

PWA-IDAP Audit Recommendation Follow-Up

ARC	State	ISS	CN	Title	Prepared By	Prepared Date	Reviewed By	Reviewed Date	Edited By	Edited Date
AS2.a	Reviewed	0	1	Budget and Timeline for PWA-IDAP Follow Up	RS	12/18/2013	NH	1/27/2014	RS	12/18/2013
AS2.b	Reviewed	0	0	Philip's Fall/Winter Schedule 2013 (as of 10/2/13)	RS	12/12/2013	PAA	12/18/2013	PL	10/9/2013
AS2.c	Reviewed	0	0	Fall-Winter Schedule (as of 10/28/13)	RS	12/12/2013	PAA	12/18/2013	NH	12/2/2013
AS3.a	Reviewed	0	0	Report timeline	RS	12/12/2013	PAA	12/18/2013	PL	11/8/2013
AS3.b	Reviewed	0	1	DO NOT USE - UNRELATED TO FOLLOW UP - OPD Technology draft	RS	12/11/2013	PAA	12/18/2013	PL	11/8/2013
AS3.c	Reviewed	0	0	Admin's response to draft report follow up	RS	12/12/2013	PAA	12/18/2013		
AS5.a	Reviewed	0	0	Notes of relay of transfer of assignment from M. Nuni to P. Lim	PL	10/18/2013	NH	11/20/2013	PL	11/8/2013
AS5.b	Reviewed	0	1	Meeting record 7-18-13	RS	12/12/2013	PAA	12/18/2013	RS	12/11/2013
AS6.a	Reviewed	0	0	FINAL report PWA IDAP	RS	1/28/2014	NH	5/5/2014		
A.1.PRG	Reviewed	0	2	Qualifications & Independence	RS	2/4/2014	NH	5/5/2014	NH	5/5/2014
A.1.1	Reviewed	0	0	Independence statement for Rose Sutton	RS	11/21/2013	PAA	11/26/2013		
A.1.2	Reviewed	0	0	Assignment form for PA, PL,RS and MP	RS	11/21/2013	PAA	11/26/2013		
A.1.3	Reviewed	0	0	Independence statement for Marti Paschal	RS	11/21/2013	PAA	11/26/2013		
A.1.4	Reviewed	0	0	Independence statement for Paige Alderete	RS	11/21/2013	PAA	11/26/2013		
A.1.5	Reviewed	0	0	Independence statement for Philip Lim	RS	11/21/2013	PAA	11/26/2013		
A.1.6	Reviewed	0	0	Non-audit assignment form	RS	12/3/2013	PAA	12/18/2013		
A.1.7	Reviewed	0	0	Independence statement for Nori Hirasuna	RS	2/4/2014	NH	5/5/2014	RS	2/4/2014
A.2.PRG	Reviewed	0	7	Reporting	RS	1/28/2014	NH	5/5/2014	NH	5/5/2014
A.2.1	Reviewed	0	0	Draft report2	RS	12/11/2013	PAA	12/18/2013	PL	10/29/2013
A.2.2	Reviewed	0	4	Draft report with IRR edits by MP	RS	12/11/2013	PAA	12/18/2013	MP	11/7/2013
A.2.3	Reviewed	0	0	Draft report - w/ CR and PA edits 11182013	RS	11/19/2013	PAA	11/26/2013		
A.2.4	Reviewed	0	0	Draft report with CR and PA edits 112613 (1)	RS	12/11/2013	PAA	12/18/2013	PAA	11/26/2013

