



**Office of the City Auditor**

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**Report to the City Council  
City of San José**

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**AN AUDIT OF THE AIRPORT  
NEIGHBORHOOD SERVICES  
GROUP**

**The Airport Neighborhood Services Group  
Can Improve Upon Its Compliance With  
City Council-Approved Responsibilities**

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**Report 03-04  
March 2003**



# CITY OF SAN JOSÉ, CALIFORNIA

800 N. First Street • San Jose, California 95112 • Tel: (408) 277-4601

GERALD A. SILVA  
City Auditor

March 5, 2003

Honorable Mayor and Members  
of the City Council  
801 North First Street, Room 600  
San Jose, CA 95110

Transmitted herewith is a report on *An Audit Of The Airport Neighborhood Services Group*. This report is in accordance with City Charter Section 805. An Executive Summary is presented on the blue pages in the front of this report. The City Administration's response is shown on the yellow pages before the appendices.

This report will be presented to the Making Government Work Better Committee at its March 12, 2003, meeting. If you need additional information, please let me know. The City Auditor's staff members who participated in the preparation of this report are Jennifer Callaway and Eduardo Luna.

Respectfully submitted,

Gerald A. Silva  
City Auditor

finaltr  
GS:bh

cc: Ralph Tonseth  
Cathy Gaskell  
Jim Peterson  
Kevin Fisher

Del Borgsdorf  
Kay Winer  
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## Executive Summary

In accordance with the City Auditor's 2002-2003 Audit Workplan, we have audited the Airport Neighborhood Services Group. We conducted this audit in accordance with generally accepted government auditing standards and limited our work to those areas specified in the Scope and Methodology section of this report.

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### Finding I

### **The Airport Neighborhood Services Group Can Improve Upon Its Compliance With City Council-Approved Responsibilities**

On June 8, 2001, the City Council authorized the establishment of the Airport Neighborhood Services Group (ANSG) and approved the proposed responsibilities and duties of the ANSG as outlined in the Replacement Manager's Budget Addendum #18 (RMBA #18). The ANSG was established to serve as an advocate for residents and attempt to reduce the impact of the Airport on local neighborhoods through public outreach and customer service. In addition to the community interaction, the ANSG is charged with developing strong working partnerships with various Airport Divisions and representing community interests at various department and committee meetings. Based on our review and comparison of the RMBA #18 and the activities of the ANSG through June 2001 and October 2002, we found that:

- The ANSG is fulfilling seven of the thirteen responsibilities outlined in RMBA #18 while five other City entities are accountable for the remaining six responsibilities;
- The ANSG does not communicate its outreach activities to the City Council in a comprehensive and consistent manner; and
- Additional responsibilities identified in two City Council memoranda dated June 25, 2001 and November 13, 2001 are outside the scope of the ANSG authority.

As a result, the ANSG can improve upon its compliance with City Council-approved responsibilities and its reporting on its activities to the City Council. In our opinion, the ANSG should (1) collaborate with various City entities and Airport Divisions to ensure that all RMBA #18 responsibilities are fulfilled; (2) increase its interaction with the various entities that are responsible for fulfilling the duties outlined in the June 25, 2001 and November 13, 2001 City Council memoranda; (3) implement the use of a standardized complaint form to monitor constituent complaints and concerns; and (4) develop a standardized format for reporting all of its areas of responsibility to the City Council on a regular basis. By so doing, the City Council will have added assurance that the ANSG and other City entities are fulfilling their assigned responsibilities.

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## RECOMMENDATIONS

We recommend that the ANSG:

- Recommendation #1**      **Develop a standardized constituent complaint form to document the nature of the complaint, how the issue was resolved, any follow-up action taken, and how long it took to resolve the complaint. (Priority 3)**
- Recommendation #2**      **Develop a standardized report format which includes comprehensive information on all of the RMBA #18 areas of responsibility. (Priority 3)**
- Recommendation #3**      **Collaborate with, monitor, and report on the efforts of the other City entities that are responsible for Replacement Manager's Budget Addendum #18-identified responsibilities. (Priority 3)**
- Recommendation #4**      **Collaborate with the identified City entities in the City Council's June 25, 2001 and November 13, 2001 memoranda and monitor and report on their progress and efforts regarding their respective areas of responsibility. (Priority 3)**

# Introduction

In accordance with the City Auditor's 2002-2003 Audit Workplan, we have audited the Airport Neighborhood Services Group. We conducted this audit in accordance with generally accepted government auditing standards and limited our work to those areas specified in the Scope and Methodology section of this report.

The City Auditor's Office thanks the Airport Neighborhood Services Group staff and the City Attorney's Office for giving their time, information, insight, and cooperation during the audit process.

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## Background

During the May 11, 2001 Operating Budget Study Session, City Council requested that City staff recommend the addition of an Airport Ombudsman/Community Advocate position to oversee community airport issues. The Airport Department, in conjunction with the City Manager's Office; the Parks, Recreation, and Neighborhood Services Department; the Housing Department; and the Call Center, responded by proposing the new Airport Neighborhood Services Group (ANSG). In the proposal the ANSG would monitor Airport activities, strengthen neighborhood relations, and fulfill the Airport's Investing in Results commitment to becoming a good neighbor within the community. On June 8, 2001, the City Council authorized the establishment of the ANSG and approved the proposed responsibilities and duties as outlined in the Replacement Manager's Budget Addendum #18 (RMBA #18). The ANSG's primary purpose is to develop and enhance new neighborhood partnerships as well as enhance airport responsiveness to neighborhood concerns. Incorporated within the ANSG is an alliance with the current Strong Neighborhood Initiative (SNI) teams, neighborhood association leaders, representatives from the Housing Department, the Customer Service Call Center, and the City Manager's Office.

