plan.	
		Keep the EOC Director informed of significant issues affecting the P&I Section	
ACTIVATION			
		Check in at the EOC  (FORM EOC-211, FORM EOC-205A)	
		Assist with EOC Set-up (If not already fully set-up)	
		Check workstation to ensure readiness	
		Wear identification vest and read over job aid.	
		Receive situation, section and position briefing from available and appropriate personnel.	
		Ensure readiness to maintain concise records of position activities  (FORM EOC-214)	

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
		Ensure that the Planning/Intelligence Section is set up properly and that appropriate personnel, equipment, and supplies are in place, including maps and status boards.	
		<p>Based on the situation, activate positions/unit within the section as needed:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Situation Analysis Unit <input type="checkbox"/> Documentation Unit <input type="checkbox"/> Advanced Planning Unit <input type="checkbox"/> Action Planning Unit <input type="checkbox"/> Resource Status/Tracking Unit <input type="checkbox"/> Demobilization Unit <input type="checkbox"/> <i>Technical Specialists</i> <input type="checkbox"/> <i>AFN Specialist</i> <input type="checkbox"/> <i>GIS Specialist</i> <input type="checkbox"/> <i>Social Media Specialist</i> 	
		Request additional personnel for the section as necessary to maintain a 24-hour operation.	
		<ul style="list-style-type: none"> • Establish contact with the Operational Area EOC when activated. • Coordinate Situation Analysis Reports with their Planning/Intelligence Section. <ul style="list-style-type: none"> ○ (FORM EOC-209 OR REPORT SITUATION STATUS) 	
		<p>Meet with Operations Section Coordinator; obtain and review any major incident reports.</p> <p> (REPORT OPS _____ STATUS REPORT)</p>	
		Review responsibilities of units in the section; develop plans for carrying out all responsibilities.	
		<ul style="list-style-type: none"> • Make a list of key issues to be addressed by Planning/Intelligence, in consultation with section staff. • Identify objectives to be accomplished during the initial Operational Period. <ul style="list-style-type: none"> ○ (FORM EOC-202) 	
		Keep the EOC Director informed of significant events.	
		Adopt a proactive attitude, thinking ahead and anticipating situations and problems before they occur.	

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
RESPONSE			
		Ensure that Planning/Intelligence Section position logs and other necessary files are maintained.	
		Ensure that The Situation Analysis Unit is maintaining current information for the situation analysis report.	
		Ensure that major incidents reports, and status reports are completed by the Operations Section and are accessible by Planning/Intelligence.	
		Ensure that a situation analysis report is produced and distributed to EOC Sections and the Operational Area EOC at least once, prior to the end of the operational period.  (FORM EOC-209 OR REPORT SITUATION STATUS)	
		Ensure that all status boards and other displays are kept current and that posted information is neat and legible.	
		Ensure that the Public Information Branch has immediate and unlimited access to all status reports and displays.	
		Conduct periodic briefings with section staff and work to reach consensus among staff on section objectives for forthcoming operational periods.  (FORM EOC-201)	
		Facilitate the EOC Director's Action Planning meetings approximately two hours before the end of each operational period.  (FORM EOC-230)	
		Ensure that objectives for each section are completed, collected and posted in preparation for the next Action Planning meeting.	
		Ensure that the EOC Action Plan is completed and distributed prior to the start of the next operational period.  (FORMS EOC-201, EOC-202, EOC-205A, EOC-207, EOC-208, EOC-211, EOC-213, EOC-215, EOC-215A, EOC-230 OR PLAN EOC ACTION PLAN)	
		Work closely with each unit within the Planning/Intelligence Section to ensure the section objectives, as defined in the current EOC Action Plan, are being addressed.	

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
		<p>Ensure that the Advance Planning Unit develops and distributes a report which highlights forecasted events or conditions likely to occur beyond the forthcoming operational period; particularly those situations which may influence the overall strategic objectives of the EOC.</p> <p> (PLAN ADVANCE PLAN)</p>	
		<p>Ensure that the Documentation Unit maintains files on all EOC activities and provides reproduction and archiving services for the EOC, as required.</p>	
		<p>Provide technical specialists to all EOC sections as required.</p>	
		<p>Ensure that fiscal and administrative requirements are coordinated through the Finance/ Administration Section.</p>	
SHIFT CHANGE/TRANSFER OF DUTIES			
		<p>Provide turnover briefing to position replacement.</p>	
		<p>Provide details regarding ongoing activities and planned activities to be accomplished during the upcoming operational period.</p> <p> (FORM USE CURRENT POSITION JOBAID)  (FORM USE CURRENT EOC-214)</p>	
		<p>Provide all completed documentation to the Documentation Unit</p>	
		<p>Follow EOC check out procedures, including signing out, workstation clean-up and forwarding phone number where you can be reached.</p> <p> (FORM EOC-211, FORM EOC-205A)</p>	
DEMOBILIZATION			
		<p>Deactivate position when authorized by EOC Director and follow Demobilization Unit Leader directions/plan.</p>	
		<ul style="list-style-type: none"> • Complete all required forms, reports, and other documentation. • Provide all completed documentation to the Documentation Unit, prior to your departure. • Turn over financial information to Finance/Administration Section Coordinator. 	
		<p>Clean up your work area before you leave.</p>	
		<p>Provide a forwarding phone number where you can be reached.</p>	

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
		Be prepared to provide input and/or facilitate the after-action report.  (REPORT LOCAL GOVERNMENT AFTER ACTION REPORT)	

SHIFT/STAFF CHANGE

TASKS (PENDING)

NOTES

Name:

Forwarding








Phone #: _____



Date:




Time: _____ **am / pm**

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JobAid: Action Planning Unit

POSITION OVERVIEW		Responsible for driving the EOC Action Planning process and supporting the development of the EOC Action Plan.
REPORT TO		PLANNING & INTELLIGENCE CHIEF/COORDINATOR
PLANS		EOC ACTION PLAN DRIVE, DEVELOP, REVIEW OR PUT TOGETHER ADVANCE PLANS DEVELOP OR PUT TOGETHER
FORMS		<ul style="list-style-type: none"> • POSITION JOBAID • EOC-202 INCIDENT OBJECTIVES • EOC-205A COMMUNICATION LIST • EOC-211 CHECK-IN LIST • EOC-214 ACTIVITY LOG • EOC-225 FOR PD CREDENTIALING
TECHNOLOGY		<ul style="list-style-type: none"> • LAPTOP • PHONE (DESK OR CELL)
RESOURCES		<ul style="list-style-type: none"> • WORKSTATION • BINDER • VEST
PROFESSIONAL CREDENTIAL		To receive professional credit for Emergency Management EOC/Career Credentialing, complete and turn in:  (EOC-225) to CALOES credentialcoord@caloes.ca.gov

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
DUTIES			
		Responsible for driving the EOC Action Planning process and supporting the development of the EOC Action Plan.	
ACTIVATION			
		Check in at the EOC  (FORM EOC-211, FORM EOC-205A)	
		Assist with EOC Set-up (If not already fully set-up)	
		Check workstation to ensure readiness	
		Wear identification vest and read over job aid.	
		Receive situation, section and position briefing from available and appropriate personnel.	
		Ensure readiness to maintain concise records of position activities  (FORM EOC-214)	
RESPONSE			
		Establish and maintain a position log and other necessary files.	
		Establish an EOC Action Planning process & meeting schedule for the operational period with the Planning & Intelligence Section Chief.	
		Coordinate the calling of EOC Action Planning meetings and remind Section Chiefs to bring summaries of their issues and needs, along with updates on the existing Action Plan	
		Ensure EOC Action Plan is developed for each operational period, based on objectives developed by each section <ul style="list-style-type: none"> ○ (FORM EOC-202 or PLAN EOC ACTION PLAN) 	
		Ensure the Planning and Intelligence Section Chief has everything that will be needed to facilitate the Action Planning meetings	

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
		<ul style="list-style-type: none"> • Ensure that each section provides an update on their objectives at least 30 minutes prior to each Action Planning meeting. This includes those completed, and the status of those not completed, as well as new objectives to be added to the Action Plan • In preparation for the Action Planning meeting, ensure that all EOC objectives are posted on chart paper and the meeting room is set up with appropriate equipment and materials 	
		Prepare a draft EOC Action Plan and submit to the Planning & Intelligence Section Chief/EOC Director for approval.	
		Print and distribute the approved EOC Action Plan, coordinate with the Documentation Unit for reproduction and distribution as necessary	
SHIFT CHANGE/TRANSFER OF DUTIES			
		Provide turnover briefing to position replacement.	
		Provide details regarding ongoing activities and planned activities to be accomplished during the upcoming operational period.  (FORM USE CURRENT POSITION JOBAID)  (FORM USE CURRENT EOC-214)	
		Provide all completed documentation to the Documentation Unit	
		Follow EOC check out procedures, including signing out, workstation clean-up and forwarding phone number where you can be reached.  (FORM EOC-211, FORM EOC-205A)	
DEMOBILIZATION			
		Deactivate position when authorized by EOC Director and follow Demobilization Unit Leader directions/plan.	
		<ul style="list-style-type: none"> • Complete all required forms, reports, and other documentation. • Provide all completed documentation to the Documentation Unit, prior to your departure. • Turn over financial information to Finance/Administration Section Coordinator. 	
		Clean up your work area before you leave.	
		Provide a forwarding phone number where you can be reached.	
		Be prepared to provide input to the after-action report.	

SHIFT/STAFF CHANGE

TASKS (PENDING)

NOTES

Name:








Date:



Forwarding




Phone #: _____




Time: _____ **am / pm**

JobAid: Situation Analysis Unit

POSITION OVERVIEW		Responsible for the collection, evaluation, organization, analysis, and display of incident status and situation information; and for compiling Department Status Reports
REPORT	TO	PLANNING & INTELLIGENCE CHIEF/COORDINATOR
PLANS		EOC ACTION PLAN SUPPORT DEVELOPMENT AND DISTRIBUTION OPERATION SECTION REPORTS SUPPORTS COMPLITATION & DISTRIBUTION
FORMS & GUIDES		<p>FORM</p> <ul style="list-style-type: none"> • POSITION JOBAID • EOC-202 INCIDENT OBJECTIVES • EOC-205A COMMUNICATION LIST • EOC-209 INCIDENT STATUS SUMMARY • EOC-211 CHECK-IN LIST • EOC-214 ACTIVITY LOG • EOC-225 FOR PD CREDENTIALING <p>GUIDE</p> <ul style="list-style-type: none"> • PLANNING “P” GUIDE
TECHNOLOGY		<ul style="list-style-type: none"> • LAPTOP • PHONE (DESK OR CELL)
RESOURCES		<ul style="list-style-type: none"> • WORKSTATION • POSITION BINDER (CAN BE VIRTUAL) • VEST
PROFESSIONAL CREDENTIAL		<p>To receive professional credit for Emergency Management EOC/Career Credentialing, complete and turn in:</p> <p> (EOC-225) to CALOES credentialcoord@caloes.ca.gov</p>

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
DUTIES			
		Oversee the collection, organization, and analysis of situation information related to the emergency.	
		Ensure that information collected from all sources is validated prior to posting on status boards.	
		Ensure that situation analysis reports are developed for dissemination to EOC staff and to other EOCs as required.	
		Ensure that an EOC Action Plan is developed for each operational period.	
		Ensure that all maps, status boards and other displays contain current and accurate information.	
		Supervise Situation Analysis Unit.	
ACTIVATION			
		Check in at the EOC  (FORM EOC-211, FORM EOC-205A)	
		Assist with EOC Set-up (If not already fully set-up)	
		Check workstation to ensure readiness	
		Wear identification vest and read over job aid.	
		Receive situation, section and position briefing from available and appropriate personnel.	
		Ensure readiness to maintain concise records of position activities  (FORM EOC-214)	
		Contact local government EOCs in the operational area and establish a schedule for obtaining situation reports.	
		<ul style="list-style-type: none"> • Ensure there are adequate staff available to collect and analyze incoming information. • Maintain the Situation Analysis Report and facilitate the Action Planning process. <ul style="list-style-type: none"> ○ (FORM EOC-209 OR REPORT SITUATION STATUS) ○ (GUIDE PLANNING “P” GUIDE) 	

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
		Prepare Situation Analysis Unit objectives for the initial Action Planning meeting.  (FORM EOC-202)	
RESPONSE			
		Establish and maintain a position log and other necessary files.	
		Oversee the collection and analysis of all emergency related information.	
		<ul style="list-style-type: none"> • Oversee the preparation and distribution of the Situation Report. • Coordinate with the Documentation Unit for manual distribution and reproduction as required. <ul style="list-style-type: none"> ○ (FORM EOC-209 OR REPORT SITUATION STATUS) 	
		Ensure that each EOC Section provides the Situation Analysis Unit with Status Reports on a regular basis.  (REPORT OPS _____ STATUS REPORT)	
		Meet with the Public Information Officer to determine the best method for ensuring access to current information.	
		Prepare a situation summary for the EOC Action Planning meeting.  (FORM EOC-209 OR REPORT SITUATION STATUS)	
		Ensure each section provides their objectives at least 30 minutes prior to each Action Planning meeting	
		<ul style="list-style-type: none"> • In preparation for the Action Planning meeting, ensure that all EOC objectives are posted on chart paper. • Ensure the meeting room is set up with appropriate equipment and materials (easels, markers, situation analysis reports, etc.). 	
		Following the meeting, ensure that the Documentation Unit publishes and distributes the EOC Action Plan prior to the beginning of the next operational period. (See attachment).	
		Ensure that adequate staff are assigned to maintain all maps, status boards and other displays.	
SHIFT CHANGE/TRANSFER OF DUTIES			
		Provide turnover briefing to position replacement.	

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
		Provide details regarding ongoing activities and planned activities to be accomplished during the upcoming operational period.  (FORM USE CURRENT POSITION JOBAID)  (FORM USE CURRENT EOC-214)	
		Provide all completed documentation to the Documentation Unit	
		Follow EOC check out procedures, including signing out, workstation clean-up and forwarding phone number where you can be reached.  (FORM EOC-211, FORM EOC-205A)	
DEMOBILIZATION			
		Deactivate position when authorized by EOC Director and follow Demobilization Unit Leader directions/plan.	
		<ul style="list-style-type: none"> • Complete all required forms, reports, and other documentation. • Provide all completed documentation to the Documentation Unit, prior to your departure. • Turn over financial information to Finance/Administration Section Coordinator. 	
		Clean up your work area before you leave.	
		Provide a forwarding phone number where you can be reached.	
		Be prepared to provide input to the after-action report.	

SHIFT/STAFF CHANGE

TASKS (PENDING)

NOTES

Name:

Date:








Forwarding



Phone #: _____








Time: _____ **am / pm**

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JobAid: Documentation Unit

POSITION OVERVIEW		Responsible for maintaining complete documentation of the emergency. This includes damage assessment reports, EOC action reports, after action and corrective action reports.
REPORT	TO	PLANNING & INTELLIGENCE CHIEF/COORDINATOR
PLANS & REPORTS		EOC ACTION PLAN SUPPORT DEVELOPMENT AND DISTRIBUTION OPERATION SECTION REPORTS SUPPORTS COMPLITATION & DISTRIBUTION
FORMS & REPORT		<ul style="list-style-type: none"> • POSITION JOBAID • EOC-201 INCIDENT BRIEFING • EOC-202 INCIDENT OBJECTIVES • EOC-205A COMMUNICATION LIST • EOC-207 ORGANIZATION CHART • EOC-209 INCIDENT STATUS SUMMARY • EOC-211 CHECK-IN LIST • EOC-214 ACTIVITY LOG • EOC-215 RESOURCE PLANNING WORKSHEET • EOC-215A SAFETY ANALYSIS • EOC-225 FOR PD CREDENTIALING • EOC-230 DAILY MEETING SCHEDULE
TECHNOLOGY		<ul style="list-style-type: none"> • LAPTOP • PHONE (DESK OR CELL)
RESOURCES		<ul style="list-style-type: none"> • WORKSTATION • POSITION BINDER (CAN BE VIRTUAL) • VEST
PROFESSIONAL CREDENTIAL		<p>To receive professional credit for Emergency Management EOC/Career Credentialing, complete and turn in:</p> <p> (EOC-225) to CALOES credentialcoord@caloes.ca.gov</p>

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
DUTIES			
		Collect, organize and file all completed emergency related forms, to include: all EOC position logs, situation analysis reports, EOC Action Plans and any other related information, just prior to the end of each operational period.	
		Provide document reproduction services to EOC staff.	
		Distribute the EOC situation analysis reports, EOC Action Plan, and other documents, as required.	
		Maintain a permanent electronic archive of all situation reports and Action Plans associated with the emergency.	
		Assist the EOC Coordinator in the preparation and distribution of the After-Action Report.	
		Supervise the Documentation Unit.	
ACTIVATION			
		Check in at the EOC  (FORM EOC-211, FORM EOC-205A)	
		Assist with EOC Set-up (If not already fully set-up)	
		Check workstation to ensure readiness	
		Wear identification vest and read over job aid.	
		Receive situation, section and position briefing from available and appropriate personnel.	
		Ensure readiness to maintain concise records of position activities  (FORM EOC-214)	
RESPONSE			
		Establish and maintain a position log and other necessary files.	
		Meet with the Planning/Intelligence Section Coordinator to determine what EOC materials should be maintained as official records.	

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
		Meet with the Recovery Unit Leader to determine what EOC materials and documents are necessary to provide accurate records and documentation for recovery purposes.	
		Initiate and maintain a roster of all activated EOC positions to ensure that position logs are accounted for and submitted to this position at the end of each shift.  (FORM EOC-207, FORM EOC-205A)	
		Reproduce and distribute the Situation Reports and Action Plans. Ensure distribution is made to the Operational Area EOC.  (FORM EOC-209 OR REPORT SITUATION STATUS)  (REPORT OPS _____ STATUS REPORT)  (FORMS EOC-201, EOC-202, EOC-205A, EOC-207, EOC-208, EOC-211, EOC-213. EOC-215, EOC-215A, EOC-230 OR PLAN EOC ACTION PLAN)	
		Keep extra copies of reports and plans available for special distribution as required.	
		Set up and maintain document reproduction services for the EOC.	
SHIFT CHANGE/TRANSFER OF DUTIES			
		Provide turnover briefing to position replacement.	
		Provide details regarding ongoing activities and planned activities to be accomplished during the upcoming operational period.  (FORM USE CURRENT POSITION JOBAID)  (FORM USE CURRENT EOC-214)	
		Provide all completed documentation to the Documentation Unit	
		Follow EOC check out procedures, including signing out, workstation clean-up and forwarding phone number where you can be reached.  (FORM EOC-211, FORM EOC-205A)	
DEMOBILIZATION			
		Deactivate position when authorized by EOC Director and follow Demobilization Unit Leader directions/plan.	

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
		<ul style="list-style-type: none"> • Complete all required forms, reports, and other documentation. • Provide all completed documentation to the Documentation Unit, prior to your departure. • Turn over financial information to Finance/Administration Section Coordinator. 	
		Clean up your work area before you leave.	
		Provide a forwarding phone number where you can be reached.	
		Be prepared to provide input to the after-action report.	

SHIFT/STAFF CHANGE

TASKS (PENDING)

NOTES

Name:

Date:








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JobAid: Advance Planning Unit

POSITION OVERVIEW		Responsible for developing reports and recommendations for future time periods and for preparing reports, development of the EOC Action Plan, and briefings for use in strategy and/or planning meetings
REPORT	TO	PLANNING & INTELLIGENCE CHIEF/COORDINATOR
PLANS		EOC ACTION PLAN DEVELOP, REVIEW OR PUT TOGETHER ADVANCE PLANS DEVELOP OR PUT TOGETHER
FORMS		<ul style="list-style-type: none"> • POSITION JOBAID • EOC-202 INCIDENT OBJECTIVES • EOC-205A COMMUNICATION LIST • EOC-211 CHECK-IN LIST • EOC-214 ACTIVITY LOG • EOC-225 FOR PD CREDENTIALING
TECHNOLOGY		<ul style="list-style-type: none"> • LAPTOP • PHONE (DESK OR CELL)
RESOURCES		<ul style="list-style-type: none"> • WORKSTATION • BINDER • VEST
PROFESSIONAL CREDENTIAL		To receive professional credit for Emergency Management EOC/Career Credentialing, complete and turn in:  (EOC-225) to CALOES credentialcoord@caloes.ca.gov

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
DUTIES			
		Development of an Advance Plan consisting of potential response and recovery related issues likely to occur beyond the next operational period, generally within 36 to 72 hours.	
		<ul style="list-style-type: none"> Review all available status reports, Action Plans, and other significant documents. Determine potential future impacts of the emergency; particularly issues which might modify the overall strategic EOC objectives. 	
		Provide periodic briefings for the EOC Director and General Staff addressing Advance Planning issues.	
		Supervise the Advance Planning Unit.	
ACTIVATION			
		Check in at the EOC  (FORM EOC-211, FORM EOC-205A)	
		Assist with EOC Set-up (If not already fully set-up)	
		Check workstation to ensure readiness	
		Wear identification vest and read over job aid.	
		Receive situation, section and position briefing from available and appropriate personnel.	
		Ensure readiness to maintain concise records of position activities  (FORM EOC-214)	
RESPONSE			
		Establish and maintain a position log and other necessary files.	
		Monitor the current situation report to include recent updates.	
		Meet individually with the general staff and determine best estimates of the future direction & outcomes of the emergency.	

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
		Develop an Advance Plan identifying future policy related issues, social and economic impacts, significant response or recovery resource needs, and any other key issues likely to affect EOC operations within a 36-to-72-hour time frame.  (PLAN ADVANCE PLAN)	
		Submit the Advance Plan to the Planning/Intelligence Coordinator for review and approval prior to conducting briefings for the General Staff and EOC Director.	
		<ul style="list-style-type: none"> • Review Action Planning objectives submitted by each section for the next operational period. • In conjunction with the general staff, recommend a transition strategy to the EOC Director when EOC activity shifts predominately to recovery operations. <ul style="list-style-type: none"> ○ (FORM EOC-202 or PLAN EOC ACTION PLAN)  (PLAN ADVANCE PLAN) 	
SHIFT CHANGE/TRANSFER OF DUTIES			
		Provide turnover briefing to position replacement.	
		Provide details regarding ongoing activities and planned activities to be accomplished during the upcoming operational period.  (FORM USE CURRENT POSITION JOBAID)  (FORM USE CURRENT EOC-214)	
		Provide all completed documentation to the Documentation Unit	
		Follow EOC check out procedures, including signing out, workstation clean-up and forwarding phone number where you can be reached.  (FORM EOC-211, FORM EOC-205A)	
DEMOBILIZATION			
		Deactivate position when authorized by EOC Director and follow Demobilization Unit Leader directions/plan.	
		<ul style="list-style-type: none"> • Complete all required forms, reports, and other documentation. • Provide all completed documentation to the Documentation Unit, prior to your departure. • Turn over financial information to Finance/Administration Section Coordinator. 	
		Clean up your work area before you leave.	

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
		Provide a forwarding phone number where you can be reached.	
		Be prepared to provide input to the after-action report.	

SHIFT/STAFF CHANGE

TASKS (PENDING)

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Name:

Forwarding








Phone #: _____








Date:






Time: _____ **am / pm**

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JobAid: Resource Status/Tracking Unit

POSITION OVERVIEW		Responsible for tracking and documenting all resources.
REPORT TO		PLANNING & INTELLIGENCE CHIEF/COORDINATOR
PLANS		EOC ACTION PLAN SUPPORT DEVELOPMENT
FORMS		<ul style="list-style-type: none"> • POSITION JOBAID • EOC-205A COMMUNICATION LIST • EOC-207 ORGANIZATION CHART • EOC-211 CHECK-IN LIST • EOC-213 RESOURCE REQUEST • EOC-214 ACTIVITY LOG • EOC-215 RESOURCE PLANNING WORKSHEET • EOC-225 FOR PD CREDENTIALING
TECHNOLOGY		<ul style="list-style-type: none"> • LAPTOP • PHONE (DESK OR CELL)
RESOURCES		<ul style="list-style-type: none"> • WORKSTATION • POSITION BINDER (CAN BE VIRTUAL) • VEST
PROFESSIONAL CREDENTIAL		<p>To receive professional credit for Emergency Management EOC/Career Credentialing, complete and turn in:</p> <p> (EOC-225) to CALOES credentialcoord@caloes.ca.gov</p>

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
DUTIES			
		Responsible for tracking and documenting resources including personnel, critical resources, transportation and support equipment.  (FORM RESOURCE TRACKING)	
		Responsible for coordinating closely with all units in the Logistics Section, particularly Supply/Procurement Unit, Personnel Unit, and Transportation Unit.	
ACTIVATION			
		Check in at the EOC  (FORM EOC-211, FORM EOC-205A)	
		Assist with EOC Set-up (If not already fully set-up)	
		Check workstation to ensure readiness	
		Wear identification vest and read over job aid.	
		Receive situation, section and position briefing from available and appropriate personnel.	
		Ensure readiness to maintain concise records of position activities  (FORM EOC-214)	
RESPONSE			
		Attends the Tactics/Strategy meeting (led by the Operations Section Chief) to complete the Operational Planning Worksheet  (FORM EOC-215)	
		Complete resource request forms (ICS 213 form) for personnel, supplies, services, and equipment-as determined from the Operational Planning Worksheet (ICS 215 form/worksheet) developed during the Tactics/Strategy meeting.  (FORM EOC-213)  (FORM EOC-215)	
		Verifies proper check-in and check-out of personnel in the EOC using a Recorder.  (FORM EOC-211)	

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
		Provides resource information to the Situation Analysis Unit, Demobilization Unit, and Logistics Section.  (FORM EOC-209)	
		Assists in preparation of Organization Chart and post in the EOC.  (FORM EOC-207)	
SHIFT CHANGE/TRANSFER OF DUTIES			
		Provide turnover briefing to position replacement.	
		Provide details regarding ongoing activities and planned activities to be accomplished during the upcoming operational period.  (FORM USE CURRENT POSITION JOBAID)  (FORM USE CURRENT EOC-214)	
		Provide all completed documentation to the Documentation Unit	
		Follow EOC check out procedures, including signing out, workstation clean-up and forwarding phone number where you can be reached.  (FORM EOC-211, FORM EOC-205A)	
DEMOBILIZATION			
		Deactivate position when authorized by EOC Director and follow Demobilization Unit Leader directions/plan.	
		<ul style="list-style-type: none"> • Complete all required forms, reports, and other documentation. • Provide all completed documentation to the Documentation Unit, prior to your departure. • Turn over financial information to Finance/Administration Section Coordinator. 	
		Clean up your work area before you leave.	
		Provide a forwarding phone number where you can be reached.	
		Be prepared to provide input to the after-action report.	

SHIFT/STAFF CHANGE

TASKS (PENDING)

NOTES

Name:








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Time: _____ **am / pm**

JobAid: Demobilization Unit

POSITION OVERVIEW		Responsible for preparing a Demobilization Plan to ensure an orderly, safe, and cost-effective release of personnel and equipment
REPORT	TO	PLANNING & INTELLIGENCE CHIEF/COORDINATOR
PLANS		EOC ACTION PLAN SUPPORT DEVELOPMENT DEMOBILIZATION PLAN DEVELOP
FORMS		<ul style="list-style-type: none"> • POSITION JOBAID • EOC-205A COMMUNICATION LIST • EOC-211 CHECK-IN LIST • EOC-214 ACTIVITY LOG • EOC-225 FOR PD CREDENTIALING
TECHNOLOGY		<ul style="list-style-type: none"> • LAPTOP • PHONE (DESK OR CELL)
RESOURCES		<ul style="list-style-type: none"> • WORKSTATION • POSITION BINDER (CAN BE VIRTUAL) • VEST
PROFESSIONAL CREDENTIAL		<p>To receive professional credit for Emergency Management EOC/Career Credentialing, complete and turn in:</p> <p> (EOC-225) to CALOES credentialcoord@caloes.ca.gov</p>

TYPE	TIME	STATUS C=Complete I=In-Progress P=Pending
DUTIES		
	Develop a Demobilization Plan for the EOC based on a review of all pertinent planning documents, and status reports.	
	Supervise the Demobilization Unit.	
ACTIVATION		
	Check in at the EOC  (FORM EOC-211, FORM EOC-205A)	
	Assist with EOC Set-up (If not already fully set-up)	
	Check workstation to ensure readiness	
	Wear identification vest and read over job aid.	
	Receive situation, section and position briefing from available and appropriate personnel.	
	Ensure readiness to maintain concise records of position activities  (FORM EOC-214)	
RESPONSE		
	Establish and maintain a position log and other necessary files.	
	Review EOC personnel roster to determine size and scope of any demobilization efforts.	
	Meet individually with the general staff to determine their need for assistance in any Demobilization Planning.	
	Advise Planning/Intelligence Section Coordinator on the need for a formal written Demobilization Plan.	
	If a Demobilization Plan is required, develop the plan using detailed specific responsibilities, release priorities and procedures.  (PLAN DEMOBILIZATION PLAN)	
	Establish with each Section Coordinator which units/personnel should be demobilized first.	
	Determine if any special needs exist for personnel demobilization (e.g., transportation).	

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
		Develop a checkout procedure if necessary, to ensure all deactivated personnel have cleared their operating position.	
		Submit any formalized Demobilization Plan to the Planning/Intelligence Section Coordinator for approval.	
		Meet with each assigned Agency Representative and Technical Specialist to determine what assistance may be required for their demobilization from the EOC.	
		Monitor the implementation of the Demobilization Plan and be prepared to handle any demobilization issues as they occur.	
SHIFT CHANGE/TRANSFER OF DUTIES			
		Provide turnover briefing to position replacement.	
		Provide details regarding ongoing activities and planned activities to be accomplished during the upcoming operational period.  (FORM USE CURRENT POSITION JOBAID)  (FORM USE CURRENT EOC-214)	
		Provide all completed documentation to the Documentation Unit	
		Follow EOC check out procedures, including signing out, workstation clean-up and forwarding phone number where you can be reached.  (FORM EOC-211, FORM EOC-205A)	
DEMOBILIZATION			
		Deactivate position when authorized by EOC Director and follow Demobilization Unit Leader directions/plan.	
		<ul style="list-style-type: none"> • Complete all required forms, reports, and other documentation. • Provide all completed documentation to the Documentation Unit, prior to your departure. Turn over financial information to Finance/Administration Section Coordinator.	
		Clean up your work area before you leave.	
		Provide a forwarding phone number where you can be reached.	
		Be prepared to provide input to the after-action report.	

SHIFT/STAFF CHANGE

TASKS (PENDING)

NOTES

Name:








Forwarding





Phone #: _____


Date:

Time: _____ **am / pm**

JobAid: Technical Specialist Unit

POSITION OVERVIEW		<ul style="list-style-type: none"> • Technical Specialists are advisors with special skills needed to support a field or function not addressed elsewhere or by any other discipline. • Technical Specialists (may or may not be employees of a public or private agency) may report to the Planning/Intelligence Section Coordinator/Chief.
REPORT TO	PLANNING & INTELLIGENCE CHIEF/COORDINATOR	
	TO ME	<ul style="list-style-type: none"> • AFN Specialist • GIS Specialist • Social Media Specialist
PLANS		EOC ACTION PLAN SUPPORT DEVELOPMENT
FORMS		<ul style="list-style-type: none"> • POSITION JOBAID • EOC-205A COMMUNICATION LIST • EOC-211 CHECK-IN LIST • EOC-214 ACTIVITY LOG • EOC-225 FOR PD CREDENTIALING
TECHNOLOGY		<ul style="list-style-type: none"> • LAPTOP • PHONE (DESK OR CELL)
RESOURCES		<ul style="list-style-type: none"> • WORKSTATION • POSITION BINDER (CAN BE VIRTUAL) • VEST
PROFESSIONAL CREDENTIAL		<p>To receive professional credit for Emergency Management EOC/Career Credentialing, complete and turn in:</p> <p> (EOC-225) to CALOES credentialcoord@caloes.ca.gov</p>

TYPE	TIME	STATUS C=Complete I=In-Progress P=Pending
DUTIES		
	Provide technical observations and recommendations to EOC staff in specialized areas as required.	
	Advise on legal limitations use of resources.	
	Work with inter-agency coordination groups as necessary providing expertise.	
ACTIVATION		
	Check in at the EOC  (FORM EOC-211, FORM EOC-205A)	
	Assist with EOC Set-up (If not already fully set-up)	
	Check workstation to ensure readiness	
	Wear identification vest and read over jobaid.	
	Receive situation, section and position briefing from available and appropriate personnel.	
	Ensure readiness to maintain concise records of position activities  (FORM EOC-214)	
RESPONSE		
	Provide technical services as required to requesting EOC staff.	
	Contribute to EOC planning meetings and inter-agency coordination groups as requested.	
	Ensure that all recommendations are appropriately documented.	
SHIFT CHANGE/TRANSFER OF DUTIES		
	Provide turnover briefing to position replacement.	
	Provide details regarding ongoing activities and planned activities to be accomplished during the upcoming operational period.  (FORM USE CURRENT POSITION JOBAID)  (FORM USE CURRENT EOC-214)	

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
		Provide all completed documentation to the Documentation Unit	
		Follow EOC check out procedures, including signing out, workstation clean-up and forwarding phone number where you can be reached.  (FORM EOC-211, FORM EOC-205A)	
DEMOBILIZATION			
		Advise Planning/Intelligence Section when duties are completed.	
		Obtain release from Planning/Intelligence Section Coordinator prior to leaving the EOC.	
		Deactivate position when authorized by EOC Director and follow Demobilization Unit Leader directions/plan.	
		<ul style="list-style-type: none"> • Complete all required forms, reports, and other documentation. • Provide all completed documentation to the Documentation Unit, prior to your departure. • Turn over financial information to Finance/Administration Section Coordinator. 	
		Clean up your work area before you leave.	
		Provide a forwarding phone number where you can be reached.	
		Be prepared to provide input to the after-action report.	

SHIFT/STAFF CHANGE

TASKS (PENDING)

NOTES

Name:








Forwarding



Phone #: _____




Date:

Time: _____ **am / pm**

JobAid: Access and Functional Needs (AFN) Specialist

POSITION OVERVIEW		Responsible for identifying and mitigating safety concerns for the AFN populations and maintaining awareness of potential City/Agency liability during EOC response and recovery activities
REPORT TO	PLANNING & INTELLIGENCE CHIEF/COORDINATOR	
PLANS		EOC ACTION PLAN SUPPORT DEVELOPMENT
FORMS		<ul style="list-style-type: none"> • POSITION JOBAID • EOC-205A COMMUNICATION LIST • EOC-211 CHECK-IN LIST • EOC-214 ACTIVITY LOG • EOC-225 FOR PD CREDENTIALING
TECHNOLOGY		<ul style="list-style-type: none"> • LAPTOP • PHONE (DESK OR CELL)
RESOURCES		<ul style="list-style-type: none"> • WORKSTATION • POSITION BINDER (CAN BE VIRTUAL) • VEST
PROFESSIONAL CREDENTIAL		<p>To receive professional credit for Emergency Management EOC/Career Credentialing, complete and turn in:</p> <p> (EOC-225) to CALOES credentialcoord@caloes.ca.gov</p>

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
DUTIES			
		Determine the scope of the incident and the impact on AFN populations.	
		Determine which AFN populations are impacted.	
		Provide advice and assistance with other Sections as they manage resources and activities.	
		Monitor and assist with message development/translation, as needed, including alert and warning messages to ensure all AFN populations are reached.	
ACTIVATION			
		Check in at the EOC  (FORM EOC-211, FORM EOC-205A)	
		Assist with EOC Set-up (If not already fully set-up)	
		Check workstation to ensure readiness	
		Wear identification vest and read over job aid.	
		Receive situation, section and position briefing from available and appropriate personnel.	
		Ensure readiness to maintain concise records of position activities  (FORM EOC-214)	
RESPONSE			
		Ensure staff members assigned to AFN support have adequate resources to support their efforts.	
		Help develop ordinances and regulations for evacuations.	
		Monitor impacted AFN populations during evacuations to ensure adequate support.	
		Provide guidance to Operations and Logistics in evacuation center and shelter operation activities.	
SHIFT CHANGE/TRANSFER OF DUTIES			

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
		Provide turnover briefing to position replacement.	
		Provide details regarding ongoing activities and planned activities to be accomplished during the upcoming operational period.  (FORM USE CURRENT POSITION JOBAID)  (FORM USE CURRENT EOC-214)	
		Provide all completed documentation to the Documentation Unit	
		Follow EOC check out procedures, including signing out, workstation clean-up and forwarding phone number where you can be reached.  (FORM EOC-211, FORM EOC-205A)	
DEMOBILIZATION			
		Deactivate position when authorized by EOC Director and follow Demobilization Unit Leader directions/plan.	
		<ul style="list-style-type: none"> • Complete all required forms, reports, and other documentation. • Provide all completed documentation to the Documentation Unit, prior to your departure. • Turn over financial information to Finance/Administration Section Coordinator. 	
		Clean up your work area before you leave.	
		Provide a forwarding phone number where you can be reached.	
		Be prepared to provide input to the after-action report.	

SHIFT/STAFF CHANGE

TASKS (PENDING)

NOTES

Name:








Forwarding



Phone #: _____

Date:




Time: _____ **am / pm**

JobAid: Geographic Information Systems (GIS) Specialist

POSITION OVERVIEW		Collects analyses and displays critical information obtained from various sources such as field reports, other departments and agencies, and EOC Sections.
REPORT TO		PLANNING & INTELLIGENCE CHIEF/COORDINATOR
PLANS		EOC ACTION PLAN SUPPORT DEVELOPMENT
FORMS		<ul style="list-style-type: none"> • POSITION JOBAID • EOC-205A COMMUNICATION LIST • EOC-211 CHECK-IN LIST • EOC-214 ACTIVITY LOG • EOC-225 FOR PD CREDENTIALING
TECHNOLOGY		<ul style="list-style-type: none"> • LAPTOP • PHONE (DESK OR CELL)
RESOURCES		<ul style="list-style-type: none"> • WORKSTATION • POSITION BINDER (CAN BE VIRTUAL) • VEST
PROFESSIONAL CREDENTIAL		To receive professional credit for Emergency Management EOC/Career Credentialing, complete and turn in:  (EOC-225) to CALOES credentialcoord@caloes.ca.gov

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
DUTIES			
		Determine and establish GIS production priorities.	
		Converts requests into GIS products quickly and effectively.	
		Anticipate requirements and needs and assemble or prepare supporting referential data.	
		Locate and secure needed database information to support production goal.	
		Operate specialized GIS production equipment	
ACTIVATION			
		Check in at the EOC  (FORM EOC-211, FORM EOC-205A)	
		Assist with EOC Set-up (If not already fully set-up)	
		Check workstation to ensure readiness	
		Wear identification vest and read over job aid.	
		Receive situation, section and position briefing from available and appropriate personnel.	
		Ensure readiness to maintain concise records of position activities  (FORM EOC-214)	
RESPONSE			
		Develops a system to post to the significant events log casualty information, health concerns, property damage, fire status, size of risk area, scope of the hazard to the public, number of evacuees, etc.	
		Develops sources of information and assist the Planning/Intelligence Section Coordinator/Chief in collecting, organizing and analyzing data from the other EOC sections.	
		Provides for an authentication process in case of conflicting status reports.	

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
		Meets with the Planning/Intelligence Section Coordinator/Chief and the EOC Director (Director of Emergency Services) to determine needs for planning meetings and briefings.	
		Determines if there are any special information needs.	
		Maps specific zones or areas that detail damage surveys in conjunction with state and federal agencies.	
		Prepares, sets up, and maintains EOC displays.	
		Keeps data current concerning: Availability of personnel, equipment, and supplies; Equipment or personnel out of service.	
		Continually obtains information from Logistics, other Planning/Intel functions, the EOC Manager, Operations and the Finance/Admin Section.	
		Submits verbal and written reports to Planning/Intelligence Section Coordinator/Chief as appropriate or as directed.	
		Participates in Planning/Intelligence Section Meetings and participates in EOC Action Plan development.	
		Provides information to be included in the Situation Report (i.e.: mapping).	
		<p data-bbox="410 1167 1297 1209"><i>Obtains data on all impacts to include:</i></p> <ul data-bbox="410 1251 1297 1837" style="list-style-type: none"> • Utilities and infrastructure (i.e., roads, bridges, electric lines, pipelines, buildings, etc.). • Numbers of homes destroyed or damaged. • Public facilities destroyed or damaged. • Critical facilities damaged or destroyed and locations (hospital, power stations, industry or manufacturers, water facilities, etc.). • Financial impacts and costs expended by the County & coordinate with Cost Unit Leader in Finance/Admin Section. • Ensures that necessary maps and data pertinent to the operations are obtained. • Maps areas that may have to be rezoned, destroyed, reconstructed and/or modified as a result of the disaster. (Consultation with the Planning Section). • Works with the Situation Analysis Unit to create maps, displays, and reports. 	

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
SHIFT CHANGE/TRANSFER OF DUTIES			
		Provide turnover briefing to position replacement.	
		Provide details regarding ongoing activities and planned activities to be accomplished during the upcoming operational period.  (FORM USE CURRENT POSITION JOBAID)  (FORM USE CURRENT EOC-214)	
		Provide all completed documentation to the Documentation Unit	
		Follow EOC check out procedures, including signing out, workstation clean-up and forwarding phone number where you can be reached.  (FORM EOC-211, FORM EOC-205A)	
DEMOBILIZATION			
		Deactivate position when authorized by EOC Director and follow Demobilization Unit Leader directions/plan.	
		<ul style="list-style-type: none"> • Complete all required forms, reports, and other documentation. • Provide all completed documentation to the Documentation Unit, prior to your departure. • Turn over financial information to Finance/Administration Section Coordinator. 	
		Clean up your work area before you leave.	
		Provide a forwarding phone number where you can be reached.	
		Be prepared to provide input to the after-action report.	

SHIFT/STAFF CHANGE

TASKS (PENDING)

NOTES

Name:

Forwarding








Phone #: _____



Date:




Time: _____ **am / pm**

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JobAid: Social Media Specialist

POSITION OVERVIEW		Support position to Public Information Officer. Can be assigned to various work location and conduct a diverse group of tasks, including gathering photos/videos, monitoring social media, conducting rumor control etc.
REPORT TO	TO	PLANNING & INTELLIGENCE CHIEF/COORDINATOR
PLANS		EOC ACTION PLAN SUPPORT DEVELOPMENT
FORMS		<ul style="list-style-type: none"> • POSITION JOBAID • EOC-205A COMMUNICATION LIST • EOC-211 CHECK-IN LIST • EOC-214 ACTIVITY LOG • EOC-225 FOR PD CREDENTIALING
TECHNOLOGY		<ul style="list-style-type: none"> • LAPTOP • PHONE (DESK OR CELL)
RESOURCES		<ul style="list-style-type: none"> • WORKSTATION • POSITION BINDER (CAN BE VIRTUAL) • VEST
PROFESSIONAL CREDENTIAL		<p>To receive professional credit for Emergency Management EOC/Career Credentialing, complete and turn in:</p> <p> (EOC-225) to CALOES credentialcoord@caloes.ca.gov</p>

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
DUTIES			
		Social media monitoring	
		Rumor identification and management	
		Intelligence gathering	
ACTIVATION			
		Check in at the EOC  (FORM EOC-211, FORM EOC-205A)	
		Assist with EOC Set-up (If not already fully set-up)	
		Check workstation to ensure readiness	
		Wear identification vest and read over job aid.	
		Receive situation, section and position briefing from available and appropriate personnel.	
		Ensure readiness to maintain concise records of position activities  (FORM EOC-214)	
RESPONSE			
		Monitor social media	
		Identify and manage rumors	
		Gather and share intelligence from media platforms	
		Take picture and video	
		If approved by Section Coordinator, assist PIO with information dissemination	
SHIFT CHANGE/TRANSFER OF DUTIES			
		Provide turnover briefing to position replacement.	

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
		Provide details regarding ongoing activities and planned activities to be accomplished during the upcoming operational period.  (FORM USE CURRENT POSITION JOBAID)  (FORM USE CURRENT EOC-214)	
		Provide all completed documentation to the Documentation Unit	
		Follow EOC check out procedures, including signing out, workstation clean-up and forwarding phone number where you can be reached.  (FORM EOC-211, FORM EOC-205A)	
DEMOBILIZATION			
		Deactivate position when authorized by EOC Director and follow Demobilization Unit Leader directions/plan.	
		<ul style="list-style-type: none"> • Complete all required forms, reports, and other documentation. • Provide all completed documentation to the Documentation Unit, prior to your departure. • Turn over financial information to Finance/Administration Section Coordinator. 	
		Clean up your work area before you leave.	
		Provide a forwarding phone number where you can be reached.	
		Be prepared to provide input to the after-action report.	

SHIFT/STAFF CHANGE

TASKS (PENDING)

NOTES

Name:

Date:

Forwarding

Phone #: _____

Time: _____ **am / pm**

3.4 Logistics Section

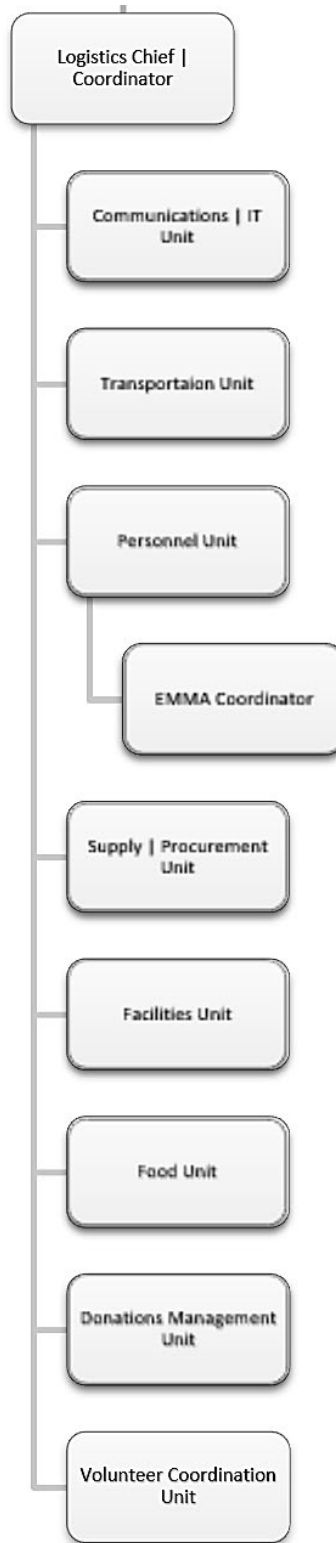


Figure 8: EOC Logistics Section

This section contains functional section and position descriptions, responsibilities, and jobaids for personnel assigned to the Logistics Section of the City EOC. Jobaids describe the minimum actions that should be accomplished by personnel assigned to functional positions within the section.

Section Overview:








- The Logistics Section is responsible for providing resources to support the city's disaster response, including, but not limited to, personnel, vehicles, and equipment.



Section Responsibilities Include:

- Provide operational and logistical support for emergency response personnel and optimize the use of resources
- Provide support to the other sections of the EOC and support as directed for field emergency response activities
- Support the restoration of essential services and systems






Figure 8: EOC Logistics Section, above, shows all the positions that are part of the EOC Logistics Section.

JobAid: Logistics Chief/Coordinator

POSITION OVERVIEW		Responsible for managing and coordinating logistical response efforts and the acquisition, transportation, and mobilization of resources
REPORT TO	MANAGEMENT EOC DIRECTOR	
REPORT TO ME	STAFF <ul style="list-style-type: none"> • Communications/IT Unit • Transportation Unit • Personnel Unit • Supply/Procurement Unit • Facilities Unit • Food Unit • Donations Management Unit • Volunteer Coordination Unit 	
PLANS		EOC ACTION PLAN SUPPORT DEVELOPMENT
FORMS		<ul style="list-style-type: none"> • POSITION JOBAID • EOC-205A COMMUNICATION LIST • EOC-211 CHECK-IN LIST • EOC-213 RESOURCE REQUEST • EOC-214 ACTIVITY LOG • EOC-225 FOR PD CREDENTIALING • RESOURCE REQUEST • RESOURCE TRACKING
TECHNOLOGY		<ul style="list-style-type: none"> • LAPTOP • PHONE (DESK OR CELL)
RESOURCES		<ul style="list-style-type: none"> • WORKSTATION • POSITION BINDER (CAN BE VIRTUAL) • VEST
PROFESSIONAL CREDENTIAL		To receive professional credit for Emergency Management EOC/Career Credentialing, complete and turn in:  (EOC-225) to CALOES credentialcoord@caloes.ca.gov

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
DUTIES			
		<ul style="list-style-type: none"> • Ensure the Logistics function is carried out in support of the EOC. • This function includes providing communication services, resource tracking; acquiring equipment, supplies, personnel, facilities, and transportation services; as well as arranging for food, lodging, and other support services as required. 	
		Establish the appropriate level of branch and/or unit staffing within the Logistics Section, continuously monitoring the effectiveness of the organization and modifying as required.	
		Ensure section objectives as stated in the EOC Action Plan are accomplished within the operational period or within the estimated time frame.	
		Coordinate closely with the Operations Section Coordinator to establish priorities for resource allocation to activated Incident Commands within the affected area.	
		Keep the EOC Director informed of all significant issues relating to the Logistics Section.	
		Supervise the Logistics Section.	
ACTIVATION			
		Check in at the EOC  (FORM EOC-211, FORM EOC-205A)	
		Assist with EOC Set-up (If not already fully set-up)	
		Check workstation to ensure readiness	
		Wear identification vest and read over job aid.	
		Receive situation, section and position briefing from available and appropriate personnel.	
		Ensure readiness to maintain concise records of position activities  (FORM EOC-214)	
		Ensure the Logistics Section is set up properly and that appropriate personnel, equipment, and supplies are in place, including maps, status boards, vendor references, and other resource directories.	

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
		Based on the situation, activate branches/units within section as needed and designate Unit Leaders for each element: <ul style="list-style-type: none"> <input type="checkbox"/> Communications Branch <input type="checkbox"/> Transportation Unit <input type="checkbox"/> Supply/Procurement Unit <input type="checkbox"/> Personnel Unit <input type="checkbox"/> Facilities Unit <input type="checkbox"/> Resource Tracking Unit 	
		Mobilize sufficient section staffing for 24-hour operations.	
		Establish communications with the Logistics Section at the Operational Area EOC if activated.	
		Advise Branches and Units within the section to coordinate with appropriate branches in the Operations Section to prioritize and validate resource requests from DOCs or Incident Command Posts in the field. This should be done prior to acting on the request.	
		Meet with the EOC Director and General Staff and identify immediate resource needs.	
		Meet with the Finance/Administration Section Coordinator and determine level of purchasing authority for the Logistics Section.	
		Assist branch and Unit Leaders in developing objectives for the section as well as plans to accomplish their objectives within the first operational period, or in accordance with the Action Plan.	
		Provide periodic Section Status Reports to the EOC Director.	
		Adopt a proactive attitude, thinking ahead and anticipating situations and problems before they occur.	
RESPONSE			
		Ensure that Logistic Section position logs and other necessary files are maintained.	
		Meet regularly with section staff and work to reach consensus on section objectives for forthcoming operational periods.	

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
		Provide the Planning/Intelligence Section Coordinator with the Logistics Section objectives at least 30 minutes prior to each Action Planning meeting.	
		Attend and participate in EOC Action Planning meetings.	
		Ensure that the Supply/Procurement Unit coordinates closely with the Purchasing Unit in the Finance/Administration Section, and that all required documents and procedures are completed and followed.	
		Ensure that transportation requirements, in support of response operations, are met.	
		Ensure that all requests for facilities and facility support are addressed.	
		Ensure that all resources are tracked and accounted for, as well as resources ordered through Mutual Aid.  (FORM EOC-213 OR FORM RESOURCE REQUEST)  (FORM RESOURCE TRACKING)	
		Provide section staff with information updates as required.	
SHIFT CHANGE/TRANSFER OF DUTIES			
		Provide turnover briefing to position replacement.	
		Provide details regarding ongoing activities and planned activities to be accomplished during the upcoming operational period.  (FORM USE CURRENT POSITION JOBAID)  (FORM USE CURRENT EOC-214)	
		Provide all completed documentation to the Documentation Unit	
		Follow EOC check out procedures, including signing out, workstation clean-up and forwarding phone number where you can be reached.  (FORM EOC-211, FORM EOC-205A)	
DEMOBILIZATION			
		Deactivate position when authorized by EOC Director and follow Demobilization Unit Leader directions/plan.	

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
		<ul style="list-style-type: none"> • Complete all required forms, reports, and other documentation. • Provide all completed documentation to the Documentation Unit, prior to your departure. • Turn over financial information to Finance/Administration Section Coordinator. 	
		Clean up your work area before you leave.	
		Provide a forwarding phone number where you can be reached.	
		Be prepared to provide input to the after-action report.	

SHIFT/STAFF CHANGE

TASKS (PENDING)

NOTES

Name:








Forwarding





Phone #: _____





Date:

Time: _____ **am / pm**

JobAid: Communications & IT Unit

POSITION OVERVIEW		Responsible for managing all computing needs including desktop/laptop computers, network and communications (internet/wireless, telephones, radios, etc.), printing, audio/visual, and other technology needs for the EOC
REPORT TO		LOGISTICS CHIEF/COORDINATOR
PLANS		EOC ACTION PLAN SUPPORTS DEVELOPMENT DEMOBILIZATION PLAN SUPPORTS DEVELOPMENT
FORMS & REPORT		FORMS <ul style="list-style-type: none"> • POSITION JOBAID • EOC-205A COMMUNICATION LIST • EOC-211 CHECK-IN LIST • EOC-214 ACTIVITY LOG • EOC-225 FOR PD CREDENTIALING REPORT <ul style="list-style-type: none"> • COMMUNICATION STATUS
TECHNOLOGY		<ul style="list-style-type: none"> • LAPTOP • PHONE (DESK OR CELL)
RESOURCES		<ul style="list-style-type: none"> • WORKSTATION • POSITION BINDER (CAN BE VIRTUAL) • VEST
PROFESSIONAL CREDENTIAL		To receive professional credit for Emergency Management EOC/Career Credentialing, complete and turn in:  (EOC-225) to CALOES credentialcoord@caloes.ca.gov

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
DUTIES			
		Coordinates with all sections and branches/groups/units on operating procedures for computing, network, and communications systems.	
		Provides support for all EOC Information Systems and ensures automated information links with partner EOCs/DOCs are maintained including, if applicable, audio, visual, and teleconferencing equipment.	
ACTIVATION			
		Check in at the EOC.  (FORM EOC-211, FORM EOC-205A)	
		Assist with EOC Set-up (If not already fully set-up).	
		Check workstation to ensure readiness.	
		Wear identification vest and read over job aid.	
		Receive situation, section and position briefing from available and appropriate personnel.	
		Ensure readiness to maintain concise records of position activities.  (FORM EOC-214)	
RESPONSE			
		Develops Communication Plan for all communication modes within the EOC and field ICP's when needed.  (FORM EOC-205A)	
		Determines what communications equipment is necessary.	
		Provides technical information as required.	
		Manage data and telephone services for the EOC.	
		Receive any priorities or special requests.	
		Provide communications briefings and technology status reports as requested at action planning meetings.  (REPORT COMMUNICATION STATUS)	
SHIFT CHANGE/TRANSFER OF DUTIES			

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
		Provide turnover briefing to position replacement.	
		Provide details regarding ongoing activities and planned activities to be accomplished during the upcoming operational period.  (FORM USE CURRENT POSITION JOBAID)  (FORM USE CURRENT EOC-214)	
		Provide all completed documentation to the Documentation Unit.	
		Follow EOC check out procedures, including signing out, workstation clean-up and forwarding phone number where you can be reached.  (FORM EOC-211, FORM EOC-205A)	
DEMOBILIZATION			
		Coordinates with Demobilization Unit to develop check out procedure on Demobilization Plan.  (PLAN DEMOBILIZATION)	
		Deactivate position when authorized by EOC Director and follow Demobilization Unit Leader directions/plan.	
		<ul style="list-style-type: none"> • Complete all required forms, reports, and other documentation. • Provide all completed documentation to the Documentation Unit, prior to your departure. • Turn over financial information to Finance/Administration Section Coordinator. 	
		Clean up your work area before you leave.	
		Provide a forwarding phone number where you can be reached.	
		Be prepared to provide input to the after-action report.	

SHIFT/STAFF CHANGE

TASKS (PENDING)

NOTES

Name:








Forwarding




Phone #: _____





Date:

Time: _____ **am / pm**

JobAid: Transportation Unit

POSITION OVERVIEW		Responsible for coordinating the allocation of transportation resources required to move people, equipment, and essential supplies during emergency response and recovery operations.
REPORT TO		LOGISTICS CHIEF/COORDINATOR
PLANS		EOC ACTION PLAN SUPPORTS DEVELOPMENT TRANSPORTATION PLAN DEVELOPS (CAN USE TRANSPORTATION STATUS REPORT AS BASIS FOR PLAN)
FORMS & REPORT		<p>FORM</p> <ul style="list-style-type: none"> • POSITION JOBAID • EOC-205A COMMUNICATION LIST • EOC-211 CHECK-IN LIST • EOC-214 ACTIVITY LOG • EOC-225 FOR PD CREDENTIALING • RESOURCE TRACKING <p>REPORT</p> <ul style="list-style-type: none"> • TRANSPORTATION STATUS
TECHNOLOGY		<ul style="list-style-type: none"> • LAPTOP • PHONE (DESK OR CELL)
RESOURCES		<ul style="list-style-type: none"> • WORKSTATION • POSITION BINDER (CAN BE VIRTUAL) • VEST
PROFESSIONAL CREDENTIAL		<p>To receive professional credit for Emergency Management EOC/Career Credentialing, complete and turn in:</p> <p> (EOC-225) to CALOES credentialcoord@caloes.ca.gov</p>

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
DUTIES			
		In coordination with the Construction/Engineering Branch Coordinator, and the Situation Analysis Unit, develop a transportation plan to support EOC operations.	
		Arrange for the acquisition or use of required transportation resources.	
		Supervise the Transportation Unit.	
ACTIVATION			
		Check in at the EOC  (FORM EOC-211)	
		Assist with EOC Set-up (If not already fully set-up)	
		Check workstation to ensure readiness	
		Wear identification vest and read over job aid.	
		Receive situation, section and position briefing from available and appropriate personnel.	
		Ensure readiness to maintain concise records of position activities  (FORM EOC-214)	
RESPONSE			
		Establish and maintain a position log and other necessary files.	
		Routinely coordinate with the Situation Analysis Unit to determine the status of transportation routes in and around the affected area.  (REPORT TRANSPORTATION STATUS)	
		Routinely coordinate with the Construction/Engineering Branch Coordinator to determine progress of route recovery operations.	
		Develop a Transportation Plan which identifies routes of ingress and egress; thus, facilitating the movement of response personnel, the affected population, and shipment of resources and material.	

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
		Establish contact with local transportation agencies and schools to establish availability of equipment and transportation resources for use in evacuations and other operations as needed.  (FORM RESOURCE TRACKING)	
		Keep the Logistics Section Coordinator informed of significant issues affecting the Transportation Unit.	
SHIFT CHANGE/TRANSFER OF DUTIES			
		Provide turnover briefing to position replacement.	
		Provide details regarding ongoing activities and planned activities to be accomplished during the upcoming operational period.  (FORM USE CURRENT POSITION JOBAID)  (FORM USE CURRENT EOC-214)	
		Provide all completed documentation to the Documentation Unit	
		Follow EOC check out procedures, including signing out, workstation clean-up and forwarding phone number where you can be reached.  (FORM EOC-211, FORM EOC-205A)	
DEMOBILIZATION			
		Deactivate position when authorized by EOC Director and follow Demobilization Unit Leader directions/plan.	
		<ul style="list-style-type: none"> • Complete all required forms, reports, and other documentation. • Provide all completed documentation to the Documentation Unit, prior to your departure. • Turn over financial information to Finance/Administration Section Coordinator. 	
		Clean up your work area before you leave.	
		Provide a forwarding phone number where you can be reached.	
		Be prepared to provide input to the after-action report.	

SHIFT/STAFF CHANGE

TASKS (PENDING)

NOTES

Name:








Date:




Forwarding



Phone #: _____




Time: _____ **am / pm**

JobAid: Personnel Unit

<p>POSITION OVERVIEW</p>		<p>Responsible for obtaining, coordinating, and allocating all non-fire and non-law-enforcement mutual aid personnel support requests; registering and coordinating volunteers as Disaster Services Workers (DSWs); feeding and caring for all emergency workers; and the overall coordination and care of all City/Agency staff, both paid and volunteer.</p>
<p>REPORT TO</p>		<p>LOGISTICS CHIEF/COORDINATOR</p>
<p>PLANS</p>		<p>EOC ACTION PLAN SUPPORTS DEVELOPMENT</p>
<p>FORMS</p>		<ul style="list-style-type: none"> • POSITION JOBAID • EOC-205A COMMUNICATION LIST • EOC-207 ORGANIZATION CHART • EOC-211 CHECK-IN LIST • EOC-214 ACTIVITY LOG • EOC-225 FOR PD CREDENTIALING • RESOURCE REQUEST • RESOURCE TRACKING • DSWV REGISTRATION
<p>TECHNOLOGY</p>		<ul style="list-style-type: none"> • LAPTOP • PHONE (DESK OR CELL)
<p>RESOURCES</p>		<ul style="list-style-type: none"> • WORKSTATION • POSITION BINDER (CAN BE VIRTUAL) • VEST
<p>PROFESSIONAL CREDENTIAL</p>		<p>To receive professional credit for Emergency Management EOC/Career Credentialing, complete and turn in:  (EOC-225) to CALOES credentialcoord@caloes.ca.gov</p>

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
DUTIES			
		Provide personnel resources as requested in support of the EOC and Field Operations.	
		Identify, recruit and register volunteers as required.	
		Develop an EOC organization chart.  (FORM EOC-207)	
		Supervise the Personnel Unit.	
ACTIVATION			
		Check in at the EOC  (FORM EOC-211, FORM EOC-205A)	
		Assist with EOC Set-up (If not already fully set-up)	
		Check workstation to ensure readiness	
		Wear identification vest and read over job aid.	
		Receive situation, section and position briefing from available and appropriate personnel.	
		Ensure readiness to maintain concise records of position activities  (FORM EOC-214)	
RESPONSE			
		Establish and maintain a position log and other necessary files.	
		<ul style="list-style-type: none"> • Manage check-in <ul style="list-style-type: none"> ○ (FORM EOC-211, FORM EOC-205A) • In conjunction with the Documentation Unit, develop a large poster size EOC organization chart depicting each activated position. • Upon check in, indicate the name of the person occupying each position on the chart. • The chart should be posted in a conspicuous place, accessible to all EOC personnel. <ul style="list-style-type: none"> ○ (FORM EOC-207) 	

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
		Coordinate with the Liaison Officer and Safety Officer to ensure that all EOC staff to include volunteers, receive a current situation and safety briefing upon check-in.  (FORM EOC-208)	
		Establish communications with volunteer agencies and other organizations that can provide personnel resources.	
		Coordinate with the Operational Area EOC to activate the Emergency Management Mutual Aid System (EMMA), if required.	
		<ul style="list-style-type: none"> • Process all incoming requests for personnel support. • Identify the number of personnel, special qualifications or training, where they are needed and the person or unit they should report to upon arrival. • Determine the estimated time of arrival of responding personnel and advise the requesting parties accordingly. <ul style="list-style-type: none"> ○ (FORM RESOURCE REQUEST) ○ (FORM RESOURCE TRACKING) 	
		Maintain a status board or other reference to keep track of incoming personnel resources.	
		Update EOC organization chart for each operational period.	
		Coordinate with the Liaison Officer and Security Officer to ensure access, badging or identification, and proper direction for responding personnel upon arrival at the EOC.	
		Assist the Fire Rescue Branch and Law Enforcement Branch with ordering of mutual aid resources as required.	
		To minimize redundancy, coordinate all requests for personnel resources from the field level through the EOC Operations Section prior to acting on the request.	
		In coordination with the Safety Officer, determine the need for crisis counseling for emergency workers; acquire mental health specialists as needed.	
		Arrange for childcare services for EOC personnel as required.	
		Establish registration locations with sufficient staff to register volunteers and issue them disaster service worker identification cards.  (FORM DSWV REGISTRATION)	

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
		Keep the Logistics Section Coordinator informed of significant issues affecting the Personnel Unit.	
SHIFT CHANGE/TRANSFER OF DUTIES			
		Provide turnover briefing to position replacement.	
		Provide details regarding ongoing activities and planned activities to be accomplished during the upcoming operational period.  (FORM USE CURRENT POSITION JOBAID)  (FORM USE CURRENT EOC-214)	
		Provide all completed documentation to the Documentation Unit	
		Follow EOC check out procedures, including signing out, workstation clean-up and forwarding phone number where you can be reached.  (FORM EOC-211, FORM EOC-205A)	
DEMOBILIZATION			
		Deactivate position when authorized by EOC Director and follow Demobilization Unit Leader directions/plan.	
		<ul style="list-style-type: none"> • Complete all required forms, reports, and other documentation. • Provide all completed documentation to the Documentation Unit, prior to your departure. • Turn over financial information to Finance/Administration Section Coordinator. 	
		Clean up your work area before you leave.	
		Provide a forwarding phone number where you can be reached.	
		Be prepared to provide input to the after-action report.	

SHIFT/STAFF CHANGE

TASKS (PENDING)

NOTES

Name:

Forwarding








Phone #: _____



Date:




Time: _____ **am / pm**

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JobAid: EMMA Coordinator

POSITION OVERVIEW		Responsible for obtaining, coordinating, and allocating all EMMA support requests.
REPORT TO		LOGISTICS PERSONNEL UNIT
PLANS		EOC ACTION PLAN SUPPORTS DEVELOPMENT
FORMS		<ul style="list-style-type: none"> • POSITION JOBAID • EOC-205A COMMUNICATION LIST • EOC-207 ORGANIZATION CHART • EOC-211 CHECK-IN LIST • EOC-214 ACTIVITY LOG • EOC-225 FOR PD CREDENTIALING • RESOURCE REQUEST • RESOURCE TRACKING • EMMA SPECIFIC REQUEST FORMS
TECHNOLOGY		<ul style="list-style-type: none"> • LAPTOP • PHONE (DESK OR CELL)
RESOURCES		<ul style="list-style-type: none"> • WORKSTATION • POSITION BINDER (CAN BE VIRTUAL) • VEST
PROFESSIONAL CREDENTIAL		<p>To receive professional credit for Emergency Management EOC/Career Credentialing, complete and turn in:</p> <p> (EOC-225) to CALOES credentialcoord@caloes.ca.gov</p>

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
DUTIES			
		Provide, support and keep track of EMMA personnel resources as requested in support of the EOC(s).	
ACTIVATION			
		Check in at the EOC  (FORM EOC-211, FORM EOC-205A)	
		Assist with EOC Set-up (If not already fully set-up)	
		Check workstation to ensure readiness	
		Wear identification vest and read over job aid.	
		Receive situation, section and position briefing from available and appropriate personnel.	
		Ensure readiness to maintain concise records of position activities  (FORM EOC-214)	
RESPONSE			
		Establish and maintain a position log and other necessary files.	
		<ul style="list-style-type: none"> Alongside Personnel Unit Leader, identify needed EOC position that are vacant and can be requested via EMMA. 	
		Coordinate with the Operational Area EOC to activate the Emergency Management Mutual Aid System (EMMA), if required.	
		<ul style="list-style-type: none"> Process all incoming EMMA requests for personnel support. Identify the number of personnel, special qualifications or training, where they are needed and the person or unit they should report to upon arrival. Determine the estimated time of arrival of responding personnel and advise the requesting parties accordingly. <ul style="list-style-type: none"> (FORM RESOURCE REQUEST) (FORM RESOURCE TRACKING) 	
		Maintain a status board or other reference to keep track of incoming and outgoing EMMA personnel resources.	
		Update EOC organization chart for each operational period.	

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
		Coordinate with the Liaison Officer and Security Officer to ensure access, badging or identification, and proper direction for responding EMMA personnel upon arrival at the EOC.	
		Keep the Personnel Unit Leader informed of significant issues affecting the EMMA requests.	
SHIFT CHANGE/TRANSFER OF DUTIES			
		Provide turnover briefing to position replacement.	
		Provide details regarding ongoing activities and planned activities to be accomplished during the upcoming operational period.  (FORM USE CURRENT POSITION JOBAID)  (FORM USE CURRENT EOC-214)	
		Provide all completed documentation to the Documentation Unit	
		Follow EOC check out procedures, including signing out, workstation clean-up and forwarding phone number where you can be reached.  (FORM EOC-211, FORM EOC-205A)	
DEMOBILIZATION			
		Deactivate position when authorized by EOC Director and follow Demobilization Unit Leader directions/plan.	
		<ul style="list-style-type: none"> • Complete all required forms, reports, and other documentation. • Provide all completed documentation to the Documentation Unit, prior to your departure. • Turn over financial information to Finance/Administration Section Coordinator. 	
		Clean up your work area before you leave.	
		Provide a forwarding phone number where you can be reached.	
		Be prepared to provide input to the after-action report.	

SHIFT/STAFF CHANGE

TASKS (PENDING)

NOTES

Name:








Forwarding



Phone #: _____



Date:


Time: _____ **am / pm**

JobAid: Supply & Procurement Unit

POSITION OVERVIEW		Responsible for obtaining and delivering all non-fire and non-law-enforcement mutual aid materials, equipment and supplies to support emergency operations
REPORT TO	LOGISTICS CHIEF/COORDINATOR	
PLANS		EOC ACTION PLAN SUPPORTS DEVELOPMENT
FORMS		<ul style="list-style-type: none"> • POSITION JOBAID • EOC-205A COMMUNICATION LIST • EOC-211 CHECK-IN LIST • EOC-214 ACTIVITY LOG • EOC-225 FOR PD CREDENTIALING
TECHNOLOGY		<ul style="list-style-type: none"> • LAPTOP • PHONE (DESK OR CELL)
RESOURCES		<ul style="list-style-type: none"> • WORKSTATION • POSITION BINDER (CAN BE VIRTUAL) • VEST
PROFESSIONAL CREDENTIAL		<p>To receive professional credit for Emergency Management EOC/Career Credentialing, complete and turn in:</p> <p> (EOC-225) to CALOES credentialcoord@caloes.ca.gov</p>

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
DUTIES			
		Oversee the procurement and allocation of supplies and materiel not normally provided through mutual aid channels.	
		Coordinate procurement actions with the Finance/Administration Section.	
		Coordinate delivery of supplies and materiel as required.	
		Supervise the Supply/Procurement Unit.	
ACTIVATION			
		Check in at the EOC  (FORM EOC-211, FORM EOC-205A)	
		Assist with EOC Set-up (If not already fully set-up)	
		Check workstation to ensure readiness	
		Wear identification vest and read over job aid.	
		Receive situation, section and position briefing from available and appropriate personnel.	
		Ensure readiness to maintain concise records of position activities  (FORM EOC-214)	
RESPONSE			
		Establish and maintain a position log and other necessary files.	
		Determine if requested types and quantities of supplies and material are available in inventory.	
		Determine procurement spending limits with the Purchasing Unit in Finance/Administration. Obtain a list of pre-designated emergency purchase orders as required.	
		Whenever possible, meet personally with the requesting party to clarify types and number of supplies and materiel, and verify that the request has not been previously filled through another source.	

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
		In conjunction with the Resource Tracking Unit, maintain a status board or other reference depicting procurement actions in progress and their status.	
		Determine if the procurement item can be provided without cost from another jurisdiction or through the Operational Area.	
		Determine unit costs of supplies and materiel, from suppliers and vendors and if they will accept purchase orders as payment, prior to completing the order.	
		Orders exceeding the purchase order limit must be approved by the Finance/Administration Section before the order can be completed.	
		If vendor contracts are required for procurement of specific resources or services, refer the request to the Finance/Administration Section for development of necessary agreements.	
		<ul style="list-style-type: none"> • Determine if the vendor or provider will deliver the ordered items. • If delivery services are not available, coordinate pickup and delivery through the Transportation Unit. 	
		<ul style="list-style-type: none"> • In coordination with the Personnel Unit, provide food and lodging for EOC staff and volunteers as required. • Assist field level with food services at camp locations as requested. 	
		<ul style="list-style-type: none"> • Coordinate donated goods and services from community groups and private organizations. • Set up procedures for collecting, inventorying, and distributing usable donations. 	
		Keep the Logistics Section Coordinator informed of significant issues affecting the Supply/ Procurement Unit.	
SHIFT CHANGE/TRANSFER OF DUTIES			
		Provide turnover briefing to position replacement.	
		Provide details regarding ongoing activities and planned activities to be accomplished during the upcoming operational period.  (FORM USE CURRENT POSITION JOBAID)  (FORM USE CURRENT EOC-214)	
		Provide all completed documentation to the Documentation Unit	

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
		Follow EOC check out procedures, including signing out, workstation clean-up and forwarding phone number where you can be reached.  (FORM EOC-211, FORM EOC-205A)	
DEMOBILIZATION			
		Deactivate position when authorized by EOC Director and follow Demobilization Unit Leader directions/plan.	
		<ul style="list-style-type: none"> • Complete all required forms, reports, and other documentation. • Provide all completed documentation to the Documentation Unit, prior to your departure. • Turn over financial information to Finance/Administration Section Coordinator. 	
		Clean up your work area before you leave.	
		Provide a forwarding phone number where you can be reached.	
		Be prepared to provide input to the after-action report.	

SHIFT/STAFF CHANGE

TASKS (PENDING)

NOTES

Name:

Forwarding






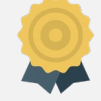

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Time: _____ **am / pm**

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JobAid: Facilities Unit

POSITION OVERVIEW		Responsible for ensuring adequate essential facilities are provided for the response effort, including securing access to the facilities and providing staff, furniture, supplies, and materials necessary to configure the facilities in a manner adequate to accomplish the mission.
REPORT TO	TO	LOGISTICS CHIEF/COORDINATOR
PLANS		EOC ACTION PLAN SUPPORTS DEVELOPMENT
FORMS		<ul style="list-style-type: none"> • POSITION JOBAID • EOC-205A COMMUNICATION LIST • EOC-211 CHECK-IN LIST • EOC-214 ACTIVITY LOG • EOC-225 FOR PD CREDENTIALING
TECHNOLOGY		<ul style="list-style-type: none"> • LAPTOP • PHONE (DESK OR CELL)
RESOURCES		<ul style="list-style-type: none"> • WORKSTATION • POSITION BINDER (CAN BE VIRTUAL) • VEST
PROFESSIONAL CREDENTIAL		To receive professional credit for Emergency Management EOC/Career Credentialing, complete and turn in:  (EOC-225) to CALOES credentialcoord@caloes.ca.gov

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
DUTIES			
		Ensure that adequate essential facilities are provided for the response effort, including securing access to the facilities and providing staff, furniture, supplies, and materials necessary to configure the facilities in a manner adequate to accomplish the mission.	
		Ensure acquired buildings, building floors, and or workspaces are returned to their original state when no longer needed.	
		Supervise the Facilities Unit.	
ACTIVATION			
		Check in at the EOC  (FORM EOC-211, FORM EOC-205A)	
		Assist with EOC Set-up (If not already fully set-up)	
		Check workstation to ensure readiness	
		Wear identification vest and read over job aid.	
		Receive situation, section and position briefing from available and appropriate personnel.	
		Ensure readiness to maintain concise records of position activities  (FORM EOC-214)	
RESPONSE			
		Establish and maintain a position log and other necessary files.	
		Work closely with the EOC Coordinator and other sections in determining facilities and furnishings required for effective operation of the EOC.	
		Coordinate with branches and units in the Operations Section to determine if assistance with facility acquisition and support is needed at the field level.	
		Arrange for continuous maintenance of acquired facilities, to include ensuring that utilities and restrooms are operating properly.	
		If facilities are acquired away from the EOC, coordinate with assigned personnel and designate a Facility Manager.	

