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**Report**

**Citywide Risk Assessment:  
Three Year Combined Report**

**December 2005**

**Office of the City Auditor  
Austin, Texas**

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December 6, 2005

**To:** Mayor and Council Members

**From:** Stephen L. Morgan, City Auditor

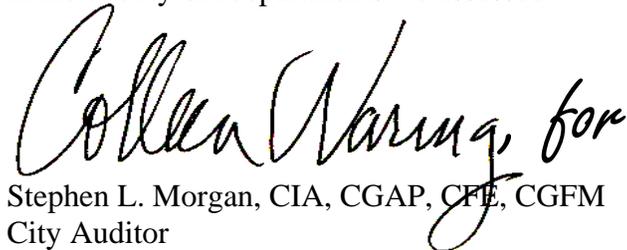
**Subject:** 2005 Citywide Risk Assessment Report

Attached is the 2<sup>nd</sup> report on our 2005 risk assessment project, in which we assessed risk levels for all City departments. The need for a true Citywide assessment has become increasingly clear to us over the last three years as we have assessed only one-third of the City each year. To fill the need for a Citywide assessment with minimum use of resources, we have streamlined our data gathering and analysis tools so that a full assessment can be made as needed every three to five years.

Our results are intended to show where there may be greater impact if significant problems emerge, and thus serve as a focusing tool for targeting limited audit and management resources in the areas of greatest need.

The results of this assessment will be considered, along with Council and other stakeholder input, in developing OCA's 2006 performance plan.

We appreciate the cooperation and assistance we received from a number of City departments during the assessment, including the Budget Office, the Controller's Office, the Office of Telecommunications and Regulatory Affairs, and the Human Resources Department. We also appreciate the assistance we received from the financial managers in the twenty-six departments we assessed.



Stephen L. Morgan, CIA, CGAP, CFE, CGFM  
City Auditor

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## **BACKGROUND, OBJECTIVES, SCOPE & METHODOLOGY**

In the internal auditing profession, formal risk assessment models are extensively used and widely accepted tools for annual planning. Formal risk assessment models are designed to identify areas of activity, organizational units, or functional processes within an organization that pose high inherent risk. In addition to risk assessment for audit planning, organizations are learning that risk assessment is also a critical tool for management.

Every three to five years, the Office of the City Auditor (OCA) conducts a Citywide assessment of the organization's risks. The last full Citywide risk assessment was completed in 1999. Our 2003 annual service plan included this project in an altered form. In order to limit the resources needed to conduct the risk assessment in a single year, OCA agreed with the Council Audit and Finance Committee to assess one-third of the City each year, beginning in 2003. The final partial assessment was presented to the City Council Audit and Finance Committee at its September 2005 meeting.

A major drawback of doing a Citywide assessment over three years' time is that the risk ranking for any particular activity can only be accomplished by comparing its risk score with that of other activities assessed in the same year. A much more comprehensive assessment can be obtained by looking at the City as a whole. The report issued in September covered only the eight departments remaining from the three year assessment project. Because of the limitation inherent in assessing only part of the City at one time, we collected data for all departments in 2005 for all but three factors. For the remaining three factors, we combined data from prior years' assessments. This report presents the results of the full Citywide data collection effort in 2005.

### **OBJECTIVES**

The purpose of the Citywide Risk Assessment project is to identify and catalog key risk areas within City operations. The risk assessment results are useful to various stakeholders. They

- inform management and Council of high risk areas, only a few of which can be selected for audit, thus providing opportunity for decision makers to decide where other risk reduction strategies should be initiated and where the City must simply accept high risk;
- provide information to Council and management on emerging issues that are not specific to individual organizational units; and
- identify "high" risk rated activities for consideration in the development of OCA's annual performance plan.

Risk assessment is not intended to capture specific problems occurring on a particular day, but rather to point out where the impact of problems might be unacceptably high.

**Risk defined.** We define risk as the likelihood that an event or action could adversely affect the City's operations and/or customers. Types of risk include both "inherent risk" and "vulnerability."

- **Inherent risk** is the uncertainty or risk that is intrinsic to an operation based solely on the type of work performed, the amount of resources involved, or the complexity of the operations performed. For example, “safety and liability” risks are higher inherent risks to a law enforcement program and lower to a financial management program.
- **Vulnerability**, also known as “control risk,” is the probability that a particular risk might actually occur and have a negative impact on the organization if controls are not in place or functioning effectively to mitigate inherent risks.

**Assessing risk.** Risk assessment is a process of systematically scoring (or rating) the relative impact of a variety of “risk factors.” A risk factor is an observable or measurable indicator of conditions or events that could adversely affect the organization. Risk factors are grouped around common themes, such as planning and performance, or public concern and perception. Risk factors can emphasize inherent risks (such as the factors in the organizational size and complexity group), or they can be indicators of both inherent risk and vulnerability (such as worker’s compensation claims or performance trends).

A formal risk assessment, such as the one conducted in this project, utilizes a model to capture data from a variety of sources and summarizes that data by organizational unit according to risk factor groups. Risk factor groups and relative weights used in this risk assessment are shown in Exhibit 1.

**EXHIBIT 1**  
**Risk Groups and Weights**

<b>Risk Group</b>	<b>Weight</b>
<b>Size &amp; Complexity</b> <ul style="list-style-type: none"> <li>▪ Budgeted expenditures</li> <li>▪ Full-time equivalents (FTEs)</li> <li>▪ Number of sites</li> <li>▪ Diversity of services</li> <li>▪ Contract expenditures</li> <li>▪ Revenues</li> </ul>	<b>16%</b>
<b>Change</b> <ul style="list-style-type: none"> <li>▪ Budget trend</li> <li>▪ FTE trend</li> <li>▪ Change dynamics in business plans</li> <li>▪ Turnover and years of service lost</li> <li>▪ Change in expenditures</li> <li>▪ Change in revenue</li> </ul>	<b>18%</b>
<b>Planning &amp; Performance</b> <ul style="list-style-type: none"> <li>▪ Variance in budget to actual expenditures</li> <li>▪ Performance trends</li> <li>▪ Workforce survey satisfaction rating</li> <li>▪ Overtime expenditures</li> </ul>	<b>20%</b>
<b>Public Concern &amp; Perception</b> <ul style="list-style-type: none"> <li>▪ Citizen complaints</li> <li>▪ Legal claims &amp; suits filed</li> <li>▪ Survey of Council and CMO</li> </ul>	<b>11%</b>
<b>Safety &amp; Liability</b> <ul style="list-style-type: none"> <li>▪ Worker's Compensation claims</li> <li>▪ Legal claims and suits paid</li> <li>▪ Workforce survey safety rating</li> </ul>	<b>9%</b>
<b>Ethics</b> <ul style="list-style-type: none"> <li>▪ Investigator ratings of ethics risks</li> <li>▪ Workforce survey ethics rating</li> <li>▪ Commodity expenditures</li> <li>▪ Extent and amount of cash handling</li> </ul>	<b>14%</b>
<b>Mitigating Factors</b> <ul style="list-style-type: none"> <li>▪ Independent oversight by outside agencies</li> <li>▪ OCA audits</li> <li>▪ Other internal and external audit coverage</li> <li>▪ Management initiatives</li> </ul>	<b>12%</b>

SOURCE: Summary of OCA risk assessment model.

Additional information on the risk factors within each group is presented in Appendix A.

## SCOPE

This risk assessment included all City departments in existence as of September 2005. We conducted the majority of our analysis at the activity level. Data for some factors, such as employee turnover, is only available at the department level. Where data could not be obtained at the activity level, departmental scores were given to all activities within the department for that factor. Our assessment included multiple sources of data that spanned fiscal years 2000 to 2005. Our assessment excluded activities set up solely as accounting conventions, such as Transfers and Other Requirements. We also excluded accounting expenditures and revenue in the financial system that did not tie to specific activities.

Wherever possible, we made use of data already captured in a variety of sources. These sources included:

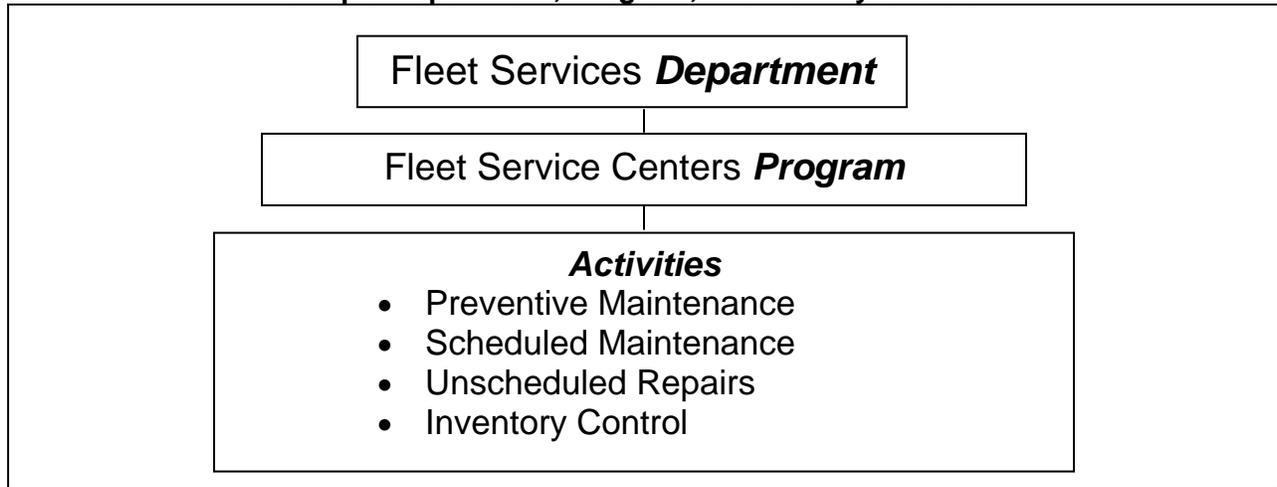
- Budget and business plan documents,
- Data from AFS2, the City's financial system of record,
- Data from CARMA, the City's central performance measure database,
- Data from BANNER, the City's human resources management system.

Occasionally we found no data for an activity to inform the assessment. When auditors do not have needed data for assessing risk, prudent professional practice is that we assess risk at 50% probability of problems existing (misstated financials, poor performance, etc.) and an equal 50% probability that there are no problems. For the purposes of this assessment, a default rating of 3 on the scale of 1 to 5 was given.

**The scope of the data collected for individual risk factors varied by fiscal year according to appropriateness for each factor.** For instance, the factors for relative size (budget and FTEs) are based on FY 05 data, while the data used for the performance trend factor in the planning and performance group spanned FY 99 through FY 05, where available.

**To the extent possible, risk was assessed at the "activity" level.** The activity is the basic unit of organization in the City's budget. Multiple activities with common objectives combine as a single program. An example of the organizational levels of a department, program, and activities is shown in Exhibit 2. Overall, we assessed 554 activities in 26 Departments on each of 30 risk factors in seven risk factor groups.

**EXHIBIT 2**  
**Sample Department, Program, and Activity Structure**



SOURCE: Sample program from the City's FY 05 Budget.

**We excluded some organizational units and some data from our analysis.** The following organizational units have been excluded from the risk assessment project:

- Office of the City Auditor (OCA),
- Mayor and Council, and
- Austin Energy.

These entities were excluded because OCA is not independent of itself or of the Mayor and City Council. We conduct ongoing risk assessment for Austin Energy which is reported independently of this project and which is subject to Texas statute and enabling City ordinance on the confidentiality of information relating to the utility's competitive position in the industry.

## **METHODOLOGY**

We employed both quantitative and qualitative analysis as appropriate to assess risk for each factor. The weight of each risk factor was assigned based on relative importance and quality of information available on which to rate risk. We rated all activities for each risk factor on a scale of 1 (low risk) to 5 (high risk). Criteria used to assign ratings to each activity are shown in Appendix A.

For this three year combined risk assessment, we used data collected for the 2005 risk assessment for most factors. For a few factors where 2005 data was not available, we used data obtained for the 2003 and 2004 assessments. Appendix A details the data used for rating each factor.

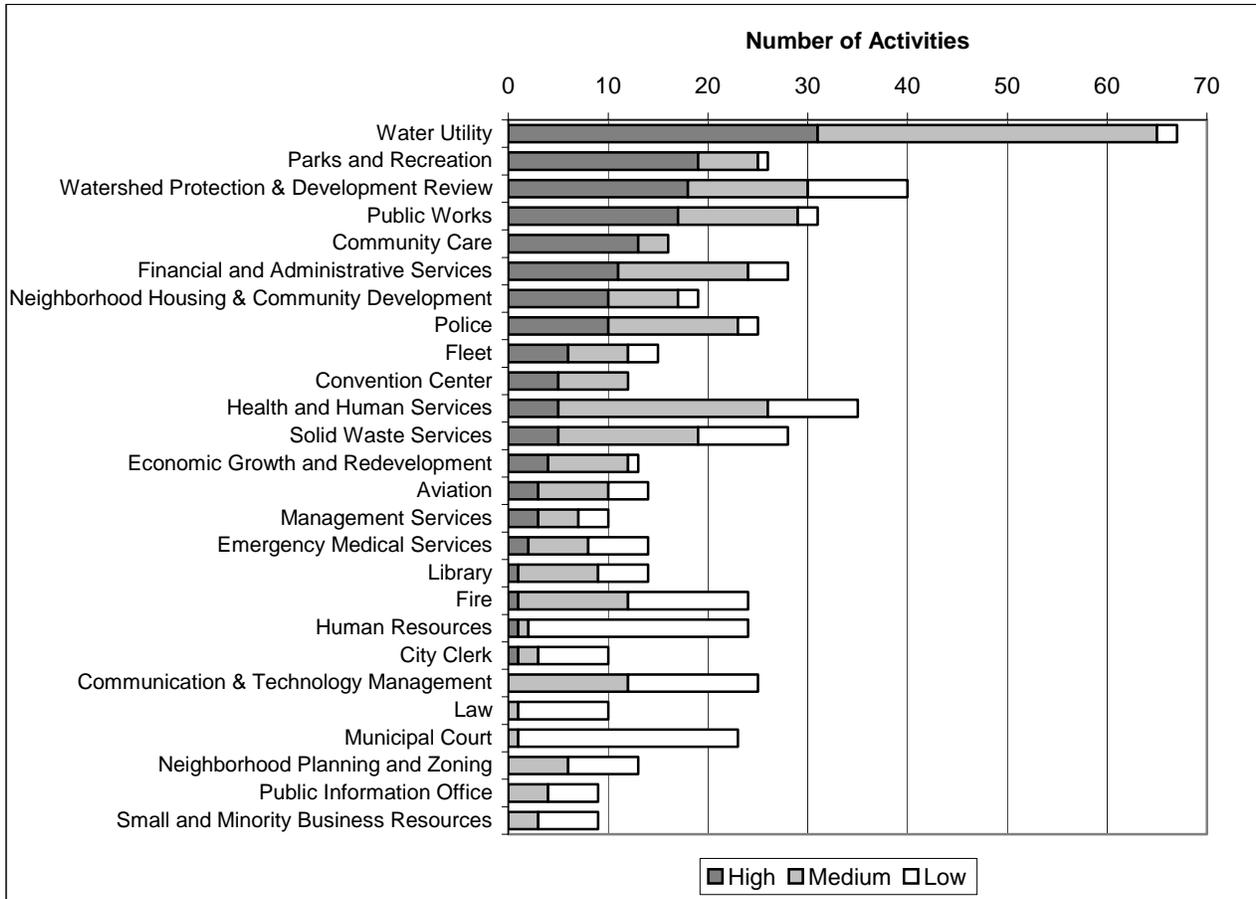
We then calculated the overall weighted risk rating for each activity, stratified the resulting ratings in descending order by tenths, and identified the top 30 percent (or those ranking 8, 9, or 10). This scoring system enabled the highest risk activities to "surface." It also highlights those areas where risk is very low.

This risk assessment was conducted in compliance with the general standards of the Generally Accepted Government Auditing Standards (the Yellow Book).

## RISK ASSESSMENT RESULTS

OCA’s Citywide Risk Assessment yields a “topographical map” showing activities in the City that had higher risk ratings based on the risk factors assessed. A high-level overview of this topographical map of risk levels in City activities for all departments is shown in the exhibit below.

**EXHIBIT 3  
Activity Risk Levels by Department**



SOURCE: OCA Analysis of Citywide Risk Assessment results.

Overall results identify the areas of highest risk according to the risk factors assessed, thus providing focus on areas where OCA services or additional management action may be warranted. These are the areas where the most impact would be expected from the investment of audit resources or management focus.

The factor group(s) driving any given activity’s score can be found by looking up the activity in Appendix B. Activities are sorted in Appendix B according to their respective scores with the highest scores at the beginning and the lowest at the end.

As shown below in Exhibit 4, we found that most (85) of the (166) high risk activities were clustered in Austin Water Utility, Parks and Recreation, Watershed Protection and Development

Review, and Public Works. The remaining 81 high risk activities were spread among sixteen departments. Six of the 26 assessed departments had no high risk activities.

**EXHIBIT 4**  
**Percent of Activities in Top 30% Risk Ranking By Department**

Dept	Number of Activities in Top 30% of Risk Rank	Total Activities	Percent of Activities in Top 30%
Austin Water Utility	31	67	46%
Parks and Recreation	19	26	73%
Watershed Protection & Development Review	18	40	45%
Public Works	17	31	55%
Community Care	13	16	81%
Financial and Administrative Services	11	28	39%
Neighborhood Housing & Community Development	10	19	53%
Police	10	25	40%
Fleet	6	15	40%
Convention Center	5	12	42%
Solid Waste Services	5	28	18%
Health and Human Services	5	35	14%
Economic Growth & Redevelopment	4	13	31%
Management Services	3	10	30%
Aviation	3	14	21%
Emergency Medical Services	2	14	14%
City Clerk	1	10	10%
Library	1	14	7%
Fire	1	24	4%
Human Resources	1	24	4%
Communications Technology Management	0	25	0%
Municipal Court	0	23	0%
Neighborhood Planning and Zoning	0	13	0%
Law	0	10	0%
Small and Minority Business Resources	0	9	0%
Public Information Office	0	9	0%
	<b>166</b>	<b>554</b>	

SOURCE: OCA Analysis of Citywide Risk Assessment results.

**We broke down the highest risk activities for further examination.** The activities that ranked in the top ten percent are shown in Exhibit 5. These would logically warrant a higher level of additional attention by OCA, department management, or City management.

**EXHIBIT 5**  
**Top 10% Risk Ranked Activities Citywide (Those with Rank of 10) by Program**

**Austin Water Utility**

- **Collection System Operations & Maintenance** – Lift Station Operations & Maintenance; Wastewater Pipeline Rehabilitation & Construction
- **Collection System Support** – Line Locations-Collection System; Small Calls-Collection System; Wastewater TV Inspection, Inflow & Infiltration
- **Distribution System Operations & Maintenance** – Metering Services; Valve & Hydrant; Water Pipeline Rehabilitation & Construction
- **Distribution System Support** – Small Calls-Distribution System
- **Support Services** – Facility Expense

**Parks and Recreation Department**

- **Community Recreation Services** – Community Recreation
- **Cultural Arts Services** – Museums
- **Facility Services** – Facility Maintenance, PARD Construction, Special Events
- **Public Safety** – Lake Patrol; Parks and Facility Patrol
- **Sports Management** – Athletics, Golf

**Public Works**

- **Concrete Repair and Construction** – Concrete Repair and Construction
- **Leasing & Property Management** – Lease Property & Land Management
- **Street Preventive Maintenance** – Asphalt Overlay; Crack Seal; Seal Coat
- **Street Repair** – Utility Excavation Repair
- **Traffic Controls** – Traffic Signals; Traffic Signs; Transportation Markings
- **Transportation Enhancement** – Parking Space Management; Transportation Engineering

**Watershed Protection and Development Review**

- **One Stop Shop** – Building Inspection; Commercial Building Plan Review; Development Assistance Center; Land Use Review; One Stop Shop Support; Right-of-Way Management; Site/Subdivision Inspection;

**Financial and Administrative Services**

- **Budget Office** – C I P; Managing For Results
- **Building Services** – Custodial Services; Security
- **Telecommunications and Regulatory Affairs** – Franchise Management
- **Treasury** – Investment Management

**Police**

- **Operations Support** – Forensic Science Services
- **Professional Standards** – Training
- **Support Services** – Personnel/Training

**Fleet Services**

- **Fleet Service Centers** – Inventory Control; Preventive Maintenance; Unscheduled Repairs

**Neighborhood Housing and Community Development**

- **Housing Development** – Assisted Housing; Owner Occupied Services

**Solid Waste Services**

- **Code Compliance** – Dangerous Buildings and Housing

**Community Care**

- **Patient Care Support Services** – Pharmacy

**Austin Convention Center**

- **Event Operations** – Parking Management

**Office of the City Clerk**

- **Elections** – Elections

SOURCE: OCA Analysis of Citywide Risk Assessment results.  
Key: **Boldface** = Department and Program; Lightface = Activities.

Activities that ranked in the second and third top ten percent of risk ratings, those with ranks of 8 or 9, are shown in Appendix B. A number of the activities in this group share a common program with the activities ranked in the top ten percent.

**We also noted areas with low risk ratings.** As Exhibit 6 shows, nine departments had at least one-half of their activities in the low risk group: Municipal Court, Human Resources, Law, City Clerk, Small & Minority Business Resources, Public Information, Neighborhood Planning and Zoning, Communications Technology Management, and Fire.

**EXHIBIT 6**  
**Percentage of Activities in Lowest 30% Risk Ranking By Department**

Department	Activities in Bottom 30% of Risk Rank	Total Activities	Percent of Activities In Bottom 30%
Municipal Court	22	23	96%
Human Resources	22	24	92%
Law	9	10	90%
City Clerk	7	10	70%
Small & Minority Business Resources	6	9	67%
Public Information Office	5	9	56%
Neighborhood Planning and Zoning	7	13	54%
Communications Technology Management	13	25	52%
Fire	12	24	50%
Emergency Medical Services	6	14	43%
Library	5	14	36%
Solid Waste Services	9	28	32%
Management Services	3	10	30%
Aviation	4	14	29%
Health and Human Services	9	35	26%
Watershed Protection and Development Review	10	40	25%
Fleet Services	3	15	20%
Financial and Administrative Services	4	28	14%
Neighborhood Housing and Community Development	2	19	10%
Police	2	25	8%
Economic Growth and Redevelopment Services	1	13	8%
Public Works	2	31	6%
Parks and Recreation Department	1	26	4%
Austin Water Utility	2	67	3%
Convention Center	0	12	0%
Community Care	0	16	0%
	<b>166</b>	<b>554</b>	

SOURCE: OCA Analysis of Citywide Risk Assessment results.

