

audit to perform
 Reevaluate for FY22-23 Risk Assessment
 To be done by IIAP Manager

Risk Assessment Worksheet

Department	General Risk Theme	Audit Area/Possible Audit Objective	Total Score [R+F+A]		Risk Category	Original Timeframe FY	Approximate Time Since Last Review/Audit	Recommend to Include in Audit Plan?	Internal Resources or External Contractor	Audit Type	Comments
Housing - Facilities Management	Housing Management and Maintenance	Facilities management program evaluation (Housing only); review the process, controls in place and performance to determine efficiency and effectiveness including best practice standards. Review Maintainance process and procedures.	11.30	High	2021-22		Yes	External Firm	Performance		
Transportation - Intelligent Transportation Systems (ITS)	Intelligent Trans System (ITS)	ITS program evaluation to determine the efficiency and effectiveness of ITS including traffic signal and traffic flow operations including outsourcing counts and studies; reporting and incident management and preventive maintenance. Perform limited compliance review.	10.80	High	2021-22		Yes	External Firm	Performance	1st half of FY	
HR & Risk Management	Risk Management training program evaluation	Audit of risk management and training program and compliance with City policies and procedures.	10.75	High	2021-22		Yes	External Firm	Performance		
Engineering	Capital Improvement (CIP) Program	CIP Program Evaluation to determine the efficiency and effectiveness of CIP process, including CIP planning, delivery, leveraging leading practices, and reporting process.	10.45	High	2021-22		Yes	External Firm	Performance		
Budget & Finance	Contract Compliance and Performance	Review and evaluate effectiveness of contract compliance and performance.	10.00	High	2020-21		Yes	External Firm	Performance & Compliance		
Innovation & Technology	IT Security	Perform a review of cyber incident management and disaster recovery process. Evaluate compliance with relevant regulations and standards. Assess how IT is leveraging leading practices.	8.10	Medium	ongoing		Yes	External Firm	Performance & Compliance		
Transportation - Transit	City Transit Program	City Transit Program Evaluation - Review the transit process to determine efficiency and effectiveness of the transit process including fare collection, performance and compliance with relevant laws and regulations.	7.50	Medium	2021-22		Yes	External Firm	Performance & Compliance	2nd half of FY	
Field Ops - Fleet Management	Fleet Management Program	Fleet Management Program Evaluation - Departments see approx 40% markup for maintenance; are rates appropriate; are there opportunities to co-source certain services; are policies regarding 'take home' vehicles being followed; policy to rent vs. using an assigned vehicle for in state travel may be more costly; appropriate controls regarding 'pool' vehicles (validation employee is eligible to drive); log tracking of pool vehicles to employees who use them (best practice of predicted miles vs. actual miles).	6.20	Medium	2021-22		Yes	External Firm	Performance	2nd half of FY	
Budget & Finance	AZSTA Contract	Annual review of cash management process across the City as part of continuous monitoring.	9.00	Medium	2020-21		Yes	Internal Resources	Compliance	To be performed by IIAP Manager	
Budget & Finance	Cash Management	Annual review of cash management process across the City as part of continuous monitoring.	9.00	Medium	ongoing		Yes	Internal Resources	Compliance	Robotics, testing transactions, to be performed by IIAP Manager	
Budget & Finance	Purchasing Cards	Review (including data analytics) of purchase card process and analysis of transactions and controls.	7.60	Medium	ongoing		Yes	Internal Resources	Performance & Compliance	Robotics, testing transactions. The aim is to perform a review that will transition this from an annual monitoring to quarterly monitoring. to be performed by IIAP Manager	
Budget & Finance - Accounting/Grants	Payroll process	Review (including data analytics) on payroll and timesheets.	7.00	Medium	ongoing		Yes	Internal Resources	Performance & Compliance	Robotics, testing transactions. The aim is to perform a review that will transition this from an annual monitoring to quarterly monitoring. To be performed by IIAP Manager	
HR & Risk Management	Telecommuting Policy and Compliance	Review Telecommuting process for compliance with City policies and other relevant regulations. Evaluate monitoring of telecommuting process across the city on a sample basis.	6.10	Medium	2021-22		Yes	Internal Resources	Compliance		
PFRSE	Park Ranger Program Evaluation	Parks Ranger Program Evaluation - Comparative metrics to other jurisdictions (Park Ranger use and effectiveness)	6.05	Medium	2021-22		Yes	Internal Resources	Performance		
Field Ops - Facilities Management	Facilities Management and Maintenance	Facilities management program evaluation; review the process, controls in place and performance to determine efficiency and effectiveness including best practice standards. Review Maintainance process and procedures.	11.30	High	2022-23		Yes	External Firm	Performance	Recently implemented Lucity for asset management. Recommend one year of operations before a performance audit. Reevaluate in FY22-23 Risk Assessment	
Transportation - Airport	Airport Compliance	Airport Operations - Leases; Rates and Charges (frequency of review); Procedures complying with FAA (e.g., access control; haz mat; PII).	10.90	High	2022-23		Yes	External Firm	Compliance	Defer to FY22-23. Airport regulations and regulations are being revised	
City-wide	HR - Staffing Analysis	Perform City-wide Staffing Analysis to determine the staffing levels; allocation of responsibilities and duties and sufficiency of staffing across the city to drive the City's strategy; include best practices.	10.35	High	2022-23		Yes	External Firm	Performance	consider HR only, maybe a study instead for a consultant to provide a report for incremental staffing adjustments	

Community Services - housing	Housing Program	CS Housing Program Evaluation. Best practices review of entire process: Including annual recertification; Public Housing; Section 8; Inspections; Efficiency and effectiveness and performance management.	9.45	High	2022-23		Yes	External Firm	Performance	City is adopting significant changes to housing admin plans to implement best practices and streamline processes. Recommend one year of operations before a performance audit. Reevaluate in FY22-23 Risk Assessment
Police Department	Property Evidence	security protocols; single point of failure	9.30	High	2021-22		Yes	External Firm	Compliance	Recommend doing an audit before going into the new building. Reevaluate in FY22-23 Risk Assessment
Community Services - Revitalization	Revitalization	Revitalization Program Evaluation - identify leading practices for ongoing review, assess effectiveness and efficiency of revitalization process, including spending, reporting and compliance.	9.10	High	2022-23		Yes	External Firm	Performance	City is implementing new technology and which result in streamlined processes. Recommend one year of operations before a performance audit. Reevaluate in FY22-23 Risk Assessment
Police Department	Physical Security process	Review and evaluate physical security procedures, controls and processes at the PD.	8.75	Medium	2022-23		Yes	External Firm	Performance	There is a City-wide security assessment/review process that incorporates PD needs. Led by DPM for public safety. Reevaluate in FY22-23 Risk Assessment
Fire Department	Fire Asset Management	Fire Asset Management - How are small and large value assets managed; systematic means to track; preparedness to meet next call's need (axe on truck; meds in drawer;	9.10	High	2022-23		Yes	External Firm	Performance	Fire admin is reviewing their operations for what their highest needs are. They would like to defer and continue to develop a priority list.