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
		Develop and maintain a status board or other reference which depicts the location of each facility; a general description of furnishings, supplies and equipment at the site; hours of operation, and the name and phone number of the Facility Manager.	
		Ensure all structures are safe for occupancy and that they comply with ADA requirements.	
		As facilities are vacated, coordinate with the facility manager to return the location to its original state. This includes removing and returning furnishings and equipment, arranging for janitorial services, and locking or otherwise securing the facility.	
		Keep the Logistics Section Coordinator informed of significant issues affecting the facilities unit.	
SHIFT CHANGE/TRANSFER OF DUTIES			
		Provide turnover briefing to position replacement.	
		Provide details regarding ongoing activities and planned activities to be accomplished during the upcoming operational period.  (FORM USE CURRENT POSITION JOBAID)  (FORM USE CURRENT EOC-214)	
		Provide all completed documentation to the Documentation Unit	
		Follow EOC check out procedures, including signing out, workstation clean-up and forwarding phone number where you can be reached.  (FORM EOC-211, FORM EOC-205A)	
DEMOBILIZATION			
		Deactivate position when authorized by EOC Director and follow Demobilization Unit Leader directions/plan.	
		<ul style="list-style-type: none"> • Complete all required forms, reports, and other documentation. • Provide all completed documentation to the Documentation Unit, prior to your departure. • Turn over financial information to Finance/Administration Section Coordinator. 	
		Clean up your work area before you leave.	
		Provide a forwarding phone number where you can be reached.	

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
		Be prepared to provide input to the after-action report.	

SHIFT/STAFF CHANGE

TASKS (PENDING)

NOTES

Name:

Date:








Forwarding



Phone #: _____




Time: _____ **am / pm**

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JobAid: Food Unit

POSITION OVERVIEW		Responsible for coordinating all feeding operations for the EOC, support, and field personnel
REPORT TO		LOGISTICS CHIEF/COORDINATOR
PLANS		EOC ACTION PLAN SUPPORTS DEVELOPMENT
FORMS		<ul style="list-style-type: none"> • POSITION JOBAID • EOC-205A COMMUNICATION LIST • EOC-211 CHECK-IN LIST • EOC-214 ACTIVITY LOG • EOC-225 FOR PD CREDENTIALING
TECHNOLOGY		<ul style="list-style-type: none"> • LAPTOP • PHONE (DESK OR CELL)
RESOURCES		<ul style="list-style-type: none"> • WORKSTATION • POSITION BINDER (CAN BE VIRTUAL) • VEST
PROFESSIONAL CREDENTIAL		To receive professional credit for Emergency Management EOC/Career Credentialing, complete and turn in:  (EOC-225) to CALOES credentialcoord@caloes.ca.gov

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
DUTIES			
		Establishes and disseminates a feeding plan that identifies cost limits, authorized vendors, catering companies, types of food, etc. Be aware of special diets.	
		Sets meal schedules.	
		Sets up and manages eating areas for EOC, staff, and field personnel.	
		Establishes a personnel-feeding account for EOC, support, and field personnel at local restaurants.	
		Briefs all EOC personnel on the location, cost limitations, and incident number used for each restaurant or caterer.	
ACTIVATION			
		Check in at the EOC.  (FORM EOC-211, FORM EOC-205A)	
		Assist with EOC Set-up (If not already fully set-up).	
		Check workstation to ensure readiness.	
		Wear identification vest and read over job aid.	
		Receive situation, section and position briefing from available and appropriate personnel.	
		Ensure readiness to maintain concise records of position activities.  (FORM EOC-214)	
RESPONSE			
		Obtains necessary equipment, supplies, and facilities to establish food service (including hot/cold storage and/or handling).	
		Ensures food service areas meet appropriate health and safety measures and are maintained in a clean condition.	
		Orders sufficient food and water from or through the Supply Unit.	
		Maintains an inventory of food, water, condiments, and supplies.	

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
		Coordinates with Procurement Unit to ensure all purchases are pre-approved and paid.	
SHIFT CHANGE/TRANSFER OF DUTIES			
		Provide turnover briefing to position replacement.	
		Provide details regarding ongoing activities and planned activities to be accomplished during the upcoming operational period.  (FORM USE CURRENT POSITION JOBAID)  (FORM USE CURRENT EOC-214)	
		Provide all completed documentation to the Documentation Unit.	
		Follow EOC check out procedures, including signing out, workstation clean-up and forwarding phone number where you can be reached.  (FORM EOC-211, FORM EOC-205A)	
DEMOBILIZATION			
		Deactivate position when authorized by EOC Director and follow Demobilization Unit Leader directions/plan.	
		<ul style="list-style-type: none"> • Complete all required forms, reports, and other documentation. • Provide all completed documentation to the Documentation Unit, prior to your departure. • Turn over financial information to Finance/Administration Section Coordinator. 	
		Clean up your work area before you leave.	
		Provide a forwarding phone number where you can be reached.	
		Be prepared to provide input to the after-action report.	

SHIFT/STAFF CHANGE

TASKS (PENDING)

NOTES

Name:








Forwarding





Phone #: _____


Date:

Time: _____ **am / pm**

JobAid: Donations Management Unit

POSITION OVERVIEW		Responsible for coordination of donations management. This includes internal organizational elements and resources as well as external partner agencies.
REPORT TO		LOGISTICS CHIEF/COORDINATOR
PLANS		EOC ACTION PLAN SUPPORTS DEVELOPMENT
FORMS		<ul style="list-style-type: none"> • POSITION JOBAID • EOC-205A COMMUNICATION LIST • EOC-211 CHECK-IN LIST • EOC-214 ACTIVITY LOG • EOC-225 FOR PD CREDENTIALING
TECHNOLOGY		<ul style="list-style-type: none"> • LAPTOP • PHONE (DESK OR CELL)
RESOURCES		<ul style="list-style-type: none"> • WORKSTATION • POSITION BINDER (CAN BE VIRTUAL) • VEST
PROFESSIONAL CREDENTIAL		To receive professional credit for Emergency Management EOC/Career Credentialing, complete and turn in:  (EOC-225) to CALOES credentialcoord@caloes.ca.gov

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
DUTIES			
		Works with the Planning Section Staff to identify donation needs of life-safety supplies and services (e.g., heat, food, water, ice) and develops a plan to receive and quickly distribute these resources to affected community members.	
		Coordinates with the Resources Unit to track all donation resources.	
ACTIVATION			
		Check in at the EOC  (FORM EOC-211, FORM EOC-205A)	
		Assist with EOC Set-up (If not already fully set-up)	
		Check workstation to ensure readiness	
		Wear identification vest and read over job aid.	
		Receive situation, section and position briefing from available and appropriate personnel.	
		Ensure readiness to maintain concise records of position activities  (FORM EOC-214)	
RESPONSE			
		Communicates and coordinates with external partners and NGOs to support effective donations management.	
		Serves as point of contact with private sector that want to donate goods and services.	
		Coordinates with Public Information function, including the JIC (if activated) to maintain consistent public messaging about donations.	
SHIFT CHANGE/TRANSFER OF DUTIES			
		Provide turnover briefing to position replacement.	
		Provide details regarding ongoing activities and planned activities to be accomplished during the upcoming operational period.  (FORM USE CURRENT POSITION JOBAID)  (FORM USE CURRENT EOC-214)	

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
		Provide all completed documentation to the Documentation Unit.	
		Follow EOC check out procedures, including signing out, workstation clean-up and forwarding phone number where you can be reached.  (FORM EOC-211, FORM EOC-205A)	
DEMOBILIZATION			
		Deactivate position when authorized by EOC Director and follow Demobilization Unit Leader directions/plan.	
		<ul style="list-style-type: none"> • Complete all required forms, reports, and other documentation. • Provide all completed documentation to the Documentation Unit, prior to your departure. • Turn over financial information to Finance/Administration Section Coordinator. 	
		Clean up your work area before you leave.	
		Provide a forwarding phone number where you can be reached.	
		Be prepared to provide input to the after-action report.	

SHIFT/STAFF CHANGE

TASKS (PENDING)

NOTES

Name:








Date:






Forwarding


Phone #: _____

Time: _____ **am / pm**

JobAid: Volunteer Coordination Unit

POSITION OVERVIEW		Responsible for coordination of donations management. This includes internal organizational elements and resources as well as external partner agencies.
REPORT TO	LOGISTICS CHIEF/COORDINATOR	
PLANS		EOC ACTION PLAN SUPPORTS DEVELOPMENT
FORMS		<ul style="list-style-type: none"> • POSITION JOBAID • EOC-205A COMMUNICATION LIST • EOC-211 CHECK-IN LIST • EOC-214 ACTIVITY LOG • EOC-225 FOR PD CREDENTIALING • DSWV REGISTRATION
TECHNOLOGY		<ul style="list-style-type: none"> • LAPTOP • PHONE (DESK OR CELL)
RESOURCES		<ul style="list-style-type: none"> • WORKSTATION • POSITION BINDER (CAN BE VIRTUAL) • VEST
PROFESSIONAL CREDENTIAL		<p>To receive professional credit for Emergency Management EOC/Career Credentialing, complete and turn in:</p> <p> (EOC-225) to CALOES credentialcoord@caloes.ca.gov</p>

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
DUTIES			
		Works with the Planning Section Staff to identify volunteer needs develops a plan to distribute these volunteers to necessary places.	
		Coordinates with the Resources Unit to track all volunteer resources.	
ACTIVATION			
		Check in at the EOC.  (FORM EOC-211, FORM EOC-205A)	
		Assist with EOC Set-up (If not already fully set-up).	
		Check workstation to ensure readiness.	
		Wear identification vest and read over job aid.	
		Receive situation, section and position briefing from available and appropriate personnel.	
		Ensure readiness to maintain concise records of position activities  (FORM EOC-214)	
RESPONSE			
		Staffs Volunteer Team in the EOC and supports the Planning Section Resource Unit and the Logistics Section Supply Unit.	
		Establishes one or more assembly and staging sites for volunteers to report for credential screening and potential assignment (Volunteer Reception Centers).	
		Manages the Volunteer DSWV process including document management.  (FORM DSWV REGISTRATION)	
SHIFT CHANGE/TRANSFER OF DUTIES			
		Provide turnover briefing to position replacement.	
		Provide details regarding ongoing activities and planned activities to be accomplished during the upcoming operational period.  (FORM USE CURRENT POSITION JOBAID)  (FORM USE CURRENT EOC-214)	

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
		Provide all completed documentation to the Documentation Unit.	
		Follow EOC check out procedures, including signing out, workstation clean-up and forwarding phone number where you can be reached.  (FORM EOC-211, FORM EOC-205A)	
DEMOBILIZATION			
		Deactivate position when authorized by EOC Director and follow Demobilization Unit Leader directions/plan.	
		<ul style="list-style-type: none"> • Complete all required forms, reports, and other documentation. • Provide all completed documentation to the Documentation Unit, prior to your departure. • Turn over financial information to Finance/Administration Section Coordinator. 	
		Clean up your work area before you leave.	
		Provide a forwarding phone number where you can be reached.	
		Be prepared to provide input to the after-action report.	

SHIFT/STAFF CHANGE

TASKS (PENDING)

NOTES

Name:

Date:

Forwarding

Phone #: _____

Time: _____ **am / pm**

3.5 Finance/Administration Section

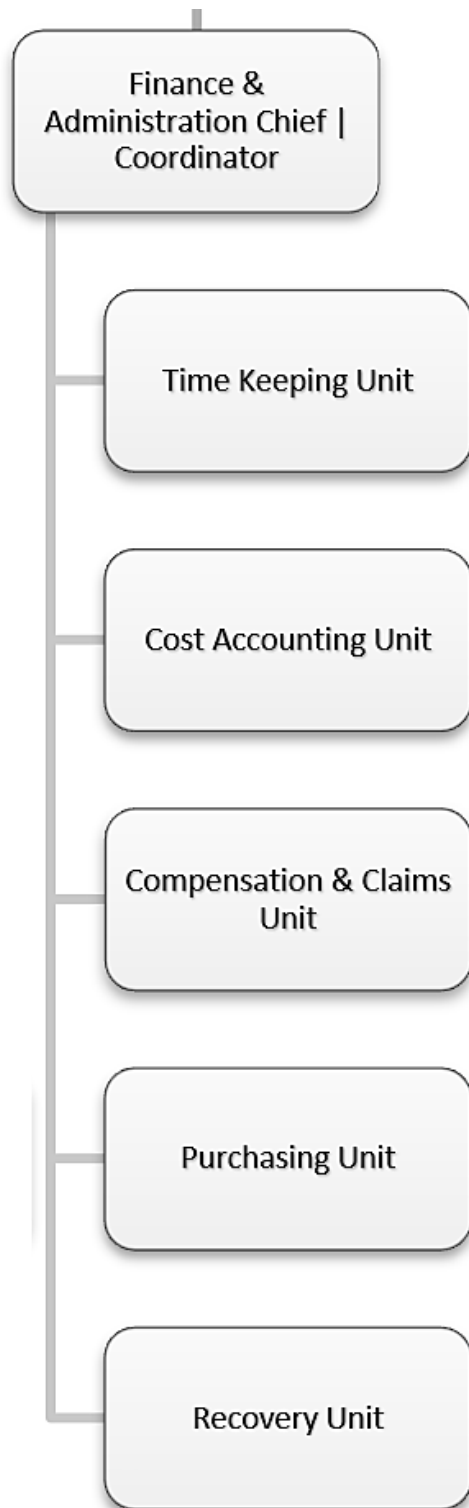


Figure 9: EOC Finance & Administration Section

This section contains functional section and position descriptions, responsibilities, and jobaids for personnel assigned to the Finance & Administration Section of the City EOC. Jobaids describe the minimum actions that should be accomplished by personnel assigned to functional positions within the section.

Section Overview:








- The Finance & Administration Section is responsible for providing financial support and coordination.


Section Responsibilities Include:


- Protect Life, Property, and the Environment
- Provide Continuity of Financial Support to the City and Community
- Document and Manage City costs and recovery of those costs as allowable
- Maintain a positive image for the City in its dealings with the community




Figure 9: EOC Finance & Administration Section, above, shows all the positions that are part of the EOC Finance & Administration Section.

JobAid: Finance & Administration Chief/Coordinator

POSITION OVERVIEW		Responsible for the financial support, response, and recovery for the incident
REPORT	TO	MANAGEMENT EOC DIRECTOR
PLANS & REPORTS		ASSESS, TRACKS, AND ORGANIZE COST OF IMPLEMENTATION PER STATE AND FEDERAL COST RECOVERY GUIDELINES
FORMS, GUIDES		<p>FORMS</p> <ul style="list-style-type: none"> • POSITION JOBAID • EOC-205A COMMUNICATION LIST • EOC-211 CHECK-IN LIST • EOC-214 ACTIVITY LOG • EOC-225 FOR PD CREDENTIALING <p>GUIDES</p> <ul style="list-style-type: none"> • PA DAMAGE CATEGORIES
TECHNOLOGY		<ul style="list-style-type: none"> • LAPTOP • PHONE (DESK OR CELL)
RESOURCES		<ul style="list-style-type: none"> • WORKSTATION • POSITION BINDER (CAN BE VIRTUAL) • VEST
PROFESSIONAL CREDENTIAL		<p>To receive professional credit for Emergency Management EOC/Career Credentialing, complete and turn in:</p> <p> (EOC-225) to CALOES credentialcoord@caloes.ca.gov</p>

TYPE	TIME	STATUS C=Complete I=In-Progress P=Pending
DUTIES		
	Ensure that all financial records are maintained throughout the emergency.	
	Ensure that all on-duty time is recorded for all emergency response personnel.	
	Ensure that all on-duty time sheets are collected from EOC staff; Departments are collecting these from DOC staff, and Field Supervisors /Incident Commanders are for their staff.	
	Ensure there is a continuum of the payroll process for all employees responding to the emergency.	
	Determine/remind individuals of purchase order limits for the procurement function in Logistics.	
	Ensure that workers' compensation claims, resulting from the response are processed within a reasonable time.	
	Ensure that all travel and expense claims are processed within a reasonable time.	
	Provide administrative support to all EOC Sections as required, in coordination with the Personnel Unit.	
	<ul style="list-style-type: none"> • Activate units within the Finance/Administration Section as required. • Monitor section activities continuously and modify the organization as needed. 	
	Ensure that all recovery documentation is accurately maintained and submitted on the appropriate forms to the Federal Emergency Management Agency (FEMA) and/or the Governor's Office of Emergency Services.	
	Supervise the Finance/Administration Section.	
ACTIVATION		
	Check in at the EOC.  (FORM EOC-211, FORM EOC-205A)	
	Assist with EOC Set-up (If not already fully set-up).	
	Check workstation to ensure readiness.	

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
		Wear identification vest and read over job aid.	
		Receive situation, section and position briefing from available and appropriate personnel.	
		Ensure readiness to maintain concise records of position activities.  (FORM EOC-214)	
		Ensure that the Finance/Administration Section is set up properly and that appropriate personnel, equipment, and supplies are in place.	
		Based on the situation, activate units within section as needed and designate Unit Coordinators for each element: <input type="checkbox"/> Time Keeping Unit <input type="checkbox"/> Cost Accounting Unit <input type="checkbox"/> Compensation & Claims Unit <input type="checkbox"/> Purchasing Unit <input type="checkbox"/> Recovery Unit	
		Ensure that sufficient staff are available for a 24-hour schedule, or as required.	
		<ul style="list-style-type: none"> • Meet with the Logistics Section Coordinator and review financial and administrative support requirements and procedures. • Determine the level of purchasing authority to be delegated to Logistics Section. 	
		Meet with all Unit Leaders and ensure that responsibilities are clearly understood.	
		In conjunction with Unit Leaders, determine the initial Action Planning objectives for the first operational period.	
		Notify the EOC Director when the Finance/Administration Section is operational.	
		Adopt a proactive attitude, thinking ahead and anticipating situations and problems before they occur.	
RESPONSE			
		Ensure that Finance/Administration Section position logs and other necessary files are maintained.	
		Ensure that displays associated with the Finance/Administrative Section are current, and that information is posted in a legible and concise manner.	

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
		Participate in all Action Planning meetings.	
		Brief all Unit Leaders and ensure they are aware of the EOC objectives as defined in the Action Plan.	
		Keep the EOC Director, General Staff, and elected/other officials aware of the current fiscal situation and other related matters, on an on-going basis.	
		Ensure that the Recovery Unit maintains all financial records throughout the emergency.	
		Ensure that the Time Keeping Unit tracks and records all agency staff time.	
		In coordination with the Logistics Section, ensure that the Purchasing Unit processes purchase orders and develops contracts in a timely manner.	
		Ensure that the Compensation & Claims Unit processes all workers' compensation claims, resulting from the emergency, in a reasonable timeframe, given the nature of the situation.	
		Ensure that the Time-Keeping Unit processes all timesheets and travel expense claims promptly.	
		Ensure that the Finance/Administration Section provides administrative support to other EOC Sections as required.	
		Ensure that all recovery documentation is accurately maintained by the Recovery Unit during the response and submitted on the appropriate forms to Federal Emergency Management Agency (FEMA) and/or the Governor's Office of Emergency Services.	
SHIFT CHANGE/TRANSFER OF DUTIES			
		Provide turnover briefing to position replacement.	
		Provide details regarding ongoing activities and planned activities to be accomplished during the upcoming operational period.  (FORM USE CURRENT POSITION JOBAID)  (FORM USE CURRENT EOC-214)	
		Provide all completed documentation to the Documentation Unit	
		Follow EOC check out procedures, including signing out, workstation clean-up and forwarding phone number where you can be reached.  (FORM EOC-211, FORM EOC-205A)	

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
DEMOBILIZATION			
		Deactivate appropriate Section Positions when authorized by EOC Director and follow Demobilization Unit Leader directions/plan.	
		<ul style="list-style-type: none"> • Identify staff to support on-going Recovery Operations and Recovery Plan. • Advise identified staff on their continual support role. 	
		Complete all required forms, reports, and other documentation. Provide all completed documentation to the Documentation Unit, prior to departure.	
		Clean up your work area before you leave.	
		Provide a forwarding phone number where you can be reached.	
		Be prepared to provide input to the after-action report.	
TERMINATION			
		Transition over to Recovery Operations and support Recovery Manager in tracking per project costs as directed by FEMA cost recovery and public assistance guidelines.	

SHIFT/STAFF CHANGE

TASKS (PENDING)

NOTES

Name:








Forwarding






Phone #: _____




Date:

Time: _____ **am / pm**

JobAid: Time Keeping Unit

POSITION OVERVIEW		Responsible for working with all Department Liaisons and Sections to ensure field units track hours worked by personnel and volunteers & preparing daily personnel time recording documents.
REPORT TO	FINANCE & ADMINISTRATION CHIEF/COORDINATOR	
PLANS & REPORTS		SUPPORTS ASSESSMENT, TRACKING, AND ORGANIZATION OF THE COST OF IMPLEMENTATION PER STATE AND FEDERAL COST RECOVERY GUIDELINES
FORMS, GUIDES		<p>FORMS</p> <ul style="list-style-type: none"> • POSITION JOBAID • RESOURCE TRACKING • EOC-205A COMMUNICATION LIST • EOC-210 RESOURCE STATUS CHANGE • EOC-211 CHECK-IN LIST • EOC-214 ACTIVITY LOG • EOC-225 FOR PD CREDENTIALING <p>GUIDES</p> <ul style="list-style-type: none"> • PA DAMAGE CATEGORIES
TECHNOLOGY		<ul style="list-style-type: none"> • LAPTOP • PHONE (DESK OR CELL)
RESOURCES		<ul style="list-style-type: none"> • WORKSTATION • POSITION BINDER (CAN BE VIRTUAL) • VEST
PROFESSIONAL CREDENTIAL		<p>To receive professional credit for Emergency Management EOC/Career Credentialing, complete and turn in:  (EOC-225) to CALOES credentialcoord@caloes.ca.gov</p>

TYPE	TIME	STATUS C=Complete I=In-Progress P=Pending
DUTIES		
	Track, record, and report all on-duty time for personnel working during the emergency.	
	Ensure that personnel time records, travel expense claims and other related forms are prepared and submitted to budget and payroll office.	
	Supervise the Time Keeping Unit.	
ACTIVATION		
	Check in at the EOC  (FORM EOC-211, FORM EOC-205A)	
	Assist with EOC Set-up (If not already fully set-up)	
	Check workstation to ensure readiness	
	Wear identification vest and read over job aid.	
	Receive situation, section and position briefing from available and appropriate personnel.	
	Ensure readiness to maintain concise records of position activities  (FORM EOC-214)	
RESPONSE		
	Establish and maintain a time keeping system.  (FORM EOC-211)  (FORM RESOURCE TRACKING)  (FORM EOC-210)	
	<ul style="list-style-type: none"> • Initiate, gather, or update time reports from all personnel, to include volunteers assigned to each shift. • Ensure that time records are accurate and prepared in compliance with policy. 	
	<ul style="list-style-type: none"> • Obtain complete personnel rosters from the Personnel Unit. • Rosters must include all EOC personnel as well as personnel assigned to the field level. 	
	Provide instructions for all supervisors to ensure that time sheets and travel expense claims are completed properly and signed by each employee prior to submitting them.	

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
		<ul style="list-style-type: none"> Establish a file for each employee or volunteer within the first operational period. Maintain a fiscal record for as long as the employee is assigned to the response. 	
		Keep the Finance/Administration Section Coordinator informed of significant issues affecting the Time-Keeping Unit.	
SHIFT CHANGE/TRANSFER OF DUTIES			
		Provide turnover briefing to position replacement.	
		Provide details regarding ongoing activities and planned activities to be accomplished during the upcoming operational period.  (FORM USE CURRENT POSITION JOBAID)  (FORM USE CURRENT EOC-214)	
		Provide all completed documentation to the Documentation Unit	
		Follow EOC check out procedures, including signing out, workstation clean-up and forwarding phone number where you can be reached.  (FORM EOC-211, FORM EOC-205A)	
DEMOBILIZATION			
		Deactivate position when authorized by Finance/Administration Section Coordinator and follow Demobilization Unit Leader directions/plan.	
		<ul style="list-style-type: none"> Complete all required forms, reports, and other documentation. Provide all completed documentation to the Documentation Unit, prior to your departure. Turn over financial information to Finance/Administration Section Coordinator. 	
		Clean up your work area before you leave.	
		Provide a forwarding phone number where you can be reached.	
		Be prepared to provide input to the after-action report.	

SHIFT/STAFF CHANGE

TASKS (PENDING)

NOTES

Name:






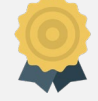

Forwarding




Phone #: _____






Date:

Time: _____ **am / pm**

JobAid: Compensation & Claims Unit

POSITION OVERVIEW		Responsible for investigating and processing physical-injury and property-damage claims arising from emergency/disaster incident
REPORT	TO	FINANCE & ADMINISTRATION CHIEF/COORDINATOR
PLANS		SUPPORTS ASSESSMENT, TRACKING, AND ORGANIZATION OF THE COST OF IMPLEMENTATION PER STATE AND FEDERAL COST RECOVERY GUIDELINES
FORMS, GUIDES		<p>FORMS</p> <ul style="list-style-type: none"> • POSITION JOBAID • EOC-205A COMMUNICATION LIST • EOC-208 SAFETY MESSAGE • EOC-211 CHECK-IN LIST • EOC-215A SAFETY ANALYSIS • EOC-214 ACTIVITY LOG • EOC-225 FOR PD CREDENTIALING • EOC-227 CLAIMS LOG <p>GUIDES</p> <ul style="list-style-type: none"> • PA DAMAGE CATEGORIES
TECHNOLOGY		<ul style="list-style-type: none"> • LAPTOP • PHONE (DESK OR CELL)
RESOURCES		<ul style="list-style-type: none"> • WORKSTATION • POSITION BINDER (CAN BE VIRTUAL) • VEST
PROFESSIONAL CREDENTIAL		<p>To receive professional credit for Emergency Management EOC/Career Credentialing, complete and turn in:</p> <p> (EOC-225) to CALOES credentialcoord@caloes.ca.gov</p>

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
DUTIES			
		Oversee the investigation of injuries and property/equipment damage claims arising out of the emergency.	
		Complete all forms required by worker's compensation program.	
		Maintain a file of injuries and illnesses associated with the emergency which includes results of investigations.	
		Supervise the Compensation and Claims Unit.	
ACTIVATION			
		Check in at the EOC.  (FORM EOC-211, FORM EOC-205A)	
		Assist with EOC Set-up (If not already fully set-up).	
		Check workstation to ensure readiness.	
		Wear identification vest and read over job aid.	
		Receive situation, section and position briefing from available and appropriate personnel.	
		Ensure readiness to maintain concise records of position activities.  (FORM EOC-214)	
RESPONSE			
		Establish and maintain a compensation and claims system.	
		Maintain a chronological log of injuries and illnesses, and property damage reported during the emergency.  (FORM EOC-227)	
		Investigate all injury and damage claims as soon as possible.	
		Prepare appropriate forms for all verifiable injury claims and forward them to Workmen's Compensations within the required time frame consistent with jurisdiction's policy & procedures.	

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
		Coordinate with the Safety Officer regarding the mitigation of hazards.  (FORM EOC-208)  (FORM EOC-215A)	
		Keep the Finance/Administration Coordinator informed of significant issues affecting the Compensation and Claims Unit.	
		Forward all equipment or property damage claims to the Recovery Unit.	
SHIFT CHANGE/TRANSFER OF DUTIES			
		Provide turnover briefing to position replacement.	
		Provide details regarding ongoing activities and planned activities to be accomplished during the upcoming operational period.  (FORM USE CURRENT POSITION JOBAID)  (FORM USE CURRENT EOC-214)	
		Provide all completed documentation to the Documentation Unit	
		Follow EOC check out procedures, including signing out, workstation clean-up and forwarding phone number where you can be reached.  (FORM EOC-211, FORM EOC-205A)	
DEMOBILIZATION			
		<ul style="list-style-type: none"> Deactivate position when authorized by EOC Director and directed by Section Coordinator. Follow Demobilization Unit Leader directions/plan. 	
		<ul style="list-style-type: none"> Complete all required forms, reports, and other documentation. Provide all completed documentation to the Documentation Unit, prior to your departure. Turn over financial information to Finance/Administration Section Coordinator. 	
		Clean up your work area before you leave.	
		Provide a forwarding phone number where you can be reached.	
		Be prepared to provide input to the after-action report.	

SHIFT/STAFF CHANGE

TASKS (PENDING)

NOTES

Name:








Forwarding



Phone #: _____




Date:

Time: _____ **am / pm**

JobAid: Purchasing Unit

POSITION OVERVIEW		Responsible for financial matters involving vendor contracts
REPORT TO		FINANCE & ADMINISTRATION CHIEF/COORDINATOR
PLANS		SUPPORTS ASSESSMENT, TRACKING, AND ORGANIZATION OF THE COST OF IMPLEMENTATION PER STATE AND FEDERAL COST RECOVERY GUIDELINES
FORMS, GUIDES		<p>FORMS</p> <ul style="list-style-type: none"> • POSITION JOBAID • EOC-205A COMMUNICATION LIST • EOC-211 CHECK-IN LIST • EOC-214 ACTIVITY LOG • EOC-225 FOR PD CREDENTIALING <p>GUIDES</p> <ul style="list-style-type: none"> • PA DAMAGE CATEGORIES
TECHNOLOGY		<ul style="list-style-type: none"> • LAPTOP • PHONE (DESK OR CELL)
RESOURCES		<ul style="list-style-type: none"> • WORKSTATION • POSITION BINDER (CAN BE VIRTUAL) • VEST
PROFESSIONAL CREDENTIAL		<p>To receive professional credit for Emergency Management EOC/Career Credentialing, complete and turn in:</p> <p> (EOC-225) to CALOES credentialcoord@caloes.ca.gov</p>

TYPE	TIME	STATUS C=Complete I=In-Progress P=Pending
DUTIES		
	Coordinate vendor contracts not previously addressed by existing approved vendor lists.	
	Coordinate with Supply/Procurement Unit on all matters involving the need to exceed established purchase order limits.	
	Supervise the Purchasing Unit.	
ACTIVATION		
	Check in at the EOC.  (FORM EOC-211, FORM EOC-205A)	
	Assist with EOC Set-up (If not already fully set-up).	
	Check workstation to ensure readiness.	
	Wear identification vest and read over job aid.	
	Receive situation, section and position briefing from available and appropriate personnel.	
	Ensure readiness to maintain concise records of position activities.  (FORM EOC-214)	
RESPONSE		
	Establish and maintain a purchasing system.	
	Review the emergency purchasing procedures.	
	Prepare and sign contracts as needed, be sure to obtain concurrence from the Finance/ Administration Section Coordinator.	
	Ensure that all contracts identify the scope of work and specific site locations.	
	Negotiate rental rates not already established, or purchase price with vendors as required.	
	Admonish vendors as necessary, regarding unethical business practices, such as inflating prices or rental rates for their merchandise or equipment during emergencies.	

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
		Finalize all agreements and contracts, as required.	
		Complete final processing and send documents to Budget and Payroll for payment.	
		Verify costs data in the pre-established vendor contracts and/or agreements.	
		In coordination with the Logistics Section, ensure that the Purchasing Unit processes purchase orders and develops contracts in a timely manner.	
		Keep the Finance/Administration Section Coordinator informed of all significant issues involving the Purchasing Unit.	
SHIFT CHANGE/TRANSFER OF DUTIES			
		Provide turnover briefing to position replacement.	
		Provide details regarding ongoing activities and planned activities to be accomplished during the upcoming operational period.  (FORM USE CURRENT POSITION JOBAID)  (FORM USE CURRENT EOC-214)	
		Provide all completed documentation to the Documentation Unit.	
		Follow EOC check out procedures, including signing out, workstation clean-up and forwarding phone number where you can be reached.  (FORM EOC-211, FORM EOC-205A)	
DEMOBILIZATION			
		<ul style="list-style-type: none"> Deactivate position when authorized by EOC Director and directed by Section Coordinator. Follow Demobilization Unit Leader directions/plan. 	
		<ul style="list-style-type: none"> Complete all required forms, reports, and other documentation. Provide all completed documentation to the Documentation Unit, prior to your departure. Turn over financial information to Finance/Administration Section Coordinator. 	
		Clean up your work area before you leave.	
		Provide a forwarding phone number where you can be reached.	

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
		Be prepared to provide input to the after-action report.	

SHIFT/STAFF CHANGE

TASKS (PENDING)

NOTES

Name:

Date:






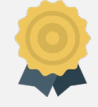

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JobAid: Recovery Unit

POSITION OVERVIEW		Responsible for executing procedures to capture and document costs relating to a disaster/emergency
REPORT TO	FINANCE & ADMINISTRATION CHIEF/COORDINATOR	
PLANS & REPORTS		SUPPORTS ASSESSMENT, TRACKING, AND ORGANIZATION OF THE COST OF IMPLEMENTATION PER STATE AND FEDERAL COST RECOVERY GUIDELINES AFTER ACTION REPORT
FORMS, GUIDES		FORMS <ul style="list-style-type: none"> • POSITION JOBAID • EOC-205A COMMUNICATION LIST • EOC-211 CHECK-IN LIST • EOC-214 ACTIVITY LOG • EOC-225 FOR PD CREDENTIALING GUIDES <ul style="list-style-type: none"> • PA DAMAGE CATEGORIES
TECHNOLOGY		<ul style="list-style-type: none"> • LAPTOP • PHONE (DESK OR CELL)
RESOURCES		<ul style="list-style-type: none"> • WORKSTATION • POSITION BINDER (CAN BE VIRTUAL) • VEST
PROFESSIONAL CREDENTIAL		To receive professional credit for Emergency Management EOC/Career Credentialing, complete and turn in:  (EOC-225) to CALOES credentialcoord@caloes.ca.gov

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
DUTIES			
		Determine impacts of the emergency requiring recovery planning.	
		Initiate recovery-planning meetings with appropriate individuals and agencies.	
		Develop the initial recovery plan and strategy for the jurisdiction.	
		Ensure that all appropriate agencies are kept informed and have the opportunity to participate in the recovery planning process.	
		Develop the strategy to transition from recovery planning in the EOC to a wider post-emergency recovery effort.	
		Supervise the Recovery Unit.	
ACTIVATION			
		Check in at the EOC.  (FORM EOC-211, FORM EOC-205A)	
		Assist with EOC Set-up (If not already fully set-up).	
		Check workstation to ensure readiness.	
		Wear identification vest and read over job aid.	
		Receive situation, section and position briefing from available and appropriate personnel.	
		Ensure readiness to maintain concise records of position activities.  (FORM EOC-214)	
RESPONSE			
		Establish and maintain a recovery system.	
		Monitor the current situation report to include recent updates and determine overall impacts of the emergency.	
		Based on available information, prepare an initial estimate of likely recovery issues that must be addressed. Document these in a preliminary report.	

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
		Coordinate with the Advance Planning Unit to determine major mid-to-long range social, economic, environmental and political impacts.	
		Assist the Operational Area as necessary in determining appropriate sites for Disaster Application Centers.	
		Facilitate recovery planning meetings involving appropriate Management and General Staff personnel and other agencies as needed.	
		Develop a recovery plan and strategy for the jurisdiction or agency.	
		Coordinate with Finance/Administration to ensure that FEMA, OES and other public reimbursement source documents and applications are consistent with the recovery strategy.	
		In conjunction with Finance/Administration, ensure that specific project timelines are developed to meet the goals and objectives of the recovery plan.	
SHIFT CHANGE/TRANSFER OF DUTIES			
		Provide turnover briefing to position replacement.	
		Provide details regarding ongoing activities and planned activities to be accomplished during the upcoming operational period.  (FORM USE CURRENT POSITION JOBAID)  (FORM USE CURRENT EOC-214)	
		Provide all completed documentation to the Documentation Unit.	
		Follow EOC check out procedures, including signing out, workstation clean-up and forwarding phone number where you can be reached.  (FORM EOC-211, FORM EOC-205A)	
DEMOBILIZATION			
		<ul style="list-style-type: none"> Deactivate position when authorized by EOC Director and directed by Section Coordinator. Follow Demobilization Unit Leader directions/plan. 	
		<ul style="list-style-type: none"> Complete all required forms, reports, and other documentation. Provide all completed documentation to the Documentation Unit, prior to your departure. Turn over financial information to Finance/Administration Section Coordinator. 	

TYPE	TIME		STATUS C=Complete I=In-Progress P=Pending
		Clean up your work area before you leave.	
		Provide a forwarding phone number where you can be reached.	
		Assists the EOC Coordinator and Planning & Intelligence Section with preparing the After-Action Report.  (REPORT AFTER ACTION)	

SHIFT/STAFF CHANGE

TASKS (PENDING)

NOTES

Name:

Forwarding

Phone #: _____

Date:

Time: _____ **am / pm**

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4 EOC Forms & Tools

4.1 EOC Action Planning

EOC Action Planning is a process that allows for the coordination of EOC activities and the development of the EOC Action Plan.

The EOC Action Plan (EAP) is a printed document which outlines the priorities and planned response of the organization for a defined operational period (time period).

During the initial stages of incident management, EOC staff must develop a simple plan that can be communicated through concise verbal briefings. Frequently, this plan must be developed very quickly and with incomplete information. As the incident management effort evolves over time with additional lead time, staff, information, more detailed and concise EOC Action Plans are created.

Overall – planning involves the following 5 phases:

1. Understanding the situation
2. Establishing incident objectives
3. Developing the Plan
4. Preparing and Disseminating the Plan
5. Executing, Evaluating and Revising the Plan

The basis for an efficient and effective EOC Action Planning process begin with the development and maintenance of a common operating picture.

4.1.1 Common Operating Picture Guidance

In order to develop a common operating picture emergency management organization member must exercise effective situational awareness.

Situational Awareness is the ability to identify, process, and comprehend the critical information about an incident – knowing what is going on around you [requiring] continuous monitoring of relevant sources of information regarding actual incidents and developing hazards (National Response Framework).

Elements of situational awareness include:

- Perception (Gather information)
- Comprehension (Interpret information)
- Projection (Anticipate future status and needs)

Situational awareness can be obtained through the following sources:

- Responders and government agencies
- 911 centers
- Citizens
- Media

- Social media
- Non-governmental organizations (NGOs)

Situational awareness information compiled together is used to develop a common operating picture.

A common operating picture is a continuously updated overview of an incident compiled throughout an incident's life cycle from data shared between integrated systems for communication, information management, and intelligence and information sharing (NRF Resource Center).

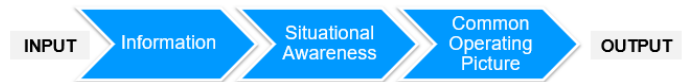
Having a common operating picture enables:

- Enable effective and timely decision-making
- Increase collaboration among all responders and disseminates pertinent information
- Improve incident safety
- Inform predictions and proactive response
- Help ensure consistency of messages

A common operating picture contains the following elements:

- Data: Collect bits from various sources
- Information: Bits are put together
- Intelligence: Analyze the information
- Make recommendations for decisions

Situational awareness influences the development of a common operating picture and follows the following input/output process.

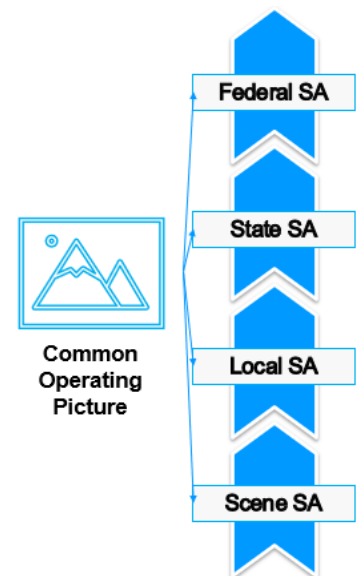


Situational Awareness shared at every SEMS level through a common operating picture helps others achieve overall incident situational awareness as shown in the diagram on the right.

If an event is not continuously monitored and the common operating picture updated and shared, situational awareness will decrease and an inaccurate operating picture will result.

Situational awareness and common operating picture information can be shared through:

- Senior leadership briefs
- Formal reports
- Information gathered from Incident/EOC Action Plans (I/EAPs), Situation Reports (SITREPs), etc.



4.1.2 Planning P

The Planning “P” is a guide to the action planning process. The Planning “P” can be used for both smaller, short-term incidents or events, and for longer, more complex incident planning.

The Planning “P” depicts the stages in the action planning process.

The leg of the “P” includes initial steps to gain awareness of the situation and establish the organization for incident management. Steps in Phase 1 are done only one time. Once they are accomplished, incident management shifts into a cycle of planning and operations, that continues and is repeated each operational period. In this way, the Planning “P” becomes the Planning “O” after the first operation period.

Figure x: Planning P...

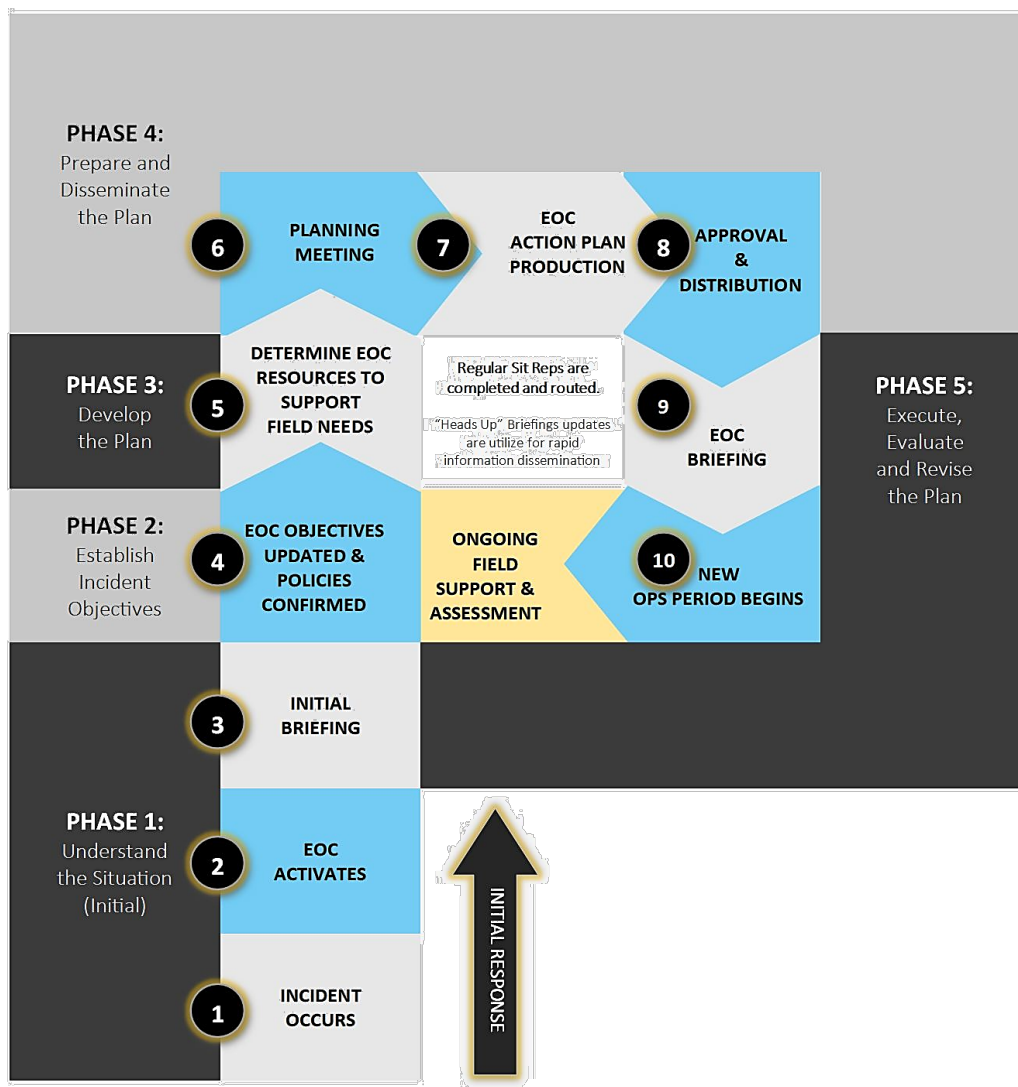


Figure: Planning P

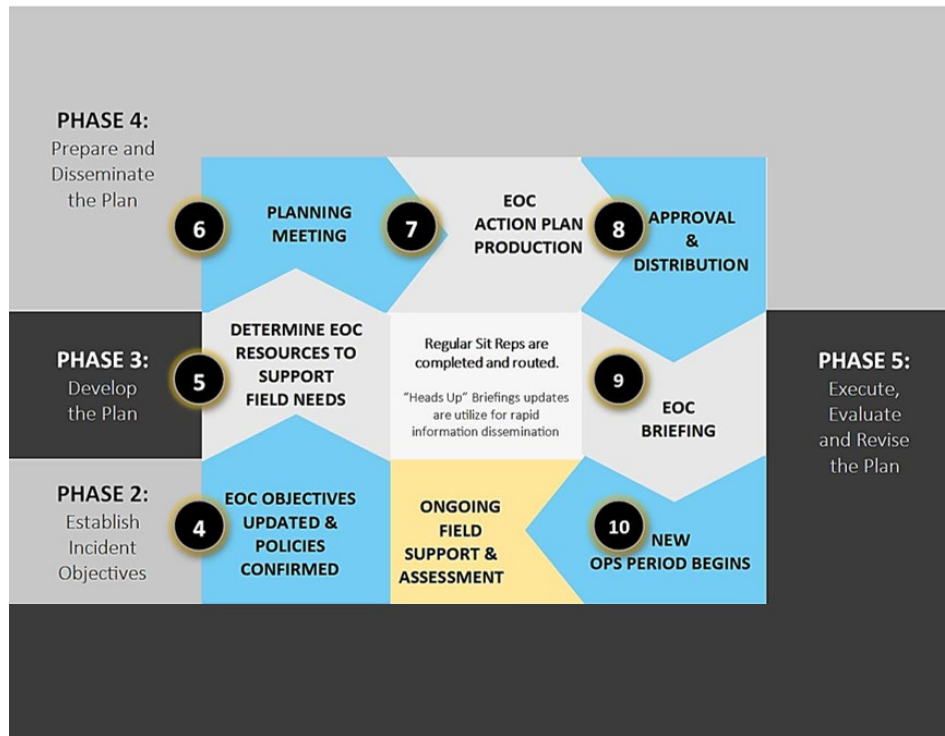
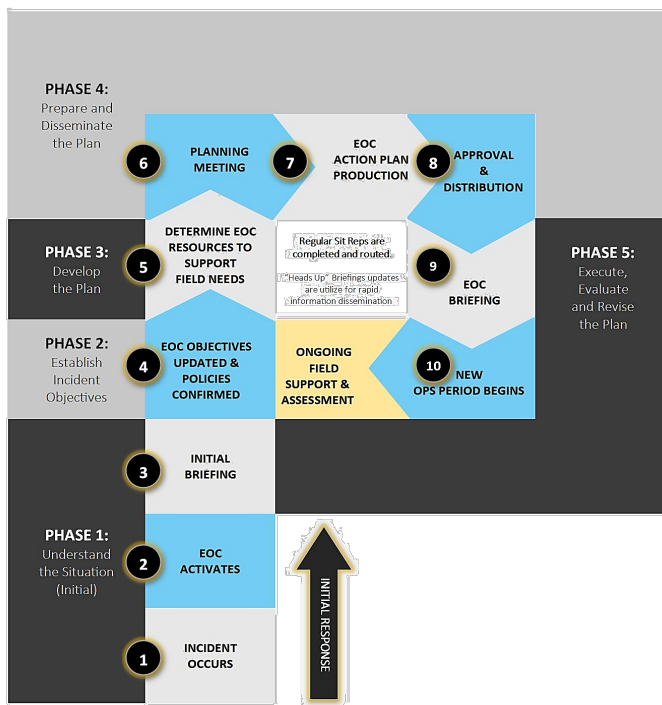


Figure: Ongoing O

4.1.3 Planning P Meeting Agendas

The following are example Planning P meeting details and agendas:



Initial Briefing Meeting (Planning P Step 3):

Meeting Called By: EOC Director

Attended By: All EOC personnel deemed necessary by the EOC Director.

Led By: EOC Director or Designee (ex: P&I Section Chief/Coordinator)

Purpose: Provide information on current on-scene operations, agency and jurisdictional concerns and establish working EOC organization.

Outcome: Organizational Structure and Common Operating Picture!

Ground Rules:

- Cell Phone on Silent or Vibrate
- Come Prepared for each meeting
- No side conversations
- Ask questions if you don't understand
- Take Notes
- Stick to agenda

Agenda/Flow

- EOC Director brings meeting to order, conducts roll call, covers ground rules and reviews the agenda
- Introduce EOC Management and General Staff
- Provide situation update to include:
 1. What has happened
 2. Affected areas and individuals
 3. Incident Command Post Objectives and Priorities if known (ICS-201 for Field)
 4. Activated emergency response facilities
 5. Jurisdictions and agencies involved
 6. Any actions we have taken
 7. Safety Concerns
 8. Agency or jurisdiction restrictions
- Verify that Incident commander(s), Area Command(s), supporting EOCs, DOCs, and coordinating agencies have been informed that the EOC is staffed and operational.
- Establish the following:
 - Event name
 - Operational period duration and work shift hours
 - Initial goals and objectives
 - EOC staffing organization, structure, pattern
 - Meeting schedule
- All resource requests will be facilitated through the EOC.
- Agree on unified logistics approach to resource ordering procedures to follow.
- Agree on resource authorization procedures.
- Agree on Information/Intelligence matters and the flow of information into the EOC and vetted information out of the EOC.
- Next meeting EOC Objectives meeting.
- Prepare for the Objectives Meeting.

Objectives Updates & Policy Confirmation Meeting (Planning P Step 4):

Meeting Called By: EOC Director

Attended By: Management & General Staff

Led By: Planning & Intelligence Chief/Coordinator or Designee

Purpose: Develop EOC objectives to support on-scene and EOC operations and confirm policies.

Outcome: EOC objectives updated and policies confirmed.

Ground Rules:

- Cell Phone on Silent or Vibrate
- Come Prepared for each meeting
- No side conversations
- Ask questions if you don't understand
- Take Notes
- Stick to agenda

Agenda:

- P&I Section Chief/Coordinator (PSC) brings meeting to order, conducts roll call, covers ground rules and reviews the agenda
- Review and /or update key current actions
- Review current and projected situation
- Set prioritized SMART objectives in support of field Incident Commander(s) considering on-scene incident objectives/resource priorities, limitations, and constraints
- Discuss the incidents potential for the next operational period
- Review and confirm policies by EOC Management with input from General Staff which may include:
 - Managing sensitive information/intelligence
 - Information flow into and out of the EOC
 - Resource ordering process
 - Cost sharing and cost accounting (Finance/Admin.)
 - Operational security issues
 - Establishment of a JIC
- Review, document, and/or resolve status of any open actions.

Resource Meeting (Planning P Step 5):

Meeting Called By: EOC Director

Attended By: Management & General Staff (other EOC positions as appropriate)

Led By: Planning & Intelligence Chief/Coordinator or Designee

Purpose: Develop a unified EOC strategy to support emergency management and on-scene operation resource needs.

Outcome: Resources identified to support emergency management and field needs.

Ground Rules:

- Cell Phone on Silent or Vibrate
- Come Prepared for each meeting
- No side conversations
- Ask questions if you don't understand
- Take Notes
- Stick to agenda

Agenda:

- P&I Section Chief/Coordinator brings meeting to order, conducts roll call, covers ground rules and reviews the agenda
- Review current and projected incident situation
- Review and /or update key current actions
- Review coordination and support objectives and ensures accountability for each
- Resources on-scene, en-route, and ordered are identified (Plans Section and Operations Section)
- Resource priorities are discussed P&I Section Chief/Coordinator and Operations Section Chief/Coordinator
- PSC and OSC develop strategic and resource needs
- Logs Section Chief/Coordinator verify support requirements and contributes logistics info as necessary
- Logs Section Chief/Coordinator reviews resource ordering process
- F&A Section Chief/Coordinator evaluates funding /fiscal implications
- Quick recap of the meeting and assignments
- End meeting and prepare for Planning Meeting
- Sections/Staff conduct break out meetings to fill in the information gaps that may exist
- Prepare for Planning Meeting

Planning Meeting (Planning P Step 6):

Meeting Called By: EOC Director

Attended By: Management & General Staff (other EOC positions as appropriate)

Led By: Planning & Intelligence Chief/Coordinator or Designee

Purpose: Validate EOC Action Plan components: objectives, policies, authorities, resources etc.

Outcome: Validation of EOC Action Plan.

Ground Rules:

- Cell Phone on Silent or Vibrate
- Come Prepared for each meeting
- No side conversations
- Ask questions if you don't understand
- Take Notes
- Stick to agenda

Agenda:

- Planning & Intelligence Chief/Coordinator brings meeting to order, conducts roll call, covers ground rules and reviews the agenda
- EOC Director provides opening remarks
- Situation Unit provides briefing on current situation, resources at risk, weather forecast, and incident projections.
- Planning & Intelligence Chief/Coordinator reviews coordination and support priorities, objectives, and decisions
- Operations Section Chief/Coordinator provides briefing on current operations followed with an overview on the proposed plan including strategy work assignments, resource commitment, contingencies, Operations Section organizational structure, and needed support facilities
- Planning & Intelligence Chief/Coordinator reviews Operations Section Chief/Coordinator proposed plan to ensure that the EOC Management Priorities and operational objectives are met.
- Planning & Intelligence Chief/Coordinator reviews and validates responsibility for any open actions/tasks and management objectives.
 - Planning & Intelligence Chief/Coordinator conducts round robin of EOC Management Group and Management Staff members to solicit their final input and commitment to the proposed plan.
 - Logistics Section Chief/Coordinator covers transport, communications and supply updates and issues,
 - Finance Section Chief/Coordinator covers fiscal issues,
 - Public Information Officer covers public affairs and public information issues,
 - Liaison Officer covers interagency issues, and
 - Safety Officer covers any safety concerns or considerations

- Planning & Intelligence Chief/Coordinator requests EOC Management Group's approval of the plan as presented. EOC Management Group may provide final comments
- Planning & Intelligence Chief/Coordinator issues assignments to appropriate EOC members for developing Coordination Plan support documentation along with deadlines.
- Planning Section prepares the EOC Action Plan using the forms and /or format as described in the EOP or determined during the Planning meeting preparation phase.
- Sections conduct break out meetings to fill in the information gaps that may exist.

EOC Briefing Meeting

(Planning P Step 9):

Meeting Called By: EOC Director

Attended By: All EOC personnel

Led By: Planning & Intelligence Chief/Coordinator or Designee

Purpose: To brief the oncoming shift on the EOC Action Plan and status of on-scene operations

Outcome: Oncoming shift understands EOC Action Plan and situation to execute

Ground Rules:

- Cell Phone on Silent or Vibrate
- Come Prepared for each meeting
- No side conversations
- Ask questions if you don't understand
- Take Notes
- Stick to agenda

Agenda:

- Planning & Intelligence Chief/Coordinator brings meeting to order, conducts roll call for personnel required to attend both incoming and out-going shift, covers ground rules and reviews the agenda
- EOC Director provides opening remarks
- Planning & Intelligence Chief/Coordinator reviews objectives and any changes to the EOC Action Plan
- Situation Unit conducts Situation Briefing.
- Operations Section Chief/Coordinator discusses current response actions and accomplishments.
- Logistics Section Chief/Coordinator covers transport, communications, and supply updates
- Finance Section Chief/Coordinator covers fiscal issues.
- Public Information Officer covers public affairs and public information issues
- Safety Officer covers any safety concerns or considerations
- Liaison Officer covers interagency issues and Intel covers intelligence issues
- Planning & Intelligence Chief/Coordinator solicits final comments and adjourns briefing.
- Out-going Sections Chiefs/Coordinators conduct individual break out meetings with the on-coming Section Chiefs/Coordinators to complete process

4.1.4 EOC Action Plan

4.1.4.1 EOC ACTION PLAN TEMPLATE

OVERVIEW:

Event Name:

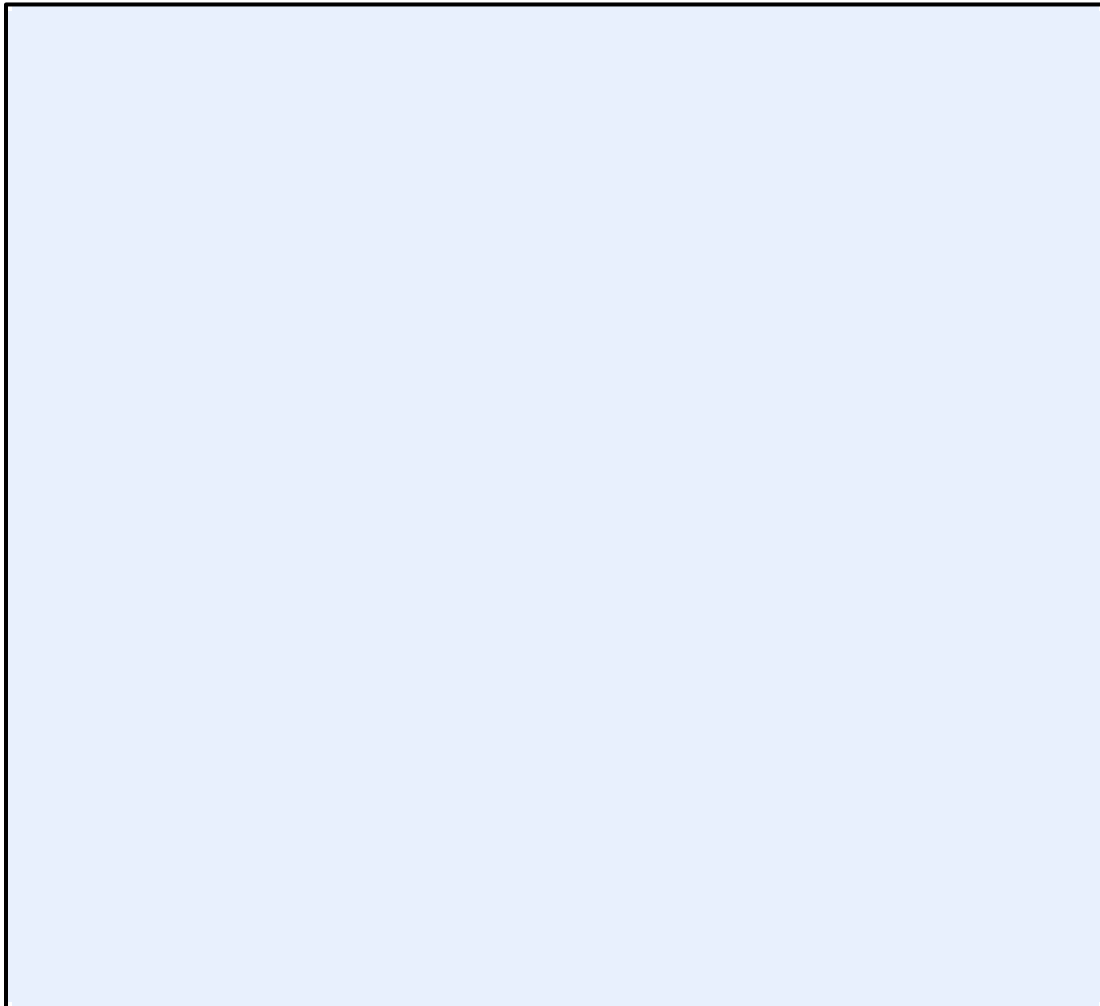
Operational Period:

Jurisdiction:

Date Prepared:

Time Prepared:

MAP SKETCH:



Prepared By:

Approved By:

SUMMARY OF PRIORITIES, OBJECTIVES AND ACTIONS

Overall Event Priorities

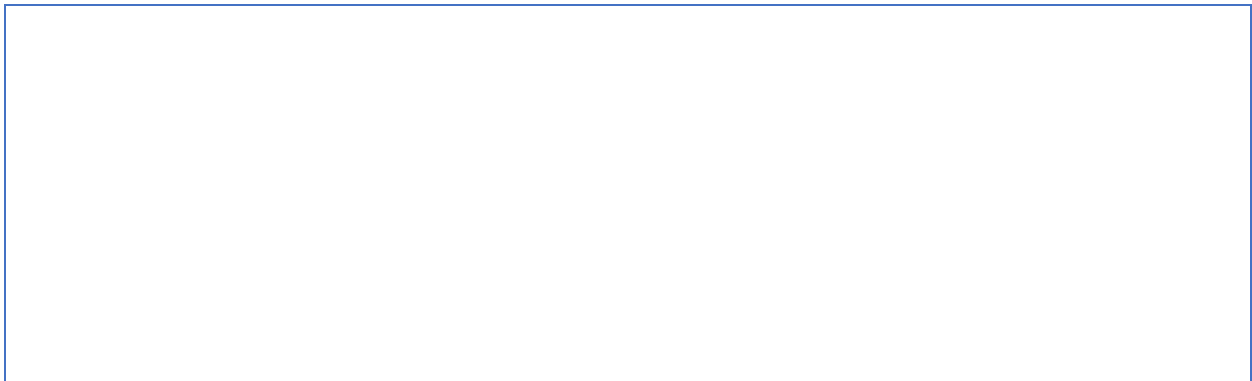
Management Section Objectives

Operations Section Objectives

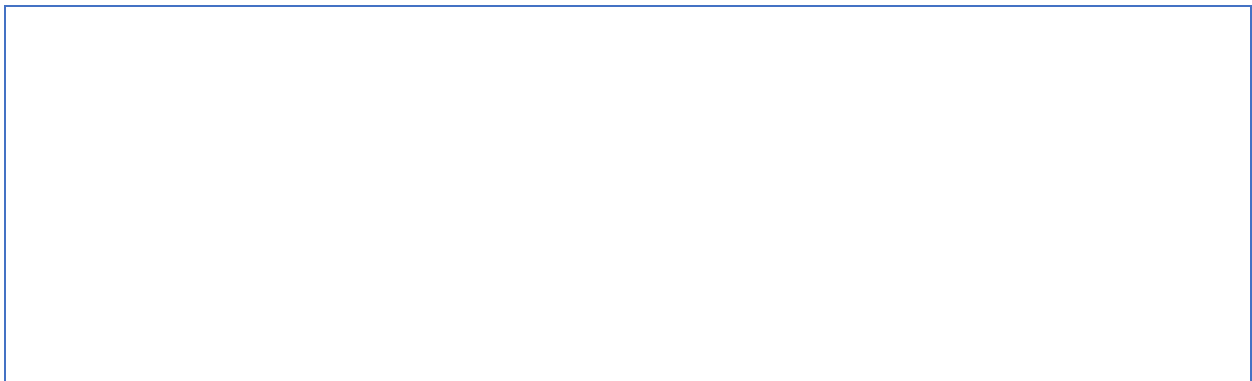
Planning Section Objectives



Logistics Section Objectives



Finance/ Administration Section Objectives



Organizational Chart:



Weather Impacts on Operations:

Weather Forecast 5-Day

Weather Maps:

Additional Attachments

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4.1.4.1 EOC Action Plan [Example]

OVERVIEW:

Event Name: *Earthquake*

Operational Period: *1*

Jurisdiction: *Hazard City*

Date Prepared: *mm/dd/yyyy*

Time Prepared: *9:00am*

MAP SKETCH:



Prepared By: *First Last, Planning Section Chief*

Approved By: *First Last, EOC Director*

SUMMARY OF PRIORITIES, OBJECTIVES AND ACTIONS

Overall Event Priorities

1. Life safety
2. Incident stabilization
3. Preservation of the Environment/Property
4. Damage Assessments

Management Section Objectives

1. In the next hour proclaim a Local Emergency
2. In the next hour issue a mass notification message with basic direction to affected residents reminding them of jurisdictional earthquake protocol
4. In the next 2 hours brief jurisdictional leadership on status of situation
5. In the next 6 hours set-up a call center and form a joint information center with larger jurisdiction

Operations Section Objectives

6. In the next 6 hours access main roads in jurisdiction to determine if they are safe and passable for first responder vehicles
8. In the next 24 hours identify at least safe locations for displaced residents and set-up 1 shelter locations
9. In the next 24 hours assess and tag priority 1 pre-identified buildings in jurisdiction
11. In the next 24 hours, assess debris conditions and develop a removal plan

Planning Section Objectives

7. In the next 12 hours complete 1 planning cycle and distribute EOC action plan

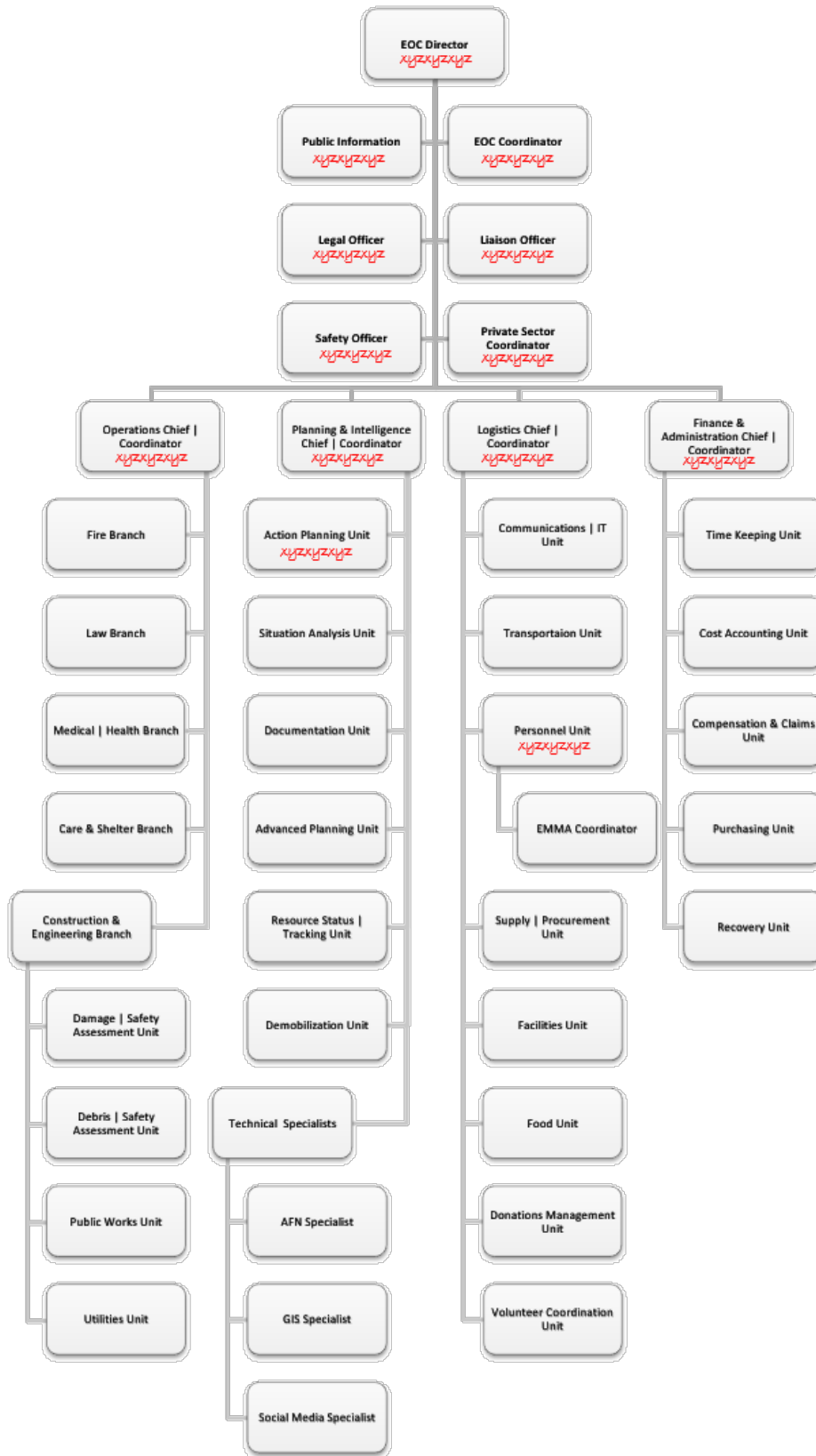
Logistics Section Objectives

10. In the next 24 hours, identify needs and work on requesting/procuring and providing preliminary life sustaining commodities for citizens

Finance/ Administration Section Objectives

3. In the next hour set-up incident project code to begin tracking cost associated with incident







Organizational Chart:



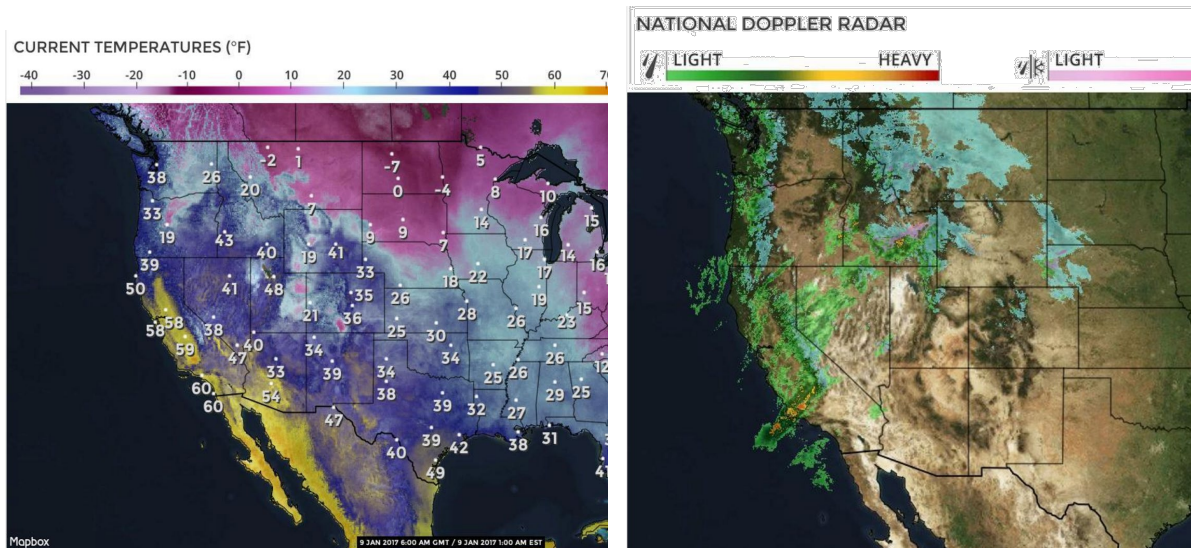
Weather Impacts on Operations:

None are forecasted.

Weather Forecast 5-Day

DAY		HIGH/LOW	PRECIP	WIND	HUMIDITY	UV INDEX	SUNRISE	SUNSET
TONIGHT JAN 8		--/49°	10%	SW 14 mph	91%	0 of 10	↑ 7:24 am ↓ 5:03 pm	
MON JAN 9		54°/49°	20%	SSW 15 mph	82%	1 of 10	↑ 7:24 am ↓ 5:04 pm	
TUE JAN 10		54°/49°	100%	SSE 24 mph	96%	0 of 10	↑ 7:24 am ↓ 5:05 pm	
WED JAN 11		55°/41°	20%	SW 13 mph	78%	2 of 10	↑ 7:24 am ↓ 5:06 pm	
THU JAN 12		50°/37°	20%	N 10 mph	82%	2 of 10	↑ 7:24 am ↓ 5:07 pm	
FRI JAN 13		55°/39°	0%	N 7 mph	59%	2 of 10	↑ 7:23 am ↓ 5:09 pm	

Weather Maps:



Additional Attachments











None.













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4.1.5 EOC Forms

The table below list all available EOC forms.

Note that these forms can be accessed in two ways: through hard copies in the EOC and Alternate EOC; and by clicking on the file names in the electronic version of this plan.

#	Name	Form
1.	FORM_EOC 201_Incident Briefing	 FORM_EOC 201_Incident Briefin
2.	FORM_EOC 202_Incident Objectives	 FORM_EOC 202_Incident Object
3.	FORM_EOC 205A_Communication List	 FORM_EOC 205A_Communicatio
4.	FORM_EOC 207_Organization Chart	 FORM_EOC 207_Organization Cl
5.	FORM_EOC 208_Safety Message	 FORM_EOC 208_Safety Message
6.	FORM_EOC 209_Incident Status Summary	 FORM_EOC 209_Incident Status
7.	FORM_EOC 210_Resource Status Change	 FORM_EOC 210_Resource Status
8.	FORM_EOC 211_Check-In	 FORM_EOC 211_Check-In.docx
9.	FORM_EOC 213_Resource Request	 FORM_EOC 213_Resource Reque
10.	FORM_EOC 214_Activity Log	 FORM_EOC 214_Activity Log.doc



#	Name	Form
11.	FORM_EOC 215_Resource Planning Worksheet	 FORM_EOC 215_Resource Plann
12.	FORM_EOC 215A_Safety Analysis	 FORM_EOC 215A_Safety Analysis
13.	FORM_EOC 226_Individual Performance Rating	 FORM_EOC 226_Individual Perfo
14.	FORM_EOC 227_Claims Log	 FORM_EOC 227_Claims Log.doc
15.	FORM_EOC 230_Daily Meeting Schedule	 FORM_EOC 230_Daily Meeting S
16.	FORM_F&A_Cost Worksheet	 FORM_F&A_Cost Worksheet.docx
17.	FORM_F&A_Initial Damage Estimate	 FORM_F&A_Initial Damage Estimate.dc
18.	CalEOC IDE	 CalEOC IDE.pdf
19.	FORM_LOGS_DSWV Registration 2013	 FORM_LOGS_DSWV Registration 2013.d
20.	FORM_LOGS_Resource Request	 FORM_LOGS_Resou rce Request.docx
21.	FORM_LOGS_Resource Tracking	 FORM_LOGS_Resou rce Tracking.xlsx
22.	FORM_MGT Media Briefing Schedule	 FORM_MGT Media Briefing Schedule.d












#	Name	Form
23.	FORM_MGT_Disaster Assistance Directory	 FORM_MGT_Disaster Assistance Directc
24.	FORM_MGT_Media Call	 FORM_MGT_Media Call.docx
25.	FORM_MGT_Press Release	 FORM_MGT_Press Release.docx
26.	FORM_MGT_Proclamation Resolutions	 FORM_MGT_Proclamation Resolutions.
27.	FORM_MGT_Public Call	 FORM_MGT_Public Call.docx
28.	FORM_OPS_Fire Deployed Resources	 FORM_OPS_Fire Deployed Resources
29.	FORM_OPS_Windshield Survey	 FORM_OPS_Windshield Survey.docx

4.1.6 EOC Reports

The table below list all available EOC Report Templates.

Note that these Report Templates can be accessed in two ways: through hard copies in the EOC and Alternate EOC; and by clicking on the file names in the electronic version of this plan.




#	Name	Report Template
1.	REPORT_OPS_Agricultural Status	 REPORT_OPS_Agricultural Status.docx
2.	REPORT_OPS_Communication Status	 REPORT_OPS_Communication Status.d

#	Name	Report Template
3.	REPORT_OPS_Energy Status	 REPORT_OPS_Energy Status.docx
4.	REPORT_OPS_Firefighting Status	 REPORT_OPS_Firefighting Status.docx
5.	REPORT_OPS_Hazmat Status	 REPORT_OPS_Hazmat Status.docx
6.	REPORT_OPS_Mass Care Status	 REPORT_OPS_Mass Care Status.docx
7.	REPORT_OPS_Public Safety Status	 REPORT_OPS_Public Safety Status.docx
8.	REPORT_OPS_Public Works Status	 REPORT_OPS_Public Works Status.docx
9.	REPORT_OPS_Search&Rescue	 REPORT_OPS_Search&Rescue.docx
10.	REPORT_OPS_Transportation Status	 REPORT_OPS_Transportation Status.docx
11.	REPORT_OPS_Utility Status	 REPORT_OPS_Utility Status.docx
12.	REPORT_P&I_Local Government After Action	 REPORT_P&I_Local Government After Action.docx
13.	REPORT_P&I_Situation Status	 REPORT_P&I_Situation Status.docx

4.1.7 EOC Plans

The table below list all available EOC Plan Templates.