The activities with the lowest overall risk ratings are shown in Appendix B. These include activities that ranked 1, 2, or 3 on a scale of 1 to 10, representing the lowest 30 percent rank.

Activities that were not in the top or bottom 30% risk ranks are considered medium risk overall and are also listed in Appendix B. These are the activities with ranks of 4, 5, 6, and 7 on a scale of 1 to 10.

In general, activities in the low and medium risk rank groups are less likely candidates for audits or additional management attention. However, it is possible that some of these units would be selected for audit based on concerns about individual risk factor results, known control deficiencies that this risk assessment model is not designed to expose, or other input in OCA's service planning process. (See further discussion under the report section, Use of Risk Assessment Results on page 11.)

## USE OF RISK ASSESSMENT RESULTS

While formal risk assessment models yield valuable information, all of them have limitations. Among the most important of these limitations is the fact that in order to be “doable,” the assessment must be conducted at a very high level. Such an assessment gives a broad-brush picture of inherent risk without identifying how those risks manifest themselves in a specific unit or process. In the same way, insofar as the model addresses controls, it can only indicate areas where vulnerability is more likely to exist, but does not indicate whether mitigating controls are actually in place and functioning as intended.

**Data from this assessment is useful in planning for individual audits.** In order to determine how a broad risk category is playing out in a specific auditable unit and to determine whether effective controls are present, a much more detailed assessment at the micro level must be conducted. This is the detailed risk and vulnerability assessment that is carried out in the planning phase of an audit. Because the results of the Citywide project are presented at the activity level, they can inform the steps that need to be taken in order to carry out that detailed assessment more efficiently.

**The Citywide assessment is one source of input into the annual audit service planning process.** For an organization the size and scope of the City of Austin, no model that is doable could address all possible risks, nor could it identify specific problems that need audit or management attention or assess all areas of concern to the Council, City management, and OCA. Therefore, other information must be combined with that produced by the formal risk assessment model in selecting areas for audit.

The process of collecting and combining all such information produces OCA’s annual service plan. Components that go into developing audit issues for inclusion in our annual plan include:

- Information gleaned from careful combing of the results of the formal risk assessment project. As discussed above, this information largely concerns inherent risk with some indicators of possible vulnerability.
- Input from decision makers – Council, CMO, and department management. This input usually indicates areas where vulnerability is known to exist because specific problems are known to exist.
- Input from OCA management and staff. This input serves three purposes:
  1. We add to the knowledge on areas of vulnerability by including those problems that have been identified through the course of our audits but which were not directly related to the objectives being audited.
  2. We run input from all sources through two filters:
    - “do-ability” identifies units and processes that we can audit on a reasonable schedule with available resources and skills.
    - “intensity” of interest identifies units and processes where there is a high degree of interest in the audit on the part of stakeholders, increasing the probability that the audit will be of high value, particularly to the Council.

3. Finally, we select from all of the audit issues developed from the above named sources those that will ensure the best possible coverage of the City that we can provide with resources available.

The OCA annual service plan development is already underway. The first preliminary draft of possible audits for Calendar Year 2006 was presented to the Audit and Finance Committee at its October meeting. A second draft will be presented at the Audit and Finance Committee's December meeting.

**APPENDIX A**  
**RISK ASSESSMENT MODEL**



**APPENDIX A**  
**Risk Assessment Model**

- 1. Summary of Risk Assessment Model**
- 2. Risk Factor Weights**
- 3. Explanation of Data Used for Combined Risk Assessment**
- 4. Final Scale for Risk Factor Groups**
- 5. Individual Risk Factor Descriptions, Rating Scales, and Rating Criteria**
- 6. Audit Universe**

## Summary of Risk Assessment Model

### Audit Universe:

Operational departments, programs, and activities were identified from the budget document, financial system, and City organizational chart.

### Scope:

**The scope of our work includes both historical and current data.** The data collected for individual risk factors varied by fiscal year according to appropriateness for each factor. For instance, the factors for relative size (budget and FTEs) are based on FY 05 data, while the data used for the performance trend factor in the planning and performance group spanned FY 99 through FY 05, where available.

### Risk Factor Groups & Relative Weights:

Risk factors in this model emphasize inherent risks, although some factors are indicators of both inherent risk and control risk (e.g., Worker’s compensation claims, Listening to the Workforce scores, or performance trends). Whenever possible, data at the activity level was used for our analysis. Data was available at or attributable to the activity level for twenty of the thirty risk factors. The remaining ten factors, which used only department level data, are shown in italics in the chart of factors and groups below.

<b>Size &amp; Complexity Risk</b> <ul style="list-style-type: none"> <li>▪ Budgeted Expenditures</li> <li>▪ Full-time equivalents (FTEs)</li> <li>▪ <i>Number of sites</i></li> </ul>	<ul style="list-style-type: none"> <li>▪ Diversity of services</li> <li>▪ Contract expenditures</li> <li>▪ <i>Revenues</i></li> </ul>	<b>16%</b>
<b>Change Risk</b> <ul style="list-style-type: none"> <li>▪ Budget trend</li> <li>▪ FTE trend</li> <li>▪ Change dynamics in business plans</li> </ul>	<ul style="list-style-type: none"> <li>▪ <i>Turnover and years of service lost</i></li> <li>▪ Change in expenditures</li> <li>▪ Change in revenue</li> </ul>	<b>18%</b>
<b>Planning &amp; Performance Risk</b> <ul style="list-style-type: none"> <li>▪ Variance in budget to actual expenditures</li> <li>▪ Performance trends</li> </ul>	<ul style="list-style-type: none"> <li>▪ <i>Workforce survey satisfaction rating</i></li> <li>▪ Overtime expenditures</li> </ul>	<b>20%</b>
<b>Public Concern &amp; Perception Risk</b> <ul style="list-style-type: none"> <li>▪ Citizen complaints</li> <li>▪ <i>Legal claims &amp; suits filed</i></li> </ul>	<ul style="list-style-type: none"> <li>▪ Survey of Council and CMO</li> </ul>	<b>11%</b>
<b>Safety &amp; Liability Risk</b> <ul style="list-style-type: none"> <li>▪ Workers compensation claims</li> <li>▪ <i>Legal claims and suits paid</i></li> </ul>	<ul style="list-style-type: none"> <li>▪ <i>Workforce survey safety rating</i></li> </ul>	<b>9%</b>
<b>Ethics Risk</b> <ul style="list-style-type: none"> <li>▪ Investigator ratings of ethics risks</li> <li>▪ <i>Workforce survey ethics rating</i></li> </ul>	<ul style="list-style-type: none"> <li>▪ Commodity expenditures</li> <li>▪ Extent and amount of cash handling</li> </ul>	<b>14%</b>
<b>Mitigating Factors</b> <ul style="list-style-type: none"> <li>▪ Independent oversight by outside agencies</li> <li>▪ OCA audits</li> </ul>	<ul style="list-style-type: none"> <li>▪ Other internal and external audit coverage</li> <li>▪ Management initiatives</li> </ul>	<b>12%</b>

**Risk Factor Weights:**

The following table shows the individual risk factors used in the 2005 Citywide risk assessment along with the relative weights for each factor.

**OCA Citywide Risk Assessment - Risk Factors & Relative Weights**

#	Risk Group and Factor Names	Number of Factors	Weight	Total Weight
<b>1</b>	<b>Size and Complexity</b>	<b>6</b>		<b>16</b>
1.1	Expenditures (FY05)		3	
1.2	FTEs (FY05)		3	
1.3	Number of sites		2	
1.4	Diversity of services rating		3	
1.6	Contract expenditures - % of total (FY04)		3	
1.7	Revenues (FY04)		2	
<b>2</b>	<b>Change</b>	<b>6</b>		<b>18</b>
2.1	Business plan change dynamics rating		7	
2.2	Budget trend (FY03 - FY05)		2	
2.3	FTE trend (FY03 - FY05)		2	
2.4	Employee turnover (FY04)		4	
2.5	Years of service lost (FY04)		1	
2.6	Revenue Trend (FY03 - FY04)		2	
<b>3</b>	<b>Planning and Performance</b>	<b>4</b>		<b>20</b>
3.1	Expenditure variance from budget (FY04)		3	
3.2	Performance results and trends rating		10	
3.3	Employee satisfaction in Workforce survey (04)		3	
3.4	Overtime expenditures - % of salaries (FY04)		4	
<b>4</b>	<b>Public Concern</b>	<b>3</b>		<b>11</b>
4.1	Citizen complaints (FY04)		4	
4.2	Council/CMO survey		5	
4.3	Legal claims & suits filed (FY04)		2	
<b>5</b>	<b>Safety and Liability</b>	<b>3</b>		<b>9</b>
5.1	Worker's compensation claims (FY04)		4	
5.2	Legal Claims & Suits Paid (FY04)		2	
5.3	Safety responses in Workforce survey (04)		3	
<b>6</b>	<b>Ethics</b>	<b>4</b>		<b>14</b>
6.1	Investigator ratings		4	
6.2	Ethics responses in Workforce survey (04)		3	
6.3	Commodity expenditures - % of total (FY04)		4	
6.4	Cash handling rating		3	
<b>7</b>	<b>Mitigating Factors</b>	<b>4</b>		<b>12</b>
7.1	Independent oversight		2	
7.2	OCA audits (FY01-05)		4	
7.3	Internal and external audits (FY01-05)		2	
7.4	Management focus rating		4	
	<b>TOTAL # of factors &amp; total weight</b>	<b>30</b>		<b>100</b>

SOURCE: OCA Summary of 2005 Citywide Risk Assessment Risk Factors.

## Explanation of Data Used for Combined Risk Assessment

For this three year combined risk assessment, we used data collected for the 2005 risk assessment for most factors. For a few factors where 2005 data was not available, we used data obtained for the 2003 and 2004 assessments. The table below summarizes the combination of data used for each factor.

**Data Sources for Citywide Risk Assessment**

<b>Risk Group</b>	<b>#</b>	<b>Factor</b>	<b>Data Used</b>
Size and Complexity	1.1	Expenditures	Risk Assessment 2005 data
	1.2	FTEs	Risk Assessment 2005 data
	1.3	Number of sites	Risk Assessment 2005 data
	1.4	Diversity of services rating	Risk Assessment 2005 data for Year 3 departments; Assigned new ratings for Year 1 and 2 departments
	1.6	Contract expenditures - % of total	Risk Assessment 2005 data
	1.7	Revenues	Risk Assessment 2005 data
Change	2.1	Business plan change dynamics	Data from each department's Risk Assessment year; New rating assigned for new activities
	2.2	Budget trend	Risk Assessment 2005 data
	2.3	FTE trend	Risk Assessment 2005 data
	2.4	Employee turnover	Risk Assessment 2005 data
	2.5	Years of service lost	Risk Assessment 2005 data
	2.6	Revenue Trend	Risk Assessment 2005 data
Planning & Performance	3.1	Expenditure variance from budget	Risk Assessment 2005 data
	3.2	Performance results and trends	Risk Assessment 2005 data for Year 3 departments; Assigned new ratings for Year 1 and 2 departments
	3.3	Employee satisfaction in Workforce survey	Risk Assessment 2005 data
	3.4	Overtime expenditures - % of salaries	Risk Assessment 2005 data
Public Concern	4.1	Citizen complaints	Risk Assessment 2005 data
	4.2	Council/CMO survey	Data from each Risk Assessment year's survey
	4.3	Legal claims & suits filed	Risk Assessment 2005 data
Safety/Liability	5.1	Worker's compensation claims	Risk Assessment 2005 data
	5.2	Legal Claims & Suits Paid	Risk Assessment 2005 data
	5.3	Safety responses in Workforce survey	Risk Assessment 2005 data
Ethics	6.1	Investigator ratings	Risk Assessment 2005 data
	6.2	Ethics responses in Workforce survey	Risk Assessment 2005 data
	6.3	Commodity expenditures - % of total	Risk Assessment 2005 data
	6.4	Cash handling rating	Risk Assessment 2005 data
Mitigating Factors	7.1	Independent oversight	Risk Assessment 2005 data
	7.2	OCA audits	Risk Assessment 2005 data
	7.3	Internal and external audits	Risk Assessment 2005 data
	7.4	Management focus rating	Data from each department's Risk Assessment year

SOURCE: OCA Summary of Citywide Risk Assessment Methodology

### **Final Scale for Risk Factor Groups**

Each individual risk factor was rated on a scale of 1 to 5 (low risk – high risk). However, for any given activity being rated, risk may have been rated higher for one factor and lower for another factor within the same group. Thus, the weighted average all of the risk factors within a group will result in a final scale for the group that is less than five.

The final rating scale for each risk factor group is shown below.

#### **Risk Assessment Results: Rating Scales by Risk Group**

<b>Risk Group:</b>	<b>Size &amp; Complexity</b>	<b>Change</b>	<b>Planning &amp; Performance</b>	<b>Public Concern</b>	<b>Safety &amp; Liability</b>	<b>Ethics</b>	<b>Mitigating Factors</b>	<b>Overall Risk Rating</b>
<b>Top of Range</b>	<b>4.3</b>	<b>5.0</b>	<b>4.5</b>	<b>3.3</b>	<b>5.0</b>	<b>3.9</b>	<b>5.0</b>	<b>3.67</b>
<b>Bottom of Range</b>	<b>1.0</b>	<b>1.0</b>	<b>1.0</b>	<b>1.0</b>	<b>1.0</b>	<b>1.0</b>	<b>1.5</b>	<b>1.70</b>

SOURCE: OCA analysis of Risk Assessment results.

**Individual Risk Factor Descriptions, Rating Scales, and Rating Criteria**

**Risk Group 1: Size & Complexity Risk Factors**

Size risk factors reflect the risks associated with magnitude of dollars and employees being managed. Complexity risk factors reflect risks associated with the nature and complexity of operations. Risk factors examined in this category include expenditures, number of FTEs, number of sites, diversity of services, contract expenditures, and revenue.

1.1 Expenditures, FY 05

The size of expenditures is a significant factor that represents the relative size of each auditable unit in the City.

Rating Criteria: FY 05 Budgeted Expenditures per Activity

<b>Risk</b>	<b>Low</b>	<b>Low-Med</b>	<b>Medium</b>	<b>Med-High</b>	<b>High</b>
<b>Rating</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
Activity Budget Range	\$0 - 50K	>\$50K - 250K	>\$250K - \$750K	>\$750K - \$1.5M	>\$1.5M

DATA SOURCE: Data downloaded from CARMA.

1.2 Full-Time Employees (FTEs), FY 05

Rating Criteria: FY 05 Budgeted FTEs per Activity

<b>Risk</b>	<b>Low</b>	<b>Low-Med</b>	<b>Medium</b>	<b>Med-High</b>	<b>High</b>
<b>Rating</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
Activity FTE Range	0	>0 – 2	>2 – 6	>6 – 15	>15

DATA SOURCE: Data downloaded from CARMA.

1.3 Number of Sites

The number of sites and diversity of services are both indicators of complexity. Risk increases proportionately with the complexity of operations. A site is defined as a permanent City facility where employees regularly report to work and conduct City business.

Rating Criteria: Number of Sites per Department in FY05

<b>Risk</b>	<b>Low</b>	<b>Low-Med</b>	<b>Medium</b>	<b>Med-High</b>	<b>High</b>
<b>Rating</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
Number of Sites	1	2 - 4	5 - 9	10 - 19	20 or more

DATA SOURCE: COA Insurance Schedule.

## 1.4 Diversity of Services

The diversity of a department's services is another indicator of complexity in an organization. The greater the diversity of services offered, the more complex are the management systems needed to ensure efficient, effective, and ethical operations.

The diversity of a department's services was assessed and the department was given an overall score. Scores at the activity level were derived by determining whether the activity was part of the core business of the department. If so, its score was assigned the same as the department score, minus one (down to a minimum score of 1). If the activity was an "outlier service," it was assigned the department score plus one (up to a maximum score of 5). All support services got the department score.

### Rating Criteria: Diversity of FY05 Department Services

<b>Risk</b>	<b>Low</b>	<b>Low-Med</b>	<b>Medium</b>	<b>Med-High</b>	<b>High</b>
<b>Rating</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
Service Diversity	One service or related service group.	Two services or service groups that are somewhat similar.	Three to four services or service groups that are similar, or a mix of at least three where one is somewhat diverse.	Two to three or more services or service groups that are somewhat diverse.	Four or more services or service groups that are very diverse.

DATA SOURCE: FY05 approved budget, FY05 business planning documents, and institutional knowledge of the OCA rater.

1.5 We originally included a factor for grants, but this factor was removed following the 2003 Risk Assessment because it conflicted with the mitigating factor of independent oversight without adding substantial value to the size and complexity group rating.

## 1.6 Contract Expenditures

The greater the number of and size of contracts used by departments to perform services, the greater the risk associated with ensuring contract performance. Contract risk was assessed by rating the FY 04 contract expenditures as a percentage of total expenditures for each activity.

### Rating Criteria: FY 04 Contract Expenditures as a Percent of Total Activity Expenditures

<b>Risk</b>	<b>Low</b>	<b>Low-Med</b>	<b>Medium</b>	<b>Med-High</b>	<b>High</b>
<b>Rating</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
$\frac{\text{Contract Expenditures}}{\text{Total Expenditures}}$	0% - 20%	>20% - 40%	>40% - 60%	>60% - 80%	>80%

DATA SOURCE: expenditures by Object Code downloaded from AFS2.

## 1.7 Revenue

The amount of a department's revenue is an indicator of the size of the department. This is a particularly important indicator in those areas not dependent on General Fund money for their requirements and in those areas that must transfer a portion of revenues to another fund.

Department revenues can also reflect one aspect of the complexity of operations. Additional processes are needed to determine amount and preparation of billings as well as collection procedures. Finally, when money changes hands (cash or otherwise) stronger controls are needed to prevent fraud or misuse.

### Rating Criteria: FY 04 Departmental Revenue

<b>Risk</b>	<b>Low</b>	<b>Low-Med</b>	<b>Medium</b>	<b>Med-High</b>	<b>High</b>
<b>Rating</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
Department Revenue Range	<\$100	>\$100 - \$1M	>\$1M - \$10M	>\$10M - \$100M	>\$100M

DATA SOURCE: OCA analysis of operating revenue by source from AFS2.

## Risk Group 2: Change

Change risk factors reflect the risk that changes in City operations could negatively impact the citizens or City service delivery. This risk exists as a result of adjustment to something new or unfamiliar. Examples would include new or untried management systems, or strategies, and adjustments to new management, personnel, or work requirements.

Change risk factors include business plan change dynamics, budget trends, FTE trends, employee turnover, years of service lost, and revenue trends.

### 2.1 Business Plan Change Dynamics

As part of the standard Citywide business planning process, City departments identify strengths, weaknesses, opportunities, and threats facing each department, as well as emerging issues or trends (change dynamics) that could have an impact on City operations. Change dynamics may include internal or external pressures or factors that may require a change in order to adapt and successfully continue service delivery.

#### Rating Criteria:

<b>Low</b>	<b>Low-Med</b>	<b>Medium</b>	<b>Med-High</b>	<b>High</b>
<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
<p><u>Little change</u> underway, or no significant changes are identified. Or little change needed from the auditor's assessment of the business plan and other knowledge about the business area.</p>	<p>In between low and moderate change identified.</p>	<p><u>Moderate change.</u> Fairly routine changes underway that come and go with growth and a decline in cycles. Or, a non-routine change is underway, but is not significant to core services or to achievement of the department's mission, goals &amp; objectives or to the activity's purpose.</p>	<p>In between moderate and high change identified.</p>	<p><u>Significant change</u> underway to core business services or to strategies supporting the organization's mission, goals or objectives. Change may be affecting major systems, services, strategies, staffing or organizational alignment. Maybe needed changes are not being made or existing change initiatives may not be successful.</p>

DATA SOURCE: Business Planning documents submitted to the Budget Office with each department's annual Business Plan.

## 2.2 Budget Trend FY 03 – FY 05

The degree of budget changes or fluctuations across auditable units can be an indicator of risk within an organization. The more changes and fluctuations in a budget, the more the organization is exposed to risk.

### Rating Criteria: FY 03 - FY 05 Percent Change In Budgeted Expenditures

<b>Risk</b>	<b>Low</b>	<b>Low-Med</b>	<b>Medium</b>	<b>Med-High</b>	<b>High</b>
<b>Rating</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
Percentage Change in Budget (+ or -)	0% - 10%	>10% - 20%	>20% - 40%	>40% - 80%	>80%

DATA SOURCE: CARMA download.

## 2.3 FTE Trend FY 03 – FY 05

As with the budget, the degree of change in authorized staffing levels (FTEs, or Full Time Equivalent Employees) can be an indicator of risk within an organization. The more changes and fluctuations in staffing levels, the more the organization is exposed to risk in terms of challenges for maintaining quality and continuity of service delivery.

### Rating Criteria: FY 03 - FY 05 Percent Change In Budgeted FTEs

<b>Risk</b>	<b>Low</b>	<b>Low-Med</b>	<b>Medium</b>	<b>Med-High</b>	<b>High</b>
<b>Rating</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
Percentage Change in FTEs (+ or -)	0% - 10%	>10% - 20%	>20% - 40%	>40% - 80%	>80%

DATA SOURCE: CARMA download.

NOTE: We used data in budget documents that reflected authorized positions. However, temporary or seasonal employees were not included in our analysis.

## 2.4 Employee Turnover

Employee turnover trends, especially if they are increasing or holding steady at high rates over time, can indicate risk to an organization. Turnover represents a loss of skills and institutional memory, and therefore, it represents a potential risk to the continuity and quality of service delivery and to department's ability to maintain a qualified workforce.

### Rating Criteria: FY 04 Employees Leaving as a Percent of Total Department Employees

<b>Risk</b>	<b>Low</b>	<b>Low-Med</b>	<b>Medium</b>	<b>Med-High</b>	<b>High</b>
<b>Rating</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
Turnover as a Percent of Total Department FTEs	0% - 5%	>5% - 10%	>10% - 15%	>15% - 20%	>20%

DATA SOURCE: BANNER system.

## 2.5 Years of Service Lost

Even in areas where the overall turnover rate is not high, risk of diminished quality of service exists where experienced, seasoned employees leave the organization. The longer an employee has been with an organization, the more institutional memory and skills are lost when that employee exits the organization. Therefore, risk ratings were assigned based on years of service lost.

