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**Report**

**2003 Risk Assessment**

**August 2003**

**Office of the City Auditor**  
**Austin, Texas**

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August 21, 2003

To: Mayor and Council Members

From: Stephen L. Morgan, City Auditor

Subject: 2003 Risk Assessment Report

Attached is our report on our 2003 risk assessment project, in which we assessed risk levels for one-third of City departments. Business areas assessed this year include Development, Environment, and Transportation Services; Protective Services; the Law Department; and Municipal Court.

The results of our assessment provide a “topographical map” of risk areas identified according to the risk factors we assessed. Areas rated as high risk have a greater likelihood that problems might occur that could compromise the effectiveness of service delivery or mission achievement. In addition to identifying activities with higher risk ratings, we identified cross-cutting themes that emerged through the course of our work. This information should provide focus for additional attention through audit projects or management focus.

The results of this assessment will be considered along with other input, including information on the most recent budget changes underway for FY 2004, in developing OCA’s 2004 performance plan.

We appreciate the cooperation and assistance we received from a number of City departments during the assessment, including the Budget Office and the Controller’s Office, as well as management and staff in the departments we assessed.

A handwritten signature in black ink that reads "Stephen L. Morgan".

Stephen L. Morgan, CIA, CGAP, CFE, CGFM  
City Auditor

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(Note: For report copies printed after 11/1/2003, minor corrections have been made in the data elements supporting the risk ratings. These corrections have no effect on the results of the risk assessment contained in the body of the report.)

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## **BACKGROUND, OBJECTIVES, SCOPE & METHODOLOGY**

In the internal auditing profession, a formal risk assessment model is an extensively used and widely accepted tool for annual planning. Formal risk assessment models are designed to identify areas of activity, organizational units, or functional processes within an organization that pose high inherent risk.

Every three to five years, the Office of the City Auditor (OCA) conducts a citywide assessment of the organization's risks. The last citywide risk assessment was completed in 1999. Our 2003 Performance Plan includes this project in an altered form. In order to limit the resources needed to conduct the risk assessment in a single year, OCA agreed with the Council Audit and Finance Committee to assess one-third of the City each year, beginning this year. This report presents the results of the first of these three assessments.

**OBJECTIVES.** The purpose of the Citywide Risk Assessment project is to identify and catalog key risk areas within City operations. The risk assessment results are useful to various stakeholders. They

- inform management and Council of high risk areas, only a few of which can be selected for audit, thus providing opportunity for decision makers to decide where other risk reduction strategies should be initiated and where the City must simply assume high risk;
- provide information to Council and management on emerging issues that are not specific to individual organizational units; and
- identify "high" risk rated activities for consideration in the development of OCA's annual performance plan.

Risk assessment is not intended to capture specific problems occurring on a particular day, but rather to point out where there is a greater probability of problems occurring.

**Risk Defined.** We define risk as the likelihood that an event or action could adversely affect the City's operations and/or customers. Types of risk include both "inherent risk" and "vulnerability."

- **Inherent risk** is the uncertainty or risk that is intrinsic to an operation based solely on the type of work performed, the amount of resources involved, or the complexity of the operations performed. For example, "safety and liability" risks are higher inherent risks to a law enforcement program and lower to a financial management program.
- **Vulnerability**, also known as "control risk," is the probability that a particular risk might actually occur and have a negative impact on the organization if controls are not in place or functioning effectively to

mitigate inherent risks. This risk assessment employed a few indicators of vulnerability, which is better assessed during an actual audit of the entity.

**Assessing risk.** Risk assessment is a process of systematically scoring (or ranking) the relative impact of a variety of “risk factors.” A risk factor is an observable or measurable indicator of conditions or events that could adversely affect the organization. Risk factors are grouped around common themes, such as planning and performance, or public concern and perception. Risk factors can emphasize inherent risks (such as the factors in the organizational size and complexity group), or they can be indicators of both inherent risk and vulnerability (such as worker’s compensation claims or performance trends).

A formal risk assessment, such as the one conducted in this project, utilizes a model to capture data from a variety of sources and summarizes that data by organizational unit according to risk factor groups. Risk factor groups and relative weights used in the 2003 Risk Assessment are shown in Exhibit 1. Additional information on the risk factors contained within each group is presented in Appendix A.