Note that these Plan Templates can be accessed in two ways: through hard copies in the EOC and Alternate EOC; and by clicking on the file names in the electronic version of this plan.

#	Name	Plan Template
1.	PLAN_P&I_Advance	 PLAN_P&I_Advance.docx
2.	PLAN_P&I_Demobilization	 PLAN_P&I_Demobilization.docx
3.	PLAN_P&I_EOC Action	 PLAN_P&I_EOC Action.docx

4.1.8 EOC Guides

The table below list all available EOC Guides.

Note that these Guides can be accessed in two ways: through hard copies in the EOC and Alternate EOC; and by clicking on the file names in the electronic version of this plan.

#	Name	Guides
1.	GUIDE_F&A_PA Damage Categories	 GUIDE_F&A_PA Damage Categories.
2.	GUIDE_MGT_77 Most Asked Questions in an Emergency	 GUIDE_MGT_77 Most Asked Questions
3.	GUIDE_MGT_Emergency Alert System (EAS)	 GUIDE_MGT_Emergency Alert System (EAS)
4.	GUIDE_MGT_EPI-JIC SOP	 GUIDE_MGT_EPI-JIC SOP.docx

5. GUIDE_MGT_Legal Authorities



GUIDE_MGT_Legal
Authorities.docx

6. GUIDE_MGT_Recovery Plan_Project Management



GUIDE_MGT_Recov
ery Plan_Project Mar

7. GUIDE_P&I_EOC Org Chart



GUIDE_P&I_EOC
Org Chart.docx

8. GUIDE_P&I_Planning P



GUIDE_P&I_Plannin
g P.docx

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ATTACHMENT 4
Earthquake Annex

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City of South Pasadena

Emergency Operations Plan



EARTHQUAKE ANNEX

June 2022

Approved: _____ Title: _____ Date: _____

FOREWORD

The Southern California area sits on some of the most unstable ground in the country. Some 10 million people work and live above the 200+ known earthquake faults throughout the Region. Earthquake faults are a result of tectonic plates pushing together, 6 to 15 miles beneath the earth's surface. The movement between the North American Plate and the Pacific Plate pushes Los Angeles County north, about 1 ¾ inches per year. Los Angeles County is 3 meters (10 ft) closer to San Francisco today than it was in 1924.

Southern California experiences more than 200,000 earthquakes every decade. Fortunately, most are too small to be felt. Notable exceptions are the Sylmar earthquake, February 9, 1971; the Whittier earthquake, October 1, 1987; and the Northridge earthquake, January 17, 1994. Seismologists predict an 80 to 90% probability, of a magnitude 7+ earthquake in Los Angeles, before 2024. Because of those predictions, South Pasadena remains on constant alert to seismic activity.

When a "major earthquake" strikes the City of South Pasadena, the entire City will experience significant impact but it is unlikely that the entire City will be totally devastated. There will be pockets of damage with lesser amounts of damage, over a wide area. The infrastructure will sustain substantial damage including structure collapse and the interruption of transportation routes, utilities, and communications. The City's Public Safety Departments may respond to numerous fires, persons trapped in collapsed structures, hazardous materials releases, traffic collisions, and a variety of medical emergencies.

The City of South Pasadena Earthquake Annex has been developed, to be a guide, for Earthquake Emergency Operations.

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MANAGEMENT AND ORGANIZATION

Unlike most other large emergency incidents that may impact South Pasadena, a major earthquake has the potential to impact the entire City at one time. Therefore, the command structure in the City may be more complex, and involve more levels than most other incidents. For any earthquake causing significant damage within the City of South Pasadena, the Emergency Operations Center (EOC) may be activated, and field operations may be controlled under an Area Command structure. All operations will be conducted under standard Incident Command System principles.

INCIDENT COMMAND SYSTEM

Incident Command will be handled by a Unified Command. Unified Command is a team effort process that allows all agencies, with political, geographical, or functional responsibility for an incident, to establish a common set of incident objectives and strategies, that all can agree upon. Command may be unified for geographic or political reasons.

CITY EMERGENCY OPERATIONS ORGANIZATION

During a local emergency, the City Manager is the Director of the Emergency Services (Municipal Code Sect. 11). As Director, the City Manager is authorized to promulgate, issue and enforce rules, regulations, orders, and directives that he/she considers necessary for the protection of life and property. The City Manager exercises full authority over operations of the various City Departments.

DEPARTMENT HEAD POSITION CHECKLIST

- Check-in upon arrival at the EOC.
- Obtain a briefing on the situation.
- Determine your personal operating location and set up as necessary.
- Clarify any issues regarding your authority and assignment and what others in the organization do.
- Participate, as member of Emergency Operations Center general staff.
- Provide effective oversight and management of all department operations.
- Ensure that field command personnel have a clear understanding of department policies, expectations, limitations, and priorities.
- Evaluate the need for, and request mutual aid resources.
- Resolve conflicts concerning overall response priorities, strategies, and/or resource use. Work with staff to establish priority use for scarce resources.
- Work with information officer to develop media strategy.

AREA COMMAND

Area Command is an incident command tool, primarily designed to assist in managing a very large incident or portions thereof, where multiple incident management teams are assigned. Area Command is responsible for the overall direction of multiple incident command teams. This includes insuring that conflicts are resolved, incident objectives are established, and strategies are selected for the use of critical resources. It may be pre-established for “predicted earthquakes,” it may be established spontaneously following an earthquake. When Area Command is established, Incident Commanders, for the incidents under its authority, will report to the Area Commander. For incidents under its authority, Area Command has the responsibility to:

- Set overall incident related priorities.
- Allocate critical resources, based on priorities.
- Ensure that incidents are properly managed.
- Ensure that incident(s) objectives are met and do not conflict with each other or with City policy.

The *Unified Area Command* organization in our City initially will normally consist of the South Pasadena Fire Department (SPFD) Battalion 9 Chief and the South Pasadena Police Department (SPPD) Watch Commander. Unified Area Command will be established simultaneous with the City-wide drive through windshield survey by SPFD and SPPD units.

Major events such as earthquakes, floods, civil disturbances, multiple wildland fires, or terrorist activity may create a large number of incidents. Due to their size and potential impact, these events provide an appropriate environment for the possible use of *Area Command*.

As with any element of Incident Command System (ICS), the use of *Area Command* is incident driven and will be implemented to meet the *span of control* needs of a dynamic event. Area Command may also be pre-designated for significant situations such as earthquake or anticipated civil disturbance. It may be implemented City-wide or any other selected geographic area.

In areas of concentrated damage or large numbers of incidents, the area command may be divided further into Zones as previously described. Each Zone Commander reports to the Area Commander.

In the City of South Pasadena, Area or Zone Commands are normally established in three predesignated areas:

Area/ Zone 1 – North of Mission Street

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Area/ Zone 2 – South of Mission Street, West of Meridian Avenue

Area/ Zone 3 – South of Mission Street, East of Meridian Avenue

PUBLIC SAFETY DEPARTMENTS INITIAL PRIORITIES

- During an earthquake all public safety shall seek shelter for personal protection using the “duck, cover, and hold on” method.
- Once shaking has stopped, all response vehicles shall be removed from their designated area to their earthquake safe area.
- City infrastructure of fire station, city hall, and public works shall be assessed by Fire Department personnel. The Police Station shall be assessed by the Police Department.
- Fire and Police personnel assessing the infrastructure shall check with the Department Head or supervisors for individual department accountability of personnel.
- Fire and Police personnel shall report status of facilities to their respective Unified Area Commander.

RECONNAISSANCE OF THE CITY

- After the City Hall complex has been assessed, E81, RA 81, and SPPD Patrol Units should conduct a reconnaissance of the City using the pre-designated reconnaissance routes and information sheets. A code-3, emergency lights and siren, survey is to be conducted unless otherwise instructed by the Unified Area Command.
- Only significant findings are to be reported to the Unified Area Command. It is imperative to complete a thorough survey of the City. However, this should not eliminate the opportunity for immediate action if necessary to save a life or keep a fire from spreading. Fire and Police personnel recognizing the need to take immediate action shall communicate the circumstances to the Unified Area Commanders.
- Fire and Police units shall return to the Unified Area Command Post when their respective reconnaissance is complete and provide documentation of the status of structures, transportation route, or infrastructure damage.
- The Unified Area Command will inform Verdugo; the Chief of Police and Fire Chief using the Earthquake Visual Intensity Scale (EVIS), and status of public safety resources in the City.

OPENING OF THE EMERGENCY OPERATIONS CENTER (EOC)

- In the absence of the Fire Chief, or the Police Chief, the Unified Area Commanders will be responsible for opening the EOC if necessary. If the Unified Area Commanders are unavailable, the on-duty Fire Captain or Watch Commander will open the EOC as time permits.

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- The “ACTIVATION STEPS” binder located in the EOC that should be used as a guide for personnel opening the EOC.

SOUTH PASADENA POLICE DEPARTMENT (SPPD) AND VERDUGO FIRE COMMUNICATIONS CENTER (VFCC) OPERATIONAL PROCEDURES

When VFCC and the SPPD dispatch are fully operational, calls for service will be sent to the Unified Area Commanders (UAC, BC9 and WC) to prioritize, dispatch and track resources. However, the Unified Area Commanders may, at any time, based on the complexity, severity, and number of incidents occurring within a specific geographic area, create a Zone Command using the above pre-determined areas or designate their own impact areas to ensure an appropriate span of control. That decision will be incident driven.

The Battalion 9 Command Vehicle is set up to become the UAC with additional radios, and cellphones. If available, the front of San Marino Fire Station apron (driveway) is the primary safe area for the Fire Department, and should serve as a primary location for a Unified Area Command Post. In this scenario Battalion 9 Chief Officer will need to communicate with SPPD via radio. If Battalion 9 is not in quarters at Fire Station 91, the safe area front apron at Fire Station 81 may also serve as the Unified Area Command Post, Battalion 9 Chief Officer will need to operate with the SMPD via radio.

Commented [DM1]: Verify station #

Commented [EZ2R1]: This is correct. So Pas is 81. San Marino is 91

If there is a low volume of emergency incidents following an earthquake and no observable damage, SPPD and VFCC will return to normal dispatching. SPFD and SPPD may resume normal operations, and in this scenario VFCC remains fully operational and retains control of field resources, Area Commanders will not be dispatching or tracking resources.

If the earthquake intensity or damage is observed, SPPD Dispatch, VFCC and the Area Commanders will attempt to make a smooth transition of calls for service to the Unified Area Command. Information from the VFCC will be transmitted electronically to the ACP (Area Command Post). SPPD Dispatch will transmit calls for service via radio or runner. The ACP will then prioritize, assign resources, track, and dispose of the incident, as appropriate.

RESPONSE IF VFCC IS NON-OPERATIONAL

If VFCC is non-operational, the UAC becomes the basis of the organization. The UAC will function as an independent operational system, within the City of South Pasadena. The UAC will provide coordination and control of activities within that area. Calls for service will be transmitted from SPPD Dispatch directly to the UAC by radio, cell phone or runner.

The UAC will assume Unit status-keeping and dispatch responsibilities within the City. Incidents that are reported during the district survey (“Still alarms”) will be identified by sequential incident numbers starting with the number “1”(one). The UAC will be responsible for assigning incident numbers to all incidents identified in the field.

The UAC will report to the City of South Pasadena Emergency Operations Center, if and when it is established. The UAC will normally be established in a safe area in front of Fire Station 91.

DISASTER MODE

When a citizen calls the Department and requests assistance, the Public Safety Departments have a “duty to respond.” This legal responsibility can be broken by direct notification to the caller that “the City of South Pasadena is in the Disaster Mode and will not respond to your call, until the situation is known.” Calls will be cataloged and transmitted to the Area Commanders for triage and follow up as resources permit. Incident information will be transmitted to the ACP, via electronic or other means. The ACP will then prioritize, assign resources, track, and closure of the incident, as appropriate.

AREA COMMANDER POSITION CHECKLIST

- ❑ Obtain incident briefing.
- ❑ Obtain and carry out the delegation of authority, from department command, for overall management and direction of incidents within the designated area command.
- ❑ Notify Verdugo Fire Communications (VFCC) of Area Command perimeters along with requesting additional radio channels, resources and staging location(s).
- ❑ Establish appropriate location for area command post, usually the safe area apron for Fire Station 91 or Station 81.
- ❑ Determine and implement appropriate area command organization.
- ❑ Establish reporting relationships for incident commanders within the designated area command.
- ❑ Determine need for, and request, technical specialists, and cooperating or assisting agency representatives.
- ❑ Obtain incident briefing and incident action plans from incident commanders, as appropriate.
- ❑ Periodically conduct joint meetings with incident commanders, as appropriate (assess incident situations and review incident objectives and strategies, prior to strategy meetings).
- ❑ Make priority decisions on critical resource needs.
- ❑ Maintain close coordination with adjacent jurisdictions.
- ❑ Approve incident commanders’ requests for, and release of, critical resources.

- ❑ Approve demobilization plans.
- ❑ Ensure that all incidents have incident numbers assigned, either by VFCC or by area command (see incident numbering).
- ❑ Maintain a log of major actions / decisions.

ZONE COMMAND POSITION CHECKLIST

- ❑ Conduct apparatus radio check in on Zone Tactical channel (Fire Red 7, or Red 11 b/u).
- ❑ Assume command of assigned resources.
- ❑ Initiate district drive through and have companies relay damage assessments, once completed assign resources based upon greatest need and potential impact.
- ❑ Establish appropriate location for Zone command post.
- ❑ Communicate resource requests and resource availability to Area Command.
- ❑ Develop communications plan within Battalion including available cell phone numbers of commanders.
- ❑ Obtain incident briefings and incident action plans from incident commanders, as appropriate.
- ❑ Ensure companies begin documentation using ICS 214 forms.
- ❑ Identify logistical needs and coordinate with Area Command.
- ❑ Ensure that all incidents have incident numbers assigned either by VFCC or by area command (see incident numbering).
- ❑ Maintain activity log.

EMERGENCY OPERATIONS CENTER ACTIVATION MATRIX

CITY OF SOUTH PASADENA – EMERGENCY OPERATIONS CENTER – ACTIVATION MATRIX				
EVENT CHARACTERISTICS	EXAMPLES AND	THREAT ASSESSMENT	CITY RESPONSE LEVEL	RESPONSE ACTIONS
<p>Earthquake Predictions/Advisories – Level One</p> <p>Severe Weather Advisories</p> <p>Minor Localized Incidents Involving Two or More Departments</p> <p>Generally Short-Term with Four-to-Twelve Hours of Concern</p>		LOW RISK	LEVEL THREE	<p>Initially activate and brief Level Three EOC staff.</p> <p>Any staff specifically required by the requesting agency or EOC Director.</p>
<p>Earthquake Predictions/Advisories – Level Two, Three</p> <p>Moderate Earthquake Affecting the City of South Pasadena</p> <p>Major Fire, Wind, or Rain Storm Affecting the City of South Pasadena</p> <p>Two or More Large Incidents Involving Two or More Departments</p> <p>Longer Term Incident – Two or More Shifts</p>		MEDIUM RISK	LEVEL TWO	<p>Activate and brief Level Two EOC staff to include all those enumerated in Figure 4-5:</p> <ul style="list-style-type: none"> • All EOC Section Coordinators • Liaison representatives as appropriate <p>Any staff specifically required by the requesting agency or EOC Director</p>
<p>City-wide or Regional Emergency</p> <p>Three or More Departments with Life Safety Impacts</p> <p>Mutual Aid Resources May Not Be Available for Twenty-Four Hours or More</p> <p>Long Duration, Several Days to Weeks</p>		HIGH RISK	LEVEL ONE	<p>Activate and brief Full Response Organization, staff to include those enumerated in Figure 4-6.</p> <p>Any staff specifically required by the EOC Director Operate on twelve hour shifts.</p>

EARTHQUAKE OPERATIONS

The severity of an earthquake can be expressed in terms of both *intensity* and *magnitude*. However, the two terms are quite different, and they are often confused. Intensity is based on the observed effects of ground shaking on people, buildings, and natural features. It varies from place to place within the disturbed region depending on the location of the observer with respect to the earthquake epicenter. Magnitude is related to the amount of seismic energy released at the hypocenter of the earthquake. It is based on the amplitude of the earthquake waves recorded on instruments. The magnitude of an earthquake is represented by a single, instrumentally determined value.

Seismic waves are the vibrations from earthquakes that travel through the Earth; they are recorded on seismographs. Seismographs record a zig-zag trace that shows the varying amplitude of ground oscillations beneath the instrument. The time, location, and magnitude of an earthquake can be determined from the data recorded by seismograph stations.

The Richter magnitude scale was developed as a mathematical device to compare the size of earthquakes. The magnitude of an earthquake is determined from the logarithm of the amplitude of waves recorded by seismographs. Adjustments are included in the magnitude formula to compensate for the variation in the distance between the various seismographs and the epicenter of the earthquakes. On the Richter Scale, magnitude is expressed in whole numbers and decimal fractions. For example, a magnitude of 5.3 might be computed for a moderate earthquake, and a strong earthquake might be rated as magnitude 6.3. Because of the logarithmic basis of the scale, each whole number increase in magnitude represents a tenfold increase in measured amplitude; as an estimate of energy, each whole number step in the magnitude scale corresponds to the release of about 31 times more energy than the amount associated with the preceding whole number value.

EMERGENCY MODE (EEM)

The City Public Safety Departments will go into Emergency Mode any time a detectable earthquake tremor is felt. It will remain in that mode until either the Battalion Chief and Watch Commander determines otherwise. The intensity and impact of the event will determine the level of response.

All personnel are responsible for their own preparedness. During an earthquake, City employees shall seek the closest safe refuge and assist others in doing the same. They shall follow their respective Department Emergency Plans and assist fellow workers.

When VFCC becomes aware that an earthquake was felt, the dispatch center will immediately go into the *Emergency Mode*. VFCC will notify all VFCC fire stations, and

announce their operational capability. SPFD and SPPD will immediately vacate quarters and respond to their pre-designated “safe location.” Public Safety resources will operate from their pre-designated safe location, pending direction from the Unified Area Command.

The Battalion 9 Commander will, as soon as practical, notify the SPPD, that the SPFD is in the *Emergency Mode*.

If the earthquake was felt at their location, or as directed by the Battalion Commander, SPFD and SPPD resources will immediately commence a drive-through survey of their district. The drive-through shall be done in the “emergency” mode, unless otherwise directed by the Unified Area Command.

Fire Companies and Patrol Units will follow a pre-designated route, paying specific attention to buildings with a high potential for life loss. They will also evaluate the impact on the infrastructure, including transportation routes, utilities, bridges, and public services. All identified problems should be documented and significant problems shall be reported immediately to the UAC.

While it is clear that the best way to get a comprehensive view of the City is through a thorough a ground survey, it may be unreasonable to expect ground resources in impacted areas to complete their surveys. The UAC will have to evaluate and prioritize incidents, based on the probability of significant injuries or potential for lives saved. **When SPPD or SPFD feels compelled to stop at an incident and begin rescue, EMS, or suppression operations, the UAC Commanders shall be notified immediately.**

The UAC will support the operation to whatever extent possible by requesting additional resources through their respective channels. When this occurs, the UAC then becomes responsible for all activities within the areas of the City that have not undergone a complete ground survey.

The UAC shall prioritize incidents and dispatch the minimal amount of resources possible. If available, additional resources may be sent to more complex incidents, when requested by on-scene officers. Resources may be dispatched in configurations that are most appropriate to the incident, this may include individual units, fire companies, Task Forces, or Strike Teams.

Strategic priorities shall be:

- Protecting life
- Protecting property
- Protecting the environment

All operations should be accomplished in the safest manner possible.

NOTE: This Annex matches the City of San Marino Annex and operations are based on the Area Command expectations of Verdugo Fire Communications.

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ATTACHMENT 5
Heat Emergency Annex

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City of South Pasadena

Emergency Operations Plan



Extreme Heat / Power Interruption Annex

June 2022

Approved _____ Title: _____ Date: _____

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PURPOSE

The purpose of this plan is to guide decision makers during extreme heat conditions or when a power shutoff or a rotating outage is impacting South Pasadena. This plan identifies resources, actions and critical issues regarding an extreme heat event, including monitoring, public information, and cooling centers. This document is intended to be used by the City Manager, Police Department, Fire Department, Public Works and Community Services once an Excess Heat Warning has been issued by the National Weather Service (NWS) or power shutoff or rotating outages are impacting South Pasadena.

DECISION POINTS

This plan will be activated by any Executive Team member when any one of the following occur:

- Heat Advisory issued by the NWS for the Los Angeles/ Oxnard Zone
- Predicted 100-degree weather in South Pasadena for 3 or more days
- California Independent Service Operator (CAISO) issues a Stage 3 Electrical Emergency or rotating outages during an Excessive Heat event (The CAISO is unable to meet minimum contingency reserve requirements, and load interruption is imminent or in progress)

EXTREME WEATHER CONDITIONS

Heat Advisory: A Heat Advisory is issued within 12 hours of the onset of extremely dangerous heat conditions. The National Weather Service (NWS) generally issues an advisory when the maximum heat index temperature is expected to be 100 degrees or higher for at least two days, and night time air temperatures will not drop below 75 degrees.

Excessive Heat Watches: Heat watches are issued when conditions are favorable for an excessive heat event in the next 24 to 72 hours. A Watch is used when the risk of a heat wave has increased but its occurrence and timing are still uncertain.

Excessive Heat Warning: An Excessive Heat Warning is issued within 12 hours of the onset of extremely dangerous heat conditions. In general, the NWS issues a Warning when the maximum heat index temperature is expected to be 105 degrees or higher for at least 2 days and night time air temperatures will not drop below 75 degrees.

The NWS, Oxnard Office, advisories, warnings and watches are based mainly on Heat Index Values. Heat advisories are issued by county when any location within that county is expected to reach criteria. The Heat Index, sometimes referred to as the apparent temperature is given in degrees Fahrenheit. The Heat Index is a measure of how hot it really feels when relative humidity is factored in with the actual air temperature. If NWS forecasters believe conditions will exist for two consecutive days in which vulnerable populations may be impacted, they will issue an alert. A heat advisory means that vulnerable populations can be affected by heat if precautions are not taken.

OBJECTIVES

The overall objectives of the Extreme Heat/Power Interruption Annex are as follows:

- Establish roles and responsibilities for the individual departments.
- Provide a public notification of the warning through multiple platforms.
- Provide guidance for public safety staffing levels.
- Coordinate the public outreach activities when appropriate.
- Facilitate communication between departments in order to make sure the City of South Pasadena is prepared.
- Consider utilizing local volunteer organizations such as Neighborhood Watch to reach-out and assist the elderly and disabled as needed during a prolonged heat event.
- Consider requesting assistance from the South Pasadena Unified School District to provide greater access to District swimming pools during a prolonged, or extreme heat event.

In order to protect life and property, appropriate preparedness and mitigation techniques need to take place which is why this document was created.

Please take the time to familiarize yourself with this plan.

Any questions, comments, and/or updates regarding this plan can be directed to:

Fire Chief Paul Riddle

priddle@southpasadenaca.gov

(626) 403-7300

-Or-

Division Chief Eric Zanteson

ezanteson@southpasadenaca.gov

(626) 403-7300

CONTACTS

Southern California Edison Public Relations Manager
Jeanette Soriano
(626) 221-9311

LEVEL III

Decision Point:	<ul style="list-style-type: none"> • Heat Advisory or Excessive Heat Watch Issued by the National Weather Service for Los Angeles / Oxnard • Predicted 100-degree weather in South Pasadena for 2 or more days in a row
Responsible Department / Agency	Level III – Actions
Emergency Manager / Fire Chief	<ul style="list-style-type: none"> <input type="checkbox"/> Monitor weather information using the National Weather Service data and locally available weather stations. <input type="checkbox"/> Issue crisis communications on the City’s website and social media platforms (Nixle, Facebook, Twitter...). <input type="checkbox"/> Consider activating a resident Support Hotline.
SPPD Command Staff	<ul style="list-style-type: none"> <input type="checkbox"/> Monitor information received from the Fire Department.
Community Services Staff	<ul style="list-style-type: none"> <input type="checkbox"/> Consider establishing a Cooling Center at designated City operated locations for predicted Heat Advisory events. <input type="checkbox"/> Consider extended Public Library hours of operation, and post flyers for resident information.
Public Works Staff	<ul style="list-style-type: none"> <input type="checkbox"/> Send the Emergency Manager / Fire Chief any pertinent information from concerning SP Public Works systems operation. <input type="checkbox"/> Monitor information received from the City’s Emergency Manager / Fire Chief. <input type="checkbox"/> Ensure City fuel supplies are sufficient throughout the heat advisory and extreme heat conditions.
City Manager	<ul style="list-style-type: none"> <input type="checkbox"/> Monitor information received from the Public Safety Chiefs and/or SP Public Works. <input type="checkbox"/> Forward information to City Council as necessary.

LEVEL II

Decision Point:	<ul style="list-style-type: none"> • Excessive Heat Warning Issued by the National Weather Service for Los Angeles / Oxnard • Predicted 105-degree weather in South Pasadena for 2 or more days in a row
Responsible Department / Agency	Level II – Actions
Emergency Manager / Fire Chief	<ul style="list-style-type: none"> <input type="checkbox"/> Monitor weather information using the National Weather Service data and locally available weather stations. <input type="checkbox"/> Issue an Excessive Heat Warning Press Release to the local news media as well as placing it on the City’s website. <input type="checkbox"/> Post Excessive Heat information on the Police Department’s social media platforms (Nixle, Facebook, Twitter etc.). <input type="checkbox"/> Post press release and create an event situation status for Excessive Heat Warning to Los Angeles County Operational Area Response and Recovery System (OARRS). <input type="checkbox"/> Consider activation of the EOC to Level III for monitoring of the event. <input type="checkbox"/> Consider change to Employee Information Hotline messaging. <input type="checkbox"/> Activate the Resident Support Hotline.
SPPD Command Staff	<ul style="list-style-type: none"> <input type="checkbox"/> Monitor information received from the Fire Department.
Community Services Staff	<ul style="list-style-type: none"> <input type="checkbox"/> Establish Cooling Centers at the Public Library for the predicted Heat Advisory events. <input type="checkbox"/> Consider extended Public Library hours of operation, and post flyers for resident information.
Public Works Staff	<ul style="list-style-type: none"> <input type="checkbox"/> Send the Emergency Manager / Fire Chief any pertinent information concerning SP Public Works systems operation. <input type="checkbox"/> Monitor information received from the City’s Emergency Manager / Fire Chief. <input type="checkbox"/> Ensure City fuel supplies are sufficient throughout the extreme heat conditions.
City Manager	<ul style="list-style-type: none"> <input type="checkbox"/> Monitor information received from the Public Safety Chiefs and/or SP Public Works. <input type="checkbox"/> Forward information to City Council as necessary.

LEVEL I

Decision Point:	<ul style="list-style-type: none"> CAISO issues a Stage 3 Electrical Emergency or rotating outages.
Responsible Department / Agency	Level I – Actions
Emergency Manager / Fire Chief	<ul style="list-style-type: none"> <input type="checkbox"/> Monitor weather information using the National Weather Service data and locally available weather stations. <input type="checkbox"/> Complete necessary items from the Level II Checklist. <input type="checkbox"/> Consider activating the EOC to support Stage 3 Electrical Emergency or rotating outages. <input type="checkbox"/> Post press release and create an event situation status for Power Interruption to OARRS. <input type="checkbox"/> Consider activating Community Alerting processes such as Connect South Pasadena <input type="checkbox"/> Contact Energy Dependent Residents and assess needs (if resources permit) <input type="checkbox"/> Change Employee Emergency Information Hotline messaging. <input type="checkbox"/> Activate the Resident Support Hotline
SPPD Command Staff	<ul style="list-style-type: none"> <input type="checkbox"/> Monitor information received from the Fire Department. <input type="checkbox"/> Disseminate to SPPD personnel as necessary.
Community Services Staff	<ul style="list-style-type: none"> <input type="checkbox"/> Complete necessary items from the Level II Checklist.
Public Works Staff	<ul style="list-style-type: none"> <input type="checkbox"/> Monitor information received from the Fire Department. <input type="checkbox"/> Ensure City fuel supplies are sufficient throughout the extreme heat conditions.
City Manager	<ul style="list-style-type: none"> <input type="checkbox"/> Monitor information received from the Public Safety Chiefs and/or SP Public Works. <input type="checkbox"/> Consider EOC activation. <input type="checkbox"/> Consider Alert and Warning / Public Outreach. <input type="checkbox"/> Forward information to City Council as necessary.

ATTACHMENT A – EXCESSIVE HEAT & COOLING CENTER LOCATIONS

DATE

SAMPLE PRESS RELEASE:

FOR IMMEDIATE RELEASE
(XXX)

PRESS RELEASE #

Subject: Excessive Heat Warning & Cooling Center Locations
Contact: XXXXXXXXX

The National Weather Service has issued an Excessive Heat Warning for the National Weather Service, Los Angeles/Oxnard Office effective (Sunday, October 22, 20XX at 6:00 a.m. through Wednesday, October 25, 20XX at 6:00 p.m.) (A wind advisory has also been issued where winds speed between 15-25 mph and gusts of up to 40 mph are possible. Temperatures will near or be in excess of 90 degrees.) An elevated sense of awareness is imperative during extreme weather conditions.

South Pasadena has Official Cooling Centers:

South Pasadena Public Library – 1100 Oxley Street
South Pasadena Senior Center – 1102 Oxley Street
War Memorial Building – 435 Fair Oaks Ave (backup location)

Cooling Center Hours area as follow:

Prolonged exposure to excessive temperatures may cause serious conditions like heat exhaustion or heat stroke which can be fatal. Symptoms of heat exhaustion may include heavy sweating, muscle cramps, weakness, headache, nausea or vomiting and dizziness. Warning signs of heat stroke may include an extremely high body temperature, unconsciousness, confusion, hot and dry skin (no sweating), a rapid, strong pulse, and a throbbing headache. If symptoms of heat stroke occur, immediately call for medical assistance. Move the person to a shady area and begin cooling their body with water.

Recommended precautions to prevent heat related illnesses include:

- Drink plenty of water; don't wait until you are thirsty.
- Wear light, loose-fitting clothing.

- Stay out of the sun if possible, and when in the sun wear a hat, preferably with a wide brim, and use sunscreen.
- Avoid strenuous activities if you are outside or in non-air-conditioned buildings. If you are working outdoors, take frequent rest and refreshment breaks in a shaded area.
- Never leave children, elderly people or pet unattended in closed cars or other vehicles.
- Check on those, like neighbors, who are at high risk to make sure they are staying cool – including seniors who live alone, people with heart or lung disease, and young children.
- Stay cool indoors – if your home is not air conditioned, visit public facilities such as shopping malls and libraries to stay cool.

ATTACHMENT B – MASS NOTIFICATION TEMPLATES

Connect South Pasadena

This is the City of South Pasadena with an important message on (date & time). Southern California Edison (SCE) may experience power interruption in the City of South Pasadena service area. For questions contact SCE at (800) 611-1911.

Nixle

Southern California Edison may experience power interruption in the City of South Pasadena. For further information contact SCE at (800) 611-1911.

Social Media

Southern California Edison may experience power interruption in the City of South Pasadena.

For questions contact SCE: (800) 611-1911.

**ATTACHMENT C – ENERGY DEPENDENT RESIDENTS
(CONFIDENTIAL) (AS OF JULY 2021 NONE HAVE BEEN IDENTIFIED)**

The following energy dependent residents will be contacted, if resources permit, in the event of a power emergency lasting longer than 2 hours.

Address:
Affected
Residents:
Contact Name:
Primary Phone:
Secondary Phone:

Address:
Affected
Residents:
Contact Name:
Primary Phone:
Secondary Phone:

Address:
Affected
Residents:
Contact Name:
Primary Phone:
Secondary Phone:

Address:
Affected
Residents:
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City Council Agenda Report

ITEM NO. 9

DATE: February 15, 2023

FROM: Arminé Chaparyan, City Manager *AC*

PREPARED BY: Paul Riddle, Fire Chief

SUBJECT: **Public Hearing to Receive Objections or Protests to the Vegetation Management Program Regarding the Abatement of Weeds, Brush, Rubbish and Refuse Upon or in Front of Specified Property in the City and Authorizing by Minute Order the Abatement of Hazardous Vegetation**

Recommendation

It is recommended that the City Council, after holding a Public Hearing and receiving public testimony and hearing any objections or protests to the procedures for abating brush and native vegetation fire hazards identified in Resolution No.7801, adopt by motion an order directing the abatement of hazardous vegetation.

Background

The vegetation management program offered through the County of Los Angeles is an efficient and effective method to mitigate the fire hazards associated with the annual growth of grass, brush, and native vegetation. Fire Department staff works closely with the Agricultural Commissioner's Office to respond to questions from homeowners relating to brush clearance and hazard abatement procedures. Deputy Director/Bureau Chief Raymond B. Smith of the Agricultural Commissioner's office sent notice to the owners of each of the affected properties on or before February 1, 2023, advising them of the need to maintain parcels free from hazardous vegetation. The annual weed abatement notice also advised property owners that the City will be holding a Public Hearing on February 15, 2023, to hear any objections.

Analysis

On an annual basis, the County of Los Angeles Agricultural Commissioner/Weights and Measures provides brush clearance and vegetation management services within the City of South Pasadena (City). The vegetation management program inspects unimproved and designated properties within the City. Property owners of the properties that are identified in the resolution are sent annual weed abatement notices advising them of the requirement to maintain their parcels in fire safe conditions. If the property owners elect not to abate brush and native vegetation fire hazards, the County of Los Angeles facilitates the hazard abatement and assesses fees to recover costs.

The 2023 Los Angeles County Declaration list identified 87 properties in the City that require an inspection and or clearance of hazardous vegetation.

Key Performance Indicators and Strategic Plan

This item is in line with the Fire Department’s Key Performance Indicator to complete 100% of brush inspections annually, as identified in the Fiscal Year 2022-2023 Budget. In addition, this item addresses section 3(e) of the Adopted 2021-2026 Strategic Plan, which identifies controlling/mitigating hazardous vegetation in the City’s high hazard brush area.

Fiscal Impact

There is no fiscal impact related to this item, outside of staff time and duplication costs. Property owners who elect not to abate vegetation hazards are assessed fees through the County of Los Angeles for the inspection, abatement, and administration of the vegetation management program.

Community Outreach

On or before February 1, 2023, the County of Los Angeles Agricultural Commissioner’s Office sent out annual weed abatement notices to property owners of the properties identified in Resolution No.7801 advising them of the Public Hearing.

Commission Review and Recommendation

This matter was not reviewed by the Public Safety Commission.

Public Noticing

A Public Hearing Notice was Published January 27, 2023 in the Pasadena Star-News.

Attachments:

1. Resolution No. 7801
2. Abatement Order, Los Angeles County
3. 2023 Los Angeles County Declaration List “Exhibit A”

ATTACHMENT 1
Resolution No. 7801

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RESOLUTION NO. 7801

A RESOLUTION OF THE CITY COUNCIL OF THE CITY OF SOUTH PASADENA, CALIFORNIA DECLARING THAT WEEDS, BRUSH, RUBBISH AND REFUSE UPON OR IN FRONT OF SPECIFIED PROPERTY IN THE CITY ARE A SEASONAL AND RECURRENT PUBLIC NUISANCE AND DECLARING ITS INTENTION TO PROVIDE FOR THE ABATEMENT THEREOF

WHEREAS, On March 17, 2021, the South Pasadena City Council approved a five-year contract with the Los Angeles County Agriculture Commissioner's Office to provide hazardous vegetation management services within the City of South Pasadena (City); and

WHEREAS, the City is located in the County of Los Angeles, and is subject to long periods of dry, hot, and windy climates, which increase the chance of a fire occurring and predispose the City to large destructive fires. These dry climatic conditions and winds contribute to the rapid spread of even small fires originating in moderate density housing or vegetation.

NOW, THEREFORE, THE CITY COUNCIL OF THE CITY OF SOUTH PASADENA, CALIFORNIA, DOES RESOLVE, DECLARE, DETERMINE AND ORDER AS FOLLOWS:

SECTION 1. That the weeds, brush, or rubbish growing or existing upon the streets, sidewalks, or private property in the City attain such large growth as to become, when dry, a fire menace to adjacent improved property, or which are otherwise noxious, dangerous, or a public nuisance.

SECTION 2. That the presence of dry grass, stubble, refuse, or other flammable materials are conditions that endanger the public safety by creating a fire hazard.

SECTION 3. That by reason of the foregoing fact, the weeds, brush, rubbish, dry grass, stubble, refuse, or other flammable material growing or existing upon the private property hereinafter described, and upon the streets and sidewalks in front of said property, constitute a seasonal and recurrent public nuisance and should be abated as such.

SECTION 4. That the private property, together with streets and sidewalks in front of same herein referred to, is more particularly described as follows, to wit: That certain property described in the attached list hereto as "Exhibit A," and by this reference made a part hereof as though set forth in full at this point.

SECTION 5. The City Clerk of the City of South Pasadena shall certify to the passage and adoption of this resolution and its approval by the City Council and shall cause the same to be listed in the records of the City.

**NOTICE TO DESTROY WEEDS,
REMOVE BRUSH, RUBBISH AND REFUSE**

Notice is hereby given that on February 1, 2023, the City Council of the City of South Pasadena passed or will pass a resolution declaring noxious or dangerous vegetation including weeds, brush, tumbleweeds, sagebrush, and chaparral or rubbish refuse were growing or occurring upon or in front of said property on certain streets in said city or unincorporated area of the County of Los Angeles, and more particularly described in the resolution, and that they constitute a fire hazard or public nuisance which must be abated by the removal of said noxious or dangerous vegetation, rubbish and refuse, otherwise they may be removed and the nuisance abated by County authorities and the cost of removal assessed upon the land from or in front of which the noxious or dangerous vegetation, rubbish and refuse are removed, and such cost will constitute a special assessment against such lots or lands. Reference is hereby made to said resolution for further particulars. In addition, the Board of Supervisors authorized and directed the Agricultural Commissioner to recover its costs of details. All property owners having any objections to the proposed removal of noxious or dangerous vegetation, rubbish and refuse and the recovery of inspection costs, are hereby notified that they may attend a Public Hearing of the City Council of said city to be held at 1424 Mission Street, South Pasadena, CA 91030, in the Council Chamber on February 15, 2023, at 7:00 p.m., where their objections will be heard and given due consideration. If the property owner does not want to present objections to the proposed removal of the noxious or dangerous vegetation including weeds, brush, tumbleweeds, sagebrush, and chaparral or rubbish and refuse, or the recovery of inspection costs, the owner need not appear at the above-mentioned hearings.



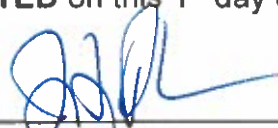
Desiree Jimenez, CMC
Chief City Clerk

BE IT THEREFORE RESOLVED THAT the Agricultural Commissioner is hereby authorized and directed to recover its costs of inspection of the properties hereinabove described in a manner consistent with prior action of the Board adopting a fee schedule for such inspections. The recovery of these costs is vital to the ongoing operation governing the identification and abatement of those properties that constitute a seasonal and recurrent public nuisance and endanger the public safety.

BE IT FURTHER RESOLVED THAT the 15th day of February, 2023, at the hour of 7:00 p.m. of said day, is the day and hour, and the meeting room of the City Council of the City of South Pasadena is fixed by this City Council as the place when and where any and all property owners having any objections to the aforesaid proposed removal of weeds, brush, rubbish, dry grass, stubble, refuse or other flammable material may appear before the City Council and show cause why said weeds, brush, rubbish, dry grass, stubble, refuse or other flammable material should not be removed in accordance with this resolution, and said objections will then and there be heard and given due consideration.

BE IT RESOLVED THAT the notices to destroy weeds, brush, rubbish, dry grass, stubble, refuse or other flammable material hereinbefore referred to shall be mailed by said Agricultural Commissioner/Director of Weights and Measures at least ten days prior to February 15, 2023.

PASSED, APPROVED AND ADOPTED on this 1st day of February, 2023.



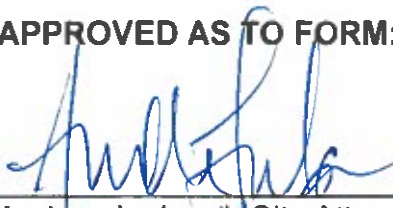
Jon Primuth, Mayor

ATTEST:



Desiree Jimenez, CMC
Chief City Clerk

APPROVED AS TO FORM:



Andrew L. Jared, City Attorney

I **HEREBY CERTIFY** the foregoing resolution was duly adopted by the City Council of the City of South Pasadena, California, at a regular meeting held on the 1st day of February, 2023, by the following vote:

AYES: Braun, Cacciotti, Donovan, Zneimer, Mayor Primuth

NOES: None.

ABSENT: None.

ABSTAINED: None.



Desiree Jimenez, CMC
Chief City Clerk

EXHIBIT A

2023
LOS ANGELES COUNTY
DECLARATION LIST
CITY OF SOUTH PASADENA
KEY OF F, CITY CODE 654 (UNIMPROVED)

DATE: 01/03/23

PARCEL	LOCATION	OWNER	MAILING ADDRESS	CITY/STATE	ZIP
5308 002 064	CAMINO DEL SOL	L S AND E ASSOCIATES	P O BOX 556537	LOS ANGELES CA	90055
5308 002 070	HANSCOM DR	LEVY,SAMUEL S	P O BOX 556537	LOS ANGELES CA	90255
5308 002 072	CAMINO DEL SOL	S AND E ASSOCIATES	P O BOX 556537	LOS ANGELES CA	90055
5308 020 027	HANSCOM DR	WINTER,ERIC	P O BOX 3702	SOUTH PASADENA CA	91031
5308 021 001	HANSCOM DR	WINTER,ERIC	P O BOX 3702	SOUTH PASADENA CA	91031
5308 022 002	HANSCOM DR	BROSMAN,NICOLE A	353 MONTEREY RD	SOUTH PASADENA CA	91030
5308 022 003	HANSCOM DR	KWONG DEVELOPMENT INC	1743 CAMINO LINDO	SOUTH PASADENA CA	91030
5308 022 004	HANSCOM DR	KWONG DEVELOPMENT INC	1743 CAMINO LINDO	SOUTH PASADENA CA	91030
5308 022 005	HANSCOM DR	BOGDAN, SANDOR & NITZA	5825 KESTER AVE	SHERMAN OAKS CA	91411
5308 023 007	PETERSON AVE	JAMJOOM,TALAL M	453 E PUTNAM AVE APT 1L	COS COB CT	06807
5308 023 015	HANSCOM DR	YELDING SOLAN, JOHN P TR	227 GOUGJ ST	SAN FRANCISCO CA	94102
5308 024 017	HANSCOM DR	IMBUS, CHARLES E TR	1074 GLEN OAKS BLVD	PASADENA CA	91105
5308 024 034	1903 HANSCOM DR	LIU,QUAN	121 N SAN GABRIEL BLVD	SAN GABRIEL CA	91775
5308 025 027	PETERSON AVE	CHU, WILLIAM	1825 HANSCOM R	SOUTH PASADENA CA	91030
5308 027 007	HARRIMAN AVE	HILL DR PROPERTIES LLC	3743 MENTONE AVE UNIT 6	LOS ANGELES CA	90034
5308 027 008	HARRIMAN AVE	HILL DR PROPERTIES LLC	3743 MENTONE AVE UNIT 6	LOS ANGELES CA	90034
5308 027 016	HARRIMAN AVE	HILL DR PROPERTIES LLC	3743 MENTONE AVE UNIT 6	LOS ANGELES CA	90034
5308 027 017	HARRIMAN AVE	HILL DR PROPERTIES LLC	3743 MENTONE AVE UNIT 6	LOS ANGELES CA	90034
5308 027 018	HARRIMAN AVE	HILL DR PROPERTIES LLC	3743 MENTONE AVE UNIT 6	LOS ANGELES CA	90034
5308 027 019	HARRIMAN AVE	HILL DR PROPERTIES LLC	3743 MENTONE AVE UNIT 6	LOS ANGELES CA	90034
5308 027 020	HARRIMAN AVE	HILL DR PROPERTIES LLC	3743 MENTONE AVE UNIT 6	LOS ANGELES CA	90034
5308 031 001	PETERSON AVE	TARMASAL INC	950 HUNTINGTON DR	SAN MARINO CA	91108

2023
 LOS ANGELES COUNTY
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 CITY OF SOUTH PASADENA
 KEY OF F, CITY CODE 654 (UNIMPROVED)

DATE: 01/03/23

PARCEL	LOCATION	OWNER	MAILING ADDRESS	CITY/STATE	ZIP
5308 031 039	PETERSON AVE	JAMJOOM,TALAL M	453 E PUTNAM AVE APT 1L	COS COB CT	06807
5308 031 040	PETERSON AVE	JAMJOOM,TALAL M	453 E PUTNAM AVE APT 1L	COS COB CT	06807
5308 031 041	PETERSON AVE	JAMJOOM,TALAL M	453 E PUTNAM AVE APT 1L	COS COB CT	06807
5308 031 042	PETERSON AVE	WANG, KEN	147 PALATINE DR	ALHAMBRA CA	91801
5308 031 052	PETERSON AVE	YAO, CAROLINE	156 PETERSON AVE	SOUTH PASADENA CA	91030
5308 031 053	PETERSON AVE	YAO, CAROLINE	156 PETERSON AVE	SOUTH PASADENA CA	91030
5308 031 054	PETERSON AVE	YAO, CAROLINE	156 PETERSON AVE	SOUTH PASADENA CA	91030
5308 031 055	PETERSON AVE	YAO, CAROLINE	156 PETERSON AVE	SOUTH PASADENA CA	91030
5308 032 006	PETERSON AVE	LEUNG, ERIC W AND NANCY X	4641 S HUNTINGTON DR	LOS ANGELES CA	90032
5308 032 009	PETERSON AVE	DUNAWAY, CAM T TR	710 FARVIEW AVE	SOUTH PASADENA CA	91030
5308 032 012	HANSCOM DR	YANG, ABRAHAM CST DN	12012 LOWER AZUSA RD	EL MONTE CA	91732
5308 032 044	PETERSON AVE	KWONG, EUNIA Y TR	1900 PETERSON AVE	SOUTH PASADENA CA	91030
5308 032 045	PETERSON AVE	KWONG, EUNIA Y TR	1900 PETERSON AVE	SOUTH PASADENA CA	91030
5308 034 004	HULBERT AVE	NGUYEN,TIM HOANG CO TR	10655 KINNARD AVE APT 205	LOS ANGELES CA	90024
5310 021 009	BONITA AVE	TARMASAL INC	950 HUNTINGTON DR	SAN MARINO CA	91108
5310 022 013	BONITA AVE	KAROGLU,VARUJAN	3398 HEATHER FIELD DR	HACIENDA HEIGHTS CA	91745
5310 026 010	ONEONTA DR	ZHUANA, YAN	298 W HIGHLAND AVE	SIERRA MADERE CA	91024
5310 026 011	ONEONTA DR	ZHUANA, JINRU	298 W HIGHLAND AVE	SIERRA MADERE CA	91024
5311 001 018	5 PASADENA AVE	99 PASADENA AVE LLC	538 MISSION ST	SOUTH PASADENA CA	91030
5311 007 019	KOLLE AVE	FRANCO,LUCIO AND OLIVIA	810 ROLLIN ST	SOUTH PASADENA CA	91030
5311 008 033	ST ALBANS AVE	KIM,JOSEPH W	420 S SAN PEDRO ST APT 208	LOS ANGELES CA	90013
5311 008 039	ST ALBANS AVE	RETINO, CLAIROSE B	20045 E SKYLINE DR	WALNUT CA	91789

2023
 LOS ANGELES COUNTY
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DATE: 01/03/23

PARCEL	LOCATION	OWNER	MAILING ADDRESS	CITY/STATE	ZIP
5311 009 055	CAMINO DEL CIELO	WILLIAMSON,KATHLEEN D TR	PO BOX 686	SOUTH PASADENA CA	91031
5311 009 056	CAMINO DEL CIELO	WILMS,NANCY M AND ROBERT S	1457 OAKCREST AVE	SOUTH PASADENA CA	91030
5311 009 057	CAMINO DEL CIELO	AIT MANAGEMENT LLC	330 GODDARD	IRVINE CA	92618
5311 009 058	CAMINO DEL CIELO	KWOK,GEORGE AND	300 CAMINO DEL CIELO	SOUTH PASADENA CA	91030
5311 010 010	MONTEREY RD	MPPA LP	2211 S HACIENDA BLVD UNIT 110	HACIENDA HEIGHTS CA	91745
5311 010 012	MONTEREY RD	MPPA LP	2211 S HACIENDA BLVD UNIT 110	HACIENDA HEIGHTS CA	91745
5311 010 015	MONTEREY RD	MPPA LP	2211 S HACIENDA BLVD UNIT 110	HACIENDA HEIGHTS CA	91745
5311 010 027	MONTEREY RD	CASEBEER,PAUL	259 MONTEREY RD	SOUTH PASADENA CA	91030
5311 010 028	MONTEREY RD	MPPA LP	2211 S HACIENDA BLVD UNIT 110	HACIENDA HEIGHTS CA	91745
5311 010 029	MONTEREY RD	MPPA LP	2211 S HACIENDA BLVD UNIT 110	HACIENDA HEIGHTS CA	91745
5311 010 030	MONTEREY RD	MPPA LP	2211 S HACIENDA BLVD UNIT 110	HACIENDA HEIGHTS CA	91745
5311 014 042	INDIANA AVE	LI,DAVID S	1441 LAKE SHORE AVE	LOS ANGELES CA	90026
5311 014 043	INDIANA AVE	NEGRETE,TONY CO TR	1507 INDIANA AVE	SOUTH PASADENA CA	91030
5311 014 048	INDIANA AVE	QUARESMA, DIANE TR	260 W RUMBLE APT A	MODESTO CA	95350
5311 015 005	SAINT ALBANS AVE	HOFF,DAVID C	20534 SAN GABRIEL VALLEY DR	WALNUT CA	91789
5311 015 006	ST ALBANS AVE	HOFF,DAVID C	20534 SAN GABRIEL VALLEY DR	WALNUT CA	91789
5311 015 022	ST ALBANS AVE	ST ALBANT LLC	2396 SCENIC RIDGE DR	CHINO HILLS CA	91709
5311 015 023	ST ALBANS AVE	ST SLBANT LLC	2396 SCENIC RIDGE DR	CHINO HILLS CA	91709
5311 017 020	WARWICK AVE	CASSENAER, STUN	249 N EUCLID AVE UNIT 212	PASADENA CA	91101
5311 017 021	WARWICK AVE	CASSENAER, STUN	249 N EUCLID AVE UNIT 212	PASADENA CA	91101
5312 002 007	MONTEREY RD	SOUTH PASADENA VILLAS LLC	766 COLORADO BLVD STE 102	PASADENA CA	91101
5312 002 008	MONTEREY RD	SOUTH PASADENA VILLAS LLC	766 COLORADO BLVD STE 102	PASADENA CA	91101

2023
 LOS ANGELES COUNTY
 DECLARATION LIST
 CITY OF SOUTH PASADENA
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PARCEL	LOCATION	OWNER	MAILING ADDRESS	CITY/STATE	ZIP
5312 002 009	MONTEREY RD	SOUTH PASADENA VILLAS LLC	766 COLORADO BLVD STE 102	PASADENA CA	91101
5312 002 025	MONTEREY RD	SOUTH PASADENA VILLAS LLC	766 COLORADO BLVD STE 102	PASADENA CA	91101
5312 016 014	HARRIMAN AVE	YAMAMURO,HITOMI TR	2482 BRIGDEN RD	PASADENA CA	91104
5312 016 015	HARRIMAN AVE	PARK,KON SOK AND	330 W 11TH ST UNIT C09	LOS ANGELES CA	90015
5312 016 016	HARRIMAN AVE	ISLS PROPERTIES LLC	2850 RIVERSIDE DR APT 421	LOS ANGELES CA	90039
5312 016 017	HARRIMAN AVE	ISLS PROPERTIES LLC	2850 RIVERSIDE DR APT 421	LOS ANGELES CA	90039
5312 017 025	HILL DR	GAVINA, FRANCISCO	84 CLUB RD	PASADENA CA	91105
5312 017 042	HARRIMAN AVE	HUANG, KING M CO TR	PO BOX 4012	MENLO PARK CA	94026
5312 017 043	HARRIMAN AVE	HUANG,KING AND	PO BOX 4012	MENLO PARK CA	94026
5312 017 044	HARRIMAN AVE	HUANG,KING AND	PO BOX 4012	MENLO PARK CA	94026
5312 017 049	HARRIMAN AVE	HUANG, K M AND K E FAMILY LTD	PO BOX 4012	MENLO PARK CA	94026
5312 020 012	OAKHILL AVE	THAM,ERNEST Y AND JANET C AND	11724 CULVER BLVD #9	LOS ANGELES CA	90066
5312 020 022	OAKHILL AVE	THAM,ERNEST Y AND JANET C AND	11724 CULVER BLVD #9	LOS ANGELES CA	90066
5314 005 017	INDIANA TERR	TARMASAL INC	950 HUNTINGTON DR	SAN MARINO CA	91108
5314 005 021	619 INDIANA TERR	KIM, YONG J AND	716 VALLEY VIEW RD	SOUTH PASADENA CA	91030
5314 005 045	ALTA VISTA AVE	VALENSI,NICHOLAS AND	529 5TH AVE 4TH FL	NEW YORK NY	10017
5314 006 005	ALTA VISTA AVE	ZHANG, YI TR	PO BOX 101154	CHICAGO IL	60610
5314 007 017	ALTA VISTA AVE	GETMAN, DANA L AND	60 SUMMIT ST UNIT 3	BROOKLYN NY	11231
5314 008 014	INDIANA AVE	SETO,VANESSA AND	PO BOX 70519	PASADENA CA	91117
5314 018 010	BANK ST	LEE,TYLER AND	857 BANK ST	SOUTH PASADENA CA	91030
5314 026 050	ROLLIN ST	PAN, CHIU SUNG AND	1423 MAPLE ST	SOUTH PASADENA CA	91030

2023
LOS ANGELES COUNTY
DECLARATION LIST
CITY OF SOUTH PASADENA
KEY OF F, CITY CODE 654 (UNIMPROVED)

DATE: 01/03/23

PARCEL	LOCATION	OWNER	MAILING ADDRESS	CITY/STATE	ZIP
TOAL VACANT/IMPROVED RECORDS					0
TOTAL UNIMPROVED RECORDS					87
TOTAL RECORDS					87

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ATTACHMENT 2
Abatement Order, Los Angeles County

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ABATEMENT ORDER

FEBRUARY 15, 2023

FOLLOWING THE PUBLIC HEARING HELD FEBRUARY 15, 2023, IN THE MATTER OF RESOLUTION TO ABATE NOXIOUS WEEDS, RUBBISH, AND REFUSE, THE CITY COUNCIL OF THE CITY OF SOUTH PASADENA, BY MOTION ADOPTED AN ORDER DIRECTING THE AGRICULTURAL COMMISSIONER OF WEIGHTS AND MEASURES TO ABATE THE NUISANCE BY HAVING THE WEEDS, RUBBISH, AND REFUSE REMOVED.

**CITY COUNCIL OF THE
CITY OF SOUTH PASADENA**

BY:

Jon Primuth, Mayor

ATTEST:

BY: _____
Desiree Jimenez, CMC
Chief City Clerk

Date: _____

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ATTACHMENT 3

2023 Los Angeles County Declaration List “Exhibit A”

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EXHIBIT A

2023
LOS ANGELES COUNTY
DECLARATION LIST
CITY OF SOUTH PASADENA
KEY OF F, CITY CODE 654 (UNIMPROVED)

DATE: 01/03/23

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5308 002 064	CAMINO DEL SOL	L S AND E ASSOCIATES	P O BOX 556537	LOS ANGELES CA	90055
5308 002 070	HANSCOM DR	LEVY,SAMUEL S	P O BOX 556537	LOS ANGELES CA	90255
5308 002 072	CAMINO DEL SOL	S AND E ASSOCIATES	P O BOX 556537	LOS ANGELES CA	90055
5308 020 027	HANSCOM DR	WINTER,ERIC	P O BOX 3702	SOUTH PASADENA CA	91031
5308 021 001	HANSCOM DR	WINTER,ERIC	P O BOX 3702	SOUTH PASADENA CA	91031
5308 022 002	HANSCOM DR	BROSMAN,NICOLE A	353 MONTEREY RD	SOUTH PASADENA CA	91030
5308 022 003	HANSCOM DR	KWONG DEVELOPMENT INC	1743 CAMINO LINDO	SOUTH PASADENA CA	91030
5308 022 004	HANSCOM DR	KWONG DEVELOPMENT INC	1743 CAMINO LINDO	SOUTH PASADENA CA	91030
5308 022 005	HANSCOM DR	BOGDAN, SANDOR & NITZA	5825 KESTER AVE	SHERMAN OAKS CA	91411
5308 023 007	PETERSON AVE	JAMJOOM,TALAL M	453 E PUTNAM AVE APT 1L	COS COB CT	06807
5308 023 015	HANSCOM DR	YELDING SOLAN, JOHN P TR	227 GOUGJ ST	SAN FRANCISCO CA	94102
5308 024 017	HANSCOM DR	IMBUS, CHARLES E TR	1074 GLEN OAKS BLVD	PASADENA CA	91105
5308 024 034	1903 HANSCOM DR	LIU,QUAN	121 N SAN GABRIEL BLVD	SAN GABRIEL CA	91775
5308 025 027	PETERSON AVE	CHU, WILLIAM	1825 HANSCOM R	SOUTH PASADENA CA	91030
5308 027 007	HARRIMAN AVE	HILL DR PROPERTIES LLC	3743 MENTONE AVE UNIT 6	LOS ANGELES CA	90034
5308 027 008	HARRIMAN AVE	HILL DR PROPERTIES LLC	3743 MENTONE AVE UNIT 6	LOS ANGELES CA	90034
5308 027 016	HARRIMAN AVE	HILL DR PROPERTIES LLC	3743 MENTONE AVE UNIT 6	LOS ANGELES CA	90034
5308 027 017	HARRIMAN AVE	HILL DR PROPERTIES LLC	3743 MENTONE AVE UNIT 6	LOS ANGELES CA	90034
5308 027 018	HARRIMAN AVE	HILL DR PROPERTIES LLC	3743 MENTONE AVE UNIT 6	LOS ANGELES CA	90034
5308 027 019	HARRIMAN AVE	HILL DR PROPERTIES LLC	3743 MENTONE AVE UNIT 6	LOS ANGELES CA	90034
5308 027 020	HARRIMAN AVE	HILL DR PROPERTIES LLC	3743 MENTONE AVE UNIT 6	LOS ANGELES CA	90034
5308 031 001	PETERSON AVE	TARMASAL INC	950 HUNTINGTON DR	SAN MARINO CA	91108

2023
LOS ANGELES COUNTY
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5308 031 040	PETERSON AVE	JAMJOOM,TALAL M	453 E PUTNAM AVE APT 1L	COS COB CT	06807
5308 031 041	PETERSON AVE	JAMJOOM,TALAL M	453 E PUTNAM AVE APT 1L	COS COB CT	06807
5308 031 042	PETERSON AVE	WANG, KEN	147 PALATINE DR	ALHAMBRA CA	91801
5308 031 052	PETERSON AVE	YAO, CAROLINE	156 PETERSON AVE	SOUTH PASADENA CA	91030
5308 031 053	PETERSON AVE	YAO, CAROLINE	156 PETERSON AVE	SOUTH PASADENA CA	91030
5308 031 054	PETERSON AVE	YAO, CAROLINE	156 PETERSON AVE	SOUTH PASADENA CA	91030
5308 031 055	PETERSON AVE	YAO, CAROLINE	156 PETERSON AVE	SOUTH PASADENA CA	91030
5308 032 006	PETERSON AVE	LEUNG, ERIC W AND NANCY X	4641 S HUNTINGTON DR	LOS ANGELES CA	90032
5308 032 009	PETERSON AVE	DUNAWAY, CAM T TR	710 FARVIEW AVE	SOUTH PASADENA CA	91030
5308 032 012	HANSCOM DR	YANG, ABRAHAM CST DN	12012 LOWER AZUSA RD	EL MONTE CA	91732
5308 032 044	PETERSON AVE	KWONG, EUNIA Y TR	1900 PETERSON AVE	SOUTH PASADENA CA	91030
5308 032 045	PETERSON AVE	KWONG, EUNIA Y TR	1900 PETERSON AVE	SOUTH PASADENA CA	91030
5308 034 004	HULBERT AVE	NGUYEN,TIM HOANG CO TR	10655 KINNARD AVE APT 205	LOS ANGELES CA	90024
5310 021 009	BONITA AVE	TARMASAL INC	950 HUNTINGTON DR	SAN MARINO CA	91108
5310 022 013	BONITA AVE	KAROGLU,VARUJAN	3398 HEATHER FIELD DR	HACIENDA HEIGHTS CA	91745
5310 026 010	ONEONTA DR	ZHUANA, YAN	298 W HIGHLAND AVE	SIERRA MADERE CA	91024
5310 026 011	ONEONTA DR	ZHUANA, JINRU	298 W HIGHLAND AVE	SIERRA MADERE CA	91024
5311 001 018	5 PASADENA AVE	99 PASADENA AVE LLC	538 MISSION ST	SOUTH PASADENA CA	91030
5311 007 019	KOLLE AVE	FRANCO,LUCIO AND OLIVIA	810 ROLLIN ST	SOUTH PASADENA CA	91030
5311 008 033	ST ALBANS AVE	KIM,JOSEPH W	420 S SAN PEDRO ST APT 208	LOS ANGELES CA	90013
5311 008 039	ST ALBANS AVE	RETINO, CLAIROSE B	20045 E SKYLINE DR	WALNUT CA	91789

LOS ANGELES COUNTY
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5311 009 056	CAMINO DEL CIELO	WILMS,NANCY M AND ROBERT S	1457 OAKCREST AVE	SOUTH PASADENA CA	91030
5311 009 057	CAMINO DEL CIELO	AIT MANAGEMENT LLC	330 GODDARD	IRVINE CA	92618
5311 009 058	CAMINO DEL CIELO	KWOK,GEORGE AND	300 CAMINO DEL CIELO	SOUTH PASADENA CA	91030
5311 010 010	MONTEREY RD	MPPA LP	2211 S HACIENDA BLVD UNIT 110	HACIENDA HEIGHTS CA	91745
5311 010 012	MONTEREY RD	MPPA LP	2211 S HACIENDA BLVD UNIT 110	HACIENDA HEIGHTS CA	91745
5311 010 015	MONTEREY RD	MPPA LP	2211 S HACIENDA BLVD UNIT 110	HACIENDA HEIGHTS CA	91745
5311 010 027	MONTEREY RD	CASEBEER,PAUL	259 MONTEREY RD	SOUTH PASADENA CA	91030
5311 010 028	MONTEREY RD	MPPA LP	2211 S HACIENDA BLVD UNIT 110	HACIENDA HEIGHTS CA	91745
5311 010 029	MONTEREY RD	MPPA LP	2211 S HACIENDA BLVD UNIT 110	HACIENDA HEIGHTS CA	91745
5311 010 030	MONTEREY RD	MPPA LP	2211 S HACIENDA BLVD UNIT 110	HACIENDA HEIGHTS CA	91745
5311 014 042	INDIANA AVE	LI,DAVID S	1441 LAKE SHORE AVE	LOS ANGELES CA	90026
5311 014 043	INDIANA AVE	NEGRETE,TONY CO TR	1507 INDIANA AVE	SOUTH PASADENA CA	91030
5311 014 048	INDIANA AVE	QUARESMA, DIANE TR	260 W RUMBLE APT A	MODESTO CA	95350
5311 015 005	SAINT ALBANS AVE	HOFF,DAVID C	20534 SAN GABRIEL VALLEY DR	WALNUT CA	91789
5311 015 006	ST ALBANS AVE	HOFF,DAVID C	20534 SAN GABRIEL VALLEY DR	WALNUT CA	91789
5311 015 022	ST ALBANS AVE	ST ALBANT LLC	2396 SCENIC RIDGE DR	CHINO HILLS CA	91709
5311 015 023	ST ALBANS AVE	ST SLBANT LLC	2396 SCENIC RIDGE DR	CHINO HILLS CA	91709
5311 017 020	WARWICK AVE	CASSENAER, STUN	249 N EUCLID AVE UNIT 212	PASADENA CA	91101
5311 017 021	WARWICK AVE	CASSENAER, STUN	249 N EUCLID AVE UNIT 212	PASADENA CA	91101
5312 002 007	MONTEREY RD	SOUTH PASADENA VILLAS LLC	766 COLORADO BLVD STE 102	PASADENA CA	91101
5312 002 008	MONTEREY RD	SOUTH PASADENA VILLAS LLC	766 COLORADO BLVD STE 102	PASADENA CA	91101

LOS ANGELES COUNTY
DECLARATION LIST
CITY OF SOUTH PASADENA
KEY OF F, CITY CODE 654 (UNIMPROVED)

PARCEL	LOCATION	OWNER	MAILING ADDRESS	CITY/STATE	ZIP
5312 002 009	MONTEREY RD	SOUTH PASADENA VILLAS LLC	766 COLORADO BLVD STE 102	PASADENA CA	91101
5312 002 025	MONTEREY RD	SOUTH PASADENA VILLAS LLC	766 COLORADO BLVD STE 102	PASADENA CA	91101
5312 016 014	HARRIMAN AVE	YAMAMURO,HITOMI TR	2482 BRIGDEN RD	PASADENA CA	91104
5312 016 015	HARRIMAN AVE	PARK,KON SOK AND	330 W 11TH ST UNIT C09	LOS ANGELES CA	90015
5312 016 016	HARRIMAN AVE	ISLS PROPERTIES LLC	2850 RIVERSIDE DR APT 421	LOS ANGELES CA	90039
5312 016 017	HARRIMAN AVE	ISLS PROPERTIES LLC	2850 RIVERSIDE DR APT 421	LOS ANGELES CA	90039
5312 017 025	HILL DR	GAVINA, FRANCISCO	84 CLUB RD	PASADENA CA	91105
5312 017 042	HARRIMAN AVE	HUANG, KING M CO TR	PO BOX 4012	MENLO PARK CA	94026
5312 017 043	HARRIMAN AVE	HUANG,KING AND	PO BOX 4012	MENLO PARK CA	94026
5312 017 044	HARRIMAN AVE	HUANG,KING AND	PO BOX 4012	MENLO PARK CA	94026
5312 017 049	HARRIMAN AVE	HUANG, K M AND K E FAMILY LTD	PO BOX 4012	MENLO PARK CA	94026
5312 020 012	OAKHILL AVE	THAM,ERNEST Y AND JANET C AND	11724 CULVER BLVD #9	LOS ANGELES CA	90066
5312 020 022	OAKHILL AVE	THAM,ERNEST Y AND JANET C AND	11724 CULVER BLVD #9	LOS ANGELES CA	90066
5314 005 017	INDIANA TERR	TARMASAL INC	950 HUNTINGTON DR	SAN MARINO CA	91108
5314 005 021	619 INDIANA TERR	KIM, YONG J AND	716 VALLEY VIEW RD	SOUTH PASADENA CA	91030
5314 005 045	ALTA VISTA AVE	VALENSI,NICHOLAS AND	529 5TH AVE 4TH FL	NEW YORK NY	10017
5314 006 005	ALTA VISTA AVE	ZHANG, YI TR	PO BOX 101154	CHICAGO IL	60610
5314 007 017	ALTA VISTA AVE	GETMAN, DANA L AND	60 SUMMIT ST UNIT 3	BROOKLYN NY	11231
5314 008 014	INDIANA AVE	SETO,VANESSA AND	PO BOX 70519	PASADENA CA	91117
5314 018 010	BANK ST	LEE,TYLER AND	857 BANK ST	SOUTH PASADENA CA	91030
5314 026 050	ROLLIN ST	PAN, CHIU SUNG AND	1423 MAPLE ST	SOUTH PASADENA CA	91030

2023
LOS ANGELES COUNTY
DECLARATION LIST
CITY OF SOUTH PASADENA
KEY OF F, CITY CODE 654 (UNIMPROVED)

DATE: 01/03/23

PARCEL	LOCATION	OWNER	MAILING ADDRESS	CITY/STATE	ZIP
TOAL VACANT/IMPROVED RECORDS					0
TOTAL UNIMPROVED RECORDS					87
TOTAL RECORDS					87

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City Council Agenda Report

ITEM NO. 10

DATE: February 15, 2023

FROM: Arminé Chaparyan, City Manager *TB for AC*

PREPARED BY: John Downs, Interim Finance Director
Hsiulee Tran, Deputy Finance Director/Controller
Albert Trinh, Finance Manager

SUBJECT: **Presentation of the Other Post-Employment Benefits (OPEB)
Actuarial Study by Foster & Foster**

Recommendation

It is recommended that the City Council receive and file the presentation of the Other Post-Employment Benefits Liability Actuarial Study by Foster & Foster.

Background

Foster and Foster, formerly part of Bartel Associates, LLC, has been secured to perform an actuarial valuation of the City's OPEB Liability for the purpose of compliance to the Governmental Accounting Standard Board (GASB) 75 Pronouncement in preparation for the Annual Comprehensive Financial Report (ACFR).

Analysis

The City's OPEB Liability is determined by an actuary such as Foster and Foster. They take into consideration of the retired and active employees, the City's contractual obligation for each bargaining unit, the City's contribution toward Section 115 Irrevocable Trust, and the extensive statistical data utilized to forecast life expectancy and financial outcomes.

Key Performance Indicators and Strategic Plan

This item is in line with the Finance Department's Key Performance Indicator. The OPEB Actuarial Study ensures the recording of the OPEB liability for the City's Fiscal Year 2021-22 ACFR.

Fiscal Impact

The OPEB actuarial study has been budgeted for in 101-3010-3041-8170-000 for \$23,000.

Commission Review and Recommendation

The Finance Commission received and filed the presentation on February 6, 2023.

Presentation of the Other Post-Employment Benefits (OPEB) Actuarial Study by Foster
& Foster
February 15, 2023
Page 2 of 2

Attachment:

1. OPEB Actuarial Valuation
2. OPEB Accounting Information

ATTACHMENT 1
OPEB Actuarial Valuation

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City of South Pasadena



**Retiree Healthcare Plan
June 30, 2021 Actuarial Valuation
Recommended Contributions for 2022/23 &
2023/24**

January 23, 2023

Foster & Foster, Inc.
411 Borel Avenue, Suite 620
San Mateo, California 94402
Phone: 650/377-1600

b:\ca-public\city_of_south_pasadena\2021_val\report\&f_southpasadenaci_23-01-23_opeb_21-06-30_valuation_report_draft.docx

**City of South Pasadena
Retiree Healthcare Plan
June 30, 2021 Actuarial Valuation**

The purpose of this report is to present the funded status of the City of South Pasadena’s Retiree Healthcare Plan as of June 30, 2021 and provide recommended employer contributions for the 2022/23 and 2023/24 fiscal years.

The City provides healthcare benefits to its retirees through CalPERS “PEMHCA” program. The City contributes the single premium up to a cap of \$625 per month (\$915 for management). PSEA and management employees hired after 7/1/20 will be limited to each year’s required PEMHCA minimum amount, \$151 in 2023. More details can be found in the benefit summary section of this report. In addition, the City incurs an “implicit subsidy” since the per capita healthcare costs (expected claims) are higher for pre-Medicare retirees than the premium charged by PEMHCA. Actuarial Standard of Practice No. 6 (ASOP 6) requires implicit subsidy be valued for agencies participating in pooled plans such as CalPERS’ PEMHCA.

The City started pre-funding its OPEB benefits with CalPERS’ OPEB trust (CERBT) in the fiscal year 2021/22. This valuation assumes ongoing contributions to the trust. Contributions less than the recommended amounts could potentially lead to a lower discount rate used for the City’s GASBS 75 accounting reporting.

GASBS 75 accounting information is provided in a separate report.

VALUATION RESULTS

Funded Status: The funded status of the plan is equal to the percentage of actuarial accrued liability (AAL) currently funded by plan assets. The following table summarizes the Plan’s funded status:

	<u>June 30, 2021 Valuation</u>	
	<u>6/30/2021</u>	<u>Projected to 6/30/2022</u>
■ Discount rate		6.25%
■ Actuarial accrued liability		
• Future retirees	\$ 3,168,409	
• Retirees	<u>8,169,926</u>	
• Total	11,338,335	\$11,660,092
■ Plan assets	<u>-</u>	<u>1,141,509</u>
■ Unfunded actuarial accrued liability (UAAL)	11,338,335	10,518,583
■ Funded status	0.0%	9.8%

The actuarial accrued liability has decreased from the previous valuation primarily because of the higher discount rate used, reflecting the City’s decision to pre-fund this liability. The plan change effective 7/1/20, limiting benefits to the single premium amount, also reduced plan liabilities.

City of South Pasadena, Retiree Healthcare Plan
June 30, 2021 Actuarial Valuation
Page 2

Plan Assets: Plan assets are invested with the CERBT Strategy 1. Following is a reconciliation of the value of plan assets from June 30, 2021 through June 30, 2022, as provided by CERBT.

	<u>2021/22</u>
■ Market value of Assets (beginning of year)	\$ 0
● Contributions	1,125,000
● Benefits paid	-
● Administrative expenses	(20)
● Investment expenses	(15)
● Net investment earnings	<u>16,544</u>
■ Market value of assets (end of year)	1,141,509

Recommended Contribution: The unfunded liability is amortized over time. The City's recommended contribution is determined by the sum of the current employer Normal Cost plus expected administrative expenses plus an amortization of the unfunded liability, assumed payable in the middle of the fiscal year. In other words, the contribution is the value of benefits earned during the year plus an amount to keep the plan on track for funding. For the City's June 30, 2021 valuation, we calculated the 2022/23 recommended contribution using a 20-year¹ closed period amortization (as a level % of pay) of the projected June 30, 2022 unfunded AAL.

	<u>June 30, 2021 Valuation</u>	
■ Discount rate	6.25%	
■ Fiscal year	<u>2022/23</u>	<u>2023/24</u>
■ Normal cost	\$ 323,537	\$ 332,435
■ Estimated administrative expenses	7,205	7,581
■ UAAL amortization	<u>731,507</u>	<u>751,624</u>
■ Recommended total contribution	1,062,249	1,091,640
■ Recommended total contribution	1,062,249	1,091,640
■ Minus: Estimated cash benefit payments ²	(571,321)	(608,813)
■ Minus: Implicit subsidy benefit payments	(186,405)	(196,776)
■ Minus: Estimated PEMHCA and other administrative expenses	<u>(6,634)</u>	<u>(6,975)</u>
■ Net recommended trust contribution	297,889	279,076

¹ 20 years remaining in amortization period for 2022/23; 19 years remaining for 2023/24.

² Exhibit shows estimated cash benefit payments, but the actual net trust contribution should be based on the actual benefit payments and administrative expenses paid by the employer.