### Rating Criteria: FY 04 Average Years of Services Lost Per Department FTE

<b>Risk</b>	<b>Low</b>	<b>Low-Med</b>	<b>Medium</b>	<b>Med-High</b>	<b>High</b>
<b>Rating</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
<u>Avg Years of Service Lost</u> Department FTEs	0 - .05	>.05 - .1	>.1 - .2	>.2 - .4	>.4

DATA SOURCE: BANNER system.

## 2.6 Revenue Trend FY 03 – FY 04

The degree of revenue change within a department can be an indicator of risk within an organization. The more change or fluctuation in an organization's revenue, the more the organization is exposed to risk.

### Rating Criteria: FY 03 - FY 04 Percent Change In Departmental Revenue

<b>Risk</b>	<b>Low</b>	<b>Low-Med</b>	<b>Medium</b>	<b>Med-High</b>	<b>High</b>
<b>Rating</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
Percentage Change in Revenue (+ or -)	0% - 5%	>5% - 10%	>10% - 20%	>20% - 30%	>30%

DATA SOURCE: Revenue by source downloaded from AFS2.

### Risk Group 3: Planning & Performance

Planning and performance risk factors reflect risks associated with the organization’s ability to accurately predict expenditures and revenues, and the organization’s ability to achieve its goals and objectives, as represented by its performance measures. Planning and performance risk was assessed by examining variance in expenditures, performance measurement trends, employee satisfaction, and overtime as a percent of salary expenditures.

#### 3.1 Expenditure Variance from Budget

The variance in planned versus actual expenditures can indicate unpredictable requirements, poor financial planning and management and therefore, puts an organization’s operations at risk. The greater the variance, the greater the risk to the organization.

Rating Criteria: FY 04 Expenditure Variance, Planned vs. Actual Expenditures

<b>Risk</b>	<b>Low</b>	<b>Low-Med</b>	<b>Medium</b>	<b>Med-High</b>	<b>High</b>
<b>Rating</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
Percentage Variance – Planned vs. Actual (+ or -)	0% - 5%	>5% - 10%	>10% - 15%	>15% - 25%	>25%

DATA SOURCE: CARMA download.

#### 3.2 Performance Results

An analysis of performance results and trends can assist in determining whether performance levels are improving, staying level, or declining. These changing performance trends can signal risk in an organization.

Rating Criteria: Business Plan Change Dynamics

<b>Risk</b>	<b>Low</b>	<b>Low-Med</b>	<b>Med</b>	<b>Med-High</b>	<b>High</b>
<b>Rating</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
<b>Performance Trends</b> -or- <b>Performance Variances</b>	Performance improving significantly  within +/- 2%	Performance improving moderately  +/- >2% - 5%	Performance Flat  +/- >5% - 10%	Performance declining moderately  +/- >10% - 15%	Performance declining significantly  +/- >15% var.
<b>Benchmark Comparisons</b> -or- <b>Existence of measures and consistency &amp; quality of measurement and reporting</b> -or-	Performance levels significantly better than comparable entities  Meaningful measures present and consistently reported.	Performance levels moderately better than comparable entities	Performance levels the same as comparable entities  Some meaningful measures present while others are missing and/or some inconsistencies in measure reporting and calculations.	Performance levels moderately worse than comparable entities	Performance levels significantly worse than comparable entities  No measurement tracked and/or poor measures and/or significant inconsistencies in reporting or calculations.

DATA SOURCE: Business Planning documents submitted to the Budget Office with each department’s annual Business Plan.

NOTE: “No info” relates to functions that are either newly created or newly moved from another department with insufficient information to rate, which were assigned a rating of 3. “No measurement” means performance measures were created and should have been reported but have not been reported.

### 3.3 Employee Satisfaction Rating

Employee satisfaction is an important indicator of organizational risk. For instance, employees who are more satisfied with their work are less likely to perform poorly on the job and perform low quality services than those employees who are not satisfied with their work. The higher the percentage of positive responses to the survey, the greater the perceived satisfaction in the workplace.

#### Rating Criteria: Percent of Positive Responses Regarding Employee Satisfaction

<b>Risk</b>	<b>Low</b>	<b>Low-Med</b>	<b>Medium</b>	<b>Med-High</b>	<b>High</b>
<b>Rating</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
	<b>Divided Into Fifths</b>				
Percent Positive Responses Regarding Employee Satisfaction	80% - 88%	>73 - 80%	>65% - 73%	>58% - 65%	50% - 58%

DATA SOURCE: Human Resources Department 2004 Listening to the Workforce survey results.

### 3.4 Overtime Expenditures

The ratio of overtime wages to total salaries is an additional indicator of planning/performance risk. Higher levels of overtime may reflect imbalances between workload and staffing levels and may lead to undesirable outcomes over time such as reduced levels of service, impaired service quality, higher injury rates, or lower employee morale.

#### Rating Criteria: FY 04 Overtime Expenditures as a Percent of Activity Salaries

<b>Risk</b>	<b>Low</b>	<b>Low-Med</b>	<b>Medium</b>	<b>Med-High</b>	<b>High</b>
<b>Rating</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
<u>Overtime Expenditures</u> All Salary Expenditures	0% - 1%	>1% - 5%	>5% - 10%	>10% - 20%	>20%

DATA SOURCE Analysis of expenditures by Object Code downloaded from AFS2.

## Risk Group 4: Public Concern and Perception

Public concern and perception risk factors capture areas of concern to citizens and elected officials and high-level City management. Public concern and perception was assessed by examining citizen complaints, Council/CMO survey results, and legal claims and lawsuits filed.

### 4.1 Citizen Complaints

Citizen complaints are one indicator of public concern regarding City functions or service delivery. The greater the number of complaints, the greater the risk that some problem exists that needs attention. Because the number of employees involved in a function would affect the potential for interactions with the public, larger functions have the potential to receive more complaints simply because of sheer size. Therefore, the rating of citizen complaints has been normalized for staff size by rating complaints per FTE for each activity.

#### Rating Criteria: FY 04 Citizen Complaints Per Department FTE

<b>Risk</b>	<b>Low</b>	<b>Low-Med</b>	<b>Medium</b>	<b>Med-High</b>	<b>High</b>
<b>Rating</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
Citizen Complaints Per Activity FTE	0-2	2-4	4-6	6-8	>8

DATA SOURCE: Customer Assistance Forms (CAFs) from the City's Automated Customer Assistance Program (ACAP) database.

### 4.2 Council/CMO Survey

A survey was developed and administered to Council members and the City Manager's Office. The questions centered on what issues they heard the most about from citizens, what the most important short-term issues facing the City were, and what the most important long-term issues facing the City were.

#### Rating Criteria: FY 04 Citizen Complaints Per Department FTE

<b>Risk</b>	<b>Low</b>	<b>Low-Med</b>	<b>Medium</b>	<b>Med-High</b>	<b>High</b>
<b>Rating</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
Number of respondents commenting on activity	0	0-1	1-3	3-4	>4

DATA SOURCE: OCA 2005 Council/CMO survey results.

### 4.3 Legal Claims & Suits Filed

Legal claims and suits filed are another indicator of citizen concern about some aspect of City operations or service delivery, going beyond just registering a complaint to making an actual claim for damages due. As with citizen complaints, suits and claims filed per FTE have been rated in order to normalize for activity size. Claims and suits paid, as opposed to those filed, are rated separately in the risk category addressing safety and liability.

#### Rating Criteria: FY 04 Claims and Suits Filed Per Department FTE

<b>Risk</b>	<b>Low</b>	<b>Low-Med</b>	<b>Medium</b>	<b>Med-High</b>	<b>High</b>
<b>Rating</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
Claims and Suits Filed Per 100 Department FTEs	0	>0 - 5	>5 - 10	>10 - 20	>20

DATA SOURCE: City of Austin claims and litigation databases.

## Risk Group 5: Safety and Liability

Safety and liability risk factors represent the risk that unsafe working conditions, improper work processes, or inherently dangerous types of work could result in injury or damage to employees or citizens. Indicators examined workers compensation claims, legal claims, lawsuits paid, and LTW survey results on employee safety.

Many of the jobs within the City are inherently dangerous based on the physically demanding nature of the work and exposure to hazardous conditions and materials. By effectively identifying and controlling safety risks, the City can reap the benefits of reduced human and financial costs as well as avoid losses in productivity.

### 5.1 Workers Compensation Claims Paid

The number of workers compensation claims filed against the City is an indicator of both inherent risk and control risk. Departments with more claims could indicate greater inherent risk involved in the nature of the work performed than in those departments with less claims. Higher claims could also indicate missing procedures, training issues, or controls that do not mitigate inherent risks stemming from the nature of the work.

#### Rating Criteria: Number of Worker's Compensation Claims per Activity FTE

Risk	Low	Low-Med	Medium	Med-High	High
Rating	1	2	3	4	5
Workers Compensation Claims Per Activity FTE	0 - .05	>.05 - .10	>.10 - .25	>.25 - .50	>.50

DATA SOURCE: City of Austin Worker's Compensation database.

### 5.2 Legal Claims and Suits Paid

The number of legal claims and lawsuits paid out by the City indicate the risk that a department's functions can cause the City to incur legal liabilities. Legal claims can serve as an indicator of weak controls (such as poor training of employees or hazardous conditions for citizens) because they reflect incidents having to do with City property or processes.

#### Rating Criteria: FY 04 Claims and Suits Paid Per Department FTE

Risk	Low	Low-Med	Medium	Med-High	High
Rating	1	2	3	4	5
Claims and Suits Paid Per 100 Department FTEs	>\$0 - \$12	>\$12 - \$100	>\$100 - \$200	>\$200 - \$300	>\$300

DATA SOURCE: City of Austin claims and litigation databases.

### 5.3 Employee Safety Rating

Despite the challenge created by its large workforce and diversity of services, the City has both an ethical and legal obligation to provide a safe work environment for its employees. Responses to the questions on safety in the City’s annual Listening to the Workforce Survey (LTW) are an indicator of the effectiveness of City efforts at controlling these risks.

#### Rating Criteria: Percent of Positive Responses Regarding Safety

<b>Risk</b>	<b>Low</b>	<b>Low-Med</b>	<b>Medium</b>	<b>Med-High</b>	<b>High</b>
<b>Rating</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
	<b>Divided Into Fifths</b>				
Percent Positive Responses Regarding Employee Safety	82% - 88%	>77 - 82%	>71% - 77%	>66% - 71%	60%-66%

DATA SOURCE: Human Resources Department 2004 Listening to the Workforce survey results.

## Risk Group 6: Ethics

Ethics risk factors represent vulnerability to fraud, waste, and abuse, or the risk that unethical behavior or organizational culture will negatively impact the City organization or citizens. Many ethical problems found in the workplace are organizational in nature. They often have their roots in work pressures that lead people to cut corners and in the development of informal group norms and practices that are contrary to formal rules and procedures. National surveys show that employees are observing a high level of illegal and unethical conduct on the job, and public employees express the most negative observations about the incidence of problems in the workplace. Improper employee conduct is one of the greatest risks to success in an organization. Factors examined included investigator ratings, employee ethics, liquidity of assets, and cash handling.

### 6.1 Investigator Ratings

OCA investigators receive allegations of fraud, waste, and abuse (integrity violations) within the City. OCA investigators were asked to rate auditable units based on investigation experience. The ratings drew upon the investigator's direct experience and knowledge of the areas, rather than on the number of cases or allegations involved. Risk ratings by investigators were included in the calculation of overall risk ratings for each activity, but the specific ratings are not shown in the final report because they may be based on sensitive information.

#### Rating Criteria: Investigator ratings

<b>Risk</b>	<b>Low</b>	<b>Low-Med</b>	<b>Med</b>	<b>Med-High</b>	<b>High</b>
<b>Rating</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
<b>Risk of Integrity violations</b>	Low risk of integrity violations	Low-medium risk of integrity violations	Medium risk of integrity violations	Medium-high risk of integrity violations	High risk of integrity violations

DATA SOURCE: OCA Survey of City Auditor Integrity Unit personnel

### 6.2 Employee Ethics Rating

In the 2004 Listening to the Workforce (LTW) survey, employees were asked to rate statements regarding the ethical environment they worked in. The higher the percentage score, the greater the perceived ethical climate in the workplace.

#### Rating Criteria: Percent of Positive Responses Regarding Ethics

<b>Risk</b>	<b>Low</b>	<b>Low-Med</b>	<b>Medium</b>	<b>Med-High</b>	<b>High</b>
<b>Rating</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
	<b>Divided Into Fifths</b>				
Percent Positive Responses Regarding Ethics	68% - 73%	>63 - 68%	>59% - 63%	>54% - 59%	19%-54%

DATA SOURCE: Human Resources Department 2004 Listening to the Workforce survey results.

### 6.3 Liquidity of Assets

Liquidity of assets refers to assets such as tools, small equipment, and supplies that could easily be misplaced. The more these items are used, the more controls are needed to ensure they are safeguarded and properly accounted for and used.

Rating Criteria: FY 04 Commodity Expenditures as a Percent of Activity Expenditures

<b>Risk</b>	<b>Low</b>	<b>Low-Med</b>	<b>Medium</b>	<b>Med-High</b>	<b>High</b>
<b>Rating</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
$\frac{\text{Commodity Expenditures}}{\text{Total Activity Expenditures}}$	0% - 20%	>20% - 30%	>30% - 40%	>40% - 50%	>50%

DATA SOURCE: Expenditures by Object Code downloaded from AFS2.

### 6.4 Cash handling

Cash handling examined both the dollar volume of cash handled and the number of cash handlers. The number of cash handlers and the average daily cash handled were analyzed together to assign a risk rating.

Rating Criteria: FY 05 Number of Cash Handlers and Amount of Cash Handled

<b>Risk</b>	<b>Low</b>	<b>Low-Med</b>	<b>Medium</b>	<b>Med-High</b>	<b>High</b>
<b>Rating</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
Number of Cash Handlers	0	1 - 4	> 4 - 20	>20 - 40	>40
Avg Daily Cash Handled	$< \$500 = 3$ $\$500 - \$1000 = 4$ $> \$1000 = 5$				
<b>Weighted Cash Handling Rating</b>	<b>0 - 3</b>	<b>&gt; 3 - 20</b>	<b>&gt; 20 - 80</b>	<b>&gt; 80 - 200</b>	<b>&gt; 200</b>

DATA SOURCE: Analysis of TARA Cash Handling database.

## Group 7: Mitigating Factors

Mitigating factors represent conditions that are expected to mitigate risks, and therefore, reduce the overall risk rating for a given auditable unit, reducing the need for inclusion in OCA's audit service planning. The mitigating factors examined include Independent oversight by outside agencies, OCA audits, internal and external audits by other auditors, and management focus.

### 7.1 Independent Oversight

There can be more than one independent agency providing oversight to a City department. The independent agencies providing oversight can lead to lower risk for an organization than in those departments without any independent oversight, by increasing the likelihood that any problems will be noticed and addressed.

Rating Criteria: Number of external entities providing oversight in 2005

<b>Risk</b>	<b>Low</b>	<b>Low-Med</b>	<b>Medium</b>	<b>Med-High</b>	<b>High</b>
<b>Rating</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
Number of entities providing oversight	3-19	-	1-3	-	0

DATA SOURCE: OCA Survey of Department Managers

### 7.2 OCA Audits

Departments having had OCA audit involvement within the last few years are at less risk than those departments that have not had any audit activity within the last few years.

Rating Criteria: Most recent audit by OCA

<b>Risk</b>	<b>Low</b>	<b>Low-Med</b>	<b>Medium</b>	<b>Med-High</b>	<b>High</b>
<b>Rating</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
Full Audit in:	FY 05	FY 04	FY 03	FY 02	None since FY 01
Partial Audit in:	-	FY 05	FY 04	FY 03	FY 02

DATA SOURCE: OCA Time Accounting System.

### 7.3 Internal & External Audits

Internal and external audit efforts by auditors other than OCA staff reduce risk in City operations and are also seen as mitigating factors.

Rating Criteria: Most recent audit conducted by other internal and external auditors

<b>Risk</b>	<b>Low</b>	<b>Low-Med</b>	<b>Medium</b>	<b>Med-High</b>	<b>High</b>
<b>Rating</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
Full Review through an Internal or External Audit:	Annually OR in FY 05	FY 04	FY 03	FY 02	None since FY 01
Partial Review:	-	FY 05	FY 04	FY 03	FY 02

DATA SOURCE: Survey of City of Austin internal and external auditors.

### 7.4 Management Focus

Management Focus consists of initiatives identified to address issues at hand or needed improvements. These initiatives might be undertaken at any level: Council, City Management, department, program, activity, or cross-functional. In theory, when management is focusing on an area of governmental services, the risk associated with that area drops during the period of management focus. This is particularly true where the focus is associated with reengineering of services for more effective, efficient service delivery, or where managers involved in the initiative are required to present regular reports to the appropriate level(s) of management.

Rating Criteria: Management Initiatives

<b>Risk Rating</b>	<b>Low</b>	<b>Low-Med</b>	<b>Medium</b>	<b>Med-High</b>	<b>High</b>
	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
Existence of management Initiatives to mitigate identified risks	Underway	---	Planned	---	No management initiatives identified to mitigate identified risks

DATA SOURCES: Business planning documents, approved budget documents, and institutional knowledge of the OCA rater.

**Audit Universe**

The audit universe for OCA’s 2005 Risk Assessment is made up of the activities in all City Departments existing as of September 2005.

<b>Department</b>	<b>Program</b>	<b>Activity</b>	
Austin Convention Center	Event Operations	Booking and Contracting	
		Event Planning	
		Event Security	
		Event Set-up and Cleaning	
		Exhibit Services	
		Facility Operations and Maintenance	
	Support Services	Parking Management	
		Administration and Management	
		Financial Monitoring/Budgeting	
		Information Technology Support	
		Personnel/Training	
		Purchasing/M/WBE	
Austin Water Utility	Billing/Customer Service	Customer Account Management (Billing)	
		Customer Care (One Call Center)	
		Customer Service	
	Collection System Operations & Maintenance	Collection Pipeline Maintenance	
		Lift Station Operations & Maintenance	
		WW Collection Service Connection	
		WW Pipeline Rehab & Construction	
		Collection System Support	Collection Dispatch Operations
			Collection Engineering
			Collection Inspection
			Collection System Lab
			Collection Technical Support
			GIS Service Collection
	Line Locations- Collection System		
	On-Site Sewage Facilities		
	Pretreatment-Industrial Waste Control		
	Small Calls-Collection System		
	Conservation & Reuse	System Planning - Collection	
		Utility Development Services - Collection	
		WW TV Inspection, Inflow, Infiltration	
		Conservation Engineering	
		Environmental and Regulatory Support/Land Mgmt	
		Water Conservation	
		Water Reuse	
		WW Conservation/Reuse Lab	
		Distribution System Operations & Maintenance	Distribution Pipeline Maintenance
			Metering Services
	Pump Station & Reservoir O & M		
	Valve & Hydrant		
	Water Distribution Svc Connection		
	Water Pipeline Rehab & Construction		
	<b>Continued on next page</b>		

<b>Department</b>	<b>Program</b>	<b>Activity</b>
Austin Water Utility	Distribution System Support	Distribution Dispatch Operations
(continued)		Distribution Engineering
		Distribution Inspection
		Distribution Lab
		Distribution Technical Support
		GIS Service Distribution
		Line Locations-Distribution System
		Small Calls-Distribution System
		System Planning-Distribution
		Utility Development Services - Distribution
		Water Protection
	One Stop Shop	Commercial Building Plan Review
		Development Assistance Center
		Land Use Review
		One Time Inspection
		Permit Center
		Site/Subdivision Inspection
	Support Services	Administration and Management
		Facility Expenses
		Financial Monitoring, Budgeting, CIP
		Information Technology Support
		Personnel/Training
		PIO/Community Services
		Purchasing & MBE/WBE
		Vehicle/Equipment Maintenance
	Wastewater Treatment	Bio-Solids Plant Operations
		Wastewater Plant Maintenance
		Wastewater Plant Operations
	Water Treatment	Water Plant Maintenance
		Water Plant Operations
	Water Treatment Support	Water Environmental & Regulatory Support
		Water Treatment and Support Lab
		Water Treatment Engineering
	WW Treatment Support Services	Wastewater Treatment Engineering
		WW Environmental & Regulatory Support
		WW Treatment & Support Lab
Aviation Department	Airport Planning and Development	Design Construction and Planning
	Airport Security and Operations	Airport Security
		Operations
	Facilities Management	Airside Maintenance
		Building Maintenance
		Facilities Services
		Grounds Maintenance
	Support Services	Administration and Management
		Financial Monitoring/Budgeting
		Information Technology Support
		Personnel/Training
		PIO/Community Services
		Purchasing/M/WBE
		Tenant Management
<b>Continued on next page</b>		

<b>Department</b>	<b>Program</b>	<b>Activity</b>
Communications and Technology Management	CTECC Facility	AFD LAN Support
		APD LAN Support
		CTECC IT Support
		CTECC Systems
		CTECC-Facility Operations
	GATTN / COA Networks	Development
		GAATN
	IT Operations	Data Center
		Desktop Support Group
		Enterprise Support Group
		Voice Operations
		WAN Operations
	IT Projects and Development	GIS Services
		IT Applications
		IT Projects
	One Stop Shop	Land Use Review
	Program Management	Help Desk
		Program Support
		Training
	Security	Security
	Wireless Operations	Field Operations
		Installation Operations
		Shop Operations
	Wireless Operations Support	Inventory Management
		Operations Management
Community Care Department	Clinic Based Care	Adult and Pediatric Services
		Dental Services
		HIV Clinical Services
	Indigent Health Managed Care	MAP Contracted Services
	Patient Care Support Services	Billing and Collections
		Client Services
		Health Information Management
		Pharmacy
		Quality Management
	Support Services	Administration and Management
		Facility Expense
		Financial Monitoring/Budgeting
		Information Technology Support
		Personnel/Training
		PIO/Community Services
		Purchasing/M/WBE
Emergency Medical Services	Billing Services	Billing Services
	Operations	Emergency Communications
		Emergency Services
		STAR Flight
	Support Services	Administration and Management
		Financial Monitoring/Budgeting
		Information Technology Support
		Personnel/Training
		PIO/Community Services
		Purchasing/M/WBE
<b>Continued on next page</b>		