**EXHIBIT 1  
Risk Factor Groups**

<ul style="list-style-type: none"> <li>• <b>Size &amp; Complexity</b> <span style="float: right;"><b>16%</b></span> Expenditures, FTEs, # of sites, Diversity of services, # of grants, Contracts</li> </ul>
<ul style="list-style-type: none"> <li>• <b>Change</b> <span style="float: right;"><b>18%</b></span> Change in expenditures and FTEs; Turnover and years of service lost; Change dynamics in business plans</li> </ul>
<ul style="list-style-type: none"> <li>• <b>Planning &amp; Performance</b> <span style="float: right;"><b>20%</b></span> Variances in expenditures; Performance trends; Listening to the Workforce Survey – employee satisfaction; Overtime as a % of Salaries</li> </ul>
<ul style="list-style-type: none"> <li>• <b>Public Concern &amp; Perception</b> <span style="float: right;"><b>11%</b></span> Citizen complaints; Legal claims &amp; suits filed; Survey of Council/CMO</li> </ul>
<ul style="list-style-type: none"> <li>• <b>Safety &amp; Liability</b> <span style="float: right;"><b>9%</b></span> Worker’s Comp claims; Legal claims and suits paid; Listening to the Workforce Survey – safety</li> </ul>
<ul style="list-style-type: none"> <li>• <b>Ethics</b> <span style="float: right;"><b>14%</b></span> Investigator ratings of ethics risks ; Listening to the Workforce Survey – ethics; Liquidity of assets; extent of Cash Handling</li> </ul>
<ul style="list-style-type: none"> <li>• <b>Mitigating Factors</b> <span style="float: right;"><b>12%</b></span> Independent oversight by outside agencies; OCA audits; Other City internal and external audit coverage; Management initiatives</li> </ul>

SOURCE: OCA summary of 2003 risk assessment model.

**SCOPE.** In order to break the organization into three parts for successive annual assessment, we grouped organizational units according to the way City management organizes the City's business areas. An organizational chart of City departments showing how they are grouped by business areas is included in Appendix A which also contains a list of departments scheduled for risk assessment for each year.

The one-third of the City assessed in 2003 (referred to in this report as "Year One Departments") includes the departments that are in two of the City's major business areas:

The Development, Environment and Transportation group includes:

- Economic Growth and Redevelopment Services Office (EGRSO),
- Neighborhood Planning and Zoning Department (NPZD),
- Transportation, Planning and Sustainability Department (TPSD), and
- Watershed Protection and Development Review Department (WPDR).

The Protective Services group includes:

- Austin Police Department (Police),
- Fire Department (Fire),
- Emergency Medical Services (EMS), and
- Office of Emergency Management (OEM).

Finally, Year One Departments also include:

- Law Department (Law),
- Municipal Court (Muni Ct.) and
- Downtown Community Courts (DACC).

These departments were added to Year One in order to more evenly divide the workload among the three years of this project's duration.

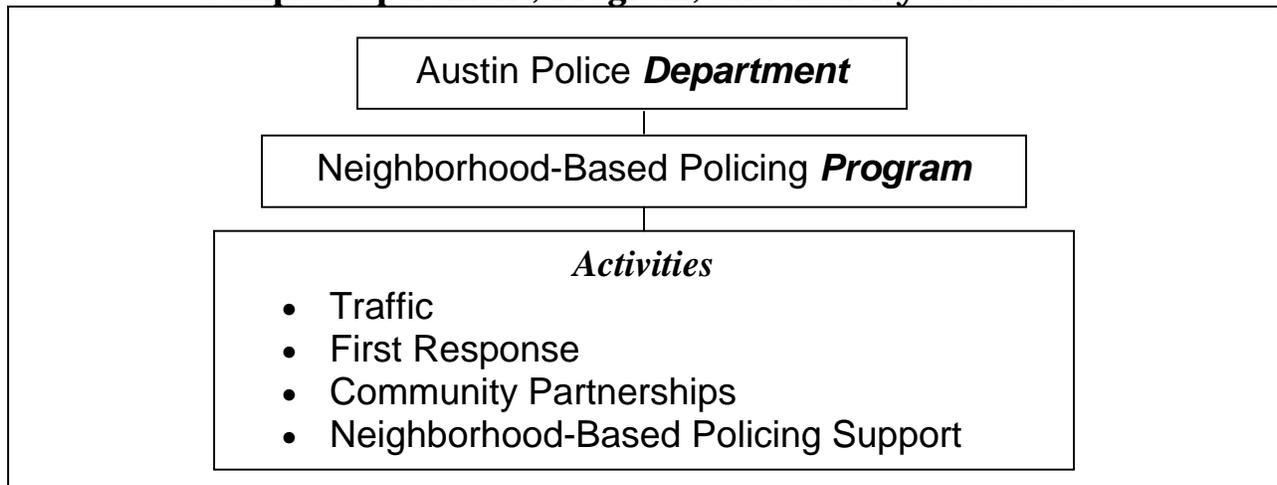
We made use wherever possible of data already captured in a variety of sources. Where data were not available, we surveyed appropriate personnel in each of the Year One Departments: Data sources other than surveys of departmental personnel included budget documents; data from AFS2, the City's financial system of record; Business Plans; and database printouts and downloads from CARMA, the City's central performance measure database.