City of South Pasadena, Retiree Healthcare Plan
June 30, 2021 Actuarial Valuation
Page 3

Projected Benefit Payments: Following is a 10-year projection of benefit payments:

Year	Cash Benefit Payments	Implicit Subsidy Benefit Payments	Total Benefit Payments
2022/23	\$571,321	\$186,405	\$757,726
2023/24	608,813	196,776	805,589
2024/25	630,429	207,536	837,965
2025/26	660,164	236,873	897,037
2026/27	672,715	243,490	916,205
2027/28	691,972	250,231	942,203
2028/29	702,991	265,810	968,801
2029/30	725,414	284,222	1,009,636
2030/31	739,310	275,490	1,014,800
2031/32	758,182	261,531	1,019,713

BASIC DEFINITIONS

Present Value of Benefits (PVB): When an actuary prepares an actuarial valuation, they first gather participant data (including active employees, former employees not in payment status, participants and beneficiaries in payment status) at the valuation date (for example June 30, 2021). Using this data and actuarial assumptions, the actuary projects future benefit payments. (The assumptions predict, among other things, when people will retire, terminate, die or become disabled, as well as what salary increases, general (and healthcare) inflation and investment return might be.) Those future benefit payments are discounted, using expected future investment return, back to the valuation date. This discounted present value is the plan's present value of benefits. It represents the amount the plan needs as of the valuation date to pay all future benefits – if all assumptions are met and no future contributions (employee or employer) are made. The City's June 30, 2021 retiree healthcare present value of benefits is \$14,191,473 using a 6.25% discount rate, with \$8,169,926 of this for former employees who have already retired.

Actuarial Accrued Liability (AAL): This represents the portion of the present value of benefits that participants have earned (on an actuarial, not actual, basis) through the valuation date. The City's June 30, 2021 retiree healthcare actuarial accrued liability is \$11,338,335 using a 6.25% discount rate, with \$8,169,926 of this for former employees who have already retired.

Plan Assets: This includes funds that have been segregated and restricted in a trust so they can only be used to pay plan benefits. As of June 30, 2021, the City's plan assets were \$0. The City has begun prefunding its OPEB benefits via the California Employers' Retiree Benefit Trust (CERBT) fund. The City made an initial contribution of \$1,125,000 in June 2022 and has enrolled in CERBT Strategy 1.

Unfunded Actuarial Accrued Liability (UAAL): This is the difference between the actuarial accrued liability and plan assets. This represents the amount of the actuarial accrued liability that must still be funded. If the plan assets exceed the actuarial accrued liability, the plan has surplus assets. As of June 30, 2021, the City has \$11,338,335 in unfunded actuarial accrued liability (\$11,338,335 AAL less \$0 plan assets).

Normal Cost (NC): The Normal Cost represents the portion of the present value of benefits expected to be earned (on an actuarial, not actual, basis) in the coming year. The City's 2022/23 retiree healthcare Normal Cost, payable in the middle of the year, is \$323,537 using a 6.25% discount rate.

Actuarial Cost Method: This is the method in which benefits are actuarially earned (allocated) to each year of service. It has no effect on the present value of benefits, but has significant effect on the actuarial accrued liability and normal cost. The City's June 30, 2021 retiree healthcare valuation was prepared using the Entry Age Normal cost method. Under the Entry Age Normal cost method, the Plan's normal cost is developed as a level percent of payroll throughout the participant's working lifetime.

Implicit Subsidy: An implicit subsidy exists when the premium for a group of early retirees is determined by aggregating their experience with active employees. Actuarial Standard of Practice No. 6 (ASOP 6) requires that the implicit subsidy for retirees be included in the AAL. We valued the implicit subsidy for the City's retiree healthcare plan.

SUMMARY OF RETIREE HEALTHCARE BENEFITS

Benefit Summary															
<p>■ Eligibility – Future Retirees</p>	<p>■ Full-time employees retiring directly from City under CalPERS</p> <ul style="list-style-type: none"> • Miscellaneous Classic & Safety – Age 50 and 5 years of CalPERS service or disability • Miscellaneous PEPRA – Age 52 and 5 years of CalPERS service or disability 														
<p>■ Retiree Medical Benefit – Future Retirees</p>	<p>■ Single party premium up to:</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 30%;"></th> <th style="width: 20%;">POA & Fire</th> <th style="width: 20%;">PSEA</th> <th style="width: 30%;">Management</th> </tr> </thead> <tbody> <tr> <td>Hired before 7/1/2020</td> <td rowspan="2" style="text-align: center;">\$625/month</td> <td style="text-align: center;">\$625/month</td> <td style="text-align: center;">\$915/month</td> </tr> <tr> <td>Hired on or after 7/1/2020</td> <td style="text-align: center;">PEMHCA minimum</td> <td style="text-align: center;">PEMHCA minimum</td> </tr> </tbody> </table>					POA & Fire	PSEA	Management	Hired before 7/1/2020	\$625/month	\$625/month	\$915/month	Hired on or after 7/1/2020	PEMHCA minimum	PEMHCA minimum
	POA & Fire	PSEA	Management												
Hired before 7/1/2020	\$625/month	\$625/month	\$915/month												
Hired on or after 7/1/2020		PEMHCA minimum	PEMHCA minimum												
<p>■ Surviving Spouse</p>	<p>■ Single party premium up to:</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 30%;"></th> <th style="width: 20%;">POA & Fire</th> <th style="width: 20%;">PSEA</th> <th style="width: 30%;">Management</th> </tr> </thead> <tbody> <tr> <td>Surviving Spouse</td> <td style="text-align: center;">\$625/month</td> <td style="text-align: center;">PEMHCA minimum</td> <td style="text-align: center;">PEMHCA minimum</td> </tr> </tbody> </table>					POA & Fire	PSEA	Management	Surviving Spouse	\$625/month	PEMHCA minimum	PEMHCA minimum			
	POA & Fire	PSEA	Management												
Surviving Spouse	\$625/month	PEMHCA minimum	PEMHCA minimum												
<p>■ Other</p>	<p>■ No City paid dental, vision, life insurance or Medicare Part B reimbursement</p>														

Premiums
2021 PEMHCA Monthly Premiums
Region 3

Medical Plan	Non-Medicare Eligible			Medicare Eligible		
	Single	2-Party	Family	Single	2-Party	Family
Anthem Select	\$639.10	\$1,278.20	\$1,661.66	\$383.37	\$766.74	\$1,150.11
Anthem Traditional	984.21	1,968.42	2,558.95	383.37	766.74	1,150.11
Blue Shield Access+	834.88	1,669.76	2,170.69	n/a	n/a	n/a
Blue Shield Trio	660.49	1,320.98	1,717.27	n/a	n/a	n/a
Health Net Salud y Mas	412.88	825.76	1,073.49	n/a	n/a	n/a
Health Net SmartCare	691.48	1,382.96	1,797.85	n/a	n/a	n/a
Kaiser	669.84	1,339.69	1,741.60	324.48	648.96	973.44
UnitedHealthcare	720.89	1,441.78	1,874.31	311.56	623.12	934.68
PERSCare	1,036.07	2,072.14	2,693.78	381.25	762.50	1,143.75
PERS Choice	761.23	1,522.46	1,979.20	349.97	699.94	1,049.91
PERS Select	459.94	919.88	1,195.84	349.97	699.94	1,049.91
PORAC	725.00	1,450.00	1,894.00	513.00	1,022.00	1,635.00

2022 PEMHCA Monthly Premiums
Region 3

Medical Plan	Non-Medicare Eligible			Medicare Eligible		
	Single	2-Party	Family	Single	2-Party	Family
Anthem Select	\$676.48	\$1,352.96	\$1,758.85	\$360.19	\$720.38	\$1,080.57
Anthem Traditional	935.57	1,871.14	2,432.48	360.19	720.38	1,080.57
Blue Shield Access+	779.87	1,559.74	2,027.66	353.11	706.22	1,059.33
Blue Shield Trio	668.13	1,336.26	1,737.14	353.11	706.22	1,059.33
Health Net Salud y Mas	463.87	927.74	1,206.06	n/a	n/a	n/a
Health Net SmartCare	764.96	1,529.92	1,988.90	n/a	n/a	n/a
Kaiser	719.78	1,439.56	1,871.43	302.53	605.06	907.59
UnitedHealthcare Alliance	771.85	1,543.70	2,006.81	n/a	n/a	n/a
UnitedHealthcare Harmony	714.28	1,428.56	1,857.13	n/a	n/a	n/a
UnitedHealthcare MA	n/a	n/a	n/a	294.65	589.30	883.95
UnitedHealthcare MA Edge	n/a	n/a	n/a	347.21	694.42	1,041.63
PERS Platinum	863.37	1,726.74	2,244.76	381.94	763.88	1,145.82
PERS Gold	575.56	1,151.12	1,496.46	377.41	754.82	1,132.23
PORAC	775.00	1,475.00	1,894.00	461.00	919.00	1,471.00

ACTUARIAL METHODS AND ASSUMPTIONS

Actuarial Methods

The actuarial cost method used for this valuation is the Entry Age Normal (“EAN”) cost method. Under the EAN cost method, the normal cost for each participant is determined as a level percentage of payroll throughout the participant’s working career.

The projected June 30, 2022 unfunded actuarial accrued liability (UAAL) was amortized as a level % of pay amount over a fixed, closed 20-year period. Other amortization periods are possible and would produce a different recommended contribution amount. Individual UAAL bases are not currently maintained.

The actuarial value of assets is equal to the market value of assets.

The Plan is assumed to be ongoing for cost purposes. This does not imply that an obligation to continue the Plan exists.

The implicit subsidy was calculated in compliance with Actuarial Standards of Practice (ASOP) No. 6 and its associated Practice Note.

To the best of our knowledge, the City has not adopted a formal funding policy for annual contributions to the Trust.

Actuarial Assumptions

An actuary must follow current actuarial standards of practice, which generally call for explicit assumptions, meaning each individual assumption represents the actuary's best estimate.

Actuarial Assumption	June 30, 2019 Valuation	June 30, 2021 Valuation
• Discount Rate	• 3.50 % (Bond Buyer 20-Bond Index)	• 6.25%, assets in CERBT Strategy 1 portfolio
• General Inflation Rate	• 2.75% per year	• 2.50% per year
• Aggregate Payroll Increases	• 3.00% per year	• 2.75% per year
• Mortality	• CalPERS 1997-2015 Experience Study • Mortality projected with Mortality Improvement Society of Actuaries Scale MP-2020	• CalPERS 2000-2019 Experience Study • Mortality projected with Mortality Improvement Society of Actuaries Scale MP-2021
• Disability, Termination, Retirement	• CalPERS 1997-2015 Experience Study for applicable employee category	• CalPERS 2000-2019 Experience Study for applicable employee category

City of South Pasadena, Retiree Healthcare Plan
June 30, 2021 Actuarial Valuation
Page 8

Actuarial Assumption	June 30, 2019 Valuation	June 30, 2021 Valuation																																																																																																																																										
<ul style="list-style-type: none"> Participation at Retirement 	<ul style="list-style-type: none"> 90% of employees receiving City Subsidy (hired before 7/1/2020) 50% of Employees receiving PEMHCA minimum 	<ul style="list-style-type: none"> Same Will continue to monitor 																																																																																																																																										
<ul style="list-style-type: none"> Spouse Coverage 	<ul style="list-style-type: none"> Future Retirees: 70% elect spouse coverage Current Retirees: Same as current coverage election 	<ul style="list-style-type: none"> Future Retirees: 40% elect spouse coverage Current Retirees: Same as current coverage election 																																																																																																																																										
<ul style="list-style-type: none"> Medical Plan at Retirement 	<ul style="list-style-type: none"> Future Retirees: Same as current plan election Waived assumed to elect Blue Shield Access+ 	<ul style="list-style-type: none"> Same 																																																																																																																																										
<ul style="list-style-type: none"> Medicare Eligibility 	<ul style="list-style-type: none"> All retirees not yet 65 assumed to be eligible for Medicare 	<ul style="list-style-type: none"> Same 																																																																																																																																										
<ul style="list-style-type: none"> Waived Retiree Re-Election 	<ul style="list-style-type: none"> None 	<ul style="list-style-type: none"> Same 																																																																																																																																										
<ul style="list-style-type: none"> Medical Trend 	<p style="text-align: center;"><u>Increase from Prior Year</u></p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th rowspan="2"><u>Year</u></th> <th colspan="2"><u>Non-Medicare</u></th> <th><u>Medicare</u></th> </tr> <tr> <th><u>Kaiser</u></th> <th><u>Non- Kaiser</u></th> <th></th> </tr> </thead> <tbody> <tr> <td>2021</td> <td colspan="3" style="text-align: center;">Actual Premiums</td> </tr> <tr> <td>2022</td> <td>7.00%</td> <td>5.00%</td> <td>6.10%</td> </tr> <tr> <td>2023</td> <td>6.75%</td> <td>4.85%</td> <td>5.90%</td> </tr> <tr> <td>2024</td> <td>6.50%</td> <td>4.70%</td> <td>5.70%</td> </tr> <tr> <td>2025</td> <td>6.25%</td> <td>4.60%</td> <td>5.50%</td> </tr> <tr> <td>2026</td> <td>6.00%</td> <td>4.50%</td> <td>5.30%</td> </tr> <tr> <td>2027</td> <td>5.80%</td> <td>4.45%</td> <td>5.15%</td> </tr> <tr> <td>2028</td> <td>5.60%</td> <td>4.40%</td> <td>5.00%</td> </tr> <tr> <td>2029</td> <td>5.40%</td> <td>4.35%</td> <td>4.85%</td> </tr> <tr> <td>2030</td> <td>5.20%</td> <td>4.30%</td> <td>4.70%</td> </tr> <tr> <td>2031-35</td> <td>5.05%</td> <td>4.25%</td> <td>4.60%</td> </tr> <tr> <td>2036-45</td> <td>4.90%</td> <td>4.20%</td> <td>4.50%</td> </tr> <tr> <td>2046-55</td> <td>4.75%</td> <td>4.15%</td> <td>4.45%</td> </tr> <tr> <td>2056-65</td> <td>4.60%</td> <td>4.10%</td> <td>4.40%</td> </tr> <tr> <td>2066-75</td> <td>4.30%</td> <td>4.05%</td> <td>4.20%</td> </tr> <tr> <td>2076+</td> <td>4.00%</td> <td>4.00%</td> <td>4.00%</td> </tr> </tbody> </table>	<u>Year</u>	<u>Non-Medicare</u>		<u>Medicare</u>	<u>Kaiser</u>	<u>Non- Kaiser</u>		2021	Actual Premiums			2022	7.00%	5.00%	6.10%	2023	6.75%	4.85%	5.90%	2024	6.50%	4.70%	5.70%	2025	6.25%	4.60%	5.50%	2026	6.00%	4.50%	5.30%	2027	5.80%	4.45%	5.15%	2028	5.60%	4.40%	5.00%	2029	5.40%	4.35%	4.85%	2030	5.20%	4.30%	4.70%	2031-35	5.05%	4.25%	4.60%	2036-45	4.90%	4.20%	4.50%	2046-55	4.75%	4.15%	4.45%	2056-65	4.60%	4.10%	4.40%	2066-75	4.30%	4.05%	4.20%	2076+	4.00%	4.00%	4.00%	<p style="text-align: center;"><u>Increase from Prior Year³</u></p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th rowspan="2"><u>Year</u></th> <th colspan="2"><u>Non-Medicare</u></th> <th><u>Medicare</u></th> </tr> <tr> <th><u>Kaiser</u></th> <th><u>Non- Kaiser</u></th> <th></th> </tr> </thead> <tbody> <tr> <td>2021</td> <td colspan="3" style="text-align: center;">Actual Premiums</td> </tr> <tr> <td>2022</td> <td>6.50%</td> <td>4.60%</td> <td>5.65%</td> </tr> <tr> <td>2023</td> <td>6.25%</td> <td>4.45%</td> <td>5.45%</td> </tr> <tr> <td>2024</td> <td>6.00%</td> <td>4.35%</td> <td>5.25%</td> </tr> <tr> <td>2025</td> <td>5.75%</td> <td>4.25%</td> <td>5.05%</td> </tr> <tr> <td>2026</td> <td>5.55%</td> <td>4.20%</td> <td>4.90%</td> </tr> <tr> <td>2027</td> <td>5.35%</td> <td>4.15%</td> <td>4.75%</td> </tr> <tr> <td>2028</td> <td>5.15%</td> <td>4.10%</td> <td>4.60%</td> </tr> <tr> <td>2029</td> <td>4.95%</td> <td>4.05%</td> <td>4.45%</td> </tr> <tr> <td>2030</td> <td>4.80%</td> <td>4.00%</td> <td>4.35%</td> </tr> <tr> <td>2031-35</td> <td>4.65%</td> <td>3.95%</td> <td>4.25%</td> </tr> <tr> <td>2036-45</td> <td>4.50%</td> <td>3.90%</td> <td>4.20%</td> </tr> <tr> <td>2046-55</td> <td>4.35%</td> <td>3.85%</td> <td>4.15%</td> </tr> <tr> <td>2056-65</td> <td>4.05%</td> <td>3.80%</td> <td>3.95%</td> </tr> <tr> <td>2066-75</td> <td>3.75%</td> <td>3.75%</td> <td>3.75%</td> </tr> </tbody> </table>	<u>Year</u>	<u>Non-Medicare</u>		<u>Medicare</u>	<u>Kaiser</u>	<u>Non- Kaiser</u>		2021	Actual Premiums			2022	6.50%	4.60%	5.65%	2023	6.25%	4.45%	5.45%	2024	6.00%	4.35%	5.25%	2025	5.75%	4.25%	5.05%	2026	5.55%	4.20%	4.90%	2027	5.35%	4.15%	4.75%	2028	5.15%	4.10%	4.60%	2029	4.95%	4.05%	4.45%	2030	4.80%	4.00%	4.35%	2031-35	4.65%	3.95%	4.25%	2036-45	4.50%	3.90%	4.20%	2046-55	4.35%	3.85%	4.15%	2056-65	4.05%	3.80%	3.95%	2066-75	3.75%	3.75%	3.75%
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³ Medical premiums after 2022 and estimated claims after 2021 do not take into account buy-downs (CalPERS subsidizations of premium rates from reserves).

City of South Pasadena, Retiree Healthcare Plan
June 30, 2021 Actuarial Valuation
Page 9

Actuarial Assumption	June 30, 2019 Valuation	June 30, 2021 Valuation																																																																																										
<ul style="list-style-type: none"> Fixed Dollar Cap Increase 	<ul style="list-style-type: none"> None 	<ul style="list-style-type: none"> Same 																																																																																										
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<ul style="list-style-type: none"> Administrative Expenses 	<ul style="list-style-type: none"> None 	<ul style="list-style-type: none"> CERBT – 0.05% of assets PEMHCA – 0.33% of retiree premium The Advantage Group - \$6 per retiree payment Included in recommended contributions 																																																																																										
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City of South Pasadena, Retiree Healthcare Plan
June 30, 2021 Actuarial Valuation
Page 10

Actuarial Assumption	June 30, 2019 Valuation	June 30, 2021 Valuation
<ul style="list-style-type: none"> ● Actuarial Modeling 	<ul style="list-style-type: none"> ● Our valuation was performed using and relying on ProVal, an actuarial model leased from Wintech. Our use of ProVal is consistent with its intended purpose. We have reviewed and understand ProVal and its operation, sensitivities and dependencies 	
<ul style="list-style-type: none"> ● Data Quality 	<ul style="list-style-type: none"> ● Our valuation used census data provided by the City. We reviewed the data for reasonableness and resolved any questions with the City. We believe the resulting data can be relied on for all purposes of this valuation without limitation 	
<ul style="list-style-type: none"> ● COVID-19 	<ul style="list-style-type: none"> ● No adjustments to the assumptions have been made for COVID-19 since there is not yet enough data to evaluate the future impacts 	
<ul style="list-style-type: none"> ● Basis for Assumptions 	<ul style="list-style-type: none"> ● No experience study performed for this Plan ● CalPERS 2000 to 2019 experience study was used ● Mortality improvement is a Society of Actuaries table ● Inflation based on our estimate for the Plan’s long time horizon ● Capital market assumptions based on 2021 Foster & Foster stochastic analysis, taking into account capital market assumptions of investment advisory firms ● Claims cost factors from Axene Health Partners’ healthcare actuaries. Due to age-risk adjusted federal subsidies to Medicare Advantage plans, age-based claims cost or implied subsidy were included for those plans. ● Short-term medical trend was developed in consultation with Axene Health Partners’ healthcare actuaries. Long term medical trend developed using the Society of Actuaries Getzen Model of Long-Run Medical Cost Trends ● Medical coverage and participation assumptions based in part on Plan experience 	

SUMMARY OF PARTICIPANT DATA

Participant Statistics

	6/30/2019	6/30/2021
<ul style="list-style-type: none"> ■ Actives <ul style="list-style-type: none"> ● Counts ● Average <ul style="list-style-type: none"> ➤ Age ➤ City Service 	<p>129</p> <p>42.5</p> <p>10.2</p>	<p>139</p> <p>41.8</p> <p>9.7</p>
<ul style="list-style-type: none"> ■ Retirees <ul style="list-style-type: none"> ● Counts ● Average <ul style="list-style-type: none"> ➤ Age ➤ Retirement Age⁴ 	<p>119</p> <p>73.7</p> <p>58.5</p>	<p>117</p> <p>73.6</p> <p>59.1</p>

Eligible Active Members
June 30, 2021

Age	City Service							Total
	<1	1-4	5-9	10-14	15-19	20-24	≥ 25	
< 25	2	2	-	-	-	-	-	4
25-29	2	11	3	-	-	-	-	16
30-34	1	14	5	1	-	-	-	21
35-39	2	11	6	9	-	-	-	28
40-44	2	6	2	9	2	1	-	22
45-49	-	1	2	1	2	-	2	8
50-54	3	3	5	1	-	1	5	18
55-59	-	-	-	2	1	2	8	13
60-64	1	1	1	-	2	-	2	7
≥ 65	-	-	-	1	1	-	-	2
Total	13	49	24	24	8	4	17	139

⁴ Service Retirees Only

Medical Plan Participation
Non-Waived Participants
June 30, 2021

Medical Plan	Actives	Retirees		
		< 65	≥ 65	Total
Anthem Select	9%	7%	0%	2%
Blue Shield Access+	13%	0%	0%	0%
Blue Shield Trio	3%	4%	0%	0%
Health Net Salud y Más	9%	0%	0%	0%
Health Net SmartCare	3%	0%	0%	0%
Kaiser	39%	25%	17%	20%
UnitedHealthcare	0%	0%	13%	9%
PERS Choice	7%	25%	16%	19%
PERS Select	5%	7%	1%	3%
PERSCare	3%	7%	47%	35%
PORAC	9%	25%	6%	11%
Total	100%	100%	100%	100%

Eligible Actives Medical Coverage
June 30, 2021

Medical Plan	Single	2-Party	Family	Waived	Total
Anthem Select	2	5	2	-	9
Blue Shield Access+	9	3	2	-	14
Blue Shield Trio	2	-	1	-	3
Health Net Salud y Más	-	2	7	-	9
Health Net SmartCare	-	2	1	-	3
Kaiser	22	5	14	-	41
PERS Choice	5	1	2	-	8
PERS Select	-	-	6	-	6
PERSCare	2	1	-	-	3
PORAC	4	1	4	-	9
Waived	-	-	-	34	34
Total	46	20	39	34	139

Total Retiree Medical Coverage (Under Age 65)

June 30, 2021

Medical Plan	Single	2-Party	Family	Waived	Total
Anthem Select	1	1	-	-	2
Blue Shield Access+	1	-	-	-	1
Kaiser	5	2	-	-	7
UnitedHealthcare	-	-	-	-	-
PERS Choice	4	3	-	-	7
PERS Select	-	2	-	-	2
PERSCare	2	-	-	-	2
PORAC	6	1	-	-	7
Waived	-	-	-	5	5
Total	19	9	-	5	33

Total Retiree Medical Coverage (Over Age 65)

June 30, 2021

Medical Plan	Single	2-Party	Family	Waived	Total
Anthem Select	-	-	-	-	-
Blue Shield Access+	-	-	-	-	-
Kaiser	7	5	-	-	12
UnitedHealthcare	7	2	-	-	9
PERS Choice	7	4	-	-	11
PERS Select	1	-	-	-	1
PERSCare	24	8	-	-	32
PORAC	1	3	-	-	4
Waived	-	-	-	15	15
Total	47	22	-	15	84

ACTUARIAL CERTIFICATION

This report presents the City of South Pasadena Retiree Healthcare Plan (“Plan”) June 30, 2021 actuarial valuation. The purpose of this valuation is to:

- Determine the Plan’s June 30, 2021 funded status, and
- Calculate the 2022/23 and 2023/24 recommended contributions.

This report provides information intended for plan funding but may not be appropriate for other purposes. Future actuarial measurements may differ significantly from the current measurements presented in this report due to such factors as: plan experience differing from that anticipated by the assumptions; changes in assumptions; changes expected as part of the natural progression of the plan; and changes in plan provisions or applicable law. Actuarial models necessarily rely on the use of estimates and are sensitive to changes. Small variations in estimates may lead to significant changes in actuarial measurements. Due to the limited scope of this assignment, we did not perform an analysis of the potential range of such measurements.

The valuation is based on Plan provisions and participant data provided by the City and asset information provided by CERBT as summarized in this report, which we relied on and did not audit. We reviewed the participant data for reasonableness.

To the best of our knowledge, this report is complete and accurate and has been conducted using generally accepted actuarial principles and practices. As members of the American Academy of Actuaries meeting the Academy Qualification Standards, we certify the actuarial results and opinions herein.

Respectfully submitted,

DRAFT

Mary Elizabeth Redding
FSA, EA, MAAA
Foster & Foster, Inc.
January 23, 2023

DRAFT

Drew D. Ballard
ASA, EA, MAAA
Foster & Foster, Inc.
January 23, 2023

DRAFT

Tak Frazita
FSA, EA, MAAA
Foster & Foster, Inc.
January 23, 2023

ATTACHMENT 2
OPEB Accounting Information

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Revised

City of South Pasadena Retiree Healthcare Plan



June 30, 2022 GASBS 75 Accounting Information As of Measurement Date June 30, 2021 Based on the June 30, 2021 Actuarial Valuation

Mary Elizabeth Redding, FSA, EA, MAAA
Drew Ballard, ASA, EA, MAAA
Tak Frazita, FSA, EA, MAAA
Nathan Hinojosa
Bartel Associates LLC

January 10, 2023

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Applicable Dates

Applicable Dates and Periods

	Fiscal Year Ended June 30, 2022
■ Measurement date	June 30, 2021
■ Measurement period	July 1, 2020 to June 30, 2021
■ Actuarial valuation date	June 30, 2021



January 10, 2023

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GASBS 75

City of South Pasadena

Note Disclosures

Plan Information

	Fiscal Year Ended June 30, 2022
■ Plan type	Single Employer
■ OPEB trust	No
■ Special funding situation	No
■ Nonemployer contributing entities	No



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GASBS 75

City of South Pasadena

Note Disclosures

Covered Participants

At June 30, 2021, the measurement date, the following numbers of participants were covered by the benefit terms:

	Number of Covered Participants
■ Inactives currently receiving benefits	97
■ Inactives entitled to but not yet receiving benefits	20
■ Active employees	139
■ Total	256



Note Disclosures

Total OPEB Liability

	Fiscal Year Ended	
	6/30/21	6/30/22
	Measurement Date 6/30/20	Measurement Date 6/30/21
■ Total OPEB Liability (TOL)	\$ 20,220,894	\$ 17,980,977



Note Disclosures

Changes in Total OPEB Liability

	Total OPEB Liability
■ Balance at 6/30/21 (6/30/20 measurement date)	\$20,220,894
■ Changes for the year	
● Service Cost	895,656
● Interest	461,163
● Changes of benefit terms	(3,110,716)
● Actual vs. expected experience	887,933
● Assumption changes	(874,999)
● Benefit payments*	(498,954)
■ Net Changes	(2,239,917)
■ Balance at 6/30/22 (6/30/21 measurement date)	\$17,980,977

* See the measurement period column on page 16 for details.



Note Disclosures

Sensitivity of Total OPEB Liability

■ **Changes in the Discount Rate**

	Discount Rate		
	1% Decrease (1.16%)	Current Rate (2.16%)	1% Increase (3.16%)
■ Total OPEB Liability	\$ 20,637,077	\$ 17,980,977	\$ 15,806,908

■ **Changes in the Healthcare Trend Rate**

	Healthcare Trend Rate		
	1% Decrease	Current Trend	1% Increase
■ Total OPEB Liability	\$ 16,767,529	\$ 17,980,977	\$ 19,352,845



Note Disclosures

OPEB Expense/(Income) for Fiscal Year

	2021/22
	Measurement Period 2020/21
■ OPEB Expense/(Income)*	\$ (1,759,968)

* See page 21 for OPEB expense/(income) detail, which is not a required disclosure.



Note Disclosures

Deferred Outflows/Inflows Balances at June 30, 2022

	June 30, 2022	
	Deferred Outflows of Resources	Deferred Inflows of Resources
■ Differences between expected and actual experience	\$ 766,298	\$ 803,239
■ Changes in assumptions	2,481,087	1,499,239
■ Employer contributions made subsequent to the measurement date*	1,847,160	-
■ Total	5,094,545	2,302,478

* See page 16 for details.



Note Disclosures

**Recognition of Deferred Outflows and Inflows of Resources
in Future OPEB Expense**

FYE June 30	Deferred Outflows/(Inflows) of Resources
■ 2023	\$ (7,861)
■ 2024	(7,864)
■ 2025	234,223
■ 2026	320,865
■ 2027	403,242
■ Thereafter	2,302



Note Disclosures

Significant Actuarial Assumptions Used for Total OPEB Liability

Actuarial Assumption	June 30, 2021 Measurement Date
■ Actuarial Valuation Date	■ June 30, 2021
■ Contribution Policy	■ No pre-funding
■ Discount Rate	■ 2.16% at June 30, 2021 (Bond Buyer 20-Bond Index) ■ 2.21% at June 30, 2020 (Bond Buyer 20-Bond Index)
■ General Inflation	■ 2.50% annually
■ Mortality, Retirement, Disability, Termination	■ CalPERS 2000-2019 Experience Study
■ Mortality Improvement	■ Mortality projected fully generational with Scale MP-2021



Note Disclosures

Significant Actuarial Assumptions Used for Total OPEB Liability

Actuarial Assumption	June 30, 2021 Measurement Date
■ Salary Increases	<ul style="list-style-type: none"> ■ Aggregate - 2.75% annually ■ Merit - CalPERS 2000-2019 Experience Study
■ Medical Trend	<ul style="list-style-type: none"> ■ Non-Medicare - 6.5% for 2023, decreasing to an ultimate rate of 3.75% in 2076 ■ Medicare (Non-Kaiser) - 5.65% for 2023, decreasing to an ultimate rate of 3.75% in 2076 ■ Medicare (Kaiser) - 4.6% for 2023, decreasing to an ultimate rate of 3.75% in 2076
■ Fixed Dollar Cap Increase	■ None
■ PEMHCA Minimum Increase	■ 4.00% annually
■ Healthcare Participation at Retirement	<ul style="list-style-type: none"> ■ 90% of employees receiving City Subsidy (hired before 7/1/2020) ■ 50% of employees receiving PEMHCA Minimum



Note Disclosures

Changes Since June 30, 2020 Measurement Date

Actuarial Assumption	June 30, 2021 Measurement Date
■ Changes of assumptions	<ul style="list-style-type: none"> ■ Discount rate was updated based on municipal bond rate as of the measurement date ■ Spouse participation updated to 40% ■ Demographic assumptions updated to CalPERS 2000-2019 Experience Study ■ Inflation rate decreased from 2.75% to 2.50% which decreased the medical trend and aggregate salary increases by 0.25% ■ Decreased medical trend rate for Kaiser Senior Advantage ■ Mortality improvement scale was updated to Scale MP-2021
■ Changes of benefit terms	■ City contributions modified to only pay toward single premiums
■ Events subsequent to June 30, 2021 measurement date and before June 30, 2022	<ul style="list-style-type: none"> ■ The City has established a Section 115 trust fund dedicated to prefunding its OPEB benefits via the California Employers' Retiree Benefit Trust (CERBT) fund. The City made an initial contribution of \$1,125,000 in June 2022 and has enrolled in CERBT Strategy 1 for its investment portfolio. ■ Management cap increased from \$715 to \$915



Required Supplementary Information

Schedule of Changes in Total OPEB Liability and Related Ratios

	2021/22
	Measurement Period 2020/21
■ Changes in Total OPEB Liability	
● Service Cost	\$ 895,656
● Interest	461,163
● Changes of benefit terms	(3,110,716)
● Actual vs. expected experience	887,933
● Assumption changes	(874,999)
● Benefit payments	<u>(498,954)</u>
■ Net Changes	(2,239,917)
■ Total OPEB Liability (beginning of year)	<u>20,220,894</u>
■ Total OPEB Liability (end of year)	17,980,977



Required Supplementary Information

Schedule of Changes in Total OPEB Liability and Related Ratios

	2021/22
	Measurement Date 6/30/21
■ Total OPEB Liability	\$ 17,980,977
■ Covered employee payroll*	15,678,975
■ Total OPEB Liability as a percentage of covered employee payroll	114.7%

* For the 12-month period ended on June 30, 2021 (Measurement Date).
As reported by the City.



Actuarial Certification

This report presents the City of South Pasadena Retiree Healthcare Plan 2021/22 disclosure under Governmental Accounting Standards Board Statement No. 75 (GASBS 75). This report may not be appropriate for other purposes, although it may be useful to the City for the Plan's financial management.

This report is based on information provided by the City which we relied on and did not audit. Additional information on the actuarial valuation can be found in the June 30, 2021 actuarial valuation report.

Future actuarial measurements may differ significantly from the current measurements presented in this report due to such factors as: plan experience differing from that anticipated by the assumptions; changes in assumptions; changes expected as part of the natural progression of the plan; and changes in plan provisions or applicable law. Actuarial models necessarily rely on the use of estimates and are sensitive to changes. Small variations in estimates may lead to significant changes in actuarial measurements. Due to the limited scope of this assignment, we did not perform an analysis of the potential range of such measurements.

The Journal Entries in this report are provided for the City's convenience and are not an actuarial communication. Therefore, this actuarial certification does not apply to the Journal Entries.

To the best of our knowledge, this report is complete and accurate and has been conducted using generally accepted actuarial principles and practices and complies with applicable Actuarial Standards of Practice. Additionally, in our opinion, actuarial methods and assumptions comply with GASBS 75. As the actuary, we have recommended the assumptions used in this report, and we believe they are reasonable. As members of the American Academy of Actuaries meeting the Academy Qualification Standards, we certify the actuarial results and opinions herein.

Respectfully submitted,



Mary Elizabeth Redding, FSA, EA, MAAA
Foster & Foster, Inc.
January 10, 2023



Drew Ballard, ASA, EA, MAAA
Foster & Foster, Inc.
January 10, 2023



Tak Frazita, FSA, EA, MAAA
Foster & Foster, Inc.
January 10, 2023



January 10, 2023

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GASBS 75

City of South Pasadena

Supporting Calculations

Employer Contributions

	Measurement Period	Measurement Date to FYE	Prior Measurement Date to Prior FYE
	7/1/20 to 6/30/21	7/1/21 to 6/30/22	Same as Measurement Period
■ Cash benefit payments	\$ 372,954	\$ 534,472	\$ 372,954
■ Implied subsidy benefit payments	126,000	182,000	126,000
■ Total benefit payments	498,954	716,472	498,954
■ Administrative expenses	1,790	5,688	1,790
■ Trust Contributions	-	1,125,000	-
■ Total employer contributions	500,744	1,847,160	500,744

Measurement period (7/1/20 to 6/30/21): \$500,744

Fiscal year (7/1/21 to 6/30/22): \$1,847,160



January 10, 2023

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City of South Pasadena

Supporting Calculations

Average of the Expected Remaining Service Lives

July 1, 2020 (beginning of the measurement period) was not a valuation date and no census data was available to the actuary as of that date. Therefore, the average of the expected remaining service lives was estimated as follows:

Valuation Date	Total expected remaining service lives*	Covered participants*	Average of the expected remaining service lives as of valuation date	Average of the expected remaining service lives as of 7/1/20 (not less than 1 yr)
6/30/21	1,808.4 years	236	7.7 years	7.3 years
6/30/19	1,588.6 years	226	7.0 years	

* Participants with no liability excluded for the purpose of calculating the average.



Supporting Calculations

Recognition of Deferred Outflows/Inflows at June 30, 2022 Differences between Expected and Actual Experience

Fiscal Year	Initial Amt	Initial Recog Period	Amount Recognized in OPEB Expense for FY							Deferred Balances June 30, 2022	
			21/22	22/23	23/24	24/25	25/26	26/27	27/28+	Outflows	(Inflows)
17/18	-	-	-	-	-	-	-	-	-	-	-
18/19	-	-	-	-	-	-	-	-	-	-	-
19/20	(1,405,666)	7.0	(200,809)	(200,809)	(200,809)	(200,809)	(200,812)	-	-	-	(803,239)
20/21	-	-	-	-	-	-	-	-	-	-	-
21/22	887,933	7.3	121,635	121,635	121,635	121,635	121,635	121,635	158,123	766,298	-
Total			(79,174)	(79,174)	(79,174)	(79,174)	(79,177)	121,635	158,123	766,298	(803,239)



Supporting Calculations

Recognition of Deferred Outflows/Inflows at June 30, 2022 Changes of Assumptions

Fiscal Year	Initial Amt	Initial Recog Period	Amount Recognized in OPEB Expense for FY							Deferred Balances June 30, 2022	
			21/22	22/23	23/24	24/25	25/26	26/27	27/28+	Outflows	(Inflows)
17/18	(1,694,570)	7.0	(242,081)	(242,081)	(242,084)	-	-	-	-	-	(484,165)
18/19	(606,526)	7.0	(86,647)	(86,647)	(86,647)	(86,644)	-	-	-	-	(259,938)
19/20	829,039	7.0	118,434	118,434	118,434	118,434	118,435	-	-	473,737	-
20/21	2,810,290	7.0	401,470	401,470	401,470	401,470	401,470	401,470	-	2,007,350	-
21/22	(874,999)	7.3	(119,863)	(119,863)	(119,863)	(119,863)	(119,863)	(119,863)	(155,821)	-	(755,136)
Total			71,313	71,313	71,310	313,397	400,042	281,607	(155,821)	2,481,087	(1,499,239)



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City of South Pasadena

Supporting Calculations

Recognition of Deferred Outflows/Inflows in Future OPEB Expense

	22/23	23/24	24/25	25/26	26/27	Thereafter 27/28+
■ Differences between Expected and Actual Experience	(79,174)	(79,174)	(79,174)	(79,177)	121,635	158,123
■ Changes of Assumptions	71,313	71,310	313,397	400,042	281,607	(155,821)
■ Total	(7,861)	(7,864)	234,223	320,865	403,242	2,302



January 10, 2023

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GASBS 75

City of South Pasadena

Supporting Calculations

Components of GASBS 75 OPEB Expense

	2021/22
	Measurement Period 2020/21
■ Service Cost	\$ 895,656
■ Interest on Total OPEB Liability	461,163
■ Administrative expense	1,790
■ Changes of benefit terms	(3,110,716)
■ Recognition of deferred outflows/(inflows)	
● Experience	(79,174)
● Assumptions	71,313
■ OPEB Expense/(Income)	(1,759,968)



Supporting Calculations

Components of GASBS 75 OPEB Expense
Calculation of Interest on Total OPEB Liability
2020/21 Measurement Period

	Dollar Amount	Discount Rate	Portion of Year	Interest
■ Total OPEB Liability	\$ 20,220,894	2.21%	100%	\$ 446,882
■ Service Cost	895,656	2.21%	100%	19,794
■ Changes of benefit terms*	(3,110,716)	2.21%	0%	-
■ Experience*	887,933	2.21%	0%	-
■ Assumption changes*	(874,999)	2.21%	0%	-
■ Benefit payments	(498,954)	2.21%	50%	(5,513)
■ Total interest				<u>461,163</u>

* Liability determined as of the end of the measurement period, so no interest charge is applicable.



Supporting Calculations

GASBS 75 Balance Equation

	Fiscal Year Ended	
	6/30/21	6/30/22
	Measurement Date 6/30/20	Measurement Date 6/30/21
■ Total OPEB Liability	\$ 20,220,894	\$ 17,980,977
■ Fiduciary Net Position	-	-
■ Net OPEB Liability	20,220,894	17,980,977
■ Deferred inflows of resources	2,076,879	2,302,478
■ Deferred (outflows) of resources	(3,000,991)	(3,247,385)
■ Balance Sheet	19,296,782	17,036,070

Check:

■ Balance Sheet 6/30/21	\$ 19,296,782
● OPEB Expense/(Income)	(1,759,968)
● Employer Contributions*	(500,744)
■ Balance Sheet 6/30/22	17,036,070

* See the measurement period column on page 16 for details.



Supporting Calculations

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Journal Entries

Employer Contributions

The entries below assume cash benefit payments, Trust contributions, and administrative expenses have been charged to OPEB Expense when paid, and that no accounting entries have been made for the current year implied subsidy payment, which is recorded as a reduction to active employee health care costs. See page 16 for details.

Following records the impact of employer contributions as deferred outflows of resources and as a reduction to Net OPEB Liability.

	Debit	(Credit)
■ Net OPEB Liability - (for Contributions paid 7/1/20 to 6/30/21)	\$ 498,954	\$ -
■ OPEB Expense - (for admin fees paid 7/1/20 to 6/30/21)	1,790	-
■ Deferred Outflow - 7/1/20 to 6/30/21 contributions	-	(500,744)
■ Deferred Outflow - 7/1/21 to 6/30/22 contributions	1,847,160	-
■ Active employee health care costs - (implied subsidy payments 7/1/21 to 6/30/22)	-	(182,000)
■ OPEB Expense - (for contributions paid 7/1/21 to 6/30/22)	-	(1,665,160)

Check 2,347,904 (2,347,904)



Journal Entries

Summary Journal Entries - OPEB Expense

Following records the impact of current year OPEB expense

	Debit	(Credit)
■ Deferred Outflows*	\$ 766,298	\$ (519,904)
■ Deferred Inflows**	200,809	(426,408)
■ OPEB Expense/Credit ***	-	(1,761,758)
■ Net OPEB Liability	1,740,963	-

Check 2,708,070 (2,708,070)

* See page 28 ('Subtotal' row) for details.

** See page 29 for details.

*** Total OPEB expense, -\$1,759,968, equals -\$1,761,758 plus \$1,790 admin fees from page 25.



Journal Entries

Ending Balances at June 30, 2022

	Debit	(Credit)
■ Deferral: Differences between expected and actual experience	\$ 766,298	\$ (803,239)
■ Deferral: Changes of assumptions	2,481,087	(1,499,239)
■ Total deferred outflow/inflow	3,247,385	(2,302,478)
■ Net OPEB Liability (NOL)	-	(17,980,977)
■ Contributions after the Measurement Date	1,847,160	-
■ Net Impact	15,188,910	-

Check: 20,283,455 (20,283,455)

■ Total OPEB expense/(income) for FYE 2022	-	(1,759,968)
--	---	-------------



Journal Entries

Reconciliation of Deferred Outflows

Detail for page 26

Deferred Outflows	Opening Balance - Debit	Journal Entry - Debit	Journal Entry - (Credit)	Ending Balance - Debit
■ Differences between actual and expected experience	\$ -	\$ 766,298	\$ -	\$ 766,298
■ Change in assumptions	3,000,991	-	(519,904)	2,481,087
■ Subtotal - actuarial deferrals	3,000,991	766,298	(519,904)	3,247,385
■ Contributions after the Measurement Date	500,744	1,847,160	(500,744)	1,847,160
■ Total Deferred Outflows	3,501,735	2,613,458	(1,020,648)	5,094,545



Journal Entries

Reconciliation of Deferred Inflows

Detail for page 26

Deferred Inflows	Opening Balance - (Credit)	Journal Entry - (Credit)	Journal Entry - Debit	Ending Balance - (Credit)
■ Differences between actual and expected experience	\$ (1,004,048)	\$ -	\$ 200,809	\$ (803,239)
■ Change in assumptions	(1,072,831)	(426,408)	-	(1,499,239)
■ Total Deferred (Inflows)	(2,076,879)	(426,408)	200,809	(2,302,478)



Journal Entries

Reconciliation of Deferred Outflows/(Inflows)

Summary of Balances

	Fiscal Year Ended	
	6/30/21	6/30/22
	Measurement Date 6/30/20	Measurement Date 6/30/21
■ Total OPEB (Liability)	\$ (20,220,894)	\$ (17,980,977)
■ Fiduciary Net Position	-	-
■ Net OPEB (Liability)	(20,220,894)	(17,980,977)
■ Deferred (inflows) of resources	(2,076,879)	(2,302,478)
■ Deferred outflows of resources	3,501,735	5,094,545
■ Balance Sheet Impact	(18,796,038)	(15,188,910)

Deferred Outflows include contributions after the measurement date.





City Council Agenda Report

ITEM NO. 11

DATE: February 15, 2023

FROM: Arminé Chaparyan, City Manager *TB for AC*

PREPARED BY: Hsiulee Tran, Deputy Finance Director/Controller
Albert Trinh, Finance Manager

SUBJECT: **Presentation of the Annual Comprehensive Financial Report
for Fiscal Year Ending June 30, 2022**

Recommendation

Staff recommends that the City Council receive and file the annual audit reports for the year ended June 30, 2022.

Background

After the close of each fiscal year, the Finance Department is responsible for the preparation and publication of the City's Annual Comprehensive Finance Report (ACFR) following an independent, certified audit. The goal of the financial audit and report is to provide users with a reasonable assurance that the information presented in the statements is accurate and timely.

The ACFR presents information on the status of the City's financial affairs, first on a citywide basis (Government-Wide Financial Statements) in which all the City activities are reported as governmental activities and business-type activities. A second set of statements (Fund Financial Statements) report separately the activities of all City Funds.

The ACFR is organized into three primary sections:

1. **Introductory Section** – includes the Finance Director's Letter of Transmittal, List of Principal Officials, and the Organization Chart.
2. **Financial Section** – includes the Independent Auditors' Report, Management's Discussion and Analysis, and the general purpose financial statements, consisting of the combined financial statements, notes to the financial statements, and supplemental statements.
3. **Statistical Section** – includes comparative information on pertinent City data, such as expenditures, revenues, assessed valuations, tax levies, demographic data, and performance measurements.

The ACFR is important for a number of reasons:

- The ACFR is utilized by the investment community, including bond buyers, underwriters, bond issuers, and credit rating agencies.
- It serves as a public information tool in the form of a comprehensive presentation of all of the City's financial activities.
- Due to a standardized format, the ACFR serves as a tool to provide a meaningful comparison to similar data for other cities.

The Annual Comprehensive Finance Report (ACFR) is a complete set of financial statements that summarizes the City's financial position for the Fiscal Year. The report is prepared annually by city staff, and audited by an independent auditing firm, with the purpose of providing a reasonable assurance from an independent source that the information is reliable.

The audit-related items provided within this report include:

1. City of South Pasadena – Annual Comprehensive Financial Report (ACFR)
2. Independent Auditor's Report – Government Auditing Standards
3. FY 2021-22 SAS 114 Letter
4. Management Letter

The audit for 2022 was recently completed by Rogers, Anderson, Melody & Scott, LLP (RAMS), in January 2023, four months ahead of the completion of the 2021 audit, a significant improvement over last year's timeline. The auditors rendered an unmodified opinion, which is the highest and optimal opinion issued by independent auditors.

Overall, the City's total net position increased by \$16,841,928 over the prior year, due primarily to water settlement payments, increase in revenue for recreational activities due to Covid restrictions being lifted and decreases in the City's net pension liability.

Discussion/Analysis

For FY 2021-22, the accounting firm of Rogers, Anderson, Malody, & Scott, LLP, performed an independent audit to determine that the financial statements are fairly presented and free from material misstatement. The independent auditor concluded there was reasonable basis for rendering an unmodified opinion, and that City's financial statements are fairly presented in conformity with Generally Accepted Accounting Principles (GAAP).

In the FY 2020-2021 ACFR, there were four findings, three of which were materials findings, zero of significant deficiency, and one on non-compliance related to bonds. These findings referred to the timely preparation of bank reconciliations, capital assessment maintenance and modules, and staffing and proper review of the audit and reconciliations. Items were 'late' but 'in progress'. In the presentation of the draft FY

2021-2022 ACFR before Finance Commission, the auditors shared that no findings have yet dropped off, though the auditors suggested that there has been significant progress across the board, especially in the 18+ month catch up of bank reconciliations and a much improved process and timeline for Department work products and flows. In finalizing the draft document and in working with staff, the auditors have determined that one finding is being removed, and that we are in fact in compliance with our Bond Covenant being filed timely in January 2023, and timely completion of the ACFR.

Finance Department staff will be working diligently to address and correct the remaining weaknesses and deficiencies, and focus on meeting industry best practices to resolve all findings.

Listed below are financial highlights for FY 2021-22:

- The assets of the City exceeded liabilities at the close of the most recent fiscal year by \$111,477,776.
- At the close of the current fiscal year, the City's governmental funds reported combined fund balances of \$39,682,789, an increase of \$992,859. Of that amount, \$16,615,541 (or approximately 42%) of total fund balances is the unassigned fund balance of the General Fund, and represents the fund balance available for spending at the City's discretion.
- At the end of the fiscal year, the total General Fund balance is \$24,672,171, while as previously mentioned, the emergency reserve fund balance (unassigned) for the General Fund was \$18,931,422, or 55% the General Fund expenditures.

There are two primary citywide financial statements: Statement of Net Position and the Statement of Activities. Similar to a balance sheet in private sector accounting, the Statement of Net Position presents the City's overall financial position at a specific point in time – in the City's case, this is as of the last day of the fiscal year (June 30, 2022).

The Statement of Activities is similar to the income statement, presenting the City's results of operations over a period of time.

City of South Pasadena Net Position
 As of June 30, 2022 and 2021

	Governmental Activities		Business-Type Activities		Total	
	2022	2021	2022	2021	2022	2021
Current and other assets	\$ 48,147,358	\$ 43,101,331	\$ 32,651,303	\$ 20,028,678	\$ 80,798,661	\$ 63,130,009
Capital assets, net	60,214,729	60,662,686	83,181,979	85,166,004	143,396,708	145,828,690
Total assets	108,362,087	103,764,017	115,833,282	105,194,682	224,195,369	208,958,699
Deferred outflow of resources	17,238,038	12,342,964	6,454,058	6,039,225	23,692,096	18,382,189
Long-term liabilities	41,192,563	58,104,665	58,215,895	61,210,771	99,408,458	119,315,436
Other liabilities	9,754,672	4,858,626	4,070,213	4,188,395	13,824,885	9,047,021
Total liabilities	50,947,235	62,963,291	62,286,108	65,399,166	113,233,343	128,362,457
Deferred inflow of resources	21,247,803	3,236,341	1,928,543	380,725	23,176,346	3,617,066
Net investment in capital assets	60,214,729	60,662,686	32,481,547	32,772,024	92,696,276	93,434,710
Restricted	13,615,668	10,700,987	158,464	1,158,268	13,774,132	11,859,255
Unrestricted	(20,425,310)	(21,837,814)	25,432,678	11,179,697	5,007,368	(10,658,117)
Total net position	\$ 53,405,087	\$ 49,525,859	\$ 58,072,689	\$ 45,109,989	\$ 111,477,776	\$ 94,635,848

The table above presents a summarized version of the City's Statement of Net Position for FY 2021-22, and a comparison to the previous fiscal year. Net position may serve as a useful indicator of a government's financial position. For South Pasadena, assets exceeded liabilities by \$111,477,776 at the close of the fiscal year. This represents an increase of \$16,841,928, or 18%, from the prior year. This increase is primarily due to increase in unrestricted investments and decrease in compensated absences, net pension liability, and other post-employment benefits liability.

Net investment in capital assets of \$92,696,276 are by far the largest portion of the City's net position, and reflects its investment in non-liquid capital assets (e.g. land, infrastructure, buildings, and equipment). The City uses these capital assets to provide services to citizens; consequently, these assets are not available for future spending. The second portion of the City net position, \$13,774,132, represents special revenue resources that are subject to external restrictions on how they may be used.

Governmental activities net position increased by \$3,879,228, due to an increase in charges for services and property taxes and a decrease in expenses, mainly in Public Safety.

Business activities net position increased by \$12,962,700 over the prior year mainly due to a settlement received of \$9,298,898, and the Graves Reservoir and Well Rehabilitation project completions and capitalizations in FY 21/22.

**City of South Pasadena Change in Net Position
 For the Years Ended June 30, 2022 and 2021**

	Governmental Activities		Business-Type Activities		Total	
	2022	2021	2022	2021	2022	2021
Program revenues:						
Charges for services	\$ 8,114,870	\$ 5,375,188	\$ 16,075,073	\$ 15,898,361	\$ 24,189,943	\$ 21,273,549
Operating contributions and grants	4,263,342	4,370,683	-	30,604	4,263,342	4,401,287
Capital contributions and grants	923,772	1,429,167	-	-	923,772	1,429,167
General revenues:						
Property taxes	17,906,070	16,772,602	-	-	17,906,070	16,772,602
Other taxes	11,807,082	10,674,440	-	-	11,807,082	10,674,440
Use of money and property	(466,697)	4,859,029	(360,030)	62,447	(826,727)	4,921,476
Other	266,540	152,783	9,317,881	24,736	9,584,421	177,519
Total revenues	42,814,979	43,633,892	25,032,924	16,016,148	67,847,903	59,650,040
Expenses:						
General government	10,995,232	8,193,683	-	-	10,995,232	8,193,683
Public safety	16,504,092	19,452,587	-	-	16,504,092	19,452,587
Community development	2,672,653	1,861,097	-	-	2,672,653	1,861,097
Community services	4,284,119	3,477,936	-	-	4,284,119	3,477,936
Public works	4,479,655	3,661,617	-	-	4,479,655	3,661,617
Water	-	-	9,521,857	8,206,574	9,521,857	8,206,574
Sewer	-	-	1,233,642	1,353,548	1,233,642	1,353,548
Arroyo Seco Golf Course	-	-	1,314,725	1,131,455	1,314,725	1,131,455
Total expenses	38,935,751	36,646,920	12,070,224	10,691,577	51,005,975	47,338,497
Income before transfers	3,879,228	6,986,972	12,962,700	5,324,571	16,841,928	12,311,543
Increase in net position	3,879,228	6,986,972	12,962,700	5,324,571	16,841,928	12,311,543
Net position, beginning, as restated	49,525,859	42,538,887	45,109,989	39,785,418	94,635,848	82,324,305
Net position, ending	\$ 53,405,087	\$ 49,525,859	\$ 58,072,689	\$ 45,109,989	\$ 111,477,776	\$ 94,635,848

The 2022 Draft ACFR was presented and reviewed by the City's Finance Commission. After deliberation and discussion for clarification points, the Commission voted to receive and file the document. The final document is presented to the City Council tonight.

Fiscal Impact

There is no cost associated with the presentation of this report. The cost of completing the audit through RAMS is a budgeted line item within the Finance Department budget.

Commission Review and Recommendation

This matter was reviewed by the Finance Commission on February 6, 2023. RAMS made a presentation of a draft document, touched on the previous and current findings, touched on the marked improvements on timeline in completing the audit, as well as the improvements across the board in the department and work flows, and answered Commission questions. The Commission voted to receive and file the ACFR.

In finalizing the draft document, the auditors have determined that the City has timely completed our Bond Covenants, and a finding has been dropped as such. The auditors in their presentation to the Finance Commission, suggested that there has been significant progress across the board, especially in the 18+ month catch up of bank reconciliations and a much improved process and timeline for Department work products and flows. Finance Department staff will be working diligently to address and correct the weaknesses and deficiencies, and focus on meeting industry best practices to resolve all findings.

Key Performance Indicators and Strategic Plan

This item is in line with the Finance Department's Key Performance Indicator. The audit commenced in November 2022 with the completion of the audit in February 2023.

Attachments:

1. FY 2021-22 Annual Comprehensive Financial Report
2. FY 2021-22 Internal Control Report and Response
3. FY 2021-22 SAS 114 Letter
4. Management Letter

ATTACHMENT 1

FY 2021-22 Annual Comprehensive Financial Report

Consultant is Finalizing the Document and it will be
available on Monday, February 13, 2023

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ATTACHMENT 2

FY 2021-22 Internal Control Report and Response

Consultant is Finalizing the Document and it will be available on Monday, February 13, 2023

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ATTACHMENT 3
FY 2021-22 SAS 114 Letter

Consultant is Finalizing the Document and it will be
available on Monday, February 13, 2023

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ATTACHMENT 4
Management Letter

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CITY OF SOUTH PASADENA

CITY CLERK DIVISION

1414 MISSION STREET, SOUTH PASADENA, CA 91030

TEL: (626) 403-7210 • FAX: (626) 403-7211

WWW.SOUTHPASADENACA.GOV

February 8, 2023

Rogers, Anderson, Malody & Scott, LLP
735 E. Carnegie Drive, Suite 100
San Bernardino, CA 92408

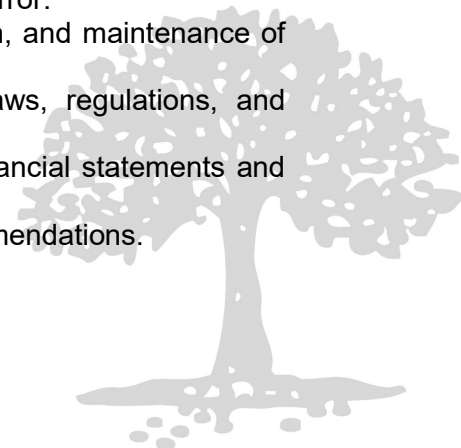
This representation letter is provided in connection with your audit of the financial statements of the City of South Pasadena (the City) as of June 30, 2022, and for the year then ended, and the related notes to the financial statements, for the purpose of expressing opinions on whether the basic financial statements present fairly, in all material respects, the financial position, results of operations, and cash flows, where applicable, of the various opinion units of the City in accordance with accounting principles generally accepted in the United States of America (U.S. GAAP).

Certain representations in this letter are described as being limited to matters that are material. Items are considered material, regardless of size, if they involve an omission or misstatement of accounting information that, in the light of surrounding circumstances, makes it probable that the judgment of a reasonable person relying on the information would be changed or influenced by the omission or misstatement.

We confirm, to the best of our knowledge and belief, having made such inquiries as we considered necessary for the purpose of appropriately informing ourselves as of February 8, 2023:

Financial Statements

1. We have fulfilled our responsibilities, as set out in the terms of the audit engagement letter dated November 7, 2022, for the preparation and fair presentation of the financial statements of the various opinion units referred to above in accordance with U.S. GAAP.
2. We acknowledge our responsibility for the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.
3. We acknowledge our responsibility for the design, implementation, and maintenance of internal control to prevent and detect fraud.
4. We acknowledge our responsibility for compliance with the laws, regulations, and provisions of contracts and grant agreements.
5. We have reviewed, approved, and taken responsibility for the financial statements and related notes.
6. We have a process to track the status of audit findings and recommendations.



7. We have identified and communicated to you all previous audits, attestation engagements, and other studies related to the audit objectives and whether related recommendations have been implemented.
8. Significant assumptions used by us in making accounting estimates, including those measured at fair value, are reasonable.
9. All related party relationships and transactions have been appropriately accounted for and disclosed in accordance with the requirements of U.S. GAAP.
10. All events subsequent to the date of the financial statements and for which U.S. GAAP requires adjustment or disclosure have been adjusted or disclosed.
11. The effects of all known actual or possible litigation and claims have been accounted for and disclosed in accordance with U.S. GAAP.
12. All component units, as well as joint ventures with an equity interest, are included and other joint ventures and related organizations are properly disclosed.
13. All funds and activities are properly classified.
14. All funds that meet the quantitative criteria in GASB Statement No. 34, *Basic Financial Statements—and Management's Discussion and Analysis—for State and Local Governments*, GASB Statement No. 37, *Basic Financial Statements—and Management's Discussion and Analysis—for State and Local Governments: Omnibus* as amended, and GASB Statement No. 65, *Items Previously Reported as Assets and Liabilities*, for presentation as major are identified and presented as such and all other funds that are presented as major are considered important to financial statement users.
15. All components of net position, nonspendable fund balance, and restricted, committed, assigned, and unassigned fund balance are properly classified and, if applicable, approved.
16. Our policy regarding whether to first apply restricted or unrestricted resources when an expense is incurred for purposes for which both restricted and unrestricted net position/fund balance are available is appropriately disclosed and net position/fund balance is properly recognized under the policy.
17. All revenues within the statement of activities have been properly classified as program revenues, general revenues, contributions to term or permanent endowments, or contributions to permanent fund principal.
18. All expenses have been properly classified in or allocated to functions and programs in the statement of activities, and allocations, if any, have been made on a reasonable basis.
19. All interfund and intra-entity transactions and balances have been properly classified and reported.
20. Special items and extraordinary items have been properly classified and reported, if applicable.
21. Deposit and investment risks have been properly and fully disclosed.
22. Capital assets, including infrastructure assets, are properly capitalized, reported, and if applicable, depreciated.
23. All required supplementary information is measured and presented within the prescribed guidelines.
24. With regard to investments and other instruments reported at fair value:
 - a. The underlying assumptions are reasonable and they appropriately reflect management's intent and ability to carry out its stated courses of action.
 - b. The measurement methods and related assumptions used in determining fair value are appropriate in the circumstances and have been consistently applied.
 - c. The disclosures related to fair values are complete, adequate, and in accordance with U.S. GAAP.
 - d. There are no subsequent events that require adjustments to the fair value measurements and disclosures included in the financial statements.

25. With respect to nonattest services, including assistance in preparing the financial statements, we have performed the following:
 - a. Made all management decisions and performed all management functions;
 - b. Assigned a competent individual to oversee the services;
 - c. Evaluated the adequacy of the services performed;
 - d. Evaluated and accepted responsibility for the result of the service performed; and
 - e. Established and maintained internal controls, including monitoring ongoing activities.

Information Provided

1. We have provided you with:
 - a. Access to all information, of which we are aware that is relevant to the preparation and fair presentation of the financial statements of the various opinion units referred to above, such as records, documentation, meeting minutes, and other matters;
 - b. Additional information that you have requested from us for the purpose of the audit; and
 - c. Unrestricted access to persons within the City from whom you determined it necessary to obtain audit evidence.
2. All transactions have been recorded in the accounting records and are reflected in the financial statements.
3. We have disclosed to you the results of our assessment of the risk that the financial statements may be materially misstated as a result of fraud.
4. We have provided to you our analysis of the City's ability to continue as a going concern, including significant conditions and events present, and if necessary, our analysis of management's plans, and our ability to achieve those plans.
5. We have no knowledge of any fraud or suspected fraud that affects the City and involves—
 - a. Management;
 - b. Employees who have significant roles in internal control; or
 - c. Others where the fraud could have a material effect on the financial statements.
6. We have no knowledge of any allegations of fraud, or suspected fraud, affecting the City's financial statements communicated by employees, former employees, vendors, regulators, or others.
7. We have disclosed to you all known actual or possible litigation, claims, and assessments whose effects should be considered when preparing the financial statements.
8. We have disclosed to you the identity of the City's related parties and all the related party relationships and transactions of which we are aware.
9. There have been no communications from regulatory agencies concerning noncompliance with or deficiencies in accounting, internal control, or financial reporting practices.
10. The City has no plans or intentions that may materially affect the carrying value or classification of assets and liabilities.
11. We have disclosed to you all guarantees, whether written or oral, under which the City is contingently liable.
12. We have disclosed to you all significant estimates and material concentrations known to management that are required to be disclosed in accordance with GASB Statement No. 62 (GASB-62), Codification of Accounting and Financial Reporting Guidance Contained in Pre-November 30, 1989 FASB and AICPA Pronouncements. Significant estimates are estimates at the balance sheet date that could change materially within the next year. Concentrations refer to volumes of business,

- revenues, available sources of supply, or markets or geographic areas for which events could occur that would significantly disrupt normal finances within the next year.
13. We have identified and disclosed to you the laws, regulations, and provisions of contracts and grant agreements that could have a direct and material effect on financial statement amounts, including legal and contractual provisions for reporting specific activities in separate funds.
 14. There are no:
 - a. Violations or possible violations of laws or regulations, or provisions of contracts or grant agreements whose effects should be considered for disclosure in the financial statements or as a basis for recording a loss contingency, including applicable budget laws and regulations.
 - b. Unasserted claims or assessments that our lawyer has advised are probable of assertion and must be disclosed in accordance with financial reporting standards.
 - c. Other liabilities or gain or loss contingencies that are required to be accrued or disclosed by financial reporting standards.
 - d. Continuing disclosure consent decree agreements or filings with the Securities and Exchange Commission and we have filed updates on a timely basis in accordance with the agreements (Rule 240, 15c2-12).
 15. The City has satisfactory title to all owned assets, and there are no liens or encumbrances on such assets nor has any asset or future revenue been pledged as collateral, except as disclosed to you.
 16. We have complied with all aspects of grant agreements and other contractual agreements that would have a material effect on the financial statements in the event of noncompliance.
 17. We acknowledge our responsibility for Required Supplementary Information (RSI). The RSI is measured and presented within prescribed guidelines and the methods of measurement and presentation have not changed from those used in the prior period. We have disclosed to you any significant assumptions and interpretations underlying the measurement and presentation of the RSI.
 18. With respect to the Supplementary Information, as listed in the table of contents, of the financial statements:
 - a. We acknowledge our responsibility for presenting the Supplementary Information in accordance with accounting principles generally accepted in the United States of America and we believe the Supplementary Information, including its form and content, is fairly presented in accordance with applicable criteria.
 - b. The methods of measurement or presentation have not changed from those used in the prior period and we have disclosed to you any significant assumptions or interpretations underlying the measurement and presentation of the Supplementary Information.
 - c. When the Supplementary Information is not presented with the audited financial statements, management will make the audited financial statements readily available to the intended users of the Supplementary Information no later than the date of issuance by the City of the Supplementary Information and the auditor's report thereon.
 - d. We acknowledge our responsibility to include the auditor's report on the Supplementary Information in any document containing the Supplementary Information and that indicates the auditor reported on such Supplementary Information.
 - e. We acknowledge our responsibility to present the Supplementary Information with the audited financial statements or, if the Supplementary Information will not be presented with the audited financial statements, to make the audited financial statements readily available to the intended users of the Supplementary

Information no later than the date of issuance by the City of the Supplementary Information and the auditor's report thereon.

19. We believe that the actuarial assumptions and methods used to measure pension and other postemployment benefit liabilities and costs for financial accounting purposes are appropriate in the circumstances.
20. We agree with the findings of specialists in evaluating the GASB 68 accounting report and have adequately considered the qualifications of the specialist in determining the amounts and disclosures used in the financial statements and underlying accounting records. We did not give or cause any instructions to be given to specialists with respect to the values or amounts derived in an attempt to bias their work, and we are not otherwise aware of any matters that have had an impact on the independence or objectivity of the specialists.
21. We believe that the actuarial assumptions and methods used to measure pension and other postemployment benefit liabilities and costs for financial accounting purposes are appropriate in the circumstances.

Signature: 

Title: City Manager

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City Council Agenda Report

ITEM NO. 12

DATE: February 15, 2023

FROM: Arminé Chaparyan, City Manager

PREPARED BY: Tamara Binns, Assistant to the City Manager *TB for AC*
Andrew Jared, City Attorney

SUBJECT: **Termination of Emergency Order Effective March 1, 2023;
Remote Teleconferencing Meeting of Legislative Bodies;
Continuation of Participation by the Public Through Remote
Access**

Recommendation

The Agenda Report will be provided under separate cover.

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City Council Agenda Report

ITEM NO. 13

DATE: February 15, 2023

FROM: Arminé Chaparyan, City Manager *TB for AC*

PREPARED BY: Domenica K. Megerdichian, Deputy City Manager
Hsiulee Tran, Deputy Finance Director/Controller

SUBJECT: **Finance Department Current Status Update and Organizational Assessment**

Recommendation

It is recommended that the City Council receive and file a report and presentation on the Finance Department Current Status Update/ Organizational Assessment.

Background

The City of South Pasadena has embarked on agency-wide department organizational assessments in a strategic effort in analyzing the current state of each department and learning of recommendations to improve upon the operations and incorporate industry best practices. The assessments are poised to identify specific and actionable priority management, resource allocation, staffing needs, and improvements in service to the community. The City Manager's Office is working directly with each department to plan for and complete assessments across the board: the Public Works Department assessment was completed in Fall 2021; the Finance Department, Community Services Department, and Management Services Department's Human Resources and Information Technology division assessments are underway. The Police Department assessment is underway, and the Fire Department is working on creating a Request for Proposal (RFP) in the near future.

The City Manager and the City Council have provided staff direction that final reports incorporate an assessment of staffing, resources, a review of policies and procedures, and general recommendations based on industry changes and best practices. Such reports are provided to the City Manager and presented to City Council. The reports will allow the City Manager to work with each department to strategically plan and implement recommendations based on the assessments, and create a basis for general oversight and operational management of the agency.

The Finance Department has undergone many changes since 2018. Turnover in staffing, untimely preparation and presentation of key budget and audit documents, and concerns over the management of the department and the City's finances led to the creation of a Finance Ad Hoc Committee, appointed by the City Council, to analyze budget processes, reports, assessments and other issues.

Since June 2021, the new City administration has worked with the Finance Department, and every department across the agency, to resource change by way of appropriate staffing levels, technology and other tools, and work toward industry shifts and best practices. Leadership has embarked on department organizational assessments as an additional tool in an effort to capture the current status, review policies, analyze existing resources, look at industry best practices and trends, and develop actionable recommendations towards working with the City Council to delivering our departments and agency to better serve the community for the future. The Finance Department organizational assessment was began by the previous Interim Finance Director, and has been completed in a concerted effort between the City Manager's Office and the current Finance Department leadership. The following Finance Department organizational assessment is presented for your review:

Past Assessments

The Finance Department has undergone a number of assessments since 2018 (see attached):

1. Citygate Report (2018)
2. Claro Report (2020)
3. Finance Ad Hoc Committee Report (2022)

It is current staff's understanding that the Citygate Report and the Claro Report have not previously been publicly shared and discussed or circulated in this forum. The Citygate Report has been available on the City's website for some time, and a non-privileged summary of the Claro Report has previously been released. These documents pre-date the current executive staff in the City Manager's Office and the Finance Department. The Finance Ad Hoc Committee submitted their final report to the City Council in mid-2022, and the report was agendaized and received at the regular meetings of the City Council. It was discussed twice, in June and in August 2022. This staff report provides these previous reports as attachments, and provides a response to the findings and recommendations therein.

Citygate Report- 2018

Citygate Associates is a local government consulting firm. It was hired by the City to prepare an audit and assessment of the Finance Department, in 2018. The report consisted of 36 findings and 44 recommendations, pertaining to the Finance Department work flow, work product, technology and resource needs, staffing and staff morale issues. This included findings of lack of training, and a lack of sufficient policies and procedures. Attachment A provides the full Citygate Report of 2018, and Attachment B provides an in-depth spreadsheet compiled in 2022/23 by current staff, including responses to each recommendation and finding, as well as a current status.

Current staff can confirm that while some improvements were begun in 2018/2019, but much improvement and progress has been made since 2021 to follow industry best practices:

- Of the report's 36 findings and 44 recommendations, 29 have been completed (66%), 14 are in progress or ongoing (32%), and a small fraction are N/A or removed (Attachment B)
- 98% of the findings and recommendations have been completed, are in-progress, or are ongoing. Major improvements include:
 - Professional development of staff and participation in professional organizations and trainings (On-going)
 - Exploring improvements to technology and modules in existing programs
 - Updated Finance Policies and Procedures (adopted by Council, November 2022)
 - Annual presentation of Mid-year budget reports to City Council
 - Timely annual audit completed and presented to City Council for consideration and deliberation ahead of budget adoptions (completed 2022 and on on-track for 2023)
 - Significant improvements to the workflows and work products of the department, and a significant catch-up post-COVID shutdown to monthly investments, reconciliations and reporting (On-going)
 - Significantly improved staff morale (internal), including the promotion of two Assistants to Analysts, clear direction from leadership, improved interdepartmental relationships and customer service (On-going)
 - The reclassification and hiring of a Deputy Finance Director/Controller in November 2022 and a Deputy City Manager in December 2021 to lead and deliver upon organizational and department improvements and services
 - Quarterly budget updates and monthly operational status updates to City Council; moving forward starting Spring 2023, staff will provide monthly budget updates (On-going)
 - The alignment of City Council and Commission work products and priorities with the Adopted 2021-2026 Strategic Plan and the current Adopted Budget (On-going)

Six findings/recommendations have been removed or are no longer applicable: the inability of staff to 'question' their Director, the installation of a kiosk in the City Hall lobby to facilitate transactions, the recommendation to shift the Filming Division from Community Development to Finance, and the suggestion to create certain manuals for internal use.

Staff recognizes that the state of the Finance Department of 2018 -- that predated many current staff— was lacking and in need of many improvements. Leadership has implemented significant improvements following industry best practices to address the issues identified. The Department is dedicated to the ongoing improvements to technology, staff training and cross training, and more to continue to improve the Finance Department.

Claro Group- 2020

The Claro Group was retained in August 2018 to review and identify accounting records related to a potential misappropriation of monies or possible fraudulent activity; the report set out to identify transactions and/or vendors for further investigation.

The Report included nine (9) separate analyses of the City's Accounts Payable:

1. To seek out any fictitious vendors- none found
2. To apply forensic accounting analysis tools
3. To test round dollar amounts for any improperly recorded vendors- none found
4. To review CalPers payments- two questions identified and reviewed and deemed appropriate
5. To review of payments by year to vendors- none warranted further investigation
6. To analyze frequency of checks from 2012- 2018 to vendors- none warranted further investigation
7. To identify variance from averages- none warranted further investigation
8. To review new vendors to identify possible fictitious ones- none found
9. To review vendors with significant increase in payments- 31 identified as having significant increases from the year prior, and after review, deemed each vendor's activity appropriate and reasonable

Because the report utilized sensitive information regarding forensic tools used to identify fraud, and because personnel issue could have been implicated, the Claro Group was retained through legal counsel and was an attorney-client privileged communication. The report was redacted to protect the city's interests in preventing disclosure of investigative methods and tools. The redactions do not address the analysis or conclusions of the report. The Claro Report version attached is the one that was released in September 2020.

The report continued to analyze and identify areas for further investigation and consideration of internal work flows and processes, including: review of transactions to vendors, review of any duplicate payments, review of same-day multiple transaction postings, and review of cash receipts. No significant findings were identified at the conclusion of the report.

Finance Ad Hoc Committee (FAHC)- 2022

The Finance Ad Hoc Committee was formed by the City Council in September 2020 in an effort to review the fiscal year 2020-2021 budget, the Annual Comprehensive Finance Report (ACFR) for fiscal year 2018-2019, and to address concerns of oversight and management of the City's budget process under the purview of the previous leadership and administration at City Hall. The Committee was tasked with making recommendations to improvements to the City's process, including timely completion of various milestones. Shortcoming of the time included:

- Unexplained changes between proposed budgets for review and adoptions,
- Council's consideration of the budget ahead of timely audits,
- The issues leading to the need of the development of the Ad Hoc Committee for

- oversight and improvements, and
- Concerns of the lack of internal controls, transparency and timeliness of reporting.

The Committee's Report was presented to and received by the City Council on June 15, 2022, and again on August 17, 2022 for further discussion opportunity.

