

City Auditor's Performance Review & Check-In

- Annual evaluation happening now, facilitated by HRD
- Five-year term expires in June 2020

2015 – 2020 Successes

Office Pillars:

- Selecting the right audit topics
- Delivering quality work
- Balancing efficiency/effectiveness
- Being a place people want to work

Overall Office of the City Auditor Goals

- Achieve a high level of Council satisfaction with issued audit products and integrity services
- Improve accountability, transparency, and encourage a culture of continuous improvement in the City
- Maintain the competency of Office of the City Auditor staff
- Promote continuous improvement of office systems and processes

Goal: Council satisfaction

- Council satisfaction ratings:

In FY19, Council rated their satisfaction with our services as follows:



4.67

of 5 for audit services



4.67

of 5 for integrity services

- FY20 Audit Plan approved unanimously [attached]
- Multiple special requests and/or requests for audit

Goal: Accountability, transparency, and continuous improvement

- 24 outputs: 12 audit, 5 special reports, 7 investigations
- Accomplishments report [attached] highlights FY19 projects of note
- Updated the audit recommendation data on the City's open data portal

Goal: Accountability, transparency, and continuous improvement

- Successfully implemented Team Central, a Citywide system for tracking and reporting on audit recommendations
- New process after recommendations are issued to help with implementation/understanding
- Of the 181 recommendations issued since FY15, 67 (39%) have been verified as implemented

Goal: Staff competency

- 3 new hires from diverse backgrounds
- 82% of staff hold audit or investigation certifications
- Sub-goal: People wanting to work in our office
 - Workforce survey – “overall I am satisfied with my job” - 83% agree or strongly agree
 - Large candidate pools with many qualified candidates for our internships and entry-level positions

Goal: Continuous improvement

- Regularly improving our products and processes
- Upgrading our productivity software
- Continuing to improve report readability and accessibility
- Piloting podcasts for redistricting and then audits and investigations

Looking back: Progress on development areas


- Incorporating SD 2023 alignment and progress into audits
- Focusing on opportunities for cost savings or revenue enhancement
- Implementing equity assessment recommendations

Looking forward: Key issues and results areas

- Redistricting responsibilities [overview attached]
- Limited audit resources in the short-term
- Hotline allegations at an all-time high

Looking forward: Goals for the coming year

- Recruit a diverse and qualified pool of applicants for the Independent Citizen Redistricting Commission
- Develop a FY2021 Audit Plan that addresses City risks while factoring in available audit staff/bandwidth

A background image showing the Austin skyline with various skyscrapers and greenery under a blue sky with clouds.

Office of the City Auditor


Audit Plan

Fiscal Year 2020

The Office of the City Auditor conducts audits and investigations. Our work helps improve Austin city government to make it more transparent and accountable.

The Office of the City Auditor collects information about risks facing the City. This information comes from the City Council, City management, and the public. Also, we track national and local issues that could affect Austin. The City Auditor assesses this information to identify value-added audit topics. The City Auditor then considers available resources and other factors to identify the projects included in this Audit Plan.

New Audits		
	Audit Topic	Preliminary Objective(s)
1	Redistricting (Non-audit)	Initiate and widely publicize an application process that promotes a large, diverse group of applicants for the Independent Citizens Redistricting Commission. [Required by City Charter provisions]
2	Cost-Savings Initiative	Identify opportunities to increase revenue, save money, or gain efficiencies while sustaining or improving City deliverables.
3	Resource Allocation for Austin Fire Department and Austin-Travis County Emergency Medical Services	Does the allocation of public safety resources align with demonstrated public safety needs?
4	Police Data Reporting	Does the Austin Police Department collect and generate reliable information for reporting purposes and to inform management decisions?
5	3-1-1 Customer Service	Does 3-1-1 adequately address questions, comments, and concerns of members of the community?
6	Austin Code Department Repeat Offender Program	Is the City's Repeat Offender Program helping ensure rental properties are addressing health and safety concerns?
7	Parking Management	Does the City effectively manage parking programs to achieve intended mobility goals?
8	Technology Procurement	Is the City's process for obtaining technology goods and services efficient and do those goods and services meet City needs?
9	Workforce Management Series: Recruiting and Hiring	Do City efforts to recruit and hire result in the most qualified and diverse workforce possible?
10	Coordination with Other Governments: Interlocal Agreements	Does the City track and meet its obligations and enforce those of its partners according to established interlocal agreements?
11	Lobbyist Registration Compliance	Are lobbyists complying with City Code provisions? [Required by City Code provisions]
12	Ongoing Follow-up for Prior Recommendations	Are recommendations previously issued by the City Auditor being implemented by departments?