The City established the ANSG to be proactively involved with the community by listening, informing, soliciting input, and participating in neighborhood committees and activities. The ANSG is also responsible for facilitating and enhancing communications between the Airport Department and the neighborhoods, and for assisting Acoustical Treatment (ACT) Program staff. The ANSG also helps organize Airport informational meetings for the Airport Noise Advisory

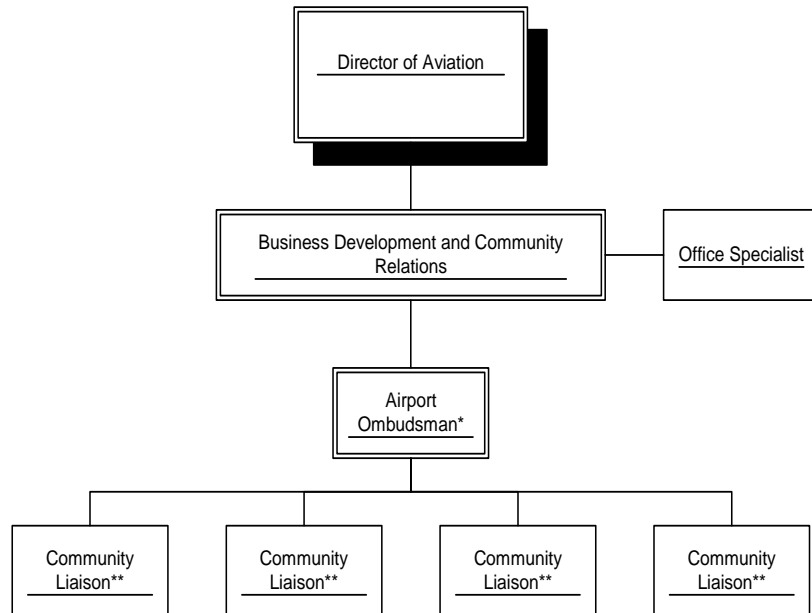
Committee (ANAC) and Curfew Monitoring Committee. In addition, the ANSG participates in education-related activities for schools and youth programs, such as career exploration days. Finally, the ANSG is responsible for working closely with the Airport Department's media advisory team. The budget for the ANSG is derived from the Airport's Operational Fund. The ANSG's proposed budget for 2002-03 is \$535,268, of which \$364,336 is for Personal Services and \$170,932 is for non-personal services.

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**Organizational Structure**

According to the RMBA #18, the ANSG is directed to report to the Airport Aviation Director. The ANSG is currently under the Business Development and Community Relations Division as shown below in Exhibit 1. The ANSG is comprised of the Ombudsman as Manager, four Community Liaisons and an Office Specialist.

**Exhibit 1 Organizational Chart**



\*Actual Job Title is Marketing & Public Outreach Manager  
\*\*Actual Job Title is Marketing & Public Outreach Representative  
Source: Norman Y. Mineta San Jose International Airport Organizational Chart

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According to the RMBA #18, the Airport Ombudsman is responsible for addressing or monitoring the following issues:

- Working with airlines to change schedules so departures and arrivals have minimal impact on the curfew;



- Working with airlines to encourage their use of aircraft that produce the least amount of noise;
- Working with the industry representatives and government agencies to support legislation encouraging the adoption of aircraft into airline fleets;
- Monitoring reports of noise and pollution infractions;
- Monitoring the Airport's Master Plan development relating to the Environmental Impact Report;
- Auditing responses to constituent calls regarding Airport issues; and
- Working with the Federal Aviation Administration (FAA) to evaluate impacts of flight patterns.

Of the four community liaisons, three are assigned to cover specific districts, ACT neighborhoods, Business Associations, and Master Plan topics. Their specific responsibilities within these districts include:

- Working directly with the surrounding neighborhoods that Airport-related activities impacted the most;
- Working closely with SNI neighborhood teams to include Airport issues within the SNI action plans;
- Working with SNI implementation teams; and
- Working with organizations to solicit ideas for mitigating the potential impacts of Airport activities on their neighborhoods.

The fourth community liaison is specifically assigned to cover concerns related to the noise monitoring section and ACT program for all City Districts and Neighborhoods.

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**Audit Scope and Methodology**

The objective of our audit was to evaluate the effectiveness of the ANSG in meeting its goal of being an advocate for residents in local neighborhoods and representing the airport through good public outreach and customer service. More specifically we identified and determined: (1) the extent and kinds of work the ANSG is currently doing; (2) how accurately the ANSG is reporting the work it is doing; and (3) the ANSG's internal documentation and procedures to help them meet their objectives more efficiently. Our audit scope included a review of all ANSG activities from July 2001 to October 2002, including the Director of Aviation's Bi-Monthly Report to the

City Manager, Community Relations Report to the Airport Commission, and the Monthly update reports to the Education, Neighborhoods, Youth & Seniors Committee (ENYS). We also interviewed the ANSG staff and compared the ANSG calendar of events to the actual responsibilities outlined in the (RMBA #18). In addition, we compared the ANSG responsibilities the Mayor and various Councilmembers identified in two memoranda, dated June 25, 2001 and November 13, 2001, to actual ANSG responsibilities. With respect to the responsibilities in these memoranda we identified the responsible City entity and determined the current status for each request.

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**Major  
Accomplishments  
Related To This  
Program**

In Appendix E, the Director of Aviation informs us of the major accomplishments of the Airport Neighborhood Services Group.

**Finding I****The Airport Neighborhood Services Group Can Improve Upon Its Compliance With City Council-Approved Responsibilities**

On June 8, 2001, the City Council authorized the establishment of the Airport Neighborhood Services Group (ANSG) and approved the proposed responsibilities and duties of the ANSG as outlined in the Replacement Manager's Budget Addendum #18 (RMBA #18). The ANSG was established to serve as an advocate for residents and attempt to reduce the impact of the Airport on local neighborhoods through public outreach and customer service. In addition to the community interaction, the ANSG is charged with developing strong working partnerships with various Airport Divisions and representing community interests at various department and committee meetings. Based on our review and comparison of the RMBA #18 and the activities of the ANSG through June 2001 and October 2002, we found that:

- The ANSG is fulfilling seven of the thirteen responsibilities outlined in RMBA #18 while five other City entities are accountable for the remaining six responsibilities;
- The ANSG does not communicate its outreach activities to the City Council in a comprehensive and consistent manner; and
- Additional responsibilities identified in two City Council memoranda dated June 25, 2001 and November 13, 2001 are outside the scope of the ANSG authority.