The report provided for a number of recommendations, many of which have been remedied or are in the remedial process:

- Policies and Procedures
Finance Policies and Procedures have been re-established, and were adopted by the City Council in November 2022. Staff training across the agency is ongoing to ensure the adherence to the Policies and Procedures.
- Timely Reporting and Transparency
The current administration has worked diligently to address these issues, including a timely presentation of a Mid-Year budget report to City Council, quarterly budget updates to City Council, timely deliverance of an annual audit ahead of budget discussions and adoptions, a robust budget process calendar, including community input and discussion sessions, and timely adoption of an annual budget. The monthly Citywide Operational Status Updates from September to December 2022 will be replaced by continued quarterly discussions of budget and operations, including a shift to monthly budget updates to City Council beginning Spring 2023.
- Timely Audits
The FY 2021-2022 audit has been completed 4 months in advance of last year's audit, and the final draft is being presented to City Council, months ahead of the budget discussions to follow. We are closer to the industry best practices we strive for, and continue improvements in this realm. The City will be seeking a new auditor contract at the completion of the existing contract with the current firm.
- Proper Staffing Levels/Morale
The administration has committed to, and made strides, in employee training and retention, professionalizing our workforce, and incorporating better and best practices to our processes as well as internal and external customer services. The City Manager's Office is working closely with Finance Department leadership to assess staffing and resourcing needs, and City Council recently approved of temporary high-level finance staffing hires, to include the placement of a new Interim Finance Director, while the agency seeks a permanent placement in the coming months. The Accounting Manager position was reclassified to a Deputy Finance Director/Controller, and the Controller has been hired, on boarded, and has hit the ground running in leadership to the department and agency.

- Legal
The City Council has directed the City Manager's Office to seek proposals for City Attorney Services. Council established a sub-committee, and efforts to draft a final Request for Proposal (RFP) are underway. Award of contract is expected in May to June 2023. Recommendations and best practices are being included in the RFP to provide for improvements to contract management by the City, including , increased transparency in financial reporting on legal expenses, are built into the new RFP to provide for improvements to contract and reporting management, and identifying potential conflicts of interest in providing services to the agency by prospective bidders.
- Recommendations for City Staff
In response to various recommendations made for internal processes and for City staff, the Department together with the City Manager's Office, continues to commit to implementing industry best practices and corrective measures. The City Attorney has provided an update to the City Council on current litigation and legal liability positions, and will continue to keep apprised as cases and legal needs move forward. Legal expenses and invoices have been parsed out to provide more detail, including costs associated with public record request review. Finally, the shift to provide quarterly and monthly updates to the Finance Commission and the City Council are underway, as we shift from quarterly budget updates to monthly in Spring 2023, and continue to maintain a higher level of information sharing and transparency in efforts underway.

Current Status Update/ Finance Department Operational Assessment

The City Manager's Office and the Finance Department have worked together to complete and present a current status update and Finance Department Operational Assessment for City Council's review and consideration. The Assessment was initiated by the previous Interim Finance Director, and has been finalized as a joint work product of the City Manager's Office and Finance Department, as current staff and leadership can provide a high-level accounting of our current status, and recommendations of how to continue the positive trajectory.

Finance Assessment Summary

- As of February 5, 2023, the Finance Department has made substantial progress in addressing both the Finance Ad Hoc Committee findings of June, 2022 and the 36 findings and 44 recommendations of the City Gate Report.
- Of the 36 findings and 44 recommendations, 29 have been completed (66%), 14 are in progress or ongoing (32%), and a small fraction are N/A or removed (Attachment B).
- One of the Committee's findings that is still subject to review is our workers compensation and self-insurance coverage and liability. An actuarial study was undertaken but a final review is required to address additional concerns if any.

Current Operational State of the Finance Department is in Good Order

- Our financial statements for the fiscal year end June 2022 have been completed and the final draft will be submitted to the Finance Commission for review and approval prior to submission to City Council.
- We have completed our ACFR in time for us to submit to GFOA (Government Finance Officers Association) for the ACFR Award of FY 2022. Considering that last year, we were not able to meet the deadline requirements due to the FY 2021 ACFR because of its 6 month completion delay to June 2022, this is major progress.
- Based on our complete and timely submission of requested documents (PBC's) from auditors, we expect no accounting practice findings as we have addressed many of the past years' comments that were within our present control and resources. If there will be any, they will be concentrated on issues that cannot be resolved immediately i.e. major purchases of additional software.

Timely Reporting

The following reports have been completed timely:

- The State Controller's Report was submitted on time last January 30, 2023.
- The Payroll W-2's forms and the vendors 1099 forms were distributed by January 30, 2023.
- The MTA Audit (Metro) was completed with no findings on accounting standards last December.
- The Street Report was also completed before due date.
- Our US Census report will be completed by February 15.
- Our OPEB (Other post-employment benefits) actuarial was completed in time for our city-wide audit; the draft report was presented to the Finance Commission on February 6, 2023, and the Final Draft is presented tonight to City Council
- One of the findings of the Citygate report was the timely submission of our Investment Reports; this fiscal year, we have met all deadlines relating to Investment reports and will continue to do this as a matter of course.
- Bank Reconciliations are well managed in spite of the loss of the accountant position due to resignation in January 2023 to pursue higher education—a recruitment for an accountant will follow immediately.
- The November and December bank reconciliations are in process. Variances have already been identified and the remaining process will be posting these pending journal entries.
- The Finance manager has taken over the duty in order for us to complete both reconciliations to a zero variance by February 15th. Comparatively, a two month delay is not uncommon during audit time—while we are reconciled, it is the posting of the journal entries that identify variances, if any, including deposits in transit and other timing differences.
- The midyear budget report is being finalized by the Finance Director, and in

partnership in working with each Department across the agency. Departments have met with Finance staff to review all requests and discussions, and review and strategic planning of all mid-year requests will take place with the City Manager ahead of the report to Council.

- The budget season is in full swing. Budget calendars have been distributed and we expect to meet the deadlines as scheduled.

Areas for Continued Improvement

- Staffing remains an issue. City employment trends have become contributory in the delay in solving staffing requirements. This problem is not unique to us but it is evident in many city governments. We have added a Deputy Finance Director/Controller position this year to the department. Further assessment of additional personnel to assist in various back logs and/ or improvements in the department is necessary. There remain several projects that have been set aside in the past that still remain incomplete.
- Significant staff cross-training is absolutely necessary to protect the Department and the Agency in light of absences or staffing turnover/movement. This issue goes hand-in-hand with the additional staffing needs mentioned above, and depends fully on maintaining and onboarding qualified personnel who can take on more responsibilities in the department to add capacity and to all be cross-trained on all functions.

Resourcing and Next Steps

- Temporary staffing allocations have recently been approved by the City Council to provide for a new Interim Finance Director, temporary Finance department staff, especially to provide capacity during this busy Finance season (audit, reporting, mid-year, budget process).
- Staff will be requesting that an existing part-time Management Analyst position be downgraded to a full-time Management Assistant position at the Mid-year budget discussion, and will be requesting an additional accountant position at budget.
- The City Manager's Office plans to hold interviews for a permanent Finance Director placement in the next couple of months, and looks to shift to permanent finance staff when the busier season settles; specific staffing levels and needs will be determined, and City Council will be asked to support those recommendations when the time comes.
- In addition to staffing needs, technological investments are imperative to adding functionality, reporting capability, oversight and management to the Finance Department.
- Staff is exploring additional modules of existing software and products. A robust financial system and tool will be needed in the near future, and will be an expensive investment of close to \$1M, and staff will work with the City Manager's Office and future budget processes to plan for this investment.

Overall, there is much improvement in the Finance Department. Policies and procedures have been adopted and are in place, staff is being trained on the best practices across the organization. We are facilitating timely necessary documents and processes, including audits, mid-year reports, budget updates, budget process, and working to align the work products and priorities of City Council, appointed bodies, Departments and their divisions, to the established Strategic Plan priorities, and the priorities resourced in the adopted budget. Staff will continue to strive toward industry best practices, and is proud of the work they accomplish and the service they provide to internal and external customers, as well as to maintaining financial responsibility.

Fiscal Impact

There is no fiscal impact to this status update/department assessment.

Attachments:

1. 2018 Citygate Report
2. 2022/23 Citygate Report Tracking Sheet
3. 2020 Claro Report
4. 2022 Finance Ad Hoc Committee Report (with Staff Report from August 17, 2022 City Council agenda)

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ATTACHMENT 1
2018 Citygate Report

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FINANCE DEPARTMENT
OPERATIONAL REVIEW

CONFIDENTIAL
DRAFT REPORT
UNDER ATTORNEY-CLIENT
PRIVILEGE

SOUTH PASADENA, CA

AUGUST 16, 2018



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Appendix 5	Benchmark Agency Comparisons – Previously Used Comparator Agencies

EXECUTIVE SUMMARY

The City of South Pasadena (City) contracted with Citygate Associates, LLC (Citygate) to provide a review of the City's Finance Department (Department) operations to identify potential improvements and to provide mentoring services due to recent key staff turnover. Citygate spent time on site to conduct interviews, interface with staff, observe organizational processes and procedures, and research and access Department documents and information. The scope of this independent, third-party organizational review includes the following elements:

- ◆ Examination of the Finance Department's organizational structure and assessment of key management staff, administrative strengths, and areas in need of improvement.
- ◆ Review of the Finance Department's operational functions and workflow processes to identify overall strengths and weaknesses to provide recommendations for streamlining procedures and processes.
- ◆ Interviews with applicable City personnel to determine the effectiveness of the Finance Department's workflow processes and adherence to financial and operational policies and procedures.
- ◆ Review of pertinent Department-driven documents and reports to determine adequacy, necessity, and timeliness.
- ◆ Identification of best practices and performance measures for the Department (i.e., long-range fiscal planning, training, and succession planning).
- ◆ Provision of professional guidance and mentoring to key management staff as needed during the engagement.
- ◆ Provision of status updates every other week to the Project Manager and City Manager outlining progress and potential issues during the engagement.
- ◆ Development and presentation of a Draft Report of all findings and recommendations for review by the City.
- ◆ Delivery of the Final Report to the City.

The approach used to complete this review consisted of a combination of on-site analysis (an average of three days per week) and off-site analysis, which included the following tasks:

- ◆ Document Review – An extensive number of documents relating to the Department were reviewed to help gain an understanding of the formal written operational policies and procedures currently in place at the City.

- ◆ Interviews – In addition to reviewing documents, various interviews were conducted with key City staff to gain an understanding of how processes are carried out from the perspectives of the individuals within the Department who are responsible for providing services, as well as the various external departments that receive services. The interviews helped to identify strengths and weaknesses of the Department and/or finance-related Citywide processes and procedures.
 - The positions of Finance Director and Assistant Finance Director were not interviewed because they were no longer with the City at the start of this engagement. Due to the extenuating circumstances relayed by City management, it was determined that interviewing these individuals would not change the findings and recommendations of the report.
- ◆ Job Shadowing – As a secondary method to validate the procedures shared during the various interviews of Department staff, job shadowing was conducted with some of the Department positions, including Accounts Payable, Payroll, and Cash Receipts.
- ◆ Mentoring and Guidance – Professional guidance, mentoring, and feedback were provided to Department staff and other key City staff relating to various City finance issues, such as budget preparation, auditing, state reports, operational processes, and training.

The research methodology also included review of various municipal finance organizational websites, including the California Society of Municipal Finance Officers, Government Finance Officers Association (GFOA), International City/County Management Association, Governmental Accounting Standards Board, and Los Angeles County Economic Development Corporation, as well as State and Federal organizational websites, including the California State Controller, California Department of Finance, California Public Employees' Retirement System (CalPERS), and US Census Bureau. Additionally, various comparable city websites were reviewed to provide comparative data for this report.

South Pasadena is located approximately six miles northeast of downtown Los Angeles on the west side of the San Gabriel Valley between the Cities of Pasadena, San Marino, Los Angeles, and Alhambra, and it has a population of 25,992. Founded in 1874 by the Indiana Colony, the City encompasses 3.44 square miles and was incorporated as a general law City of the State of California on March 2, 1888. South Pasadena is noted for its beautiful, historically significant homes on tree-lined streets, for its excellent public schools, and for a small-town atmosphere in the midst of greater Los Angeles.

The City is a full-service general law City that operates under the Council-Manager form of government. The City Council consists of five members elected to four-year staggered terms of

office. The Mayor is selected from the City Council members and serves a one-year term. The City's other elected officials are the City Treasurer and City Clerk, each of whom serve a four-year term of office.

The City provides a full range of services, including police and fire protection; the construction and maintenance of streets and other infrastructure; sewer services; water utility; refuse collection; public improvements; planning and zoning; recreational activities and cultural events; library operations; and general administrative and support services.¹

FINANCIAL INFORMATION – CURRENT AND PRIOR FISCAL YEARS

The City's fiscal year (FY) 17/18 budgeted expenditures total approximately \$59 million, including budgeted General Fund expenditures of approximately \$27.4 million. The City has 147 authorized full-time employees and 92 part-time employees whose maximum work hours range between 18 and 28 hours per week. As of the time of this report, the City had 14 vacancies.

South Pasadena General Fund

For FY 17/18, budgeted General Fund expenditures of approximately \$27.4 million are supported by anticipated revenues of approximately \$26.7, resulting in an anticipated operating deficit of approximately \$700,000. It is anticipated that this deficit, if it materializes, will be addressed with available fund balance.

The following table represents the anticipated unassigned fund balance at the end of FY 17/18 based on the FY 16/17 Comprehensive Annual Financial Report (CAFR) and the FY 17/18 Adopted Budget.

¹ City of South Pasadena FY 16/17 Comprehensive Annual Financial Report

Table 1—FY 16/17 and FY 17/18 Unassigned General Fund Balance

Budget Component	Value
FY 16/17 Ending Total General Fund Balance ¹	\$16.6 million
Less: FY 16/17 Reservations of Ending General Fund Balance ¹	\$6.9 million
FY 16/17 Ending Unassigned General Fund Balance ¹	\$9.7 million
Budget Component	Value
FY 17/18 Beginning Total General Fund Balance	\$16.6 million
Less: FY 17/18 Budgeted Reservations of General Fund Balance ²	\$5.4 million
Less: FY 17/18 Anticipated Operating Deficit ²	\$0.7 million
FY 17/18 Anticipated Ending Unassigned General Fund Balance	\$10.5 million

¹ Per Comprehensive Annual Financial Report.

² Per budget document.

The anticipated ending FY 17/18 Unassigned General Fund balance reflected in the table above is supported based on the FY 16/17 CAFR and City FY 17/18 unaudited year-end reports. Based on discussions with City staff, it appears that the lower amount reflected in the FY 17/18 budget document was meant to represent the amount required per the City’s reserve policy.

The anticipated FY 17/18 unassigned General Fund balance amount listed in the previous table would be approximately 40 percent of anticipated revenues, which meets the GFOA’s best practice recommendation and the City’s reserve policy of at least 30 percent of General Fund revenues.

Although the City’s unassigned fund balance is relatively healthy, potential major impacts must be considered, such as the rising costs of CalPERS and other cost increases and revenue loss caused by voter action and/or economic downturns. CalPERS has adopted a plan that would lower the earnings rate (discount rate) assumption used to develop city contribution rates over the next couple of years from 7.375 percent to 7 percent. This will increase future CalPERS costs to the City. This impact is discussed in more detail later in this report. Additionally, a measure that would repeal the City’s Utility Users Tax (UUT) has qualified for the November ballot. The City’s UUT represents approximately 13 percent of General Fund revenues. Losing this revenue without a replacement source will require significant services reductions. This item is also discussed in more detail later in this report.

GENERAL OBSERVATIONS OF FINANCE DEPARTMENT OPERATIONS

The following is a summary of some of Citygate’s general observations of the Department. Specific discussions of the results of the review, in addition to specific findings and

recommendations, are reflected in the body of the report. A summary of the specific findings and recommendations can be found in **Section 5** of this report.

- ◆ Staff feels that the prior Department leadership was not supportive or helpful to them in the performance of daily duties.
- ◆ External training and internal cross-training was, for the most part, discouraged by the prior Department head if there was any cost involved with the training. This has resulted in a lack of sophistication concerning financial operations of a municipal finance department and a reluctance to implement new ideas.
- ◆ The prior Department head tended not to share operational information with Department staff or other departments, causing Department staff to feel they were on their own and should not push for changes, and causing other departments to feel financially uninformed.
- ◆ Some of the Department employees seemed to have used this situation as an excuse for poor customer service, a lack of initiative to improve processes and/or procedures in their respective areas, and a lack of accountability.
- ◆ The upgrade of the Springbrook financial system was poorly implemented. Too few staff were trained on the system, and those who were trained either were not trained on all of the applications and capabilities of the system or have forgotten their training. This has resulted in an inefficient use of the system and a barrier to determining if the system has the capabilities needed to improve operational productivity.
- ◆ Although Citygate found several written policies and procedures, they are incomplete, outdated, or ineffective, and are not located in a central place that would make them easy to find. They are scattered in various electronic and hard-copy forms and are not enforced or understood by City departments.
- ◆ Improvement of the knowledge of the financial system coupled with a revamping of various policies and procedures will help to make large improvements in productivity and reduce the need to add staff.
- ◆ There are some potentially major internal control issues due to a combination of the number of staff, a lack of adequate leadership and training, weak or non-existent written policies and procedures, and a lack of consistent application and adherence to rules. Examples include daily cash receipting not being performed consistently, resulting in a large backlog of unprocessed checks, consistently delayed bank reconciliations, and delayed journal vouchers to reflect wires and

other direct deposits, as well as repeating CAFR management letter comments with no resolution.

- ◆ The Department should be restructured to revise positions to help the Department operate more efficiently. The details of the proposed restructure are included in **Section 2** of this report.
- ◆ An externally facilitated team-building program is needed to help acclimate the new Finance Director and current staff and create an efficient team.

The Finance Department accounts for all City expenditures, administers business licensing, manages several competitive grants in collaboration with other departments, prepares the biweekly payroll, prepares payment of all obligations for review and approval by the City Council, and sends out approved check warrants. In conjunction with, and subject to, the independent certification of the City independent audit firm, the Department prepares the City's Comprehensive Annual Financial Report. The Department also prepares annual reports for the State Controller and other State and Federal agencies. Under the direction of the City Manager, the Department prepares the City's annual budget. The Department oversees the utility billing function for the City's approximately 7,000 accounts for all water, refuse, and sewer fees. The Department works with the City Treasurer and the Finance Committee regarding the various financial issues the City must consider. As required by the Government Code, monthly investment reports are provided to the City Council and Finance Commission summarizing investment holdings and rates of return on investments. The Department also manages the film permitting process. Per the FY 17/18 budget, the Department consists of the following divisions:

- ◆ Filming
- ◆ Payroll
- ◆ Accounts Payable
- ◆ Business Licensing and Accounts Receivable
- ◆ Grants, Utilities, and Special Projects

These five divisions are staffed by the following nine full-time positions:

- ◆ Finance Director
- ◆ Assistant Finance Director
- ◆ Film Liaison
- ◆ Account Technician
- ◆ Payroll Coordinator

- ◆ Two Senior Account Clerks
- ◆ Management Analyst
- ◆ Management Assistant

The Department also assists in budget creation and monitoring and the coordination of the various audits of the City, and it performs the City's treasury function in conjunction with the City Treasurer.

The Department's operating budget for FY 17/18 totaled approximately \$2.8 million. Included in the budget is approximately \$918,000 for non-departmental costs, which represent costs that are not dedicated to a particular department and approximately \$1.15 million for the utility billing function, which is reported in another fund. The remaining approximately \$700,000 is the net General Fund operating cost for the Finance Department per the FY 17/18 budget document. Placing non-departmental costs in the Finance Department is not unusual in City government due to the Finance Department being the primary Department responsible for formulating the budget.

Leadership

Citygate interviewed all Department staff and City department heads regarding the prior leadership of the Finance Department. Due to the current lack of a Finance Director or Assistant Finance Director, Citygate ask the interviewees to discuss the previous leadership, as well as the current leadership, which consists of an acting Finance Director, who is also the Human Resources Director, and a Management Analyst, who is in the City Manager's office but formerly worked in the Finance Department handling grants and assisting with budget preparation. Based on the interviews of all Department staff, department heads, the City Manager, and other pertinent City staff, the following major common themes regarding the previous leadership of the Department were identified:

- ◆ Inadequate employee support
- ◆ Insufficient knowledge sharing with employees and other departments
- ◆ Lack of employee encouragement
- ◆ Lack of succession planning for employees
- ◆ Reluctance to approve training or allow implementation of process improvements
- ◆ Inconsistent application of rules and procedures
- ◆ Reluctance to take disciplinary action when necessary to correct inappropriate employee behavior

These themes created a general feeling of isolation on the part of Department employees. This atmosphere could also encourage non-productive employees to be even more non-productive because of the belief that they will not be confronted by leadership. The lack of clear and enforced financial policies and procedures has exacerbated an already unproductive situation.

The comments regarding the current interim leadership staff were somewhat subdued, but mostly positive and considered an improvement over the previous leadership.

Based on the comments received, it is crucial that the new Finance Director have strong leadership characteristics. The individual should be knowledgeable and have the willingness to share that knowledge and mentor employees. Another key characteristic would be the ability to clearly and understandably convey information to Department staff, other City departments, the City Council, and the public. The new director should encourage well-thought-out continuous improvement ideas and not be afraid to take appropriate disciplinary measures when appropriate.

Adequacy of Existing Staff

After numerous staff interviews, a review of Department operations, and staffing comparisons to other comparable agencies, the number of staff currently authorized for the Department seems appropriate, although it is on the higher end of the range. However, the positions should be restructured to improve Department effectiveness. Additionally, the numerous manual processes currently used by Department staff unnecessarily increase the workload burden. Citygate believes that reducing the manual processes through the increased use of the Springbrook financial system modules will increase overall staff productivity. A key first step is that the City understands the capabilities of the financial system and revise and document the applicable financial operating policies and procedures.

Additionally, the City should review its current policy of a 9/80 work schedule while remaining open all business days, at least in the Finance Department. This policy creates a “skeleton crew” in the Department on Fridays. If someone is out sick, is on vacation, or has an emergency, staff coverage can be severely diminished, especially at the counter. Another issue created by the inefficiencies caused by the numerous manual processes is the potential need for employees to work overtime to accomplish their duties. [REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

Some options to consider include remaining open longer during the week and closing on Fridays, or eliminating the 9/80 schedule for the staff members responsible for counter service. Of course, these types of changes would require meetings to confer with the applicable labor groups.

Potential Department Reorganization

Although the number of staff seems to be adequate for the Department, a restructuring of the Department and appropriate job descriptions should be considered. A review of various comparable cities reflects various departmental structures for the Department, but very few with a staff size and General Fund budget of the City retain the position of Deputy or Assistant Finance Director. The job description for the Assistant Finance Director for the City contains the duties typical of that of an accounting manager or fiscal services manager in other comparable cities. Other staff changes are also recommended to help increase overall efficiency of the Department. Additionally, the current divisions or functional areas of the Department could be revised to be more descriptive and more effective. The detail of the restructure recommendations is discussed later in this report.

Supplemental Staffing

A staff revision suggestion which does not involve staffing levels within the Department, but would indirectly assist the operations of the Department, is to create a position whose responsibilities would include special projects, such as assisting with the budget preparation, reviewing organizational effectiveness throughout the City, administrating and coordinating grants acquired by the various departments, and creating a Citywide grant policy or other policies/procedures determined to be needed as a result of periodic operational reviews within City departments. It is recommended that this position be a part of the City Manager's office, with sufficient authority through the City Manager to ensure the position is part of the City's management team. Making this position part of the City Manager's office will allow for easy rotation among departments when completing various Citywide or department-specific projects. This will assist the Finance Department with ensuring policies are being followed in the departments, share the burden of budget development, assist with surprise audits that Department staff could not complete, and provide an opinion that is external to the Finance Department on operational issues.

Morale

Interviews with Department staff revealed relatively low morale. Numerous factors contribute to this situation. Some of the key factors included lack of support from the former Finance Director; inadequate or lack of training, both external training and internal cross-training; uncertainty due to the departure of the Finance Director and Assistant Finance Director; and the lack of consistent procedures. One observation made by Citygate was that the staff felt they were in a situation where they had to make it on their own without help from anyone. Citygate suggested to City management that Finance staff, as frequently as possible, be updated on plans that would affect them during this transition period and be invited to share their opinion as to what the staff believes is needed to help them through the transition. City management staff quickly acted on the suggestion, and it seemed to have made a positive change in overall morale.

Productivity

Citygate has observed that staff productivity is reduced due to the lack of training, inconsistent or non-existent written policies and procedures, and the ineffective use of the Springbrook financial system, which results in the use of inefficient manual processes. Another area that has an adverse impact on productivity is outdated and very general job descriptions. Job descriptions should be in sufficient specificity to ensure each employee understands the general responsibilities and duties for which he/she will be held accountable. Vague or outdated job descriptions, at a minimum, lead to staff confusion regarding their respective responsibilities but can also lead to manipulation by staff to avoid accountability by granting them an excuse for abstaining from a specific task because it is not part of the job description. To maintain confidentiality, Citygate did not review evaluation documentation of the Department staff; however, Citygate was informed by City staff that the City began using the NeoGov evaluation program to have employee evaluations include goals and objectives. Changes relating to this area will require the City to meet and confer with labor groups.

Customer Service

Customer service should be a very high priority for municipal finance departments as it is one of its main functions. Although “Outstanding customer-friendly service” is a core value of the City, none of the departments have established and documented goals and objectives regarding how they are achieving this or any of the core City values. Some of the operational issues adversely affecting customer service observed by Citygate include cumbersome manual operational procedures, untimely production of financial reports for City departments and residents, and inconsistent application of rules. These issues are all contrary to meeting the City’s customer service core value.

FUTURE FINANCE DEPARTMENT CHALLENGES

There is always a learning curve for a new finance director of a city. The City of South Pasadena hired Citygate to provide an analysis to help shorten that learning curve by providing a basic overview and review of the Finance Department to assist the new director in acclimating to the Department more quickly. This report will also help the new director identify and prioritize issues to develop action plans. What follows are some of the management challenges. This list is by no means intended to be all inclusive. There are numerous challenges looming for finance departments in the upcoming years, including infrastructure backlogs and funding, state and federal laws, economic downturns, potential labor issues, etc. The following items are some of the more obvious.

Revenue Challenges

General Fund revenues have an average annual growth of approximately \$850,000, or 3.4 percent, over the last five fiscal years. However, a Utility Users Tax (UUT) repeal ballot measure has qualified for the November 2018 ballot. The UUT is based on a tax on utilities of 7.5 percent and brings in approximately \$3.4 million, or 13 percent, of General Fund revenues. If the measure were to pass, services would need to be significantly reduced to maintain a healthy General Fund with appropriate reserves.

Rising CalPERS Costs

In an effort to maintain the fiscal health of the CalPERS retirement system, CalPERS has implemented several changes that have increased pension costs and, in some cases, reduced future benefits. Each member of CalPERS contracts with the system to provide a level of benefits. For the City, as with most CalPERS member agencies, the level of benefits is developed through labor negotiations with the agency's various labor groups. Using various actuarial assumptions and methodologies, CalPERS develops the cost to provide the benefit level desired by the City. Adverse changes to these actuarial assumptions and methodologies implemented by CalPERS over the past few years will significantly impact pension costs for all CalPERS member agencies. One of the significant adverse assumption changes is the CalPERS board's decision to lower its assumed discount rate. The discount rate represents the rate CalPERS assumes it will earn on its investments. The lower the assumed earnings rate, the lower the assumed asset growth available to cover anticipated pension costs. In December 2016, the CalPERS board voted to lower the assumed discount rate from 7.5 percent to 7 percent using a three-year phase-in beginning with the June 30, 2016 actuarial valuations. Based on the rates provided by CalPERS, for FY 18/19 alone, this phased-in assumptions change will increase pension cost for the City by approximately \$550,000 in the General Fund.

Process Improvement Development and Implementation

In reviewing the Department information for prior fiscal years, Citygate found that several of the operational issues identified in this report, such as policies and procedures, had been addressed in past years. Unfortunately, the information and previous procedures are scattered through numerous folders throughout the Finance system and had not been updated in several years. They are also not always in a format that is currently used. Although this is not ideal, it at least provides some basis on which to build and update to address some of the issues identified by the Finance Department review. Benefiting from this information, however, will require extensive review, research, and consolidation to create a useful manual that can be adopted by the City.

Citygate identified 36 findings and 44 recommendations as a result of the review of the City's Finance Department. Findings and recommendations are itemized throughout this report and summarized with suggested implementation priority timelines in **Section 5** of this report.

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SECTION 1—INTRODUCTION

1.1 PURPOSE OF STUDY

The City of South Pasadena (City) contracted with Citygate Associates, LLC (Citygate) to provide a review of the City's Finance Department (Department) operations to identify potential improvements and to provide mentoring services due to recent key staff turnover. Citygate spent time on site to conduct interviews, interface with staff, observe organizational processes and procedures, and research and access Department documents and information. The scope of this independent, third-party organizational review includes the following elements:

- ◆ Examination of the Finance Department's organizational structure and assessment of key management staff, administrative strengths, and areas in need of improvement. Findings and recommendations concerning personnel were confidentially provided to the City Manager and Human Resources Director.
- ◆ Review of the Finance Department's operational functions and workflow processes to identify overall strengths and weaknesses to provide recommendations for streamlining procedures and processes.
- ◆ Interviews with applicable City personnel to determine the effectiveness of the Finance Department's workflow processes and adherence to financial and operational policies and procedures.
- ◆ Review of pertinent Department-driven documents and reports to determine adequacy, necessity, and timeliness.
- ◆ Identification of best practices and performance measures for the Department (i.e., long-range fiscal planning, training, and succession planning).
- ◆ Provision of professional guidance and mentoring to key management staff as needed during the engagement.
- ◆ Provision of status updates every other week to the Project Manager and City Manager outlining progress and potential issues during the engagement.
- ◆ Development and presentation of a Draft Report of all findings and recommendations for review by the City.
- ◆ Delivery of the Final Report to the City.

The report is structured to provide the incoming Finance Director with a working document that can be used to shorten the new Director's learning curve related to the operations of the Finance Department to expedite productivity.

1.2 PROJECT APPROACH AND RESEARCH METHODOLOGY

The approach used to complete this review consisted of a combination of on-site analysis (an average of three days per week) and off-site analysis, which included the following tasks:

- ◆ Document Review – An extensive number of documents relating to the Department were reviewed to help gain an understanding of the formal written operational policies and procedures currently in place at the City.
 - The budgets from the past five fiscal years
 - The Comprehensive Annual Financial Reports (CAFRs) and management letters from the past three fiscal years
 - Documents included on the Finance Department shared drive
 - Hard copy fiscal policies and/or written procedures relating to financial operations (e.g., internal controls)
 - Job descriptions of all Finance Department employees
 - Financial reports developed by the Finance Department, including mid-year updates, from the past three fiscal years and the current fiscal year to date
 - City and Departmental organizational chart and responsibilities
 - Labor agreements relating to Department personnel
 - Workers' compensation and other risk management claims activity related to the Department
 - Various external economic and financial documents (California Public Employees' Retirement System reports, LA County Economic Development Commission, etc.)
 - Various City Council and Finance Commission meetings/agenda
 - Sections of the City's Municipal Code related to the Department
 - Other items necessary to develop an understanding of City and Finance Department operations

- ◆ Interviews – In addition to reviewing documents, various interviews were conducted with key City staff to gain an understanding of how processes are carried out from the perspectives of the individuals within the Department who are responsible for providing services, as well as the various external departments

that receive services. The interviews helped to identify strengths and weaknesses of the Department and/or finance-related Citywide processes and procedures. The interviews conducted included:

- City Manager
- Assistant to the City Manager
- Management Analyst (Budget Officer)
- All current Finance Department staff
 - Account Payable
 - Payroll
 - General Accounting (including temp agency employee)
 - Business License
 - Utility Billing
 - Film Coordination
- Human Resources Director
- Police Chief
- Fire Chief
- Public Works Director
- Planning / Community Development Director
- External Auditor
- City Treasurer
- Community Services Director
- Other external City personnel

The positions of Finance Director and Assistant Finance Director were not interviewed because they were no longer with the City at the start of this engagement. Due to the extenuating circumstances relayed by City management, it was determined that interviewing these individuals would not change the findings and recommendations of the report.

- ◆ Job Shadowing – As a secondary method to validate the procedures shared during the various interviews of Department staff, job shadowing was conducted with

some of the Department positions, including Accounts Payable, Payroll, and Cash Receipts.

- ◆ Mentoring and Guidance – Professional guidance, mentoring, and feedback were provided to Department staff and other key City staff relating to various City finance issues, such as budget preparation, auditing, state reports, operational processes, and training.

The research methodology also included review of various municipal finance organizational websites, including the California Society of Municipal Finance Officers, Government Finance Officers Association (GFOA), International City/County Management Association, Governmental Accounting Standards Board, and Los Angeles County Economic Development Corporation, as well as State and Federal organizational websites, including the California State Controller, California Department of Finance, California Public Employees’ Retirement System (CalPERS), and US Census Bureau. Additionally, various comparable city websites were reviewed to provide comparative data for this report.

1.3 GENERAL CITY OVERVIEW

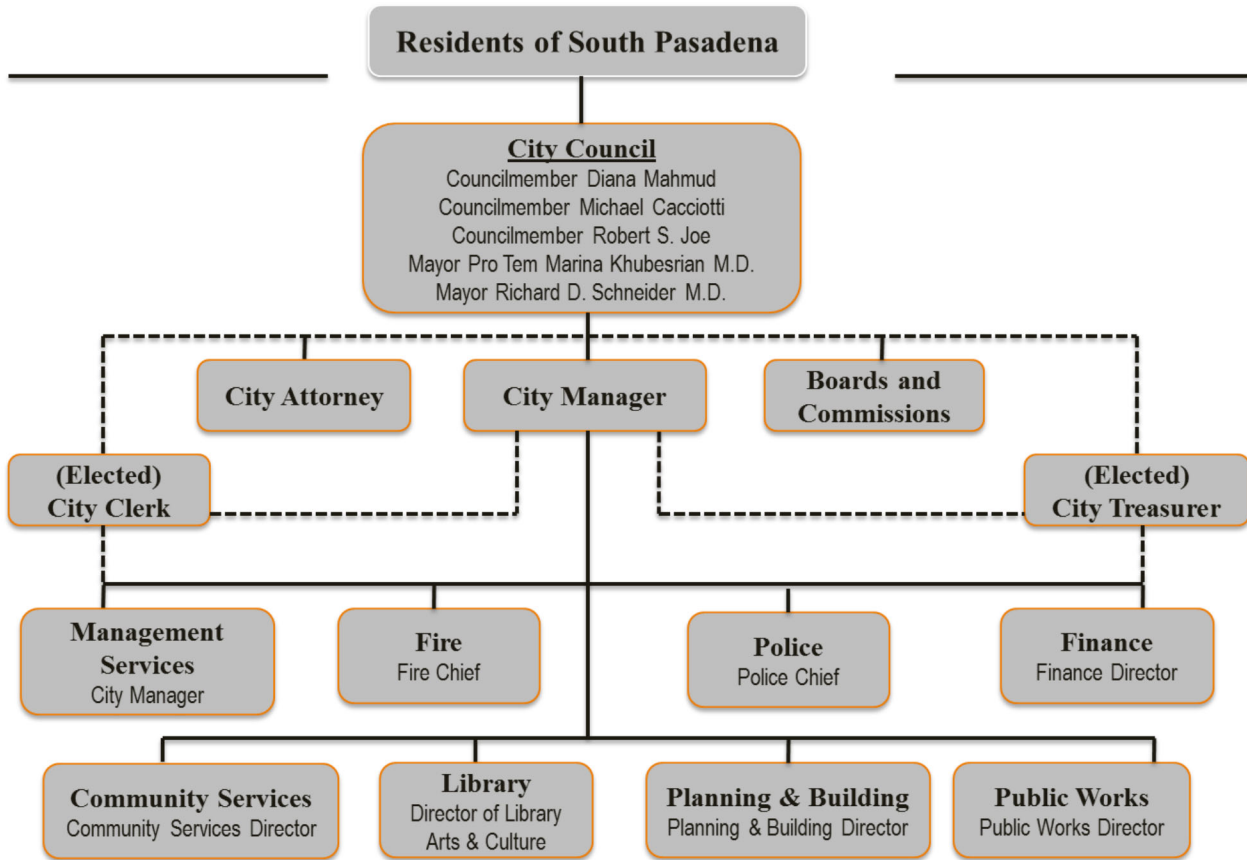
South Pasadena is located approximately six miles northeast of downtown Los Angeles on the west side of the San Gabriel Valley between the Cities of Pasadena, San Marino, Los Angeles, and Alhambra, and it has a population of 25,992. Founded in 1874 by the Indiana Colony, the City encompasses 3.44 square miles and was incorporated as a general law City of the State of California on March 2, 1888. South Pasadena is noted for its beautiful, historically significant homes on tree-lined streets, for its excellent public schools, and for a small-town atmosphere in the midst of greater Los Angeles.

The City is a full-service general law City that operates under the Council-Manager form of government. The City Council consists of five members elected to four-year staggered terms of office. The Mayor is selected from the City Council members and serves a one-year term. The City’s other elected officials are the City Treasurer and City Clerk, each of whom serve a four-year term of office.

The City provides a full range of services, including police and fire protection; the construction and maintenance of streets and other infrastructure; sewer services; water utility; refuse collection; public improvements; planning and zoning; recreational activities and cultural events; library operations; and general administrative and support services.²

² City of South Pasadena FY 16/17 CAFR

Figure 1—City of South Pasadena Organizational Chart



1.3.1 Financial Information – Current and Prior Fiscal Years

The City’s fiscal year (FY) 17/18 budgeted expenditures total approximately \$59 million, including budgeted General Fund expenditures of approximately \$27.4 million. The City has 147 authorized full-time employees and 92 part-time employees whose maximum work hours range between 18 and 28 hours per week. As of the time of this report, the City had 14 vacancies.

South Pasadena General Fund

For FY 17/18, budgeted General Fund expenditures of approximately \$27.4 million are supported by anticipated revenues of approximately \$26.7, resulting in an anticipated operating deficit of approximately \$700,000. It is anticipated that this deficit, if it materializes, will be addressed with available fund balance.

Fund balance represents reserves that have accumulated and can be used for specific expenses where revenues are insufficient. Per standards established by the Government Accounting Standards Board, which sets national governmental accounting standards, fund balance should be segregated into the following five classifications:

- ◆ Non-spendable – includes amounts that cannot be spent because the amount supports other entity assets, such as inventories.
- ◆ Restricted – includes amounts that can be spent only for the specific purposes stipulated by constitution, by external resource providers, or through enabling legislation.
- ◆ Committed – includes amounts that can be used only for the specific purposes determined by a formal action of the government’s highest level of decision-making authority.
- ◆ Assigned – includes amounts for government-specific purposes but do not meet the criteria to be classified as restricted or committed.
- ◆ Unassigned – includes all residual spendable amounts not contained in the other classifications.

The GFOA is a nationally recognized organization that identifies and provides best financial practice recommendations to municipal organizations. The GFOA recommends that unassigned fund balance in the General Fund be maintained at a level that is at least two months, or approximately 17 percent, of General Fund revenues or expenditures. As of FY 16/17’s Comprehensive Annual Financial Report (CAFR), the City’s unassigned General Fund balance totals approximately \$9.7 million. This equates to approximately 37 percent of revenues. This is in line with GFOA best practice recommendations and the City’s policy of an unassigned fund balance of 30 percent of revenues.

The following table represents the anticipated unassigned fund balance at the end of FY 17/18 based on the FY 16/17 CAFR and the FY 17/18 Adopted Budget.

Table 2—FY 16/17 and FY 17/18 Unassigned General Fund Balance

Budget Component	Value
FY 16/17 Ending Total General Fund Balance ¹	\$16.6 million
Less: FY 16/17 Reservations of Ending General Fund Balance ¹	\$6.9 million
FY 16/17 Ending Unassigned General Fund Balance ¹	\$9.7 million
Budget Component	Value
FY 17/18 Beginning Total General Fund Balance	\$16.6 million
Less: FY 17/18 Budgeted Reservations of General Fund Balance ²	\$5.4 million
Less: FY 17/18 Anticipated Operating Deficit ²	\$0.7 million
FY 17/18 Anticipated Ending Unassigned General Fund Balance	\$10.5 million

¹ Per Comprehensive Annual Financial Report.

² Per budget document.

The anticipated ending FY 17/18 Unassigned General Fund balance reflected in the table above is supported based on the FY 16/17 CAFR and City FY 17/18 unaudited year-end reports. Based on discussions with City staff, it appears that the lower amount reflected in the FY 17/18 budget document was meant to represent the amount required per the City’s reserve policy.

The anticipated FY 17/18 unassigned General Fund balance amount listed in the previous table would be approximately 40 percent of anticipated revenues, which meets the GFOA’s best practice recommendation and the City’s reserve policy of at least 30 percent of General Fund revenues.

Although the City’s unassigned fund balance is relatively healthy, potential major impacts must be considered, such as the rising costs of CalPERS and other cost increases and revenue loss caused by voter action and/or economic downturns. CalPERS has adopted a plan that would lower the earnings rate (discount rate) assumption used to develop city contribution rates over the next couple of years from 7.375 percent to 7 percent. This will increase future CalPERS costs to the City. This impact is discussed in more detail later in this report. Additionally, a measure that would repeal the City’s Utility Users Tax (UUT) has qualified for the November ballot. The City’s UUT represents approximately 13 percent of General Fund revenues. Losing this revenue without a replacement source will require significant services reductions.

The following table contains a five-year comparison of the components of fund balance in the General Fund.

Table 3—Five-Year Comparison of Components of General Fund Balance¹

Component	FY 12/13	FY 13/14	FY 14/15	FY 15/16	FY 16/17
Non-spendable	\$1,199,091	\$1,207,961	\$1,022,841	\$1,035,224	\$1,044,519
Restricted	\$0	\$0	\$0	\$0	\$0
Committed	\$2,141,481	\$2,650,000	\$3,500,000	\$5,635,000	\$5,899,130
Assigned	\$0	\$0	\$0	\$0	\$0
Unassigned	\$11,727,832	\$12,788,280	\$13,124,419	\$12,724,205	\$9,681,531
Total Fund Balance	\$15,068,404	\$16,646,241	\$17,647,260	\$19,394,429	\$16,625,180

¹ Source: City CAFRs

As reflected in the previous table, the City's General Fund balance has grown an average of approximately 7 percent per year from FY 12/13 through FY 15/16. However, in FY 15/16, the committed component was increased by approximately \$1.1 million and the unassigned component decreased by approximately \$400,000. In FY 15/16, there was sufficient operating income to allow for the \$1.1 million increase in committed fund balance, with only a \$400,000 decrease in the unassigned fund balance. In FY 16/17, however, significant transfer out (approximately \$5.4 million) was made to the Facilities and Replacement Fund, Street Improvement Fund, and Street Lighting Fund, and the committed fund balance and non-spendable components were increased by approximately \$254,000 and \$10,000, respectively. The operating surplus was able to cover all but approximately \$2.8 million of these actions, resulting in a decrease in unassigned and total fund balance in the General Fund. The FY 16/17 unassigned fund balance was approximately 33 percent of FY 16/17 expenditures, including transfers out. This remains within the City's policy and GFOA best practice recommendations; however, future ongoing financial impacts will require action to maintain a healthy fund balance.

When comparing budget to actual for revenue and expenditures, the City's General Fund activity in prior fiscal years has reflected large positive variances regarding revenues and relatively small negative variances where expenditures are concerned. Revenues have exceeded expectations by an average of approximately \$1.2 million, or 5.5 percent, over the past five years, whereas expenditures overruns have averaged approximately \$122,000, or 0.5 percent, for the same period. This has resulted in a steady increase in fund balance. Although development of conservative revenue estimates is a best practice, consistently large budget to actual variances indicate a lack of effective budget practices. Intentionally under-estimating revenues can cause unnecessary service level reductions or prevent desired service level increases. Based on a sample review of prior year factors pertinent to revenue estimate development, it seems that prior year estimates were too conservative and without a clear rationale. The following table summarizes the budget versus actual activity for General Fund revenues and expenditures for the past five years.

Table 4—Five-Year General Fund Revenue and Expenditure – Budget versus Actual¹

Revenue/Expenditure Component	FY 12/13	FY 13/14	FY 14/15	FY 15/16	FY 16/17
Revenue Budget	21,732,459	22,731,872	24,124,778	24,729,917	25,622,021
Revenue Actual	23,078,114	24,345,766	25,188,532	26,490,054	26,356,182
Variance	852,104	1,613,894	1,063,754	1,760,137	734,161
Expenditure Budget	22,377,963	24,868,925	23,781,508	24,664,134	27,045,695
Expenditure Actual	22,764,173	22,767,927	23,946,308	24,742,891	29,126,093
Variance	(386,210)	2,100,998	(164,800)	(78,757)	(2,080,398)
Budgeted Surplus/(Loss)	(645,504)	(2,137,053)	343,270	65,783	(1,423,674)
Actual Surplus/(Loss)	313,941	1,577,839	1,242,224	1,747,163	(2,769,911)*
Variance	959,445	3,714,892	898,954	1,681,380	(1,346,237)

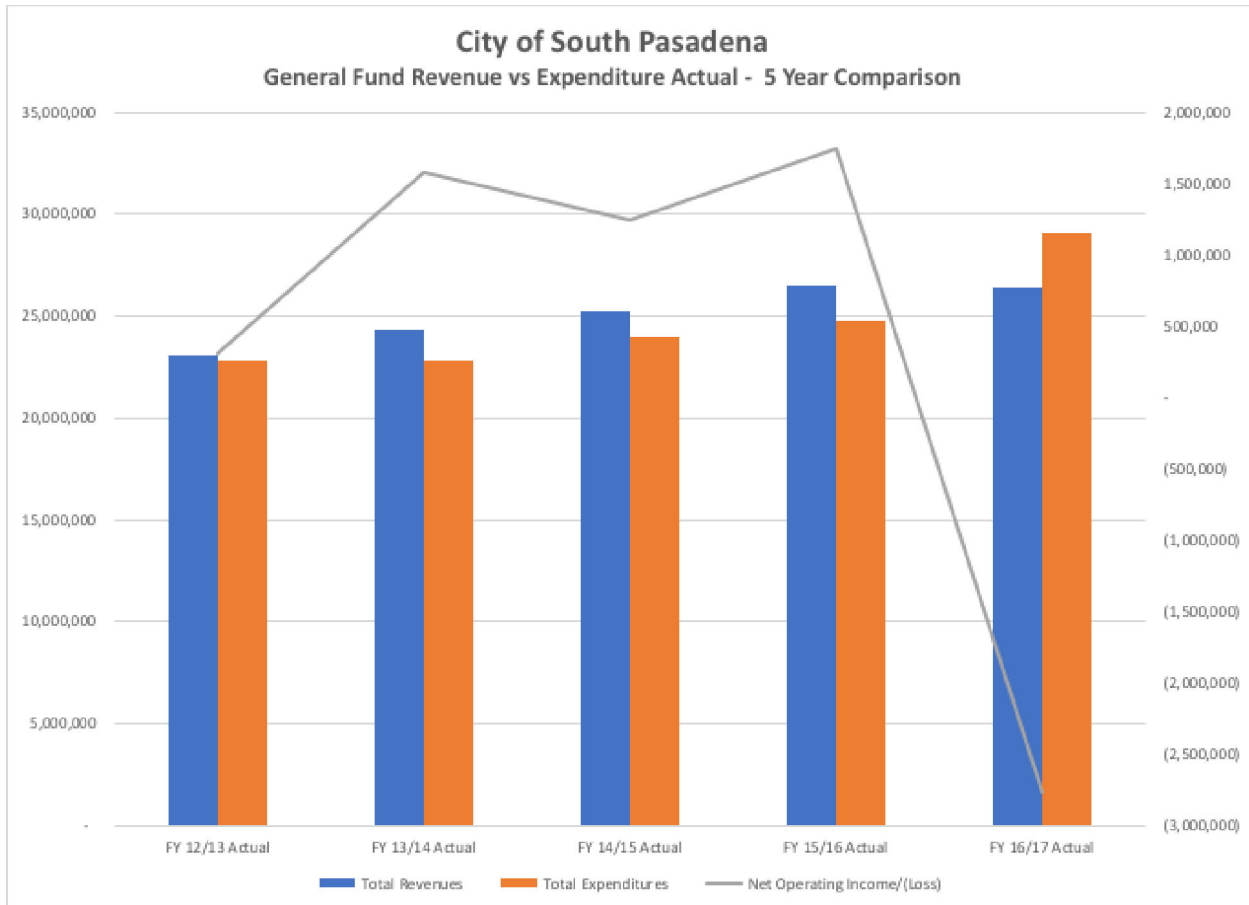
¹ Source: City budgets

* The approximately \$2.8 million operating loss in FY 16/17 was due to the transfer of approximately \$5.5 million into capital projects funds. Absent the transfer, the FY 16/17 would have had an operating surplus of approximately \$2.6 million.

Appendix 1 reflects the details of the revenue and expenditure budget to actual comparison for the past five fiscal years.

The following graph reflects a comparison of actual revenues to actual expenditures in the General Fund and the resulting operational surplus or loss for the past five fiscal years.

Figure 2—General Fund Revenue versus Expenditure Actual – Five-Year Comparison



1.4 FINANCE DEPARTMENT BEST PRACTICE AND PERFORMANCE MEASURES

The GFOA has developed approximately 200 best practice recommendations related to municipal financial operations.³ The Department staff should review this list and use it as a guide when developing written policies for the City. One specific area identified in the City’s Finance Department review proposal was the development of performance measures. The following is the GFOA’s best practice recommendation for performance measures:

Background:

Performance measures are used by governments to collect information about operational activities, achievement of goals, community conditions, or other environmental factors to better understand a situation and make informed decisions. Regardless if an organization has a centralized collection system for performance measures, the use of performance

³ The list and the detailed recommendations can be viewed on the GFOA website at <http://www.gfoa.org/best-practices-z>.

data should be integral to an organization's decision-making processes and leaders within an organization should set expectations that key decisions are supported by evidence. For optimal use, performance measures need to be developed considering the potential audience for the information. As a result, organizations need to identify and track measures at an operational, managerial, policy making, and community level.

GFOA Recommendation:

GFOA recommends all organizations identify, track, and communicate performance measures to monitor financial and budgetary status, service delivery, program outcomes, and community conditions.

When identifying performance measurements, governments should focus on making sure that measures meet the following conditions:

Useful – measures should provide information that is helpful to decision making, understanding, or accountability efforts.

Relevant – measures can be clearly linked to the service delivery/program outcomes that they are intended to measure, appropriate for the outcome being measured, and are readily understandable

Reliable – collection methods and measure definitions need to be understood so stakeholders can rely on the information.

Adequate – ensure enough and also an appropriate variety of measures are used to measure performance and that measures do not incentivize behavior that adversely impacts the measures – such as a quantity versus quality scenario. There is often not a single measure that can provide sufficient context and understanding

Collectible – measures are readily available and do not involve excessive time/effort to collect

Consistent – measures can be regularly collected to track outcomes over time and avoid need to continuously identify new measures

Environment – measures includes variables related to externalities that impact service delivery and program performance

Responsibility – clearly identify responsibilities for collection, storage and dissemination of the data

Systems – existing data collection capacities are leveraged appropriately, or new systems are identified in order to ease the burden of data collection

Further, when identifying and using performance measures, organizations may find it helpful for comparison purposes or a recognized standard to assess current outcomes, facilitate discussion or share ideas that lead to improvement efforts. However, governments must recognize the challenges and potential misrepresentations that can occur without careful considerations. For example, most governments exist in a unique environment and performance data is subject to a variety of contributing factors that may or may not be present in comparison data. In addition, many measures may seem similar, but have a different definition of how the measure is calculated making a true comparison impossible. Once collected, governments should ensure that measures are communicated and well understood. This includes communication both internally and externally.

When communicating performance measures internally ensure the following:

Expectations – clearly communicate how performance measures will be utilized in decision-making and across all levels of the organization

Purpose – emphasize that performance measures are used to inform decisions and facilitate improvement and understanding. Governments should be careful to avoid performance measures that are collected to simply show achievement for the purpose of soliciting recognition or rewards. Similarly, less than favorable outcomes should be evaluated to understand the root cause of the issue and avoid quick punitive actions as this will make accurate data collection efforts more difficult in the future

Clarity – clearly articulate the performance measures, including both expected results/targets and actual results

Data Integrity – the source of the data and how the data is interpreted or used to draw conclusions should be clearly and articulated.

Context – provide background on why these particular performance measures were chosen, such as cost, timeliness, availability, etc.

Production – reference sources of performance measures and how the measures were collected

Dissemination – ensure performance measures are distributed throughout all levels of the organization and are made readily available

When communicating performance measures externally the following should items should be addressed to ensure measures are readily available and accessible:

Delivery – how and where will the performance measures be communicated

Audience – identify who the primary audience of the information will be

Format – what is the best way to present the information

Frequency – how often will the performance measures be communicated/updated

Clarity – explain the exact source of the data, how the calculations were conducted and why, what the performance measures show, both expected results/targets and actual results

Context – provide background on why these particular performance measures were chosen, why, if any target measures were set and why, and what the results mean to operations, service levels, or community outcomes.⁴

The following are sample Finance Department performance measures from another agency. This sample provides typical performance measures that are generally relevant to city finance departments. The City of South Pasadena, however, should develop measures that meet specific needs of the City based on the best practice guidelines listed previously.

City of Glendale, CA

Accounts Payable/Purchasing

- ◆ Number of employees with open procurement cards
- ◆ Average procurement card purchase amount
- ◆ Total dollar value of purchasing conducted with procurement cards
- ◆ Total number of invoices processed for payment
- ◆ Average number of invoices processed for payment
- ◆ Average calendar days from approved requisition to purchase order issued

Budget

- ◆ Ratio of General Fund Administrative Services budget to total General Fund budget
- ◆ Ratio of General Fund budget to the overall City budget
- ◆ Number of residents per authorized salaried positions
- ◆ Percent accuracy in budget revenue to actual in General Fund (Annually)

⁴ <http://www.gfoa.org/performance-measures>

Internal Audit

- ◆ Audits completed
- ◆ Audit close-out rate
- ◆ Average number of open audit issues

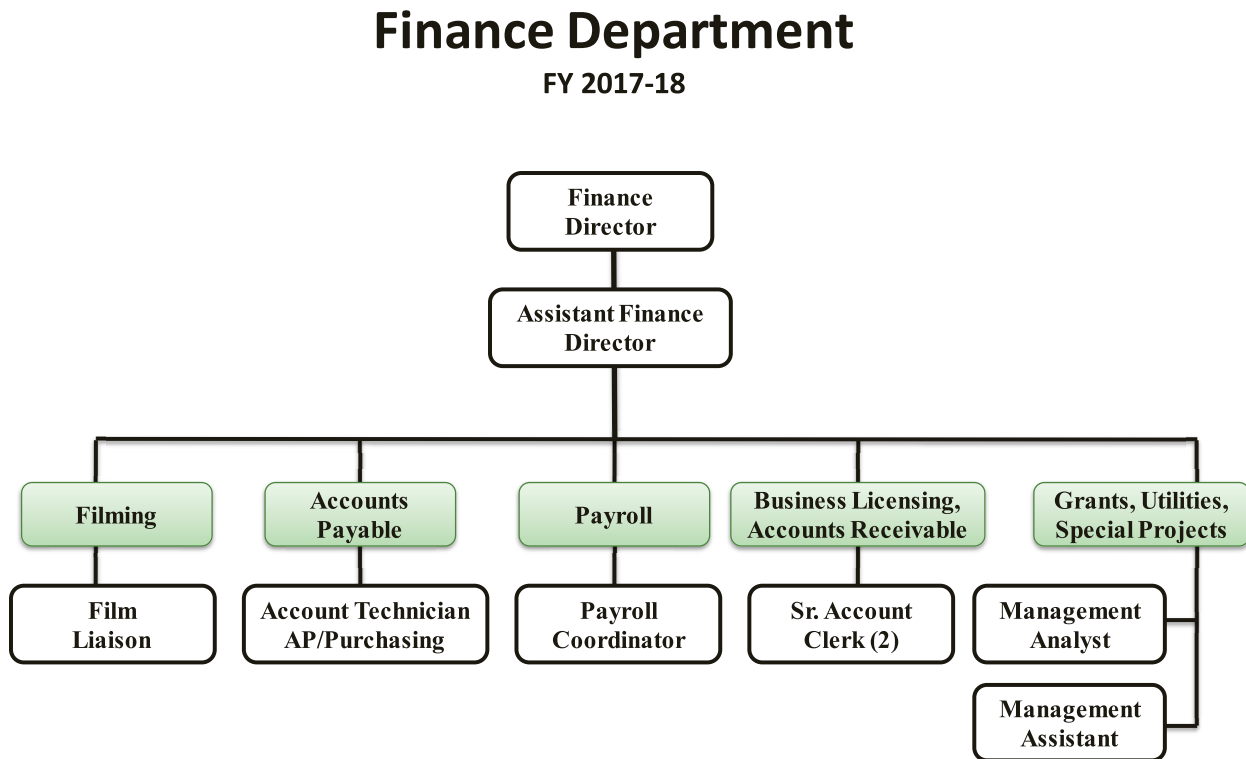
SECTION 2—FINANCE DEPARTMENT OPERATIONAL REVIEW

2.1 BACKGROUND

2.1.1 Finance Department Organization and Functional Responsibilities

The following figure shows the Finance Department’s organizational chart.

Figure 3—Finance Department Organizational Chart



Full Time Employees: 9

The Finance Department accounts for all City expenditures, administers business licensing, manages several competitive grants in collaboration with other departments, prepares the biweekly payroll, prepares payment of all obligations for review and approval by the City Council, and sends out approved check warrants. In conjunction with, and subject to, the independent certification of the City independent audit firm, the Department prepares the City’s Comprehensive Annual Financial Report. The Department also prepares annual reports for the State Controller and other State and Federal agencies. Under the direction of the City Manager, the Department prepares the City’s annual budget. The Department oversees the utility billing function for the City’s approximately 7,000 accounts for all water, refuse, and sewer fees. The

Department works with the City Treasurer and the Finance Committee regarding the various financial issues the City must consider. As required by the Government Code, monthly investment reports are provided to the City Council and Finance Commission summarizing investment holdings and rates of return on investments. The Department also manages the film permitting process. Per the FY 17/18 budget, the Department consists of the following divisions:

- ◆ Filming
- ◆ Payroll
- ◆ Accounts Payable
- ◆ Business Licensing and Accounts Receivable
- ◆ Grants, Utilities, and Special Projects

These five divisions are staffed by the following nine full-time positions:

- ◆ Finance Director
- ◆ Assistant Finance Director
- ◆ Film Liaison
- ◆ Account Technician
- ◆ Payroll Coordinator
- ◆ Two Senior Account Clerks
- ◆ Management Analyst
- ◆ Management Assistant

The Department also assists in budget creation and monitoring and the coordination of the various audits of the City, and it performs the City's treasury function in conjunction with the City Treasurer.

The Department's operating budget for FY 17/18 totaled approximately \$2.8 million. Included in the budget is approximately \$918,000 for non-departmental costs, which represent costs that are not dedicated to a particular department and approximately \$1.15 million for the utility billing function, which is reported in another fund. The remaining approximately \$700,000 is the net General Fund operating cost for the Finance Department per the FY 17/18 budget document. Placing non-departmental costs in the Finance Department is not unusual in City government due to the Finance Department being the primary Department responsible for formulating the budget.

Function Responsibilities

The following is a summary of the various Department functions.

Finance Director position funding is allocated mostly to the General Fund (43 percent), the Sewer Fund (12 percent), and the Water Fund (40 percent). The Assistant Finance Director is allocated mostly to the General Fund (43 percent), the Sewer Fund (16 percent), and the Water Fund (41 percent). The remaining allocation for each of these positions is in various support functions.

In addition to the listed functions to follow, the Department is responsible for the coordination of the development of the budget document for the City Manager in conjunction with all other departments; the development of the City's CAFR, and numerous other City, State, and Federal financial reports in conjunction with various external auditors and the elected City Treasurer's administration of the City's Treasury/Investment function.

Filming

The Filming function is responsible for administration and coordination of all filming permit activity. The division includes one full-time employee, the Film Coordinator. The filming division processes approximately 180 to 200 film-related permits on average per year and generates approximately \$100,000 in annual revenue. The fee for the filming permits ranges from \$105 to \$530, depending on the film project, which addresses the cost of police- and fire-related activities necessary to maintain a safe operation of the project. Other fees, such as the business improvement district fees, are also collected as a part of the filming function process. The business improvement tax associated with film permits totals approximately \$40,000 annually.

Accounts

The Accounts Payable function is responsible for processing all vendor payments. The function also administers the distribution and coordination of the Citywide purchasing card program and the processing of applicable 1099s. The function includes one full-time employee, the Accounting Technician. The Accounts Payable division processes approximately 300 Accounts Payable checks twice per month. As of June 2018, the City had approximately 11,500 vendors in the vendor master file. The average dollar total per semi-monthly Accounts Payable check register is approximately \$1.4 million. This equates to approximately 4,600 checks totaling approximately \$35.4 million annually, on average.

Payroll

The Payroll function is responsible for the processing of all payroll-related payments to employees of the City, in addition to deduction processing and City paid benefits processing. The Payroll function also process various reports required by the State and Federal governments,

such as W2s and quarter reports. The function includes one full-time employee, the Payroll Coordinator. The Payroll function processes approximately 207 payroll checks every two weeks and administers approximately 239 full-time and part-time employees. The average dollar total per biweekly gross payroll check register is approximately \$560,000. This equates to approximately 5,400 checks totaling approximately \$15 million annually. These amounts are based on calendar year 2017 activity.

Business Licensing

The Business Licensing function is responsible for collection of business license tax and the administration of the business licensing program. The function includes two full-time employees, two Senior Account Clerks who also assist with the utility billing and cash receipting functions. The business licensing operation administers approximately 2,400 businesses throughout the City. The average dollar total collected for business licenses is approximately \$400,000 per year. Additionally, the City charges a business improvement tax to improve the City's business district, which generates approximately \$115,000 annually.

Accounts Receivable

The Accounts Receivable function is responsible for coordination of the City's accounts receivable miscellaneous billing program. The miscellaneous accounts receivable billings consist of approximately 40 to 45 invoices annually, representing approximately \$202,241 in billings. The cash receipting program is also performed within the Accounts Receivable function.

Grants

The Grants function is responsible for administration of the City's grants. Applicable departments are the liaisons for grants, but once the grants are received, the Finance Department assists with the administration of the grant. The Grants function processed six grants during FY 16/17. The purpose of the grants ranged from Public Works Department to Police Department operations and provided over \$1 million for services and capital.

Utilities

The Utilities function is responsible for administration of the billing for water, sewer, and trash. The City has contracted a third-party company that provides billing and receipting services for these utility operations, with the Finance Department Utilities revenue for FY 16/17 for water total \$8,316,711, for sewer total \$1,763,435, and for trash total \$3,881,731. The utilities function generates approximately \$13,961,878 in revenues annually.

Special Projects

The Special Projects function is responsible for other finance-related operations not specifically mentioned, such as logging and fuel usage information. During FY 17/18, the Management

Analyst position was reassigned to the City Manager’s office but retained duties that included budget and capital improvement program preparation and grant administration.

General Ledger / Accounting Activity

The General Ledger Activities function is addressed by employees already included in other functional activities of the Finance Department. General Ledger Activities include creation and posting of journal vouchers to reflect accounting activity not posted automatically through the various financial modules of the Springbrook financial system. The City’s General Ledger consists of approximately 43 funds and thousands of accounts.

A fund is defined by the Governmental Accounting Standards Board as a legal and accounting entity with a self-balancing set of accounts to record revenues and expenditures per legal and regulatory requirements.

2.1.2 Finance Department Past Financial Activity

Over the past five fiscal years, the General Fund portion of the Finance Department’s cumulative expenditure budget to actual activity is approximately \$30,000, or one percent over-spent. Utility Billing activity is reflected in Fund 500 and had a cumulative budget to actual variance of approximately \$498,748, or 13 percent over-spent.

The non-departmental five-year cumulative budget to actual activity was approximately \$730,000, or 13 percent overspent. However, the non-department function is not totally within the control of the Finance Department. For example, a major cost of the non-department function is the cost for retiree health insurance.

The majority of General Fund revenue estimates are developed by the Finance Director. Reviewing the five-year cumulative budget to actual activity for revenues reflected a surplus of approximately \$6.5 million, or 6 percent. This variance indicates a very conservative revenue budget estimation process. Typically a variance within 1 to 2 percent represents an acceptable range. This very conservative model has helped to build up the fund balance in the General Fund over the years, which is a good thing if it is known and accepted by everyone. If it was not understood, it may have unnecessarily caused unnecessary service level reductions or delay of services or equipment. The following table reflects the five-year budget versus actual expenditure activity for the Finance Department.

Table 5—Five-Year Finance Department Expenditures (Budget versus Actual)

Expenditure Component	FY 12/13	FY 13/14	FY 14/15	FY 15/16	FY 16/17
Expenditure Budget	630,439	505,065	538,039	653,370	724,891
Expenditure Actual	646,666	519,087	653,960	619,109	643,951
Variance	(16,227)	(14,022)	(115,921)	34,261	80,940

2.1.3 Staffing Strengths and Weaknesses

As is the case with other agencies, Finance Department staff have both operational strengths and weaknesses. South Pasadena’s Finance Department has needed to deal with the loss of its Finance Director and Assistant Finance Director within a 60-day period. The loss of these two key leadership positions has created a significant void in the normal operations of the Department. Compounding this adverse situation is the fact that the Department lacked an effective cross-training program. Based on staff interviews, the Finance Director was reluctant to share knowledge and information with other staff members, including his assistant.

The following are some of the strengths and weaknesses reported by Finance Department staff and other department staff during the interviews:

Strengths: Unity, pride of work, “Get the job done” attitude, helpful

Weaknesses: Lack of support/recognition from management, no formal consistent process/procedure for operations, lack of training and the opportunity/encouragement to go to training, lack of staff, lack of technology and antiquated equipment, too many manual process, lack of initiative to implement new things

One of the strengths noted by Citygate was the willingness of the staff to pitch in and help fill the operational gaps that resulted from the loss of the Department head and his assistant. Another strength was the longevity and institutional knowledge of several of the staff. This institutional knowledge helps to maintain some of the primary finance functions, such as payroll, accounts payable, and general cash depositing. Yet another strength is the eagerness of some of the less senior staff to learn and accept additional responsibilities to help maintain operational continuity as much as possible. As observed by Citygate, most of the staff perform duties in addition to their main duties because of the needs of the Department. This could be enhanced by formal internal cross-training and external training. Another strength is the staff’s overall loyalty to the Department and to the City.

Staff weaknesses observed by Citygate include the lack of training, internal cross-training, and information sharing. This has created a general atmosphere of diminished understanding and

confidence on the part of staff. An example of this is the fact that only one person knows how to process an entire payroll and only one person knows how to process an entire accounts payable cycle. For the applicable staff, this can create a burden that they cannot be away from the office for legitimate reasons, such as sick time or family emergencies, and it can lead to low morale. Additionally, if something unfortunate happens or if the applicable individual is dissatisfied and quits, the City would find itself in a very difficult situation. Another example is the uncertainty of the capabilities of the Springbrook financial software system. Consequently, staff is manually performing some financial functions that are more time-consuming and can lead to increased calculation errors. Per staff interviews, minimal staff was trained on the Springbrook system and those who were trained were only trained on the basics of their respective function.

The lack of training and cross-training has led to a reluctance to follow up on some duties and activities, resulting in operational delays of some of the Finance Department functions. Examples include a five-month delay in bank reconciliations; a five-month delay in the input of business licensing and utility bill receipts; a four to five-month delay in journal voucher input for cash wires; delayed response to a CalPERS audit, requiring a change in how time was categorized, which could have resulted in a fine; and delayed financial reports to other departments for over a year. These delays are serious internal control problems that can lead to others making operational decisions using inaccurate financial reporting, dissatisfaction with Finance Department staff, and, in a worst-case, fraud. Another troubling result of the current atmosphere in the Department is the general belief of Finance Department staff that they must carry out directions from the Department head or even other departments even if they believe that it is contrary to policy. An example of this is the practice in at least one department to cash their petty cash replenishment check by taking cash received from general activities. This is an internal control weakness that must be corrected. Another example is a situation where at least one department reimburses petty cash expenditures in excess of \$300 when the generally used procedure used by the Finance Department is that petty cash should be used for expenditures that are \$50 or less. Finance staff knew of these issues but processed the transactions anyway believing that they could not reject the transaction. These financial internal control issues need to be addressed immediately.

Finding #1: Department staff lack continued and effective training and internal cross-training to help ensure operational consistency in emergency circumstances, as well as the confidence to reject transactions that they believe are contrary to policy/procedure.

Recommendation #1: Establish a formal training program that requires staff to participate in regular training and internal cross-training. This should be mandatory training and should be included in the various employee evaluation goals. A mechanism (e.g., short quiz) should be developed and taken by the employee after the training to help ensure that the training was understood. As a part of the internal cross-training, employees should be instructed regarding how to report concerns of potential violation of policy/procedures direction without fear of retaliation.

Finding #2: City staff has not been adequately trained on the capabilities of the City's financial software system to determine if it meets the needs of the City.

Recommendation #2: Retrain and/or train all applicable employees who will benefit from the use of Springbrook to determine if the system is adequate for the needs of the Finance Department and other City departments. This training should be mandatory for all applicable employees.

2.1.4 Perception of Finance Department by Other Departments

The general perception of the Finance Department by other departments is that most of the staff attempt to be helpful and supportive, but this is not always the case. Some of those interviewed voiced concerns that their staffs had to contact some Finance Department staff for assistance. There were also comments relating to how it was believed that most of the Finance Department staff attempted to be helpful, but that the lack of Department leadership, lack of training, and cumbersome manual processes provided more of a hindrance than a help to the departments. Departments feel that they are not receiving accurate or timely financial information from the Finance Department to make effective operational decisions. The departments would like to see more participation and accessibility from the next Finance Director. A reduction of cumbersome manual processes, such as with payroll and accounts payable; an increase in finance staff cross-training; and formal policies that are understandable, somewhat flexible, and consistently applied are the main desires of the other departments regarding Finance Department services.

Finding #3: The Department is not providing consistent helpful service to other departments.

- Recommendation #3:** A policy and procedures manual should be developed and/or updated.
- Recommendation #4:** All departments should provide input on the policy and procedures manual; however, the manual should be developed based on best practice standards.
- Recommendation #5:** The completed policy and procedures manual should be presented to the City Council and all City employees so that everyone is aware that adherence to the new policies and procedures is mandatory.

2.2 MANAGEMENT LEVEL REVIEW OF FINANCE DEPARTMENT FUNCTIONS AND PERFORMANCE

2.2.1 Budget

The following is a description of the City’s FY 17/18 budget process per the City’s website:

The budget process is based upon in-depth analysis of actual and projected fund balances, revenues, and expenditures. Each City department prepared line item details for the department’s activities and recommended certain service levels and activity goals for the 2017/18 budget year. The Finance Department prepared revenue projections with input from other departments. The City Manager then reviewed individual departmental requests, prioritized activities based upon City Council policy, and made certain adjustments. At the conclusion of this process, the Proposed Budget was prepared and presented for a public hearing, then submitted to the City Council for final review and adoption.

The process for the 2017/18 budget year began in February 2017, with the department heads working on their requests for the upcoming fiscal year. Aside from City staff, there were several opportunities for the public to get involved in the process in order to make their interests and concerns known to the management and the City Council. The first opportunity this year was on March 11, 2017 at the Community Forum on Budget Priorities, where there was a discussion of which projects the City should focus its resources on for the next fiscal year. On March 21, 2017 a Special City Council meeting to discuss budget priorities was held, and again the public was invited to give their input. By the middle of May, the budget was substantially complete from the staff perspective, and was brought to the City Council meeting of May 17, 2017 for a Draft Budget Presentation to receive further direction from the City Council, again with public

input. The final step in the adoption of the budget was the conducting of a formal Public Hearing scheduled for the City Council meeting of June 7, 2017. The City Council approved the budget that evening, and the budget became effective July 1, 2017.

There are almost 60 budget best practice recommendations endorsed by the GFOA. The process outlined conforms to some of them, but Citygate’s review has identified some budget best practices with which the City’s operation does not conform. The following is a discussion of those budget best practices with which the City is not in conformance and which Citygate believes are the most pertinent to this review:

1. Development and adoption of financial policies that can be used to achieve the overall operational goals of the agency. Examples of these policies include:
 - Stabilization (reserve) funds
 - Fees and charges
 - Debt issuance and management
 - Budget development (samples not all inclusive)
 - Revenue/expenditure projections
 - Capital needs
 - Performance measures and benchmarks
 - Use of one-time or unexpected revenues
 - Long-term fiscal planning

Although the City includes fiscal policy statements listed in the budget document, the statements should be expanded to include more specific information to assist with the understanding of the purpose, objectives, and goals of the policy.

2. Maximize coordination and understanding of numbers between budget staff and respective department staff.
 - Per interviews Citygate conducted with the departments, some concern was voiced relating to the lack of understanding of the budget amounts that were presented to the City Council. The comments were made concerning the previous fiscal year budget process, but it was believed pertinent enough to be mentioned in this report.
3. The budget should be reviewed regularly throughout the year, with a more formal and detailed review completed at least semi-annually. This middle-year review should include review and update regarding budget objectives/performance measures and adjustments made accordingly.

Finding #4: The City has not processed a formal month-end or quarter-end close in several years, and no formal period-closing written procedures were found.

Recommendation #6: A formal written set of procedures should be developed and a formal month-end review for all funds, or at least a mid-year budget review, should be completed every fiscal year. This will help identify potential issues in time to develop strategies to address these issues. This procedure will also help when performing budget projections for current and future budget years.

4. Develop and consistently utilize a financial system that provides information required to make sound operational decisions.

Finding #5: The City uses Microsoft Excel spreadsheets to develop the budget and the Springbrook financial system for other financial activity, which increases the amount of time required to develop the budget.

Recommendation #7: A formal budget module should be utilized to follow best practices and minimize manual processes and the time required to develop the budget, in addition to reducing the potential for human error. The Springbrook system has a formal budget model that is compatible with its other financial modules that would substantially reduce the amount of time required and the chance of human error when developing the budget.

2.2.2 Audit and Internal Control

The Department is responsible for the coordination and interaction with the external auditors hired to audit the City's annual financial information and the production of the City's CAFR. The City has consistently won the Certificate of Achievement for Excellence in Financial Reporting from the Government Finance Officers Association, which is an achievement for the highest standards in government accounting and financial reporting.

The CAFR is the audited annual financial report of City operations, including assets, liabilities, equity, revenues, and expenditures. The FY 16/17 CAFR was audited by external auditors, who opined that the CAFR "presented fairly, in all material respects, the respective financial position of the governmental activities, the business-type activities, each major fund, and the aggregate

remaining fund information of the City, as of June 30, 2017, and the respective changes in financial position, and where applicable, cash flows thereof, for the fiscal year then ended in accordance with accounting principles generally accepted in the United States of America.”

This opinion is referred to as an unqualified (clean) audit opinion. The opinion, however, is not based on a 100 percent audit of all City transactions. It is based on generally accepted auditing standards, which include statistical sampling of transactions. This is the reason the auditors require the City to sign a representation letter that contains several qualifiers that emphasize this fact. An excerpt of the representation letter states that “management assumes full responsibility for the completeness and reliability of all of the information presented in the report. The data presented is complete and reliable in all material respects, it is presented in a manner designed to fairly set forth the financial activity of the City’s various funds, and all disclosures necessary to enable the reader to gain a good understanding of the City’s financial activity have been included.”

