



Corrie Stokes
City Auditor

Office of the City Auditor

PROPOSED AUDIT PLAN

Fiscal Year 2017

The Office of the City Auditor's mission is to provide audit and investigative services that foster transparency, accountability, and continuous improvement in Austin city government.

The Office of the City Auditor continuously collects information about risks facing the City from a variety of sources including the City Council, City management, and the public, as well as national and local events that could affect Austin.

The City Auditor assesses this information to identify value-added audit topics.

These audit topics are prioritized based on available resources, timing, audit coverage, and other factors and then included in this Audit Plan.



NEW AUDITS – Requested or Identified as High Risk

	Audit Area	Department(s)	Preliminary Objective
HIGH LEVEL AUDITS			
1	Affordability Outcomes [placeholder]	To Be Determined	Are selected program(s) designed to address affordability meeting their goals?
2	Homelessness Assistance	Health and Human Services, Neighborhood Housing	What are the outcomes of City efforts to address the needs of the homeless population?
3	Bond Spending	Citywide	Have bond funds been spent timely and in alignment with voter approval?
4	Online Services	Citywide	How many City services are available online and how easy are they to use?
PROCESS AUDITS			
5	Public Information Requests	Law, Citywide	Does the City follow open records laws and provide requested information in an efficient and timely manner?
6	Construction Management Process	Public Works	Does the City effectively and efficiently coordinate and deliver construction projects that meet identified needs?
7	Fee Waivers	Citywide	How much money is waived each year and how are those decisions made?
8	Wildfire Preparedness	Fire	Does the City have a process to plan for and respond to wildfires?
9	Demolition Permits	Development Services	Does the City's process ensure enough consideration of notice and safety issues before demolition approvals are made?
RESOURCE AUDITS			
10	On Call Utilization	Citywide	How many employees receive "on call" pay and how often are they called back to conduct work?
11	Inventory Management Series: Austin Energy	Austin Energy	How does Austin Energy protect and manage its inventory items?
INITIATIVES			
12	Audit Recommendations Follow-up	Multiple	Has City management made timely changes that were agreed to in recent audits?

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CARRYOVER AUDITS FROM FISCAL YEAR 2016

	Audit Area	Department(s)	Preliminary Objective
HIGH LEVEL AUDITS			
13	Affordability Review, Phase 1	Citywide	What are the major expense categories for Austin households in each Council district and what current City initiatives, policies, and programs affect affordability for Austin residents?
14	Personnel Investigations (External Review)	Human Resources, Citywide	How can processes and protocols related to investigations throughout the City of alleged discrimination, harassment, and retaliation be improved?
PROCESS AUDITS			
15	Historic Property Designation Process	Planning and Zoning	How are City historic property designation decisions made and how does it compare to other programs?
16	Employee Health Claims and Eligibility	Human Resources	How successful have City efforts been to limit unnecessary health costs?
17	Workforce Development Contracts	Economic Development	How does the City make sure that these contract agreements are being followed and making a difference?
18	Flood Buyout Program	Watershed Protection	Is the City managing flood buyout projects efficiently and cost-effectively?
19	Street Cut Repairs	Public Works	When a street has been cut open, how quickly does the City fix the problem and how much does it cost?
20	Fleet: Preventive Maintenance for Light Duty Vehicles	Fleet	Does the City maintain its vehicles on time and how does the cost compare with other maintenance alternatives?
RESOURCE AUDITS			
21	Access Control Series: Utility Billing System	Austin Energy	How does the City make sure that only authorized people have access to information in the Customer Care and Billing system?
22	Cash Handling: Parks and Recreation Department	Parks and Recreation	Does the Parks and Recreation Department account for all the cash it receives?

Mayor
Steve Adler

Mayor Pro Tem
Kathie Tovo

Council Members
Ora Houston
Delia Garza
Sabino Renteria
Gregorio Casar
Ann Kitchen
Don Zimmerman
Leslie Pool
Ellen Troxclair
Sheri Gallo



As required by City Code, the Audit Plan is presented to the Council Audit and Finance Committee, as well as to the full City Council for review and approval.

Draft version

Audit Plan recommended by the Austin City Council Audit and Finance Committee on September 28, 2016

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