As a result, the ANSG can improve upon its compliance with City Council-approved responsibilities and its reporting on its activities to the City Council. In our opinion, the ANSG should (1) collaborate with various City entities and Airport Divisions to ensure that all RMBA #18 responsibilities are fulfilled; (2) increase its interaction with the various entities that are responsible for fulfilling the duties outlined in the June 25, 2001 and November 13, 2001 City Council memoranda; (3) implement the use of a standardized complaint form to monitor constituent complaints and concerns; and (4) develop a standardized format for reporting all of its areas of

responsibility to the City Council on a regular basis. By so doing, the City Council will have added assurance that the ANSG and other City entities are fulfilling their assigned responsibilities.

**The ANSG Is Fulfilling Seven Of The Thirteen City Council-Approved RMBA #18 Responsibilities While Five Other City Entities Are Accountable For The Remaining Six Responsibilities**

We found that the ANSG is not fulfilling all of the City Council-approved RMBA #18 responsibilities. Specifically, on June 8, 2001 the Airport’s Director of Aviation, in conjunction with the Director of Parks, Recreation, and Neighborhood Services, and the Acting Director of Housing, informed the City Council, in RMBA #18, that the ANSG would assume thirteen responsibilities. Based on our review, we found that the ANSG is fulfilling seven of the thirteen RMBA #18-identified responsibilities while five other City entities are actually accountable for the other six responsibilities. The following matrix summarizes the thirteen RMBA #18 responsibilities and the City entity that is accountable for each responsibility.

**Exhibit 2 Matrix Of RMBA #18-Identified ANSG Responsibilities And The City Entities That Are Actually Responsible For These Responsibilities**

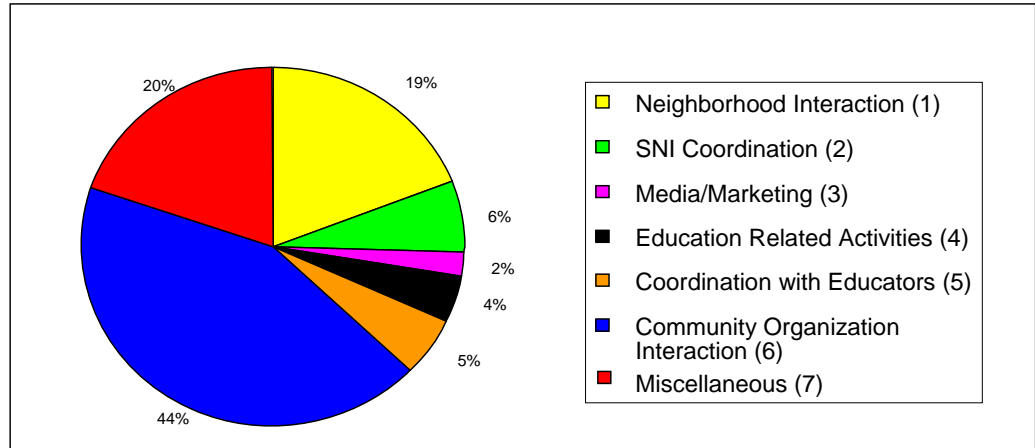
RMBA #18-Identified ANSG Responsibilities	CITY ENTITY ACTUALLY RESPONSIBLE					
	ANSG	Airport Environmental Services Division	Airport Operations Division	City Attorney's Office	City Manager's Office	Airport Public Works Division
1. Auditing responses to constituent calls regarding Airport issues.	X					
2. Working with surrounding neighborhoods that are most impacted by Airport-related activities.	X					
3. Working closely with SNI neighborhoods and implementation teams to include Airport issues within SNI action plans.	X					

RMBA #18- Identified ANSG Responsibilities	CITY ENTITY ACTUALLY RESPONSIBLE					
	ANSG	Airport Environmental Services Division	Airport Operations Division	City Attorney's Office	City Manager's Office	Airport Public Works Division
4. Working with the FAA to evaluate the impact of flight patterns.		X	X			
5. Working with airlines to change schedules so departures and arrivals have minimal impact on the curfew.			X	X		
6. Working with airlines to encourage their use of aircraft that produce the least amount of noise.			X	X		
7. Monitoring reports of noise and pollution infractions.		X	X			
8. Working with industry representatives and government agencies to support legislation encouraging the adoption of quieter aircraft into airline fleets.					X	
9. Working with organizations to identify potential impacts of Airport activities and to solicit ideas for mitigating those impacts within their neighborhoods.	X					
10. Working with the Airport's media advisory team to alert residents of ways to participate in neighborhood meetings and events.	X					

RMBA #18- Identified ANSG Responsibilities	CITY ENTITY ACTUALLY RESPONSIBLE					
	ANSG	Airport Environmental Services Division	Airport Operations Division	City Attorney's Office	City Manager's Office	Airport Public Works Division
11. Monitoring the Airport's Master Plan development relating to the Environmental Impact Plan.		X		X		X
12. Participating in education-related activities such as career exploration days.	X					
13. Working with educators to create opportunities for children to learn about environmental programs and activities.	X					

With respect to the ANSG responsibilities shown above, the ANSG is actively participating in community events and meetings such as neighborhood association meetings and making presentations to various community organizations, such as the Elks Club, Rotary Club, and Chamber of Commerce. The ANSG is also actively participating in coordinating their efforts with various City programs such as the ACT program and the Curfew Monitoring Committee. In addition, the ANSG has taken an active role in sponsoring Job Shadow Days and working with educators to incorporate lessons into their curriculum that pertain to the impact of the Airport on the environment. Exhibit 3 summarizes ANSG activity from June 2001 to October 2002.

**Exhibit 3 Summary Of ANSG Activities From June 2001 To October 2002**



- (1) Community Meetings with, and presentations to, residents and Neighborhood Associations regarding Airport issues such as noise monitoring, ACT, or the Noise Exposure Update Map.
- (2) Coordination, planning, and community meetings with SNI team.
- (3) TV, radio broadcast, press conferences, and downtown retail marketing meetings.
- (4) Job Shadow Days.
- (5) Meetings with School Educators and TransAccess.
- (6) Meetings with, and presentations to, community organizations such as Elks Club, Rotary, Hyatt Hotel, and Chamber of Commerce. Also includes community resource fairs, ground breaking ceremonies, and community festivals.
- (7) Planning Meetings, Councilmember briefings, meetings with Senate Representatives, training classes, and District tours.