<b>Department</b>	<b>Program</b>	<b>Activity</b>
Emergency Medical Services	Training & Education	Academy
(continued)		CPR/First Aid
		Quality Assurance & Improvement
		Safety
Financial and Administrative Services	Budget Office	Annual Budget
		CIP
		Financial Monitoring and Evaluation
		Managing for Results
	Building Services	Custodial Services
		Electrical
		Heating, Ventilation & Cooling
		Maintenance
		Safety
		Security
	Controller's Office	Accounting & Reporting
		Accounts Payable
		Payroll
	Internal Audit	Audits and Special Projects
	Purchasing	Inventory Services
		Mail Services
		Procurement
	Support Services	Administration and Management
		Facility Expense
		Financial Monitoring/Budgeting
		Information Technology Support
		Personnel/Training
		Purchasing/M/WBE
	Telecom and Regulatory Affairs	Community Technology Initiatives
		Financial Management Services
		Franchise Management
	Treasury	Debt Management
		Investment Management
Fire Department	Emergency Prevention	Fire Code and On-site Inspections
		Investigations
		Public Education
	Fire/Emergency Response	AFR Bergstrom
		Combat Operations
	One Stop Shop	Building Inspection
		Commercial Building Plan Review
		Land Use Review
		Permit Center
	Operations Support	Airmask/Operations Research
		Cadet/In-service Training
		Communications Section
		Medical/Quality Compliance
		Planning and Research
		Recruiting
		Safety Operations
<b>Continued on next page</b>		

<b>Department</b>	<b>Program</b>	<b>Activity</b>
Fire Department (continued)	Support Services	Administration and Management
		Facility Expense
		Financial Monitoring/Budgeting
		Information Technology Support
		Personnel/Training
		PIO/Community Services
		Purchasing/M/WBE
		Vehicle/Equipment Maintenance
Fleet Services	Fleet Service Centers	Inventory Control
		Preventive Maintenance
		Scheduled Maintenance
		Unscheduled Repairs
	Support Services	Administration and Management
		Facility Expense
		Financial Monitoring/Budgeting
		Information Technology Support
		Personnel/Training/Safety
		Purchasing/M/WBE
	Vehicle Support Services	Auction
		Fuel Management
		Make Ready
		Rental Pool
		Taxi
Health and Human Services	Animal Services	Animal Control
		No Kill Millennium
		Shelter Services
	Communicable Disease Prevention	Disease Surveillance
		HIV Community Programs
		HIV Outreach & Prevention
		Immunization
		STD Control
		Tuberculosis Elimination
	Environmental & Consumer Health	Health and safety Code Compliance
		Information and Referral
		Rodent/Vector Control
	Healthy Communities	Austin Health Connection
		Disease and Injury Prevention
		Family Health
		Public Health Nursing
	One Stop Shop	Commercial Building Plan Review
		One Time Inspection
	Social Services	Basic Needs Services
		Child Care Services
		Homeless Services
		Mental Health Services
		Self Sufficiency Services
		Substance Abuse Services
		Violence & Victimization Services
		Workforce Development Services
<b>Continued on next page</b>		

<b>Department</b>	<b>Program</b>	<b>Activity</b>
Health and Human Services	Support Services	Administration and Management
(continued)		Facility Expense
		Financial Monitoring/Budgeting
		Information Technology Support
		Personnel/Training
		Vehicle/Equipment Maintenance
	Vital Records	Vital Records
	Youth Services	Youth Development
		Youth Employment
Human Resources	Civil Service Management	Civil Service Management
	Community Services	Americans with Disabilities Act
		Compliance
	Employee Relations	Personnel Policies & Procedures
	Employment Services	Employment Application Services
		Recruitment and Placements
	Human Resources Info Mgmt	Employee Records
		HR Management System Services
	Organization Development	Learning Research Center
		Organization Development Consulting
		Skills Development
	Risk Management	Corporate Safety Office
		Drug and Alcohol Testing
		Injured Workers Assistance
		Property & Casualty Insurance Management
		ROCIP
	Support Services	Administration and Management
		Facility Expense
		Financial Monitoring/Budgeting
		Information Technology Support
		Personnel/Training
		Purchasing/M/WBE
	Total Compensation	Benefits Management
		Compensation & Classification
Law Department	Advocacy & Dispute Resolution	Civil Litigation
		Criminal Prosecution
	One Stop Shop	One Stop Shop Support
	Opinions and Advice	Contract Development, Prep, Review
		General Counsel
	Support Services	Administration and Management
		Financial Monitoring/Budgeting
		Information Technology Support
		Personnel/Training
		Purchasing/M/WBE
Library Department	Library Collection Services	Cataloging Support
		Collection Support
	Public Services	Austin History Center
		Circulation
		Reference Services
		Youth Services
<b>Continued on next page</b>		

<b>Department</b>	<b>Program</b>	<b>Activity</b>
Library Department	Support Services	Administration and Management
(continued)		Facility Expense
		Financial Monitoring/Budgeting
		Information Technology Services
		Personnel/Training
		PIO/Community Services
		Purchasing/M/WBE
		Vehicle/Equipment Maintenance
Management Services	Emergency Management	Preparedness and Mitigation
		Response
	Management Services	Agenda Preparation
		City Management
		Government Relations
		Integrity Office
		Police Monitoring
	Support Services	Administration and Management
		Financial Monitoring/Budgeting
		Personnel/Training
Municipal Court	Downtown Austin Community Court	Community Service Restitution
		Court Services
		DACC Operations/Coordination
		Rehabilitation Services
	Judiciary	Central Booking
		Class C Proceedings
	Municipal Court Building Security	Muni Court Bldg Security
	Municipal Court Operations	Case Initiation
		Caseflow Management
		Civil Parking
		Courtroom Support
		Customer Service
		Magistrate Support
		Marshal Services
		Records Management
		Warrant Collections
		Warrant Processing
	Support Services	Administration and Management
		Facility Expense
		Financial Monitoring/Budgeting
		Information Technology Support
		Personnel/Training
		Purchasing/M/WBE
Neighborhood Housing & Community Development	Community Development	Commercial Revitalization
		Neighborhood Revitalization
		Public Facilities
		Small Business Development
	Grants Administration	Compliance
		Planning
		Policy Development
<b>Continued on next page</b>		

<b>Department</b>	<b>Program</b>	<b>Activity</b>	
Neighborhood Housing & Community Development (continued)	Housing Development	Assisted Housing	
		First-time Home Buyer Services	
			Lead Hazard Control
			Owner Occupied Services
			Rental Housing
			S.M.A.R.T. Housing
		Support Services	Facility Expense
			Financial Monitoring/Budgeting
			General Administration
			Information Technology Support
		Personnel/Training	
		Public Information & Marketing	
Neighborhood Planning and Zoning	CAMPO	CAMPO	
	Long-Range Planning	Annexation	
		Historic Preservation	
			Long Range Planning/Forecasting
		Long-Range Planning	Urban Design
		Neighborhood Planning	Neighborhood Planning
		One Stop Shop	Development Assistance Center
		Support Services	Administration and Management
			Facility Expense
			Financial Monitoring/Budgeting
			Personnel/Training
			Purchasing/M/WBE
		Zoning Case Management	Zoning Case Management
Office of Economic Growth and Redevelopment Services	Cultural Arts	Contracting Services	
		Cultural Development Services	
		International Program	
		Economic Growth & Redevelopment	Development/Redevelopment
			Downtown Initiatives
			Project Delivery
		Small Business Development	Business Outreach
			Program Admin and Evaluation
			Small Business Assistance Center
			Training and Education
	Support Services	Administration and Management	
		Facilities Expense	
		Financial Monitoring/Budgeting	
Office of the City Clerk	Austin Records Management	Austin Records Management	
		Records Center	
		Council & Committee Support	Boards/Commissions
			Council Meetings
		Elections	Elections
		Management of OCC Records	Management of OCC Records
		Mayor & Council Support	Mayor & Council Support
		Support Services	Administration and Management
			Personnel/Training
			Purchasing/M/WBE
<b>Continued on next page</b>			

<b>Department</b>	<b>Program</b>	<b>Activity</b>
Parks and Recreation	Community Recreation Services	Community Recreation
Department (continued)		Millennium Youth Complex
		Senior Services
		Summer Programs
	Cultural Arts Services	Art Centers Services
		Museums
	Facility Services	Facility Maintenance
		PARD Construction
		Park Maintenance
		Park Planning
		Special Events
	Natural Resources	Endangered Habitat Management
		Environmental Education
		Horticultural
	One Stop Shop	Land Use Review
	Public Safety	Lake Patrol
		Parks and Facility Patrol
	Sports Management	Aquatics
		Athletics
		Golf
	Support Services	Administration and Management
		Financial Monitoring/Budgeting
		Information Technology Support
		Personnel/Training
		PIO/Community Services
		Purchasing/M/WBE
Police Department	Investigations	Centralized Investigations
		Homeland Defense
		Organized Crime
		Special Operations
	Neighborhood-Based Policing	Community Partnerships
		East Side Story
		First Response
		Neighborhood-Based Policing Support
		Traffic Investigations
	Operations Support	Communications
		Forensic Science Services
		Planning and Analysis
		Victim Services
	Professional Standards	Accreditation Inspections
		Internal Affairs
		Recruiting
		Training
	Support Services	Administration and Management
		Facility Expense
		Financial Monitoring/Budgeting
		Fleet/Equipment & Maintenance
		Information Technology Support
		Personnel/Training
		Public Information
		Purchasing/M/WBE

<b>Department</b>	<b>Program</b>	<b>Activity</b>
Public Information Office	Communications	Austin City Connection
		Editorial Services
		Internal Communication
		Media Relations
		Television Production
	Customer Services	Customer Response
		Information Resource Management
	Support Services	Administration and Management
		Purchasing
Public Works Department	Bridge Repair and Maintenance	Bridge Maintenance
	Capital Projects Delivery	CIP Inspection Services
		Engineering Services
		Mgmt of State/Federal Programs
		Project Management
		Real Property Acquisition
	Child Safety	Safety Education
		School Crossing Guards
		School Infrastructure
	Concrete Repair and Construction	Concrete Repair and Construction
	Leasing & Property Management	Lease Property & Land Management
	One Stop Shop	Land Use Review
		One Time Inspection
	Regulations, Standards & Enforcement	Standards Development & Maintenance
	Street Preventive Maintenance	Asphalt Overlay
		Crack Seal
		Engineering Support Services
		Seal Coat
	Street Repair	Routine Street Maintenance
		Utility Excavation Repair
	Support Services	Administration and Management
		Facility Expense
		Financial Monitoring/Budgeting
		Personnel/Training
		Purchasing/M/WBE
	Traffic Controls	Traffic Signals
		Traffic Signs
		Transportation Markings
Transportation Enhancement	Multi-Modal Transportation	
	Parking Space Management	
	Transportation Engineering	
Small and Minority Business Resources	MBE/WBE Procurement Ordinance	Compliance
		MBE/WBE Certification
		MBE/WBE Program Outreach
	Professional Services Contract Compliance	Professional Services Compliance
		Professional Services Solicitation
	Support Services	Administration and Management
		Facility Expense
		Financial Monitoring/Budgeting
		Information Technology Support
<b>Continued on next page</b>		

<b>Department</b>	<b>Program</b>	<b>Activity</b>	
Solid Waste Services	Code Compliance	Dangerous Buildings and Housing	
		Junk/Abandoned Vehicle Abatement	
		Property Abatement	
		Zoning Code Compliance	
	Customer Services	Service Order Center	
		Landfill Monitoring and Closure	
	Landfill Monitoring and Closure	Closure & Post Closure Care	
		Landfill Monitoring	
		Landfill Operations	
	Litter Abatement	Keep Austin Beautiful	
		Litter Control	
		Street Cleaning	
	Pay-As-You-Throw	Brush/Bulk Collection	
		Garbage Collection	
		Recycling Collection	
		Yard Trimmings Collection	
	Support Services	Administration and Management	
		Facility Expenses	
		Financial Monitoring/Budgeting	
		Information Technology Support	
		Personnel/Training	
		PIO/Community Services	
		Purchasing MBE/WBE	
	Technical Assistance	Commercial/MF Waste Reduction	
		Research and Development	
		Routing	
	Waste Diversion	CESQG	
		Household Hazardous Waste	
		Materials Recovery Facility	
	Watershed Protection and Development Review	Brownfields Program	Brownfields
		Creek Erosion Mitigation	Creek Erosion Mitigation
			Flood Hazard Mitigation
		Flood Early Warning System	
		Floodplain Management	
		Localized Flood Hazard Mitigation	
		Regional Stormwater Management Evaluation	
Infrastructure & Waterway Maintenance		Creek Vegetation Control	
		Erosion Repair	
		Open Waterway Maintenance	
		Pond Maintenance	
		Storm Drain Cleaning	
		Storm Drain Rehabilitation	
One Stop Shop	Town Lake Cleanup		
	Building Inspection		
	Commercial Building Plan Review		
	Development Assistance Center		
	Land Use Review		
	One Stop Shop Support		
	One Time Inspection		
<b>Continued on next page</b>			

<b>Department</b>	<b>Program</b>	<b>Activity</b>
Watershed Protection and	One Stop Shop (continued)	Permit Center
Development Review		Right of Way Management
(continued)		Site/Subdivision Inspection
		Zoning Review
	Support Services	Administration and Management
		Facility Expense
		Financial Monitoring/Budgeting
		Information Technology
		Personnel/Training
		PIO/Community Services
		Purchasing/M/WBE
	Water Quality Protection	Environmental Impact Assessment
		Pollution Detection, Tracking & Forecasting
		Pollution Prevention & Reduction
		Salamander Research Program
		Stormwater Quality Evaluation
		Stormwater Treatment
		Water Quality Planning & Intergovernmental Compliance
		Water Quality Education
	Watershed Master Planning	Watershed Protection Master Planning



**APPENDIX B**  
**OVERALL RISK RATINGS FOR YEAR THREE DEPARTMENTS AND**  
**ACTIVITIES IN DESCENDING ORDER BY RISK RANK**



**OCA Citywide Risk Assessment  
Departmental Risk Ratings In Descending Order For All Departments**

<u>RiskGroup #</u>	<u>1</u>	<u>2</u>	<u>3</u>	<u>4</u>	<u>5</u>	<u>6</u>	<u>7</u>	<u>All</u>
Total Weight	16	18	20	11	9	14	12	100

Department	Risk Group Name	Size / Complexity	Change	Planning / Performance	Public Concern	Safety / Liability	Ethics	Mitigating Factors	Weighted Avg-All Factors
									RISK RATINGS
Community Care		3.7	4.3	3.0	3.0	2.4	3.9	3.3	3.46
Parks and Recreation		3.8	2.7	2.7	3.9	3.2	3.4	4.0	3.29
Austin Water Utility		3.9	3.1	2.7	3.5	3.1	3.6	3.0	3.27
Watershed Protection and Development Review		3.7	3.5	2.5	3.9	2.8	3.1	3.2	3.22
Neighborhood Housing & Community Development		2.6	2.6	3.4	4.1	3.8	2.7	3.7	3.16
Solid Waste Services		3.2	2.6	2.7	3.8	4.0	3.1	3.3	3.14
Public Works		3.7	2.8	2.6	4.3	2.8	3.2	3.0	3.13
Financial and Administrative Services		3.9	3.4	2.2	3.4	2.0	2.7	4.0	3.08
Police		3.1	2.7	2.8	3.7	3.9	2.7	3.3	3.08
Fleet Services		3.1	2.6	2.3	1.6	3.2	3.9	4.3	2.96
Health and Human Services		3.7	2.9	2.2	3.4	2.9	2.7	3.2	2.94
Austin Convention Center		3.2	3.0	2.7	2.1	2.4	2.9	4.2	2.93
Aviation		3.6	2.8	2.5	2.3	3.1	3.1	2.8	2.89
Office of Economic Growth and Redevelopment Service		2.2	3.6	2.6	3.5	2.8	2.3	3.2	2.84
Management Services		2.2	4.3	2.3	3.9	1.7	2.2	3.0	2.83
Emergency Medical Services		3.0	2.6	2.8	2.3	3.2	2.8	3.2	2.82
Library		2.8	2.9	2.2	2.1	2.4	2.9	3.3	2.66
Public Information Office		1.1	3.9	2.5	2.3	1.7	2.5	4.2	2.63
Fire		3.1	2.0	2.4	2.1	2.8	2.6	3.5	2.60
Communications and Technology Management		3.3	2.4	2.6	1.5	2.3	2.2	3.5	2.57
Neighborhood Planning and Zoning		1.6	2.7	2.5	3.8	2.0	2.1	3.3	2.53
Municipal Court		2.4	2.6	2.5	2.0	2.8	3.1	2.2	2.52
Office of the City Clerk		2.1	2.9	2.3	2.2	2.3	1.8	3.5	2.44
Small and Minority Business Resources		1.2	2.4	1.8	2.3	1.7	2.9	4.0	2.27
Human Resources		2.1	1.8	1.7	2.9	2.4	2.3	2.7	2.17
Law		1.5	1.9	1.5	3.1	2.8	2.3	3.0	2.16

**OCA Citywide Risk Assessment  
Overall Risk Ratings In Descending Order For All Departments'  
Activities**

<u>RiskGroup #</u>	<u>1</u>	<u>2</u>	<u>3</u>	<u>4</u>	<u>5</u>	<u>6</u>	<u>7</u>	<u>All</u>
Department Level Factors Weight	4	7	3	2	5	3	0	24
Activity Level Factors Weight	12	11	17	9	4	11	12	76
<b>Total Weight</b>	<b>16</b>	<b>18</b>	<b>20</b>	<b>11</b>	<b>9</b>	<b>14</b>	<b>12</b>	<b>100</b>

Department	Program	Activity	Risk Group Name	Size / Complexity	Change	Planning / Performance	Public Concern	Safety / Liability	Ethics	Mitigating Factors	Weighted Avg-Activity Factors	Weighted Avg-All Factors	RANK - 10ths
Public Works Department	Street Preventive Maintenance	Asphalt Overlay		3.8	3.5	4.2	3.2	3.0	2.5	4.7	3.67	3.54	10
Watershed Protection a	One Stop Shop	Building Inspection		4.0	5.0	3.4	1.4	1.0	2.6	4.3	3.39	3.35	10
Public Works Department	Traffic Controls	Traffic Signs		3.8	5.0	3.8	1.0	1.0	2.8	4.3	3.42	3.35	10
Public Works Department	Transportation Enhancement	Transportation Engineering		3.5	5.0	3.4	2.0	3.0	2.0	4.3	3.39	3.33	10
Police Department	Professional Standards	Training		3.0	3.3	4.3	1.6	4.0	2.5	4.7	3.39	3.32	10
Public Works Department	Traffic Controls	Transportation Markings		3.8	4.1	3.9	1.0	1.0	2.8	4.3	3.33	3.28	10
Fleet Services	Fleet Service Centers	Preventive Maintenance		3.5	3.3	4.1	1.0	3.0	2.6	5.0	3.38	3.28	10
Solid Waste Services	Code Compliance	Dangerous Buildings and Housing		3.3	5.0	3.4	2.4	1.0	2.1	4.3	3.32	3.27	10
Fleet Services	Fleet Service Centers	Unscheduled Repairs		3.5	3.3	3.3	1.0	5.0	2.8	5.0	3.34	3.25	10
Financial and Administr	Budget Office	CIP		2.8	5.0	3.5	2.1	1.0	2.5	4.3	3.29	3.24	10
Watershed Protection a	One Stop Shop	One Stop Shop Support		3.5	5.0	2.2	3.3	1.0	2.4	4.3	3.24	3.23	10
Community Care Depar	Patient Care Support Services	Pharmacy		3.0	3.7	2.6	2.1	3.0	3.9	3.7	3.14	3.22	10
Watershed Protection a	One Stop Shop	Right of Way Management		4.0	5.0	2.2	2.3	1.0	2.4	4.3	3.20	3.20	10
Austin Water Utility	Collection System Support	WW TV Inspection, Inflow, Infiltration		3.5	4.1	2.6	1.6	4.0	2.1	4.7	3.17	3.19	10
Austin Convention Cent	Event Operations	Parking Management		3.5	3.9	3.4	1.6	2.0	2.6	4.7	3.28	3.19	10
Public Works Department	Street Repair	Utility Excavation Repair		3.8	3.7	3.6	1.6	4.0	2.1	3.7	3.21	3.19	10
Parks and Recreation D	Facility Services	Facility Maintenance		3.8	3.1	3.2	1.6	2.0	2.6	4.7	3.16	3.19	10
Financial and Administr	Telecom and Regulatory Affairs	Franchise Management		3.0	4.3	3.5	2.1	1.0	2.1	4.7	3.22	3.19	10
Neighborhood Housing	Housing Development	Owner Occupied Services		3.8	4.0	3.7	1.6	1.0	1.7	4.5	3.20	3.19	10
Parks and Recreation D	Public Safety	Lake Patrol		2.8	4.1	4.5	1.4	1.0	1.7	4.0	3.14	3.18	10
Austin Water Utility	Distribution System Support	Small Calls-Distribution System		2.8	3.9	3.5	1.0	5.0	2.1	4.3	3.14	3.17	10
Public Works Department	Traffic Controls	Traffic Signals		4.0	5.0	2.6	1.0	3.0	2.4	4.0	3.18	3.17	10
Parks and Recreation D	Sports Management	Athletics		3.8	3.3	2.6	2.1	3.0	2.4	4.7	3.13	3.17	10
Parks and Recreation D	Community Recreation Services	Community Recreation		3.8	3.3	2.9	1.6	3.0	2.9	4.0	3.12	3.16	10
Police Department	Support Services	Personnel/Training		2.8	2.5	4.3	1.6	3.0	2.5	4.7	3.18	3.16	10
Watershed Protection a	One Stop Shop	Development Assistance Center		3.8	5.0	2.2	2.3	1.0	2.1	4.3	3.12	3.14	10
Public Works Department	Concrete Repair and Construction	Concrete Repair and Construction		3.5	4.6	1.2	3.2	4.0	2.1	4.7	3.13	3.13	10
Public Works Department	Transportation Enhancement	Parking Space Management		4.0	2.5	3.4	1.0	3.0	3.0	4.3	3.13	3.13	10
Public Works Department	Street Preventive Maintenance	Crack Seal		3.3	3.3	4.0	2.1	1.0	2.1	4.0	3.12	3.12	10
Parks and Recreation D	Cultural Arts Services	Museums		3.8	4.6	2.9	1.0	3.0	2.1	3.7	3.07	3.12	10
Parks and Recreation D	Sports Management	Golf		4.0	3.3	2.5	1.0	3.0	2.6	4.7	3.07	3.12	10