The data collected for individual risk factors varied by fiscal year according to appropriateness for each factor. For instance, the factors for relative size (budget and FTEs) in the size and complexity group are based on FY 03 data, while the data used for the performance trend factor in the planning and performance group spanned FY 98 through FY 02 where available.

To the extent possible, risk was assessed at the “activity” level. The activity is the basic unit of organization in the City’s budget. Multiple activities with common objectives combine as a single program. When data at the activity level were unavailable, program or department level data were used and assigned to all relevant activities within the program or department involved.

An example the organizational levels of a department, program, and activities is shown in Exhibit 2.

**EXHIBIT 2**  
**Sample Department, Program, and Activity Structure**



SOURCE: Sample program from the City’s FY 03 Budget.

The following organizational units have been excluded from the three-year risk assessment project:

- Office of the City Auditor (OCA),
- Austin Energy, and
- Mayor and Council.

These entities were excluded because OCA is not independent of itself or of the Mayor and City Council. Also, we conduct ongoing risk assessment for Austin Energy which is reported independently of this project and which is subject to Texas statute and enabling City ordinance on the confidentiality of information relating to the utility’s competitive position in the industry.

The following activities in Year One Departments were excluded from the final analysis for one of the following reasons: They were no longer funded in the FY 03 budget, they existed as accounting conventions and not as units of City internal or external service delivery, or sufficient information did not exist upon which to rate risk. These activities include:

- Transfers and other requirements,

- Conservation rebates and incentives funds, and
- Units with expenditures on AFS2 that did not tie to any specific activities in the budget document (for example, in-kind contributions in some grant funds).

In all, for Year One Departments we assessed 175 activities on each of 29 risk factors in seven risk factor groups.

**METHODOLOGY.** We employed both quantitative and qualitative analysis as appropriate to assess risk for each factor. The weight of each risk factor was assigned based on relative importance and quality of information available on which to rate risk. We rated all activities in Year One Departments for each risk factor on a scale of 1 (low risk) to 5 (high risk). Criteria used to assign ratings to each activity are shown in Appendix A. Examples of how this rating process was applied are show in Exhibit 3.

**EXHIBIT 3**  
**Examples of Risk Assessment Rating Process**

Risk Factor X	Activity Data	=	Risk Rating
<u>Size &amp; Complexity</u> FY03 Budget	First Response \$52M Admin. & Mgmt. \$240K		5 (high) 2 (low-med)
<u>Change</u> Budget FY 01 – FY03 % Change	First Response +34% Admin. & Mgmt. -87%		4 (med-high) 5 (high)
<u>Safety &amp; Liability</u> FY 02 Worker’s Comp. Claims Paid/FTE	First Response \$305/FTE Admin. & Mgmt. \$22/FTE		5 (high) 2 (low-med)

SOURCE: OCA summary of 2003 Risk Assessment examples

We then calculated the overall weighted risk rating for each activity, stratified the resulting activity risk ratings in descending order by tenths, and identified the top 30 percent (or those ranking 8,9,10). This scoring system enabled the highest risk activities to “surface.”

Our results are intended to show where there is a greater likelihood that significant problems could emerge, and therefore, where audit work or additional management attention could make a positive difference. Thus, the results serve as a focusing tool for targeting limited audit and management resources in the areas of greatest need.