In addition to the above-mentioned activities, the Airport Ombudsman reported, in a January 24, 2002 and a May 8, 2002 ENYS Update Report, that the ANSG responded to 4 and over 70, respectively, customer inquiries and concerns. These are the only Update reports from the Airport Ombudsman that specified the number of customer inquiries and concerns to which the ANSG responded.

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**The ANSG Does Not Communicate Its Outreach Activities To The City Council In A Comprehensive And Consistent Manner**

The ANSG does not adequately document its outreach activities. As a result, the ANSG is not reporting its monthly outreach activities to the ENYS Committee in a comprehensive or consistent manner. For example, the ANSG responds to constituent complaints and concerns that it receives directly or through City Councilmember Offices. However, the ANSG did not consistently document, record, or report to the ENYS Committee these constituent complaints and concerns or their ultimate resolution. In addition, the ANSG did not consistently record how it resolved, or how long it took it to resolve, the constituent complaints it receives. In our opinion, the ANSG needs to document, monitor, and report on constituent complaints in a consistent manner. Such documentation should include a description of the complaint, how the ANSG resolved the complaint, and the length of time it took the ANSG to resolve the complaint. The ANSG should also develop a standardized complaint form, (similar to the one in Appendix B), to record complaints when they are received and facilitate subsequent entry into a computer database. This will allow the ANSG to track complaints and generate management information regarding the type and number of complaints received, the resolution of the complaints, and the length of time it takes to resolve the complaints. By consistently documenting, monitoring, and reporting such information, the City Administration and the City Council will have added assurance that the ANSG is responding to constituent complaints in a timely and efficient manner.

In addition, the ANSG can improve its reporting to the City Council<sup>1</sup> by preparing a standard report format that includes information on all of the RMBA #18 areas of responsibility, including the additional responsibilities identified in the June 25, 2001 and November 13, 2001 City Council memoranda. We found that the ANSG's monthly reports to the ENYS Committee did not consistently include information on each RMBA #18 responsibility. Furthermore, we found that the ANSG did not include in its monthly reports to the ENYS Committee comprehensive information regarding the number of community events attended, the number of participants at these events, and the number of constituent complaints received regarding noise and pollution infractions. A standardized constituent complaint form, in addition to other internal

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<sup>1</sup> According to the Director of the Airport Department, beginning on January 24, 2003, the ANSG will report directly to the City Council instead of a City Council Committee.



documentation, would aid the ANSG in the reporting of such comprehensive information. In our opinion, the ANSG should develop a standard report format, (similar to the one in Appendix C), which includes comprehensive information on all of the RMBA #18 areas of responsibility.

We recommend that the ANSG:

**Recommendation #1**

**Develop a standardized constituent complaint form to document the nature of the complaint, how the issue was resolved, any follow-up action taken, and how long it took to resolve the complaint. (Priority 3)**

**Recommendation #2**

**Develop a standardized report format which includes comprehensive information on all of the RMBA #18 areas of responsibility. (Priority 3)**

As we noted above, the ANSG does not accept accountability for six of the thirteen RMBA #18 responsibilities shown in Exhibit 2. Our review of the ANSG's calendar of events from June 2001 to October 2002 and the reports it issued to the ENYS Committee, revealed that the ANSG has had limited involvement in the remaining six areas of responsibility shown in Exhibit 2. However, these responsibilities are directly related to the ANSG's goal of representing the needs of the community with respect to Airport-related issues. Accordingly, in our opinion, the ANSG needs to collaborate with, and actively monitor and report on the efforts of the other City entities that are actually accountable for the remaining six RMBA #18-identified responsibilities. By doing so, the City Council will have added assurance that the ANSG and other City entities are fulfilling the RMBA #18-identified responsibilities.

We recommend that the ANSG:

**Recommendation #3**

**Collaborate with, monitor, and report on the efforts of the other City entities that are responsible for Replacement Manager's Budget Addendum #18-identified responsibilities. (Priority 3)**

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**Additional Council Requested Duties Are The Responsibility Of Other City Entities**

In addition to the RMBA #18 responsibilities, the City Council requested additional information in two memoranda dated June 25, 2001 and November 13, 2001. On June 25, 2001 Mayor Gonzales and Councilmembers Yeager and Chavez wrote a memorandum regarding Airport responsibilities. Similarly, in a November 13, 2001 memorandum, Mayor Gonzales and Councilmembers Yeager, Chavez, Cortese, and LeZotte requested that various City entities assume additional responsibilities related to the Airport. The additional responsibilities outlined in these two memoranda are specifically directed to other City entities besides the ANSG. For a complete summary of each additional memorandum request, the responsible City entity, and the current status of each responsibility, see Appendix D.

While the City Council did not assign the responsibilities identified in the two memoranda to the ANSG, many of the memoranda-identified responsibilities relate to the Airport's impact on surrounding neighborhoods. Therefore, in our opinion, the ANSG should collaborate with the identified City entities and actively monitor and report on their progress and efforts regarding their respective areas of responsibility. Such collaboration would allow the ANSG to better educate neighborhoods on the issues that impact them the most and bring new neighborhood concerns to the attention of the appropriate City entities. In addition, by so doing, the City Council can have added assurance that the needs of the community are being addressed.

We recommend that the ANSG:

**Recommendation #4**

**Collaborate with the identified City entities in the City Council's June 25, 2001 and November 13, 2001 memoranda and monitor and report on their progress and efforts regarding their respective areas of responsibility. (Priority 3)**

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**CONCLUSION**

The ANSG has been active in participating in community events, meetings, and program coordination. However, the ANSG needs to increase its interaction with various City entities as well as enhance its internal documentation and reporting. Specifically, the ANSG should collaborate with, and actively monitor the efforts of, other City entities to ensure that all RMBA #18 responsibilities are being fulfilled. Furthermore, the ANSG should develop a standardized constituent complaint form and report format to aid in tracking, recording, and reporting on all constituent complaints and concerns received. To aid the ANSG in the completion of these recommendations, we have developed a pro forma report which the ANSG can use in preparing reports to City Council. These pro forma reports will facilitate the ANSG to consistently and accurately report on all of the areas of responsibility outlined in the RMBA #18 and the City Council memoranda dated June 25, 2001 and November 13, 2001.

