DRAFT Proposed FY 2016 Audit Plan Projects
Office of the City Auditor

Proj. No.	Audit Area	Primary Department(s)	Preliminary Objective	Budgeted Hours
AUDITS: FY 2016 New Projects – Requested or Identified as High Risk				
1	Access Control Series: CC&B System	Austin Energy	How does the City provide adequate protection for this critical Information Technology system so that only authorized users have access?	500
2	Austin Police Department Handling of Citizen Complaints	Austin Police	Are citizen complaints related to police officers handled consistently, are appropriate corrective action(s) taken, and how does this process compare with similar entities?	1,000
3	Mobile Device Security	Communications and Technology Management	Are mobile devices used by City staff managed to prevent unauthorized access to City systems and protect private information?	750
4	Development Agreements	Economic Development	Are companies and the City complying with contractual requirements of approved development agreements?	750
5	Fleet: Preventive Maintenance for Light Duty Vehicles	Fleet, Multiple	Are City vehicles being serviced according to established maintenance schedules and does the cost of service compare to industry practices?	750
6	Workforce Development Contracts	Health and Human Services	Are recipients of City funding for workforce development programs providing agreed-upon services and are desired outcomes being achieved?	1,000
7	Health Claims	Human Resources	How does the City-funded health claims program compare with similar entities related to management and cost?	1,000
8	Cash Management Process	Multiple	Are City cash management practices consistent across departments and how do these practices compare with similar entities?	1,000
9	Inventory Management Series Project	Multiple	For an identified, high risk area in the City, are inventory assets adequately accounted for and protected?	500
10	Three Year Follow-up Audit	Multiple	Have selected, high-risk recommendations from recent OCA audits been implemented by management in a timely manner?	500
11	Historic Property Designation Process	Planning and Zoning	Does the historic property designation process achieve its objectives and how does this process compare with similar entities?	750
12	Language Access	Public Information Office, Multiple	How does the City currently manage non-native English services, do the current services align with community needs, and how do these services compare with similar entities?	750
13	Construction Management Process	Public Works, Multiple	Does the City's construction management model effectively coordinate among multiple departments, efficiently deliver completed projects that meet the needs of the end user, and how does this model compare with similar entities?	1,000
14	Street Cut Repairs	Public Works, Multiple	Are street cut repairs being completed in an effective and timely manner to minimize safety impacts to the public, is the current model cost-effective, and how do these practices compare with similar entities?	1,000
15	Participation of Certified Firms in City Projects	Small and Minority Business Resources	Do certified firms have a full and fair opportunity to participate in City projects and are there barriers that limit the number of firms that choose to participate?	750
16	Flood Buyout Program	Watershed Protection	Does the City's flood buy-out program yield timely and cost-effective results and how does this program compare with similar entitles?	750
17	Storm Water Infrastructure Maintenance	Watershed Protection	Is the City's storm water infrastructure sufficient to manage expected flows, maintained according to an established schedule, and how do these practices compare with similar entities?	1,000

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Proj. No.	Audit Area	Primary Department(s)	Preliminary Objective	Budgeted Hours
	OTHER: FY 2016 Integrity and Special Request Projects			
18	Council Special Requests	Multiple	Limited-scope information provision or verification requests from Council (NOTE: Projects are typically 200 hours or less)	1,200
19	Integrity Unit Activities	Office of the City Auditor	Investigations of allegations of fraud, waste, and abuse by City employees or contractors and proactive prevention and risk response projects	5,500
20	Closeout Activities for Prior Projects	Office of the City Auditor	Complete closeout and quality review for projects delivered at upcoming Audit and Finance Committee meetings	300
	AUDITS: Carryover Projects – To be Completed in FY 2016			
C-1	Code Investigation and Resolution Consistency	Austin Code	Is the Austin Code Department consistently interpreting code regulations and are code issues consistently investigated and resolved across the City?	750
C-2	Austin Energy: Customer Care	Austin Energy	How satisfied are customers with the level of service provided by Austin Energy customer care staff and how do these service levels compare with similar entities?	300
C-3	Weatherization	Austin Energy	Is Austin Energy administering the weatherization program in an effective and efficient manner?	100
C-4	Purchasing Card: Series	Communications and Technology Management	Are Communication and Technology Management Department purchase card processes aligned with established policy and how do these processes compare with similar entities?	100
C-5	Information Technology Access Controls for Critical City Systems: Series	Human Resources, Controller	How does the City provide adequate protection for the BANNER system so that only authorized users have access?	300
C-6	Critical Infrastructure Safety	Multiple	How does the City manage risks related to the safety of dams, bridges, and other critical infrastructure and how do those practices compare with similar entities?	750
C-7	Inventory Management: Series	Multiple	Are City inventory management practices consistent across departments, how do these practices compare with similar entities, and are inventory assets adequately accounted for and protected?	750
C-8	Affordable Housing: Prioritization	Neighborhood Housing and Community Development	Does the Neighborhood Housing and Community Development Department conduct effective strategic planning efforts to prioritize and address the City's affordable housing goals and needs?	300
C-9	Resource Allocation: Parks and Recreation Department	Parks and Recreation	How does the City allocate Parks and Recreation Department resources, especially considering utilization, cost, and fees, and does this process result in equity from a district perspective?	750
C-10	Neighborhood Planning Communication	Planning and Zoning	How effective are City public engagement efforts, including the extent and accuracy of neighborhood contacts, related to the planning, drafting, and implementation phases of the CodeNEXT process?	750
C-11	Construction Project Management at the Airport	Public Works, Aviation, Multiple	Does the City have effective planning, vendor selection, design evaluation, and project management process to deliver construction projects at Austin-Bergstrom International Airport?	100
C-12	Transportation Effectiveness: Risk Assessment and Selected Project	Transportation	Does the City effectively manage transportation system planning and balance safety and flow concerns for all users?	300
			FY 2016 Audit Plan Total Hours	**26,000**

