

## Draft Calendar Year 2024 Audit Plan

After accounting for six carryover projects from 2023, the Office of the City Auditor (OCA) can add five highly complex Projects, Four Medium Complexity Projects, & Two Low Complexity Projects to the CY24 Plan. The first table below details the carryover projects from CY23. The second presents our proposed new projects for CY24. OCA will also have the capacity to follow up on prior recommendations and address special requests from council.

### **Carryover to CY24**

| 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        | 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        | Criminal Background Investigation Process (External Consultant) | Does the City's criminal background investigation process operate effectively and efficiently?                         |

### **Proposed New Projects for CY24**

| Complexity | Audit Topic                                                            | Preliminary Objective                                                                                                                                         |
|------------|------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------|
| High       | APD License Plate Reader Pilot Program                                 | OCA directed to conduct this audit per Council Resolution 20220915-056                                                                                        |
| High       | Identity/Access Management                                             | Are the City processes for provisioning and de-provisioning users across various platforms operating effectively and efficiently?                             |
| High       | Public Safety Recruitment & Training Series                            | Are the City's public safety departments effectively, efficiently, and equitably recruiting, hiring, and training new sworn staff?                            |
| High       | Workforce Management Series: Harassment, Discrimination, & Retaliation | Is the City effectively and equitably addressing Harassment, Discrimination, & Retaliation? The audit scope will include preventative and reactive processes. |
| High       | Aviation Risk Assessment                                               | Identify the top two or three risks AUS is facing                                                                                                             |
| Med        | Workforce Management Series: Succession Planning*                      | Is the City effectively conducting succession planning to address projected turnover in line with industry best practices?                                    |
| Med        | Extreme Heat Preparedness                                              | Is the City adequately planning for heat related risks?                                                                                                       |
| Med        | Recycling & Composting Education                                       | Is the City's recycling and composting education efforts operating effectively?                                                                               |
| Med        | Water Main Maintenance & Replacement                                   | Is the City identifying and addressing issues to minimize leaks and service interruptions caused by water mains?                                              |
| Low        | Homelessness Outcomes Follow Up                                        | What are the outcomes of the City's efforts to prevent homelessness and assist people experiencing homelessness?                                              |
| Low        | 2017 Capital Project Follow Up                                         | Follow up on recommendations issues in the 2017 Capital Project Delivery Process Audit                                                                        |

*\*If Succession Planning is addressed adequately in the ongoing Retention Audit, OCA will focus on Compensation Practices instead.*