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**RECOMMENDATIONS**

We recommend that the ANSG:

**Recommendation #1**

**Develop a standardized constituent complaint form to document the nature of the complaint, how the issue was resolved, any follow-up action taken, and how long it took to resolve the complaint. (Priority 3)**

**Recommendation #2**

**Develop a standardized report format which includes comprehensive information on all of the RMBA #18 areas of responsibility. (Priority 3)**

**Recommendation #3 Collaborate with, monitor, and report on the efforts of the other City entities that are responsible for Replacement Manager's Budget Addendum #18-identified responsibilities. (Priority 3)**

**Recommendation #4 Collaborate with the identified City entities in the City Council's June 25, 2001 and November 13, 2001 memoranda and monitor and report on their progress and efforts regarding their respective areas of responsibility. (Priority 3)**

# Memorandum

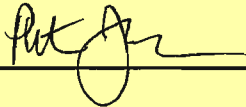
**TO:** Making Government Work Better  
Committee

**FROM:** Ralph G. Tonseth

**SUBJECT:** Response to Audit of the Airport  
Neighborhood Services Group

**DATE:** 3/4/03

Approved



Date

3-4-03

The Airport Department has reviewed the final draft report of *An Audit of the Airport Neighborhood Services Group*. We are generally in agreement with the results and recommendations of the report. The audit process was thorough; the auditor's staff was efficient, and worked with Airport staff to ensure the findings were accurate. The report suggests manners in which the reporting of Airport Neighborhood Services Group (ANSG) activities to City Council can be improved. The report also assisted by formulating a recommended format for reports. We view these reports as worthy of implementation and/or detailed exploration.

Specific responses are provided below.

**Recommendation #1:** *Develop a standardized constituent complaint form to document the nature of the complaint, how the issue was resolved, and any follow-up action taken, and how long it took to resolve the complaint.*

The Airport agrees this information is valuable and has been collecting and reporting this information to the Airport Commission. The Airport Customer Service Manager maintains a customer service/request for information log that includes the actions taken by the Business Development Division for customer service related activities. This report is submitted monthly to the Airport Commission. This information will now be consolidated with the recommended ANSG report and submitted to Council quarterly.

**Recommendation #2:** *Develop a standardized report format that includes comprehensive information on all of the Replacement Manager's Budget Addendum (RMBA) # 18 areas of responsibility.*

The Airport concurs with this recommendation. The Airport Ombudsman submits a chart of these responsibilities as well as a matrix of follow-up Council questions to the Education, Neighborhood, Youth and Seniors (ENYS) Committee on a quarterly basis. The Ombudsman will now submit this information to Council in the format suggested by the auditor's office in Appendix C.

March 4, 2003

**Subject: Response to Audit of the Airport Neighborhood Services Group**

Page 2

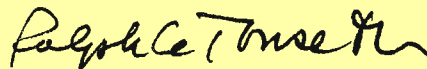
**Recommendation # 3:** *Collaborate with, monitor, and report on the efforts of the other City entities that are responsible for Replacement Manager's Budget Addendum (RMBA) # 18 – identified responsibilities.*

The Airport agrees with the importance of coordination between City Departments and has been coordinating responses with the responsible City entities in the ENYS reports. This information will be included in the Information Memos to the City Council as shown in Appendix D.

**Recommendation #4:** *Collaborate with the identified City entities in the City Council's June 25, 2001 and November 13, 2001 memoranda and monitor and report on their progress and efforts regarding their respective areas of responsibility.*

The Airport concurs with this recommendation and will continue to work closely with the other City entities.

In summary, the Airport Department appreciates the efforts of the Auditors Office in preparing this report. We feel the recommendations will assist us in making enhancements to the methodology of reporting the activities of the ANSG to the City Council.



RALPH G. TONSETH  
Director of Aviation

## APPENDIX A

### DEFINITIONS OF PRIORITY 1, 2, AND 3 AUDIT RECOMMENDATIONS

The City of San Jose's City Administration Manual (CAM) defines the classification scheme applicable to audit recommendations and the appropriate corrective actions as follows:

<b>Priority Class<sup>1</sup></b>	<b>Description</b>	<b>Implementation Category</b>	<b>Implementation Action<sup>3</sup></b>
1	Fraud or serious violations are being committed, significant fiscal or equivalent non-fiscal losses are occurring. <sup>2</sup>	Priority	Immediate
2	A potential for incurring significant fiscal or equivalent fiscal or equivalent non-fiscal losses exists. <sup>2</sup>	Priority	Within 60 days
3	Operation or administrative process will be improved.	General	60 days to one year

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<sup>1</sup> The City Auditor is responsible for assigning audit recommendation priority class numbers. A recommendation which clearly fits the description for more than one priority class shall be assigned the higher number. **(CAM 196.4)**

<sup>2</sup> For an audit recommendation to be considered related to a significant fiscal loss, it will usually be necessary for an actual loss of \$25,000 or more to be involved or for a potential loss (including unrealized revenue increases) of \$50,000 to be involved. Equivalent non-fiscal losses would include, but not be limited to, omission or commission of acts by or on behalf of the City which would be likely to expose the City to adverse criticism in the eyes of its citizens.  
**(CAM 196.4)**

<sup>3</sup> The implementation time frame indicated for each priority class is intended as a guideline for establishing implementation target dates. While prioritizing recommendations is the responsibility of the City Auditor, determining implementation dates is the responsibility of the City Administration.  
**(CAM 196.4)**

**Appendix B**  
**Airport Neighborhood Services Group**  
**Constituent Complaint Form**

Date: \_\_\_\_\_ Time Received: \_\_\_\_\_ Time Resolved: \_\_\_\_\_

Staff: \_\_\_\_\_

Mode:     \_\_\_ Call Center     \_\_\_ Community Liaison Contact     \_\_\_ E-mail  
          \_\_\_ Referral from Councilmember

**Constituent Information:**

Last Name: \_\_\_\_\_ First Name: \_\_\_\_\_ Phone #: \_\_\_\_\_

Address: \_\_\_\_\_ Zip Code: \_\_\_\_\_

**Nature of Complaint:**

\_\_\_ Noise           \_\_\_ Pollution           \_\_\_ Parking  
\_\_\_ Airport Access   \_\_\_ Question           \_\_\_ Other

Explanation/Details:

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How Resolved:

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Follow up Action:

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# Memorandum

**TO:** The San Jose City Council

**FROM:** Cathy Gaskell

**SUBJECT: Update Report from the Airport  
Ombudsman**

**DATE:**

Approved

Date

**SUBJECT: REPORT DETAILING THE ACTIVITIES OF THE AIRPORT  
NEIGHBORHOOD SERVICES GROUP**

This report covers the activities of the Airport Neighborhood Services Group and other Airport departments for the months of \_\_\_\_\_. The Airport Neighborhood Services Group serves as an advocate for residents in local neighborhoods by representing the airport through good public outreach and customer service.

