

**Independent Internal Audit Program  
Initial 18-month Audit Plan Implementation Status  
FY2019-20 and FY2020-21**

Green, IIAP Manager  
Orange, Contracted Firm  
Gray, Future Risk Assessment

Department	Program	Audit Type	Risk	Auditor	Original FY	Original Timeframe	Updated FY	Status	Notes
City Court	Revenue management	Compliance	High	Internal	2019-20	Jan-Mar 2020	No Change	Completed & Published	<a href="#">Link</a>
City Court	Triennial audit	Compliance	High	Internal	2019-20	Nov-Jan 2020	No Change	Completed & Published	<a href="#">Link</a>
Citywide	Cash Handling Review	Continuous	Medium	Internal	2020-21	Oct-Dec 2020	2021-22	Completed & Published	<a href="#">Link</a>
Development Services, Economic Development	Development Agreement Compliance	Compliance	High	Internal	2019-20	Apr-Jun 2020	No Change	Completed & Published	<a href="#">Link</a>
Budget and Finance	Vendor Management	Compliance	High	Contract Firm	2019-20	Jan-Mar 2020	2020-21	Completed, Pending Audit Committee	Scheduled March 4, 2021
Citywide	Asset Management Program Evaluation	Performance	High	Contract Firm	2019-20	Apr-Jun 2020	2020-21	Completed, Pending Audit Committee	Scheduled March 4, 2021
Citywide	Annual Payroll/Timesheets Review	Continuous	Medium	Internal	2020-21	Oct-Dec 2020	2021-22	Completed, Pending Review by New IIAP Manager	Planned for June Audit Committee
Community Services	Community Action Program Evaluation	Performance	Medium	Internal	2020-21	Jan-Mar 2021	2020-21	Completed, Pending Review by New IIAP Manager	Planned for June Audit Committee
Fire Department	Telestaff Business Process and Internal Control Review	Compliance	High	Contract Firm	2019-20	Jan-Mar 2020	2020-21	Contracted, In-Process	Planned for June Audit Committee
Innovation and Technology	Information Systems Security	Performance	High	Contract Firm	2019-20	Jan-Mar 2020	2020-21	Contracted, In-Process	Planned for June Audit Committee
Innovation and Technology	Technology Governance Program Evaluation	Performance	Medium	Contract Firm	2019-20	Jan-Mar 2020	2020-21	Contracted, In-Process	Planned for June Audit Committee
Human Resources	Overtime use and compliance	Compliance	High	Contract Firm	2020-21	Oct-Dec 2020	2020-21	Contracted, Planned	Begins March 2021
Human Resources	Position Control Policy Evaluation	Performance	Medium	Contract Firm	2020-21	Oct-Dec 2020	2020-21	Contracted, Planned	Begins March 2021
Police Department	Police Operations Staffing Analysis	Performance	Medium	Contract Firm	2020-21	July-Sep 2020	2020-21	Contracted, Planned	Begins March 2021
Budget and Finance	AZSTA contract Compliance	Compliance	Medium	Contract Firm	2020-21	July-Sep 2020	2020-21	Contracted, Schedule Pending	To be completed as part of the FY2020-21 Audit Plan
City Clerk/Citywide	Public Records Law Compliance	Performance/Compliance	Medium	Contract Firm	2020-21	Oct-Dec 2020	2020-21	Contracted, Schedule Pending	To be completed as part of the FY2020-21 Audit Plan
Citywide	Contract Compliance and Performance	Performance	Medium	Contract Firm	2020-21	Jan-Mar 2021	2020-21	Contracted, Schedule Pending	To be completed as part of the FY2020-21 Audit Plan
Citywide	Custodial Contract Compliance and Evaluation	Performance/Compliance	Medium	Contract Firm	2020-21	Jan-Mar 2021	2020-21	Contracted, Schedule Pending	To be completed as part of the FY2020-21 Audit Plan
Water Services	Storm Water Management Program Evaluation	Performance	Medium	Contract Firm	2020-21	Apr-Jun 2021	2020-21	Contracted, Schedule Pending	To be completed as part of the FY2020-21 Audit Plan
Citywide	HR Employee Relations Program Evaluation	Performance	Medium	Internal	2020-21	Apr-June 2021	TBD	Deferred for evaluation by New IIAP Manager	Update to be provided at June Audit Committee Meeting
Citywide	Purchase Card Review	Continuous	Medium	Internal	2020-21	Jan-Mar 2021	TBD	Deferred for evaluation by New IIAP Manager	Update to be provided at June Audit Committee Meeting
Citywide	Travel Policy compliance review	Continuous	Medium	Internal	2020-21	July-Sep 2020	TBD	Deferred for evaluation by New IIAP Manager	Update to be provided at June Audit Committee Meeting
Transportation	Recovery of ROW Damage Claims	Performance	Medium	Internal	2020-21	July-Sep 2020	TBD	Deferred for evaluation by New IIAP Manager	Update to be provided at June Audit Committee Meeting
City Court	E-Warrants Program Evaluation	Performance	High	N/A	2019-20	Jan-Mar 2020	TBD	Deferred to FY2022-23 Risk Assessment (planning begins Fall 2021)	System undergoing upgrade.
City Manager's Office	Code Compliance Program Evaluation	Performance	Medium	N/A	2019-20	Apr-Jun 2020	TBD	Deferred to FY2022-23 Risk Assessment (planning begins Fall 2021)	Requested by DCM for Public Safety due to implementation of new systems and processes.
Fire Department	Emergency Management Office Program Evaluation	Performance	Medium	N/A	2019-20	Jan-Mar 2020	TBD	Deferred to FY2022-23 Risk Assessment (planning begins Fall 2021)	Deferred due to COVID-19 pandemic.
Fire Department	Fire Asset Management	Performance	Medium	N/A	2019-20		TBD	Deferred to FY2022-23 Risk Assessment (planning begins Fall 2021)	Deferred due to COVID-19 pandemic.
Transportation	Airport operations-Leases; Rates and charges	Compliance	Medium	N/A	2020-21	Apr-Jun 2021	TBD	Deferred to FY2022-23 Risk Assessment (planning begins Fall 2021)	Airport Rules and Regulations are being revised.
Police Department	Records Management System (Hexagon) Program Evaluation	Performance	High	N/A	2020-21	July-Sep 2020	TBD	Deferred to FY2022-23 Risk Assessment (planning begins Fall 2021)	Department is implementing a new system.