Additionally, auditors will produce a management letter that lists recommendations for improvement to issues discovered during the audit but were not significant enough, at the time, to warrant a formal audit qualification. It is best practice for an entity to provide responses to these auditor recommendations and, where necessary, an action plan that can be reviewed by the auditors on future audits to assist in rendering an audit opinion. Repeat management letter comments for multiple years, without improvement, is an indication of a systemic problem and should be elevated by the auditors to the City Manager and City Council.

As a result of its review and interviews, Citygate identified several internal control weaknesses that should be addressed. The more significant issues were:

- ◆ Delayed bank reconciliations that could result in a misstatement of the cash and revenue and expenditure activity of the City. This internal control weakness could also hinder fraud detection relating to City operations.
- ◆ Delayed administrative functions, such as journal vouchers posting to reflect cash receipts and other adjustment that are not posted through the other Springbrook financial system modules.
- ◆ Cash being counted in the open view of counter traffic, which increases the potential of theft or processing errors due to the staff being distracted by the front counter traffic.
- ◆ Delayed processing of checks for months after receipt.
- ◆ Lack of formal financial policies and procedures, which resulted in operational inconsistencies.
- ◆ Lack of separation of duties of the payroll and human resources functions.

- ◆ Lack of cross-training in crucial functions, such as payroll and accounts payable.
- ◆ Lack of a fraud policy establishing process for reporting fraud.

Some of these weaknesses were included in the external auditor's management letter comments for at least three consecutive fiscal years. Citygate found that, per interviews with City staff and the external auditors, these issues were presented to the previous Finance Director, who chose not to share them with the City Manager's office or the City Council. Although the CAFR documents were presented to the City's Finance Commission and City Council, it appears that the management letter comments and plan to address the issues were not presented.

The auditors should have ensured this information, once finalized, was sent directly to the City Manager and ultimately reported to the City Council in a formal presentation.

Finding #6: Repeat management letter recommendations over multiple fiscal years were not addressed, and no written response or plan of action was completed and reviewed by the City Manager.

Finding #7: There is no formal written fraud policy to report potential fraud.

Recommendation #8: The Comprehensive Annual Financial Report (CAFR), management letter, and all other reports generated from the annual audit, once finalized, should be reviewed by the City Manager and presented to the City Council. This will ensure that the City is aware of potential financial issues and that a plan has been developed to address the issues.

Recommendation #9: Discuss the audit expectations with the external auditor during an entrance conference before the audit field work begins. One of the expectations should be that the CAFR, management letter, and all other reports associated with the audit, once finalized, are sent directly to the City Manager in addition to the Finance Director. The final documents should be presented to the City Council after final review by the City Manager.

Recommendation #10: A formal written response and plan of action to address the FY 16/17 management letter comments should be produced and presented with the FY 17/18 audit.

Recommendation #11: Auditor should complete a formal internal control questionnaire each year of the engagement to help identify potential weaknesses and areas on which to concentrate during the audit.

Recommendation #12: Future audits should include a more in-depth review of the City's golf course and stable operations to identify any operational issues.

Recommendation #13: Develop a formal written fraud policy that identifies the process to report fraud. The policy should include the creation of a website for individuals, including City staff, to anonymously report fraud or potential fraud and the steps in place to ensure the reports are investigated.

2.2.3 Payroll

The payroll function is performed by one individual, the Payroll Coordinator. The Finance Director was directed by the City Manager to cross-train someone on payroll, but due to some reluctance on the part of the Finance Director and/or the Payroll Coordinator, the cross-training has not been completed. Citygate observed that the cross-training has continued, but it is still uncertain whether the cross-training includes the production of an entire payroll as opposed to just pieces of the process. Payroll is a critical process in any organization, and although South Pasadena is a relatively small city with a small Finance Department, steps must be taken to ensure continuity in the case of emergencies.

Payroll is processed biweekly for a total of 26 payrolls per year. Two of the payrolls are considered free payrolls, where only the regular pay less taxes is processed.

New employees are processed in Human Resources, and payroll is provided an Employee Action Form to create the employee in the system. Once created in the system, Payroll manually types a Pay Record Card for the employee with all pertinent information and sends the card to both Human Resources and the applicable department. This would be adequate internal control; however, Human Resources does not verify that the information typed on the Pay Record Card matches the Employee Action Form or what was input into the payroll system. This is a weakness in internal controls and separation of duties that should be addressed. Automation of this process is also needed to reduce Payroll employee time requirements. Benefit changes for employee in the system is requested manually through Payroll and not Human Resources. No one from Payroll approves or verifies the accuracy of benefit changes requested by the employee. This is another internal control weakness.

Time sheets are prepared manually, except for the Police Department, and must be received by payroll no later than the Tuesday before the payday. The Payroll Coordinator processes all payrolls with some assistance from the Management Assistant. The Management Assistant cannot process a full payroll. Members of the Police Department process their time sheets on an automated system called InTime, which contains an electronic signature feature, so time sheets are not manually signed. A printout from the Police time-keeping system is attached to each time sheet to validate that they were all electronically signed. The Springbrook payroll module is exception based, so only variations to a standard regular work schedule need to be entered by Payroll.

Once time sheets are entered, a time sheet proof list is generated. This list reflects all hours and other time sheet information entered. The Payroll Coordinator validates and compares the actual time sheet to the proof list and makes any required changes. Once verified, the Payroll Coordinator sends the proof list and time sheets to the Finance Director or Assistant Finance Director for approval. This approval step is currently being performed by the Human Resources Director / Acting Finance Director.

Payroll deductions are calculated automatically by the payroll module in Springbrook and manually processed by the Payroll Coordinator for any Accounts Payable checks and supporting documentation for a journal voucher required to post the Automated Clearing House (ACH) direct payments for large deductions, such as Federal and State income taxes and CalPERS to the General Ledger.

The payroll check process is then initiated, and a payroll register is produced for direct deposit employee pay (about 185 employees) and non-direct deposit checks (about 14 employees). The registers have all pertinent pay and deduction information for each paid employee, including check numbers that are generated through the system via the check generation process.

Blank checks are maintained in the Finance Director's office in a locked cabinet. Two keys are required to open the cabinet. The Finance Director has one key, currently the Human Resources / Acting Finance Director, and the Payroll Coordinator has the other key. The Payroll Coordinator obtains required checks for non-direct deposit employees based on the non-direct deposit check register. The Payroll Coordinator logs check numbers used in log book.

The Finance Director is given the payroll registers to review and approve. Once they are approved, the Finance Director processes a signature program to sign the checks, send ACH payments to the bank for the entire payroll, and posts the payroll into the General Ledger. Payroll is sent to the bank on the Wednesday of the pay week for a payday on Friday.

The Payroll Coordinator manually folds checks and stubs and places them in envelopes for delivery to the respective departments. Although there are only about 200 paystubs and checks per pay period, employee time could be saved through the purchase of a check folding and

stuffing machine. This piece of equipment could also be used in other areas where manual folding and envelop stuffing is occurring, such as Accounts Payable and Business Licensing and Accounts Receivable.

Monthly, quarterly, and year-end reports are produced automatically by the Springbrook system.

Finding #8: Due to lack of cross-training, only one employee knows how to process a full City payroll.

Finding #9: Separation of duties between Payroll and Human Resources responsibilities is lacking, which weakens internal control.

Finding #10: There are too many manual processes in the payroll process, which increases the time required to complete a payroll and the chance of human error. This is partially due to the uncertainty concerning the capabilities of the Springbrook payroll module.

Finding #11: Adequate equipment to fully automate the payroll process is lacking.

Finding #12: Payroll employee(s) are not consistently obtaining payroll-related training to keep up with changing payroll-related laws, rules, and regulations.

Recommendation #14: The full cross-training of the Management Assistant should be completed more quickly. Planned overtime should be considered to expedite completion of the training. Additionally, the Management Assistant should periodically complete an increasing portion of an actual full payroll after the training to ensure it has been effective. Implementation of this recommendation will help to minimize loss of process continuity in the case of emergencies, as well as relieve some of the burden felt by the Payroll Coordinator that limits earned time off.

Recommendation #15: The Payroll staff should be retrained on the capabilities of the existing Springbrook payroll module. The training should be mandatory and part of the annual evaluation goals, which will help minimize the potential of employees continuing to use the old, ineffective processes without consequences. Implementation of this recommendation will help to identify current manual processes that may be automated in the payroll module, thus reducing processing time and manual calculation errors. This recommendation could also delay the need for additional employees because of the increased productivity.

Recommendation #16: A schedule of responsibilities should be developed for the Payroll and Human Resources functions of the City. This schedule of responsibilities should follow best practices, including a clear delineation. Human Resources is responsible for employee creation, benefits, and changes relating to pay; Payroll is responsible for creation of the employee check and all other processes relating to the check process, including deductions, payroll tax and retirement processing, report processing relating to employees checks, etc. Implementation of this recommendation will improve internal control and comply with best practice by minimizing the risk of the accidental or fraudulent creation and payment of fictitious employees.

Recommendation #17: The City should invest in the purchase of a folder/stuffer machine to reduce the time spent on folding checks and paystubs and inserting them into envelopes for distribution. Implementation of this recommendation will not only reduce the time required by the Payroll Coordinator but also the time spent by other employees who perform similar duties.

Recommendation #18: Payroll employees should be encouraged to attend payroll-related training to remain knowledgeable concerning payroll laws. Implementation of this recommendation will improve employee productivity through the reduction of errors caused by lack of knowledge regarding payroll matters. Another benefit is the potential improvement in confidence and morale of the employee due to reduced frustration of feeling uninformed.

2.2.4 Accounts Payable

The Accounts Payable function is performed by one individual, the Accounting Technician. This staff member also is responsible for creating the daily cash/check/coin deposit for the City to create a separation of duties between staff collecting receipts and the staff creating the actual deposit.

The City Municipal Code Chapter 2, Article XI, Section 2.99-29 establishes the City's purchasing system procedures. The purchasing system establishes a centralized purchasing system, with the Finance Director acting as a purchasing agent. However, the Municipal Code authorizes an exemption to centralized purchasing per Subsection 6, which reads, "The purchasing agent may, in writing and with the approval of the city manager, authorize any city department to purchase or contract for specified supplies, services and equipment independently of the purchasing department, but the purchasing agent shall require that such purchases or contract be made in conformity with the procedures established by this section, and shall further require periodic reports from the department on the purchases and contracts made under such written authorization."

Although Citygate was unable to locate a written authorization as required by Subsection 6, the City operates its purchasing process using this exemption. The departments perform their own purchases as directed by a purchasing procedures sheet, which summarizes the purchasing requirements outlined in the municipal code. The basic procurement guidelines are:

- ◆ Requests for payment (up to \$500) – no purchase order required, department head approval only.
- ◆ Open Market (\$501–10,000) – purchase order required, three informal quotes required, and department head authorizes the purchase order requisition.
- ◆ Open Market (\$10,001–25,000) – purchase order required, three written quotes required, Finance Director authorizes purchase order requisition. The City Manager may authorize purchase of supplies, equipment, and services of a value

greater than \$10,000 but less than \$25,000 without complying with the listed procedures when, in the opinion of the City Manager, compliance with the procedure is not in the best interest of the City.

- ◆ Formal contract (above \$25,000) – purchase order required, formal bidding process required as outlined in Subsection 11 of the purchasing system article, City Council approval required.

Purchase requisitions and purchase orders are typed on a typewriter or created using a separate Word or Excel program; they are not produced through a uniform system. Staff shared that the Springbrook system has a purchasing module but is uncertain as to its capabilities. The procurement and the payment approval processes are also manual, requiring pieces of paper to be routed throughout the City and which are frequently lost or misplaced, requiring extra time to process. City staff lack the knowledge of what capabilities the Springbrook financial system has to help improve productivity. The City also has a purchasing card program that allows purchases via a City credit card. The City currently has six purchasing cards, which are assigned as follows:

- ◆ City Manager
- ◆ Finance Director – Backup to general City card
- ◆ General City
- ◆ Fire Department – Strike team
- ◆ Police Department – one for motorcycle fuel and one for stakeouts

There is no formal written purchasing card policy at the City. In review of the program, Citygate has found, absent a formal written policy, there is no effective monitoring mechanism of the uses within the Finance Department. The Finance Department assumes the departments are monitoring the purchasing card use within their departments to address accidental or potentially fraudulent errors. When used in adherence to a written policy that is strictly monitored and enforced, use of purchasing cards can increase productivity by reducing procurement time.

Accounts Payable processes all vendor payments and requires applicable purchase order reference, original invoices and receipts, and appropriate authorization signatures. Although Accounts Payable requires authorized signatures, according to staff there is no signature authorization log with formal validation of the authorized signatures that could be cross-checked to help identify unauthorized payment requests. This signature log would be updated periodically to reflect staff changes or authorization changes within a department and kept on file in the Finance Department.

Vendors are created by the Accounting Technician. As of this report, the City had approximately 11,500 vendors on file. The establishment of vendors requires the submission of a completed W9

form before the vendor can be paid. The current payment process used with the departure of the prior Finance Director and Assistant Finance Director includes the Acting Finance Director, or someone designated by the Acting Finance Director, reviewing the vendors paid with each Accounts Payable register and supporting documentation. This process currently employed should be continued with the hiring of the new Finance Director.

On average, the City processes approximately 150 to 200 checks semi-monthly. Per staff, checks are not mailed until the registers containing the payment information are approved by the City Council. Once approved, the Finance Director runs a signature program to sign the checks, which are mailed if the vendor has completed the W9 form. Blank check stock is kept in the Finance Director's office in a double-locked cabinet. The Finance Director has one key, and accounts payable staff has the second key. Each lock is different, and both keys must be used to unlock the cabinet. Accounts Payable staff pull the appropriate number of checks identified in the processed register and log in the check number range. The range is verified and approved by the Finance Director via an initial or signature on the log entry line. If check(s) are destroyed during the printing process, Accounts Payable staff notify the Finance Director and note the reason and the check number voided on the original entry line on the log before pulling another check and entering in the log which again is approved by the Finance Director. This is a common method used by municipalities to minimize errors and fraud. As an additional check and balance, the City should consider including a step in the Accounts Payable process that contains a sampling of vendors from each Accounts Payable register to compare authorized signatures, W9 information, and purchase order reference, if applicable. It is understood that given the size of the Finance Department staff this extra step may not be feasible, but implementation of this extra random review step could help to minimize both accidental and intentional errors.

The Springbrook system accounts payable module is used to process payments. The module has a budget check component that flags payment attempts that exceed available budget authority. Per staff, authorization was given by the prior Finance Director to allow the Accounting Technician to override these flags if the over-budget amount is less than \$200. This was a verbal authorization. There is not a formal written budget override authorization policy.

There is no back-up for the current Accounts Payable staff. If an individual is out for an extended period, the Accounts Payable process stops, per the staff interviewed. As a result, similar to the case of the Payroll staff, Accounts Payable staff are burdened with the inability to take earned time off. Cross-training and increased automation is also needed in the Accounts Payable function to improve productivity and morale.

Emergency or prepay checks that cannot wait for the formal process must be presented to the Department via an emergency check form. These emergency requests must have a reason for the emergency included on the form and must be approved by the Finance Director before Accounts

Payable processing. The emergency check information is then included with the next Accounts Payable register information presented to the City Council.

Per Accounts Payable staff, the direction of the Finance Director is not questioned, even if staff know that the direction is a violation of policy. Although Accounts Payable staff should not be insubordinate, they should be encouraged to ask questions if they believe a direction is contrary to the City policy as they know it. A policy should be developed to address this potential, with language that protects staff if they refuse to process something they know is against policy.

Once approved by the City Council, the Finance Director posts Accounts Payable activity to the General Ledger.

Year-end 1099s are produced automatically if the appropriate box is checked when the vendor is created in the system. In some cases, it is unknown whether the amount paid to the vendor will exceed the reporting limits when the vendor is created. Currently, there is not a process for double-checking 1099 production to ensure all required 1099s are produced. One way to minimize the issue of omitting the creation of a 1099 erroneously is to run an Accounts Payable payment report by vendor and compare to the 1099 report generated by the financial system.

Purchase order carry-overs, which are purchase orders that have funds remaining, are processed by the Finance Director and presented to the City Council for approval. Once approved, additional budget appropriations are added to the next fiscal year to cover the use of the remaining funds on the purchase order.

Finding #13: No written authorization was located that authorized the City to operate a decentralized purchasing process.

Finding #14: The procurement and payment approval process is manual, requiring pieces of paper to be routed throughout the City, and they are frequently lost or misplaced, requiring extra time to process.

Finding #15: City staff lack the knowledge of what capabilities the Springbrook financial system has to help improve productivity.

Finding #16: There is no signature authorization log with formal validation of the authorized signatures that could be cross-checked to help identify unauthorized payment requests.

Finding #17: There is no formal written budget override authorization policy.

Finding #18: There is no back-up for the current Accounts Payable staff.

Finding #19: Per Accounts Payable staff, the direction of the Finance Director is not questioned, even if staff knows that the direction is a violation of policy.

Finding #20: There is not a process in place for double-checking 1099 production to ensure all required 1099s are produced.

Finding #21: There is no formal written purchasing card policy.

Recommendation #19: As an additional check and balance, the City should consider including a step in the Accounts Payable process that contains a sampling of vendors from each Accounts Payable register to compare authorized signatures, W9 information, and purchase order reference, if applicable.

Recommendation #20: Cross-training, external training, and increased automation is also needed in the Accounts Payable function to improve productivity and morale.

Recommendation #21: A policy should be developed to encourage Accounts Payable staff to ask questions if they believe a direction from the Finance Director is contrary to City policy as they know it. This policy should include language that protects staff if they refuse to process something that they know is against policy.

Recommendation #22: One way to minimize the issue of omitting the creation of a 1099 erroneously is to run an Accounts Payable payment report by vendor and compare to the 1099 report generated by the financial system.

Recommendation #23: A formal written purchasing card policy should be developed that includes allowable uses of the card and penalties for misuse. All users and potential users of purchasing cards should be required to attend training on the purchasing card policy and be made aware of consequences of not adhering to the policy. The Finance Department should establish a monitoring process to ensure policy compliance.

2.2.5 Business Licensing, Accounts Receivable, and Cash Receipts

Business Licensing

The business license function is performed by two individuals, both Senior Account Clerks. Per the City's business license ordinance, licensing fees are charged using a variety of methods. Businesses classified as general retail, such as professional, wholesale, manufacturing, or service-related pay a fee based on the number of employees. Businesses classified as contractors or building trades are charged a fee based upon gross receipts. Businesses which conduct business by vehicle are charged a flat rate. Business licenses are issued for annual, quarterly, monthly, and daily periods. In addition to the business license fee, businesses must pay a business improvement tax. The business improvement tax is charged to the various businesses per the City of South Pasadena Municipal Code as follows:

- ◆ Manufacturers must pay 25 percent of the business license tax otherwise payable up to a maximum of thirty employees. Any such businesses employing more than thirty employees shall not be required to pay the additional tax on such additional employees.
- ◆ Apartments must pay 25 percent of the business license tax otherwise payable.
- ◆ All other businesses licensed by the City of South Pasadena must pay 37.5 percent of the business license tax otherwise payable. Home occupations of any type shall be excluded.

The City pays \$135,500 per year of the amount collected from the business improvement tax to the Chamber of Commerce to provide business improvements relating to decoration of any public place in the area, promotion of public events which are to take place on or in public places in the area, furnishing of music in any public place in the area, and the general promotion of retail trade activities in the area. Other one-time payments for specialty projects are also paid to the Chamber of Commerce from business improvement tax funds as authorized by the City Council.

The City uses HDL software system for administration of the business license program. The system used for in-house business license processing is an older HDL system with limited capabilities. As a result of a staff-related backlog issue, the City moved to HDL's updated system and contracted with HDL to provide business license administration services on a temporary basis. This arrangement allows for increased functionality and customer service (i.e., ability for businesses to complete more of the process online and increase staff to prevent backlog issues). This seems to be a good arrangement that should be made permanent to increase service levels for customers and assist in restructuring the Finance Department to improve efficiency.

The business license ordinance, although not unique, should be revised to make business licensing calculations less complicated. Revisions would need to be completed in accordance with State laws regarding taxes and fees, such as Proposition 218, which dictate steps needed.

At the beginning of the review, the procedure used allowed businesses to fill out applications online, but they could not pay online. However, due to temporary staff reductions that affected the business licensing function during this review, the City changed the procedure to allow HDL to manage and process business licenses using an upgraded HDL company system remotely. The upgraded system allows both applications and payments to be processed online. However, due to the business licensing fee intricacies outlined, staff must assist the business to determine the correct fee that should be paid.

Once the business application is reviewed and funds are collected, the application is forwarded to the Planning Department, Fire Department, and Water Department for applicable approvals. The Planning Department also notifies the Finance Department of potential subcontractors so they can be cross-checked for business license compliance. Once approved by all applicable departments, the Finance Department notifies the business and mails the business license. Per staff, this process could take two to six weeks depending on business complexity or other factors. Businesses cannot open until a business license is received. During the Citygate review, the City discovered that several checks relating primarily to business licensing had not been processed for approximately four to five months. This indicates that the process outlined by staff associated with the business licensing function was not truthful regarding the business license receipting process. Citygate is uncertain whether this procedural breakdown is due to inefficiency. There are no formal business licensing inspectors assigned to the Finance Department that are responsible for ensuring that businesses are complying with the business licensing ordinance. There is a process, however, where the fire inspectors ask to see the business license when a fire inspection is conducted. Given the timing of the fire inspections, businesses could be operating without a license for an extended period of time without detection. Citygate was told by several Finance Department staff that a business licensing amnesty program was attempted, but it was poorly implemented and caused great dissatisfaction among businesses and staff.

The City has approximately 2,400 businesses that are licensed and active as of April 2018. A log of business license applications is created for application submissions to Planning, Fire, and Water Departments, and is maintained by Finance for tracking purposes. Business licenses are renewed based on the original period of the license. Renewals are processed monthly using the HDL system.

Finding #22: Staff are using an outdated business license system which prohibits the provision of the most efficient service to businesses.

Finding #23: The City does not have business licensing inspectors assigned to the Finance Department and relies on the fire inspection process to identify unlicensed businesses.

Finding #24: The City's business licensing ordinance, although not unique, is overly complicated for business licensing calculation.

Recommendation #24: City should update to the new HDL system and contract with HDL to use its remote business licensing program permanently. This will significantly reduce the workload of the two Senior Account Clerks, allowing the positions to be repurposed or eliminated to generate funding for other positions discussed in the restructuring recommendations in this report.

Recommendation #25: The City should contract with a company such as HDL or MuniServices to provide a business canvassing program to detect unlicensed businesses. The benefits of this recommendation are the identification of unlicensed business which are receiving an unfair advantage over compliant businesses, an increase in City revenue, and an increase in the accuracy of the business database.

Recommendation #26: The business license ordinance should be reviewed and revised to reduce complexities of business license fee calculation and business categorization. This will benefit the City by potentially allowing businesses to calculate their fees themselves to speed up receipt of payment and reduce administration time.

Accounts Receivable

The billing portion of the accounts receivable function is performed by one person, the Management Assistant. The City does not use a formal billing advice form to develop accounts receivable billings. The Finance Department produces billings based on emails from departments. There is no policy that establishes who is authorized to request a billing and no formal tracking mechanism to determine when a bill is paid to prevent reflecting a receivable on the books that has already been paid, causing an overstatement of fund balance. The accounts receivable process is all manual via Excel spreadsheets and not a formal module that automatically posts into the general ledger. As a result, accounts receivables are not always

created in the general ledger system. So potential revenue recognition is delayed. The City as with most municipal jurisdictions, operates, per generally accepted accounting principles (GAAP), using a modified accrual basis of accounting for its governmental fund activities. Modified accrual basis recognizes revenues when they are available and measureable and recognizes expenditures when the liability is incurred. Billings that are due to be received in a short amount of time technically meet the recognized definition of the modified accrual basis of accounting and should be recorded.

The City does not have a formal collection policy for accounts receivables that detail the requirements of the accounts receivable billing process. Per City staff, the City does not even have an outside collection agency under contract to manage delinquent receivables. Additionally, there is no authorization process in the Finance Department to minimize fraudulent or erroneous billings being mailed.

Although not specifically mentioned as a function of the Finance Department, the general ledger function accumulates and categorizes all financial activity for operational reports for the City. Coordination of this function is the responsibility of the Finance Director and the Assistant Finance Director. The Management Assistant also assists with this function. All financial activity not automatically posted to the general ledger via the other functions of the Finance Department are posted to the general ledger via the journal voucher mechanism. Once the journal voucher is input, the Finance Director or Assistant Finance Director are provided with the journal voucher with the supporting documentation to approve posting into the general ledger system. This process is typical for Finance Departments. However, Citygate could not find evidence of a formal month-end or quarter-end close. The month-end or quarter-end close of the general ledger provides the results of an accounting period to help gauge the direction of operational results in advance of the year-end and allows emerging operational issues to be addressed quickly. In researching prior fiscal year activity, month-end and other formal closes were found, but staff did not know why the formal process ceased.

A crucial part to the general ledger function is bank reconciliations. Current reconciliations of the banking activity to the activity reflected in the general ledger helps to identify errors and potential fraudulent activity. Bank reconciliations should be completed on a monthly basis per best practices. Citygate discovered that the City was at least five months behind in bank reconciliations. A temporary agency employee was hired by the City prior to Citygate beginning this engagement, but the bank reconciliations are still five months behind. Bank reconciliation tardiness has been a consistent issue and has been noted by the City's external auditors in the last three management letter comments in audits. It is unusual for this issue to remain unaddressed due to potential of accidental or fraudulent errors that could misstate the City's financial position. When Citygate inquired as to why correcting this issue was not a high priority of the City, Citygate was informed that neither the Finance Director nor the auditors shared the audit or the management letter comments with the City Manager's Office or the City Council. This is

very disturbing and needs to be researched in more depth to determine if other problems exist with the audit.

Finding #25: There is no formal automated accounts receivable process.

Finding #26: No evidence was found of a formal month-end or quarter-end accounting period closing in recent fiscal years.

Finding #27: The City does not have a formal written debt collection policy.

Finding #28: Monthly bank reconciliations have been consistently behind for the past three fiscal years. Although this fact has been commented on in management letters for the past fiscal years' audits, the management letters and audits were not made available by the Finance Director or the auditors to the City Manager's Office or the City Council prior to being included on the City's website.

Recommendation #27: Development of a formal automated accounts receivable process should be completed. The process should contain an authorization form (billing advice) that must be approved before a bill is generated. Also, the process should include an approval procedure in the Finance Department to minimize erroneous or fraudulent billings. Additionally, the accounts receivable process should be automated using the current accounts receivable module in the Springbrook financial system, if available, or some other automated system. The City should also contract with an external collection agency to assist in collection of seriously delinquent receivables. This recommendation will formalize the accounts receivable system and improve timeliness of revenue recognition and minimize billing errors.

Recommendation #28: Reestablish a formal process for accounting period closing on at least a monthly basis. This recommendation will help gauge where operations are heading and allow for the development of strategies to address issues before the end of the fiscal year. It will also provide a consistent tool to help with operational projections.

Recommendation #29: A formal debt collection policy should be developed. The policy should include the internal steps the City will take before delinquency is sent to a collection agency, which charges a fee. Also, the City should enforce the contract requirement that the collection agency submit monthly activity reports to the City so that the collection agency effectiveness can be monitored.

Recommendation #30: As a policy, final audits should be reviewed by the City Manager and presented to the City Council. Also, the City Council should be presented with responses and a plan to address the management letter comments of the audit. This will ensure that the City is aware of potential issues and current finances, which will allow the City to make more informed decisions. The City should review its current contract with the external auditor to ensure that the information of the audit is disseminated correctly.

Cash Receipts

The cash/checks/coin/credit cards (cash) receipts and depositing function is performed by three staff: two Senior Account Clerks and the Accounting Technician. The two Senior Account Clerks are also responsible for the utilities billing function. Cash is received via walk-in customers, deposits from other City departments, or the mail. All cash is processed by the two Senior Account Clerks who reconcile receipts and log the cash into the financial system on a daily basis. During Citygate's review, however, it was discovered by the City that this process was not occurring on a daily basis as required. Several checks were discovered in the vault room that were many months old that had not been processed. Cash received from other departments, except for the Police Department, is received by armored car. The Police Department hand delivers its deposit due to its proximity to the Finance Department, but does not receive a validation receipt/signature from the Finance Department acknowledging the deposit. All department deposits are completed on a daily basis and a manual log is kept of the departmental deposits; only the Police Department staff do not receive some sort of deposit receipt. The accuracy of daily deposits from departments was not verified by Citygate as this verification is outside the scope of this engagement.

Under normal circumstances, once cash has been processed into the financial system by the Senior Account Clerks, a proof list which summarizes and categorizes the processed cash is printed from the system. This proof list and the applicable cash is placed in the vault room.

Citygate observed that the vault room and the safe remains open during the day. This is a cash security issue that needs to be addressed. Upon inquiry, staff reported to Citygate that due to a faulty safe combination mechanism, the safe, once opened, would be left open because only one person understood how to overcome the faulty safe combination mechanism and that person was not always available.

The Accounting Technician, on a daily basis, retrieves the proof list and supporting cash and recounts to verify that the cash reconciles the proof list. The Accounting Technician then develops the daily bank deposit which is transported to the bank via armored car.

Petty cash administration is also managed by this staff person. There is no formal written petty cash policy. As a result, the amount of cash in petty cash varies. The amounts range from \$100 to \$1000 and, although the general rule relayed by staff is to only reimburse via petty cash for purchases \$50 or less, this is not always followed. The staff person interviewed by Citygate that is responsible for auditing petty cash boxes for the applicable departments stated that she was directed by management to provide warnings to departments that have petty cash boxes regarding when she will be auditing boxes. If this is true, it is contrary to auditing best practice.

Finding #29: The City does not have a formal cash receipting/handling policy.

Finding #30: The City does not prepare a cash flow analysis on an on-going basis.

Finding #31: Staff leaves the safe open during the day due to a faulty safe combination mechanism.

Finding #32: The City does not have a formal petty cash policy that is enforced.

Recommendation #31: A formal cash receipting/handling policy needs to be developed. The policy should include procedures that all City departments must follow if cash is handled and the way cash shortages/overages and petty cash are managed. Numerous municipal finance organizations, such as the GFOA and CSMFO, have sample policies which the City could adopt.

Recommendation #32: A cash flow analysis should be prepared monthly to assist in maximizing investment return and to ensure liquidity.

Recommendation #33: The City should invest in repairing the safe in the Finance Department vault room. This will allow the safe to be closed and locked when not in use during the day and increase cash security.

2.2.6 Grants, Utilities, and Special Projects

Grants

The City has obtained numerous grants and currently has six grants totaling approximately \$1 million for FY 17/18. Although the budget reflects grants management as a Finance Department function, no one in the Department is specifically assigned to administer grants at this time. The Management Analyst included in the Finance Department in the FY 17/18 budget was reassigned to the City Manager's office during FY 17/18 and retained grant coordination duties. Each applicable department is tasked with monitoring its specific grants in conjunction with the Management Analyst to prevent the inconsistent and error-prone administration that previously existed. A formal, written grant policy which outlines requirements to seek and obtain grants, as well as administrative duties and responsibilities, is needed for City departments. Although grants can be positive and beneficial, if they are not obtained with understanding and foresight, grants can result in cumbersome administrative responsibilities and/or may require withdrawal from the General Fund or service reduction when the grant ends. A formal policy which establishes a grant review process before grants are sought will help to minimize these pitfalls.

Utilities

City operated utilities include, water, sewer, and refuse services. Water and sewer services are provided by City staff and the City contracts for refuse service to the Athens Company. The Finance Department is responsible for administrative billing for these services. The Department contracts the billing function for water and sewer to Global DBA Fathom and, as of January 1, 2018, all refuse billing to Athens. The Athens contract language contains a clause that is problematic regarding remittance payments are determined between the City and Athens. The language is vague as to the process for remittance given that language specify the payment calculation based on prior month services rendered in the prior month when the City is on a bi-monthly billing cycle. The water and sewer operations have approximately 6200 customers and eight billing cycles billed in alternating bimonthly billing periods. Refuse operations have approximately 5900 customers, which are all billed monthly. The revenue generated for water/sewer and refuse for FY 16/17 was approximately \$10 million and \$3.9 million, respectively, for FY 17/18. The two Senior Account Clerks are the primary responders for phone, mail, and walk-in service. They follow through on customer questions, act as a liaison to the contracted billing companies, process utility payments, and perform any other function necessary to administer the utility billing function. Billing payments that are received by the

billing companies are received on a daily basis as a direct deposit into the City’s bank account and posted to the general ledger via a journal voucher produced by the Management Assistant, Assistant Finance Director, or Finance Director. All payments received via mail or walk-in are processed per the cash receipt process outlined in this report. As a backup, the Film Coordinator assists when necessary in the utility billing function.

Finding #33: Athens contract language for refuse calculation and remittance is vague.

Recommendation #34: Amend the Athens contract language to clearly state how payments due to the City will be calculated and remitted.

Recommendation #35: Consider placing a kiosk in the lobby through which customers can perform simple transactions instead of waiting in line. This would provide some relief to staff and allow them to work on other back-logged areas.

Special Projects

Some of the special projects managed by the Finance Department include fuel log administration, liaising with the Whitman Company contracted to manage paramedic billing, auditing Citywide petty cash boxes, and uploading financial information into the OpenGov transparency portal. Various Finance Department staff are responsible for performing these functions.

2.2.7 Treasury/Investments

The Treasury function is managed by the Finance Director and elected City Treasurer. The City has a written investment policy which follows the investing requirements of the California Government Code Government Code section 53600.3, which obligates a fiduciary to ensure that:

“When investing, reinvesting, purchasing, acquiring, exchanging, selling, or managing public funds, a trustee shall act with care, skill, prudence, and diligence under the circumstances then prevailing, including, but not limited to, the general economic conditions and the anticipated needs of the agency, that a prudent person acting in a like capacity and familiarity with those matters would use in the conduct of funds of a like character and with like aims, to safeguard the principal and maintain the liquidity needs of the agency. Within the limitations of this section and considering individual investments as part of an overall strategy, investments may be acquired as authorized by law.”

In summary, the City’s investment policy outlines the amount, type, and duration of investment that the City can use to invest its idle cash.

The City’s investment portfolio as of March 2018 was approximately \$33.1 million consisting of \$16.7 million in the State Local Agency Investment Fund (LAIF) and approximately \$16.4 million actively invested with Morgan Stanley Smith Barney.

The City Treasurer administers the City’s active investments, which is managed by Morgan Stanley Smith Barney with advice from Western Asset Management. The investment categories include government securities and corporate bonds. The Finance Director administers the passive investments in LAIF. LAIF is a voluntary program created by statute in 1977 as an investment alternative for California’s local governments and special districts administered by the State Treasurer. This program offers local agencies the opportunity to participate in a major portfolio which invests hundreds of millions of dollars using the investment expertise of the State Treasurer’s Office investment staff at no additional cost to the taxpayer.

The City Treasurer is an ex-officio non-voting member of the City’s Finance Commission and the Finance Director acts as staff support to the Finance Commission. Per the City’s municipal code, the Finance Commission is a five-member body that is advisory to the City Council, City Treasurer, and the City’s Finance Department in matters of financial, budgetary, banking, accounting, licensing, and treasury management, and meets the fourth Thursday of even numbered months. Per staff, only the active investments are presented to the Finance Commission and City Council quarterly.

Wires coming to the City outside of the active investment are managed by the Finance Director without input from the City Treasurer.

Per the City Treasurer, no withdrawal from the active investment portfolio has been required in the past seven fiscal years.

Finding #34: The investment policy meets GFOA best practice.

Recommendation #36: Review and revise applicable policies/procedures to ensure that they are in compliance with the City’s investment policy.

Recommendation #37: City should develop a formal cash flow analysis process to ensure that investment of idle cash is maximized.

2.2.8 Filming

The Filming function is managed by one staff member, the Film Coordinator. Approximately 180 to 200 film permits are issued annually by the City and all requests are coordinated through the Filming function. Filming in the City has several requirements, which include inspection and monitoring by police and fire to address safety and authorized location issues. Police and fire services fees are established via the applicable labor agreements and are paid through payroll. A debriefing report is provided to the Film Coordinator for the completed project.

The Film Coordinator is responsible for the billing and receipt of payments to and from the film crew companies for City services provided. An end of project report is also maintained to assist in the review of future film permit requests. The filming function is not typically found in the Finance Department. It is usually found in economic development or community development related departments due to its similarity with working with developers.

The process for obtaining a filming permit includes completion of an application and other requirements, which are online in the City film permit policy. The application can be completed online; however, payment for the permit is not allowed online due to the complexity of the approval process. All paperwork, approvals, and payments must be complete before a permit is released. The last fee study relating to filming fees was completed approximately four years ago.

The Film Coordinator also manages other duties in the Department as needed, such as water billing receipts, postage, and taking calls.

Recommendation #38: The filming function should remain in the Finance Department unless the FTE is replaced in the Finance Department. Although this arrangement is unusual, the backup responsibilities managed by the FTE including phones, counter work, and other coverage duties is very helpful in addressing operational and customer service needs. However, the title of Film Coordinator should be change to Management Assistant to incorporate the other duties being performed in the Finance Department.

Recommendation #39: Update the City's Master Fee Schedule for all fees, including filming permit fees to ensure that the City is charging appropriately for all applicable services.

2.3. GENERAL DEPARTMENT-WIDE ISSUES AND OBSERVATIONS

2.3.1 Staff

Leadership

Citygate interviewed all Department staff and City department heads regarding the prior leadership of the Finance Department. Due to the current lack of a Finance Director or Assistant Finance Director, Citygate ask the interviewees to discuss the previous leadership, as well as the current leadership, which consists of an acting Finance Director, who is also the Human Resources Director, and a Management Analyst, who is in the City Manager's office but formerly worked in the Finance Department handling grants and assisting with budget preparation. Based on the interviews of all Department staff, department heads, the City Manager, and other pertinent City staff, the following major common themes regarding the previous leadership of the Department were identified:

- ◆ Inadequate employee support
- ◆ Insufficient knowledge sharing with employees and other departments
- ◆ Lack of employee encouragement
- ◆ Lack of succession planning for employees
- ◆ Reluctance to approve training or allow implementation of process improvements
- ◆ Inconsistent application of rules and procedures
- ◆ Reluctance to take disciplinary action when necessary to correct inappropriate employee behavior

These traits exhibited by the previous Finance Director created a general feeling of isolation on the part of Department employees. This atmosphere could also encourage non-productive employees to be even more non-productive because of the belief that they will not be confronted by leadership. The lack of clear and enforced financial policies and procedures has exacerbated an already unproductive situation.

The comments regarding the current interim leadership staff were somewhat subdued, but mostly positive and considered an improvement over the previous leadership.

Based on the comments received, it is crucial that the new Finance Director have strong leadership characteristics. The individual should be knowledgeable and have the willingness to share that knowledge and mentor employees. Another key characteristic would be the ability to clearly and understandably convey information to Department staff, other City departments, the City Council, and the public. The new director should encourage well-thought-out continuous improvement ideas and not be afraid to take appropriate disciplinary measures when appropriate.

Adequacy of Existing Staff

After numerous staff interviews, a review of Department operations, and staffing comparisons to other comparable agencies, the number of staff currently authorized for the Department seems appropriate, although it is on the higher end of the range. However, the positions should be restructured to improve Department effectiveness. Additionally, the numerous manual processes currently used by Department staff unnecessarily increase the workload burden. Citygate believes that reducing the manual processes through the increased use of the Springbrook financial system modules will increase overall staff productivity. A key first step is that the City understands the capabilities of the financial system and revise and document the applicable financial operating policies and procedures.

Additionally, the City should review its current policy of a 9/80 work schedule while remaining open all business days, at least in the Finance Department. This policy creates a “skeleton crew” in the Department on Fridays. If someone is out sick, is on vacation, or has an emergency, staff coverage can be severely diminished, especially at the counter. Another issue created by the inefficiencies caused by the numerous manual processes is the potential need for employees to work overtime to accomplish their duties. Per interview comments, some staff are working overtime and not reporting it to keep up with their workload. Although these staff seem to be doing this with good intentions, this violates Federal law, specifically the Fair Labor Standards Act, and can lead to additional cost to the City due to penalties and potential labor grievances.

Some options to consider include remaining open longer during the week and closing on Fridays, or eliminating the 9/80 schedule for the staff members responsible for counter service. Of course, these types of changes would require meetings to confer with the applicable labor groups.

Morale

Interviews with Department staff revealed relatively low morale. Numerous factors contribute to this situation. Some of the key factors included lack of support from the former Finance Director; inadequate or lack of training, both external training and internal cross-training; uncertainty due to the departure of the Finance Director and Assistant Finance Director; and the lack of consistent procedures. One observation made by Citygate was that the staff felt they were in a situation where they had to make it on their own without help from anyone. Citygate suggested to City management that Finance staff, as frequently as possible, be updated on plans that would affect them during this transition period and be invited to share their opinion as to what the staff believes is needed to help them through the transition. City management staff quickly acted on the suggestion, and it seemed to have made a positive change in overall morale.

Productivity

Citygate has observed that staff productivity is reduced due to the lack of training, inconsistent or non-existent written policies and procedures, and the ineffective use of the Springbrook financial

system, which results in the use of inefficient manual processes. Another area that has an adverse impact on productivity is outdated and very general job descriptions. Job descriptions should be in sufficient specificity to ensure each employee understands the general responsibilities and duties for which he/she will be held accountable. Vague or outdated job descriptions, at a minimum, lead to staff confusion regarding their respective responsibilities but can also lead to manipulation by staff to avoid accountability by granting them an excuse for abstaining from a specific task because it is not part of the job description. To maintain confidentiality, Citygate did not review evaluation documentation of the Department staff; however, Citygate was informed by City staff that the City began using the NeoGov evaluation program to have employee evaluations include goals and objectives. Changes relating to this area will require the City to meet and confer with labor groups.

Customer Service

Customer service should be a very high priority for municipal finance departments as it is one of its main functions. Although “Outstanding customer-friendly service” is a core value of the City, none of the departments have established and documented goals and objectives regarding how they are achieving this or any of the core City values. Some of the operational issues adversely affecting customer service observed by Citygate include cumbersome manual operational procedures, untimely production of financial reports for City departments and residents, and inconsistent application of rules. These issues are all contrary to meeting the City’s customer service core value.

Finding #35: The City does not have a process for departments to develop goals and objectives to support the City’s mission statement and core values.

Recommendation #40: Develop a process that requires departments to develop goals and objectives that support the City’s mission statement and core values. The will help the Finance Department and other departments demonstrate their individual plan to meet the City’s direction.

Potential Department Reorganization

Although the number of staff seems to be adequate for the Department, a restructuring of the Department and appropriate job descriptions should be considered. A review of various comparable cities reflects various departmental structures for the Department, but very few with a staff size and General Fund budget of the City retain the position of Deputy or Assistant Finance Director. The job description for the Assistant Finance Director for the City contains the duties typical of that of an accounting manager or fiscal services manager in other comparable

cities. Other staff changes are also recommended to help increase overall efficiency of the Department. Additionally, the current divisions or functional areas of the Department could be revised to be more descriptive and more effective.

Recommendation #41: The City should consider restructuring the divisions and some of the positions in the Finance Department. The following is a list of suggested division and position restructures. Implementation of this recommendation will bring the City of South Pasadena in-line with comparable cities, which could help in recruitment and internal cross-training.

- 41.1 Change Assistant Finance Director position to Fiscal Services Manager. The duties would be pretty much the same as those in the current job description with the additional of contract monitoring on a Citywide basis to help adherence to contracting policies.
- 41.2 Change unique positions such as Film Liaison and Payroll Coordinator to more generally title positions where the duties can be customized as needed. An example would be to identify Account Technicians in a series (i.e., Account Technician I, Account Technician II, etc.). The current Account Technician handling accounts payable would also be included in this Account Technician series. This would assist in recruitment and encourage cross-training and sharing of ideas between like positions.

41.3 If the City decides to contract with HDL to permanently administer the business license program approximately 50 percent of the workload for each of the Senior Account Clerk positions would be eliminated. The City should consider eliminating the Senior Account Clerk positions and creating position of Customer Service Representatives. Duties would include primary counter support and administration support of the contracted billing functions; including water and sewer, refuse, cash receipting. The savings from the elimination of two Senior Account Clerks and the creation of a Customer Services Representative could pay for the majority of an Accountant position to help maintain up to date bank reconciliations journal vouchers, month-end, quarter-end, and year-end general ledger closing procedures, the CAFR, etc. to ensure that the other departments and City Council have current and accurate financial information on which to base decisions.

41.4 Since there are currently other Management Assistants within the City and the job descriptions contain clerical and counter-related duties, it is recommended that this position remain as is.

The division restructure would consist of the following:

Administration: Finance Director, Fiscal Services Manager, Management Assistant

Accounting: Account Technician II-Payroll, Account Technician I – Accounts Payable, (2) Accountant I

Revenue Management: Customer Service Representative, Account Technician II

Supplemental Staffing

A staff revision suggestion which does not involve staffing levels within the Department, but would indirectly assist the operations of the Department, is to create a position whose responsibilities would include special projects, such as assisting with the budget preparation, reviewing organizational effectiveness throughout the City, administrating and coordinating

grants acquired by the various departments, and creating a Citywide grant policy or other policies/procedures determined to be needed as a result of periodic operational reviews within City departments. It is recommended that this position be a part of the City Manager's office, with sufficient authority through the City Manager to ensure the position is part of the City's management team. Making this position part of the City Manager's office will allow for easy rotation among departments when completing various Citywide or department-specific projects. This will assist the Finance Department with ensuring policies are being followed in the departments, share the burden of budget development, assist with surprise audits that Department staff could not complete, and provide an opinion that is external to the Finance Department on operational issues.

Recommendation #42: Create a position within the City Manager's office that would oversee special Citywide operational improvement projects. This would benefit the City by providing resources that could be dedicated to various special projects as necessary to improve Citywide organizational effectiveness. This position could also assist the Finance Department with periodic finance-related projects and help to monitor Departmental adherence to the City's financial policies. Potential titles for this position include Organizational Effectiveness Manager or Operational Improvement Manager. The position should be at a City management team level to interact with department heads as necessary.

2.3.2 Financial Management Software and Equipment

The Finance Department utilizes several different financial management software packages. The different packages are Springbrook for general finance, HDL for business licenses, Global for water and sewer utility billing, U2U for water and sewer payments, Zendesk for water sewer adjustments, CIS for water sewer payment activity lookup, CityWorks for work orders relating to water and sewer projects, and OpenGov for Department transparency information for the public.

Springbrook

The Springbrook company was acquired in 2015 by Accela. The Springbrook financial system in South Pasadena includes

- ◆ General ledger
- ◆ Payroll

- ◆ Accounts Payable
- ◆ Cash Receipts
- ◆ Purchasing

The budget and CAFR is developed using a combination of Microsoft Excel and Word. The Springbrook financial system does offer modules that would manage budget and CAFR production which would help provide consistency and operational efficiencies resulting from the elimination of manual processes that increase the potential for human error. The City updated the Springbrook software two years ago but not all potential users were trained to use the upgraded system. Additionally, per various discussion, it seems even the individuals trained on the upgraded system were not trained on all of the capabilities of the system. Consequently, staff used the upgraded system as they did with the old system without taking advantage of the new system capabilities. Springbrook should be brought back to the City to provide training on all the modules and capabilities available on the upgraded system sold to the City. Additionally, all potential users should be trained—not just Finance Department staff. This will help to maximize efficiencies from the use of the system as well as help to determine if a different financial software system is needed.

Other Financial Software

The HDL, Global, U2U, Zendesk, CIS, and CityWorks systems are required to be used per the third-party company that the City contracts with to provide water and sewer billing and receipting services. The City should determine if there are any software updates for Global that would provide increased capabilities and efficiency.

The OpenGov system is a software package that is used by several cities to provide financial city information in a uniform format for the public.

2.3.3 Fiscal Policies

Citygate identified several written fiscal policies while reviewing various City documents. For the most part, however, the City severely lacks comprehensive, formal, written fiscal and other policies. The budget document, for example, contains fiscal policies that consist primarily of policy statements, such as balanced budget requirement, General Fund reserves, debt, and financial management. Citygate also found an outdated and incomplete Administrative Policy Manual (APM). This APM is in a format that is more in-line with what Citygate has seen and believes is more informative and useful. The format typically includes:

- ◆ The policy title
- ◆ The policy purpose
- ◆ The names of applicable forms

- ◆ The policy authorization
- ◆ The policy description
- ◆ The policy details who, what, when, how

The establishment of an accounting manual is a GFOA best practice. The recommendation from the GFOA website follows.

GFOA Best Practice Recommendation:

Every government should document its accounting policies and procedures. Traditionally, such documentation has taken the form of an accounting policies and procedures manual. Thanks to advances in technology, even more effective methods are now also available for this purpose.

An appropriate level of management to emphasize their importance and authority should promulgate accounting policies and procedures. The documentation of accounting policies and procedures should be evaluated annually and updated periodically, no less than once every three years, according to a predetermined schedule. Changes in policies and procedures that occur between these periodic reviews should be updated in the documentation promptly as they occur. A specific employee should be assigned the duty of overseeing this process. Management is responsible for ensuring that this duty is performed consistently.

The documentation of accounting policies and procedures should be readily available to all employees who need it. It should delineate the authority and responsibility of all employees, especially the authority to authorize transactions and the responsibility for the safekeeping of assets and records. Likewise, the documentation of accounting policies and procedures should indicate which employees are to perform which procedures. Procedures should be described as they are actually intended to be performed rather than in some idealized form. Also, the documentation of accounting policies and procedures should explain the design and purpose of control related procedures to increase employee understanding of and support for controls.⁵

⁵ <http://www.gfoa.org/best-practices>

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SECTION 3—BENCHMARKING INFORMATION

3.1 COMPARATIVE CITY SELECTION APPROACH

Citygate identified 15 common data points that are easily accessible from the websites of the various comparison agencies. The data points were as follows:

- ◆ Population (State Department of Finance E-1)
- ◆ Total Budget (Rounded) (Excludes Successor Agencies)
- ◆ General Fund Budget (Rounded)
- ◆ Projected General Fund Balance (Rounded)
- ◆ Finance Department Budget (All Funds Excluding Debt and Non-Departmental)
- ◆ Finance Department Staff # (All Funds)
- ◆ Finance Department Positions Titles (Full-Time – All Funds)
- ◆ Total Agency Full-Time Staff
- ◆ Total Agency Personnel Cost (Rounded)
- ◆ Finance Department Personnel Cost (Rounded)
- ◆ Finance Department Span of Control (Maximum Supervisor to Subordinate Ratio)
- ◆ Average Annual Personnel Cost per Employee in Finance Department
- ◆ Budgeted General Fund Operating Deficit (Yes or No)
- ◆ Agency Square Mileage
- ◆ Agency Median Household Income

The comparable cities were selected based on three criteria: cities throughout California with comparable populations, cities that are neighbors to the City of South Pasadena, and cities used by the City of South Pasadena in other comparison studies for areas such as employee compensation. Based on these criteria, the following 17 cities were selected.

- ◆ **Population Based:** Norco, Paradise, Lemon Grove, Twenty-Nine Palms
- ◆ **Neighboring Cities:** San Marino, Alhambra, San Gabriel, Pasadena, Monterey Park, Rosemead
- ◆ **Previously Used for Other Comparisons:** El Monte, Arcadia, Burbank, Covina, LaVerne, Monrovia, West Covina

3.2 RESULTS OF BENCHMARKING

3.2.1 Population Based Benchmarks

Norco, Paradise, Lemon Grove, Twenty-Nine Palms

The following table shows a comparison of the key data points for the City of South Pasadena and the average of the comparable population cities selected.

Table 6—Population Based Benchmarks

FY 17/18 Data Point	South Pasadena	Comparable Cities Average
Population (State Department of Finance E-1)	25,992	26,609
Total Budget (Rounded) (Excludes Successor Agencies)	58,700,000	26,525,000
General Fund Budget (Rounded)	27,400,000	13,903,724
Projected General Fund Balance (Rounded)	11,100,000	7,195,000
Finance Department Budget (All Funds Excluding Debt and Non-Departmental)	1,840,000	701,278
Finance Department Staff # (All Funds)	9	6
Total Agency Full-Time Staff	147	53
Total Agency Personnel Cost (Rounded)	21,200,000	7,866,667
Finance Department Personnel Cost (Rounded)	990,000	447,226
Finance Department Span of Control (Maximum Supervisor to Subordinate Ratio)	1 to 6	1 to 5
Average Annual Personnel Cost per Employee in Finance Department	110,000	65,309
Budgeted General Fund Operating Deficit (Yes or No)	No	Mixed
Agency Square Mileage	3.41	23.82
Agency Median Household Income	80,479	54,963

3.2.2 Neighboring Cities Benchmarks

San Marino, Alhambra, San Gabriel, Pasadena, Monterey Park, Rosemead

The following table shows a comparison of the key data points for the City of South Pasadena and the average of the neighboring cities selected.

Table 7—Neighboring Cities Benchmarks

FY 17/18 Data Point	South Pasadena	Comparable Cities Average (Excluding Pasadena)
Population (State Department of Finance E-1)	25,992	51,636
Total Budget (Rounded) (Excludes Successor Agencies)	58,700,000	70,260,000
General Fund Budget (Rounded)	27,400,000	37,640,000
Projected General Fund Balance (Rounded)	11,100,000	14,740,000
Finance Department Budget (All Funds Excluding Debt and Non-Departmental)	1,840,000	1,772,175
Finance Department Staff # (All Funds)	9	11
Total Agency Full-Time Staff	147	198
Total Agency Personnel Cost (Rounded)	21,200,000	32,447,040
Finance Department Personnel Cost (Rounded)	990,000	1,238,250
Finance Department Span of Control (Maximum Supervisor to Subordinate Ratio)	1 to 6	1 to 3
Average Annual Personnel Cost per Employee in Finance Department	110,000	109,919
Budgeted General Fund Operating Deficit (Yes or No)	No	No
Agency Square Mileage	3.41	6
Agency Median Household Income	80,479	65,616

3.2.3 Previously Used Comparator Agency Benchmark

El Monte, Arcadia, Burbank, Covina, LaVerne, Monrovia, West Covina

The following table shows a comparison of the key data points for the City of South Pasadena and the average of the comparable cities used by the City for past comparisons.

Table 8—Previously Used Comparator Agency Benchmarks

FY 17/18 Data Point	South Pasadena	Comparable Cities Average (Excluding Burbank & El Monte)
Population (State Department of Finance E-1)	25,992	57,400
Total Budget (Rounded) (Excludes Successor Agencies)	58,700,000	91,774,600
General Fund Budget (Rounded)	27,400,000	46,472,120
Projected General Fund Balance (Rounded)	11,100,000	9,471,800
Finance Department Budget (All Funds Excluding Debt and Non-Departmental)	1,840,000	3,461,920
Finance Department Staff # (All Funds)	9	12
Total Agency Full-Time Staff	147	247
Total Agency Personnel Cost (Rounded)	21,200,000	40,911,646
Finance Department Personnel Cost (Rounded)	990,000	1,562,240
Finance Department Span of Control (Maximum Supervisor to Subordinate Ratio)	1 to 6	1 to 5
Average Annual Personnel Cost per Employee in Finance Department	110,000	117,865
Budgeted General Fund Operating Deficit (Yes or No)	No	Mixed
Agency Square Mileage	3.41	11
Agency Median Household Income	80,479	71,882

Additional detail from the previous three tables is provided in **Appendices 3, 4, and 5**, respectively.

SECTION 4—FUTURE FINANCIAL MANAGEMENT CHALLENGES

4.1 FUTURE FINANCE DEPARTMENT CHALLENGES

There is always a learning curve for a new finance director of a city. The City of South Pasadena hired Citygate to provide an analysis to help shorten that learning curve by providing a basic overview and review of the Finance Department to assist the new director in acclimating to the Department more quickly. This report will also help the new director identify and prioritize issues to develop action plans. What follows are some of the management challenges. This list is by no means intended to be all inclusive. There are numerous challenges looming for finance departments in the upcoming years, including infrastructure backlogs and funding, state and federal laws, economic downturns, potential labor issues, etc. The following items are some of the more obvious.

4.1.1 Revenue Challenges

General Fund revenues have an average annual growth of approximately \$850,000, or 3.4 percent, over the last five fiscal years. However, a Utility Users Tax (UUT) repeal ballot measure has qualified for the November 2018 ballot. The UUT is based on a tax on utilities of 7.5 percent and brings in approximately \$3.4 million, or 13 percent, of General Fund revenues. If the measure were to pass, services would need to be significantly reduced to maintain a healthy General Fund with appropriate reserves.

4.1.2 Rising CalPERS Costs

In an effort to maintain the fiscal health of the CalPERS retirement system, CalPERS has implemented several changes that have increased pension costs and, in some cases, reduced future benefits. Each member of CalPERS contracts with the system to provide a level of benefits. For the City, as with most CalPERS member agencies, the level of benefits is developed through labor negotiations with the agency's various labor groups. Using various actuarial assumptions and methodologies, CalPERS develops the cost to provide the benefit level desired by the City. Adverse changes to these actuarial assumptions and methodologies implemented by CalPERS over the past few years will significantly impact pension costs for all CalPERS member agencies. One of the significant adverse assumption changes is the CalPERS board's decision to lower its assumed discount rate. The discount rate represents the rate CalPERS assumes it will earn on its investments. The lower the assumed earnings rate, the lower the assumed asset growth available to cover anticipated pension costs. In December 2016, the CalPERS board voted to lower the assumed discount rate from 7.5 percent to 7 percent using a three-year phase-in beginning with the June 30, 2016 actuarial valuations.

Based on the rates provided by CalPERS, for FY 18/19 alone, this phased-in assumptions change will increase pension cost for the City by approximately \$550,000 in the General Fund.

4.1.3 Process Improvement Development and Implementation

In reviewing the Department information for prior fiscal years, Citygate found that several of the operational issues identified in this report, such as policies and procedures, had been addressed in past years. Unfortunately, the information and previous procedures are scattered through numerous folders throughout the Finance system and had not been updated in several years. They are also not always in a format that is currently used. Although this is not ideal, it at least provides some basis on which to build and update to address some of the issues identified by the Finance Department review. Benefiting from this information, however, will require extensive review, research, and consolidation to create a useful manual that can be adopted by the City.

Finding #36: An extensive amount of information addressing policies and procedures are included in the Finance Department file on the financial system which could be used as a basis to address current operational issues. The information, however, is in various forms and locations and in some cases in a format not currently used.

Recommendation #43: Given the current staffing level and workload, the City should hire a third party to develop a comprehensive policies and procedures accounting manual. This will provide a solid basis from which to minimize operational inefficiencies, enhance internal control, and reduce confusion throughout the City.

Recommendation #44: An external team-building consultant should be hired by the City once the new Finance Director is hired to help identify and address issues and expectations in advance and develop action plans to help maximize the morale and productivity of the Department.

SECTION 5—SUMMARY OF FINDINGS / RECOMMENDATIONS / NEXT STEPS

The following matrix contains the findings and recommendations identified during this engagement. The matrix also provides priority levels which suggest implementation timeframes.

The priorities are coded as follows:

- ◆ A – Should be implemented within 90 days
- ◆ B – Should be implemented within 6 months
- ◆ C – Should be implemented within 1 year
- ◆ D – Should be explored within 1 year to determine appropriate implementation due to cost determination, funding, expertise, or other factors not readily available

Table 9—Findings and Recommendations with Priority Ranking

Findings	Finding Description	Recommendations	Recommendation Description	Priority
Finding #1:	Department staff lack continued and effective training and internal cross-training to help ensure operational consistency in emergency circumstances, as well as the confidence to reject transactions that they believe are contrary to policy/procedure.	Recommendation #1:	Establish a formal training program that requires staff to participate in regular training and internal cross-training. This should be mandatory training and should be included in the various employee evaluation goals. A mechanism (e.g., short quiz) should be developed and taken by the employee after the training to help ensure that the training was understood. As a part of the internal cross-training, employees should be instructed regarding how to report concerns of potential violation of policy/procedures direction without fear of retaliation.	C
Finding #2:	City staff has not been adequately trained on the capabilities of the City's financial software system to determine if it meets the needs of the City.	Recommendation #2:	Retrain and/or train all applicable employees who will benefit from the use of Springbrook to determine if the system is adequate for the needs of the Finance Department and other City departments. This training should be mandatory for all applicable employees.	C
Finding #3:	The Department is not providing consistent helpful service to other departments.	Recommendation #3:	A policy and procedures manual should be developed and/or updated.	C
		Recommendation #4:	All departments should provide input on the policy and procedures manual; however, the manual should be developed based on best practice standards.	C
		Recommendation #5:	The completed policy and procedures manual should be presented to the City Council and all City employees so that everyone is aware that adherence to the new policies and procedures is mandatory.	C
Finding #4:	The City has not processed a formal month-end or quarter-end close in several years, and no formal period-closing written procedures were found.	Recommendation #6:	A formal written set of procedures should be developed and a formal month-end review for all funds, or at least a mid-year budget review, should be completed every fiscal year. This will help identify potential issues in time to develop strategies to address these issues. This procedure will also help when performing budget projections for current and future budget years.	B
Finding #5:	The City uses Microsoft Excel spreadsheets to develop the budget and the Springbrook financial system for other financial activity, which increases the amount of time required to develop the budget.	Recommendation #7:	A formal budget module should be utilized to follow best practices and minimize manual processes and the time required to develop the budget, in addition to reducing the potential for human error. The Springbrook system has a formal budget model that is compatible with its other financial modules that would substantially reduce the amount of time required and the chance of human error when developing the budget.	B

Findings	Finding Description	Recommendations	Recommendation Description	Priority
Finding #6:	Repeat management letter recommendations over multiple fiscal years were not addressed, and no written response or plan of action was completed and reviewed by the City Manager.	Recommendation #8:	The Comprehensive Annual Financial Report (CAFR), management letter, and all other reports generated from the annual audit, once finalized, should be reviewed by the City Manager and presented to the City Council. This will ensure that the City is aware of potential financial issues and that a plan has been developed to address the issues.	B
		Recommendation #9:	Discuss the audit expectations with the external auditor during an entrance conference before the audit field work begins. One of the expectations should be that the CAFR, management letter, and all other reports associated with the audit, once finalized, are sent directly to the City Manager in addition to the Finance Director. The final documents should be presented to the City Council after final review by the City Manager.	A
		Recommendation #10:	A formal written response and plan of action to address the FY 16/17 management letter comments should be produced and presented with the FY 17/18 audit.	B
		Recommendation #11:	Auditor should complete a formal internal control questionnaire each year of the engagement to help identify potential weaknesses and areas on which to concentrate during the audit.	B
		Recommendation #12:	Future audits should include a more in-depth review of the City's golf course and stable operations to identify any operational issues.	B
Finding #7:	There is no formal written fraud policy to report potential fraud.	Recommendation #13:	Develop a formal written fraud policy that identifies the process to report fraud. The policy should include the creation of a website for individuals, including City staff, to anonymously report fraud or potential fraud and the steps in place to ensure the reports are investigated.	A
Finding #8:	Due to lack of cross-training, only one employee knows how to process a full City payroll.	Recommendation #14:	The full cross-training of the Management Assistant should be completed more quickly. Planned overtime should be considered to expedite completion of the training. Additionally, the Management Assistant should periodically complete an increasing portion of an actual full payroll after the training to ensure it has been effective. Implementation of this recommendation will help to minimize loss of process continuity in the case of emergencies, as well as relieve some of the burden felt by the Payroll Coordinator that limits earned time off.	A

Findings	Finding Description	Recommendations	Recommendation Description	Priority
Finding #9:	Separation of duties between Payroll and Human Resources responsibilities is lacking, which weakens internal control.	Recommendation #15:	The Payroll staff should be retrained on the capabilities of the existing Springbrook payroll module. The training should be mandatory and part of the annual evaluation goals, which will help minimize the potential of employees continuing to use the old, ineffective processes without consequences. Implementation of this recommendation will help to identify current manual processes that may be automated in the payroll module, thus reducing processing time and manual calculation errors. This recommendation could also delay the need for additional employees because of the increased productivity.	A
Finding #10:	There are too many manual processes in the payroll process, which increases the time required to complete a payroll and the chance of human error. This is partially due to the uncertainty concerning the capabilities of the Springbrook payroll module.	Recommendation #16:	A schedule of responsibilities should be developed for the Payroll and Human Resources functions of the City. This schedule of responsibilities should follow best practices, including a clear delineation. Human Resources is responsible for employee creation, benefits, and changes relating to pay; Payroll is responsible for creation of the employee check and all other processes relating to the check process, including deductions, payroll tax and retirement processing, report processing relating to employees checks, etc. Implementation of this recommendation will improve internal control and comply with best practice by minimizing the risk of the accidental or fraudulent creation and payment of fictitious employees.	A
Finding #11:	Adequate equipment to fully automate the payroll process is lacking.	Recommendation #17:	The City should invest in the purchase of a folder/stuffer machine to reduce the time spent on folding checks and paystubs and inserting them into envelopes for distribution. Implementation of this recommendation will not only reduce the time required by the Payroll Coordinator but also the time spent by other employees who perform similar duties.	A
Finding #12:	Payroll employee(s) are not consistently obtaining payroll-related training to keep up with changing payroll-related laws, rules, and regulations.	Recommendation #18:	Payroll employees should be encouraged to attend payroll-related training to remain knowledgeable concerning payroll laws. Implementation of this recommendation will improve employee productivity through the reduction of errors caused by lack of knowledge regarding payroll matters. Another benefit is the potential improvement in confidence and morale of the employee due to reduced frustration of feeling uninformed.	A
Finding #13:	No written authorization was located that authorized the City to operate a decentralized purchasing process.	Recommendation #19:	As an additional check and balance, the City should consider including a step in the Accounts Payable process that contains a sampling of vendors from each Accounts Payable register to compare authorized signatures, W9 information, and purchase order reference, if applicable.	A

Findings	Finding Description	Recommendations	Recommendation Description	Priority
Finding #14:	The procurement and payment approval process is manual, requiring pieces of paper to be routed throughout the City, and they are frequently lost or misplaced, requiring extra time to process.	Recommendation #20:	Cross-training, external training, and increased automation is also needed in the Accounts Payable function to improve productivity and morale.	A
Finding #15:	City staff lack the knowledge of what capabilities the Springbrook financial system has to help improve productivity.	Recommendation #21:	A policy should be developed to encourage Accounts Payable staff to ask questions if they believe a direction from the Finance Director is contrary to City policy as they know it. This policy should include language that protects staff if they refuse to process something that they know is against policy.	A
Finding #16:	There is no signature authorization log with formal validation of the authorized signatures that could be cross-checked to help identify unauthorized payment requests.	Recommendation #22:	One way to minimize the issue of omitting the creation of a 1099 erroneously is to run an Accounts Payable payment report by vendor and compare to the 1099 report generated by the financial system.	B
Finding #17:	There is no formal written budget override authorization policy.	Recommendation #23:	A formal written purchasing card policy should be developed that includes allowable uses of the card and penalties for misuse. All users and potential users of purchasing cards should be required to attend training on the purchasing card policy and be made aware of consequences of not adhering to the policy. The Finance Department should establish a monitoring process to ensure policy compliance.	A
Finding #18:	There is no back-up for the current Accounts Payable staff.			
Finding #19:	Per Accounts Payable staff, the direction of the Finance Director is not questioned, even if staff knows that the direction is a violation of policy.			
Finding #20:	There is not a process in place for double-checking 1099 production to ensure all required 1099s are produced.			
Finding #21:	There is no formal written purchasing card policy.			
Finding #22:	Staff are using an outdated business license system which prohibits the provision of the most efficient service to businesses.	Recommendation #24:	City should update to the new HDL system and contract with HDL to use its remote business licensing program permanently. This will significantly reduce the workload of the two Senior Account Clerks, allowing the positions to be repurposed or eliminated to generate funding for other positions discussed in the restructuring recommendations in this report.	A
Finding #23:	The City does not have business licensing inspectors assigned to the Finance Department and relies on the fire inspection process to identify unlicensed businesses.	Recommendation #25:	The City should contract with a company such as HDL or MuniServices to provide a business canvassing program to detect unlicensed businesses. The benefits of this recommendation are the identification of unlicensed business which are receiving an unfair advantage over compliant businesses, an increase in City revenue, and an increase in the accuracy of the business database.	B

Findings	Finding Description	Recommendations	Recommendation Description	Priority
Finding #24:	The City's business licensing ordinance, although not unique, is overly complicated for business licensing calculation.	Recommendation #26:	The business license ordinance should be reviewed and revised to reduce complexities of business license fee calculation and business categorization. This will benefit the City by potentially allowing businesses to calculate their fees themselves to speed up receipt of payment and reduce administration time.	C
Finding #25:	There is no formal automated accounts receivable process.	Recommendation #27:	Development of a formal automated accounts receivable process should be completed. The process should contain an authorization form (billing advice) that must be approved before a bill is generated. Also, the process should include an approval procedure in the Finance Department to minimize erroneous or fraudulent billings. Additionally, the accounts receivable process should be automated using the current accounts receivable module in the Springbrook financial system, if available, or some other automated system. The City should also contract with an external collection agency to assist in collection of seriously delinquent receivables. This recommendation will formalize the accounts receivable system and improve timeliness of revenue recognition and minimize billing errors.	B
Finding #26:	No evidence was found of a formal month-end or quarter-end accounting period closing in recent fiscal years.	Recommendation #28:	Reestablish a formal process for accounting period closing on at least a monthly basis. This recommendation will help gauge where operations are heading and allow for the development of strategies to address issues before the end of the fiscal year. It will also provide a consistent tool to help with operational projections.	A
Finding #27:	The City does not have a formal written debt collection policy.	Recommendation #29:	A formal debt collection policy should be developed. The policy should include the internal steps the City will take before delinquency is sent to a collection agency, which charges a fee. Also, the City should enforce the contract requirement that the collection agency submit monthly activity reports to the City so that the collection agency effectiveness can be monitored.	B
Finding #28:	Monthly bank reconciliations have been consistently behind for the past three fiscal years. Although this fact has been commented on in management letters for the past fiscal years' audits, the management letters and audits were not made available by the Finance Director or the auditors to the City Manager's Office or the City Council prior to being included on the City's website.	Recommendation #30:	As a policy, final audits should be reviewed by the City Manager and presented to the City Council. Also, the City Council should be presented with responses and a plan to address the management letter comments of the audit. This will ensure that the City is aware of potential issues and current finances, which will allow the City to make more informed decisions. The City should review its current contract with the external auditor to ensure that the information of the audit is disseminated correctly.	B

Findings	Finding Description	Recommendations	Recommendation Description	Priority
Finding #29:	The City does not have a formal cash receipting/handling policy.	Recommendation #31:	A formal cash receipting/handling policy needs to be developed. The policy should include procedures that all City departments must follow if cash is handled and the way cash shortages/overages and petty cash are managed. Numerous municipal finance organizations, such as the GFOA and CSMFO, have sample policies which the City could adopt.	A
Finding #30:	The City does not prepare a cash flow analysis on an on-going basis.	Recommendation #32:	A cash flow analysis should be prepared monthly to assist in maximizing investment return and to ensure liquidity.	A
Finding #31:	Staff leaves the safe open during the day due to a faulty safe combination mechanism.	Recommendation #33:	The City should invest in repairing the safe in the Finance Department vault room. This will allow the safe to be closed and locked when not in use during the day and increase cash security.	A
Finding #32:	The City does not have a formal petty cash policy that is enforced.		**** See Recommendation #31	A
Finding #33:	Athens contract language for refuse calculation and remittance is vague.	Recommendation #34:	Amend the Athens contract language to clearly state how payments due to the City will be calculated and remitted.	B
		Recommendation #35:	Consider placing a kiosk in the lobby through which customers can perform simple transactions instead of waiting in line. This would provide some relief to staff and allow them to work on other back-logged areas.	D
Finding #34:	The investment policy meets GFOA best practice.	Recommendation #36:	Review and revise applicable policies/procedures to ensure that they are in compliance with the City's investment policy.	A
		Recommendation #37:	City should develop a formal cash flow analysis process to ensure that investment of idle cash is maximized.	B
		Recommendation #38:	The filming function should remain in the Finance Department unless the FTE is replaced in the Finance Department. Although this arrangement is unusual, the backup responsibilities managed by the FTE including phones, counter work, and other coverage duties is very helpful in addressing operational and customer service needs. However, the title of Film Coordinator should be change to Management Assistant to incorporate the other duties being performed in the Finance Department.	C
		Recommendation #39:	Update the City's Master Fee Schedule for all fees, including filming permit fees to ensure that the City is charging appropriately for all applicable services.	C
Finding #35:	The City does not have a process for departments to develop goals and objectives to support the City's mission statement and core values.	Recommendation #40:	Develop a process that requires departments to develop goals and objectives that support the City's mission statement and core values. The will help the Finance Department and other departments demonstrate their individual plan to meet the City's direction.	C

Findings	Finding Description	Recommendations	Recommendation Description	Priority
		<p>Recommendation #41:</p>	<p>The City should consider restructuring the divisions and some of the positions in the Finance Department. The following is a list of suggested division and position restructures. Implementation of this recommendation will bring the City of South Pasadena in-line with comparable cities, which could help in recruitment and internal cross-training.</p> <p>41.1 Change Assistant Finance Director position to Fiscal Services Manager. The duties would be pretty much the same as those in the current job description with the additional of contract monitoring on a Citywide basis to help adherence to contracting policies.</p> <p>41.2 Change unique positions such as Film Liaison and Payroll Coordinator to more generally title positions where the duties can be customized as needed. An example would be to identify Account Technicians in a series (i.e., Account Technician I, Account Technician II, etc.). The current Account Technician handling accounts payable would also be included in this Account Technician series. This would assist in recruitment and encourage cross-training and sharing of ideas between like positions.</p> <p>41.3 If the City decides to contract with HDL to permanently administer the business license program approximately 50 percent of the workload for each of the Senior Account Clerk positions would be eliminated. The City should consider eliminating the Senior Account Clerk positions and creating position of Customer Service Representatives. Duties would include primary counter support and administration support of the contracted billing functions; including water and sewer, refuse, cash receipting. The savings from the elimination of two Senior Account Clerks and the creation of a Customer Services Representative could pay for the majority of an Accountant position to help maintain up to date bank reconciliations journal vouchers, month-end, quarter-end, and year-end general ledger closing procedures, the CAFR, etc. to ensure that the other departments and City Council have current and accurate financial information on which to base decisions.</p> <p>41.4 Since there are currently other Management Assistants within the City and the job descriptions contain clerical and counter-related duties, it is recommended that this position remain as is.</p> <p>The division restructure would consist of the following:</p> <p>Administration: Finance Director, Fiscal Services Manager, Management Assistant</p> <p>Accounting: Account Technician II-Payroll, Account Technician I – Accounts Payable, (2) Accountant I,</p> <p>Revenue Management: Customer Service Representative, Account Technician II</p>	<p>C</p>

Findings	Finding Description	Recommendations	Recommendation Description	Priority
		Recommendation #42:	Create a position within the City Manager's office that would oversee special Citywide operational improvement projects. This would benefit the City by providing resources that could be dedicated to various special projects as necessary to improve Citywide organizational effectiveness. This position could also assist the Finance Department with periodic finance-related projects and help to monitor Departmental adherence to the City's financial policies. Potential titles for this position include Organizational Effectiveness Manager or Operational Improvement Manager. The position should be at a City management team level to interact with department heads as necessary.	B
Finding #36:	An extensive amount of information addressing policies and procedures are included in the Finance Department file on the financial system which could be used as a basis to address current operational issues. The information, however, is in various forms and locations and in some cases in a format not currently used.	Recommendation #43:	Given the current staffing level and workload, the City should hire a third party to develop a comprehensive policies and procedures accounting manual. This will provide a solid basis from which to minimize operational inefficiencies, enhance internal control, and reduce confusion throughout the City.	C
		Recommendation #44:	An external team-building consultant should be hired by the City once the new Finance Director is hired to help identify and address issues and expectations in advance and develop action plans to help maximize the morale and productivity of the Department.	C