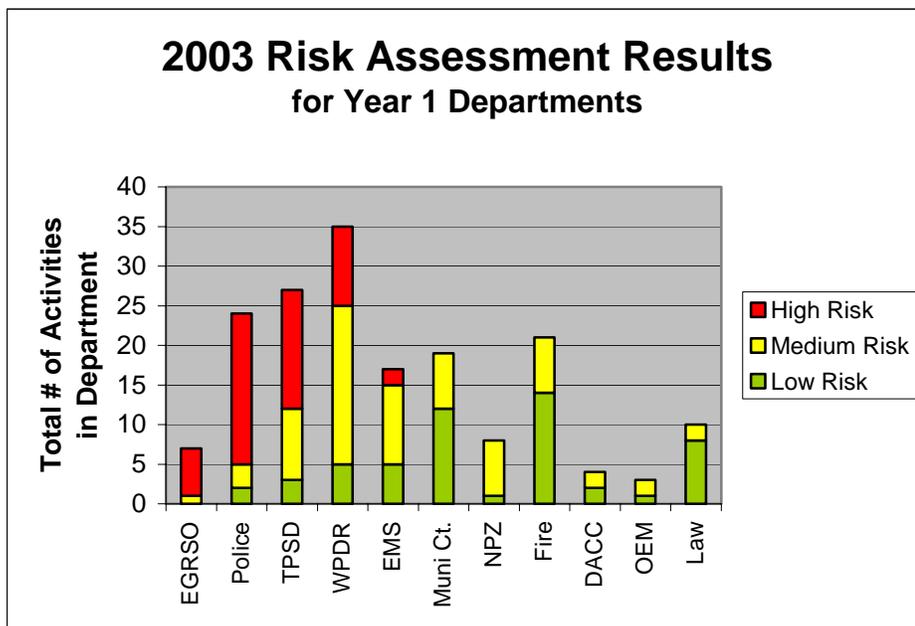
Model design and development took place January - February, 2003. Data gathering, scrubbing, and summary took place March - June, 2003. Analysis and report preparation took place July - mid August, 2003. None of the budget cuts under consideration for FY 2004 were available for inclusion in this analysis. They will be included in the assessment of Year Two Departments and in OCA's annual performance planning process.

This risk assessment was conducted in compliance with the general standards of the generally accepted government auditing standards (the Yellow Book).

## RISK ASSESSMENT RESULTS

**OCA's 2003 Risk Assessment yields a "topographical map" showing activities in the City that had higher risk ratings based on the risk factors assessed.** A high-level overview of this topographical map of risk levels in City activities for Year One Departments is shown in Exhibit 4. See page 24 of Appendix A for definitions of department acronyms.

**EXHIBIT 4**  
**Activity Risk Levels by Department**



SOURCE: OCA Analysis of 2003 Risk Assessment results.

Overall results identify the areas of highest risk according to the risk factors assessed, thus providing focus on areas where OCA services or additional management action may be warranted. These are the areas where the most

impact would be expected from the investment of audit resources or additional management attention.

As shown in Exhibit 5, we found that most (50) of the (52) highest risk activities were clustered in EGRSO, TPSD, Police and WPDR. The remaining two highest risk activities were in EMS.

**EXHIBIT 5**  
**Percentage of Activities in Top 30% Risk Ranking**  
**By Department**

<b>Risk Assessment Yr 1 Depts</b>	<b>Activities in top 30% of highest risk activities</b>	<b>Total Activities*</b>	<b>% of Total Activities in top 30% risk rank</b>
EGRSO	6	7	86%
Police	19	24	79%
TPSD	15	27	56%
WPDR	10	35	29%
EMS	2	17	12%
Muni Ct.	0	19	0%
NPZD	0	8	0%
Fire	0	21	0%
DACC	0	4	0%
OEM	0	3	0%
Law	0	10	0%

SOURCE: OCA analysis of 2003 Risk Assessment Results.

Although no activities in other Year One Departments ranked in the top 30 percent, some of these activities may have rated high on some individual risk factors.

As part of OCA's service plan development and to facilitate discussions with management on other areas for potential risk mitigation actions, we will further assess the top 30 percent risk ranked areas indicated above, along with specific high risk ratings on individual risk factors identified in the remaining 70 percent of risk ranked activities.

**We broke down the highest risk activities for further examination.** The activities that ranked in the top ten percent are shown in Exhibit 6. These would logically warrant a higher level of additional attention by OCA or department management or City management. (See Appendix B for a full list of Year One activities in descending order by risk rating.)

