

# Office of the City Auditor Follow-Up Program Update

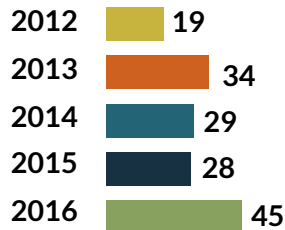


From fiscal year 2012 to 2016, we completed **61** audits with recommendations.

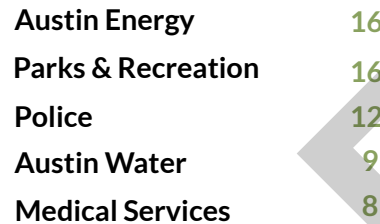
In those audits, we made **155** recommendations.

Some trends we have noted for our recommendations were:

## By Fiscal Year



## Top City Departments



## Top Focus Areas



## Reported by Management to the Controller



## Tested by the Office of the City Auditor to Date



## Testing Results to Date

for the 100 tested



Testing Results from the Last 6 Month Period (included in the results to date above)  
for the 31 tested during the last 6 months



## Summary of recommendations and testing results



recommendation was fully implemented



implementation is underway

### Hotel Occupancy Tax Audits

May 2012

February 2013

November 2013

collect tax deficiencies identified in the audit



Over \$150,000 collected

### Austin-Travis Co. Emergency Medical Services Collections Controls Audit

October 2012

deposit collections intact on a daily basis and identify alternate method for returning payments



a method for returning customer checks was identified and incorporated into policy; at the time of the follow-up audit, the policy was not followed, management became aware of it and stated that they changed return practices to match the policy

### Public Safety Camera System Audit

February 2013

implement confidential recommendation related to strengthening the security



ensure the oversight body is convened and performs monitoring duties



### Information Technology Governance and Planning Audit

October 2013

continue to implement and monitor a citywide IT Strategic Plan that lays out a specific vision or values and goals with detailed strategies, initiatives, and measures\*



steps taken to develop a citywide IT strategic plan using consultants, efforts are underway to finalize it

implement a citywide communications plan for its IT strategic initiatives to ensure departments have enough information to understand their roles and responsibilities



citywide communications plan is planned to be finalized after the strategic plan

develop a citywide risk management plan that includes detailed steps to mitigate IT risks on an ongoing basis



high-level citywide risk management plan was developed, acceptance by the City is pending

\* reported as underway by management

### Zero Waste Audit

November 2013

implement a mechanism to account for waste information citywide and to report



ensure that all information related to established zero waste goals is clearly and accurately reported



## Homeland Security Grant Funding Optimization Audit

February 2014

ensure that the grant process considers all sources and includes other departments



## ATCEMS Inventory Management Audit

February 2014

improve current process for managing medical supplies and implement an inventory tracking system that is integrated with the City's financial system and the department's billing system, providing for a single point of entry and effective tracking and monitoring



ATCEMS worked with CTM to develop an inventory tracking system, which is currently in place; however, the system does not track medical supplies inventory to final disposition and management is working on purchasing technology that will achieve that

## Performance Measurement System Audit

October 2014

strengthen eCOMBS security access controls and ensure compliance with City requirements related to system user access rights and passwords



management implemented selected security controls in line with City requirements and is working on implementing additional controls

## Cemetery Sales Administration and Management Audit

November 2014

ensure that all sales are documented accurately and that all deeds have been created and distributed to the appropriate customer



## Short-Term Rental Registration and Tax Compliance Audit

December 2014

collect tax deficiency and credit overpayment



review work identifying possible unregistered STRs and arrive at solutions for citations



remind STR owners to file quarterly reports with the City



## Water Loss Management Audit

August 2015

develop and implement a small meter replacement plan and prioritize and implement additional recommendations from the JBS, Inc report



develop and implement a more efficient process for preparing a water loss report



## Procurement Card Usage Audit - CTM

September 2015

ensure existing Citywide procurement policies are communicated to staff to address identified issue



## Prioritization of Affordable Housing Development Audit

November 2015

initiate a policy discussion with Council to evaluate City programs that support affordable housing and seek direction on NHCD's role for development incentives programs



ensure City policies and programs are clearly prioritized and linked to established values and community needs



regularly report to the public and decision-makers on outcomes related to achievement of core values



new performance measures related to achievement of core values were developed, but the data is not available yet

ensure accurate tracking, monitoring, and reporting on projects which result in affordability restrictions on housing developments



affordable housing inventory was developed and is currently being further improved with additional reporting capabilities

allocate appropriate resources to ensure timely compliance of affordability restrictions



## Consistency of Austin Code Investigations and Resolutions Audit

April 2016

revise policies to clarify compliance timelines and closing violations



implement review process that addresses documentation, supporting documents, and adherence to department policies



work with other departments to address issues with City-owned properties



integrate Amanda and 3-1-1 system and implement case prioritization



ensure that existing employees and future hires meet minimum qualifications



The Office of the City Auditor was created by the Austin City Charter as an independent office reporting to City Council to help establish accountability and improve City services. We conduct performance audits to review aspects of a City service or program and provide recommendations for improvement.

We conducted this performance audit in accordance with Generally Accepted Government Auditing Standards. Those standards require that we plan and perform the audit to obtain sufficient, appropriate evidence to provide a reasonable basis for our findings and conclusions based on our audit objectives. We believe that the evidence obtained provides a reasonable basis for our findings and conclusions based on our audit objectives.

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