DRAFT Proposed FY 2016 Priority Replacement Projects
Office of the City Auditor

Proj. No.	Audit Area	Primary Department(s)	Preliminary Objective	Budgeted Hours
	PRIORITY REPLACEMENT PROJECTS: FY 2016			
P-1	Biomass Plant Contract Oversight	Austin Energy	Are the plant owner and City complying with contractual requirements and how does the plant provide cost-effective, clean energy to Austin Energy's generation portfolio?	500
P-2	Management of Bad Debt	Austin Energy	How is bad debt managed, is it within an acceptable range, and how does it compare with similar entities?	750
P-3	Fire Hydrant Management	Austin Fire, Austin Water Utility	Does the City have a complete inventory of fire hydrants, including a process to determine whether each hydrant is functional, and how does this process compare with similar entities?	750
P-4	Universal Recycling Ordinance	Austin Resource Recovery	Are entities complying with the Universal Recycling Ordinance and to what extent are these efforts contributing to the City's Zero Waste goals?	750
P-5	Budget Process	Budget	Does the City's budget process meet the needs of Council and citizens and how does it compare with similar entities?	1,000
P-6	Online Services	Communications and Technology Management	What City services are currently available online, do the current services align with stakeholder needs, and how do these services compare with similar entities?	1,000
P-7	Hotel Occupancy Tax Revenue	Controller, Hotels	What are the allowable uses of hotel occupancy tax revenue and are hotels and other providers reporting and paying the appropriate amount of tax to the City?	400
P-8	Demolition Permit Process	Development Services	Does the demolition permit process achieve its objectives and how does this process compare with similar entities?	750
P-9	Art in Public Places (AIPP) Ordinance	Economic Development	How are the Art in Public Places ordinance provisions, especially related to funding, placement, and maintenance, being managed and how do they compare with similar entities?	750
P-10	Fleet: Purchase and Replacement	Fleet, Multiple	How are fleet vehicle purchase and replacement decisions made, do they further City policy goals related to carbon reduction, and how do they compare with similar entities?	750
P-11	Human Resources Governance	Human Resources	Does the current human resources governance structure contribute to the application of consistent outcomes for employees and how does this structure compare with similar entities?	750
P-12	Timekeeping Process	Human Resources, Multiple	How does the functionality, accuracy, and cost of the current manual timekeeping process compare with alternatives, including automated systems?	1,000
P-13	Outside Counsel	Law	How does the City determine when to use outside counsel for legal services, what is the cost difference as compared to in-house counsel, and how does this practice compare with similar entities?	750
P-14	Bond Spending	Multiple	How does the City ensure that approved bond issues are funded and deliver the expected project or outcome in a timely manner?	1,000
P-15	City Ethics Program	Multiple	How does the City's ethics program compare to programs in similar entities and how is success measured? (NOTE: May require use of external subject matter expert)	500
P-16	Citywide Overtime Pay	Multiple	How does the City determine when overtime pay is appropriate, how are assignment decisions made to promote safety and equity, and are results tracked and managed to ensure cost effectiveness?	1,000

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Proj. No.	Audit Area	Primary Department(s)	Preliminary Objective	Budgeted Hours
P-17	Facility Governance	Multiple	Does the City's facility planning process result in the delivery of timely and cost effective facilities that are appropriate for the intended use?	750
P-18	Grant/Contract Risk Assessment	Multiple	What are the risks associated with grant and contract compliance and administration and are those risks being appropriately managed?	1,000
P-19	Hazardous Materials Storage and Handling: Series	Multiple	Does the City effectively manage high-risk hazardous materials related to training, tracking, storage, handling, inspection, and security?	300
P-20	Open Records Requests	Multiple	Are City open records requests handled consistently, in a timely manner according to statutory requirements, and how does this process compare with similar entities?	1,000
P-21	Purchasing Card: Series	Multiple	Are City purchase card processes aligned with established policy and how do these processes compare with similar entities?	300
P-22	Technology Procurement	Multiple	How are technology procurement requests evaluated and processed, does this process meet the needs of stakeholders, and how does it compare with similar entities?	1,000
P-23	Affordable Housing: Energy and Water Efficiency Programs	Neighborhood Housing and Community Development, Austin Energy, Austin Water Utility	Has the City initiated an effort to consolidate requirements for multiple efficiency programs to create an easier and more standardized user experience for applicants?	1,000
P-24	Climate Protection Plans	Sustainability, Multiple	Are City departments complying with their approved climate protection plans, what do these efforts cost, and to what extent are they contributing to the City's carbon reduction goals?	1,000
P-25	Parking Benefit Districts	Transportation	How does the City account for funds generated from parking benefit districts and ensure that those funds are used for intended purposes?	500
P-26	Traffic Mitigation Fees	Transportation	How does the City account for traffic mitigation fees and ensure that the funds are used in an appropriate and timely manner?	750
			FY 2016 Priority Replacement Projects Total Hours	**20,000**