Office of the City Auditor

Audit Plan



Fiscal Year 2020

Carryover Audits - Started in Fiscal Year 2019 to be completed in Fiscal Year 2020

	Audit Topic	Objective(s)
C-1	Public Safety Dispatch	Are emergency service calls being dispatched in an effective and efficient way to meet community needs?
C-2	Impact of Austin Police Department's Community Policing Efforts	Have community policing efforts been effective for the Austin Police Department and the community it serves?
C-3	Fleet: Purchase and Replacement	How are fleet purchase and replacement decisions made that balance departmental needs, usage, cost, and environmental sustainability goals?
C-4	City Efforts to Reduce Carbon Emissions	How effective are the City's efforts to reduce community-wide carbon emissions from energy generation and transportation?
C-5	Effectiveness of Financial Tools for Economic Development	Are City tax increment financing tools effectively achieving the established goals of the community?
C-6	City Cultural Centers	Five separate objectives regarding the effectiveness of cultural center performance and services provided to the community. Specific areas of focus include governance, operations, programming, staffing, and cost of services.
C-7	Audits Planned for Reporting in October 2019	Access to Mental Health Services, City Social Service Contracting Process, and Wildfire Preparedness

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 @AustinAuditor

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Alternate formats available upon request



FY 2019 ACCOMPLISHMENTS REPORT

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.

OUR FOCUS:



SELECTING
TOPICS THAT
MATTER



PERFORMING
QUALITY
WORK



BALANCING
EFFICIENCY AND
EFFECTIVENESS



BEING A PLACE
PEOPLE WANT TO
WORK

AUDIT SERVICES

We conduct performance audits to review aspects of a City service or program and provide recommendations for improvement.

INTEGRITY SERVICES

We conduct investigations of allegations of fraud, waste, or abuse by City employees or contractors.

SELECTING AUDITS

When we select projects each year, we want to identify topics that directly impact Austin residents. In FY 2020, our audit plan included topics such as:

3-1-1 CUSTOMER
SERVICE

PARKING
MANAGEMENT

INTERLOCAL
AGREEMENTS

AUSTIN CODE REPEAT
OFFENDER PROGRAM

AUDITS ISSUED LAST FISCAL YEAR

We issued 12 audits in FY 19. As we conduct our audits we aim to focus on issues that most impact Austin residents. Some examples of audits issued in FY19 include:



HOME REPAIR PROGRAMS

The City has unspent home repair funds each year, leading to missed opportunities for residents to receive services. Improvements can be made in coordinating home repair programs and meeting program goals.



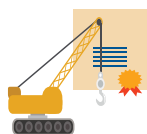
SIDEWALK PROJECTS

The City does not have enough funding to build all missing sidewalks or even all of the highest priority ones. Also, the City could expand accessibility inspections and their documentation.



POLICE BODY-WORN CAMERAS

Austin Police Department supervisors have not been consistently reviewing body-worn camera videos to detect and correct issues.



PERMITTING PROCESS IMPROVEMENTS

To improve the permitting process, the City needs to clarify existing Code requirements and enhance cooperation among reviewing departments.



TRAFFIC SAFETY: DESIGN AND EDUCATION

The City could improve its traffic safety efforts by continuing to improve crash data and specifically targeting education efforts at dangerous driving behaviors.



ACCESS TO MENTAL HEALTH SERVICES

The City needs a coordinated approach for managing referrals for mental services and needs to collect additional information to determine if services are being accessed.

SPECIALPROJECTS

We completed 5 special reports this year, including:



CITIZEN INITIATIVES

Most peer cities require more signatures for citizen initiatives than Austin; 20,000 signatures is about 3% of Austin voters and will continue to be a lower percentage as the city grows.



CITY CONTRACTING PRACTICES

There are weaknesses in the way the City manages contracts, many of which have persisted citywide for several years.



CRIMINAL JUSTICE INFORMATION SECURITY COMPLIANCE

The City could lose access to criminal justice information because it may be violating several elements of federal information security policy, including those related to physical security and background checks.

INVESTIGATIONS ISSUED LAST FISCAL YEAR

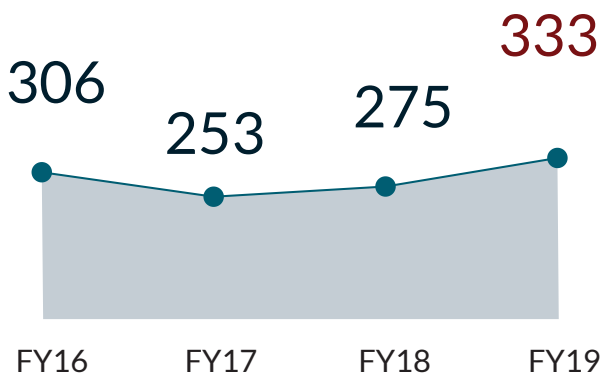
This year we received 333 new allegations. There was a 21% increase from FY18, which is the highest number in recent years. Many allegations were either referred to another party with appropriate jurisdiction or closed due to lack of information.

We completed 14 investigations and issued 7 reports or complaints, involving:

- Misuse of City resources
- Conflicts of interest
- Acceptance of favor or employment
- Waste of City resources

Management took action in 100% of the cases where action was warranted. The Ethics Review Commission dismissed 1 complaint and issued a letter of reprimand for 1 complaint.

Refer to the FY19 City Auditor's Integrity Unit report for more information.



