

Fiscal Year 2019 Follow-Up



When we complete audit work and issue recommendations, we aim to improve the way the City serves its citizens. Follow-up projects are intended to loop back with management and verify that known issues are addressed.

Objective

To test the implementation of recommendations from our audit reports.

Background

- City Code requires that City management provide a response to each audit report recommendation, either agreeing or disagreeing, and describing the actions they will take in response to the recommendations.
- The Office of the City Auditor has a follow-up program that confirms that actions proposed by management were taken.

What We Found

We continued our testing of recommendations from fiscal year 2012 through fiscal year 2019, as well as a few older recommendations, as a part of this follow-up audit. We verified implementation of 21 of the 29 recommendations reviewed.

Results of the six months of testing

21

Implemented

4

Underway

4

No longer applicable

Examples of areas where improvements were made as a result of implementing our recommendations include:



Homelessness assistance



Information security



Weatherization program management

Additionally, we implemented a new system to track recommendations and trained 50 users in the departments to enter status updates directly in the system. Information on recommendation tracking is now available on the City's open data portal.

What We Found - Details

29 recommendations were tested in this follow-up project. Some audits have more recommendations than those listed here.

Audit of Vehicle Utilization

1. Fleet Services management should create an interdepartmental team to determine how Fleet Services will conduct an annual vehicle utilization study, then complete the study and document the policies and procedures for doing so. The team should determine what information is important to key users; determine what data will form the basis for the study; analyze the vehicle needs of departments and use this information to establish reasonable criteria for defining underutilized vehicles; implement a monitoring system; assess data integrity; and work with the City Manager's Office to determine who has the final authority on whether to eliminate or transfer underutilized vehicles and update Administrative Bulletin 09-01 accordingly.

UNDERWAY

Most of the recommendation is implemented with updating Administrative Bulletin 09-01, but improving data integrity still pending

Audit of Public Safety Vehicle Repair

1. The City Fleet Officer should direct and monitor the adoption and implementation of improvements to the vehicle repair management program, in accordance with applicable best practices. Elements that need to be addressed include, but are not limited to, processes to ensure quality and timeliness of repair services; process to establish an effective customer communication infrastructure; and processes to ensure completeness and accuracy of work order data in the M5 system.

IMPLEMENTED

Audit of Fleet Preventive Maintenance for Light Duty Vehicles

1. For the vehicles reviewed in this audit, the Director of the Fleet Services Department should adjust preventive maintenance services so that Fleet Services performs primarily those preventive maintenance services recommended by the manufacturer; and reduce the frequency of more extensive preventive maintenance services (PMB).
2. After implementing the action plan to address the first recommendation, the Director of the Fleet Services Department should perform a cost-benefit analysis for light duty, non-public safety vehicles to determine whether Fleet Services should continue to perform select preventive maintenance services, such as oil changes and state inspections, internally as opposed to contracting for those services.

IMPLEMENTED

UNDERWAY

Cost-benefit analysis will be conducted once the data for a year is available

Audit of AustinGO: Website Governance and Management

1. The City Manager's Office should develop and implement a strategic framework and implementation plan, which includes milestones and clear roles and responsibilities to implement open government per City Council resolution 20111208-074.

IMPLEMENTED

Audit of Performance Measurement System

2. Budget Officer should strengthen eCOMBS security access controls to align with the City's information security requirements related to user access rights and passwords.

IMPLEMENTED

Confidential Audit of Information Security Management

The first recommendation of the seven we issued was implemented.

IMPLEMENTED

Audit of Traffic Enforcement

1. The Municipal Court should work with relevant stakeholders to evaluate current intersection crash data to determine if current red light cameras should be moved or new cameras added.

NOT APPLICABLE

Due to change of State Law

Audit of Austin Energy Low Income Weatherization Program

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|---|-------------|
| 1. Austin Energy management should ensure adequate monitoring and oversight over the eligibility process to ensure expending of program funds are optimized and that only eligible customers are served. | IMPLEMENTED |
| 2. Austin Energy should review and structure its weatherization contracting, operations, and measurements to ensure that funding allocated to the program is used. | IMPLEMENTED |
| 5. Austin Energy management should ensure that contractors' accountabilities are clearly stated in the contract and duly complied with, all weatherization-related data are into one central database, and marketing of all program weatherization services are enhanced. | IMPLEMENTED |

Audit of Austin Police Department Handling of Complaints

These were previously reported as Underway, but management has now completed implementation:

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|---|-------------|
| 2. The Police Monitor should review the complaint process, identify barriers people may face when attempting to make a complaint, and implement methods to reduce or eliminate those barriers. This includes more clearly communicating that complaints can be made anonymously and publishing clear guidance on what to expect after making a complaint, including estimated timelines and deliverables. | IMPLEMENTED |
| 9. The Police Chief should ensure that regular meetings between stakeholders in the complaint process occur, as prescribed in the agreement with the Austin Police Association. | IMPLEMENTED |
| 11. The City Manager should pursue opportunities to expand oversight function through changes to City Code and/or the City's agreement with the Austin Police Association. | IMPLEMENTED |