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APPENDICES 1–5

- Appendix 1** Multi-Year Budget Versus Actual – General Fund – Expenditures by Department
- Appendix 2** Multi-Year Budget Versus Actual – General Fund – Expenditures by Category
- Appendix 3** Benchmark Agency Comparisons – Population-Based
- Appendix 4** Benchmark Agency Comparisons – Neighboring Cities
- Appendix 5** Benchmark Agency Comparisons – Previously Used Comparator Agencies

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Appendix # 1 (CONFIDENTIAL DRAFT REPORT) (UNDER ATTORNEY-CLIENT PRIVILEGE)

Multi-Year Budget versus Actual - General Fund Expenditures by Department

Revenue Categories	FY 12/13 Budget	FY 12/13 Actual	Variance	FY 13/14 Budget	FY 13/14 Actual	Variance	FY 14/15 Budget	FY 14/15 Actual	Variance	FY 15/16 Budget	FY 15/16 Actual	Variance	FY 16/17 Budget	FY 16/17 Actual	Variance	FY 17/18 Budget
Taxes																
Property Taxes	10,222,500	11,074,604	852,104	10,968,710	11,462,586	493,876	11,915,770	11,990,074	74,304	12,425,748	12,632,984	207,236	13,196,987	13,236,832	39,845	13,664,979
Library Special Tax		231,880	231,880	-	231,867	231,867	230,000	232,388	2,388	230,000	231,645	1,645	306,000	309,886	3,886	312,120
Sales Tax	2,006,000	2,207,696	201,696	2,180,410	2,350,781	170,371	2,277,240	2,414,498	137,258	2,531,000	2,635,968	104,968	2,525,667	2,456,666	(69,001)	2,625,000
Utility Users Taxes	3,499,900	3,562,216	62,316	3,661,040	3,486,776	(174,264)	3,719,000	3,423,217	(295,783)	3,660,000	3,414,827	(245,173)	3,500,000	3,381,948	(118,052)	3,430,000
Franchise Fees / Other Taxes	758,500	941,358	182,858	760,519	932,740	172,221	883,100	1,024,898	141,798	919,000	1,000,664	81,664	1,004,000	1,019,207	15,207	960,000
Total Taxes	16,486,900	18,017,754	1,530,854	17,570,679	18,464,550	893,871	19,025,110	19,085,075	59,965	19,765,748	19,916,088	150,340	20,532,654	20,404,539	(128,115)	20,992,099
Licenses and Permits	915,200	950,256	35,056	1,035,200	933,816	(101,384)	985,820	1,010,779	24,959	1,004,900	1,056,357	51,457	1,006,440	4,926,940	4,979,791	52,851
Fines and Forfeitures	505,000	523,629	18,629	530,000	412,748	(117,252)	530,000	347,585	(182,415)	332,000	444,556	112,556	366,000	397,738	31,738	367,000
Use of Money and Property	401,120	456,581	55,461	379,420	483,839	104,419	386,070	520,879	134,809	488,384	681,073	192,689	560,585	541,749	(38,836)	632,671
Other Agencies	45,000	60,893	15,893	35,000	290,586	255,586	34,000	439,733	405,733	17,000	136,328	119,328	15,000	76,386	61,386	67,000
Current Services	2,044,450	2,208,447	163,997	2,090,625	2,629,229	538,604	2,415,000	2,974,124	559,124	2,398,810	2,805,481	406,671	2,413,500	2,913,908	500,408	2,386,050
All Other Revenues / Transfers In	1,334,789	860,554	(474,235)	1,090,948	1,130,988	40,040	748,778	810,357	61,579	742,155	1,477,945	735,790	709,382	965,505	256,123	680,382
Total Revenues	21,732,459	23,078,114	1,345,655	22,731,872	24,345,766	1,613,894	24,124,778	25,188,532	1,063,754	24,729,917	26,490,054	1,760,137	25,622,021	26,356,182	734,161	26,734,642
Expenditure Departments	FY 12/13 Budget	FY 12/13 Actual	Variance	FY 13/14 Budget	FY 13/14 Actual	Variance	FY 14/15 Budget	FY 14/15 Actual	Variance	FY 15/16 Budget	FY 15/16 Actual	Variance	FY 16/17 Budget	FY 16/17 Actual	Variance	FY 17/18 Budget
City Council	54,481	43,375	11,106	58,531	48,059	10,472	61,103	51,726	9,377	63,143	53,999	9,144	65,775	42,195	23,580	66,388
Management Services																
City Manager	895,980	878,794	17,186	881,101	851,169	29,932	930,330	830,416	99,914	809,637	743,916	65,721	955,009	918,115	36,894	971,844
City Clerk	389,387	283,674	105,713	402,369	337,626	64,743	374,590	366,552	8,038	428,550	393,222	35,328	443,823	464,113	(20,290)	483,822
Elections	650	311	339	157,100	49,214	107,886	750	1,287	(537)	124,550	84,149	40,401	3,600	3,600	0	8,600
Human Resources	125,400	287,113	(161,713)	166,004	289,468	(123,464)	221,275	247,364	(26,089)	171,275	113,228	58,047	171,300	248,127	(76,827)	219,400
Transportation Planning	272,000	110,202	161,798	209,000	71,322	137,678	187,800	222,373	(34,573)	187,300	205,599	(18,299)	187,000	54,926	132,074	187,000
Legal Services	235,000	314,304	(79,304)	235,000	421,647	(186,647)	255,000	255,007	(7)	255,000	261,455	(6,455)	265,000	257,586	7,414	265,000
Information Systems	-	-	-	189,200	215,122	(25,922)	300,100	302,807	(2,707)	410,597	407,339	3,258	490,990	487,297	3,693	490,405
Total Management Services	1,918,417	1,874,398	44,019	2,239,774	2,235,568	4,206	2,269,845	2,225,806	44,039	2,386,909	2,188,908	198,001	2,516,732	2,430,164	86,568	2,605,711
Finance	630,439	646,666	(16,227)	505,065	519,087	(14,022)	538,039	653,960	(115,921)	653,370	619,109	34,261	724,891	643,951	80,940	708,802
City Treasurer	8,722	9,201	(479)	8,722	9,229	(507)	9,349	9,291	57	9,290	9,295	(5)	9,452	9,380	72	9,249
Non-Departmental	1,663,589	2,765,420	(1,101,831)	1,614,589	1,214,766	399,823	1,001,397	852,559	148,838	823,956	886,536	(62,580)	833,460	947,865	(114,405)	918,378
Police	6,777,355	6,963,840	(186,485)	6,643,275	6,891,989	(248,714)	7,004,881	7,198,511	(193,630)	7,774,979	7,529,818	245,161	8,295,102	8,419,495	(124,393)	8,620,012
Fire	4,063,814	3,894,732	169,082	3,982,028	3,694,504	287,524	4,055,747	4,467,061	(411,314)	4,563,570	4,663,256	(99,686)	5,021,470	5,055,199	(33,729)	4,627,889
Public Works	1,694,873	1,353,135	341,738	1,876,317	1,488,000	388,317	1,988,776	1,600,179	230,597	1,864,682	1,726,377	138,305	2,032,394	1,680,259	352,135	2,075,523
Planning and Building	937,848	898,710	39,138	952,515	911,870	40,645	948,210	1,093,878	(145,668)	956,927	1,002,540	(45,613)	1,101,334	1,158,096	(56,762)	1,099,492
Library	1,525,231	1,436,922	88,309	1,533,654	1,498,617	35,037	1,537,832	1,533,840	3,992	1,574,832	1,473,447	101,385	1,706,157	1,525,469	180,688	1,716,477
Community Services	926,194	951,521	(25,327)	950,836	1,008,093	(57,257)	1,086,833	1,190,090	(103,257)	1,162,437	1,184,964	(22,527)	1,327,877	1,256,997	70,880	1,452,386
OIP	1,555,000	942,191	612,809	4,335,248	2,841,547	1,493,701	2,855,000	2,473,270	381,730	2,189,500	2,728,182	(538,682)	100,000	483,614	(383,614)	1,620,000
Miscellaneous / Transfers Out	622,000	984,062	(362,062)	168,371	406,598	(238,227)	582,497	596,137	(13,640)	640,539	676,460	(35,921)	3,311,061	5,473,409	(2,162,348)	1,900,000
Total Expenditures	22,377,963	22,764,173	(386,210)	24,868,925	22,767,927	2,100,998	23,781,508	23,946,308	(164,800)	24,664,134	24,742,891	(78,757)	27,045,695	29,126,093	(2,080,398)	27,420,307
Net Operating Income/(Loss)	(645,504)	313,941	959,445	(2,137,053)	1,577,839	3,714,892	343,270	1,242,224	898,954	65,783	1,747,163	1,681,380	(1,423,674)	(2,769,911)	(1,346,237)	(685,665)

FY 13 Through FY 17 Cumulative Total		
Budget	Actual	Variance
58,729,715	60,397,080	1,667,365
766,000	1,237,466	471,466
11,520,317	12,065,809	545,292
18,039,940	17,288,984	(770,956)
4,325,119	4,918,867	593,748
93,381,091	95,888,006	2,506,915
4,926,940	4,979,791	52,851
1,004,900	1,056,357	51,457
1,006,440	1,006,440	0
367,000	397,738	31,738
2,263,000	2,126,256	(136,744)
632,671	2,235,579	2,684,121
670,000	1,003,936	333,936
2,386,050	11,362,385	15,531,189
2,386,050	11,362,385	15,531,189
2,386,050	11,362,385	15,531,189
118,941,047	125,458,648	6,517,601
303,033	239,354	63,679
4,472,057	4,222,410	249,647
2,038,719	1,845,187	193,532
286,650	114,961	171,689
855,254	1,185,300	(330,046)
1,043,100	664,422	378,678
1,245,000	1,509,999	(264,999)
1,390,887	1,412,565	(21,678)
11,331,667	10,954,844	376,823
3,051,804	3,082,773	(30,969)
45,534	46,396	(862)
5,939,991	6,667,146	(727,155)
36,495,592	37,003,653	(508,061)
21,686,629	21,774,752	(88,123)
9,299,042	7,847,950	1,451,092
4,896,834	5,065,094	(168,260)
7,877,706	7,468,295	409,411
5,454,177	5,591,665	(137,488)
11,034,748	9,469,804	1,565,944
5,324,468	8,136,666	(2,812,198)
122,758,225	123,347,392	(609,167)

Appendix # 3 (CONFIDENTIAL DRAFT REPORT) (UNDER ATTORNEY-CLIENT PRIVILEGE)

Benchmark Agency Comparisons - Population-Based

FY 2017/18	South Pasadena	Four-City Average	Norco	Paradise	Lemon Grove	Twenty Nine Palms
Population (State Department of Finance E-1)	25,992	26,609	26,882		25,841	26,795
Total Budget (Rounded) (Excludes Successor Agencies)	58,700,000	26,525,000 *	38,200,000		28,300,000	25,200,000
General Fund Budget (Rounded)	27,400,000	13,903,724	20,400,000		12,614,895	13,200,000
Projected General Fund Balance (Rounded)	10,500,000	7,195,000 **	8,900,000		3,780,000	4,600,000
Finance Department Budget (All Funds Excluding Debt and Non-Departmental)	1,840,000	701,278	1,385,050		958,473	276,590
Finance Department Staff # (All Funds)	9	6	10		6	5
	Finance Director	-	Finance Officer	Administrative Services / Finance Director / Treasurer	Finance Manager	Finance Director
	Assistant Finance Director		Administrative Analyst	Financial Services Analyst	Account Analyst	Assistant Finance Director
	Management Analyst		Account Manager	Senior Accountant	Associate Accountant	Financial Technician
	Payroll Coordinator		Senior Accountant	Housing Program Supervisor	Licensed Clerk	
	Filing Liaison		(6) Account Clerks	Human Resources / Risk Management Manager	Office Aid	
	Account Technician			Information Technology Manager		
	Management Assistant					
	(2) Senior Account Clerks					
Total Agency Full-Time Staff	147	53	56		59	39
Total Agency Personnel Cost (Rounded)	21,200,000	7,866,667	7,000,000		10,200,000	6,400,000
Finance Department Personnel Cost (Rounded)	990,000	447,226	1,005,104		461,000	177,800
Finance Department Span of Control (Maximum Supervisor to Subordinate Ratio)	1 to 6	1 to 5	1 to 7		1 to 5	1 to 4
Average Annual Personnel Cost per Employee in Finance Department	110,000	65,309	100,510		76,833	35,560
Budgeted General Fund Operating Deficit (Yes or No)	No	-	Yes		No	No
Agency Square Mileage	3	24	14		18	4
Agency Median Household Income	80,479	54,963	85,142		41,482	52,339

* Operating budget only

** Estimated

Appendix # 4 (CONFIDENTIAL DRAFT REPORT) (UNDER ATTORNEY-CLIENT PRIVILEGE)
Benchmark Agency Comparisons - Neighboring Cities

FY 2017/18	Five-City Average (Excludes)				San Marino	Alhambra	San Gabriel	Pasadena	Monterey Park	Rosemead
	South Pasadena	Six-City Average	Pasadena	Pasadena						
Population (State Department of Finance E-1)	25,992	66,919	51,636	13,647	86,922	41,020	143,333	61,606	54,984	
Total Budget (Rounded) (Excludes Successor Agencies)	58,700,000	187,800,000	70,260,000	29,300,000	140,400,000	54,800,000	775,500,000	94,400,000	32,400,000	
General Fund Budget (Rounded)	27,400,000	72,066,667	37,640,000	21,800,000	66,100,000	37,200,000	244,200,000	40,700,000	22,400,000	
Projected General Fund Balance (Rounded)	10,500,000	20,166,667	14,740,000	20,500,000	16,400,000	3,400,000	47,300,000	15,500,000	17,900,000	
Finance Department Budget (All Funds Excluding Debt and Non-Departmental)	1,840,000	3,857,740	1,772,175	** Included in City Manager's Office	1,900,000	2,200,000	12,200,000	2,600,000	388,700	
Finance Department Staff # (All Funds)	9	22	11	-	15	9	68	15	4	
	Finance Director	-	-	-	Finance Director	Finance Director	Finance Director	Director of Management Services	Finance Director	
	Assistant Finance Director	-	-	-	Executive Assistant	Management Analyst	Management Analyst	(2) Account Clerk	Finance Services Supervisor	
	Management Analyst	-	-	-	Assistant Finance Director	(2) Fiscal Services Manager	Deputy Director / Treasurer	Accountant	Senior Account Specialist	
	Payroll coordinator	-	-	-	Account Manager	Accountant	(3) Senior Executive Assistant	Controller	Account Specialist	
	Filing Liaison	-	-	-	Purchasing Technician	Revenue Collections Administrator	(19) Account and Financial Analyst Div.	Payroll Technician		
	Account Technician	-	-	-	Revenue Supervisor	Payroll Specialist	(10) Fiscal Services Div.	(6) Senior Account Clerk		
	Management Assistant	-	-	-	Senior Account Clerk	(2) Finance Clerk II	(13) Purchasing & Printing Div.	Senior Accountant		
	(2) Senior Account Clerks	-	-	-	(5) Account Clerks	(20) Treasury and Cash Management Div.		Support Services Manager		
		-	-	-	(2) Cashiers			Support Services Supervisor		
		-	-	-	Information Services Manager					
Total Agency Full-Time Staff	147	527	198	102	335	194	2172	302	56	
Total Agency Personnel Cost (Rounded)	21,200,000	72,322,533	32,447,040	17,500,000	61,900,000	30,400,000	271,700,000	44,316,200	8,119,000	
Finance Department Personnel Cost (Rounded)	990,000	2,630,600	1,238,250	-	1,700,000	1,300,000	8,200,000	1,671,000	282,000	
Finance Department Span of Control (Maximum Supervisor to Subordinate Ratio)	1 to 6		1 to 3	-	1 to 6	1 to 2	1 to 19	1 to 6	1 to 3	
Average Annual Personnel Cost per Employee in Finance Department	110,000	112,053	109,919	-	113,333	144,444	120,588	111,400	70,500	
Budgeted General Fund Operating Deficit (Yes or No)	No	-	-	No	No	No	No	No	No	
Agency Square Mileage	3	9	6	4	8	4	23	8	5	
Agency Median Household Income	80,479	66,487	65,616	119,300	53,195	56,238	70,845	54,821	44,524	

** Four-city average (Excludes San Marino and Pasadena)

Appendix # 5 (CONFIDENTIAL DRAFT REPORT) (UNDER ATTORNEY-CLIENT PRIVILEGE)
Benchmark Agency Comparisons - Previously Used Comparator Agencies

FY 2017/18	South Pasadena	Five-City Average (Excludes Burbank and El Monte)		El Monte	Arcadia	Burbank	Covina	LaVerne	Monrovia	West Covina
		Seven-City Average	Monte							
Population (State Department of Finance E-1)	25,992	59,452	57,400	22,013	57,704	107,149	49,006	33,260	38,787	108,245
Total Budget (Rounded) (Excludes Successor Agencies)	58,700,000	183,799,743	91,774,600	167,025,200	110,400,000	660,700,000	89,120,000	55,250,000	97,100,000	107,003,000
General Fund Budget (Rounded)	27,400,000	67,713,443	46,472,120	74,533,500	61,300,000	167,100,000	34,000,000	32,500,000	41,650,000	62,910,600
Projected General Fund Balance (Rounded)	10,500,000	8,850,000	9,471,800	2,921,000	7,407,000	11,670,000	5,000,000	11,300,000	6,200,000	17,452,000
Finance Department Budget (All Funds Excluding Debt and Non-Departmental)	1,840,000	3,535,057	3,461,920	2,582,800	6,930,000	4,853,000	877,600	539,000	1,357,000	7,606,000
Finance Department Staff # (All Funds)	9	16	12	18	15	32	8	5	15	18
	Finance Director			Finance Director	Administrative Services Director	Financial Services Director	Finance Director	Finance Director / Treasurer	Administrative Services Director / Assistant City Manager	Finance Director
	Assistant Finance Director			Finance Manager	Information Technology Manager	(5) Account Clerk	Account Supervisor	Senior Management Analyst	Deputy Administrative Services Director	Senior Administrative Assistant
	Management Analyst			Account Manager	Financial Services Manager / Treasurer	(3) Accountant	Senior Accountant	Account/Payroll Technician	Financial Operations Manager	Senior Administrative Assistant
	Payroll Coordinator			(2) Principle Accountant	Account Supervisor	Account/Audit Manager	Accountant	Administrative Analyst	Management Analyst / Senior Management Analyst	Management Analyst II / Budget
	Filing Liaison			Accountant	Account Specialist	(2) Administrative Analyst	Management Analyst	Account Clerk	(3) Account	(3) Accountant
	Account Technician			Senior Management Analyst	(3) Senior Account Technician	Budget Manager	Payroll Technician		Senior Payroll Technician	(3) Account Technician
	Management Assistant			Payroll Clerk	Revenue Collection Specialist	(2) Buyer I	Senior Administrative		Senior Financial Systems Technician	Account Clerk
	(2) Senior Account Clerks			(2) Account Technician	(2) Account Technician I	Buyer II	Technician		(3) Senior Account Assistant	Information Technology Manager
				(4) Account Clerk	Accountant	(2) Deputy Financial Services Director	Account Clerk II		(2) Account Assistant	Information Technology Analyst
				Purchasing Clerk	Buyer	Executive Assistant			Information Technology Systems Analyst	Communication Services Technician
				Cashier Clerk	Human Resources Administrator	Financial Services Manager				Communication Technician
				(2) Customer Services Representative	Senior Human Resources Analyst	Grant/Revenue Manager				Purchasing Manager
					Human Resources Analyst	(2) Interim Clerk				Management Analyst I
					Human Resources Technician	Payroll Technician II				Senior Account Clerk
						Principle Accountant				
						Purchasing Manager				
						Senior Accountant				
						(2) Senior Administrative Analyst				
						Senior Clerk				
						Senior Collections Specialist				
						Supervisor Account Clerk				
Total Agency Full-Time Staff	147	424	247	319	304	1419	162	170	251	346
Total Agency Personnel Cost (Rounded)	21,200,000	67,259,504	40,911,646	64,058,300	50,001,000	202,200,000	33,371,230	26,300,000	36,617,000	58,269,000
Finance Department Personnel Cost (Rounded)	990,000	1,947,886	1,562,240	1,488,000	3,800,000	4,336,000	446,600	488,600	1,040,000	2,036,000
Finance Department Span of Control (Maximum Supervisor to Subordinate Ratio)	1 to 6		1 to 5	-	1 to 3	1 to 10?	1 to 6?	1 to 4	1 to 6?	1 to 7
Average Annual Personnel Cost per Employee in Finance Department	110,000	115,356	117,865	82,667	253,333	135,500	55,825	97,720	69,333	113,111
Budgeted General Fund Operating Deficit (Yes or No)	No	-	-	Yes	No	Yes	No	Yes	No	Yes
Agency Square Mileage	3.41	12	11	9.56	10.93	17.34	7.03	8.43	13.6	16.04
Agency Median Household Income	80,479	66,346	71,882	38,906	80,147	66,111	64,496	75,662	72,034	67,069

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2022-23 Citygate Report Tracking Sheet

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CITY OF SOUTH PASADENA - CITYGATE ASSESSMENT REVIEW & STATUS UPDATE- JANUARY 2023

Findings	Finding Description	Recommendations	Recommendation Description	Response	Status
Finding #1:	Department staff lack continued and effective training and internal cross-training to help ensure operational consistency in emergency circumstances, as well as the confidence to reject transactions that they believe are contrary to policy/procedure.	Recommendation #1:	Establish a formal training program that requires staff to participate in regular training and internal cross-training. This should be mandatory training and should be included in the various employee evaluation goals. A mechanism (e.g., short quiz) should be developed and taken by the employee after the training to help ensure that the training was understood. As a part of the internal cross-training, employees should be instructed regarding how to report concerns of potential violation of policy/procedures direction without fear of retaliation.	Management staff has worked to create a training program, and staff has attended an annual payroll seminar as well as the CSMFO meetings. Staff has renewed professional memberships in CSMFO, GFOA and the Payroll Association, and will keep apprised and involved in future training and conference opportunities. This ongoing process will be a priority during staff evaluations.	Completed & Ongoing 2022/23
Finding #2:	City staff has not been adequately trained on the capabilities of the City's financial software system to determine if it meets the needs of the City.	Recommendation #2:	Retrain and/or train all applicable employees who will benefit from the use of Springbrook to determine if the system is adequate for the needs of the Finance Department and other City departments. This training should be mandatory for all applicable employees.	Finance leadership is working with DCM to look into and add additional modules and trainings to maximize the existing software and systems. A checklist of all mandatory trainings and goals will be addressed every six months. Staff will also explore other financial systems in the next year to upgrade to the industry-lead products.	Ongoing 2022/23
Finding #3:	The Department is not providing consistent helpful service to other departments.	Recommendation #3:	A policy and procedures manual should be developed and/or updated.	The policies and procedures manual was updated. In addition, current review includes additional policies to meet new demands. During the FY 21-22 budget process, Finance Department staff went above and beyond in working with all departments agency-wide in planning and preparing budget documents and in a positive and cooperative approach established in the agency. Finance staff is well-liked and considered a big resource to other staff and departments, as staff is professional, polished, responsive and helpful.	Completed 2022
		Recommendation #4:	All departments should provide input on the policy and procedures manual; however, the manual should be developed based on best practice standards.	A outside contractor was hired to prepare the updated manual. All relevant input was brought into consideration.	Completed
		Recommendation #5:	The completed policy and procedures manual should be presented to the City Council and all City employees so that everyone is aware that adherence to the new policies and procedures is mandatory.	The current Policy and Procedures manual was adopted and approved by City Council in November 2022. Since then, Finance staff provide training and instructions to the various Department during orientation.	Completed & Ongoing
Finding #4:	The City has not processed a formal month-end or quarter- end close in several years, and no formal period-closing written procedures were found.	Recommendation #6:	A formal written set of procedures should be developed and a formal month-end review for all funds, or at least a mid-year budget review, should be completed every fiscal year. This will help identify potential issues in time to develop strategies to address these issues. This procedure will also help when performing budget projections for current and future budget years.	A monthly review is implemented. A mid year report was submitted last fiscal year. This year's report is scheduled for February 15, 2023. See policies and procedures manual page 49.	Completed 2022

CITY OF SOUTH PASADENA - CITYGATE ASSESSMENT REVIEW & STATUS UPDATE- JANUARY 2023

Findings	Finding Description	Recommendations	Recommendation Description	Response	Status
Finding #5:	The City uses Microsoft Excel spreadsheets to develop the budget and the Springbrook financial system for other financial activity, which increases the amount of time required to develop the budget.	Recommendation #7:	A formal budget module should be utilized to follow best practices and minimize manual processes and the time required to develop the budget, in addition to reducing the potential for human error. The Springbrook system has a formal budget model that is compatible with its other financial modules that would substantially reduce the amount of time required and the chance of human error when developing the budget.	This project is underway. Staff will be working on a Request for Proposals for a new product in the near future, while currently costing out the opportunity of utilizing additional modules in Springbrook. For new products, staff has identified a number of potential vendors and is developing an RFP. Finance will be asking for funding for this effort in the FY 23-24 budget.	In Process 2022/23
Finding #6:	Repeat management letter recommendations over multiple fiscal years were not addressed, and no written response or plan of action was completed and reviewed by the City Manager.	Recommendation #8:	The Comprehensive Annual Financial Report (CAFR), management letter, and all other reports generated from the annual audit, once finalized, should be reviewed by the City Manager and presented to the City Council. This will ensure that the City is aware of potential financial issues and that a plan has been developed to address the issues.	The current budget has been reconciled; this finding is no longer applicable. The current management letter has been addressed.	Completed 2022
		Recommendation #9:	Discuss the audit expectations with the external auditor during an entrance conference before the audit field work begins. One of the expectations should be that the CAFR, management letter, and all other reports associated with the audit, once finalized, are sent directly to the City Manager in addition to the Finance Director. The final documents should be presented to the City Council after final review by the City Manager.	Under review. This year's audit is under constant review by staff while in process. GFOA comments from FY 2020 has been addressed and is being reviewed by the auditors.	Implemented for FY 2022 & Completed
		Recommendation #10:	A formal written response and plan of action to address the FY 16/17 management letter comments should be produced and presented with the FY 17/18 audit.	No longer applicable.	Removed
		Recommendation #11:	Auditor should complete a formal internal control questionnaire each year of the engagement to help identify potential weaknesses and areas on which to concentrate during the audit.	Done - standard practice.	Completed
		Recommendation #12:	Future audits should include a more in-depth review of the City's golf course and stable operations to identify any operational issues.	The Golf Course has been analyzed by a third-party consultant, including the restaurant use, and findings will be under review by the Ad Hoc Facilities Committee. Current Management Staff will recommend a holistic consideration of all the Arroyo facilities as an effort to maximize return on investment, marketing and promotions, highest and best use of these facilities.	In Progress

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Findings	Finding Description	Recommendations	Recommendation Description	Response	Status
Finding #7:	There is no formal written fraud policy to report potential fraud.	Recommendation #13:	Develop a formal written fraud policy that identifies the process to report fraud. The policy should include the creation of a website for individuals, including City staff, to anonymously report fraud or potential fraud and the steps in place to ensure the reports are investigated.	Fraud policy is in process and under review.	In process
Finding #8:	Due to lack of cross-training, only one employee knows how to process a full City payroll.	Recommendation #14:	The full cross-training of the Management Assistant should be completed more quickly. Planned overtime should be considered to expedite completion of the training. Additionally, the Management Assistant should periodically complete an increasing portion of an actual full payroll after the training to ensure it has been effective. Implementation of this recommendation will help to minimize loss of process continuity in the case of emergencies, as well as relieve some of the burden felt by the Payroll Coordinator that limits earned time off.	In the FY 21-22 Budget, Management reclassified two Management Assistant positions to Management Analysts, to provide a higher and more technical level of work product for the Department per Department needs. Cross-training of staff is underway, and the Accountant has been trained to complete a full payroll process. Cross training will continue in collaboration with responsibilities and roles. The part-time Management Assistant position will be considered for a full-time position at Mid-Year, to provide additional capacity as well as succession and staff mobility planning.	In process - completed 2022/23
Finding #9:	Separation of duties between Payroll and Human Resources responsibilities is lacking, which weakens internal control.	Recommendation #15:	The Payroll staff should be retrained on the capabilities of the existing Springbrook payroll module. The training should be mandatory and part of the annual evaluation goals, which will help minimize the potential of employees continuing to use the old, ineffective processes without consequences. Implementation of this recommendation will help to identify current manual processes that may be automated in the payroll module, thus reducing processing time and manual calculation errors. This recommendation could also delay the need for additional employees because of the increased productivity.	Completed	Completed 2022

CITY OF SOUTH PASADENA - CITYGATE ASSESSMENT REVIEW & STATUS UPDATE- JANUARY 2023

Findings	Finding Description	Recommendations	Recommendation Description	Response	Status
Finding #10:	There are too many manual processes in the payroll process, which increases the time required to complete a payroll and the chance of human error. This is partially due to the uncertainty concerning the capabilities of the Springbrook payroll module.	Recommendation #16:	A schedule of responsibilities should be developed for the Payroll and Human Resources functions of the City. This schedule of responsibilities should follow best practices, including a clear delineation. Human Resources is responsible for employee creation, benefits, and changes relating to pay; Payroll is responsible for creation of the employee check and all other processes relating to the check process, including deductions, payroll tax and retirement processing, report processing relating to employees checks, etc. Implementation of this recommendation will improve internal control and comply with best practice by minimizing the risk of the accidental or fraudulent creation and payment of fictitious employees.	We have moved away from outsourcing payroll with ADP and transitioned to in-house payroll processing. A full time staff was hired to conduct payroll services in-house.	Completed- holding regular meetings to identify implementation and improvements. 2021/22
Finding #11:	Adequate equipment to fully automate the payroll process is lacking.	Recommendation #17:	The City should invest in the purchase of a folder/stuffer machine to reduce the time spent on folding checks and paystubs and inserting them into envelopes for distribution. Implementation of this recommendation will not only reduce the time required by the Payroll Coordinator but also the time spent by other employees who perform similar duties.	A payroll software was purchased by previous staff and partially implemented; current staff is analyzing the best next steps related to this process as a whole. We are moving toward digital and email production of time cards. Implementing industry best practices.	Ongoing
Finding #12:	Payroll employee(s) are not consistently obtaining payroll-related training to keep up with changing payroll-related laws, rules, and regulations.	Recommendation #18:	Payroll employees should be encouraged to attend payroll-related training to remain knowledgeable concerning payroll laws. Implementation of this recommendation will improve employee productivity through the reduction of errors caused by lack of knowledge regarding payroll matters. Another benefit is the potential improvement in confidence and morale of the employee due to reduced frustration of feeling uninformed.	In December, 2022, staff attended the annual payroll training. Staff is also enrolling in the Payroll support organization.	Ongoing
Finding #13:	No written authorization was located that authorized the City to operate a decentralized purchasing process.	Recommendation #19:	As an additional check and balance, the City should consider including a step in the Accounts Payable process that contains a sampling of vendors from each Accounts Payable register to compare authorized signatures, W9 information, and purchase order reference, if applicable.	With the adoption of the Policies & Procedures in November 2022, staff is trained and training refreshers are being scheduled, to follow an internal process and submit appropriate supporting documentation to Finance for review and approval. Various signatures are required across the agency based on authorization levels.	Completed 2022

CITY OF SOUTH PASADENA - CITYGATE ASSESSMENT REVIEW & STATUS UPDATE- JANUARY 2023

Findings	Finding Description	Recommendations	Recommendation Description	Response	Status
Finding #14:	The procurement and payment approval process is manual, requiring pieces of paper to be routed throughout the City, and they are frequently lost or misplaced, requiring extra time to process.	Recommendation #20:	Cross-training, external training, and increased automation is also needed in the Accounts Payable function to improve productivity and morale.	The accounts payable function is technically advanced and automated. The payment process has been updated and digitized.	Cross training remains to be the only issue; in progress
Finding #15:	City staff lack the knowledge of what capabilities the Springbrook financial system has to help improve productivity.	Recommendation #21:	A policy should be developed to encourage Accounts Payable staff to ask questions if they believe a direction from the Finance Director is contrary to City policy as they know it. This policy should include language that protects staff if they refuse to process something that they know is against policy.	Policies & Procedures have been adopted and implemented that define a process. We have hired a Deputy Finance Director/ Controller, and we implement a complete internal process with checks and balances.	In process -- 2023
Finding #16:	There is no signature authorization log with formal validation of the authorized signatures that could be cross- checked to help identify unauthorized payment requests.	Recommendation #22:	One way to minimize the issue of omitting the creation of a 1099 erroneously is to run an Accounts Payable payment report by vendor and compare to the 1099 report generated by the financial system.	Implemented. It is standard practice to provide 1099 vendors a W-9 immediately with PO. Vendors must provide a signed W-9 to complete the request to facilitate processing and payment.	Completed- 2021/22
Finding #19:	Per Accounts Payable staff, the direction of the Finance Director is not questioned, even if staff knows that the direction is a violation of policy.			No longer applicable.	Removed
Finding #20:	There is not a process in place for double-checking 1099 production to ensure all required 1099s are produced.			1099's are reviewed by Deputy Finance Director/ Controller	Completed 2022
Finding #21:	There is no formal written purchasing card policy.				Completed Revised in 2022
Finding #22:	Staff are using an outdated business license system which prohibits the provision of the most efficient service to businesses.	Recommendation #24:	City should update to the new HDL system and contract with HDL to use its remote business licensing program permanently. This will significantly reduce the workload of the two Senior Account Clerks, allowing the positions to be repurposed or eliminated to generate funding for other positions discussed in the restructuring recommendations in this report.	In effect.	Completed 2021/22
Finding #23:	The City does not have business licensing inspectors assigned to the Finance Department and relies on the fire inspection process to identify unlicensed businesses.	Recommendation #25:	The City should contract with a company such as HDL or MuniServices to provide a business canvassing program to detect unlicensed businesses. The benefits of this recommendation are the identification of unlicensed business which are receiving an unfair advantage over compliant businesses, an increase in City revenue, and an increase in the accuracy of the business database.	City Manager and Finance staff have been working with HDL Account Manager and representatives to improve upon the user experience, analytics, customer service provided through this contract. BL and FOG permit compliance is currently under review.	Ongoing

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Findings	Finding Description	Recommendations	Recommendation Description	Response	Status
Finding #24:	The City’s business licensing ordinance, although not unique, is overly complicated for business licensing calculation.	Recommendation #26:	The business license ordinance should be reviewed and revised to reduce complexities of business license fee calculation and business categorization. This will benefit the City by potentially allowing businesses to calculate their fees themselves to speed up receipt of payment and reduce administration time.	To be reviewed with HDL	In Process
Finding #25:	There is no formal automated accounts receivable process.	Recommendation #27:	Development of a formal automated accounts receivable process should be completed. The process should contain an authorization form (billing advice) that must be approved before a bill is generated. Also, the process should include an approval procedure in the Finance Department to minimize erroneous or fraudulent billings. Additionally, the accounts receivable process should be automated using the current accounts receivable module in the Springbrook financial system, if available, or some other automated system. The City should also contract with an external collection agency to assist in collection of seriously delinquent receivables. This recommendation will formalize the accounts receivable system and improve timeliness of revenue recognition and minimize billing errors.	The Management Analyst reviews the billing registers from Muni Billing for correctness; staff will review Springbrook additional modules for automation capabilities.	Completed 2021/22
Finding #26:	No evidence was found of a formal month-end or quarter- end accounting period closing in recent fiscal years.	Recommendation #28:	Reestablish a formal process for accounting period closing on at least a monthly basis. This recommendation will help gauge where operations are heading and allow for the development of strategies to address issues before the end of the fiscal year. It will also provide a consistent tool to help with operational projections.	Staff is working toward implementing regular month-end accounting close out and implementing best practices.	In Progress
Finding #27:	The City does not have a formal written debt collection policy.	Recommendation #29:	A formal debt collection policy should be developed. The policy should include the internal steps the City will take before delinquency is sent to a collection agency, which charges a fee. Also, the City should enforce the contract requirement that the collection agency submit monthly activity reports to the City so that the collection agency effectiveness can be monitored.	See policies and procedures - pages 24 to 25.	Completed 2022

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Findings	Finding Description	Recommendations	Recommendation Description	Response	Status
Finding #28:	Monthly bank reconciliations have been consistently behind for the past three fiscal years. Although this fact has been commented on in management letters for the past fiscal years' audits, the management letters and audits were not made available by the Finance Director or the auditors to the City Manager's Office or the City Council prior to being included on the City's website.	Recommendation #30:	As a policy, final audits should be reviewed by the City Manager and presented to the City Council. Also, the City Council should be presented with responses and a plan to address the management letter comments of the audit. This will ensure that the City is aware of potential issues and current finances, which will allow the City to make more informed decisions. The City should review its current contract with the external auditor to ensure that the information of the audit is disseminated correctly.	This is standard practice, and we are on track to completing the FY 2022 ACFR before end of January 2023, 4 1/2 months earlier than last year. ACFR will be presenting to City Council mid-February.	Completed 2022/23
Finding #29:	The City does not have a formal cash receipting/handling policy.	Recommendation #31:	A formal cash receipting/handling policy needs to be developed. The policy should include procedures that all City departments must follow if cash is handled and the way cash shortages/overages and petty cash are managed. Numerous municipal finance organizations, such as the GFOA and CSMFO, have sample policies which the City could adopt.	In Policy and Procedures Manual.	Completed. 2022
Finding #30:	The City does not prepare a cash flow analysis on an on- going basis.	Recommendation #32:	A cash flow analysis should be prepared monthly to assist in maximizing investment return and to ensure liquidity.	Included in monthly Investment Report.	Completed. 2021
Finding #31:	Staff leaves the safe open during the day due to a faulty safe combination mechanism.	Recommendation #33:	The City should invest in repairing the safe in the Finance Department vault room. This will allow the safe to be closed and locked when not in use during the day and increase cash security.	Now in Finance office. Always locked and closed.	Completed. 2021
Finding #32:	The City does not have a formal petty cash policy that is enforced.		**** See Recommendation #31	Petty cash facilitation is minor; the petty cash policy is enforced. Audits are completed periodically by Management Analyst.	Completed
Finding #33:	Athens contract language for refuse calculation and remittance is vague.	Recommendation #34:	Amend the Athens contract language to clearly state how payments due to the City will be calculated and remitted.	The City is in the midst of negotiating with Athens and currently reviewing contract terms.	In Progress
		Recommendation #35:	Consider placing a kiosk in the lobby through which customers can perform simple transactions instead of waiting in line. This would provide some relief to staff and allow them to work on other back- logged areas.	More than 56% of business is completed online/digitally; FD staff feels there is no need for a kiosk when so many transactions are now done online.	N/A
Finding #34:	The investment policy meets GFOA best practice.	Recommendation #36:	Review and revise applicable policies/procedures to ensure that they are in compliance with the City's investment policy.	Updated Policy submitted to Council November 2022.	Completed 2022
		Recommendation #37:	City should develop a formal cash flow analysis process to ensure that investment of idle cash is maximized.		Completed

CITY OF SOUTH PASADENA - CITYGATE ASSESSMENT REVIEW & STATUS UPDATE- JANUARY 2023

Findings	Finding Description	Recommendations	Recommendation Description	Response	Status
		Recommendation #38:	The filming function should remain in the Finance Department unless the FTE is replaced in the Finance Department. Although this arrangement is unusual, the backup responsibilities managed by the FTE including phones, counter work, and other coverage duties is very helpful in addressing operational and customer service needs. However, the title of Film Coordinator should be change to Management Assistant to incorporate the other duties being performed in the Finance Department.	Staff remains in the Community Development Departments and acts as an inter-departments liaison.	Removed- not recommended
		Recommendation #39:	Update the City's Master Fee Schedule for all fees, including filming permit fees to ensure that the City is charging appropriately for all applicable services.	Will be included in FY 2022-24 budget process.	In process.
Finding #35:	The City does not have a process for departments to develop goals and objectives to support the City's mission statement and core values.	Recommendation #40:	Develop a process that requires departments to develop goals and objectives that support the City's mission statement and core values. The will help the Finance Department and other departments demonstrate their individual plan to meet the City's direction.	City Council adopted a five-year strategic plan in December 2021 that is over 50% completed. As part of the FY 2-22-23 budget process, City Manager's Staff worked with each Department to develop Key Performance Indicators (KPI's) that were reviewed and refined by City Council; the qualitative and quantitative data will be presented as part of the 2023-24 budget process.	Completed 2021/22

CITY OF SOUTH PASADENA - CITYGATE ASSESSMENT REVIEW & STATUS UPDATE- JANUARY 2023

Findings	Finding Description	Recommendations	Recommendation Description	Response	Status
		<p>Recommendation #41:</p>	<p>The City should consider restructuring the divisions and some of the positions in the Finance Department. The following is a list of suggested division and position restructures. Implementation of this recommendation will bring the City of South Pasadena in-line with comparable cities, which could help in recruitment and internal cross-training.</p> <p>41.1 Change Assistant Finance Director position to Fiscal Services Manager. The duties would be pretty much the same as those in the current job description with the additional of contract monitoring on a Citywide basis to help adherence to contracting policies.</p> <p>41.2 Change unique positions such as Film Liaison and Payroll Coordinator to more generally title positions where the duties can be customized as needed. An example would be to identify Account Technicians in a series (i.e., Account Technician I, Account Technician II, etc.). The current Account Technician handling accounts payable would also be included in this Account Technician series. This would assist in recruitment and encourage cross- training and sharing of ideas between like positions.</p> <p>41.3 If the City decides to contract with HDL to permanently administer the business license program approximately 50 percent of the workload for each of the Senior Account Clerk positions would be eliminated. The City should consider eliminating the Senior Account Clerk positions and creating position of Customer Service Representatives. Duties would include primary counter support and administration support of the contracted billing functions; including water and sewer, refuse, cash receipting. The savings from the elimination of two Senior Account Clerks and the creation of a Customer Services Representative could pay for the majority of an Accountant position to help maintain up to date bank reconciliations journal vouchers, month-end, quarter-end, and year-end general ledger closing procedures, the CAFR, etc. to ensure that the other departments and City Council have current and accurate financial information on which to base decisions.</p> <p>41.4 Since there are currently other Management Assistants within the City and the job descriptions contain clerical and counter-related duties, it is recommended that this position remain as is.</p> <p>The division restructure would consist of the following: Administration: Finance Director, Financial Services Manager, Management Assistant</p>	<p>The City Manager has hired a Deputy Finance Director/Controller, reclassified two Management Assistants to Management Analysts, and plans to bump a part-time Management Assistant to full-time. In working with department leadership, we have identified and provided temporary staffing to provide for capacity in addressing major and special projects and priorities in a timely manner, as well as to provide capacity during recruitment efforts.</p>	<p>A Finance Department Assessment/ Current Status Update will be presented to City Council in mid-February, and a discussion about the current org chart and staffing levels will be included.</p>

CITY OF SOUTH PASADENA - CITYGATE ASSESSMENT REVIEW & STATUS UPDATE- JANUARY 2023

Findings	Finding Description	Recommendations	Recommendation Description	Response	Status
		Recommendation #42:	Create a position within the City Manager’s office that would oversee special Citywide operational improvement projects. This would benefit the City by providing resources that could be dedicated to various special projects as necessary to improve Citywide organizational effectiveness. This position could also assist the Finance Department with periodic finance-related projects and help to monitor Departmental adherence to the City’s financial policies. Potential titles for this position include Organizational Effectiveness Manager or Operational Improvement Manager. The position should be at a City management team level to interact with department heads as necessary.	A Deputy City Manager has been hired, and worked with the Finance Department as well as all departments agencywide to provide organizational oversight and management.	Completed 2021/22
Finding #36:	An extensive amount of information addressing policies and procedures are included in the Finance Department file on the financial system which could be used as a basis to address current operational issues. The information, however, is in various forms and locations and in some cases in a format not currently used.	Recommendation #43:	Given the current staffing level and workload, the City should hire a third party to develop a comprehensive policies and procedures accounting manual. This will provide a solid basis from which to minimize operational inefficiencies, enhance internal control, and reduce confusion throughout the City.	Completed.	N/A
		Recommendation #44:	An external team-building consultant should be hired by the City once the new Finance Director is hired to help identify and address issues and expectations in advance and develop action plans to help maximize the morale and productivity of the Department.	Completed.	N/A

ATTACHMENT 3
2020 Claro Report

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Date: September 14, 2020
To: Teresa Highsmith - Colantuano, Highsmith, & Whatley, PC on behalf of the City of South Pasadena
From: The Claro Group
RE: Accounts Payable and Vendor Analysis – Summary Report

Purpose

The City of South Pasadena (“CoSP”) retained The Claro Group (“Claro”) in August 2018 to review and identify accounting records related to a potential misappropriation of monies or fraudulent activity. Claro identified transactions and/or vendors for further investigation from data provided by CoSP. Claro then informed CoSP of the transactions and vendors identified through the processes described below. CoSP provided final review of the transactions and vendors described herein.

Data & Method

I. Source Data

Claro received a SQL database from CoSP’s Springbrook software system (“Springbrook Database”) containing 743 separate data tables totaling over 22 million individual lines of data. Based on discussions with CoSP, Claro analyzed the following three tables:

- ap_check – list of all outgoing checks from CoSP from July 2003 to August 2018
- ap_vendor – details for all CoSP vendors
- cr_receipt – list of all cash receipts from July 2003 to August 2018.

The three tables contained records as far back as 2003; however, CoSP instructed Claro to focus on the 2012-2018 period.

II. Data Analysis and Results

a. Phase I Analyses Identifying Vendors and Transactions for Additional Review

Based on discussions with CoSP, the first phase of Claro’s investigation consisted of nine separate analyses on CoSP’s Accounts Payable. The nine analyses were as follows:

1. *Questionable Vendors*

This review developed a list of vendors (with total amount paid lifetime) that have PO boxes as their stated address. Fictitious vendors are more likely to use PO boxes as an address.

Claro identified 112 vendors with total payments exceeding \$10,000 that also had a PO Box as their stated address in the Springbrook Database. See Exhibit B for a list of these vendors. CoSP reviewed these vendors and did not identify any fictitious vendors.

2. [REDACTED] Law

Claro performed an analysis of Accounts Payable Checks from 2012-2018 by performing [REDACTED] Law. [REDACTED] Law gives a prediction on the frequency of the leading digit in a data set [REDACTED]

The distribution and frequency of CoSP's outgoing check amounts were in line with the expected distribution per [REDACTED] Law. See Table 1 for the results of [REDACTED] Law on CoSP's outgoing payments. The full results of Claro's [REDACTED] Law analysis is attached hereto as Exhibit C.

TABLE 1
[Redacted]

3. *Round Dollar Amounts*

This test identifies vendors with significant round dollar payments and their frequency. Claro identified all vendors receiving round dollar amounts and their frequency and provided the list to CoSP. Claro highlighted the top 20 vendors as well as certain other vendors based on a subjective review for suggested CoSP review. CoSP reviewed the list and deemed each vendor to be properly recorded. See Table 2A and Table 2B for the top 20 vendors receiving round dollar amounts and their frequency from 2012 – 2018 as well as the additional vendors highlighted on the list to CoSP, respectively.

¹ Journal of Accountancy. [REDACTED]

TABLE 2A

Top 20 Vendors	Frequency
CA Franchise Tax Board	83
Mike Roos & Company	69
CA Maintenance & Environmental	57
Karbelnig - Dr. Alan	46
CoreLogic Information Solutions, Inc.	35
Prothero - Dr. Donald R.	33
L.A.C. Sheriff's Dept.	31
S.P.Chamber of Commerce	31
Petty Cash	21
Sams - David A.	18
Tumpak - John	18
Donovan Brothers Golf LLC	17
McIntosh - Deborah	17
Pierce - Danielle	17
Pitney Bowes Reserve Account	17
Studio Spectrum	16
AKD Consulting	15
High Point Strategies LLC	15
Lem - Nancy	15
MedCycle Systems	14

TABLE 2B

Vendor Name	Year	Amount	Frequency
City of Pasadena	2013	\$ 100	1
City of Pasadena	2014	\$ 5,000	1
City of Pasadena	2014	\$ 3,000	1
City of Pasadena	2015	\$ 3,000	1
City of Pasadena	2016	\$ 15,000	1
City of Pasadena	2017	\$ 26,900	1
City of Pasadena	2017	\$ 9,000	1
City of South Pasadena	2012	\$ 2,500	2
City of South Pasadena	2014	\$ 600	1
City of South Pasadena	2018	\$ 25,000	1
HDL Software, LLC	2018	\$ 10,000	1
HDL Software, LLC	2018	\$ 7,000	1
Margrave - Diane	2014	\$ 36,000	1
So. CA Edison	2015	\$ 10,000	1
Valley Construction Mgmt	2015	\$ 1,800	1
Valley Construction Mgmt	2016	\$ 4,200	1
Valley Construction Mgmt	2017	\$ 28,200	1

4. *Payments to PERS*

Claro summarized all historical payments made to the California Pension Fund (PERS). Per discussions with CoSP, payments to PERS on behalf of certain individuals may have been an area susceptible to misuse.

Claro reviewed all payments made to PERS from 2003 to 2017 to identify any questionable payments. Claro identified two questionable payments to PERS in April 2016 and July 2016 totaling \$94,848 and \$1,378,201, respectively. CoSP reviewed these two transactions and deemed them appropriate.

5. *Payments by Year*

Claro summarized all payments (by amount and # checks) by year to each vendor from 2012-2018. This analysis was used for comparison purposes to identify anomalies from year to year. After reviewing with CoSP, no vendor warranted further investigation based on this analysis.

6. *Trend Analysis*

Claro summarized the year over year increases in amount/frequency of checks from 2012-2018 by vendor. This analysis is used for comparison purposes to identify anomalies from year to year. After reviewing with CoSP, no vendor warranted further investigation based on this analysis.

7. *Variance From Average*

Claro summarized variances by year for amounts paid to vendors from their historical annual average (2012-2017). This analysis is used for comparison purposes to identify anomalies from year to year. After reviewing with CoSP, no vendor warranted further investigation based on this analysis.

8. *New Vendors*

Claro identified vendors that first received payments in 2018; these vendors were not previously paid from 2012-2017. Per discussions with CoSP, CoSP consistently utilized the same vendors for tasks therefore any new vendors should be reviewed.

Claro identified 22 new vendors in 2018 that CoSP paid over \$10,000. Table 3 presents a list of these vendors. CoSP reviewed this list and did not identify any fictitious vendors.

TABLE 3

VENDOR	TOTAL AMOUNT 2018	# PAYMENTS
American Asphalt South Inc.	\$ 267,250	2
RKA Consulting Group	\$ 165,936	6
RC Foster Corp.	\$ 145,778	1
Intercare Holdings Insurance Svcs	\$ 63,620	7
Citygate Associates LLC	\$ 61,921	4
FFBH Motors	\$ 39,319	1
Accountemps	\$ 32,423	7
Long Beach BMW Motorcycles	\$ 30,892	4
TNVC Inc.	\$ 24,750	3
Katz & Associates Inc.	\$ 22,887	2
Degenkolb Engineers	\$ 21,500	1
Matrix Consulting Group	\$ 21,367	2
Dave Volz Design	\$ 19,200	2
True North Research Inc.	\$ 18,000	1
Conceptual Site Furnishings Inc.	\$ 16,816	1
Sunbelt Inflatable Tents	\$ 16,263	2
Keyser Marston Associates Inc	\$ 14,560	1
Pacific Parking Systems Inc.	\$ 12,997	1
Water Quality & Treatment Solutions	\$ 12,755	1
Athens Services	\$ 12,250	4
Minagar & Associates Inc.	\$ 11,364	1
Emerson & Associates	\$ 10,000	2

9. *Vendors with Significant Increase in Payments*

Claro identified vendors with a significant increase in payments/amount from their historical averages from 2012-2017 to identify potential abnormal invoice activity. [REDACTED]

[REDACTED]

Claro identified 31 vendors where total payments in a single year were significantly higher than their average annual amount paid to the same vendor from 2012 through 2017.² CoSP reviewed these vendors and ultimately deemed each vendor's respective activity to be appropriate and reasonable. See Table 4 for a breakdown of the 31 vendors.

TABLE 4

Vendor	Year	Total Amount Paid (In Year)	Yearly Average ('12-'17)	Amount of Increase From Avg ('12-'17)	% Inc
Amtech Elevator Services	2013	\$ 45,900	\$ 11,889	\$ 34,011	286.06%
AT&T	2017	\$ 44,149	\$ 13,154	\$ 30,995	235.63%
Aztlan Athletics	2016	\$ 92,532	\$ 22,866	\$ 69,666	304.67%
CalPERS	2016	\$ 1,479,369	\$ 494,840	\$ 984,529	198.96%
City of South Pasadena	2018	\$ 54,652	\$ 1,932	\$ 52,720	2728.90%
Control Automation Design Inc	2016	\$ 74,258	\$ 24,773	\$ 49,485	199.75%
Core & Main LP	2018	\$ 51,329	\$ 413	\$ 50,916	12336.98%
County of Los Angeles	2013	\$ 955,272	\$ 178,604	\$ 776,668	434.86%
D & R Office Works, Inc.	2018	\$ 38,421	\$ 2,157	\$ 36,264	1681.10%
Dept. of General Services	2018	\$ 25,805	\$ 3,587	\$ 22,218	619.45%
Emergency Vehicle Group Inc.	2016	\$ 250,465	\$ 50,624	\$ 199,841	394.76%
Envicom Corp.	2018	\$ 31,339	\$ 10,965	\$ 20,374	185.80%
Flex Advantage	2013	\$ 40,492	\$ 15,805	\$ 24,687	156.20%
Forrey - Sandra	2018	\$ 21,250	\$ 254	\$ 20,996	8268.12%
Game Time	2015	\$ 145,510	\$ 55,023	\$ 90,487	164.45%
General Pump Company	2016	\$ 248,785	\$ 85,084	\$ 163,701	192.40%
InfoSend, Inc.	2012	\$ 37,629	\$ 14,586	\$ 23,043	157.98%
Judge Netting	2018	\$ 115,840	\$ 46,080	\$ 69,760	151.39%
L.A.C. Registrar-Recorder	2012	\$ 75,060	\$ 13,735	\$ 61,325	446.51%
L.N. Curtis & Sons	2017	\$ 37,108	\$ 10,164	\$ 26,944	265.08%
Main San Gabriel Basin Waterma	2017	\$ 921,324	\$ 309,550	\$ 611,774	197.63%
Motorola	2012	\$ 332,452	\$ 121,311	\$ 211,141	174.05%
Nelson Nygaard Consult. Assoc.	2015	\$ 95,815	\$ 24,295	\$ 71,520	294.38%
Performance Pipeline Technologies	2013	\$ 88,597	\$ 22,754	\$ 65,842	289.36%
Quinn Company	2018	\$ 146,871	\$ 7,910	\$ 138,960	1756.68%
RHA Landscape Architects-Planners	2013	\$ 117,248	\$ 34,215	\$ 83,032	242.68%
Sully-Miller Contracting Co.	2018	\$ 1,665,316	\$ 584,997	\$ 1,080,319	184.67%
Union Bank	2012	\$ 630,221	\$ 136,798	\$ 493,422	360.69%
Upper S.G.Mun. Water Dist.	2014	\$ 246,469	\$ 96,412	\$ 150,057	155.64%
Upper S.G.Mun. Water Dist.	2018	\$ 1,237,279	\$ 96,412	\$ 1,140,867	1183.32%
Zoll Medical Copr. GPO	2015	\$ 73,590	\$ 19,270	\$ 54,321	281.89%

² A significant increase is deemed to be over 150% increase from their 2012-2017 annual average.

Claro provided CoSP with an excel file outlining any transactions or vendors identified during these nine analyses. CoSP independently reviewed all transactions and vendors identified by Claro and cleared all transactions and vendors as appropriate.

b. Phase II Analyses Identifying Vendors and Transactions for Additional Review

After completing the Phase I tasks, Claro proposed six additional analyses on Accounts Payable/Vendors to CoSP. CoSP agreed that these additional analyses would be beneficial and requested Claro perform the following six analyses:

10. AP - Invoices Just Below Approval Amounts

Claro summarized all payments between [REDACTED] by vendor and identified those that may require additional review. CoSP's approval threshold [REDACTED] therefore significant activity just below the required approval threshold might signify a problem transaction.

A summary of all vendors and transactions within various dollar ranges of the [REDACTED] approval list is attached hereto as Exhibit D. Refer to Table 5 below for a brief summary of specifically identified vendors that appear questionable in nature because either over 50% of total payments were within [REDACTED] of the threshold or Claro could not locate a reputable website for the vendor. CoSP reviewed these vendors and ultimately deemed them reasonable and appropriate.

TABLE 5
[Redacted]

11. AP - Invoices Just Below Approval Amounts All Transactions

Claro listed all transactions between [REDACTED]. A full list of these transactions is attached hereto as Exhibit E. A summary of select vendors with transactions [REDACTED] is presented below in Table 6. CoSP reviewed these vendors and ultimately deemed them reasonable and appropriate.

TABLE 6
[Redacted]

12. AP - Duplicate Payments

Claro identified duplicate payments made from 2012-2017 based on payments with the same vendor, same invoice number, same invoice date, and same invoice amount. [REDACTED]

Claro identified 32 instances of potential duplicate payments over \$1,000. These payments are attached hereto as Exhibit F. CoSP reviewed these payments and ultimately deemed them reasonable and appropriate. A brief summary of the potential duplicate payments over \$10,000 is presented below in Table 7.

TABLE 7

Vendor ID	Vendor Name	Check Date	Check Amount	Check #
0027557246	Wells Fargo Bank	9/11/2014	\$ 2,192,114.72	100
0027557246	Wells Fargo Bank	9/11/2014	2,192,114.72	185120
0027550339	E.C.Construction	11/14/2008	308,884.66	115130
0027550339	E.C.Construction	11/14/2008	308,884.66	155130
0027554521	Pers Retirement	8/16/2012	98,144.81	174497
0027554521	Pers Retirement	8/16/2012	98,144.81	174510
0027550164	DMR Team	11/14/2008	36,550.00	115129
0027550164	DMR Team	11/14/2008	36,550.00	155129
0027552706	L.A. Superior Court	3/25/2010	20,000.00	162211
0027552706	L.A. Superior Court	3/25/2010	20,000.00	162212
0027556894	U.S. Bank	9/16/2009	15,647.20	159592
0027556894	U.S. Bank	9/16/2009	15,647.20	159563
0027548976	E. D. D.	7/31/2003	13,983.68	129141
0027548976	E. D. D.	7/31/2003	13,983.68	129123
0027555922	So. CA Edison Co.	8/16/2012	13,510.47	174502
0027555922	So. CA Edison Co.	8/16/2012	13,510.47	174515

13. AP - Multiple Payments to Same Vendor on Same Day

Claro summarized all instances where CoSP made multiple payments on the same day to the same vendor but for different amounts. [REDACTED]

Claro identified one instance of two payments each separately under the [REDACTED] approval threshold that were paid on the same day, but when aggregated total above the [REDACTED] approval threshold. CoSP reviewed these payments and ultimately deemed them reasonable and appropriate. Table 8 presents these two payments.

TABLE 8

Vendor Name	Check Date	Check Amount	Check Number
Liebert Cassidy Whitmore	8/20/2015	4,755.60	189814
Liebert Cassidy Whitmore	8/20/2015	7,724.50	189786

14. *AP - Multiple Payments to Same Vendor for Same Amount but on Different Date*

Claro identified instances where CoSP made multiple payments to the same vendor for the same amount but on different dates. [REDACTED]

Claro identified 22 payments made to the same vendor for the same amount but on different dates. CoSP reviewed these payments and ultimately deemed them reasonable and appropriate. Table 9 below summarizes these 22 payments.

TABLE 9

Vendor Name	Check Date	Check Amount	Check Number
Judge Netting	11/15/2017	\$ 46,080.00	200670
Judge Netting	3/15/2018	46,080.00	202207
99 Pasadena Ave. LLC	11/5/2009	40,000.00	160334
99 Pasadena Ave. LLC	11/12/2009	40,000.00	160347
DMR Team	1/25/2006	30,038.50	141463
DMR Team	2/1/2006	30,038.50	141651
Raftelis Financial Consult.Svcs. Inc.	3/31/2011	29,568.84	167430
Raftelis Financial Consult.Svcs. Inc.	4/6/2011	29,568.84	167372
End2End, inc.	1/3/2007	28,785.62	146066
End2End, inc.	7/18/2007	28,785.62	148600
LandCare USA LLC	6/28/2018	25,025.63	203373
LandCare USA LLC	6/21/2018	25,025.63	203293
Intercare Holdings Insurance Svcs	5/23/2018	25,000.00	202942
Intercare Holdings Insurance Svcs	6/1/2018	25,000.00	203080
Osz Technologies	1/25/2006	19,499.93	141525
Osz Technologies	2/1/2006	19,499.93	141712
E. D. D.	4/12/2012	19,301.64	172586
E. D. D.	4/18/2012	19,301.64	172563
Dave Volz Design	4/5/2018	9,600.00	202329
Dave Volz Design	5/2/2018	9,600.00	202613
OCLC Inc.	1/21/2004	9,000.00	131229
OCLC Inc.	1/5/2005	9,000.00	136082

15. *Credits in the Cash Receipts Journal*

Claro reviewed all credits (negatives) in the cash receipts journal. [REDACTED]

Claro identified seven questionable entries in the cash receipts journal. These entries contained miscellaneous description fields and user identification. CoSP reviewed these payments and ultimately deemed them reasonable and appropriate. Table 10 presents these seven transactions.

TABLE 10

Receipt No.	Month	Year	Date	Description	Amount	User
398076	12	2017	12/21/2017	Miscellaneous	\$ (145,589)	mfestejo
389963	12	2016	12/21/2016	Miscellaneous	\$ (133,186)	jmendez
382468	12	2015	12/21/2015	Miscellaneous	\$ (128,064)	plieu
367329	12	2013	12/23/2013	Miscellaneous	\$ (125,260)	mfestejo
375088	12	2014	12/22/2014	SB2557 ADMIN FEE	\$ (123,771)	PLIEU
352020	12	2012	12/20/2012	Miscellaneous	\$ (123,229)	coordina
352094	12	2012	12/21/2012	Miscellaneous	\$ (123,229)	coordina

In addition to the fifteen tests outlined above, Claro also used professional skepticism and judgment on specific vendor names that appeared to be questionable in nature. [REDACTED]

[REDACTED] Claro discussed any questionable vendor names with CoSP and CoSP did not identify any fictitious vendors.

Claro provided CoSP with an excel file outlining any transactions and vendors identified during these additional six analyses. CoSP independently reviewed all transactions and vendors identified by Claro and cleared all transactions and vendors as appropriate.

Based on CoSP's further investigation of the vendors and transactions Claro identified, none of the transactions or vendors indicated the misappropriation of funds during the time-period in question.

Limitations

Claro did not review or verify any data, values, or assertions not explicitly addressed in this memo, and did not independently verify any information provided by the City of South Pasadena.

Based on instructions from CoSP, Claro's investigation focuses on Accounts Payable and Vendors.

This Memo was prepared by Claro for informational purposes only and should not be construed as accounting, legal, tax, investment, financial, or other advice.

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ATTACHMENT 4

2022 Finance Ad Hoc Committee Report (with Staff Report from August 17, 2022 City Council Agenda)

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City Council Agenda Report

ITEM NO. 17

DATE: August 17, 2022

FROM: Arminé Chaparyan, City Manager *AC*

PREPARED BY: Ken Louie, Deputy City Manager - Finance

SUBJECT: Discuss 2022 Finance Ad Hoc Committee Report

Recommendation

It is recommended that the City Council:

- 1) Review and discuss the 2022 Finance Ad Hoc Committee (FAHC) Report;
- 2) Not pursue a forensic audit/internal auditor in light of current and improved fiscal practices; and
- 3) Receive and file the 2022 Finance Ad Hoc Committee Report.

Background

The Finance Ad Hoc Committee was formed by the City Council in September 2020 in an effort to review the fiscal year 2020-2021 budget, the Annual Comprehensive Finance Report (ACFR) for fiscal year 2018-2019, and to address concerns of oversight and management of the City's budget process under the purview of the previous leadership and administration at City Hall. The Ad Hoc Committee was tasked with making recommendations to improvements to the City's process, including timely completion of various milestones.

In February 2022, the City Manager's Office evaluated the tasks and responsibilities of the City's numerous commissions, boards, and committees, including a review of the scope of work and expected work product for each ad hoc committee. In conversations with the previous representatives of the Finance Ad Hoc Committee, it was agreed that the Committee intended to submit a report summarizing their findings to the City Manager, at which point that Committee would have completed their scope of work and would be dissolved. The City Council approved this timeline.

At the regularly scheduled City Council meeting of June 15, 2022, the City Council reviewed the Finance Ad Hoc Committee's report as attached, voted to receive and file the report and take no further action, and the Ad Hoc Committee was dissolved. At the regularly scheduled City Council meeting of July 20, 2022, Councilmember Zneimer requested the item be brought back, with a second from Mayor Cacciotti, for a final discussion, as the review completed on June 15, 2022 was part of a lengthy City Council agenda. While there are no changes to the FAHC report, Councilmember Zneimer requested additional disclosures be brought forth in tonight's report.

The additional information requested, and provided in the revised attached report, is as follows:

- Listing of each committee member
- Dates of FAHC meetings
- Disclosure of documents used for determinations

Analysis

The Report summarizes the previous administration's budget processes and oversights.

It highlights shortcomings of those efforts, as well as areas of improvement, detailing:

1. Unexplained changes between proposed budgets for review,
2. The City Council's consideration of the budget ahead of the completion of timely audits,
3. The lead up to the creation of the Finance Ad Hoc Committee and its specific scope of work, and
4. The concerns of the lack of internal controls, transparency and timeliness of reporting.

The Report calls for a forensic audit and/or the hiring of an internal auditor that reports directly to the City Council. However, the Report states that the need for these recommended measures (forensic audit and internal auditor) would no longer exist if strong corrective measures are put into place in the next 12 months. It also acknowledges that there has been a significant changeover in staff and such measures would create an undue labor and financial burden on already taxed staff. Finally, the report acknowledges that many of the concerns have already been remedied or are in the remedial process.

The major items of concern that have already been remedied or are in the remedial process are:

- Policies and Procedures: Finance Policies and Procedures were reviewed and recommended for approval by the Finance Commission in May 2022, and the City Council reviewed and discussed the draft document at their June 1, 2022 meeting. Staff will present the final draft for Council's consideration and adoption at the City Council meeting of September 7, 2022.
- Timely reports and transparency: The current administration has worked diligently to address these issues including a timely Midyear Report, Monthly Investment Reports and a successfully adopted Annual Budget in June of 2022. Staff looks forward to its first quarterly update for the Quarter ended September 30, 2022. With the hiring of a permanent Finance Director and Deputy Director/Controller (previously Accounting Manager), the City Manager anticipates bringing quarterly, then monthly budget reports to City Council.

- Timely audits: The City has already scheduled the 2021-2022 audit for November 2022 – a full six months earlier than last year’s audit commencement. The City will be working with Rogers, Anderson, Malody & Scott (RAMS) for the upcoming audit, as we are in a three-year audit contract. Upon the completion of the current contract, the City will go out to bid for a new audit contract.
- Proper staffing levels/morale: Greater employee training and retention, as well as incorporation of better and best practices into our processes and service to the community. A planned Finance department staffing review based on the FAHC concerns and the auditor’s declaration that the department is understaffed by at least 2 full-time positions not including current vacancies. A recruiter has been retained to host an active recruitment for the Finance Director position, which is set to commence on August 14, 2022. In addition, tonight’s agenda includes the reclassification of the Accounting Manager to Deputy Finance Director/Controller. Once these top level positions are filled, the City Manager will work with the management team to complete a thorough staffing assessment.
- Legal: The settlement of the A. Smith case based on policy decision and direction from City Council.

In response to the recommendations identified for City Staff on page 11 of the attached Report, staff would like to highlight the following:

1. Instituting a New, Independent Auditor Position Reporting to the City Council

Due to measures established or in-progress improvements listed above, it is staff’s recommendation to not pursue a forensic audit or internal auditor, and to rather focus efforts and resources on the corrective measures.

2. Contracted City Attorney Service

The City Attorney will continue providing all legal services for the City in accordance with the Agreement for Legal Services and the City’s Municipal Code.

3. RFP for City Attorney Services

In September 2021, a discussion took place at the City Council meeting regarding an RFP for a new contract for attorney services. Given the timing, staff capacity and workload, the City Manager was given an opportunity to bring this item back at a future date. The City Manager does not recommend pursuing this at this time given staffing levels, outstanding projects and overall workload. It will be extremely challenging changing the City Attorney firm in the midst of all of the current and ongoing organizational challenges.

4. Determine Legal Liability Position

It is the City Council’s role to provide ultimate policy decisions on existing, pending and threatened litigation. The City Attorney’s office and Risk Management staff will continue to diligently apprise the City Council of existing, pending and threatened risks, and associated costs thereof.

5. Increase Financial Reporting on Legal Expenses

The current process complies with all matters of reporting of legal expenses in a manner that does not jeopardize defense of the City. Administrative Staff reviews all legal bills, and the City Council has the opportunity to review all legal bills, prior to placing them on the Warrants register. The fluctuating nature and amount of legal expenses is based on case activity, staff needs, and the relative complexity of each legal manner.

6. Provide Quarterly Updates to the Finance Commission and City Council on Efforts

As part of the quarterly budget updates to the Finance Commission and City Council, staff can include updates on these recommended improvements.

Next Steps

The City Manager commits to ongoing improvements to internal controls and establishing solid policies and procedures. The Finance Department will work closely with the City Manager in bringing timely and regular reporting to the City Council. Additionally, the City Manager is working with a recruiter to assist with efforts to hire a permanent Finance Director focused on carrying forward and building upon these efforts. With a vacancy in the Finance Department, Council is also considering the reclassification of a position to a Deputy Finance Director/Controller position to elevate the Accounting Manager position, and to provide further oversight and management of the department. It is under the City Council's purview to direct staff on any further action in response to the findings or recommendations within the Report.

Fiscal Impact

There is no fiscal impact associated with receiving and reviewing this report.

Commission Review

The Finance Commission received and filed the 2022 Finance Ad Hoc Committee Final Report at their June 9, 2022 meeting.

Attachment:

Revised 2022 Finance Ad Hoc Committee Final Report

ATTACHMENT

2022 Finance Ad Hoc Committee Final Report

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2020-2022 Finance Ad Hoc Committee (“FAHC”) Final Report and Recommendations of the FAHC

DATE: August 10, 2022

FROM: 2020-2022 Finance Ad Hoc Committee (the “FAHC”)

PREPARED BY: Jack Donovan, City Councilmember District 2
Jon Primuth, City Councilmember District 3
Fred Findley, Finance Commission Member
Peter Giulioni, Finance Commission Member
Gregory Chun, Resident
Stephen Rossi, Resident
William Cullinane, Resident

SUBJECT: **Presentation of Findings and Final Recommendations to Staff by the 2020-2022 Finance Ad Hoc Committee**

Background

At the request of Councilmember Zneimer, and after additional discussion with Interim Finance Director Ken Louie, the FAHC is resubmitting the committee’s report, the Final Report and Recommendations of the Finance Ad Hoc Committee (the “Report”), dated June 4, 2022 and originally submitted directly to City Manager Chaparyan on June 5, 2022 and accompanied by the following cover email:

From: Stephen Rossi
Subject: Final Report and Recommendations of the Finance Ad Hoc Committee
Date: June 5, 2022 at 11:01:25 AM PDT
To: Armine Chaparyan <achaparyan@southpasadenaca.gov>
Cc: Jon Primuth <jprimuth@southpasadenaca.gov>, Jack Donovan <jdonovan@southpasadenaca.gov>, Fred Findley, "William (Bill) Cullinane", Gregory Chun, Edward Corey, Peter Giulioni Jr

Armine,

I am happy to announce that the Finance Ad Hoc Committee held their final meeting yesterday. At that meeting the members in attendance (Jon Primuth, Jack Donovan, Fred Findley, Peter Giulioni, Bill Cullinane, Greg Chun, and myself) reviewed and approved the attached Final Report and Recommendations of the Finance Ad Hoc Committee for submission to City Staff. Please take this email and report submission as the committee’s final action, and, in keeping with the City Council’s recent decisions, the FAHC is now dissolved.

As always, please reach out if you have any questions regarding the report contents and follow up items. I know Jon and Jack will also be reaching out to you directly to help walk you through the report as well.

Thank you again to all copied on this email for your hard work and dedication to getting this report finalized and up to the City!

Best,
Steve

For clarity, seven **fully-voting** members of the FAHC attended the final FAHC meeting on June 4, 2022, and subsequent to additional discussion and deliberation regarding the various content of the Report, the seven members present voted unanimously to approve, and submit, the Report directly to City Manager Chaparyan as directed by Councilmember Primuth. Per the original cover email from the Report submission, the seven fully-voting members present on June 4, 2022 were as follows: City Councilmember Jack Donovan, City Councilmember Jon Primuth, Finance Commission member Fred Findley, Finance Commission member Peter Giulioni, and residents Gregory Chun, William Cullinane, and Stephen Rossi.

In total, the FAHC held meetings on the following dates:

- Zoom: 10/13/2020
- Zoom: 11/5/2020
- Zoom: 12/10/2020
- Zoom: 1/25/2021
- Zoom: 4/1/2021
- Zoom: 9/22/2021
- In Person Meeting: 9/25/2021
- In Person Meeting: 9/26/2021 (Peter Giulioni and Stephen Rossi)
- Recorded Zoom: 10/5/2021
- Recorded Zoom: 3/5/2022
- Phone Call: 3/23/2022 (Jon Primuth and Stephen Rossi)
- Zoom: 5/27/2022 (Jon Primuth and Stephen Rossi)
- In Person Meeting: 6/4/2022

Additionally, between 9/25/2021 and 6/5/2022, there were in excess of 60 email exchanges between members of the FAHC to facilitate Report drafts, comments, deliberation, and meeting logistics.

Recommended Actions

It was not within the scope of the FAHC to make any conclusions as to whether any inappropriate activities *had* occurred or the intentions behind any individual activities described in this report. The FAHC has not made, nor does it infer, any such conclusions. Rather, it was the task of the FAHC to investigate whether red flags existed that would indicate inappropriate activities *may* have occurred. It is the opinion of the FAHC that the red flags discussed throughout this report do, on their surface, warrant a further review by specialists via a forensic audit. However, given the number of years that have transpired since the bulk of these actions took place, the significant financial cost associated with such an endeavor, and the prior removal/resignation of many then-acting City officials potentially involved, such a step may not be practical for the City at this time. The FAHC instead recommends the City take the additional actions outlined below to help ensure similar activities are not tolerated or allowed to exist in the future. This conclusion was based, in no small part, upon the assumption that City Staff, the Finance Commission, and the City Council will continue to implement the many recommendations provided in both this report and previously provided throughout the FAHC's work. In the event the City does not follow through on the recommendations provided in the next 12 months, it is the belief of the FAHC that a forensic audit, designed to look into the numerous findings discussed in this report, is not only warranted, but necessary.