**Activities of the Airport Neighborhood Services Group (ANSG)**

Major activities of the ANSG during the months of \_\_\_\_\_ include:

**Responses to Constituent Calls**

Responded to \_\_\_\_\_ constituent calls during the months of \_\_\_\_\_. Of the \_\_\_\_\_ calls received, \_\_\_\_\_ were received directly by a community Liaison while the remaining \_\_\_\_\_ were referred to ANSG from Councilmember offices. Of these calls, \_\_\_\_\_% were in regards to noise from flights. The community Liaison researched the flight, its departure point and reported back to the constituent. A detailed report providing information on each call received is attached to this report (Attachment I).

Month	Number of Calls
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*Include pie charts showing the various percentages of calls that are noise related, pollution related, informational, etc. Include a graph which illustrates the duration of resolving or responding to complaints. If necessary include a graphical illustration of the calls received per district.*

**Community and Neighborhood Interaction**

Staff made \_\_\_\_\_ presentations to several neighborhood groups updating residents on the Noise Exposure Map and the ACT program. Staff organized and mailed over \_\_\_\_\_ fliers to inform residents of these meetings (*If mailings were not done then state how residents were informed of the meetings*). Staff also made presentations to or attended \_\_\_\_\_ community organization meetings to answer questions on behalf of the Airport. A total of \_\_\_\_\_ residents participated in this meetings and events. Staff, in continuing with the “Know your Neighborhood” program, toured

Council District \_\_\_\_\_ in order to gain a better understanding of the Airport-related issues within the district, as well as the demographics, target audiences and challenges specific to the district. Areas of interest that were covered during the tour include flight patterns, noise, neighborhood associations, schools, and community center services. *(You would also include any other training seminars, such as the seminar on how to organize and give presentations).* A detailed list of each outreach event is attached to this report. (Attachment II).

*Report on the parking concerns at the Airport and surrounding neighborhood streets. If necessary obtain information from the appropriate Airport department on progress made at evaluating parking patterns and plans for improving the current parking situation. Include in this report conversations and negotiations with residents regarding their concerns and how they wish to resolve the parking problem, i.e. parking permits to park on the street, etc.*

**Coordination with SNI Neighborhoods and Implementation Teams**

*Report on any changes or events in your SNI neighborhood. In addition, report on any coordination efforts or actions with other City Departments. An Example would be as follows:*

Staff coordinated efforts with the Housing Department, SNI, and Redevelopment Agency to establish guidelines for grants and loans that provide incentives for improvements that support livability and longevity of housing. This coordination effort resulted in the development of the following guidelines: \_\_\_\_\_. Staff is currently in the process of designing a brochure which details the various grants and loan programs available to residents.

In addition, staff worked with SNI, NDC, and the Housing Department to develop ideas of how to work effectively in neighborhoods, including:

**Coordination Airport’s Media Advisory Team**

Staff coordinated with \_\_\_\_\_ and \_\_\_\_\_ to host a media event showcasing the results of \_\_\_\_\_.

**Education Related Activities**

Staff coordinated and hosted a Job Shadow Day for \_\_\_\_\_ students from \_\_\_\_\_ High School. These students were introduced to careers at the Airport and were able to shadow individuals from one of four jobs: \_\_\_\_\_.

*Report on any meetings or activities held with educators to promote and educate students about the Environmental issues that are related to the Airport.*

**Activities of Airport Departments**

Activities of Airport Departments during the months of \_\_\_\_\_ include:

**Evaluation of Impact of Flight Patterns**

The Environmental and Operations Division have met *(scheduled a meeting, are planning a meeting)* with the FAA regarding the impact of flight patterns. *Summarize the major outcome of the meeting or state the scheduled date of the meeting.*

**Negotiations with the Airlines to Change Flight Schedules**

The City Attorney's office and the Operations Department have been negotiating with the airlines to encourage them to schedule flights at the earliest possible time in order to avoid interfering with the City's 11:30 p.m. curfew. Currently the Attorney's office has obtained supplemental compliance agreements from all scheduled airlines and is in the process of obtaining such agreements from all cargo aircraft. Attached is a list of all airlines that have signed supplemental compliance agreements to date (Attachment III). The supplemental compliance agreements essentially provide that the airlines are aware of the City's curfew and will continue efforts to fully comply with the curfew restrictions. Some of the supplemental compliance agreements include the airlines' agreement to re-schedule specific flights that operate shortly before or shortly after the curfew hours in order to decrease the occurrence of curfew intrusions resulting from delays or other operational issues on those flights.

*After initial report covering the supplemental compliance agreements, ANSG shall report monthly on any additional supplemental compliance agreements obtained or any additional or new steps taken to change the flight patterns.*

**Negotiations with the Airlines to Encourage use of quieter Aircraft**

There are no current negotiations underway at this point. Responsibility for initiating such negotiations on behalf of the city rests with the Operations and Property Departments at the Airport. Any such negotiations would be coordinated with the City Attorney's Office.