COUNCIL SATISFACTION

In FY19, Council rated their satisfaction with our services as follows:



4.67 of 5 for audit services



4.67 of 5 for integrity services

OUR VALUES



INTEGRITY



OBJECTIVITY



QUALITY



INNOVATION

Report Date	Report Type	Report Title
Feb-20	Audit	911 Operations Audit
Feb-20	Investigation	Planning and Zoning Department Employee: Misuse of City Resources
Jan-20	Audit	Effectiveness of Financing Tools for Economic Development
Jan-20	Audit	Vehicle Purchase and Replacement
Jan-20	Audit	City Efforts to Reduce Carbon Emissions
Jan-20	Audit	Fiscal Year 2019 Follow-Up
Jan-20	Investigation	Communication and Technology Management: Waste of City Resources
Jan-20	Investigation	Development Services Department Employee: Misuse of City Resources
Dec-19	Investigation	Austin Public Health Employee: Fraud
Dec-19	Audit	City Social Service Contracting Process
Nov-19	Annual Report	City Auditor's Integrity Unit Fiscal Year 2019 Activities
Nov-19	Audit	Lobbyist Compliance
Oct-19	Investigation	Austin Water Employees: Abuse of Position and Misuse of City Resources
Oct-19	Special Report	Citizen Initiatives
Oct-19	Audit	Access to Mental Health Services
Oct-19	Audit	Wildfire Preparedness
Sep-19	Special Report	Criminal Justice Information Security Compliance
Sep-19	Audit	Traffic Safety: Design and Education
Aug-19	Investigation	Parks and Recreation Department Employee: Misuse of City Resources
Aug-19	Special Report	Community Policing Audit Update
Aug-19	Audit	Permitting Process Improvements
Jun-19	Investigation	Special Report: Failure by City Management to Enforce City Code
Jun-19	Audit	Austin Police Department Body-Worn Cameras
May-19	Investigation	Austin Fire Department: Misuse of City Resources for Secondary Employment
May-19	Investigation	Austin Energy: Abuse of Position to Solicit and Accept Favors from Employees of a City Vendor
May-19	Audit	City Leases
May-19	Audit	Sidewalk Projects
Apr-19	Mid-Year Report	City Auditor's Integrity Unit Fiscal Year 2019 Activities
Apr-19	Investigation	Development Services Department: Misuse of City Resources for Secondary Employment
Apr-19	Audit	Fiscal Year 2019 Follow-Up
Mar-19	Investigation	Non-Authorized Use of City Personnel and Resources for a Nonprofit
Feb-19	Audit	Information Security Management - Confidential
Feb-19	Audit	Lobbyist Compliance
Feb-19	Special Report	Homelessness Assistance Audit Series
Feb-19	Audit	Homelessness Assistance (Series): Outcomes of City Efforts

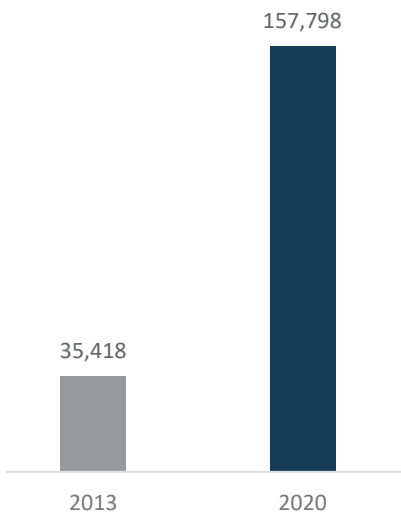
Redistricting Overview



Austin's population has increased by 15% since 2013.

130,000
more Austin
residents

Voters eligible to participate on the redistricting commission increased 345% since 2013 in part due to the switch from May to November elections.



SOURCES:
Figure 1 - City Demographer, March 2020
Figure 2 - Office of the City Auditor analysis of voter data, March 2020

About Redistricting

Austin has a process for residents to redraw the boundaries of the council districts every ten years. Austin residents will redraw the council district boundaries in 2021.

There are two opportunities for Austin residents to be part of redistricting:

- the Applicant Review Panel and;
- the Independent Citizens Redistricting Commission.

Austin City Charter tasks the City Auditor with widely publicizing the application process to ensure applicant pools are large, diverse, and qualified. Applicant pools must be diverse in terms of race, ethnicity, gender, and geography.

Applicant Review Panel

The Applicant Review Panel will select the 60 most qualified applicants for the Commission. Three Austin residents with CPAs will serve on the panel.

The panel will select applicants based on their analytical skills, ability to be impartial, and appreciation for Austin's diversity. The panel will make sure members of the selected pool reside in various areas across the city.

Independent Citizens Redistricting Commission

The Independent Citizens Redistricting Commission will draw the boundaries of Austin's council districts. Fourteen Austin residents will serve on the commission.

The City Auditor will randomly select eight commissioners from the 60 most qualified applicants. These eight people will serve on the commission.

The first eight commissioners will select six more people from the pool to ensure the commission reflects the diversity of Austin.

The commission will decide on the new boundaries through an open and transparent process with many opportunities for public input. The commission will use the most updated census data, which will be available in January 2021.

Redistricting Timeline