It is further recommended that City Staff:

- Review and prepare an analysis to the Finance Commission and City Council regarding the viability of instituting a new, independent internal auditor position within the City of South Pasadena. As discussed elsewhere in this report, the existing City policies and procedures, had they been properly followed, would have helped prevent or eliminate many of the FAHC's findings. However, as the position of City Manager is the only City Staff member reporting directly to the City Council who is also under the Council's direct and sole supervision, a potential for conflict of interest is created. An Internal Auditor, hired by, reporting to, and having compensation determined directly by the City Council, would act independently of the City Manager and Finance Departments, helping to ensure ongoing compliance with stated City codes, policies, and procedures without fear of intimidation or retaliation by the City Manager. This internal auditor could support the City Council in their responsibility for oversight by providing institutional knowledge and an additional level of security regarding stewardship of funds for the citizens of South Pasadena;
- In order to comply with best practices for contract attorneys as described by the League of California Cities and the City of South Pasadena's own code of ethics requiring the elimination of even the "appearance" of a conflict of interest, it is recommended the City codify as policy that the City cannot retain one law firm to provide both (i) contract City Attorney services, and (ii) litigation services;
- Immediately proceed with an RFP for a new contract City Attorney law firm (as already motioned by Councilmember Zneimer and seconded by Councilmember Cacciotti in open session during the September 1, 2021 council meeting) to be acted upon, and any awards determined, by the newly constituted City Council after the November 2022 elections;
- Determine its estimated legal liability position in accordance with GASB, as required by local and State regulation, and after a full review of a fulsome economic risk analysis of all existing, pending, or threatened litigation outstanding for the relevant time-period, prepared by the City Attorney and reviewed by the Finance Department, Finance Commission, City Manager, and the City Council prior to inclusion in any City budget or CAFR;
- Increase financial reporting of highly fluctuating, cumulatively large legal expenses, including an immediate return to providing semi-annual reports on expenses for all lawyers, consultants, and lobbyists; and
- Provide a quarterly update to the Finance Commission to update both that body and, in turn through Finance Commission and City Council Liaison reports, the City Council as to Staff's progress on implementing the recommended actions.

The opinion is based on the FAHC's work on the operational matters described above; its review of documents and other information provided by Staff during the FAHC's work; agenda reports, presentations, and discussions at open meetings of the Finance Commission and City Council; and other related, publicly accessible materials – many of which have been cited throughout this report in support of the FAHC's findings and recommendations.

The FAHC did not consider, and did not have access to, City Council closed session materials, or other information protected from disclosure to the public by the attorney-client or other privileges. Nevertheless, the FAHC believes that the current members of the City Council, in consultation with current City senior management, should conduct its own assessment of the necessity for and scope of any additional audits (including a forensic audit if deemed warranted), using relevant materials that may be outside the scope of the FAHC's work or protected from public disclosure.

For the purpose of transparency to Staff, the City Council, and City residents, much of the FAHC's discussions regarding the final scope item, to "Assess whether it is advisable for staff to recommend a forensic audit be conducted for the period of July 2019 through the current period [September 2020]," can be found in publicly available emails and Zoom meeting video recordings (for the final two meetings of the FAHC). Videos can be found on the City's YouTube channel (<https://youtu.be/EBod1BSaoQY> and <https://www.youtube.com/watch?v=qkCj65Qcc-E>).

FINAL REPORT AND RECOMMENDATIONS OF THE FINANCE AD HOC COMMITTEE

I. HISTORY OF THE FORMATION OF THE AD HOC FINANCE COMMITTEE

On September 28, 2020, the City Council voted unanimously to form the Finance Ad Hoc Committee (the "FAHC"). The FAHC was originally proposed to the City Council on September 2, 2020, and ultimately approved by the City Council, in response to concerns raised by residents, the Finance Commission, and a former City Finance Director about the proposed fiscal year 2020-2021 budget and the delayed Comprehensive Annual Financial Report ("CAFR") for fiscal year 2018-2019.

A. Residents' Discovery of Major Undisclosed Changes to the Proposed 2020-2021 City Budget

A draft 2020-2021 budget was presented to the Finance Commission on May 26, 2020, by the then-acting Finance Director Karen Aceves. The commission voted 5-0 to recommend that the City Council approve the draft budget, and a presentation of the draft budget to the City Council was scheduled to occur at a City Council meeting on June 3, 2020.

However, the draft budget in the City Council agenda packet, posted online on May 29, 2021, was different from the budget originally presented to the Finance Commission 3 days earlier. Changes totaling approximately \$14 million had been made to revenue and expenditure line items. The gross sum of changes made by Staff over the course of 3 days was an amount equal to 28% of the City's total \$51 million revenue budget. Further, significant changes had also been made to various general fund reserve balances and special revenue fund balances. The breadth of the changes was neither disclosed nor explained in the agenda report for the June 3, 2020, City Council budget presentation.¹

The June 3, 2020 City Council meeting was continued, and, in the following days and weeks, irregularities in the draft budget and other concerns and questions about the City's financial reporting were brought to the attention of City residents and leadership, largely through two reports, one authored by Sheila Rossi and FAHC member, Stephen Rossi, and the other by a former City Finance Director.

B. The Dispute Over the Adoption of a Resolution of Continuing Appropriations

At this point, the City Council requested that the new draft budget be reviewed by the Finance Commission. On its review of the new draft budget, the Finance Commission voted 4-1 to recommend that the City Council adopt a resolution of continuing appropriations, with review of the draft 2020-2021 budget postponed until completion of delayed 2018-2019 Comprehensive Annual Financial Report ("CAFR").²

Later, during a Special Meeting held on June 24, 2020, Staff presented the City Council with the Finance Commission's recent recommendation to delay review of the 2020-2021 budget. The first item on the agenda included a Staff report recommending that the City Council approve Finance Commission's proposal. However, citing a supposed \$3.5 million revenue shortfall expected due to the Covid pandemic³, Staff (led by Ms. Aceves and the then-acting City Manager, Ms. Stephanie DeWolfe), along with Councilmembers Ms. Khubesrian and Ms. Mahmud, spoke against the Staff's recommendation, instead suggesting the City Council adopt the new draft budget.⁴

After stating the report’s characterization that the Finance Commission had “originally approved [the budget] unanimously” was a “misdirection” on the part of Staff, then-sitting City Councilmember Schneider commented further, “Let me remind you what the item on the agenda is. It says, ‘Approve a Resolution to Continue Appropriations of the FY 19/20 Budget...That is the Staff recommendation, and now they’re arguing against it.’”⁵ Following the City Attorney’s conclusion that adopting a new budget that evening would be a violation of the Brown Act, the City Council adopted the recommended resolution of continuing appropriations.

C. Councilmember Khubesrian’s Emails Utilizing False Identities and Intimidation to Quell Resident, Former Employee, and City Official Questions Regarding the Budget

By way of additional background color leading to the formation of the FAHC, when the resolution of continuing appropriations was before the City Council for consideration, then-sitting City Councilmember Khubesrian not only dismissed residents who had raised questions regarding the budget, characterizing them as complainers “criticizing without looking for solutions,”⁶ but also submitted public comments via email under false identities. These emails advocated for adoption of the controversial draft budget; expressing support for the then-acting City Manager’s and Finance Director’s performance in connection with the 2020-2021 budget process; and making allegations of improprieties against the former City Finance Director who authored one of the critical reports.⁷ Furthermore, Ms. Khubesrian used these same false identities (also via emails) to pressure her colleague, Councilmember Cacciotti to stop asking questions about the City’s financials and claimed additional improprieties against yet another resident who had previously been critical of both Ms. Khubesrian and the 2020-2021 budget process.⁸ After these inappropriate actions were discovered and exposed by a resident, Ms. Khubesrian admitted authoring the pseudonymous emails and resigned her position in mid-August 2020. The public fallout that followed these discoveries weighed heavily in the City Council’s decision to form the FAHC.

D. Formation of the FAHC to Assist Finance Department Staff and Make Recommendations

On September 2, 2020, the FAHC was formed as an advisory committee to provide recommendations to, and consultation with, the City Finance Department on operational matters to promote the timeliness, accuracy, and transparency of the City’s financial reporting as well as to form a recommendation, based on the FAHC’s review, regarding whether a forensic audit would be warranted. The FAHC’s scope of work was limited to the following items:⁹

- (i) Ensuring the completion of the delayed fiscal year 2018-2019 Comprehensive Annual Financial Report (“CAFR”);
- (ii) Ensuring the timely completion of the fiscal year 2019-2020 CAFR;
- (iii) Management and oversight of the fiscal year 2020-2021 budget;
- (iv) Updating the City’s financial policies and procedures;
- (v) Making a recommendation to the Finance Commission regarding the frequency and timing of financial reporting; and
- (vi) Assess the necessity of, or scope of any additional audits, depending on the summation of the [FAHC’s] work, up to and including a forensic audit where the situation warrants additional review.

II. SUMMARY OF RESULTS OF OPERATIONAL CHANGES

As of the date of this summary report, the FAHC was comprised of six members – one Finance Commission member and five residents with various backgrounds in accounting, audit, business operations, finance, municipal finance, and restructuring – plus two City Council liaisons.¹⁰ From the date of the FAHC’s inception until approximately July 2021, the FAHC assisted Finance Department Staff in accomplishing the following. More detail on each of these items can be found in **Exhibit A** to this report.

- (i) On October 26, 2020, the City Council voted 4-1 to receive the final 20189/19 Comprehensive Annual Financial Report (“CAFR”), ahead of the November 3, 2020 election¹¹;

- (ii) On July 21, 2021, the City Council voted to receive the final 2019/20 Annual Comprehensive Financial Report (“ACFR”)¹²;
- (iii) On April 27, 2021, the City Council voted 5-0 to receive the Annual Budget for 2020/21;
- (iv) Completed researching and make recommendations (through Staff) regarding best practices for financial policies and procedures; and
- (v) Completed researching and make recommendations (through Staff) regarding best practices for monthly and quarterly reporting.

From approximately July 2021 until the date of this report, the FAHC focus has been the final remaining item included in the FAHC’s scope, as directed by the City Council:

- (vi) Assess the necessity of, or scope of any additional audits, depending on the summation of the [FAHC’s] work, up to and including a forensic audit where the situation warrants additional review.

The remainder of this report, and the accompanying exhibits and endnotes (which are an integral part of the FAHC’s recommendations), provides highlights of the FAHC’s discussions and deliberations on whether conducting a forensic audit is recommended. With the delivery of this report, the FAHC’s work has been completed.

III. RECOMMENDATION REGARDING A FORENSIC AUDIT

Before providing a recommendation as to whether a forensic audit is warranted at this time, it was the determination of the FAHC members that both Staff and the casual reader be presented with the following information:

- What is the purpose of a forensic audit?
- What are the red flags that indicate a forensic audit is warranted?
- A discussion of the relevant findings by the FAHC.

A. What is the Purpose of a Forensic Audit?

A forensic audit differs significantly from a regularly scheduled, annual audit like the CAFR. There are numerous whitepapers that explain in detail the scope and procedures contained within a typical forensic audit, however, a more simplified description can be found on Investopedia, “Forensic audits cover a wide range of investigative activities. A forensic audit is often conducted to prosecute a party for fraud, embezzlement, or other financial crimes.”¹³

Further, according to the American Journal of Business Education (“AJBE”), “Forensic accountants and auditors share some goals similar to traditional accountants and auditors. They have different roles, knowledge and skills. Forensic accountant investigations include identification of fraud. This is different from Certified Public Accountant (CPA) investigations that are not responsible for identifying fraud.”¹⁴

B. What are the Red Flags that Indicate a Forensic Audit is Warranted?

The red flags highlighted by the AJBE include, but are not limited to, the following...”

- Weak internal control processes; and
- Management style that pressured employees to take actions beyond financial statement management to manipulation to outright misrepresentation which is fraud.

The AJBE goes on to state, “Personnel-related practices allowing financial statement misrepresentation include low employee morale that is possibly due to inadequate compensation, high turnover and inexperienced

managers...An organization that loses financial records may have lost their financial records on purpose to hide fraud. Fraud is easier to commit when there is no strong accounting information system.”¹⁵

Further, Investopedia highlights how fraud can manifest in actual practice¹⁶:

- Conflicts of Interest: “when a fraudster uses their influence for personal gains to the [City’s] detriment.”
- Extortion: “the wrongful use of actual or threatened force, violence, or intimidation...”
- Asset Misappropriation: which can include, but is not limited to, activities such as embezzlement, providing contracts/not charging fees to third-parties due to personal relationships, and misuse of Staff time or other City resources,
- Financial Statement Fraud: “The goal of presenting fraudulent numbers may be to...ensure that C-level executives continue to receive bonuses, or cope with the pressure to perform.”

C. Findings of the FAHC

For the reader’s convenience, the relevant FAHC findings have been categorized according to the potential red flags indicating the possibility or threat of fraud outlined previously in this report.

1. **Management failures in managing and hiring Finance Department personnel led to high staff turnover and new, relatively inexperienced and, in some cases, unqualified staff.**

Finding 1.1 A Finance Department reorganization led to a significant reduction in Finance Department staffing levels: On November 7, 2018, then-acting City Manager, Ms. Stephanie DeWolfe initiated the reorganization of the Finance Department.¹⁷ This reorganization ultimately resulted in a 44% reduction in department staffing levels, from a historical level of 9 staff members to 5. The reductions included the elimination of two senior accounting clerk positions and the outsourcing of business licenses and payroll functions. *Potential Red Flags: Low employee morale, high turnover, inexperienced managers, weak internal controls, and incomplete financial reporting.*

Finding 1.2 The reorganized Finance Department had inexperienced leadership. Departed staff were replaced with new, underqualified or inexperienced staff members. Although then City Manager DeWolfe had received the recommendation to hire strong leadership for the Finance Director position,¹⁸ the acting Finance Director did not have any management experience in finance department operations. It is important that City employment policies and job descriptions for all positions within the Finance Department, especially that of the Finance Director, adhere to appropriate educational or equivalent experience requirements during recruitment. *Potential Red Flags: Low employee morale, high turnover, inexperienced managers, weak internal controls, and incomplete financial reporting.*

2. **The Finance Department reorganization and the procurement of the Citygate Report were undertaken in circumstances that give rise to questions about a possible lack of transparency, possible attempt to cover-up alleged asset misappropriation, and potential existence of a conflict of interest by City Manager DeWolfe.**

Finding 2.1 Questionable circumstances surrounded the timing of, and the process undertaken, to engage Citygate: Of note, one of the main items used by Ms. DeWolfe to support the Finance Department reorganization, was a report (the “Citygate Report”) provided by Citygate Associates, LLC (“Citygate”).¹⁹ According to the staff report to the City Council recommending hiring Citygate, an organizational assessment report was needed to prepare for the retirement of the finance director who had been on leave of absence. The report was

initiated by City Manager DeWolfe while the City was actively recruiting for a new finance director. The stated purpose of the report was to provide an “organizational review” and “best practices” in a confidential report to be used as a “resource and management tool” for the new finance director. However, in the two years that followed the report, the City had completed only 1 of the 43 items that the report recommended be implemented within the first 12 months. Further, the FAHC finds that the existence of allegations by Lauren Rubin going back to March 2018, approximately a month before City Manager DeWolfe entered into a contract with Citygate, and other circumstances, raise concerns which should be discussed:

DeWolfe Engages Citygate for an Organizational Review of the Finance Department: Starting in March 2018, Lauren Rubin, a member of the Finance Department staff, sent then-Human Resources Manager Miriam Lee Ko and Karen Aceves messages regarding “financial irregularities and mishandling of a substantial amount of government and public monies,”²⁰ however no response was received by Rubin. Approximately one month later, on April 19, 2018, a consulting contract between Citygate and the City of South Pasadena was signed by Ms. DeWolfe, including a not-to-exceed contract total of \$69,420.00. The proposal had been presented to, and approved by, the City Council the prior evening on April 18, 2018.²¹ A review of the City Clerk files on the City’s website did not find any evidence of a competitive bidding process as per the City’s typical procedures. Further, it was not disclosed, either in the presentation to the City Council by Staff nor in the contract with Citygate itself, that the Senior Consultant who would be performing the organizational review was former Pasadena Finance Director, Mr. Andrew Green. Mr. Green had previously worked with Ms. DeWolfe in the City of Pasadena for three years (2009-2012)²², but later departed the City of Pasadena in January 2015 amidst an investigation into the embezzlement of \$6.4 million from a city fund overseen by Mr. Green.²³

Questionable Circumstances Regarding the Rubin Case and Citygate: The Citygate report became a central piece in the subsequent wrongful termination lawsuit by Lauren Rubin claiming that DeWolfe commissioned the Citygate report, through her personal relationship with Green and without any competitive bidding process, in an attempt to invent cause to terminate Rubin and hide Rubin’s claims of financial improprieties from the City Council.²⁴ Rubin was terminated by the City in November 2018, three months after Citygate issued the final, August 16, 2018 report. It is unclear to the members of the FAHC whether the prior messages alleging “financial irregularities and mishandling...of...monies,” sent by Rubin to Ko and Aceves, were ever disclosed to the City Council prior to the commissioning of the Citygate report, the dismissal of Rubin by the City, or the filing of Rubin’s legal claim.

Per Ms. DeWolfe’s LinkedIn profile, since June 2021, approximately 2 months after a final settlement was reached in the Rubin case and nine months after DeWolfe’s separation from her position as City Manager of South Pasadena, Citygate hired Ms. DeWolfe as a Management & Leadership Consultant.

Potential Red Flags: Conflict of interest, management style that pressured employees to take actions beyond financial statement management to manipulation to outright misrepresentation which is fraud, potential asset misappropriation...providing contracts to third-parties due to personal relationships, misuse of Staff time or other City resources, and specific claims of financial irregularities made by Rubin.

Finding 2.2 The City Council appeared to have used, extensively and inappropriately, closed session City Manager performance reviews to conduct other business unrelated to the City Manager: For reference, the position of the City Manager reports to the South Pasadena City Council, and periodic performance evaluations of the City Manager are conducted by the City Council in closed session. A summary analysis, based on a review of the City Council closed

session agendas from January 2018 through August 2020, of the various dates these closed session performance evaluations occurred is included in the chart below:

	Date of Closed Session	Days Since Last Eval	Total Days in Grouping	# of Evals in Grouping	Avg Months per Eval
1	February 21, 2018	N/A	N/A	1.0	N/A
2	July 18, 2018	147			
3	August 15, 2018	28			
4	October 17, 2018	63	203.0	6.0	1.13
5	December 19, 2018	63			
6	January 16, 2019	28			
7	February 6, 2019	21			
8	August 21, 2019	196			
9	September 11, 2019	21	28.0	3.0	0.31
10	September 18, 2019	7			
11	January 15, 2020	119	63.0	2.0	1.05
12	March 18, 2020	63			
TOTAL DATA SET:			756.0	12.0	2.10

Most cities and companies provide at least one performance review annually. Some private companies even perform regular reviews on a quarterly basis. Therefore, the existence of 12 performance reviews over an approximate 2-year span (or one performance review every 2.1 months on average) seems unusual in the absence of a performance improvement plan. However, upon closer inspection of the dates in question, it is clear that there was no regular cadence to the closed session performance reviews. Rather these reviews come in three main spurts with large gaps between each grouping, including one grouping which contained three separate closed session performance reviews within the same 28-day period.

Potential Red Flags: Conflicts of interest, weak internal control processes, potential Brown Act violations

3. The Finance Department did not have, and did not follow, important internal controls, policies, and processes.

Finding 3.1 The Finance Department failed to reconcile bank accounts timely. While it is best practice to reconcile bank accounts and close monthly financials within 30 days of each month end, the Finance Department was as much as twelve (12) months behind in reconciling the City’s bank accounts and closing monthly financials, directly leading to the delay in starting/completing the 2018/19 CAFR. *Potential Red Flags: Weak internal control processes*

Finding 3.2 The City lacked controls or procedures to alert management to the Department’s unreconciled accounts. The City’s failure to have “procedures in place to ensure that all relevant accounts are reconciled” at year end was a “material weakness” finding by the auditor in the 2018/19 CAFR audit letter. (As outlined in more detail in Exhibit A of this report, in conjunction with the delivery of the 2018-2019 CAFR, the City’s outside audit firm, RAMS, highlighted several “material weaknesses” in the City’s internal control processes that negatively affected the timely delivery of financial reporting. These included, but were not limited to, monthly bank reconciliations being as much as 12 months delayed; an inability to properly review numerous financial statement accounts and a failure to maintain an adequate

year end closing process; and (noted as a “significant deficiency”) the failure of the Finance Department to maintain an updated accounting policies and procedures manual for Staff to reference. RAMS also noted that the root cause of these issues was the City’s inability to maintain adequate Staffing levels in the Finance Department. *Potential Red Flags: Weak internal control processes*

Finding 3.3 The Finance Department failed to prepare forward looking projections of the City’s cash position nor was the Monthly Liquidity Report certified by the City

Treasurer as required by the City’s Investment Policy. The City’s Investment Policy (as voted on by the City Council each year) requires the City Treasurer to certify “as to the availability of cash to meet the City’s expenditures over the next six months.... based on cash flow projections provided by the Finance Department.” As of the date this FAHC was created, the City Treasurer’s monthly report was the only interim financial report regularly presented directly to the City Council. The City’s Investment Policy required the City Treasurer to certify the City’s liquidity position based on the forward-looking projections of the Finance Department.

Had the City Treasurer report and certification highlighted the Finance Department’s failure to provide the forward-looking statements, the City Council would have been directly alerted to the issue. The City Council would have been on notice as to the issues within the Finance Department, potentially as much as a year prior to the contentious budget discussions that occurred in June 2020. *Potential Red Flags: Weak internal control processes*

4. The City did not comply with its own purchasing policy.

Finding 4.1 The prior City Manager used her authority to undermine the spirit of the City’s purchasing policy requiring City Council approvals of major contracts. City purchasing policies include various provisions outlining authority levels required by the total size of expenditure. These policies state, among other things, that any contract, amendment, or follow-on contract, that results in a cumulative possible expenditure more than \$25,000.00 requires approval by the City Council.²⁵ Included in the sample selections reviewed by RAMS as part of the 2018-2019 CAFR, approximately 18 contracts (provided to the FAHC directly by RAMS) were found to be in potential violation of the City’s purchasing policies, including at least 2 contracts that, on their surface, should have gone to the City Council for approval. Both were executed by then-acting City Manager DeWolfe and then-acting City Attorney Highsmith (contracted through Colantuono, Highsmith, and Whatley).²⁶ *Potential Red Flags: Weak internal control processes, asset misappropriation*

5. The City did not have policies or procedures for administering its legal liability reserve.

Finding 5.1 The City did not have a policy or practice of accruing an actual reserve against its legal liability. Based on the FAHC’s review of the October 26, 2020, City Council meeting and follow up discussions with staff, the City did not maintain a legal liability reserve and had no policies or procedures for doing so. First, the \$500,000 “reserve” amount which appeared on the City’s balance sheet remained constant over years, without any accounting entries of expenditures or accruals to reflect activity in the liability. Second, as elicited by FAHC member Rossi in the question-and-answer session with the auditor representative at the October 26, 2020, City Council meeting, the account was for all practical purposes an inactive placeholder account within the larger general reserve and there was no true legal liability reserve accrual maintained within the City’s balance sheet. Third, there was no method of review utilized by the City to determine the City’s true, outstanding legal liability to be reflected in the annual audit and financial statements as required by GASB. Instead the City relied exclusively on the City Attorney’s general, but inaccurate, belief that all litigation claims are covered by the City’s

insurance risk pool and therefore not required to accrue for properly. *Potential Red Flags: Weak internal control processes, conflict of interest, asset misappropriation, financial statement fraud*

Finding 5.2 Official representations that the litigation liability reserve was an actual accrual for anticipated liability expenses were based on inaccurate statements made by City Attorney Highsmith and Councilmember Mahmud with no internal review process by the Finance Department, Finance Committee, City Manager, City Council, or the City's outside audit firm, resulting in the filing of a potentially inaccurate 2018-2019 CAFR. At the October 26, 2020 council meeting, City Attorney Highsmith and Councilmember Mahmud represented that the annual designation of a legal liability reserve was a reserve against reasonably anticipated legal expenses, and 100% of all litigation expenses beyond the policy's deductible would be covered by the City's insurance pool making further discussion on the topic unnecessary. However, during the same council meeting,²⁷ the City's outside auditor affirmed: 1) there was no actual accrual in the City's financials for litigation expenses; 2) despite the CAFR being conducted for the period ending June 30, 2019, given the date the CAFR was being *delivered* to the City Council, October 26, 2020, a review of all existing, pending, or threatened litigation outstanding at any time from June 30, 2019 through effectively September 30, 2020 would be necessary in order for the CAFR to be correct²⁸; and 3) the auditors' sole source of information regarding potential litigation claims against the City was a letter provided by then-acting City Attorney, Ms. Theresa Highsmith, a partner at Colantuono, Highsmith, and Whatley. The representations by City Attorney Highsmith are further in direct contradiction to notification previously received by the City's insurance provider, and available to the City Attorney prior to the October 26, 2020 council meeting and finalization of the 2018-2019 CAFR as outlined in Finding 5.3 below. As such, no oversight or review of the City Attorney's methodologies, analysis, or conclusions was conducted by any member of City Staff, Finance Commission, or the City Council prior to a vote to receive the CAFR. The City Council voted 4-1 to receive and file the 2018-2019 CAFR on October 26, 2020. *Potential Red Flags: Weak internal control processes, conflict of interest, asset misappropriation, financial statement fraud*

Finding 5.3 The City filed and received the 2018-2019 audit report containing a legal liability estimate without adequate due diligence. Even if most claims against the City are covered by the City's risk pool coverage, the City is still required, for both the purpose of presenting accurate financial reports as well as ensuring proper accountability for, and execution of, the City's fiduciary responsibilities, to accurately estimate the amount of reserve needed for claim liabilities and for legal expenditures exceeding its annual legal expense budget. In the context of the City Council adoption of the 2018-2019 CAFR on October 26, 2020, it should be noted, that per emails provided to this FAHC and included as Exhibit B to this report, both City staff and Colantuono, Highsmith, and Whatley were made aware, at least 5 months prior to the October 26, 2020 Council meeting, that the City had been notified by its insurance company that at least one ongoing litigation may not be covered under the policy ("Case 2"). On May 27, 2020, City staff attempted to raise an alarm to the City Council that additional funds would be required to cover potential litigation costs, stating, "We need to go to Council for sure, can we discuss ASAP." Upon a review of subsequent City Council meeting agendas, this topic was never brought before the City Council. FAHC finds this course of action does not demonstrate a good faith effort to accurately reserve against the City's liability position or accurately present the City's financial position and performance to the public. FAHC recommends that the City determine its estimated legal liability position in accordance with GASB, as required by local and State regulation, and after a full review of a fulsome economic risk analysis of all existing, pending, or threatened litigation outstanding for the relevant time-period, prepared by the City Attorney and reviewed by the Finance Department, Finance Commission, City Manager, and the City Council prior to inclusion in any City budget or CAFR.

As of the October 26, 2020 City Council meeting, "Case 2" was still being tried on behalf of the City by litigators employed by Colantuono, Highsmith, and Whatley. Notification of potential non-coverage by the City's insurance company appears to be in direct contradiction to the information provided by then-acting City Attorney Highsmith, in writing to the City's outside auditors, and directly to the City Council during open session, and may have negatively impacted the accuracy of the financial information included in the 2018-2019 CAFR. *Potential Red Flags: Weak internal control processes, conflict of interest, asset misappropriation, financial statement fraud*

Finding 5.4 The City's potentially inadequate due diligence or policies regarding litigation risk assessment and risk management led to approximately \$600,000 of litigation and settlement costs born by taxpayers. Below is an example of a litigation issue with potential inadequate risk management. On May 20, 2022, the *SouthPasadenan* reported that the Hanscom Drive sewer litigation (referred to by the City as "Case 2") had been settled for \$200,000. This settlement was in regard to a two-day sewer overflow that occurred on January 11th and January 12th, 2018.²⁹ Included in the settlement agreement is the City's first public acknowledgement that the sewer blockage (found by work crews on January 12, 2018) actually resided in the City's mainline sewer system. In January 2018, the resident initially requested approximately \$40,000 to pay for environmental remediation of the soil as well as replacement of damaged personal property from the overflow caused by a blockage in the City's sewer mainline. The City decided not to accept the request. The resident hired a lawyer in early 2018. In October 2019, the resident again made a settlement offer to the City through then Mayor Khubesian for \$80,000 to cover the environmental remediation, replacement of damaged personal property, and incurred legal costs through that date. The settlement offer was not accepted by the city. Litigation continued until a final settlement offer was executed in mid-May 2022. Based on the legal billings presented in open session City council meetings plus third-party expert costs including but not limited to engineering, soil testing, Transtech inspections, and the final settlement cost itself, the City spent approximately \$600,000 in hard costs regarding Case 2, not including soft costs associated with City staff and Council time as well. Please see below for additional detail on legal billings and timeline of key events:

	12 Mos Actual FY2015-2016	12 Mos Actual FY2016-2017	6 Mos Actual FY2017-2018	12 Mos Annual'd FY2017-2018	12 Mos Actual FY2018-2019	12 Mos Actual FY2019-2020	12 Mos Actual FY2020-2021	11 Mos Actual FY2021-2022	5 Year Total	Check
General Services	193,569.00	241,457.00	47,661.44	95,322.88	105,763.72	99,376.28	107,083.94	100,008.30	507,555.12	-
LITIGATION (UNIDENTIFIED)										
Case 2 (SMITH)					5,263.50	114,175.53	156,648.38	116,341.18	116,341.18	-
Case 1 (Fox)					14,775.50	1,963.00			16,738.50	-
Case (Benzoni)			16,921.31	33,842.62	21,944.32				55,786.94	-
Other Identified Litigation Cases			22,089.81	44,179.62	44,337.65	75,029.06	51,649.01	3,610.35	218,805.69	-
Transportation (710 issues)	21,604.00	2,515.00	2,396.50	4,793.00	1,527.50	8,941.00	12,208.57	857.50	28,327.57	-
Labor & Employment	9,354.00	8,461.00	11,727.00	23,454.00	34,352.50	52,509.19	33,527.00	50,892.00	194,734.69	-
Special Projects			18,256.00	36,512.00	80,950.57	96,759.87	116,843.80	158,185.58	489,251.82	-
Tax & Assessment			1,611.50	3,223.00	11,280.00	5,724.50	4,336.50	318.50	24,882.50	-
Water & Utilities			1,457.00	2,914.00	7,520.00	5,694.50	10,734.50	16,377.50	43,240.50	-
COVID-19						10,392.00	8,042.00		18,434.00	-
Gardena V RWQCB			1,871.00	3,742.00	3,681.50	8,346.15	2,608.00	144.50	18,522.15	-
Miscellaneous	1,998.00	1,033.00			1,903.50	600.00	(415.10)	33,639.44	35,727.84	-
Subtotal	226,525.00	253,466.00	123,991.56	247,983.12	333,300.26	479,511.08	503,266.60	515,931.33	2,079,992.39	-
% Growth YoY	N/A	11.9%		-2.2%	34.4%	43.9%	5.0%	2.5%		
Subtotal - Litigation (All)			39,011.12	78,022.24	86,320.97	191,167.59	208,297.39	155,508.01	719,316.20	-
Subtotal - Litigation (Identified as Smith Case)					5,263.50	114,175.53	156,648.38	116,341.18	311,643.89	-
Case 2 (Smith) as % of total Litigation Expense by Period (as Identified in Billings)					6.1%	59.7%	75.2%	22.9%	43.3%	
Subtotal - Litigation (Identified Smith plus Pro Forma for Undesignated Billings)					5,263.50	114,175.53	156,648.38	116,948.55	393,035.96	
Case 2 (Smith) as % of total Litigation Expense by Period (Pro Forma for Undesignated Billings)					6.1%	59.7%	75.2%	75.2%	54.6%	

CITY CASE 2 LITIGATION EXPENSE DETAIL BASED ON KEY TIMELINE OF EVENTS

Key Items and Dates	DATE	# OF MONTHS	\$ Expenses	Cumulative \$'s	Cumulative %
Original \$40K Claim from Resident for Property Remediation and Replacement Costs	Jan-18	N/A			0.0%
Initial \$80K Settlement Offer from Resident and Date of City Press Conference	Oct-19	21.27	11,825.86	11,825.86	2.0%
First Mediation	Jun-20	8.13	107,613.17	119,439.03	20.1%
Judge Kralik Rules Against City in SLAPP Case	Jan-21	7.13	61,681.42	181,120.45	30.5%
Mandatory Settlement Conference	Jun-21	5.03	94,966.96	276,087.41	46.6%
City Files Appeals Brief in SLAPP Litigation	Nov-21	5.10	71,011.40	347,098.81	58.5%
First Formal Offer of Settlement From the City to Resident	Dec-21			347,098.81	58.5%
Settlement Executed Between City and Resident	May-22	6.03	45,937.15	393,035.96	66.3%
Plus: Agreed \$200K Settlement Cost for City (Not included in billings numbers above)	May-22		200,000.00	593,035.96	100.0%
Cumulative Total Expense (Excluding Third Party Fees ie. Transtech, engineers, etc)		52.70	593,035.96		

Total Cost to the City Since Losing the SLAPP Judgement	Jan-21	411,915.51
Total Cost to the City Since First Mediation Date	Jun-20	473,596.93
Total Cost to the City Since \$80K Settlement Proposal Made by Resident	Oct-19	581,210.10
Total Cost to the City Since Original \$40K Claim Made by Resident	Jan-18	593,035.96

Approximately \$600,000 of litigation costs came after the resident's initial request of \$40,000.00. The City Attorney at that time, Highsmith, is employed directly by Colantuono, Highsmith, and Whatley, the firm hired to litigate Case 2. As noted by the California League of Cities white paper on City Attorney ethics³⁰, there is a potential conflict of interest for a partner in a law firm, serving as a contract city attorney, to advise a city council on litigation work conducted by other members of the same law firm. *Potential Red Flags: Weak internal control processes, conflict of interest, asset misappropriation*

6. The City decreased its financial transparency by reducing the detail and frequency of its financial reporting to Council.

Finding 6.1 The City discontinued its semi-annual report on expenses for attorneys, consultants, and lobbyists. Historically, and to track total expenditures more readily for each group by category, a consolidated summary of expenses spent during the year on attorneys, consultants, and lobbyists was provided twice a year to the City Council. Without the provided consolidation, it is difficult to track total expenses by category as expenses can be distributed across multiple departments and Fund accounts making it impossible for the City Council to trace the impact of litigation, staffing, or outsourcing decisions – and thereby significantly reducing the ability for oversight from both the City Council and residents. While this report was historically provided twice per year, at the time the FAHC was created, the last issuance of such a report was in February 2018. Please note that these legacy reports had been available online via the Finance Department website until sometime in mid to late 2020. They have since been removed. *Potential Red Flags: Weak internal control processes, conflict of interest, asset misappropriation, financial statement fraud*

Finding 6.2 The City reduced the detail provided in its Legal Billing Disclosures amidst resident concerns regarding conflicts of interest regarding the City Attorney's employment by Colantuono, Highsmith, and Whatley As far back as the 1990's (the oldest available files archived in the City's online document database) legal expenses included in the warrant register presented, and approved for payment by the City Council were summarized by matter with each matter assigned a specific identifier (either a matter name or case number).³¹ Starting with the legal expenses billed for the month of July 2021 by Colantuono, Highsmith, and Whatley (the firm which employs the City's contract City Attorney among providing other legal services), and presented to the City Council for inclusion in the warrant register to be approved on October 6, 2021,³² these identifiers have been removed.

	FY 2017-2018								FY 2018-2019								FY 2019-2020										
	1/3/18	1/17/18	2/7/18	5/2/18	6/6/18	8/15/18	9/19/18	11/7/18	1/16/19	2/6/19	3/6/19	4/17/19	5/15/19	7/17/19	8/21/19	10/2/19	11/6/19	12/4/19	12/18/19	1/18/20	2/5/20	3/18/20	4/15/20	6/3/20	6/17/20		
General Services	9,597.37	9,599.59	9,570.85	18,893.63	19,261.47	19,215.82	9,500.00	19,326.25	9,587.20	9,620.64	9,601.54	9,650.80	9,560.32	9,560.32	10,077.72	10,095.12	10,141.62	10,075.40	10,067.28	10,065.78	10,088.77	4,194.95	5,449.00				
LITIGATION (UNIDENTIFIED)																											
Case 2 (SMITH)																											
Case 1 (Foa)																											
Case (Benzoni)	141.00	10,300.26	3,413.05	3,067.00	16,332.74	5,470.58	141.00		2,086.50	141.00	1,081.00	1,848.00	107.00	2,312.40	4,249.96	17,594.25	21,735.52	7,311.70	8,161.68	10,671.09	17,607.18	13,543.50	10,588.25				
Other Identified Litigation Cases	6,721.78	5,384.93	4,754.00	5,269.50	3,607.50	4,840.85	21,854.30	7,000.50	6,785.50	1,997.50	4,253.50	1,433.50	305.50	1,081.00													
Transportation (710 issues)	660.50	91.00	634.50	1,010.50	211.50	235.00	164.50	352.50	47.00	517.00																	
Labor & Employment	493.50	1,998.00	5,757.50	3,478.00	5,146.50	12,280.50	1,679.50	3,266.00	3,078.50	5,898.50	1,034.00	1,959.00	2,209.00	1,292.50	4,624.50	3,438.00	3,887.50	16,047.93	4,064.00	1,077.50	12,746.76	1,483.00	1,638.50				
Special Projects	2,238.50	1,683.50	10,799.00	3,335.00	5,494.50	12,330.83	8,711.00	22,624.86	1,808.50	15,294.57	4,812.00	9,874.31	2,694.86	3,034.08	3,471.00	2,940.00	3,120.06	3,568.56	20,203.00	18,000.50	22,577.56	17,750.25					
Tax & Assessment	1,443.50			188.00	1,527.50	9,318.00	694.50																				
Water & Utilities	493.50	235.00	282.00	446.50	1,136.00	164.50	493.50	399.50	282.00	564.00	869.50	611.00	752.00	70.50	441.00												
COVID-19																											
Gardena V RWQCB	415.00	292.50	449.00	714.50	438.50	732.00	555.50	70.50	120.00	987.00	94.00	684.00	1,950.50	1,039.00	814.25	468.45	1,127.45	198.50	2,064.00	204.50	65.00	181.00	253.50				
Miscellaneous																											
Subtotal	22,194.65	29,584.38	35,619.90	36,602.63	55,956.21	64,421.58	43,898.30	63,486.61	18,918.20	39,273.71	21,936.04	25,409.61	27,581.50	25,471.40	24,466.59	45,864.82	60,279.20	42,732.59	35,730.47	50,312.37	68,301.19	54,357.95	44,413.00				
% Growth YoY																											

	FY 2020-2021								FY 2021-2022									
	7/1/20	7/15/20	8/5/20	11/18/20	12/16/20	3/2/21	4/7/21	4/28/21	7/1/21	7/21/21	10/6/21	10/20/21	11/10/21	1/12/22	2/1/22	3/28/22	4/20/22	6/6/22
General Services	6,493.50								10,000.00	10,000.00	10,006.80	10,000.00						10,000.00
LITIGATION (UNIDENTIFIED)																		
Case 2 (SMITH)	1,627.35					38,430.39	30,843.22		8,928.28	14,157.42	4,922.00				6,918.50			29,359.85
Case 1 (Foa)																		
Case (Benzoni)																		
Other Identified Litigation Cases	7,134.50					1,568.00	1,592.50		2,552.75									
Transportation (710 issues)																		
Labor & Employment	860.50					318.50	1,200.50		686.00	2,156.00	2,523.50			3,062.50				10,596.50
Special Projects	8,645.50					7,261.50	13,641.00		36,815.50		15,884.50			15,190.50				20,560.50
Tax & Assessment	1,273.50					24.50					220.50							
Water & Utilities	1,273.50					122.50	2,499.00		196.00		1,739.50			2,118.50				1,984.50
COVID-19	3,544.50					117.50	156.00											
Gardena V RWQCB	82.00					1,176.00	318.50											534.55
Miscellaneous						191.58			12,029.50	305.56				218.56				
Subtotal	29,623.35					64,359.19	55,684.72		71,208.03	26,518.98	34,996.80			37,508.56				73,035.90

It should be noted that, while discussion by the City Council during the October 6th meeting concluded that the shift in billing practice was to mitigate any potential "advantage" that an

opposing council could gain by seeing the amount of billings incurred by the City on any particular case, this change in billing practices occurred just one month after various residents raised concerns to the City Council, via public comments, regarding what was perceived to be excessive litigation costs, specifically citing the billings by Colantuono, Highsmith, and Whatley associated with the ongoing “Case 2” litigation.³³ That South Pasadena City Attorney, Andrew Jared, who recommended the change in the decades-long billings practice, is a contract City Attorney employed directly by Colantuono, Highsmith, and Whatley presents a conflict of interest vis a vis the recommendation to Council. *Potential Red Flags: Weak internal control processes, conflict of interest, asset misappropriation, financial statement fraud*

Finding 6.3 If the City had maintained the frequency and detail of legal expense reporting, the disclosures would have alerted the public to large fluctuations in legal expenses from year to year. The 2018-2019 CAFR filed with the City Council on October 26, 2020, estimated legal liabilities of the City, outside of its budgeted legal expenses, at \$500,000. On March 12, 2021, less than 5 months after the 2018-2019 CAFR was presented to the City Council, the *SouthPasadenan* reported³⁴ that the City’s then-proposed 2020-2021 City budget included a litigation budget of “\$1.15 million for 2021, nearly four times as much as for 2020...” The article also quotes then-acting Interim Assistant City Manager, Elaine Aguilar, as stating the “\$1.15 million figures does not include potential costs for the still pending litigation over a sewer leak on Hanscom Dr. [Case 2]” FAHC recommends that increased financial reporting of highly fluctuating, cumulatively large legal expenses is an important step toward greater financial transparency, including an immediate return to providing semi-annual reports on expenses for all lawyers, consultants, and lobbyists. *Potential Red Flags: Weak internal control processes, conflict of interest, asset misappropriation, financial statement fraud*

IV. RECOMMENDATION REGARDING A FORENSIC AUDIT

It was not within the scope of the FAHC to make any conclusions as to whether any inappropriate activities *had* occurred or the intentions behind any individual activities described in this report. The FAHC has not made, nor does it infer, any such conclusions. Rather, it was the task of the FAHC to investigate whether red flags existed that would indicate inappropriate activities *may* have occurred. It is the opinion of the FAHC that the red flags discussed throughout this report do, on their surface, warrant a further review by specialists via a forensic audit. However, given the number of years that have transpired since the bulk of these actions took place, the significant financial cost associated with such an endeavor, and the prior removal/resignation of many then-acting City officials potentially involved, such a step may not be practical for the City at this time. The FAHC instead recommends the City take the additional actions outlined below to help ensure similar activities are not tolerated or allowed to exist in the future. This conclusion was based, in no small part, upon the assumption that City Staff, the Finance Commission, and the City Council will continue to implement the many recommendations provided in both this report and previously provided throughout the FAHC’s work. In the event the City does not follow through on the recommendations provided in the next 12 months, it is the belief of the FAHC that a forensic audit, designed to look into the numerous findings discussed in this report, is not only warranted, but necessary.

It is further recommended that City Staff:

- Review and prepare an analysis to the Finance Commission and City Council regarding the viability of instituting a new, independent internal auditor position within the City of South Pasadena. As discussed elsewhere in this report, the existing City policies and procedures, had they been properly followed, would have helped prevent or eliminate many of the FAHC’s findings. However, as the position of City Manager is the only City Staff member reporting directly to the City Council who is also under the Council’s direct and sole supervision, a potential for conflict of interest is created. An Internal Auditor, hired by, reporting to, and having compensation determined directly by the City Council, would act

independently of the City Manager and Finance Departments, helping to ensure ongoing compliance with stated City codes, policies, and procedures without fear of intimidation or retaliation by the City Manager. This internal auditor could support the City Council in their responsibility for oversight by providing institutional knowledge and an additional level of security regarding stewardship of funds for the citizens of South Pasadena;

- In order to comply with best practices for contract attorneys as described by the League of California Cities and the City of South Pasadena’s own code of ethics requiring the elimination of even the “appearance” of a conflict of interest, it is recommended the City codify as policy that the City cannot retain one law firm to provide both (i) contract City Attorney services, and (ii) litigation services;
- Immediately proceed with an RFP for a new contract City Attorney law firm (as already motioned by Councilmember Zneimer and seconded by Councilmember Cacciotti in open session during the September 1, 2021 council meeting) to be acted upon, and any awards determined, by the newly constituted City Council after the November 2022 elections;
- Determine its estimated legal liability position in accordance with GASB, as required by local and State regulation, and after a full review of a fulsome economic risk analysis of all existing, pending, or threatened litigation outstanding for the relevant time-period, prepared by the City Attorney and reviewed by the Finance Department, Finance Commission, City Manager, and the City Council prior to inclusion in any City budget or CAFR;
- Increase financial reporting of highly fluctuating, cumulatively large legal expenses, including an immediate return to providing semi-annual reports on expenses for all lawyers, consultants, and lobbyists; and
- Provide a quarterly update to the Finance Commission to update both that body and, in turn through Finance Commission and City Council Liaison reports, the City Council as to Staff’s progress on implementing the recommended actions.

The opinion is based on the FAHC’s work on the operational matters described above; its review of documents and other information provided by Staff during the FAHC’s work; agenda reports, presentations, and discussions at open meetings of the Finance Commission and City Council; and other related, publicly accessible materials – many of which have been cited throughout this report in support of the FAHC’s findings and recommendations.

The FAHC did not consider, and did not have access to, City Council closed session materials, or other information protected from disclosure to the public by the attorney-client or other privileges. Nevertheless, the FAHC believes that the current members of the City Council, in consultation with current City senior management, should conduct its own assessment of the necessity for and scope of any additional audits (including a forensic audit if deemed warranted), using relevant materials that may be outside the scope of the FAHC’s work or protected from public disclosure.

For the purpose of transparency to Staff, the City Council, and City residents, much of the FAHC’s discussions regarding the final scope item, to “Assess whether it is advisable for staff to recommend a forensic audit be conducted for the period of July 2019 through the current period [September 2020],” can be found in publicly available emails and Zoom meeting video recordings (for the final two meetings of the FAHC). Videos can be found on the City’s YouTube channel (<https://youtu.be/EBod1BSaoQY> and <https://www.youtube.com/watch?v=qkCj65Qcc-E>).

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EXHIBIT A

COMPREHENSIVE ANNUAL FINANCIAL REPORT (“CAFR”) FOR FISCAL YEAR 2018-2019

On September 24, 2020, a draft Comprehensive Annual Financial Report (“CAFR”) for fiscal year 2018-2019 was presented to the Finance Commission for review, discussion, and a recommendation to City Council.

During its initial review of the draft 2018-2019 CAFR, the commission discovered discrepancies between the draft 2018-2019 CAFR and the 2018-2019 budget adopted by City Council on June 6, 2018.³⁵ The commission further observed discrepancies between the 2018-2019 budget adopted by City Council and the 2018-2019 budget document posted on the City’s website.³⁶

In other words, there were three different 2018-2019 budget documents, two of which were different from the budget document actually adopted by the City Council in 2018. The commission could not find evidence that the changes had been disclosed to or approved by the City Council.

In its initial meeting on October 13, 2020, the FAHC reviewed, discussed, and provided feedback to staff on the draft CAFR, on the variances identified by the Finance Commission, and on the adverse findings made by the City’s auditor in connection with the draft 2018-2019 CAFR. Among others, the auditor’s findings included:

- Non-Compliance with Budget Policy: While reviewing the DRAFT 2018/19 CAFR, members of the FAHC realized that the 2018/19 Budget referred to in the DRAFT CAFR was not consistent with the 2018/19 Budget approved by the City Council. Similar to the 2020/21 Budget variances described elsewhere in this report, subsequent to approval of the 2018/19 Budget by the City Council, errors within the Budget appear to have been discovered by members of the Finance Department and “corrected” without any notification to, review, or approval by the Finance Commission or City Council. As noted by RAMS and included in the 2018/19 CAFR Management Letter, this was in violation of stated City Financial Policy.
- Non-Compliance with City Purchasing Policy: City purchasing policies include various provisions outlining authority levels required by the total size of expenditure. These policies state, among other things, that any contract, amendment, or follow-on contract, that results in a cumulative possible expenditure in excess of \$25,000.00 requires approval by the City Council³⁷. Included in the sample selections reviewed by RAMS as part of the 2018/19 CAFR, approximately eighteen (18) contracts were found to be in potential violation of the City’s purchasing policies, including at least two contracts that, on their surface, should have gone to the City Council for approval. Both were executed by then-acting City Manager DeWolfe and then-acting City Attorney Highsmith (contracted through Colantuono, Highsmith, and Whatley).
- Bank Reconciliations Not Prepared Timely: RAMS found that bank reconciliations had not been prepared, reviewed or approved in a timely manner, describing the cause as: “The City did not have controls in place to ensure bank reconciliations were performed in timely manner [i.e., monthly].” The auditor considered this deficiency to be a “material weakness.”³⁸
- Year-End Closing Process: RAMS found that “many accounts were not properly reviewed and/or reconciled at year-end in preparation for the [2018-2019] audit.” The auditor described the cause as: “The City did not maintain the appropriate staffing levels to allow for the proper year-end closing process.” The auditor considered this deficiency to be a material weakness.

- Accounting Procedures and Policies Manual: RAMS found that the Finance Department did not have “an updated accounting procedures and policies manual readily available for reference.” The auditor considered this deficiency a “significant deficiency.”³⁹

A revised draft 2018-2019 CAFR was presented to the Finance Commission on October 15, 2020, with current staff disclosing and explaining the revisions made to the draft initially presented to the commission on September 24, 2020, in response to feedback received from the commission and from the FAHC. The commission voted to receive and file the 2018-2019 CAFR.

The 2018-2019 CAFR was presented to the City Council on October 26, 2020. The agenda report discussed and explained the variances identified by the Finance Commission and their review by the Finance Commission and by the FAHC. The City Council voted 4-1 to receive and file the 2018-2019 CAFR.⁴⁰

In the FAHC’s view, a primary cause of the financial reporting crisis that led to the formation of the FAHC was insufficient staffing in the Finance Department. In addition to the “high turnover at the management level in the Finance Department” cited by the City’s auditor, an ill-conceived 2018 reorganization of the Finance Department, promoted by the then-acting City Manager, reduced department staff from a historical nine (9) to five (5), and outsourced business licenses and payroll functions.

Exacerbating the reduction in staff was the replacement of legacy staff with new staff who did not have institutional knowledge, and the hiring of a Finance Director who lacked the experience necessary to lead the department.

These conditions, compounded by a lack of controls (and the failure to follow existing controls), led to a delay in month-end bank reconciliations -- by as much as twelve (12) months -- which in turn led to a delay in the year-end closing process, which in turn led to a delay in commencing the audit process for the 2018-2019 CAFR.

The City’s former City Manager retired suddenly effective September 12, 2020, immediately subsequent a September 11, 2020 Special Agenda Closed Session performance evaluation with the City Council. The City’s former Finance Director left on an unspecified indefinite family leave in August 2020, and resigned on October 6, 2020, prior to returning from leave and one week after the formation of this FAHC was announced.⁴¹ The committee credits the interim Assistant City Manager hired to lead the Finance Department and current department staff for their transparency and responsiveness to feedback from the Finance Commission and the FAHC, and for bringing the fiscal year 2018-2019 CAFR to completion.

ANNUAL COMPREHENSIVE FINANCIAL REPORT (“ACFR”) FOR FISCAL YEAR 2019-2020

Finance Department staff regularly updated the FAHC and the Finance Commission on the progress of the audit necessary to complete the Annual Comprehensive Financial Report (“ACFR”) for fiscal year 2019-2020, noting completion of tasks on the year-end audit schedule.

To assist staff with preparation for the 2019-2020 audit, the FAHC reviewed City Council agenda materials for the 2019-2020 fiscal year (July 1, 2019, through June 30, 2020) to identify City Council action that had the effect of adjusting or modifying the budget, such as authorizing contracts or contract amendments, or increasing contract amounts. The FAHC members assembled the relevant agendas, agenda reports, and minutes for use by staff in connection with the audit and completion of the 2019-2020 ACFR.

A draft 2019-2020 ACFR was presented to the Finance Commission on July 14, 2021, and to the City Council on July 21, 2021. Both bodies voted to receive and file the report.

ANNUAL BUDGET FOR FISCAL YEAR 2020-2021

A new, draft fiscal year 2020-2021 budget was presented to the Finance Commission on March 4, 2021, and to the City Council on April 27, 2021. The commission voted unanimously to recommend approval of the 2020-2021 budget, and the Council voted unanimously to adopt the budget.

With the 2018-2019 CAFR having been completed, year-end fund balances and fiscal year 2018-2019 revenue and expenditures reported in the 2020-2021 budget were tied to actual, audited numbers. Additionally, fiscal year 2019-2020 revenue and expenditures were tied to pre-audit, actual numbers.

UPDATING FINANCIAL POLICIES AND PROCEDURES

As part of the FAHC review, recommendations were made to Staff regarding updated financial policies in 2021-2022 budget including: mid-year budget update, quarterly reports, GASB 10 / risk management accounting (revenues and expenditures are now accounted for through insurance internal service fund, instead of through general fund via transfer). The FAHC also discussed purchasing policies, the lack of a current policies and procedures manual, reviewed existing City policies as provided by staff, and also reviewed other the policies of other "case study" cities with the City of Irvine providing a model as to best practices. The City has since retained a consultant to draft an updated policies and procedures manual tailored to the City of South Pasadena based on the prior mentioned recommendations and reviews.

EXHIBIT B

From: Lucy Demirjian
Sent: Wednesday, May 27, 2020 9:37 AM
To: Stephanie DeWolfe <sdewolfe@southpasadenaca.gov>; Karen Aceves <kaceves@southpasadenaca.gov>
Cc: Tamara Binns <tbinns@southpasadenaca.gov>
Subject: RE: Legal Services Account
Importance: High

Not good news here.... We will need min \$180K to get through the year. COVID expenses are less than \$20K to date. And the ASmith reimbursement is not guaranteed, Mike doesn't believe it will be approved.

We need to go to Council for sure, can we discuss ASAP.

From: Karen Aceves <kaceves@southpasadenaca.gov>
Sent: Wednesday, May 27, 2020, 9:11 AM
To: Tamara Binns; Lucy Demirjian
Subject: Legal Services Account

Hi All,

We need to go to council to request an increase for legal services of about \$200,000 for the remainder of the year. It is already over by 21, 000 so we will need to go to council this meeting.

Let's talk more.

Karen

From: Michael Casalou
To: Sean Joyce
Subject: RE: Risk Management
Date: Wednesday, November 4, 2020 3:59:13 PM

With respect to excess coverage, a final coverage determination is made at the conclusion of a claim and if deemed not covered, related defense costs are also not covered. However, PRISM staff, on behalf of the Claims Review Committee issues a coverage alert letter early on as a courtesy to members to provide preliminary notice of potentially uncovered exposure.

The Liabilities Claims Specialist and staff from PRISM make the determination. However, they do allow communication from a member to make an argument for coverage. I am aware of only one case (Smith case) where we were notified that we may have coverage issues. However, the City's attorney (Jenni Pancake) on that case provided a detailed response to their initial coverage letter that seemed to resonate with the PRISM staff.

From: Sean Joyce <sjoyce@southpasadenaca.gov>
Sent: Wednesday, November 4, 2020 3:48 PM
To: Michael Casalou <mcasalou@southpasadenaca.gov>

Subject: Fwd: Risk Management
Begin forwarded message:
From: Stephen Rossi <srossi@southpasadenaca.gov>
Date: November 4, 2020 at 3:37:20 PM PST
To: Sean Joyce <sjoyce@southpasadenaca.gov>
Subject: Re: Risk Management

So the two follow up questions would be:

- When do we submit for reimbursement for expenses in excess of \$100K? At the time of invoice, payment, or final judgement?
- "The Liability program works on a reimbursement basis, therefore, the City will be reimbursed for amounts spent above the SIR assuming the loss is a covered under the bylaws. " Who is looking at whats covered under the bylaws and has the insurance carrier acknowledged that all of the ongoing litigations are covered?

From: Sean Joyce
Sent: Tuesday, November 3, 2020 1:33 PM
To: Stephen Rossi
Subject: FW: Risk Management

Steve,

See Mike's explanation below.

Sean

From: Michael Casalou
Sent: Tuesday, November 3, 2020 1:24 PM
To: Sean Joyce <sjoyce@southpasadenaca.gov>
Subject: Risk Management

Risk Management Overview

The City is exposed to various risks of loss related to torts; theft of, damage to and destruction of assets, error and omissions; injuries to employees and natural disasters. The City utilizes a combination of self-insurance, Joint Powers Authority participation and excess insurance to address these concerns. The City's primary coverage provider is Public Risk Innovation, Solutions and Management (PRISM formerly CSAC). The purpose of this organization is to provide a form of liability, workers compensation and property coverage whereby risks are transferred to the JPA to fund appropriately for its member agencies. General liability, Workers Compensation and Property losses are pooled among the member cities at certain levels, and coverage is jointly purchased in excess layers. The City pays an annual deposit based on a calculation of prior claims experience and payroll (or Total Insured Values for Property coverage). For Liability, the City has a self-insured retention of \$100,000, losses exceeding the self-retention limit up to \$5 million per claim are recovered from deposits paid by member cities. Individual claims in excess of \$5 million up to a maximum of \$50 million are covered by private insurance carriers. The Liability program works on a reimbursement basis, therefore, the City will be reimbursed for amounts spent above the SIR assuming the loss is a covered under the bylaws. For Workers Compensation, the City has a self-insured retention of \$125,000, losses exceeding the self-retention limit up to \$5 million per claim are recovered from deposits paid by member cities. Individual claims in excess of \$5 million are covered by private insurance carriers who provide 'Statutory' coverage.

EXHIBIT C

	12 Mos Actual FY2015-2016	12 Mos Actual FY2016-2017	12 Mos Actual FY2017-2018	12 Mos Actual FY2018-2019	12 Mos Actual FY2019-2020	12 Mos Actual FY2020-2021	11 Mos Actual FY2021-2022	5 Year Total	Check
General Services	193,569.00	241,457.00	47,661.44	95,322.88	105,763.72	99,376.28	107,083.94	100,008.30	507,555.12
LITIGATION									
Case 1 (FRO)			16,921.31	33,842.62	21,944.32	1,963.00		5,863.50	116,941.18
Case 2 (SMITH)			22,089.81	44,179.62	44,137.05	75,029.06	51,649.01	114,175.53	316,648.38
Case (Brennon)			2,396.50	4,793.00	1,527.50	8,941.00	12,208.57	1,963.00	35,556.48
Other Identified Litigation Cases			11,727.00	23,454.00	34,352.50	52,909.19	33,527.00	50,892.00	283,227.57
Transportation (710 Issues)	21,604.00	2,515.00	18,256.00	36,512.00	80,950.57	96,759.87	116,843.80	158,185.58	194,734.69
Labor & Employment	9,354.00	8,461.00	1,611.50	3,223.00	11,280.00	5,724.50	4,336.50	318.50	489,251.82
Special Projects			1,457.00	2,914.00	7,520.00	5,694.50	10,734.50	16,377.50	24,882.50
Tax & Assessment			1,871.00	3,742.00	3,681.50	8,042.00	144.50	18,434.00	43,240.50
Water & Utilities			1,903.50	3,807.00	3,846.15	2,608.00	(415.10)	33,639.44	18,522.18
COVID-19									35,727.84
Guardians V RWOCB	1,998.00	1,033.00							
Miscellaneous	226,525.00	253,466.00	123,991.56	247,983.12	333,300.26	479,511.33	503,266.60	515,931.33	2,079,992.39
Subtotal	N/A	N/A	11.9%	34.4%	43.9%	5.0%	2.5%		
% Growth YoY									
Subtotal - Litigation (All)			39,011.12	78,022.24	86,202.97	191,167.59	208,297.39	155,508.01	719,316.20
Subtotal - Litigation (Identified as Smith Case)					5,263.50	114,175.53	156,648.38	35,556.48	311,643.89
Case 2 (Smith) as % of total Litigation Expense by Period (as Identified in Billings)					6.1%	59.7%	75.2%	22.9%	43.3%
Subtotal - Litigation (Identified Smith plus Pro Forma for Undesignated Billings)					5,263.50	114,175.53	156,648.38	116,948.55	393,035.96
Case 2 (Smith) as % of total Litigation Expense by Period (Pro Forma for Undesignated Billings)					6.1%	59.7%	75.2%	75.2%	54.6%

	DATE	# OF MONTHS	\$ Expenses	Cumulative \$	Cumulative %
Key Items and Dates					
Original \$40K Claim from Resident for Property Remediation and Replacement Costs	Jan-18	N/A			0.0%
Initial \$80K Settlement Offer from Resident and Date of City Press Conference	Oct-19	21.27	11,825.86	11,825.86	2.0%
First Mediation	Jun-20	8.13	107,613.17	119,439.03	20.1%
Judge Kralk Rules Against City in SLAPP Case	Jan-21	7.13	61,681.42	181,120.45	30.5%
Mandatory Settlement Conference	Jun-21	5.03	94,966.96	276,087.41	46.6%
City Files Appeals Brief in SLAPP Litigation	Nov-21	5.10	71,011.40	347,098.81	58.5%
First Formal Offer of Settlement From the City to Resident	Dec-21		347,098.81	347,098.81	58.5%
Settlement Executed Between City and Resident	May-22	6.03	45,937.15	393,035.96	66.3%
Plus: Agreed \$200K Settlement Cost for City (Not included in billings numbers above)	May-22		200,000.00	593,035.96	100.0%
Cumulative Total Expense (Excluding Third Party Fees i.e. Transstech, engineers, etc)		52.70	593,035.96		

	12 Mos Actual FY2015-2016	12 Mos Actual FY2016-2017	12 Mos Actual FY2017-2018	12 Mos Actual FY2018-2019	12 Mos Actual FY2019-2020	12 Mos Actual FY2020-2021	11 Mos Actual FY2021-2022	5 Year Total	Check
General Services	193,569.00	241,457.00	47,661.44	95,322.88	105,763.72	99,376.28	107,083.94	100,008.30	507,555.12
LITIGATION (UNIDENTIFIED)									
Case 1 (FRO)			16,921.31	33,842.62	21,944.32	1,963.00		5,863.50	116,941.18
Case 2 (SMITH)			22,089.81	44,179.62	44,137.05	75,029.06	51,649.01	114,175.53	316,648.38
Case (Brennon)			2,396.50	4,793.00	1,527.50	8,941.00	12,208.57	1,963.00	35,556.48
Other Identified Litigation Cases			11,727.00	23,454.00	34,352.50	52,909.19	33,527.00	50,892.00	283,227.57
Transportation (710 Issues)	21,604.00	2,515.00	18,256.00	36,512.00	80,950.57	96,759.87	116,843.80	158,185.58	194,734.69
Labor & Employment	9,354.00	8,461.00	1,611.50	3,223.00	11,280.00	5,724.50	4,336.50	318.50	489,251.82
Special Projects			1,457.00	2,914.00	7,520.00	5,694.50	10,734.50	16,377.50	24,882.50
Tax & Assessment			1,871.00	3,742.00	3,681.50	8,042.00	144.50	18,434.00	43,240.50
Water & Utilities			1,903.50	3,807.00	3,846.15	2,608.00	(415.10)	33,639.44	18,522.18
COVID-19									35,727.84
Guardians V RWOCB	1,998.00	1,033.00							
Miscellaneous	226,525.00	253,466.00	123,991.56	247,983.12	333,300.26	479,511.33	503,266.60	515,931.33	2,079,992.39
Subtotal	N/A	N/A	11.9%	34.4%	43.9%	5.0%	2.5%		
% Growth YoY									

ENDNOTES

¹ The agenda report also represented, incorrectly, that the different draft budget presented to the City Council had been reviewed and recommended for approval by the Finance Commission. The agenda report begins at page 17-1 of the [agenda packet](#) for the Council's June 3, 2020, meeting.

² With respect to reserve and special revenue fund balances, both the former finance director who authored one of the critical reports and the Finance Commission observed that information from prior completed audits had been misapplied to prior adopted budgets.

Specifically, the adopted fiscal year 2018-2019 budget used estimated year-end balances from the adopted 2017-2018 budget, instead of actual, year-end balances from the relevant and available annual audit.

With the 2018-2019 CAFR delayed, fund balances in the original draft 2020-2021 budget presented to the Finance Commission could not have been tied to actual, audited numbers in the first instance. In light of this, the history of misapplication of audit information to prior adopted budgets, and the substantial changes made to the fund balances in the draft budget presented to the commission, the fund balances in the draft budget presented to City Council lacked reliability.

³ The \$3.5 million "shortfall" referenced by Stephanie DeWolfe at the outset of the June 24, 2020 City Council meeting is actually referencing a projected revenue decline of \$3.432 million from the prior "Pre-Covid" 2020-2021 General Fund revenue expectations to the revised "Post-Covid" revenue expectations (Pre- and Post-Covid budget projections by Staff were \$30.893 million and \$27.461 million respectively and can be found on page 17-24 of the June 3, 2020 City Council agenda meeting packet).

In reality, the Pre-Covid budget presents an increase in revenues over the 2019-2020 year. The 2019-2020 budget (approved well prior to start of Covid domestically in March 2020) includes General Fund revenue expectations of \$28.601 million. As a result, the true revenue "shortfall" presented by the budget presented by Staff to the City Council in the June 3, 2020 agenda packet was not \$3.5 million, but rather \$1.140 million (the 2019-2020 budgeted revenues of \$28.6 million less the Post-Covid budget proposal of \$27.5 million).

However, it should be noted that the June 3, 2020 version of the proposed budget includes an \$897 thousand reduction in property tax revenues from the draft budget provided to the Finance Commission only three days earlier (\$14.825 million vs \$15.722 million respectively). Were the property tax revenues held consistent with the draft previously sent to the Finance Commission, the true revenue "shortfall" provided in the Post-Covid budget would have only resulted in a \$243 thousand differential from the adopted 2019/20 fiscal year budget – only 6.9% of the \$3.5 million figure presented by DeWolfe and Aceves in the June 24, 2020 City Council meeting.

It should also be noted, that while the 2020-2021 fiscal year numbers are not yet finalized, on February 16, 2022, City Staff provided the City Council with a Mid-Year financial review for the 2021-2022 fiscal year. During that review, Staff presented the City Council with an updated estimate of General Fund revenues, including an estimated \$16.4 million from property taxes – nearly \$1.6 million HIGHER than the 2020-2021 budget proposed by DeWolfe/Aceves (these figures include both the *Property Tax* and *Motor Vehicles in-Lieu* line items in order to be consistent with the reporting presentation of the June 3, 2020 budget presentation which also included both line items).

⁴ The Staff report begins at 0:04:45 of the June 24, 2020 video recording available on the City's website

⁵ Councilmember Schneider's comments begin at approximately 1:04:49 of the June 24, 2020 video recording available on the City's website

⁶ Councilmember Khubesrian's comments can be found at approximately 1:23:00 of the June 24, 2020 video recording available on the City's website

⁷ See public comments by “Emily Diaz-Vines” at page PC-2-13 and “Mel Trom” at page PC-2-15 in the [additional document packet](#) for the Council’s June 24, 2020, meeting, and <https://southpasadenan.com/marina-khubesrian-admits-to-fraudulent-emails-south-pasadena-councilwoman-resigns/>.

⁸ <https://southpasadenan.com/strange-emails-sent-to-city-council-veiled-threats-to-cacciotti/>

⁹ Staff’s report and additional documents presented to the City Council outlining the scope of work for the FAHC, and approved 5-0 by the City Council, can be found on page 1-1 of the September 28, 2020 Special City Council Meeting Agenda located here: <https://www.southpasadenaca.gov/home/showpublisheddocument/24197/637366498690570000> and here: <https://www.southpasadenaca.gov/home/showpublisheddocument/24203/637369070841270000>

¹⁰ While the FAHC originally included two (2) members from the Finance Commission, one of those members resigned from the FAHC prior to the final version of this report.

¹¹ The October 26, 2020 vote is discussed in more detail later in this report.

¹² What had previously been known as a Comprehensive Annual Financial Report (CAFR) was changed to being called an Annual Comprehensive Financial Report (ACFR)

¹³ <https://www.investopedia.com/terms/f/forensic-audit.asp>

¹⁴ American Journal of Business Education – Fourth Quarter 2008, Volume 1, Number 2, Pg 116 (<https://files.eric.ed.gov/fulltext/EJ1052569.pdf>)

¹⁵ American Journal of Business Education – Fourth Quarter 2008, Volume 1, Number 2, Pg 125 (<https://files.eric.ed.gov/fulltext/EJ1052569.pdf>)

¹⁶ <https://www.investopedia.com/terms/f/forensic-audit.asp>

¹⁷ City Council meeting video for November 7, 2018 (see time stamp 00:53:59): http://www.spectrumstream.com/streaming/south_pasadena/2018_11_07.cfm

¹⁸ See City Gate Report, dated August 16, 2018, at Exec. Summary, p. 8 (<https://www.southpasadenaca.gov/home/showpublisheddocument/21224/637280665975830000>)

¹⁹ The Citygate report can be found on the Finance Department’s website here: <https://www.southpasadenaca.gov/government/departments/finance-department-resources>

²⁰ <https://southpasadenan.com/former-city-clerk-files-retaliation-suit-alleges-cover-up-by-city-managers/#:~:text=Lauren%20Rubin%2C%20a%20former%20long,a%20scandal%20over%20business%20licenses.>

²¹ The April 18, 2018 Staff report along with the Citygate contract and proposal can be found here: <https://opengov.southpasadenaca.gov/WebLink/DocView.aspx?id=96147&searchid=3b9d901b-9e75-450b-a60b-af5d9a48d0d6&dbid=0>

²² Employment histories for Green and DeWolfe can be found on LinkedIn here <https://www.linkedin.com/in/andrew-green-27a96357/> and here <https://www.linkedin.com/in/stephanie-dewolfe-96408062/>, respectively

²³ <https://www.pasadenastarnews.com/2015/01/20/two-pasadena-department-heads-fired-amid-64m-embezzlement-investigation/>

²⁴ <https://southpasadenan.com/former-city-clerk-files-retaliation-suit-alleges-cover-up-by-city-managers/#:~:text=Lauren%20Rubin%2C%20a%20former%20long,a%20scandal%20over%20business%20licenses.>

²⁵ South Pasadena City Code Article XI Purchasing, Subsection 2.99-29 Purchasing system (11)(e): <https://www.codepublishing.com/CA/SouthPasadena/#!/SouthPasadena02.html#2.99-29>

²⁶ The relevant code section found at Title 2, South Pas Municipal Code Section 2.99-29 paragraph (12) states: “(12) Professional and Contractual Services. Contracts for services of specially trained and professional persons or businesses shall be exempt from bidding. If possible, quotes from three qualified vendors shall be obtained prior to the award of a contract. If the contract is equal to or below twenty-five thousand dollars, the contract shall require the approval of, and be executed by, the city manager. All contracts exceeding twenty-five thousand dollars must be approved by the city council.”

²⁷ Comments and discussions regarding the City’s litigation accruals can be found from 0:59:59 to 1:04:33 and from 1:32:17 to 1:56:25 of the October 26, 2020 City Council meeting video available on the City’s website.

²⁸ Under GASB accounting standards, potential liabilities associated with litigation outstanding at June 30, 2019 would need to be reviewed for potential inclusion in a litigation accrual on the City balance sheet. Potential liabilities that presented subsequent to June 30, 2019 would be reviewed for potential inclusion in a subsequent event footnote.

²⁹ <https://southpasadenan.com/case-settled-city-settles-another-lawsuit/>

³⁰ <https://www.calcities.org/resource/practicing-ethics>

³¹ e.g. legal billings generated by Kane, Ballmer, Berkman on page 32 of the November 17, 1999 City Council Agenda Packet: <https://opengov.southpasadenaca.gov/WebLink/0/doc/220/Page1.aspx>

³² See legal billings generated by Colantuono, Highsmith and Whatley on page 10-9 of the October 6, 2021 City Council Agenda Packet: <https://www.southpasadenaca.gov/home/showpublisheddocument/27166/637686044516370000> vs billings generated by the same firm on page 7-13 of the August 18, 2021 City Council Agenda Packet: <https://www.southpasadenaca.gov/government/city-council-meetings/2021-council-meetings>

³³ Specific public comments regarding this note can be found on page AD-69 here: <https://www.southpasadenaca.gov/home/showpublisheddocument/26854/637649025770770000>; and pages AD-13 and AD-29 here: <https://www.southpasadenaca.gov/home/showpublisheddocument/26956/637661131074470000>; and page

³⁴ <https://southpasadenan.com/59-million-south-pasadena-city-budget-saved-by-voter-support-cell-tower-lease/#:~:text=The%20news%20comes%20as%20the,percent%20higher%20than%20fiscal%202020.&text=Including%20fund%20transfers%20such%20as,new%20capital%20spending%20being%20proposed.>

³⁵ The 2018-2019 budget adopted by City Council was labeled “DRAFT” and did not include a city manager’s budget message, the City’s financial policies for fiscal year 2018-2019, or an expenditure summary by fund. See [agenda packet](#) for the Council’s June 6, 2018, meeting, beginning at page 15-12. It should be noted that although a budget presentation was made to the Finance Commission at a May 22, 2018, meeting, this was a “receive and file” agenda item, and no recommendation was made to the City Council by the commission concerning adoption of the draft 2018-2019 budget.

³⁶ Although the fiscal year 2018-2019 budget document posted on the City’s website did include a city manager’s budget message and statement of financial policies for fiscal year 2018-2019, these items had mainly been cut and pasted from the adopted 2017-2018 budget without change or update, including the same summary charts and graphics from the prior fiscal year.

³⁷ South Pasadena City Code Article XI Purchasing, Subsection 2.99-29 Purchasing system (11)(e): <https://www.codepublishing.com/CA/SouthPasadena/#!/SouthPasadena02.html#2.99-29>

³⁸ “Material weakness” is defined as “a deficiency, or a combination of deficiencies, in internal control, such that there is a reasonable possibility that a material misstatement of the entity’s financial statements will not be prevented, or detected and corrected on a timely basis.”

³⁹ “Significant deficiency” is defined as “a deficiency, or a combination of deficiencies, in internal control that is less severe than a material weakness, yet important enough to merit attention by those charged with governance.”

⁴⁰ The single vote against the receipt and file of the 2018-2019 CAFR has been discussed in more detail elsewhere in this report.

⁴¹ <https://tigernewspaper.com/finance-director-karen-aceves-resigns-from-city-post/>



City Council Agenda Report

ITEM NO. 14

DATE: February 15, 2023

FROM: Arminé Chaparyan, City Manager *TB for AC*

PREPARED BY: John Downs, Interim Finance Director
Hsiulee Tran, Deputy Finance Director/Controller
Albert Trinh, Finance Manager

SUBJECT: **Presentation of the City's Investment by Morgan Stanley and Western Asset Management**

Recommendation

It is recommended that the City Council receive and file the presentation of the City's Investment by Morgan Stanley and Western Asset Management.

Background

Morgan Stanley and Western Asset Management provide the City the service to make trades in securities within the City's Investment Policy.

Analysis

Morgan Stanley and Western Asset Management have a deep understanding of the current financial market. Their decision on trading securities for the security complies to the City's Investment Policy in which they consider the three fundamental aspects: Safety, Liquidity, and Yield, in their respective order.

Key Performance Indicators and Strategic Plan

This item is in line with the Finance Department's Key Performance Indicator. The relationship with Morgan Stanley and Western Asset Management allows staff to properly prepare the City's Monthly Investment Report.

Fiscal Impact

The investment management services provided by Morgan Stanley and Western Asset Management are budgeted for in 101-3010-3041-8170-000 for \$28,000.

Commission Review and Recommendation

The Finance Commission received and file the presentation on November 30, 2022.

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