**EXHIBIT 6**  
**Top 10% Risk Ranked Activities in Year One Departments**  
**(Those with Rank of 10) by Program**

**Police**

- **Neighborhood-Based Policing** – First Response, Community Partnerships, Neighborhood-Based Policing Support, Traffic
- **Investigations** – Homeland Defense
- **Operations Support** – Forensic Science Services, Planning & Analysis
- **Support Services** – Fleet/equipment maintenance, Facilities

**WPDR**

- **Building Development** – Building Inspections, Permitting, & Licensing
- **Land Development Review** - Land Development Review & Assistance

**TPSD**

- **Traffic Controls** – Traffic Signals, Traffic Markings
- **Transportation Enhancement** – Parking Space Management
- **Sustainability** – Air Quality
- **Support Services** – Financial Monitoring & Budgeting

**EGRSO**

- **Economic Growth and Redevelopment Services** – Development/Redevelopment

SOURCE: OCA Analysis of 2003 Risk Assessment Results.

Key: **Boldface** = Program; Lightface = Activities.

Activities that ranked in the second and third top ten percent of risk ratings are shown in Exhibit 7. As the exhibit shows, a number of the activities in this group share a common program with the activities ranked in the top ten percent. Also, Support Service activities with high risk ratings were a common theme.

**EXHIBIT 7**  
**2<sup>nd</sup> and 3<sup>rd</sup> Highest Risk Ranked Activities in Year One Departments**  
**(Those with Rank of 8 & 9) by Program**

**Police**

- **Investigations** – Special Operations, Organized Crime, Centralized Investigations
- **Operations Support** – Victim Services, Communications
- **Professional Standards** – Training
- **Support Services** – I.T. Support, Admin & Management, Personnel/Training, Financial Monitoring/Budgeting

**EMS**

- **Operations** – Emergency Services
- **Billing Services** – Billing Services

**EGRSO**

- **Economic Growth and Redevelopment Services** – Project Delivery, Downtown Initiatives, Austin Sense of Place & Cultural Identity
- **Support Services** – Financial Monitoring & Budgeting, Admin & Management

**WPDR**

- **Infrastructure & Waterway Maintenance** – Pond Maintenance, Storm Drain Rehabilitation, Storm Drain Cleaning
- **Flood Hazard Mitigation** – Localized Flood Hazard Mitigation
- **Streambank Restoration & Erosion Management Services** – Streambank Restoration & Erosion Management Services
- **Support Services** – Financial Monitoring & Budgeting, Admin & Management, I.T. Support

**TPSD**

- **Traffic Controls** – Traffic Signs
- **Transportation Enhancement** – Transportation Engineering
- **Long-Range Planning** – Long-Range Land Use; Transportation Improvements; Pedestrian Improvements, Bicycle Improvements
- **CAMPO** – Capital Area Metropolitan Planning Organization
- **Support Services** – Admin & Management, Purchasing, Personnel/Training

SOURCE: OCA Analysis of 2003 Risk Assessment Results.

Key: **Boldface** = Program; Lightface = Activities.

A combined list of the top 30 percent risk ranked activities by program, with associated risk rankings, is shown in Exhibit 8. (See Appendix B for a full list of Year One activities in descending order by risk rating.)

**EXHIBIT 8**  
**Top 30% Risk Ranked Activities in Year One Departments**  
**(Those with Rank of 8, 9, or 10) by Department & Program**

<b>Dept.</b>	<b>Program</b>	<b>Activity</b>	<b>Risk Rank in 10ths</b>
<b>TPSD</b>	<b>Traffic Controls</b>	Traffic Signs	8
		Traffic Signals	10
		Traffic Markings	10
	<b>Transportation Enhancement</b>	Transportation Engineering	9
		Parking Space Management	10
	<b>Capital Area Metropolitan Planning Organization</b>	Capital Area Metropolitan Planning Organization	9
	<b>Long Range Planning</b>	Bicycle Improvements	9
		Pedestrian Improvements	9
		Long Range Land Use	8
		Transportation Improvements	8
	<b>Sustainability</b>	Air Quality	10
	<b>Support Services</b>	Administration and Management	9
		Financial Monitoring/Budgeting	10
		Purchasing/M/WBE	9
		Personnel/Training	9
<b>WPDR</b>	<b>Land Development Review &amp; Inspection</b>	Land Development Review & Assistance	10
	<b>Building Development Regulations</b>	Building Inspections-Permit and Licensing	10
	<b>Streambank Restoration &amp; Erosion Management</b>	Streambank Restoration and Erosion Management Services	8
		Localized Flood Hazard Mitigation	9
	<b>Flood Hazard Mitigation Infrastructure and Waterway Maintenance</b>	Pond Maintenance	9
		Storm Drain Rehabilitation	9
		Storm Drain Cleaning	9
	<b>Support Services</b>	Administration and Management	8
		Financial Monitoring/Budgeting	9
		Information Technology	8

Continued...