**OCA Citywide Risk Assessment  
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<u>RiskGroup #</u>	<u>1</u>	<u>2</u>	<u>3</u>	<u>4</u>	<u>5</u>	<u>6</u>	<u>7</u>	<u>All</u>
Department Level Factors Weight	4	7	3	2	5	3	0	24
Activity Level Factors Weight	12	11	17	9	4	11	12	76
<b>Total Weight</b>	<b>16</b>	<b>18</b>	<b>20</b>	<b>11</b>	<b>9</b>	<b>14</b>	<b>12</b>	<b>100</b>

Department	Program	Activity	Risk Group Name	Size / Complexity	Change	Planning / Performance	Public Concern	Safety / Liability	Ethics	Mitigating Factors	Weighted Avg-Activity Factors	Weighted Avg-All Factors	RANK - 10ths
Financial and Administr	Treasury	Investment Management		2.8	4.5	3.9	1.6	1.0	1.7	4.3	3.12	3.11	10
Parks and Recreation D	Facility Services	PARD Construction		3.0	3.5	3.3	1.0	3.0	2.1	4.7	3.03	3.09	10
Financial and Administr	Building Services	Security		3.3	5.0	3.1	1.0	1.0	2.1	4.3	3.09	3.09	10
Austin Water Utility	Collection System Support	Small Calls-Collection System		2.8	3.6	4.0	1.6	1.0	2.1	4.0	3.03	3.08	10
Austin Water Utility	Support Services	Facility Expenses		4.3	4.3	2.4	1.0	2.0	1.7	4.7	3.03	3.08	10
Watershed Protection a	One Stop Shop	Commercial Building Plan Review		3.5	3.7	1.8	2.7	3.0	2.4	4.7	3.04	3.08	10
Financial and Administr	Budget Office	Managing for Results		2.3	5.0	3.5	1.0	1.0	1.7	5.0	3.08	3.08	10
Austin Water Utility	Distribution System Ops & Maint	Metering Services		3.5	2.9	3.2	1.0	3.0	2.8	4.0	3.01	3.07	10
Public Works Departme	Street Preventive Maintenance	Seal Coat		3.8	3.5	2.5	2.1	3.0	2.8	3.7	3.05	3.07	10
Neighborhood Housing	Housing Development	Assisted Housing		2.8	4.2	3.4	2.0	1.0	1.7	4.5	3.04	3.07	10
Financial and Administr	Building Services	Custodial Services		4.0	3.9	2.2	1.6	3.0	2.0	4.7	3.05	3.06	10
Police Department	Operations Support	Forensic Science Services		3.5	3.7	3.0	1.0	3.0	2.6	4.0	3.05	3.06	10
Austin Water Utility	Collection System Ops & Maint	Lift Station Oper & Maintenance		3.8	3.1	3.0	1.6	4.0	2.1	3.7	2.99	3.05	10
Austin Water Utility	Collection System Ops & Maint	WW Pipeline Rehab & Construction		3.5	4.3	3.8	1.6	1.0	2.1	2.7	2.99	3.05	10
Watershed Protection a	One Stop Shop	Site/Subdivision Inspection		4.0	5.0	2.2	1.0	1.0	2.1	4.3	3.00	3.05	10
Parks and Recreation D	Facility Services	Special Events		2.8	3.1	3.4	1.6	1.0	2.5	4.7	2.97	3.05	10
Parks and Recreation D	Public Safety	Parks and Facility Patrol		3.8	3.1	3.0	1.0	4.0	2.1	4.0	2.97	3.05	10
Office of the City Clerk	Elections	Elections		4.0	4.6	3.2	1.6	1.0	2.1	4.3	3.24	3.05	10
Austin Water Utility	Collection System Support	Line Locations- Collection System		2.5	4.2	3.4	1.6	1.0	2.1	4.3	2.97	3.04	10
Austin Water Utility	Distribution System Ops & Maint	Valve & Hydrant		3.5	2.9	3.2	1.0	4.0	2.5	3.7	2.96	3.03	10
Austin Water Utility	Distribution System Ops & Maint	Water Pipeline Rehab & Construction		3.5	2.2	3.4	1.6	4.0	2.5	3.7	2.96	3.03	10
Watershed Protection a	One Stop Shop	Land Use Review		4.0	5.0	1.6	1.9	1.0	2.1	4.3	2.97	3.03	10
Public Works Departme	Leasing & Property Management	Lease Property & Land Management		3.0	3.0	2.8	1.6	5.0	2.4	4.3	3.00	3.03	10
Community Care Depar	Patient Care Support Services	Client Services		2.8	5.0	2.2	2.7	1.0	2.1	3.7	2.89	3.03	10
Fleet Services	Fleet Service Centers	Inventory Control		3.3	3.1	2.8	1.0	4.0	2.5	5.0	3.05	3.03	10
Parks and Recreation D	Facility Services	Park Maintenance		3.8	2.9	2.4	2.1	3.0	2.1	4.3	2.95	3.03	9
Parks and Recreation D	Support Services	Administration and Management		3.0	3.5	3.1	2.6	1.0	2.0	4.0	2.95	3.03	9
Police Department	Neighborhood-Based Policing	First Response		3.0	3.7	2.6	2.1	5.0	1.7	4.0	3.00	3.02	9
Austin Water Utility	Distribution System Ops & Maint	Distribution Pipeline Maintenance		3.5	2.0	3.2	1.6	5.0	2.5	3.7	2.93	3.01	9
Solid Waste Services	Pay-As-You-Throw	Garbage Collection		3.5	1.2	3.6	2.1	5.0	2.1	4.0	2.97	3.01	9
Watershed Protection a	Flood Hazard Mitigation	Localized Flood Hazard Mitigation		3.0	3.7	3.4	2.1	1.0	1.7	4.0	2.95	3.01	9

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<u>RiskGroup #</u>	<u>1</u>	<u>2</u>	<u>3</u>	<u>4</u>	<u>5</u>	<u>6</u>	<u>7</u>	<u>All</u>
Department Level Factors Weight	4	7	3	2	5	3	0	24
Activity Level Factors Weight	12	11	17	9	4	11	12	76
<b>Total Weight</b>	<b>16</b>	<b>18</b>	<b>20</b>	<b>11</b>	<b>9</b>	<b>14</b>	<b>12</b>	<b>100</b>

Department	Program	Activity	Risk Group Name	Size / Complexity	Change	Planning / Performance	Public Concern	Safety / Liability	Ethics	Mitigating Factors	Weighted Avg-Activity Factors	Weighted Avg-All Factors	RANK - 10ths
Community Care Depar	Clinic Based Care	Adult and Pediatric Services		3.0	4.3	2.4	1.6	1.0	2.9	3.7	2.87	3.01	9
Parks and Recreation D	Community Recreation Services	Senior Services		3.8	2.5	2.8	1.6	2.0	2.6	4.3	2.92	3.01	9
Financial and Administr	Support Services	Administration and Management		3.8	3.3	1.9	1.6	3.0	2.5	5.0	2.99	3.01	9
Police Department	Support Services	Fleet/Equipment & Maintenance		2.8	4.5	2.4	1.0	4.0	2.1	4.7	2.99	3.01	9
Neighborhood Housing	Community Development	Commercial Revitalization		3.3	4.0	3.5	1.6	1.0	2.1	3.5	2.96	3.01	9
Neighborhood Housing	Support Services	General Administration		3.8	3.5	2.8	1.6	1.0	2.5	4.2	2.96	3.01	9
Austin Water Utility	Distribution System Support	Line Locations-Distribution System		2.5	2.8	3.6	1.0	5.0	1.7	4.3	2.92	3.00	9
Austin Water Utility	One Stop Shop	Site/Subdivision Inspection		3.5	5.0	2.2	1.0	1.0	2.1	4.3	2.92	3.00	9
Watershed Protection a	Infrastructure & Waterway Maint	Storm Drain Rehabilitation		3.5	4.1	2.8	1.0	3.0	2.1	3.7	2.93	3.00	9
Neighborhood Housing	Community Development	Small Business Development		2.8	3.2	3.4	1.6	1.0	2.5	4.5	2.95	3.00	9
Austin Water Utility	Distribution System Ops & Maint	Water Distribution Svc Connection		3.3	4.6	2.8	1.0	1.0	2.1	4.0	2.91	2.99	9
Community Care Depar	Clinic Based Care	Dental Services		3.0	3.7	2.4	1.6	3.0	2.6	3.7	2.84	2.99	9
Parks and Recreation D	Natural Resources	Environmental Education		3.3	2.6	2.9	1.0	3.0	2.3	4.7	2.89	2.99	9
Financial and Administr	Support Services	Facility Expense		4.0	3.3	3.4	1.0	1.0	1.7	4.3	2.96	2.99	9
Neighborhood Housing	Housing Development	Lead Hazard Control		2.5	4.0	3.4	1.0	1.0	1.7	5.0	2.93	2.99	9
Austin Water Utility	Collection System Ops & Maint	WW Collection Svc Connection		3.3	3.0	3.9	1.6	1.0	2.1	3.3	2.89	2.98	9
Solid Waste Services	Landfill Monitoring and Closure	Landfill Operations		2.8	1.7	3.5	1.0	4.0	2.4	5.0	2.93	2.98	9
Community Care Depar	Indigent Health Managed Care	MAP Contracted Services		2.8	5.0	2.2	2.1	1.0	2.1	3.7	2.83	2.98	9
Community Care Depar	Patient Care Support Services	Billing and Collections		2.3	4.3	3.1	1.0	1.0	2.1	4.3	2.83	2.98	9
Watershed Protection a	Support Services	Administration and Management		3.3	4.3	1.4	1.6	3.0	2.6	4.7	2.89	2.97	9
Public Works Departme	Capital Projects Delivery	Project Management		3.8	3.9	2.9	3.2	1.0	2.1	2.3	2.92	2.97	9
Parks and Recreation D	Community Recreation Services	Summer Programs		2.5	3.6	2.8	1.6	1.0	2.5	4.7	2.87	2.97	9
Financial and Administr	Building Services	Maintenance		4.0	3.9	1.6	1.6	4.0	2.1	4.3	2.93	2.97	9
Solid Waste Services	Code Compliance	Zoning Code Compliance		3.0	5.0	2.2	1.6	1.0	2.1	4.3	2.91	2.96	9
Neighborhood Housing	Community Development	Public Facilities		2.8	3.2	3.4	1.6	1.0	2.1	4.5	2.89	2.96	9
Community Care Depar	Patient Care Support Services	Health Information Management		2.8	3.7	3.1	1.6	1.0	2.1	3.7	2.79	2.95	9
Neighborhood Housing	Community Development	Neighborhood Revitalization		3.3	2.6	3.3	1.6	1.0	2.1	4.5	2.88	2.95	9
Health and Human Serv	Healthy Communities	Austin Health Connection		2.0	4.4	2.9	1.6	5.0	2.6	3.3	2.95	2.95	9
Austin Convention Cent	Event Operations	Booking and Contracting		2.5	3.5	2.9	2.7	1.0	2.4	4.3	2.95	2.94	9
Watershed Protection a	One Stop Shop	Zoning Review		3.3	5.0	1.6	1.9	1.0	2.1	4.3	2.86	2.94	9
Austin Water Utility	Water Treatment	Water Plant Maintenance		3.5	3.1	2.8	1.0	3.0	2.1	4.0	2.83	2.93	9

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Department	Program	Activity	Risk Group Name	Size / Complexity	Change	Planning / Performance	Public Concern	Safety / Liability	Ethics	Mitigating Factors	Weighted Avg-Activity Factors	Weighted Avg-All Factors	RANK - 10ths
											RISK RATINGS		
Fleet Services	Support Services	Information Technology Support		2.8	3.9	2.9	1.0	1.0	2.1	5.0	2.92	2.93	9
Financial and Administr	Purchasing	Procurement		3.8	3.5	2.4	1.0	1.0	2.7	4.3	2.88	2.93	9
Financial and Administr	Support Services	Personnel/Training		3.0	2.5	3.4	2.7	1.0	1.7	4.3	2.88	2.93	9
Emergency Medical Ser	Operations	Emergency Services		3.0	3.7	3.5	1.6	4.0	2.1	3.0	2.96	2.93	9
Austin Water Utility	One Stop Shop	Permit Center		2.5	5.0	2.2	1.0	1.0	2.5	4.3	2.82	2.92	9
Austin Water Utility	Wastewater Treatment	Wastewater Plant Operations		4.3	3.1	2.4	1.0	3.0	2.1	3.7	2.82	2.92	9
Watershed Protection a	Infrastructure & Waterway Maint	Pond Maintenance		3.8	3.9	2.1	1.0	5.0	2.1	3.3	2.83	2.92	9
Office of Economic Gro	Cultural Arts	Cultural Development Services		3.5	5.0	2.4	1.6	1.0	2.1	3.8	2.95	2.92	9
Public Works Departme	Transportation Enhancement	Multi-Modal Transportation		2.8	4.3	3.4	1.0	1.0	1.7	4.0	2.86	2.92	9
Human Resources Dep	Total Compensation	Benefits Management		3.0	3.5	3.4	1.6	3.0	2.0	5.0	3.16	2.92	9
Fleet Services	Support Services	Personnel/Training/Safety		2.8	1.0	3.9	2.7	1.0	2.5	4.7	2.91	2.92	9
Health and Human Serv	Healthy Communities	Disease and Injury Prevention		4.0	3.2	2.8	1.6	3.0	1.7	3.8	2.91	2.92	9
Austin Water Utility	Collection System Support	Utility Development Svcs - Collection		2.5	4.0	3.5	1.0	1.0	1.7	4.0	2.80	2.91	9
Austin Water Utility	Support Services	Information Technology Support		3.8	3.0	2.8	1.0	1.0	1.7	4.7	2.80	2.91	9
Watershed Protection a	Flood Hazard Mitigation	Floodplain Management		2.8	4.3	2.1	2.1	5.0	1.7	3.3	2.82	2.91	9
Watershed Protection a	Infrastructure & Waterway Maint	Storm Drain Cleaning		3.0	4.5	2.4	1.0	3.0	2.1	3.7	2.82	2.91	9
Fleet Services	Vehicle Support Services	Auction		3.0	1.4	4.1	1.0	1.0	2.5	5.0	2.89	2.91	9
Aviation Department	Facilities Management	Airside Maintenance		3.0	2.8	3.0	1.0	4.0	2.0	4.7	2.91	2.90	8
Solid Waste Services	Code Compliance	Property Abatement		3.8	4.1	2.2	1.0	1.0	2.1	4.3	2.83	2.90	8
Community Care Depar	Support Services	Personnel/Training		2.0	3.5	2.9	2.7	1.0	2.1	3.7	2.72	2.90	8
Police Department	Investigations	Centralized Investigations		3.0	3.7	3.6	1.0	2.0	1.7	3.5	2.84	2.90	8
Austin Water Utility	One Stop Shop	One Time Inspection		2.3	5.0	2.2	1.0	1.0	2.5	4.3	2.78	2.89	8
Austin Water Utility	Wastewater Treatment	Wastewater Plant Maintenance		3.5	2.9	2.4	1.0	4.0	2.1	4.0	2.78	2.89	8
Parks and Recreation D	Support Services	Personnel/Training		3.3	1.6	2.9	2.7	1.0	1.7	4.7	2.76	2.89	8
Management Services	Emergency Management	Preparedness and Mitigation		3.5	4.6	2.8	1.6	1.0	1.7	3.7	2.91	2.89	8
Austin Water Utility	Billing/Customer Service	Customer Service		3.3	3.7	2.2	1.0	1.0	2.4	4.5	2.76	2.88	8
Austin Water Utility	Collection System Support	Collection System Lab		2.8	2.5	3.6	1.6	1.0	1.7	4.3	2.76	2.88	8
Austin Water Utility	One Stop Shop	Development Assistance Center		2.5	5.0	2.2	1.0	1.0	2.1	4.3	2.76	2.88	8
Austin Water Utility	One Stop Shop	Land Use Review		2.5	5.0	2.2	1.0	1.0	2.1	4.3	2.76	2.88	8
Austin Convention Cent	Event Operations	Facility Operations and Maintenance		4.0	3.5	1.6	2.1	3.0	2.0	4.3	2.87	2.88	8
Parks and Recreation D	Cultural Arts Services	Art Centers Services		3.3	2.5	1.9	1.0	4.0	2.6	4.7	2.75	2.88	8

**OCA Citywide Risk Assessment  
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<u>RiskGroup #</u>	<u>1</u>	<u>2</u>	<u>3</u>	<u>4</u>	<u>5</u>	<u>6</u>	<u>7</u>	<u>All</u>
Department Level Factors Weight	4	7	3	2	5	3	0	24
Activity Level Factors Weight	12	11	17	9	4	11	12	76
<b>Total Weight</b>	<b>16</b>	<b>18</b>	<b>20</b>	<b>11</b>	<b>9</b>	<b>14</b>	<b>12</b>	<b>100</b>

Department	Program	Activity	Risk Group Name	Size / Complexity	Change	Planning / Performance	Public Concern	Safety / Liability	Ethics	Mitigating Factors	Weighted Avg-Activity Factors	Weighted Avg-All Factors	RANK - 10ths
											RISK RATINGS		
Library Department	Support Services	Facility Expense		3.5	3.9	2.9	1.6	4.0	1.4	3.7	2.95	2.88	8
Austin Water Utility	Wastewater Treatment	Bio-Solids Plant Operations		3.8	1.6	3.2	1.0	4.0	2.1	3.7	2.75	2.87	8
Aviation Department	Facilities Management	Building Maintenance		3.5	2.6	3.0	1.0	3.0	1.7	4.7	2.87	2.87	8
Watershed Protection a	One Stop Shop	One Time Inspection		2.5	5.0	2.2	1.0	1.0	2.1	4.3	2.76	2.87	8
Watershed Protection a	Water Quality Protection	Environmental Impact Assessment		2.5	3.5	3.4	1.6	1.0	2.1	3.7	2.76	2.87	8
Office of Economic Gro	Cultural Arts	International Program		2.8	5.0	2.8	1.0	1.0	1.7	4.3	2.88	2.87	8
Community Care Depar	Support Services	Administration and Management		2.5	3.5	2.4	2.7	1.0	2.1	3.7	2.68	2.87	8
Parks and Recreation D	Natural Resources	Horticultural		3.0	4.3	2.2	1.0	4.0	1.7	3.7	2.74	2.87	8
Austin Water Utility	Support Services	Vehicle/Equipment Maintenance		3.0	3.4	2.8	1.0	3.0	2.1	3.7	2.74	2.86	8
Watershed Protection a	One Stop Shop	Permit Center		3.3	5.0	1.6	1.0	1.0	2.1	4.3	2.75	2.86	8
Public Works Departme	One Stop Shop	One Time Inspection		2.3	5.0	2.2	1.0	1.0	2.5	4.3	2.78	2.86	8
Community Care Depar	Support Services	Financial Monitoring/Budgeting		2.0	4.3	2.9	1.0	1.0	2.4	3.7	2.67	2.86	8
Management Services	Management Services	Police Monitoring		3.3	3.5	2.2	3.1	1.0	1.7	4.3	2.87	2.86	8
Health and Human Serv	Environmental & Consumer Health	Health and safety Code Compliance		3.8	3.1	2.8	1.6	3.0	2.1	3.3	2.83	2.86	8
Police Department	Investigations	Homeland Defense		3.0	3.7	2.9	1.6	1.0	2.1	3.7	2.78	2.85	8
Neighborhood Housing	Housing Development	Rental Housing		3.5	3.8	2.2	2.1	1.0	1.7	3.8	2.75	2.85	8
Austin Water Utility	Water Treatment Support	Water Treatment and Support Lab		3.3	2.6	2.0	1.0	5.0	2.1	4.3	2.71	2.84	8
Austin Convention Cent	Event Operations	Event Set-up and Cleaning		3.0	2.9	3.2	1.0	3.0	1.7	4.3	2.82	2.84	8
Office of Economic Gro	Economic Growth & Redevelopment	Development/Redevelopment		2.8	2.8	3.7	1.6	1.0	2.1	4.0	2.84	2.84	8
Community Care Depar	Clinic Based Care	HIV Clinical Services		2.8	3.5	2.2	1.6	1.0	2.7	3.7	2.64	2.84	8
Police Department	Support Services	Financial Monitoring/Budgeting		2.5	2.5	2.9	3.2	1.0	2.7	3.3	2.76	2.84	8
Health and Human Serv	Social Services	Homeless Services		4.3	3.6	2.2	1.6	1.0	1.7	4.0	2.80	2.84	8
Austin Water Utility	Distribution System Support	Distribution Engineering		3.5	3.3	2.5	1.0	1.0	2.1	4.0	2.70	2.83	8
Parks and Recreation D	Facility Services	Park Planning		3.3	2.3	2.8	1.6	1.0	2.1	4.3	2.68	2.83	8
Parks and Recreation D	Sports Management	Aquatics		3.8	2.3	1.6	1.0	5.0	2.0	4.7	2.68	2.83	8
Police Department	Professional Standards	Recruiting		2.5	3.8	2.4	1.6	3.0	2.1	4.0	2.75	2.83	8
Public Works Departme	Child Safety	School Infrastructure		2.8	1.7	3.7	2.8	1.0	1.4	4.0	2.72	2.82	8
Community Care Depar	Patient Care Support Services	Quality Management		1.8	3.9	2.4	2.7	1.0	2.1	3.7	2.62	2.82	8
Community Care Depar	Support Services	Purchasing/M/WBE		1.8	4.5	2.9	1.0	1.0	2.1	3.7	2.62	2.82	8
Management Services	Management Services	Government Relations		4.0	3.6	2.2	1.6	1.0	1.7	4.3	2.82	2.82	8
Neighborhood Housing	Grants Administration	Compliance		3.0	4.4	2.8	1.6	1.0	1.7	3.2	2.71	2.82	8

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<u>RiskGroup #</u>	<u>1</u>	<u>2</u>	<u>3</u>	<u>4</u>	<u>5</u>	<u>6</u>	<u>7</u>	<u>All</u>
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Activity Level Factors Weight	12	11	17	9	4	11	12	76
<b>Total Weight</b>	<b>16</b>	<b>18</b>	<b>20</b>	<b>11</b>	<b>9</b>	<b>14</b>	<b>12</b>	<b>100</b>