Audit of Matched Savings Account Program

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| 1. NHCD should ensure all Matched Savings Program decisions and transactions are properly monitored by program supervisors and financial staff. | IMPLEMENTED |
| 2. NHCD management should immediately evaluate processes regarding the authorization of program funds, and institute steps to ensure payments are disbursed only to verified third parties; and payments are authorized only for goods and services that meet the program savings goals. | IMPLEMENTED |
| 3. NHCD management should take immediate action to ensure that the use of the City's procurement card is in accordance with City and department policy, including authorization of purchases and use of the card by authorized account-holders. | NOT APPLICABLE
Program discontinued |
| 4. With regard to the small business savings goal, NHCD should ensure proposed participants' businesses are evaluated by an expert party and determined to both legitimately exist and be reasonably likely to succeed; and program funds for working capital are only released to a business checking account that is separate from the participant's personal checking account. | IMPLEMENTED |
| 5. If NHCD decides to continue the Matched Savings Program using only City funds, NHCD management should eliminate participant's small businesses as an allowable use of program funds, or take steps to ensure that proposed participant businesses are properly evaluated by an expert party; design performance measures and collect appropriate data to ensure the program is effective in achieving its stated goals; and limit the use of program funds to verifiable third parties directly tied to savings goals, such as title companies or educational institutions, rather than secondary or supplemental items such as computers and office supplies. | NOT APPLICABLE
Program discontinued |
| 6. NHCD should reevaluate its citizenship requirements for all programs and ensure they are based on an accurate understanding of federal legislation. Additionally, NHCD may want to ensure that its citizenship requirements are in line with other City departments and Council policies. | UNDERWAY
Pending formal adoption |

Audit of Homelessness Assistance – City Policies

1. The City Attorney should reassess the City's camping, sit/lie, and panhandling ordinances to determine what legal risk they pose to the City. Further, the City Attorney should report the results of this review to City Council. **IMPLEMENTED**
2. The City Manager should work with City Council to determine if the City's camping, sit/lie, and panhandling ordinances are still aligned with the City Council's vision for addressing the issue of homelessness or whether the ordinances should be revised or repealed. **IMPLEMENTED**
3. If the ordinances are not repealed, the City Manager should identify and implement changes to make the enforcement of the City's camping, sit/lie, and panhandling ordinances more effective and efficient. Changes may include, but are not limited to: expanding Downtown Austin Community Court (DACC) case management resources and ensuring that all citations involving people experiencing homelessness are handled by DACC; implementing strategies to encourage more people experiencing homelessness to accept case management services; implementing strategies to reduce arrest warrants issued in response to people experiencing homelessness who fail to appear in court following citation; and implementing strategies to reduce the number of people experiencing homelessness in jail for violating these ordinances. **NOT APPLICABLE**
Due to implementation of recommendation 2

Audit of Homelessness Assistance – Coordination

1. The City Manager should designate a position within the City whose primary responsibility is coordinating the homelessness assistance efforts in Austin. This position should develop a strategic plan to address homelessness, and coordinate City department's efforts related to homelessness. **IMPLEMENTED**

Audit of Citywide Records Management and Retention

1. The City Clerk should fully leverage the Records Management Committee to actively support and promote Citywide records management, as prescribed by City Code including seeking changes to the City Code to strengthen the composition of the Committee by including a representative of the City Manager's Office. **UNDERWAY**
Changes made to the guidelines, but the Committee was not meeting at the time of our follow up
2. The City Clerk should work with the Records Management Committee to strengthen the records management program by incorporating and implementing accountability tools, such as those identified in the Association of Records Managers and Administrators Principle of Accountability. **IMPLEMENTED**

Audit of Evidence Disposition

1. The Austin Police Department should ensure that policies and procedures related to drug disposition incorporate all the applicable requirements outlined by the Texas Administrative Code and are clear, fully documented, and monitored as suggested in industry guidance. **IMPLEMENTED**

Audit of Sewer Overflow Prevention and Response

2. The Austin Water Utility Director should ensure all wastewater regulations and requirements of the Texas Commission on Environmental Quality (TCEQ) agreement are routinely monitored and met to avoid potential penalties for non-compliance. **IMPLEMENTED**
3. The Austin Water Utility Director should ensure public notifications regarding overflows meet all notification requirements set forth in the Texas Administrative Code and that the public has all of the information necessary in the event of an overflow either by use of the media notification template provided by the TCEQ or through the use of an internally created template detailing the notification requirements. **IMPLEMENTED**