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A.2.5	Reviewed	0	0	Draft cover letter for draft report w/ PA edits 11272013	RS	12/11/2013	PAA	12/18/2013	NH	12/2/2013
A.2.6	Reviewed	0	0	FINAL cover letter for draft report 11272013	RS	12/11/2013	PAA	12/18/2013		
A.2.7	Reviewed	0	0	Receipt of docs for draft report to City Admin 11272013	RS	12/11/2013	PAA	12/18/2013		
A.2.8	Reviewed	0	0	Receipt of docs for draft report to Controller 11272013	RS	12/11/2013	PAA	12/18/2013		
A.2.9	Reviewed	0	0	Receipt of docs for draft report to PWA 11272013	RS	12/11/2013	PAA	12/18/2013		
A.2.10	Reviewed	0	0	Draft report with PA edits 10252013	RS	12/11/2013	PAA	12/18/2013		
A.2.11	Reviewed	0	0	Draft report with PA edits 10292013	RS	12/11/2013	PAA	12/18/2013		
A.2.12	Reviewed	0	0	Draft report with PA edits 11192013	RS	12/11/2013	PAA	12/18/2013	RS	12/11/2013
A.2.13	Reviewed	0	0	Draft report with, CR, PA and MP edits 11262013	RS	12/11/2013	PAA	12/18/2013	RS	12/11/2013
A.2.14	Reviewed	0	0	Draft report with PA edits 11262013 (2)	RS	12/11/2013	PAA	12/18/2013		
A.2.15	Reviewed	0	0	Draft report with PA edits 11272013	RS	12/11/2013	PAA	12/18/2013	RS	12/11/2013
A.2.16	Reviewed	0	0	Draft report FORMATTED 120213	RS	12/16/2013	PAA	12/18/2013		
A.2.17	Reviewed	0	0	Draft report FORMATTED 121013	RS	12/16/2013	PAA	12/18/2013		
A.2.18	Reviewed	0	0	Draft report FORMATTED 121313	RS	12/16/2013	PAA	12/18/2013		
A.2.19	Reviewed	0	0	FINAL DRAFT report sent to Admin for response 11272013	RS	12/16/2013	PAA	12/18/2013	RS	12/16/2013
A.2.20	Reviewed	0	0	Delivery confirmation to City Council, City Administrator, Assistant City Administrator and Mayor Quan	RS	1/28/2014	NH	5/5/2014		
A.3.PRQ	Reviewed	0	0	Wrap-Up	RS	6/13/2014	PAA	9/15/2014	PAA	9/15/2014
A.3.1	Reviewed	0	0	RS's Post Audit Lessons Learned 5-13-14	RS	6/13/2014	PAA	9/15/2014		
B.1.PRQ	Reviewed	0	2	Survey	RS	12/18/2013	PAA	12/18/2013	RS	12/18/2013

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B.1.1	Reviewed	0	0	PWA IDAP Follow Up Request Admin Letter 6.27.13	PL	10/9/2013	NH	12/2/2013	PL	10/9/2013
B.1.2	Reviewed	0	0	PWA IDAP Follow Up Request Admin Letter 7.8.13	PL	10/9/2013	NH	12/2/2013	PL	10/9/2013
B.1.3	Reviewed	0	0	PWA IDAP Follow Up Request Admin Letter FINAL	PL	10/9/2013	NH	12/2/2013	PL	10/9/2013
B.1.4	Reviewed	0	0	PWA-IDAP Follow Up Letter	PL	10/9/2013	NH	12/2/2013	PL	10/9/2013
B.1.5	Reviewed	0	0	PWA-IDAP Follow Up Letter 7.9.13	PL	10/9/2013	NH	12/2/2013	PL	10/9/2013
B.1.6	Reviewed	0	0	Receipt of Documents for Follow Up Letter	PL	10/9/2013	NH	12/2/2013	PL	10/9/2013
B.1.7	Reviewed	0	0	Not used - Use w/p ref. B.1.8 which is the TeamImage version of this same document	PL	10/18/2013	NH	12/2/2013	PL	10/18/2013
B.1.9	Reviewed	0	0	Preliminary analysis	PL	10/9/2013	NH	12/2/2013	PL	10/9/2013
B.1.10	Reviewed	0	0	PWA-IDAP CR approval of open recommendations	PL	10/9/2013	NH	12/2/2013	PL	10/9/2013
B.1.11	Reviewed	0	0	Notes regarding the definition of 'Closed'	PL	10/16/2013	NH	12/2/2013	PL	10/11/2013
B.1.12	Reviewed	0	0	Not used - Consists of only first page of document, use w/p ref. C.1.20	PL	10/18/2013	NH	12/2/2013	PL	10/18/2013
B.1.13	Reviewed	0	0	Q's regarding FY 13-15 budgeting for removal of illegal dumping and litter	RS	12/17/2013	PAA	12/18/2013		
C.1.PRG	Reviewed	0	2	Recommendation Follow-Up 1-7	RS	12/12/2013	PAA	12/18/2013	PAA	12/18/2013
C.1.1	Reviewed	0	0	Not used - replaced with w/p ref. C.1.24	PL	10/18/2013	NH	12/2/2013	PL	10/18/2013
C.1.2	Reviewed	0	0	City Attorney Press Release re: City of Oakland Cracks Down on Illegal Dumping	PL	10/18/2013	NH	12/2/2013	PL	10/18/2013
C.1.3	Reviewed	0	0	City Attorney Press Release re: City Council to consider illegal dumping ordinance	PL	10/18/2013	NH	12/2/2013	PL	10/18/2013
C.1.4	Reviewed	0	0	Not used - replaced with w/p ref. C.1.24	RS	12/12/2013	PAA	12/18/2013	PL	10/18/2013
C.1.5	Reviewed	0	0	Final issued audit report for PWA-IDAP accounts receivable performance audit	PL	10/16/2013	PAA	12/18/2013	RS	12/12/2013