Department	Program	Activity	Risk Group Name	Size / Complexity	Change	Planning / Performance	Public Concern	Safety / Liability	Ethics	Mitigating Factors	Weighted Avg-Activity Factors	Weighted Avg-All Factors	RANK - 10ths
Emergency Medical Ser	Training & Education	Safety		1.5	5.0	3.1	1.0	1.0	2.1	4.3	2.82	2.82	8
Austin Water Utility	Water Treatment	Water Plant Operations		4.0	2.9	2.1	1.0	2.0	2.1	4.0	2.67	2.81	8
Fire Department	Fire/Emergency Response	Combat Operations		3.0	3.7	3.0	2.7	3.0	1.7	3.0	2.88	2.81	8
Office of Economic Gro	Small Business Development	Small Business Assistance Center		2.5	4.3	2.4	1.6	1.0	2.4	4.3	2.80	2.81	8
Public Works Departme	One Stop Shop	Land Use Review		2.5	5.0	2.2	1.0	1.0	1.7	4.3	2.71	2.81	8
Police Department	Support Services	Facility Expense		3.3	2.5	2.6	1.0	3.0	1.7	4.7	2.72	2.81	8
Health and Human Serv	Social Services	Basic Needs Services		4.0	2.9	2.2	1.6	3.0	2.1	3.7	2.76	2.81	8
Aviation Department	Support Services	Financial Monitoring/Budgeting		3.3	2.4	2.7	3.2	2.0	3.0	2.5	2.78	2.80	8
Austin Convention Cent	Support Services	Purchasing/M/WBE		2.0	3.4	3.6	1.0	1.0	2.5	4.0	2.76	2.80	8
Watershed Protection a	Support Services	Information Technology		2.5	4.6	2.2	1.6	1.0	1.7	4.0	2.67	2.80	8
Public Works Departme	Capital Projects Delivery	CIP Inspection Services		3.8	3.9	2.9	1.0	3.0	2.1	2.0	2.70	2.80	8
Community Care Depar	Support Services	Information Technology Support		2.0	4.3	2.9	1.0	1.0	1.7	3.7	2.59	2.80	7
Neighborhood Housing	Grants Administration	Policy Development		2.3	2.1	3.4	2.7	1.0	1.7	4.2	2.68	2.80	7
Austin Water Utility	Collection System Support	Collection Technical Support		2.8	3.1	2.4	1.6	1.0	2.8	3.7	2.64	2.79	7
Austin Convention Cent	Event Operations	Event Security		3.0	3.6	2.9	1.0	1.0	1.7	4.3	2.75	2.79	7
Office of Economic Gro	Cultural Arts	Contracting Services		2.8	4.0	2.7	1.0	1.0	2.1	4.3	2.78	2.79	7
Public Information Offi	Customer Services	Customer Response		1.3	5.0	2.9	2.0	1.0	2.1	4.3	2.84	2.79	7
Financial and Administr	Controller's Office	Accounts Payable		3.0	3.5	2.9	1.0	1.0	2.1	3.7	2.70	2.79	7
Management Services	Management Services	City Management		3.0	3.9	2.8	1.6	1.0	2.1	3.7	2.78	2.79	7
Police Department	Support Services	Purchasing/M/WBE		2.8	2.3	2.5	1.0	1.0	3.7	4.2	2.70	2.79	7
Library Department	Support Services	Personnel/Training		2.5	4.1	2.8	1.6	1.0	1.7	4.7	2.83	2.79	7
Emergency Medical Ser	Billing Services	Billing Services		3.0	4.1	3.0	1.0	2.0	2.4	3.0	2.78	2.79	7
Austin Water Utility	Distribution System Support	Water Protection		2.8	2.3	2.9	1.0	3.0	2.1	4.0	2.63	2.78	7
Austin Water Utility	Water Treatment Support	Water Treatment Engineering		3.0	2.9	2.2	1.0	3.0	2.0	4.3	2.63	2.78	7
Austin Water Utility	WW Treatment Support Services	Wastewater Treatment Engineering		3.0	2.9	2.2	1.0	1.0	2.4	4.7	2.63	2.78	7
Aviation Department	Support Services	Administration and Management		3.3	3.9	2.9	1.6	1.0	2.5	2.7	2.75	2.78	7
Watershed Protection a	Infrastructure & Waterway Maint	Open Waterway Maintenance		3.5	2.9	2.1	1.0	5.0	1.7	3.7	2.64	2.78	7
Solid Waste Services	Code Compliance	Junk/Abandoned Vehicle Abatement		2.0	5.0	1.6	1.9	1.0	2.1	4.3	2.66	2.77	7
Office of Economic Gro	Economic Growth & Redevelopment	Downtown Initiatives		2.3	3.5	2.7	2.1	1.0	2.1	4.3	2.75	2.77	7
Community Care Depar	Support Services	Facility Expense		2.5	4.6	2.2	1.0	1.0	1.7	3.7	2.55	2.77	7
Parks and Recreation D	Community Recreation Services	Millennium Youth Complex		2.5	1.2	3.6	1.6	1.0	2.1	4.3	2.61	2.77	7

**OCA Citywide Risk Assessment  
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<u>RiskGroup #</u>	<u>1</u>	<u>2</u>	<u>3</u>	<u>4</u>	<u>5</u>	<u>6</u>	<u>7</u>	<u>All</u>
Department Level Factors Weight	4	7	3	2	5	3	0	24
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<b>Total Weight</b>	<b>16</b>	<b>18</b>	<b>20</b>	<b>11</b>	<b>9</b>	<b>14</b>	<b>12</b>	<b>100</b>

Department	Program	Activity	Risk Group Name	Size / Complexity	Change	Planning / Performance	Public Concern	Safety / Liability	Ethics	Mitigating Factors	Weighted Avg-Activity Factors	Weighted Avg-All Factors	RANK - 10ths
Parks and Recreation D	Support Services	Purchasing/M/WBE		2.8	2.6	2.9	1.0	1.0	2.1	4.2	2.61	2.77	7
Police Department	Support Services	Public Information		2.3	3.0	1.7	2.1	5.0	1.7	4.7	2.67	2.77	7
Neighborhood Plannin	Long-Range Planning	Long Range Planning/Forecasting		2.0	5.0	2.5	2.1	1.0	1.7	4.3	2.84	2.77	7
Neighborhood Plannin	Neighborhood Planning	Neighborhood Planning		2.5	4.1	2.8	2.1	1.0	2.5	3.7	2.84	2.77	7
Health and Human Serv	Social Services	Violence & Victimization Services		3.0	3.1	2.8	1.6	1.0	2.1	4.0	2.71	2.77	7
Health and Human Serv	Social Services	Workforce Development Services		3.5	2.9	2.8	1.6	1.0	1.7	4.0	2.71	2.77	7
Austin Water Utility	One Stop Shop	Commercial Building Plan Review		1.5	5.0	2.2	1.0	1.0	2.1	4.3	2.61	2.76	7
Austin Water Utility	Support Services	Administration and Management		3.3	2.6	1.6	2.7	1.0	2.5	4.0	2.61	2.76	7
Fire Department	Support Services	Financial Monitoring/Budgeting		1.8	3.0	2.9	3.2	5.0	2.7	2.7	2.82	2.76	7
Office of Economic Gro	Small Business Development	Business Outreach		2.3	3.1	3.5	1.0	1.0	2.1	4.3	2.74	2.76	7
Public Information Offi	Support Services	Administration and Management		1.8	4.1	2.9	2.1	1.0	1.7	4.7	2.80	2.76	7
Human Resources Dep	Risk Management	Property & Casualty Insurance Mgmt		3.5	3.5	2.5	1.0	1.0	2.5	5.0	2.95	2.76	7
Fleet Services	Support Services	Purchasing/M/WBE		2.3	2.3	3.4	1.0	1.0	2.1	5.0	2.70	2.76	7
Police Department	Operations Support	Victim Services		3.5	3.7	1.8	1.0	3.0	1.7	4.0	2.66	2.76	7
Health and Human Serv	Support Services	Information Technology Support		3.3	3.7	2.2	1.0	1.0	1.7	4.7	2.70	2.76	7
Financial and Administr	Budget Office	Financial Monitoring and Evaluation		3.0	3.5	2.2	1.6	1.0	2.5	3.7	2.64	2.75	7
Financial and Administr	Controller's Office	Accounting & Reporting		3.8	3.5	2.2	1.6	1.0	2.4	3.0	2.64	2.75	7
Austin Convention Cent	Event Operations	Event Planning		2.8	3.3	2.5	1.0	3.0	1.7	4.3	2.68	2.74	7
Austin Convention Cent	Event Operations	Exhibit Services		2.8	4.0	2.4	1.0	1.0	2.0	4.3	2.68	2.74	7
Public Works Departme	Bridge Repair and Maintenance	Bridge Maintenance		3.3	2.6	2.8	1.0	1.0	1.7	4.3	2.62	2.74	7
Parks and Recreation D	Support Services	PIO/Community Services		1.8	3.7	2.9	1.0	1.0	1.7	4.3	2.57	2.74	7
Health and Human Serv	Social Services	Child Care Services		3.3	2.9	2.8	1.6	1.0	2.1	3.7	2.67	2.74	7
Austin Water Utility	Collection System Support	GIS Service Collection		2.8	2.9	2.2	1.6	1.0	1.7	4.7	2.57	2.73	7
Austin Water Utility	Conservation & Reuse	WW Conservation/Reuse Lab		3.0	2.3	3.2	1.0	1.0	1.7	4.0	2.57	2.73	7
Public Works Departme	Street Repair	Routine Street Maintenance		3.0	2.3	2.4	1.0	3.0	2.1	4.3	2.61	2.73	7
Financial and Administr	Telecom and Regulatory Affairs	Financial Management Services		3.0	3.0	2.4	1.0	1.0	2.6	4.0	2.62	2.73	7
Emergency Medical Ser	Operations	Emergency Communications		3.0	3.7	2.8	1.0	1.0	1.7	4.0	2.70	2.73	7
Health and Human Serv	Communicable Disease Prevention	Disease Surveillance		3.3	3.3	2.8	1.0	1.0	2.1	3.7	2.66	2.73	7
Health and Human Serv	Youth Services	Youth Employment		2.8	2.6	2.4	1.0	5.0	1.7	4.3	2.66	2.73	7
Austin Water Utility	Collection System Ops & Maint	Collection Pipeline Maintenance		3.5	3.1	2.2	1.6	4.0	2.1	2.3	2.55	2.72	7
Austin Water Utility	Distribution System Support	Distribution Inspection		2.0	4.4	2.0	1.0	1.0	2.5	4.0	2.55	2.72	7

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Department	Program	Activity	Risk Group Name	Size / Complexity	Change	Planning / Performance	Public Concern	Safety / Liability	Ethics	Mitigating Factors	Weighted Avg-Activity Factors	Weighted Avg-All Factors	RANK - 10ths
											RISK RATINGS		
Fire Department	One Stop Shop	Building Inspection		2.5	5.0	2.2	1.0	1.0	2.1	4.3	2.76	2.72	7
Public Works Department	Capital Projects Delivery	Engineering Services		3.8	3.3	2.2	1.0	1.0	2.0	3.7	2.59	2.72	7
Financial and Administrative	Controller's Office	Payroll		3.5	3.9	2.2	1.0	1.0	2.1	3.3	2.61	2.72	7
Police Department	Neighborhood-Based Policing	Traffic Investigations		3.0	3.3	2.2	1.6	1.0	2.1	4.0	2.61	2.72	7
Police Department	Professional Standards	Internal Affairs		3.0	1.8	2.4	1.6	2.0	2.1	4.7	2.61	2.72	7
Library Department	Public Services	Circulation		3.3	2.3	1.6	1.6	3.0	3.2	4.7	2.74	2.72	6
Neighborhood Housing	Housing Development	First-time Home Buyer Services		2.8	2.6	2.9	1.6	1.0	1.7	4.0	2.58	2.72	6
Health and Human Services	Social Services	Substance Abuse Services		2.8	3.3	2.8	1.6	1.0	1.7	4.0	2.64	2.72	6
Solid Waste Services	Pay-As-You-Throw	Recycling Collection		3.3	1.0	2.4	1.6	5.0	2.1	4.0	2.58	2.71	6
Police Department	Investigations	Special Operations		3.0	3.7	1.4	1.0	5.0	1.7	4.0	2.59	2.71	6
Health and Human Services	Animal Services	Shelter Services		3.8	1.0	2.2	1.6	5.0	2.6	3.7	2.63	2.71	6
Austin Water Utility	Billing/Customer Service	Customer Account Mgmt (Billing)		2.3	2.6	2.9	1.4	1.0	2.4	3.7	2.53	2.70	6
Austin Water Utility	Support Services	Purchasing & MBE/WBE		3.0	2.5	2.8	1.0	1.0	2.1	3.8	2.53	2.70	6
Austin Water Utility	WW Treatment Support Services	WW Treatment & Support Lab		3.0	2.5	2.4	1.0	1.0	2.1	4.3	2.53	2.70	6
Solid Waste Services	Pay-As-You-Throw	Brush/Bulk Collection		3.3	2.6	2.8	1.0	4.0	2.1	2.7	2.57	2.70	6
Solid Waste Services	Pay-As-You-Throw	Yard Trimmings Collection		3.3	2.5	1.5	1.0	5.0	2.1	4.3	2.57	2.70	6
Parks and Recreation Department	Support Services	Information Technology Support		2.5	2.9	2.2	1.0	1.0	1.7	5.0	2.51	2.70	6
Financial and Administrative	Budget Office	Annual Budget		3.0	3.7	1.0	2.7	1.0	2.4	4.0	2.58	2.70	6
Police Department	Support Services	Administration and Management		3.0	2.8	2.2	1.6	1.0	2.4	4.0	2.58	2.70	6
Health and Human Services	Vital Records	Vital Records		3.0	2.1	2.9	1.0	3.0	2.6	3.3	2.62	2.70	6
Austin Water Utility	Collection System Support	Collection Engineering		3.5	3.5	2.2	1.6	1.0	1.7	3.0	2.51	2.69	6
Watershed Protection and Assessment	Flood Hazard Mitigation	Flood Early Warning System		2.0	2.7	2.1	2.1	4.0	1.7	4.0	2.53	2.69	6
Austin Water Utility	Conservation & Reuse	Conservation Engineering		1.8	3.3	2.9	1.0	1.0	1.7	4.3	2.50	2.68	6
Public Information Office	Communications	Austin City Connection		2.0	4.1	2.3	1.6	1.0	1.7	5.0	2.70	2.68	6
Public Works Department	Capital Projects Delivery	Real Property Acquisition		4.0	2.8	1.8	1.0	3.0	2.1	3.3	2.54	2.68	6
Financial and Administrative	Support Services	Purchasing/M/WBE		2.8	2.6	2.5	1.6	1.0	2.1	4.0	2.55	2.68	6
Police Department	Investigations	Organized Crime		3.0	3.5	1.8	1.0	3.0	1.7	4.0	2.55	2.68	6
Communications and Technology	GATTN / COA Networks	Development		3.5	3.7	2.5	1.0	1.0	1.7	4.0	2.71	2.68	6
Health and Human Services	Social Services	Self Sufficiency Services		3.3	3.1	2.8	1.6	1.0	1.7	3.3	2.59	2.68	6
Fire Department	Operations Support	Cadet/In-service Training		2.5	3.5	1.8	1.6	5.0	1.7	4.3	2.70	2.67	6
Solid Waste Services	Customer Services	Service Order Center		2.5	3.5	1.6	1.0	3.0	2.1	4.3	2.53	2.67	6

**OCA Citywide Risk Assessment  
Overall Risk Ratings In Descending Order For All Departments'  
Activities**

<u>RiskGroup #</u>	<u>1</u>	<u>2</u>	<u>3</u>	<u>4</u>	<u>5</u>	<u>6</u>	<u>7</u>	<u>All</u>
Department Level Factors Weight	4	7	3	2	5	3	0	24
Activity Level Factors Weight	12	11	17	9	4	11	12	76
<b>Total Weight</b>	<b>16</b>	<b>18</b>	<b>20</b>	<b>11</b>	<b>9</b>	<b>14</b>	<b>12</b>	<b>100</b>

Department	Program	Activity	Risk Group Name	Size / Complexity	Change	Planning / Performance	Public Concern	Safety / Liability	Ethics	Mitigating Factors	Weighted Avg-Activity Factors	Weighted Avg-All Factors	RANK - 10ths
Austin Convention Cent	Support Services	Personnel/Training		2.0	2.3	3.1	2.7	1.0	1.7	4.0	2.59	2.67	6
Office of Economic Gro	Economic Growth & Redevelopment	Project Delivery		3.8	2.8	2.9	1.6	1.0	1.7	3.0	2.62	2.67	6
Public Works Departme	Support Services	Facility Expense		3.3	2.0	3.5	1.0	1.0	1.7	3.3	2.53	2.67	6
Parks and Recreation D	Natural Resources	Endangered Habitat Management		2.3	3.3	2.2	1.0	1.0	1.7	4.7	2.47	2.67	6
Management Services	Emergency Management	Response		2.5	4.6	2.2	1.6	1.0	1.7	3.7	2.62	2.67	6
Police Department	Support Services	Information Technology Support		2.3	2.3	2.9	1.0	1.0	2.1	4.7	2.54	2.67	6
Communications and T	GATTN / COA Networks	GAATN		3.8	3.4	2.8	1.0	1.0	1.7	3.7	2.70	2.67	6
Austin Water Utility	Support Services	Personnel/Training		3.5	2.6	2.4	1.6	1.0	1.7	3.3	2.47	2.66	6
Fire Department	One Stop Shop	Permit Center		2.0	5.0	2.2	1.0	1.0	2.1	4.3	2.68	2.66	6
Office of Economic Gro	Small Business Development	Training and Education		1.8	4.3	2.7	1.0	1.0	1.7	4.3	2.61	2.66	6
Public Information Offi	Communications	Television Production		2.8	2.2	3.4	1.6	1.0	1.7	4.3	2.67	2.66	6
Library Department	Public Services	Austin History Center		2.5	2.5	2.5	1.0	4.0	2.6	4.0	2.66	2.66	6
Communications and T	IT Projects and Development	IT Projects		3.0	2.9	3.3	1.0	2.0	2.1	3.3	2.68	2.66	6
Fire Department	One Stop Shop	Land Use Review		2.3	5.0	2.2	1.0	1.0	1.7	4.3	2.67	2.65	6
Solid Waste Services	Waste Diversion	Household Hazardous Waste		3.0	1.7	1.6	1.0	4.0	2.1	5.0	2.50	2.65	6
Parks and Recreation D	One Stop Shop	Land Use Review		2.0	3.7	2.2	1.0	1.0	1.7	4.3	2.45	2.65	6
Financial and Administr	Purchasing	Mail Services		3.3	3.9	1.0	1.0	3.0	1.7	4.3	2.51	2.65	6
Neighborhood Plannin	CAMPO	CAMPO		2.5	3.7	2.2	1.6	1.0	2.4	4.3	2.68	2.65	6
Communications and T	IT Operations	Desktop Support Group		3.5	3.5	2.0	1.0	1.0	2.1	4.3	2.67	2.65	6
Health and Human Serv	Communicable Disease Prevention	HIV Outreach & Prevention		3.8	3.1	2.2	1.0	1.0	2.1	3.5	2.55	2.65	6
Fleet Services	Fleet Service Centers	Scheduled Maintenance		3.0	4.0	1.0	1.0	1.0	2.1	5.0	2.54	2.64	6
Police Department	Operations Support	Planning and Analysis		3.0	3.7	2.2	1.0	3.0	1.7	3.0	2.50	2.64	6
Library Department	Support Services	Administration and Management		2.5	2.8	2.2	2.1	3.0	2.1	4.0	2.63	2.64	6
Library Department	Support Services	Information Technology Services		3.0	4.3	1.6	1.0	2.0	2.1	4.2	2.63	2.64	6
Neighborhood Housing	Support Services	Information Technology Support		2.5	2.6	2.8	1.0	1.0	2.1	3.8	2.47	2.64	6
Neighborhood Housing	Support Services	Personnel/Training		2.3	2.5	2.2	2.7	1.0	1.7	4.2	2.47	2.64	6
Neighborhood Plannin	One Stop Shop	Development Assistance Center		1.5	5.0	2.2	1.6	1.0	2.1	4.3	2.67	2.64	6
Communications and T	IT Projects and Development	IT Applications		3.5	1.8	3.3	1.0	1.0	2.1	4.0	2.66	2.64	6
Communications and T	Security	Security		2.5	3.5	2.7	1.0	1.0	2.1	4.3	2.66	2.64	6
Austin Water Utility	Conservation & Reuse	Water Reuse		2.0	3.5	2.3	1.0	1.0	1.7	4.3	2.43	2.63	5
Austin Water Utility	Distribution System Ops & Maint	Pump Station & Reservoir O & M		4.0	1.8	1.2	1.0	5.0	2.1	3.7	2.43	2.63	5

**OCA Citywide Risk Assessment  
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<u>RiskGroup #</u>	<u>1</u>	<u>2</u>	<u>3</u>	<u>4</u>	<u>5</u>	<u>6</u>	<u>7</u>	<u>All</u>
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<b>Total Weight</b>	<b>16</b>	<b>18</b>	<b>20</b>	<b>11</b>	<b>9</b>	<b>14</b>	<b>12</b>	<b>100</b>