**Other Curfew Conformance Measures**

*Report on the specific measures of each airline concerning how they will meet with the City's aircraft curfew, including an elimination non-complaint violations. Develop a detailed chart listing each airline and what their conformance plans entail, for instance the brochure Northwest developed for its pilots reminding them of the City's Curfew. If possible attach examples of the brochures, Etc. (Attachment IV). After your report on what procedures airlines have already implemented report on any modifications, updates or new procedures of the airlines. .*

*Confirm that any conformance measures discussed through negotiations are reported to the Airport Curfew Monitoring Committee and indicate if the committee had any comments or input.*

**Curfew Non-Compliance Actions**

*Report on any progress made by the City Attorney regarding negotiations with the FAA to modify the City's current grandfathered curfew to establish fines and penalties for non-compliance. If no action has been taken then report such, otherwise summarize the negotiations to date and update monthly with additional progress. In addition, if fines or penalties are imposed for non-compliance the ANSG should develop, or obtain from the appropriate department, a comprehensive chart listing the airline, non-compliant action and the penalty or fine imposed.*

*Obtain from the City Attorney and report on the feasibility of taking legal action against airlines that have a pattern of curfew violations for unfair business practices. Include in this portion of the report the airlines that have a pattern of curfew violations and thus would be directly impacted. In addition, report on the feasibility of allowing incentives for compliance with the Airport's curfew.*

**Number of Noise and Pollution Infractions Reported**

The Operations and Environmental Departments indicate that during the months of \_\_\_\_\_ noise infractions were reported and \_\_\_\_\_ pollution infractions reported. A detailed chart describing each call received and the corrective action taken is attached to this report (Attachment V). *Include a pie chart comparing the percentage of infractions that are noise related versus pollution related.*

*Report on the Airport's run-up procedures and if there is any correlation to noise complaints received. In addition, report on any information regarding potential noise reduction technologies*

**City Manager's Efforts Toward Supporting Legislation which Encourages the Adoption of Quieter Aircraft into Airline Fleets**

*Report on what actions the City Manager has taken during the quarter to support such legislation. If no action has been taken then inform the committee of that and the reason why.*

**Airport Leases**

*Report any new flights, including the arrival and landing times, approved during the quarter or any negotiations that occurred to approve new flights. In addition, report on the status of current airline leases and negotiations to renew.*

**Airport's Master Plan Development**

*Obtain a report from the Public Works and Attorney's Office on the progress of the Master Plan Development as it pertains to Environmental Impact Report. If no change from the preceding quarter then explain such and state the reason why.*

**Air Quality Concerns**

*Obtain a progress report from the Environmental Services Department and report back to the committee on the coordination efforts with the Bay Area Air Quality Management District to investigate the feasibility of installing air quality monitors in the Airport-area residential neighborhoods. Include any other air quality concerns or issues that arise during the quarter and steps taken to address those concerns.*

**ACT Program**

*Report on the progress of the ACT Program in terms of the number of houses treated each month, etc.*

**Parking Patterns**

*Include an update on any progress made in terms of the neighborhoods request for short term parking permits. In addition, include an update on the progress of the Automated People Mover and future plans once the planning is complete.*

**Terminal Design**

*Report on future terminal planning and the accommodation of pedestrian and bicycle access.  
Report on the anticipated installation of the Automated People Movers compared to the  
neighborhoods desired installation date.*

**Guadalupe Expressway**

*Report on any flood control efforts or re-routing procedures undertaken or discussed during the  
quarter. In no action has been taken then report such.*

**CONSTITUENT COMPLAINTS  
ANSG DATABASE**

<b>Client</b>	<b>Date</b>	<b>Time Received</b>	<b>Time Resolved</b>	<b>Duration</b>	<b>Staff</b>	<b>Mode</b>	<b>Issue</b>	<b>District</b>	<b>Neighborhood</b>	<b>How Resolved</b>
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Attachment II  
**COMMUNITY AND NEIGHBORHOOD INTERACTION REPORT  
AIRPORT NEIGHBORHOOD SERVICES GROUP**

**Date:**  
**Program:**  
**Audience:**  
**Topic:**  
**Location:**  
**District:**  
**City Department Participants:**  
**Attendees:**

**Date:**  
**Program:**  
**Audience:**  
**Topic:**  
**Location:**  
**District:**  
**City Department Participants:**  
**Attendees:**

**Date:**  
**Program:**  
**Audience:**  
**Topic:**  
**Location:**  
**District:**  
**City Department Participants:**  
**Attendees:**

**Date:**  
**Program:**  
**Audience:**  
**Topic:**  
**Location:**  
**District:**  
**City Department Participants:**  
**Attendees:**

*Fill out information for each community and neighborhood event as well as for each training event. Attach a pie chart of the percentage of total events for the month that are neighborhood events, community organization events and training events.*

**SUPPLEMENTAL COMPLIANCE AGREEMENTS OBTAINED**

<b>Airline</b>	<b>Date Obtained</b>
Southwest Airlines	6/18/1999
American Airlines	10/6/1999
Delta Airlines	11/3/1999
United Airlines	10/14/1999
Continental Airlines	12/19/2001
Northwest Airlines	4/9/2002
Air Transport International	1/21/2002
UPS	5/30/2002
Mexicana Airlines	NA



Attachment IV

**AIRLINE COMPLIANCE PROCEDURES**

<b>Airline</b>	<b>Date Implemented</b>	<b>Procedure/Action</b>
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Attachment V

**NOISE AND POLLUTION INFRACTIONS**

<u>Date</u>	<u>Airline</u>	<u>Type</u>	<u>Time of Infraction</u>	<u>Pollution Level</u>	<u>Recurrence</u>	<u>District</u>	<u>Neighborhood</u>	<u>Indication</u>	<u>Action Taken</u>
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**Appendix D**

