

**Office of the City Auditor Calendar
Year 2023 Draft Audit Plan**

Capacity

Due to pandemic era turnover, OCA has multiple vacancies and limited audit leads on staff. Primary goals for CY23 are to expand audit leads and recruit additional auditors to increase office capacity in future years. After accounting for six carryover projects from 2022, OCA can add the following to the plan:

Three Highly Complex Projects & Five Low Complexity Projects

The first two tables below detail the carryover projects from CY22 and our proposed new projects for CY23. The third table presents alternative project ideas that can be swapped in for proposed projects of equal or lower complexity.

Carryover to CY23

Complexity	Audit Topic	Preliminary Objective
High	Animal Services Audit	Evaluate the Animal Services Office effectiveness and identify strategies and recommendations for improved flow of operations, quality care for animals, and a successful, sustainable No Kill shelter.
Medium	Public Information Responses	Does the City follow open records laws and provide requested information in an efficient and timely manner?
Medium	Data Reliability	Does the City collect reliable information and openly share it with decision-makers and other interested stakeholders to improve outcomes?
Medium	SD23: Economic Opportunity & Affordability	What progress has the City made to implement Council’s strategic outcome of “having economic opportunities and resources that enable us to thrive in our community?”
Medium	Amanda	Does the Amanda system efficiently manage multiple City processes to allow departments to provide effective services to stakeholders?
Low	Language Access Follow Up	Are recommendations previously issued by the City Auditor being implemented by departments and resulting in improvements?

Proposed New Projects for CY23

Complexity	Audit Topic	Preliminary Objective
High	City Handling of Sensitive Data	Does the City handle sensitive residential data in an effective and secure manner?
High	Citywide Retention	Does the City’s retention and compensation policies and procedures reduce turnover and compare to peer city practices?
High	Tenant Support	Does the City’s tenant support process effectively and efficiently support resident efforts to avoid eviction?
Low	AE Medically Vulnerable Program	Does the City’s Registry for the Medically Vulnerable effectively and efficiently serve residential customers in need?
Low	Criminal Background Investigation Process	Does the City’s criminal background investigation process operate effectively and efficiently?
Low	Employee Reimbursement Process	Does the City’s employee expense reimbursement process operate effectively and efficiently?
Low	Scooter Enforcement	Does the City’s regulatory framework and enforcement efforts compare to peer city practices?
Low	Development Services Follow Up	Are recommendations previously issued by the City Auditor being implemented by departments and resulting in improvements?

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Calendar Year 2023 Audit Plan**

		[Building Fees, Development Agreements, Demolition, & Permitting Audits]
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Alternate Project Menu (can be swapped for proposed projects of equal or lower complexity)

Complexity	Audit Topic	Possible Objective
High	APD: Racial Profiling	Does APD's general orders and practices effectively train officers about bias and prejudice, identify biased or prejudicial actions, and support adequate investigation of complaints of such behavior? [Possible external audit]
High	City Office Space Utilization	Does the City effectively and efficiently utilize office space whether owned or leased?
High	Boards & Commissions System Effectiveness	Is the City's boards and commissions system operating effectively and efficiently and is it aligned with peer city practices?
High	Infrastructure Management	Does the City effectively and efficiently manage critical infrastructure such as streets, bike paths, and pipelines?
Medium	EMS Staffing	Does ATCEMS effectively and efficiently manage staffing levels and vacancies?
Medium	CPIO Non-Emergency Communications	Does the CPIO effectively communicate with residents about non-emergency items?
Low	City Driver Safety	Is the City's occupational driving program effectively managing employee driver habits?
Low	Department Program Management	Are City departments tasked with managing programs outside the scope of the applicable mission?