Department	Program	Activity	Risk Group Name	Size / Complexity	Change	Planning / Performance	Public Concern	Safety / Liability	Ethics	Mitigating Factors	Weighted Avg-Activity Factors	Weighted Avg-All Factors	RANK - 10ths
Watershed Protection a	Water Quality Protection	Pollution Detection, Trckg & Forcstg		3.0	2.9	2.2	1.6	2.0	2.1	3.0	2.45	2.63	5
Watershed Protection a	Water Quality Protection	Pollution Prevention & Reduction		3.0	1.8	2.2	1.6	5.0	2.1	3.0	2.45	2.63	5
Public Works Departme	Child Safety	Safety Education		2.5	2.3	3.1	1.0	1.0	1.7	4.0	2.47	2.63	5
Financial and Administr	Treasury	Debt Management		2.8	4.3	1.2	1.6	1.0	1.7	4.3	2.49	2.63	5
Communications and T	Program Management	Program Support		3.3	4.4	2.4	1.0	1.0	1.7	3.5	2.64	2.63	5
Emergency Medical Ser	Training & Education	Quality Assurance & Improvement		2.5	3.5	2.9	1.0	1.0	1.7	3.7	2.57	2.63	5
Health and Human Serv	Communicable Disease Prevention	HIV Community Programs		3.8	2.9	2.2	1.0	1.0	2.1	3.5	2.53	2.63	5
Austin Water Utility	Collection System Support	Collection Inspection		2.0	4.4	1.6	1.6	3.0	2.1	3.0	2.42	2.62	5
Austin Water Utility	Conservation & Reuse	Water Conservation		3.5	3.6	1.0	1.6	1.0	1.7	4.0	2.42	2.62	5
Municipal Court	Municipal Court Operations	Customer Service		2.8	3.7	2.8	1.0	4.0	2.5	2.3	2.66	2.62	5
Fire Department	One Stop Shop	Commercial Building Plan Review		2.0	5.0	2.2	1.0	1.0	1.7	4.3	2.63	2.62	5
Fire Department	Support Services	Information Technology Support		2.3	4.6	1.8	1.0	1.0	2.1	4.7	2.63	2.62	5
Aviation Department	Airport Security and Operations	Airport Security		3.0	3.5	2.2	2.1	1.0	2.0	3.0	2.54	2.62	5
Aviation Department	Facilities Management	Grounds Maintenance		2.8	2.5	1.9	1.0	4.0	1.7	4.7	2.54	2.62	5
Public Works Departme	Support Services	Purchasing/M/WBE		2.8	2.5	3.3	1.0	1.0	2.1	2.8	2.46	2.62	5
Fleet Services	Support Services	Financial Monitoring/Budgeting		2.3	2.5	2.9	1.0	1.0	2.1	4.3	2.51	2.62	5
Police Department	Operations Support	Communications		3.0	3.7	2.1	1.0	2.0	2.1	3.0	2.47	2.62	5
Health and Human Serv	Social Services	Mental Health Services		3.3	3.6	1.6	1.6	1.0	1.7	4.0	2.51	2.62	5
Austin Water Utility	Conservation & Reuse	Enviro/Regulat Support/Land Mgmt		3.3	2.8	1.9	1.0	1.0	1.7	4.0	2.41	2.61	5
Small and Minority Bus	MBE/WBE Procurement Ordinance	Compliance		2.5	3.9	2.7	1.0	1.0	2.5	4.0	2.72	2.61	5
Solid Waste Services	Litter Abatement	Keep Austin Beautiful		2.0	1.2	3.6	1.0	1.0	2.1	4.3	2.45	2.61	5
Watershed Protection a	Creek Erosion Mitigation	Creek Erosion Mitigation		2.8	3.1	2.2	1.0	3.0	1.7	3.3	2.42	2.61	5
Neighborhood Housing	Support Services	Financial Monitoring/Budgeting		3.0	2.3	1.6	1.6	4.0	2.6	3.2	2.43	2.61	5
Neighborhood Plannin	Long-Range Planning	Urban Design		2.0	5.0	2.2	1.0	1.0	1.7	4.3	2.63	2.61	5
Austin Water Utility	Support Services	Financial Monitoring, Budgeting, CIP		3.8	2.3	2.2	2.1	1.0	2.4	2.2	2.39	2.60	5
Aviation Department	Airport Planning and Development	Design Construction and Planning		2.5	2.5	2.9	1.0	1.0	2.1	4.0	2.51	2.60	5
Watershed Protection a	Water Quality Protection	Water Quality Education		3.0	2.5	2.8	1.6	1.0	1.7	3.0	2.41	2.60	5
Public Works Departme	Support Services	Administration and Management		3.3	3.0	1.0	2.0	3.0	2.4	3.3	2.43	2.60	5
Management Services	Management Services	Integrity Office		2.0	5.0	2.2	1.0	1.0	1.0	4.3	2.53	2.60	5
Law Department	Advocacy & Dispute Resolution	Criminal Prosecution		2.5	3.5	2.8	1.0	2.0	2.5	4.0	2.74	2.60	5
Austin Water Utility	Distribution System Support	Utility Development Svcs - Distribution		2.3	2.5	2.5	1.0	1.0	2.1	4.0	2.38	2.59	5

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Department Level Factors Weight	4	7	3	2	5	3	0	24
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<b>Total Weight</b>	<b>16</b>	<b>18</b>	<b>20</b>	<b>11</b>	<b>9</b>	<b>14</b>	<b>12</b>	<b>100</b>

Department	Program	Activity	Risk Group Name	Size / Complexity	Change	Planning / Performance	Public Concern	Safety / Liability	Ethics	Mitigating Factors	Weighted Avg-Activity Factors	Weighted Avg-All Factors	RANK - 10ths
Austin Water Utility	Support Services	PIO/Community Services		2.8	2.3	2.4	1.0	1.0	2.0	4.0	2.38	2.59	5
Aviation Department	Support Services	Personnel/Training		2.3	2.8	2.2	2.7	3.0	1.7	3.3	2.50	2.59	5
Solid Waste Services	Litter Abatement	Street Cleaning		3.0	1.0	3.4	1.0	4.0	2.1	2.7	2.42	2.59	5
Solid Waste Services	Waste Diversion	Materials Recovery Facility		2.8	1.0	1.7	1.6	5.0	2.1	4.5	2.42	2.59	5
Library Department	Public Services	Youth Services		3.0	2.3	2.8	1.6	3.0	1.7	3.5	2.57	2.59	5
Neighborhood Housing	Housing Development	S.M.A.R.T. Housing		3.0	3.3	1.0	2.1	1.0	2.1	4.0	2.41	2.59	5
Communications and T	IT Projects and Development	GIS Services		3.5	4.4	1.6	1.0	1.0	1.7	4.0	2.59	2.59	5
Austin Water Utility	Billing/Customer Service	Customer Care (One Call Center)		2.5	2.3	2.2	1.0	1.0	2.1	4.3	2.37	2.58	5
Austin Convention Cent	Support Services	Information Technology Support		2.5	4.5	2.4	1.0	1.0	1.4	3.3	2.47	2.58	5
Watershed Protection a	Infrastructure & Waterway Maint	Erosion Repair		2.5	2.2	2.1	1.0	4.0	1.7	4.0	2.38	2.58	5
Financial and Administr	Support Services	Information Technology Support		3.0	3.5	1.0	1.0	1.0	2.5	4.3	2.42	2.58	5
Police Department	Neighborhood-Based Policing	Community Partnerships		3.0	3.1	1.8	1.6	3.0	1.7	3.2	2.42	2.58	5
Neighborhood Plannin	Support Services	Administration and Management		2.0	2.6	2.8	2.0	1.0	2.5	4.0	2.59	2.58	5
Emergency Medical Ser	Training & Education	Academy		2.0	1.5	3.8	1.6	1.0	1.7	4.0	2.50	2.58	5
Health and Human Serv	Animal Services	No Kill Millennium		3.3	1.8	1.6	1.6	4.0	2.5	3.7	2.46	2.58	5
Health and Human Serv	Youth Services	Youth Development		3.8	2.6	2.2	1.0	1.0	1.7	3.7	2.46	2.58	5
Austin Water Utility	Distribution System Support	GIS Service Distribution		2.8	2.3	2.2	1.0	1.0	1.7	4.3	2.36	2.57	5
Community Care Depar	Support Services	PIO/Community Services		1.5	3.9	2.2	1.0	1.0	1.7	3.7	2.29	2.57	5
Fleet Services	Support Services	Facility Expense		2.0	1.4	3.5	1.0	1.0	1.4	5.0	2.45	2.57	5
Management Services	Support Services	Administration and Management		2.8	1.7	2.8	2.1	1.0	2.1	3.7	2.49	2.57	5
Communications and T	IT Operations	Enterprise Support Group		3.0	3.7	1.8	1.0	1.0	2.1	4.3	2.57	2.57	5
Emergency Medical Ser	Support Services	Purchasing/M/WBE		1.8	1.0	3.5	1.0	4.0	2.4	3.8	2.49	2.57	5
Austin Water Utility	Collection System Support	Pretreatment-Industrial Waste Control		3.0	2.9	1.6	1.0	1.0	2.0	4.0	2.34	2.56	4
Small and Minority Bus	Prof. Svcs Contract Compliance	Professional Services Solicitation		1.5	3.5	2.3	2.7	1.0	2.5	4.3	2.66	2.56	4
Fire Department	Operations Support	Recruiting		2.5	1.4	3.0	2.1	3.0	1.7	4.0	2.55	2.56	4
Solid Waste Services	Technical Assistance	Routing		2.3	1.7	2.8	1.0	3.0	1.4	4.3	2.38	2.56	4
Watershed Protection a	Support Services	Financial Monitoring/Budgeting		3.3	2.0	2.2	1.6	3.0	2.1	2.7	2.36	2.56	4
Neighborhood Housing	Support Services	Facility Expense		2.3	1.5	2.9	1.0	1.0	1.7	4.5	2.37	2.56	4
Emergency Medical Ser	Support Services	Information Technology Support		2.0	3.7	2.8	1.0	1.0	1.7	3.7	2.47	2.56	4
Health and Human Serv	Communicable Disease Prevention	Tuberculosis Elimination		3.5	1.8	2.8	1.0	1.0	1.4	4.0	2.43	2.56	4
Aviation Department	Facilities Management	Facilities Services		3.3	2.5	1.8	1.6	4.0	2.1	3.0	2.45	2.55	4

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Department	Program	Activity	Risk Group Name	Size / Complexity	Change	Planning / Performance	Public Concern	Safety / Liability	Ethics	Mitigating Factors	Weighted Avg-Activity Factors	Weighted Avg-All Factors	RANK - 10ths	
				<b>RISK RATINGS</b>										
Public Works Department	Regulations, Stds & Enforcement	Standards Development & Maint		2.8	2.9	2.5	1.0	1.0	2.1	3.0	2.37	2.55	4	
Office of the City Clerk	Management of OCC Records	Management of OCC Records		2.0	3.9	2.2	1.0	1.0	1.7	5.0	2.58	2.55	4	
Solid Waste Services	Support Services	Administration and Management		3.0	1.2	2.2	2.6	1.0	2.4	3.3	2.36	2.54	4	
Solid Waste Services	Technical Assistance	Commercial/MF Waste Reduction		2.3	1.0	3.4	1.0	1.0	1.7	4.3	2.36	2.54	4	
Watershed Protection a	Support Services	Personnel/Training		2.8	2.0	2.2	1.6	1.0	1.7	4.0	2.33	2.54	4	
Watershed Protection a	Water Quality Protection	Salamander Research Program		2.5	4.5	1.0	1.6	3.0	1.7	3.0	2.33	2.54	4	
Library Department	Public Services	Reference Services		3.0	2.6	2.2	1.6	2.0	2.0	3.7	2.50	2.54	4	
Health and Human Serv	Communicable Disease Prevention	Immunization		3.5	2.9	1.6	1.0	2.0	1.7	3.8	2.41	2.54	4	
Health and Human Serv	Support Services	Administration and Management		4.0	2.8	2.2	1.0	1.0	1.6	3.0	2.41	2.54	4	
Small and Minority Bus	Support Services	Administration and Management		2.3	3.5	1.7	1.6	1.0	2.7	4.7	2.62	2.53	4	
Watershed Protection a	Infrastructure & Waterway Maint	Creek Vegetation Control		3.5	3.1	1.2	2.3	1.0	1.7	3.0	2.32	2.53	4	
Public Works Department	Support Services	Financial Monitoring/Budgeting		3.3	2.9	2.2	2.1	1.0	2.1	2.0	2.34	2.53	4	
Fleet Services	Support Services	Administration and Management		2.8	1.2	1.4	1.6	4.0	2.8	4.3	2.39	2.53	4	
Financial and Administr	Building Services	Electrical		3.0	2.9	1.4	1.0	3.0	2.1	3.7	2.36	2.53	4	
Health and Human Serv	Healthy Communities	Public Health Nursing		3.0	2.8	1.8	1.6	2.0	1.7	3.7	2.39	2.53	4	
Austin Water Utility	Collection System Support	System Planning - Collection		2.5	3.3	1.8	2.1	1.0	1.7	3.0	2.29	2.52	4	
Austin Water Utility	Distribution System Support	Distribution Technical Support		2.5	1.8	2.6	1.0	1.0	1.7	4.0	2.29	2.52	4	
Austin Water Utility	Distribution System Support	System Planning-Distribution		2.8	3.1	1.6	1.0	1.0	1.7	4.0	2.29	2.52	4	
Fire Department	Operations Support	Communications Section		3.0	3.5	2.3	1.0	2.0	2.1	3.0	2.50	2.52	4	
Fire Department	Support Services	Facility Expense		3.0	3.2	2.5	1.0	1.0	1.7	3.7	2.50	2.52	4	
Austin Convention Cent	Support Services	Financial Monitoring/Budgeting		2.8	1.0	2.2	2.7	1.0	2.6	3.7	2.39	2.52	4	
Fleet Services	Vehicle Support Services	Make Ready		2.3	1.2	3.1	1.0	1.0	2.1	4.3	2.38	2.52	4	
Police Department	Neighborhood-Based Policing	Neighborhood-Based Policing Support		3.0	2.5	1.7	2.1	4.0	1.7	2.7	2.34	2.52	4	
Communications and T	CTECC Facility	CTECC IT Support		3.3	3.1	2.4	1.0	1.0	1.7	3.7	2.50	2.52	4	
Communications and T	Wireless Operations	Field Operations		3.8	3.5	1.8	1.0	1.0	1.7	3.7	2.50	2.52	4	
Solid Waste Services	Support Services	Facility Expenses		3.5	1.5	2.2	1.0	1.0	1.7	4.0	2.32	2.51	4	
Austin Convention Cent	Support Services	Administration and Management		2.8	1.7	2.1	1.6	1.0	2.5	4.0	2.38	2.51	4	
Watershed Protection a	Flood Hazard Mitigation	Creek Flood Hazard Mitigation		2.5	2.0	2.4	2.1	1.0	1.7	3.3	2.29	2.51	4	
Office of Economic Gro	Support Services	Facilities Expense		2.0	2.4	2.9	1.0	1.0	1.7	4.3	2.41	2.51	4	
Financial and Administr	Purchasing	Inventory Services		3.0	1.9	1.0	1.0	4.0	2.4	4.3	2.33	2.51	4	
Library Department	Library Collection Services	Collection Support		2.8	1.2	2.2	1.0	2.0	3.2	4.3	2.46	2.51	4	

**OCA Citywide Risk Assessment  
Overall Risk Ratings In Descending Order For All Departments'  
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<u>RiskGroup #</u>	<u>1</u>	<u>2</u>	<u>3</u>	<u>4</u>	<u>5</u>	<u>6</u>	<u>7</u>	<u>All</u>
Department Level Factors Weight	4	7	3	2	5	3	0	24
Activity Level Factors Weight	12	11	17	9	4	11	12	76
<b>Total Weight</b>	<b>16</b>	<b>18</b>	<b>20</b>	<b>11</b>	<b>9</b>	<b>14</b>	<b>12</b>	<b>100</b>

Department	Program	Activity	Risk Group Name	Size / Complexity	Change	Planning / Performance	Public Concern	Safety / Liability	Ethics	Mitigating Factors	Weighted Avg-Activity Factors	Weighted Avg-All Factors	RANK - 10ths
											RISK RATINGS		
Health and Human Serv	Animal Services	Animal Control		3.5	1.0	1.6	1.6	5.0	2.4	3.3	2.37	2.51	4
Health and Human Serv	Support Services	Personnel/Training		3.3	1.5	2.2	2.7	3.0	1.4	3.0	2.37	2.51	4
Aviation Department	Support Services	Tenant Management		2.5	2.9	2.2	2.1	1.0	2.1	3.0	2.38	2.50	4
Solid Waste Services	Support Services	Information Technology Support		1.8	2.3	2.2	1.0	1.0	2.8	4.0	2.30	2.50	4
Public Works Departme	Support Services	Personnel/Training		3.3	2.2	1.6	1.6	3.0	1.7	3.3	2.30	2.50	4
Financial and Administr	Support Services	Financial Monitoring/Budgeting		1.8	2.5	2.5	1.6	1.0	2.5	3.3	2.32	2.50	4
Office of the City Clerk	Austin Records Management	Austin Records Management		2.5	4.3	2.2	1.6	1.0	1.4	3.7	2.51	2.50	4
Austin Water Utility	Distribution System Support	Distribution Dispatch Operations		2.8	1.8	2.0	1.0	1.0	1.7	4.3	2.25	2.49	4
Fire Department	Support Services	Administration and Management		2.8	2.8	1.6	1.0	3.0	2.1	4.3	2.46	2.49	4
Public Works Departme	Child Safety	School Crossing Guards		3.3	1.2	1.8	1.0	5.0	1.4	4.0	2.29	2.49	4
Communications and T	CTECC Facility	CTECC-Facility Operations		4.0	3.1	2.2	1.0	1.0	1.7	3.0	2.46	2.49	4
Austin Water Utility	Collection System Support	On-Site Sewage Facilities		2.0	2.5	2.3	1.0	1.0	1.7	4.0	2.24	2.48	4
Austin Water Utility	Distribution System Support	Distribution Lab		2.5	2.3	1.8	1.0	1.0	1.7	4.3	2.24	2.48	4
Austin Water Utility	WW Treatment Support Services	WW Enviro/Regulat Support		2.5	1.8	2.4	1.0	1.0	2.1	3.7	2.24	2.48	4
Office of Economic Gro	Small Business Development	Program Admin and Evaluation		2.8	1.6	1.8	1.0	3.0	2.4	4.3	2.37	2.48	4
Office of Economic Gro	Support Services	Administration and Management		2.5	2.2	2.2	1.6	1.0	2.1	4.0	2.37	2.48	4
Public Works Departme	Capital Projects Delivery	Mgmt of State/Federal Programs		2.8	3.3	1.2	1.0	1.0	1.7	4.3	2.28	2.48	3
Police Department	Neighborhood-Based Policing	East Side Story		2.8	2.5	1.5	1.0	1.0	2.1	4.3	2.29	2.48	3
Communications and T	CTECC Facility	APD LAN Support		3.5	2.5	2.4	1.0	1.0	1.7	3.7	2.45	2.48	3
Communications and T	CTECC Facility	CTECC Systems		4.3	3.1	2.4	1.0	1.0	1.7	2.3	2.45	2.48	3
Communications and T	IT Operations	Voice Operations		3.3	2.2	2.8	1.0	1.0	1.7	3.7	2.45	2.48	3
Communications and T	One Stop Shop	Land Use Review		2.0	3.7	2.2	1.0	1.0	1.7	4.3	2.45	2.48	3
Health and Human Serv	Environmental & Consumer Health	Information and Referral		2.3	2.3	2.2	1.0	1.0	2.1	4.3	2.33	2.48	3
Fire Department	Support Services	PIO/Community Services		1.3	3.7	2.9	1.0	1.0	1.7	4.0	2.43	2.47	3
Watershed Protection a	Support Services	PIO/Community Services		2.3	2.7	2.2	1.0	1.0	1.7	3.7	2.24	2.47	3
Watershed Protection a	Water Quality Protection	Water Qlty Plng and Intergovtl Compl		2.5	2.9	2.5	1.6	1.0	2.1	2.0	2.24	2.47	3
Police Department	Professional Standards	Accreditation Inspections		2.3	1.2	3.4	1.0	1.0	2.1	3.3	2.28	2.47	3
Health and Human Serv	Support Services	Facility Expense		3.3	1.9	2.4	1.0	1.0	1.7	3.7	2.32	2.47	3
Watershed Protection a	Watershed Master Planning	Watershed Protection Master Plng		2.0	3.9	1.0	1.6	1.0	1.7	4.0	2.22	2.46	3
Law Department	One Stop Shop	One Stop Shop Support		1.5	5.0	2.2	1.0	1.0	1.7	4.3	2.55	2.46	3
Library Department	Library Collection Services	Cataloging Support		2.8	2.6	2.4	1.0	1.0	1.7	4.0	2.39	2.46	3

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<b>Total Weight</b>	<b>16</b>	<b>18</b>	<b>20</b>	<b>11</b>	<b>9</b>	<b>14</b>	<b>12</b>	<b>100</b>

Department	Program	Activity	Risk Group Name	Size / Complexity	Change	Planning / Performance	Public Concern	Safety / Liability	Ethics	Mitigating Factors	Weighted Avg-Activity Factors	Weighted Avg-All Factors	RANK - 10ths
Communications and T	CTECC Facility	AFD LAN Support		2.5	2.5	3.0	1.0	1.0	1.7	3.7	2.42	2.46	3
Health and Human Serv	Communicable Disease Prevention	STD Control		2.8	2.3	2.2	1.0	1.0	1.4	4.3	2.30	2.46	3
Austin Water Utility	Water Treatment Support	Water Enviro. & Regulatory Support		3.0	1.6	1.9	1.0	1.0	2.1	3.7	2.20	2.45	3
Small and Minority Bus	MBE/WBE Procurement Ordinance	MBE/WBE Program Outreach		1.8	4.3	2.3	1.0	1.0	2.1	4.0	2.51	2.45	3
Public Information Offi	Communications	Media Relations		1.8	3.2	2.2	1.6	1.0	1.7	4.3	2.39	2.45	3
Public Works Departme	Street Preventive Maintenance	Engineering Support Services		3.8	1.4	1.6	1.0	1.0	2.0	4.0	2.24	2.45	3
Financial and Administr	Internal Audit	Audits and Special Projects		1.5	2.9	2.2	1.0	1.0	1.7	4.3	2.25	2.45	3
Library Department	Support Services	Financial Monitoring/Budgeting		2.0	1.0	2.7	1.6	5.0	2.4	3.3	2.38	2.45	3
Health and Human Serv	Environmental & Consumer Health	Rodent/Vector Control		2.0	2.3	2.2	1.0	1.0	2.1	4.3	2.29	2.45	3
Health and Human Serv	Support Services	Vehicle/Equipment Maintenance		2.3	2.3	2.7	1.0	1.0	1.7	3.7	2.29	2.45	3
Austin Water Utility	Collection System Support	Collection Dispatch Operations		2.8	2.5	1.2	1.6	1.0	1.7	4.0	2.18	2.44	3
Watershed Protection a	Brownfields Program	Brownfields		2.5	1.6	2.3	1.0	1.0	2.1	3.7	2.20	2.44	3
Watershed Protection a	Infrastructure & Waterway Maint	Town Lake Cleanup		2.3	2.2	2.6	1.0	1.0	1.7	3.3	2.20	2.44	3
Watershed Protection a	Water Quality Protection	Stormwater Treatment		2.5	2.5	2.2	1.0	1.0	2.1	3.0	2.20	2.44	3
Office of Economic Gro	Support Services	Financial Monitoring/Budgeting		2.5	2.4	2.2	1.0	1.0	2.4	3.7	2.32	2.44	3
Fleet Services	Vehicle Support Services	Fuel Management		3.0	1.9	1.2	1.0	1.0	3.2	4.0	2.28	2.44	3
Communications and T	IT Operations	Data Center		4.0	1.5	2.4	1.0	1.0	1.7	3.7	2.39	2.44	3
Solid Waste Services	Support Services	Financial Monitoring/Budgeting		2.3	1.5	2.2	2.7	1.0	2.5	2.7	2.21	2.43	3
Financial and Administr	Telecom and Regulatory Affairs	Community Technology Initiatives		3.5	1.2	1.8	1.0	1.0	1.7	4.3	2.22	2.43	3
Office of the City Clerk	Support Services	Personnel/Training		1.8	2.1	2.9	2.7	1.0	1.7	3.7	2.42	2.43	3
Solid Waste Services	Litter Abatement	Litter Control		3.3	2.1	1.0	1.0	3.0	2.1	3.7	2.20	2.42	3
Solid Waste Services	Support Services	Personnel/Training		2.5	2.1	1.0	1.6	3.0	2.1	4.0	2.20	2.42	3
Watershed Protection a	Support Services	Facility Expense		2.5	1.6	2.2	1.0	1.0	1.7	4.0	2.17	2.42	3
Watershed Protection a	Water Quality Protection	Stormwater Quality Evaluation		3.3	2.2	2.2	1.6	1.0	2.1	2.0	2.17	2.42	3
Communications and T	IT Operations	WAN Operations		3.8	1.5	1.8	1.0	4.0	1.7	3.7	2.37	2.42	3
Watershed Protection a	Support Services	Purchasing/M/WBE		2.3	1.6	2.2	1.0	1.0	2.1	3.8	2.16	2.41	3
Financial and Administr	Building Services	Heating, Ventilation & Cooling		3.5	2.3	1.2	1.0	2.0	1.7	3.7	2.20	2.41	3
Health and Human Serv	Support Services	Financial Monitoring/Budgeting		3.5	2.0	1.8	1.0	2.0	2.1	3.0	2.24	2.41	3
Fire Department	Support Services	Purchasing/M/WBE		2.0	3.0	2.2	1.0	1.0	2.1	4.0	2.34	2.40	3
Solid Waste Services	Support Services	Purchasing MBE/WBE		2.3	1.2	2.5	1.0	1.0	2.1	3.8	2.17	2.40	3
Neighborhood Plannin	Long-Range Planning	Annexation		2.0	2.5	2.4	1.0	1.0	2.1	4.3	2.36	2.40	3