<b>MEMORANDA RESPONSIBILITIES</b>		
	<b>Responsible City Entity</b>	<b>Action Taken</b>
<b>June 25, 2001 Memorandum</b>		
1. Direct the City Attorney to work with all airlines who have a lease at San Jose International Airport in preparing an airline conformance plan that details specific measures and/or information on how they will meet the City's aircraft curfew, including an elimination of both compliant and non-compliant violations, and to report back to Council within 90 days.	City Attorney	Supplemental compliance agreements have been obtained from nine airlines and one cargo carrier. The Supplemental Compliance Agreement is an agreement between the City and airline which states that the airline is aware of the City's curfew and will continue efforts to fully comply with the Curfew restrictions. The Attorney's Office is currently working on obtaining additional Supplemental Compliance Agreements from the remaining Cargo carriers.
2. Direct staff to report any conformance plans to the Airport Curfew Monitoring Committee for its input so that the Committee can make recommendations to the City Council.	Airport Staff	Reports are made accordingly as additional Supplemental Compliance Agreements are obtained.
3. Direct City Staff to seek ways with the FAA to modify the City's current grandfathered curfew to establish fines and penalties for non-compliance.	City Attorney	This is part of an ongoing effort to find ways in which the curfew may be potentially enhanced. Since October, 2002 the City Attorney has held two meetings with the FAA to discuss curfew compliance issues, including fines and penalties to be imposed for non-compliance. The City Attorney will continue to report back to council directly regarding these issues.
4. Direct the City Attorney to investigate the feasibility of taking action against airlines that have a pattern of curfew violations for unfair business practices.	City Attorney	Working in conjunction with the Curfew Monitoring Committee, the City Attorney's Office, to date, has determined that no single operator has engaged in a pattern of curfew violations that would constitute an unfair business practices. If such a determination were to be made, the Curfew Monitoring Committee would report to the City Attorney who would investigate further and report directly to Council on the pattern of violation and recommendations for actions to be taken.
<b>November 13, 2001 Memorandum</b>		
1. Direct the Administration to work with the Bay Area Air Quality Management District to investigate the feasibility of installing air quality monitors in Airport-area residential neighborhoods and report back to Council within 120 days.	Airport Administration	The Director of Aviation submitted a <i>Report Back on the Feasibility of Air Monitoring Around the Airport</i> , on March 11, 2002 to Mayor Gonzales and the City Council. The report outlined the technical difficulty of installing air quality monitors and isolating air quality impacts specifically from Airport operations. In addition, the installation of such monitors would be costly for the City. Currently there are no further plans to pursue the installation of new monitors. The Airport's Environmental Programs Division will precede with the mitigation measures as specified and approved in the Environmental Impact Report.
2. Devote the necessary resources to continue the expeditious implementation of the City's Acoustical Treatment Program.	Airport Staff	The FAA has approved the Updated Noise Exposure Map. Both the Washington Elementary and Sacred Heart Nativity School have been acoustically treated. ACT Program staff, in coordination with other various sections at the Airport, are continuing to update residents and proceed with the acoustical treatment of homes.

## Appendix D

<b>MEMORANDA RESPONSIBILITIES</b>		
<b>November 13, 2001 Memorandum</b>	<b>Responsible City Entity</b>	<b>Action Taken</b>
3. Direct the City Attorney to identify the appropriate local and federal actions and process necessary to impose fines and penalties on aircraft operators for violation of the existing Airport curfew or to allow incentives for compliance, and report back to Council within 90 days.	City Attorney	This is part of an ongoing effort to find ways in which the curfew may be potentially enhanced. Since October, 2002 the City Attorney has held two meetings with the FAA to discuss curfew compliance issues, including fines and penalties to be imposed for non-compliance. The City Attorney will continue to report back to Council directly regarding these issues.
4. Direct the Administration to investigate parking patterns and work with surrounding neighborhoods to determine the level of Airport-related parking on neighborhood streets.	Airport Administration Department of Transportation	The Airport and the DOT are coordinating their efforts on the issues regarding accommodating parking issues in neighborhoods as well as access to the Airport for pedestrians and bicycles. The DOT has offered to institute any necessary parking controls when neighborhoods request it.
5. Direct the Airport to include in future terminal planning, and in reports to Council on terminal design, the accommodation of pedestrian and bicycle access.	Airport Administration Department of Transportation	The Airport and DOT are coordinating their efforts on the issues regarding accommodating parking issues in neighborhoods, as well as access to the Airport for pedestrians and bicycles.
6. Direct the Administration to compile a summary report to Council within 90 days on aircraft run-up procedures and activity, correlation to noise complaints, potential noise reduction technologies and existing Municipal Code and EIR run-up noise mitigation commitments.	Airport Administration	The Director of Aviation issued a report to Mayor Gonzales and the City Council on 2/12/02. The report was a follow-up on aircraft engine run-ups, procedures, activities, complaints, potential noise reduction technologies, and existing Municipal Code and Master Plan EIR mitigation commitments.
7. Adopt as Council Policy that before Council considers an amendment to the Municipal Code to allow the Airport to expand beyond 40 airline gates, the Administration must update its Master Plan demand forecasts and prepare, in turn, a supplemental or new Airport Master Plan EIR.	The City Council	The City Council approved the seven responsibilities outlined in this memorandum during its November 13, 2001, meeting.

APPENDIX E



Memorandum

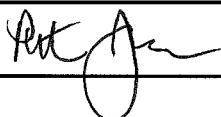
**TO:** Making Government Work Better  
Committee

**FROM:** Ralph G. Tonseth

**SUBJECT:** Accomplishments of the Airport  
Neighborhood Services Group

**DATE:** 3/4/03

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Approved  Date 3-4-03

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Thank you for the opportunity to provide additional information on the accomplishments of the Airport Neighborhood Services Group (ANSG) for inclusion in your final audit report.

- The four Marketing Representatives and the Office Specialist were hired by September 4, 2001. The initial responsibilities of the ANSG were almost exclusively dedicated to responding to the impacts of the terrorist attacks. Meetings were held in the community to explain the new security requirements and assure residents of the safety of air travel.
- The Airport Ombudsman was hired in mid-December, delaying a comprehensive work plan until after the middle of the fiscal year.
- ANSG staff participated in and/or hosted 167 community meetings and outreach programs during FY 2001-02.
- ANSG staff worked with the Airport's Noise Monitoring group and the Information Technology section to implement the Airport Monitor Flight tracking system on the Airport's web page resulting in 28,462 hits between December 6, 2002 and February 5, 2003.
- Business Development staff, including the ANSG, responded to 558 customer inquiries between July 1, 2002 and December 31, 2002. During the same period the division responded to 153 customer concerns. These concerns were not documented in the audit, as the Customer Concern Report is submitted to the Airport Commission.
- Concerns regarding noise events are reported in the Monthly Noise Report submitted to the City Council and the Airport Commission.
- ANSG worked with the County Human Rights Commission and District 5 staff to establish a Sikh sensitivity training program for all tenant and City employees at the Airport.

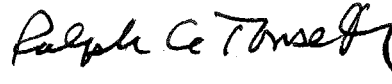
Making Government Work Better Committee

March 4, 2003

Subject: Accomplishments of the Airport Neighborhood Services Group

Page 2 of 2

- The ANSG spearheaded the coordination between the Office of Economic Development, Airport and the State of California to provide training and job resource services for the pre-board screeners when Transportation Security Agency (TSA) staff replaced them.



Ralph G. Tonseth  
Director of Aviation