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C.1.6	Reviewed	0	0	Not used - File grayed out after TeamMate export, use w/p ref. C.1.17	PL	10/18/2013	NH	12/2/2013	PL	10/18/2013
C.1.7	Reviewed	0	0	Not used - File grayed out after TeamMate export, use w/p ref. C.1.18	PL	10/18/2013	NH	12/2/2013	PL	10/18/2013
C.1.8	Reviewed	0	0	Not used - Consists of only first page of document, use w/p ref. C.1.20	PL	10/18/2013	NH	12/2/2013	PL	10/18/2013
C.1.9	Reviewed	0	0	Select pages of FYs 2013-14 & 2014-15 City Proposed Policy Budget	PL	10/18/2013	NH	12/2/2013	PL	10/18/2013
C.1.10	Reviewed	0	0	Select pages of FY 2012-13 City Amended Midcycle Policy Budget	PL	10/18/2013	NH	12/2/2013	PL	10/18/2013
C.1.11	Reviewed	0	0	Not used - Consists of only first page of document, use w/p ref. C.1.9	PL	10/18/2013	NH	12/2/2013	PL	10/18/2013
C.1.12	Reviewed	0	0	Section of 6/27/13 meeting record of meeting held between Assistant Auditor Alderete and P. Lim	PL	10/16/2013	NH	12/2/2013	PL	10/16/2013
C.1.13	Reviewed	0	0	Notes Assistant Auditor Alderete took of telephone conversation with Brooke Levin of PWA	PL	10/16/2013	NH	12/2/2013	PL	11/6/2013
C.1.14	Reviewed	0	1	Sections of 10/9/13 meeting record of meeting held between Assistant Auditor Alderete and P. Lim	PL	10/16/2013	NH	12/2/2013	PAA	11/26/2013
C.1.15	Reviewed	0	23	DO NOT USE - REPLACED WITH C.1.24 - Analysis of implementation status of audit recommendations	RS	12/11/2013	PAA	12/18/2013	RS	12/11/2013
C.1.16	Reviewed	0	0	Not used - Use w/p ref. C.1.17 which is the TeamImage version of essentially this same document	PL	10/18/2013	NH	12/2/2013	PL	10/18/2013
C.1.17	Reviewed	0	0	PWA agenda report dated 3/5/12	PL	10/16/2013	PAA	12/18/2013	RS	12/12/2013

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C.1.18	Reviewed	0	0	PWA agenda report dated 8/26/13	PL	10/16/2013	PAA	12/18/2013	RS	12/12/2013
C.1.19	Reviewed	0	0	Another version of email from A. Katz of City Attorney's office re: City Council to consider illegal dumping ordinance	PL	10/18/2013	NH	12/2/2013	PL	10/18/2013
C.1.20	Reviewed	0	0	Select pages of FYs 2011-12 and 2012-13 City Adopted Policy Budget	PL	10/18/2013	NH	12/2/2013	PL	10/18/2013
C.1.21	Reviewed	0	0	DO NOT USE - UNRELATED TO AUDIT - Municode	RS	12/12/2013	PAA	12/18/2013	PL	10/30/2013
C.1.22	Reviewed	0	0	DO NOT USE - UNRELATED TO AUDIT - RPP	RS	12/12/2013	PAA	12/18/2013	RS	12/12/2013
C.1.23	Reviewed	0	0	DO NOT USE - UNRELATED TO AUDIT - Comprehensive Audit Manual	RS	12/12/2013	PAA	12/18/2013	RS	12/12/2013
C.1.24	Reviewed	0	0	Revised analysis worksheet	RS	12/12/2013	PAA	12/18/2013	RS	12/12/2013