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Department	Program	Activity	Risk Group Name	Size / Complexity	Change	Planning / Performance	Public Concern	Safety / Liability	Ethics	Mitigating Factors	Weighted Avg-Activity Factors	Weighted Avg-All Factors	RANK - 10ths
Office of the City Clerk	Council & Committee Support	Council Meetings		1.8	3.0	2.5	1.0	4.0	1.4	3.7	2.38	2.40	3
Municipal Court	Municipal Court Operations	Warrant Collections		2.3	2.2	2.9	1.0	3.0	2.6	2.3	2.36	2.39	3
Aviation Department	Support Services	Information Technology Support		3.0	2.8	1.6	1.0	1.0	2.1	3.3	2.24	2.39	3
Aviation Department	Support Services	PIO/Community Services		2.5	2.3	2.8	1.0	1.0	1.7	3.0	2.24	2.39	3
Aviation Department	Support Services	Purchasing/M/WBE		2.3	1.4	2.2	1.6	3.0	2.1	3.5	2.24	2.39	3
Financial and Administr	Building Services	Safety		2.8	1.0	1.7	1.0	1.0	2.5	4.3	2.17	2.39	3
Neighborhood Housing	Grants Administration	Planning		2.5	1.9	2.2	1.6	1.0	1.7	3.2	2.14	2.39	3
Health and Human Serv	One Stop Shop	One Time Inspection		2.0	2.5	2.2	1.0	1.0	2.1	3.7	2.21	2.39	3
Aviation Department	Airport Security and Operations	Operations		4.0	2.9	1.6	1.0	1.0	1.7	2.5	2.22	2.38	3
Public Information Offi	Customer Services	Information Resource Management		1.3	4.6	1.0	1.0	1.0	1.7	5.0	2.30	2.38	3
Human Resources Dep	Risk Management	Corporate Safety Office		2.8	1.4	3.9	1.0	1.0	1.7	3.3	2.45	2.38	2
Parks and Recreation D	Support Services	Financial Monitoring/Budgeting		2.0	1.2	2.5	1.6	1.0	2.1	3.2	2.09	2.38	2
Law Department	Opinions and Advice	General Counsel		3.0	2.9	1.9	2.0	3.0	2.1	2.7	2.45	2.38	2
Communications and T	Program Management	Help Desk		3.0	4.3	1.0	1.0	1.0	1.7	3.7	2.32	2.38	2
Communications and T	Wireless Operations	Shop Operations		3.5	1.4	2.5	1.0	1.0	1.7	3.7	2.32	2.38	2
Health and Human Serv	One Stop Shop	Commercial Building Plan Review		2.3	2.5	2.2	1.0	1.0	1.7	3.7	2.20	2.38	2
Office of the City Clerk	Austin Records Management	Records Center		3.3	2.6	2.3	1.0	1.0	1.4	3.7	2.36	2.38	2
Solid Waste Services	Support Services	PIO/Community Services		2.5	1.4	2.2	1.0	1.0	1.7	4.0	2.13	2.37	2
Public Information Offi	Communications	Internal Communication		1.5	3.2	2.2	1.0	1.0	1.7	4.3	2.29	2.37	2
Management Services	Support Services	Financial Monitoring/Budgeting		1.8	1.5	2.2	2.1	1.0	2.5	3.7	2.22	2.37	2
Emergency Medical Ser	Operations	STAR Flight		2.5	2.3	1.8	1.0	1.0	1.7	4.3	2.22	2.37	2
Emergency Medical Ser	Support Services	PIO/Community Services		1.5	1.2	3.4	1.0	1.0	1.7	4.0	2.22	2.37	2
Fire Department	Support Services	Personnel/Training		1.8	2.3	2.8	1.6	1.0	1.7	3.7	2.29	2.36	2
Watershed Protection a	Flood Hazard Mitigation	Regnl Stormwater Mgmt Evaluation		2.3	2.0	2.2	1.6	1.0	1.7	3.0	2.09	2.36	2
Neighborhood Plannin	Long-Range Planning	Historic Preservation		1.5	2.5	2.7	1.0	1.0	1.7	4.3	2.30	2.36	2
Fire Department	Emergency Prevention	Investigations		2.5	1.5	2.0	1.0	2.0	2.5	4.0	2.28	2.35	2
Public Information Offi	Support Services	Purchasing		1.5	1.5	3.5	1.0	1.0	2.1	3.3	2.25	2.34	2
Management Services	Support Services	Personnel/Training		1.8	1.5	2.8	1.6	1.0	1.7	3.7	2.18	2.34	2
Library Department	Support Services	PIO/Community Services		2.3	1.6	2.9	1.0	1.0	1.7	3.7	2.24	2.34	2
Neighborhood Plannin	Zoning Case Management	Zoning Case Management		2.3	2.6	1.6	2.1	1.0	2.1	3.7	2.28	2.34	2
Communications and T	Wireless Operations	Installation Operations		3.3	1.2	2.4	1.0	1.0	2.1	3.7	2.26	2.34	2

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Department	Program	Activity	Risk Group Name	Size / Complexity	Change	Planning / Performance	Public Concern	Safety / Liability	Ethics	Mitigating Factors	Weighted Avg-Activity Factors	Weighted Avg-All Factors	RANK - 10ths
<b>RISK RATINGS</b>													
Municipal Court	Judiciary	Class C Proceedings		2.5	1.0	2.8	1.6	3.0	2.1	3.0	2.28	2.33	2
Fire Department	Emergency Prevention	Fire Code and On-site Inspections		2.5	2.1	1.5	1.6	2.0	2.1	4.0	2.25	2.33	2
Fleet Services	Vehicle Support Services	Rental Pool		2.5	1.4	1.7	1.0	1.0	2.1	4.3	2.13	2.33	2
Neighborhood Housing	Support Services	Public Information & Marketing		2.3	2.1	2.2	1.0	1.0	1.7	3.2	2.07	2.33	2
Office of the City Clerk	Support Services	Purchasing/M/WBE		1.8	1.2	2.9	1.0	1.0	2.4	4.3	2.29	2.33	2
Municipal Court	Downtown Austin Community Court	Community Service Restitution		2.5	1.5	2.2	1.0	1.0	2.1	4.3	2.26	2.32	2
Municipal Court	Downtown Austin Community Court	Court Services		1.5	1.2	2.2	1.0	5.0	2.1	4.3	2.26	2.32	2
Solid Waste Services	Landfill Monitoring and Closure	Landfill Monitoring		1.5	1.5	2.2	1.6	1.0	2.1	3.7	2.07	2.32	2
Solid Waste Services	Technical Assistance	Research and Development		1.3	2.3	1.0	1.0	1.0	3.2	4.3	2.07	2.32	2
Solid Waste Services	Landfill Monitoring and Closure	Closure & Post Closure Care		2.0	1.4	2.2	1.0	1.0	2.1	3.7	2.05	2.31	2
Human Resources Dep	Risk Management	ROCIP		2.3	1.0	3.4	1.0	1.0	2.5	3.7	2.36	2.31	2
Fire Department	Fire/Emergency Response	AFR Bergstrom		3.0	1.0	2.2	1.0	3.0	1.7	3.7	2.21	2.30	2
Neighborhood Plannin	Support Services	Purchasing/M/WBE		1.3	1.9	2.9	1.0	1.0	2.1	4.0	2.22	2.30	2
Emergency Medical Ser	Support Services	Personnel/Training		1.8	1.0	2.4	1.6	1.0	2.1	4.0	2.13	2.30	2
Emergency Medical Ser	Training & Education	CPR/First Aid		1.8	1.0	2.2	1.0	1.0	2.5	4.3	2.13	2.30	2
Municipal Court	Municipal Court Operations	Civil Parking		2.0	2.0	2.5	1.0	3.0	2.1	3.0	2.22	2.29	2
Small and Minority Bus	Support Services	Facility Expense		2.3	3.5	1.5	1.0	1.0	1.7	4.3	2.30	2.29	2
Small and Minority Bus	Support Services	Information Technology Support		1.0	3.3	1.6	1.0	1.0	2.8	4.7	2.30	2.29	2
Fire Department	Support Services	Vehicle/Equipment Maintenance		2.3	2.6	1.8	1.0	1.0	2.1	3.7	2.20	2.29	2
Small and Minority Bus	Prof. Svcs Contract Compliance	Professional Services Compliance		1.8	2.9	1.6	1.6	1.0	2.1	4.3	2.28	2.27	2
Fire Department	Operations Support	Medical/Quality Compliance		2.8	1.0	2.2	1.0	3.0	1.7	3.7	2.17	2.27	2
Human Resources Dep	Risk Management	Drug and Alcohol Testing		2.3	1.5	3.5	1.0	1.0	2.1	3.0	2.30	2.27	2
Municipal Court	Support Services	Financial Monitoring/Budgeting		2.3	1.7	2.8	1.6	3.0	2.6	1.5	2.18	2.26	2
Human Resources Dep	Support Services	Administration and Management		2.0	2.1	1.7	2.1	4.0	2.1	3.3	2.29	2.26	2
Emergency Medical Ser	Support Services	Financial Monitoring/Budgeting		2.0	1.5	2.2	1.6	1.0	2.7	2.7	2.08	2.26	2
Municipal Court	Downtown Austin Community Court	DACC Operations/Coordination		2.5	1.0	2.2	1.0	1.0	2.0	4.3	2.17	2.25	2
Municipal Court	Municipal Court Operations	Caseflow Management		2.3	1.4	2.8	1.0	1.0	2.1	3.3	2.17	2.25	2
Small and Minority Bus	MBE/WBE Procurement Ordinance	MBE/WBE Certification		1.3	4.2	1.8	1.0	1.0	2.1	3.7	2.25	2.25	2
Library Department	Support Services	Purchasing/M/WBE		2.3	1.7	2.2	1.0	1.0	2.1	3.5	2.12	2.25	2
Communications and T	Wireless Operations Support	Operations Management		3.0	2.3	1.8	1.0	1.0	1.7	3.3	2.14	2.25	2
Municipal Court	Downtown Austin Community Court	Rehabilitation Services		3.5	1.0	1.6	1.0	1.0	1.7	4.3	2.16	2.24	2

**OCA Citywide Risk Assessment  
Overall Risk Ratings In Descending Order For All Departments'  
Activities**

<u>RiskGroup #</u>	<u>1</u>	<u>2</u>	<u>3</u>	<u>4</u>	<u>5</u>	<u>6</u>	<u>7</u>	<u>All</u>
Department Level Factors Weight	4	7	3	2	5	3	0	24
Activity Level Factors Weight	12	11	17	9	4	11	12	76
<b>Total Weight</b>	<b>16</b>	<b>18</b>	<b>20</b>	<b>11</b>	<b>9</b>	<b>14</b>	<b>12</b>	<b>100</b>

Department	Program	Activity	Risk Group Name	Size / Complexity	Change	Planning / Performance	Public Concern	Safety / Liability	Ethics	Mitigating Factors	Weighted Avg-Activity Factors	Weighted Avg-All Factors	RANK - 10ths
Municipal Court	Support Services	Administration and Management		2.5	1.4	2.8	1.0	4.0	2.1	2.0	2.16	2.24	2
Office of the City Clerk	Mayor & Council Support	Mayor & Council Support		3.0	1.8	2.2	1.0	1.0	1.4	3.7	2.17	2.24	2
Municipal Court	Support Services	Personnel/Training		2.0	2.8	2.8	1.6	1.0	1.7	2.0	2.14	2.23	2
Fire Department	Operations Support	Airmask/Operations Research		2.3	2.1	1.4	1.0	3.0	1.7	4.0	2.12	2.23	1
Communications and T	Program Management	Training		2.5	1.2	2.2	1.6	1.0	1.7	3.7	2.12	2.23	1
Communications and T	Wireless Operations Support	Inventory Management		2.8	1.4	2.2	1.0	1.0	1.7	3.7	2.12	2.23	1
Health and Human Serv	Healthy Communities	Family Health		2.5	1.4	1.8	1.6	1.0	1.7	3.3	2.00	2.23	1
Office of the City Clerk	Support Services	Administration and Management		2.3	1.9	1.5	2.1	1.0	1.4	4.3	2.16	2.23	1
Fire Department	Operations Support	Safety Operations		2.3	1.7	1.8	1.0	3.0	1.7	3.7	2.11	2.22	1
Public Information Offi	Communications	Editorial Services		1.5	1.2	2.7	1.6	1.0	1.7	3.7	2.08	2.21	1
Human Resources Dep	Community Services	Compliance		2.3	1.4	2.8	1.0	3.0	1.7	3.3	2.22	2.21	1
Human Resources Dep	Employee Relations	Personnel Policies & Procedures		2.5	1.4	2.8	1.6	1.0	2.1	3.0	2.22	2.21	1
Human Resources Dep	Employment Services	Recruitment and Placements		2.3	1.5	2.4	1.6	1.0	2.1	3.7	2.22	2.21	1
Neighborhood Plannin	Support Services	Facility Expense		2.0	1.7	2.2	1.0	1.0	1.7	4.0	2.11	2.21	1
Municipal Court	Municipal Court Operations	Case Initiation		2.0	1.5	2.8	1.0	1.0	1.7	3.3	2.11	2.20	1
Municipal Court	Municipal Court Operations	Marshal Services		2.3	1.8	2.2	1.0	4.0	2.1	2.3	2.11	2.20	1
Human Resources Dep	Support Services	Facility Expense		2.5	1.5	2.9	1.0	1.0	1.7	3.3	2.21	2.20	1
Fleet Services	Vehicle Support Services	Taxi		2.8	1.4	1.0	1.0	1.0	1.7	4.3	1.96	2.20	1
Law Department	Advocacy & Dispute Resolution	Civil Litigation		3.0	1.2	2.9	1.0	1.0	1.7	3.0	2.20	2.19	1
Municipal Court	Municipal Court Operations	Records Management		2.3	1.8	2.8	1.0	1.0	2.1	2.3	2.08	2.18	1
Municipal Court	Municipal Court Operations	Warrant Processing		2.3	2.0	2.2	1.0	3.0	2.1	2.3	2.08	2.18	1
Law Department	Opinions and Advice	Contract Development, Prep, Review		2.5	2.8	2.1	1.0	1.0	2.1	2.7	2.17	2.17	1
Municipal Court	Support Services	Facility Expense		2.5	2.3	2.2	1.0	1.0	1.7	2.7	2.05	2.16	1
Fire Department	Operations Support	Planning and Research		2.0	1.0	2.2	1.0	1.0	1.7	4.0	2.00	2.14	1
Solid Waste Services	Waste Diversion	CESQG		1.5	1.0	1.5	1.0	1.0	1.7	4.3	1.83	2.14	1
Emergency Medical Ser	Support Services	Administration and Management		2.0	1.4	2.2	1.6	1.0	2.1	2.3	1.91	2.13	1
Neighborhood Plannin	Support Services	Personnel/Training		1.3	1.4	1.5	2.7	1.0	1.7	4.0	1.99	2.12	1
Small and Minority Bus	Support Services	Financial Monitoring/Budgeting		1.3	3.0	1.0	1.0	1.0	2.5	4.3	2.07	2.11	1
Law Department	Support Services	Purchasing/M/WBE		1.8	1.5	2.5	1.0	1.0	2.1	3.3	2.07	2.09	1
Office of the City Clerk	Council & Committee Support	Boards/Commissions		1.5	1.4	2.2	1.0	1.0	1.4	4.3	1.97	2.09	1
Library Department	Support Services	Vehicle/Equipment Maintenance		1.8	1.0	2.1	1.0	1.0	1.7	3.7	1.89	2.08	1

**OCA Citywide Risk Assessment  
Overall Risk Ratings In Descending Order For All Departments'  
Activities**

<u>RiskGroup #</u>	<u>1</u>	<u>2</u>	<u>3</u>	<u>4</u>	<u>5</u>	<u>6</u>	<u>7</u>	<u>All</u>
Department Level Factors Weight	4	7	3	2	5	3	0	24
Activity Level Factors Weight	12	11	17	9	4	11	12	76
<b>Total Weight</b>	<b>16</b>	<b>18</b>	<b>20</b>	<b>11</b>	<b>9</b>	<b>14</b>	<b>12</b>	<b>100</b>

Department	Program	Activity	Risk Group Name	Size / Complexity	Change	Planning / Performance	Public Concern	Safety / Liability	Ethics	Mitigating Factors	Weighted Avg-Activity Factors	Weighted Avg-All Factors	RANK - 10ths
Municipal Court	Judiciary	Central Booking		2.0	1.0	2.1	1.0	1.0	2.5	3.0	1.93	2.07	1
Fire Department	Emergency Prevention	Public Education		2.0	1.0	2.0	1.0	1.0	1.4	4.0	1.91	2.07	1
Human Resources Dep	Community Services	Americans with Disabilities Act		1.8	1.9	2.2	1.4	1.0	1.7	3.3	2.04	2.07	1
Neighborhood Plannin	Support Services	Financial Monitoring/Budgeting		1.5	1.0	2.2	1.0	1.0	2.1	3.7	1.92	2.07	1
Municipal Court	Municipal Court Building Security	Muni Court Bldg Security		2.0	1.7	1.6	1.0	1.0	2.1	3.3	1.92	2.06	1
Human Resources Dep	Employment Services	Employment Application Services		2.3	1.4	1.6	1.6	1.0	2.1	3.7	2.03	2.06	1
Human Resources Dep	Organization Development	Organization Development Consulting		2.5	1.5	1.6	1.6	1.0	1.6	3.7	2.03	2.06	1
Management Services	Management Services	Agenda Preparation		2.0	1.0	1.6	1.0	1.0	1.4	4.0	1.82	2.06	1
Human Resources Dep	Total Compensation	Compensation & Classification		2.5	1.4	1.6	2.1	1.0	1.7	3.0	1.97	2.02	1
Law Department	Support Services	Personnel/Training		1.3	1.2	2.3	2.7	1.0	1.7	3.0	1.97	2.02	1
Human Resources Dep	Support Services	Personnel/Training		2.0	1.4	1.0	2.7	1.0	1.7	3.7	1.93	1.99	1
Law Department	Support Services	Administration and Management		1.8	1.4	1.5	2.1	1.0	2.4	3.0	1.93	1.99	1
Municipal Court	Municipal Court Operations	Magistrate Support		2.3	1.6	1.6	1.0	1.0	2.3	2.3	1.82	1.98	1
Municipal Court	Support Services	Information Technology Support		2.8	2.5	1.0	1.0	1.0	2.1	2.0	1.80	1.97	1
Human Resources Dep	Human Resources Info Mgmt	HR Management System Services		2.3	1.2	2.2	1.0	1.0	1.7	3.0	1.91	1.97	1
Human Resources Dep	Risk Management	Injured Workers Assistance		2.8	1.0	1.0	1.0	3.0	2.5	3.0	1.91	1.97	1
Municipal Court	Support Services	Purchasing/M/WBE		2.0	1.4	2.2	1.0	1.0	2.1	2.0	1.79	1.96	1
Human Resources Dep	Organization Development	Skills Development		1.8	1.7	1.6	1.6	1.0	1.4	3.7	1.89	1.96	1
Human Resources Dep	Support Services	Purchasing/M/WBE		2.0	1.0	1.8	1.0	1.0	2.4	3.3	1.89	1.96	1
Law Department	Support Services	Financial Monitoring/Budgeting		1.3	1.2	2.5	1.0	1.0	2.5	2.7	1.88	1.95	1
Municipal Court	Municipal Court Operations	Courtroom Support		2.3	1.8	1.6	1.0	1.0	1.7	2.3	1.76	1.94	1
Human Resources Dep	Civil Service Management	Civil Service Management		2.0	1.2	1.2	1.0	1.0	2.1	3.7	1.80	1.89	1
Human Resources Dep	Support Services	Financial Monitoring/Budgeting		2.5	1.0	1.0	1.0	1.0	2.7	3.0	1.80	1.89	1
Human Resources Dep	Human Resources Info Mgmt	Employee Records		2.3	1.4	1.0	1.0	1.0	1.7	3.7	1.78	1.87	1
Human Resources Dep	Support Services	Information Technology Support		2.3	1.4	1.0	1.0	1.0	2.1	3.3	1.78	1.87	1
Human Resources Dep	Organization Development	Learning Research Center		2.0	1.2	1.0	1.0	1.0	1.4	4.3	1.76	1.86	1
Law Department	Support Services	Information Technology Support		1.8	1.7	1.0	1.0	4.0	1.7	2.3	1.70	1.81	1

A further breakdown of ratings by specific factor within each group for all activities is available from our office. You may obtain a hard copy of this breakdown by requesting Report AU05301B Appendix C from our office. You may also download a copy in PDF format from our website at <http://www.ci.austin.tx.us/auditor>.