**EXHIBIT 8, continued**  
**Top 30% Risk Ranked Activities in Year One Departments**  
**(Those with Rank of 8, 9, or 10) by Department & Program**

Dept.	Program	Activity	Risk Rank in 10ths
<b>EGRSO</b>	<b>Economic Growth and Redevelopment Services</b>	Austin Sense of Place and Cultural Identity	8
		Development/Redevelopment	10
		Downtown Initiatives	8
		Project Delivery	9
	<b>Support Services</b>	Administration & Management	8
		Financial Monitoring/Budgeting	8
<b>EMS</b>	<b>Operations</b>	Emergency Services	9
	<b>Billing Services</b>	Billing Services	8
<b>Police</b>	<b>Neighborhood-Based Policing</b>	First Response	10
		Community Partnerships	10
		Neighborhood-Based Policing	10
		Support	10
		Traffic	10
	<b>Investigations</b>	Centralized Investigations	8
		Organized Crime	8
		Special Operations	8
		Homeland Defense	10
	<b>Operations Support</b>	Communications	8
		Planning and Analysis	10
		Victim Services	9
		Forensic Science Services	10
	<b>Professional Standards</b>	Training	9
	<b>Support Services</b>	Administration and Management	8
		Financial Monitoring/Budgeting	8
		Information Technology Support	8
Facility Expense		10	
Personnel/Training		9	
Fleet/Equipment & Maintenance		10	

SOURCE: OCA Analysis of 2003 Risk Assessment Results.

**Areas with the lowest risk ratings also warrant mention.** The activities with the lowest overall risk ratings are identified in Exhibits 9 & 10. These include activities that ranked 1, 2, or 3 on a scale of 1 to 10, representing the lowest 30 percent rank. As Exhibit 9 shows, Law, Fire, Municipal Court, Downtown Austin Community Court, OEM, and EMS had the highest percentage of activities with low risk ratings. Departments such as WPDR, NPZD, TPSD, and Police that were cited earlier with high risk activities also had some activities in this lowest risk category.

**EXHIBIT 9**  
**Percentage of Activities in Lowest 30% Risk Ranking**  
**By Department**

<b>Risk Assessment Yr 1 Depts</b>	<b>Activities in bottom 30% - Lowest risk activities</b>	<b>Total Activ- ities*</b>	<b>% of Total Activities in bottom 30%</b>
Law	8	10	80%
Fire	14	21	67%
Muni Ct.	12	19	63%
DACC	2	4	50%
OEM	1	3	33%
EMS	5	17	29%
WPDR	5	35	14%
NPZD	1	8	13%
TPSD	3	27	11%
Police	2	24	8%
EGRSO	0	7	0%

SOURCE: OCA analysis of 2003 Risk Assessment Results.

Activities that were not in the top or bottom 30 percent risk rank are considered medium risk overall and are listed in Appendix B, with ranks of 4,5,6, and 7 on a scale of 1 to 10.

In general, activities in the low and medium risk rank groups are less likely candidates for audits or additional management attention. However, it is possible that some of these units would be selected for audit based on concerns about individual risk factor results or other input in OCA's service planning process. (See further discussion under the report section, Use of Risk Assessment Results.)

**EXHIBIT 10**

**Lowest 30% Risk Ranked Activities in Year One Departments  
(Those with Rank of 1, 2, or 3) by Department & Program**

<b>Dept.</b>	<b>Program</b>	<b>Activity</b>	<b>Risk Rank in 10ths</b>
<b>NPZD</b>	<b>Support Services</b>	Purchasing/M/WBE	3
<b>TPSD</b>	<b>Long Range Planning</b>	Annexation	3
	<b>Sustainability</b>	Historic Preservation	3
	<b>Support Services</b>	Facility Expense	3
<b>WPDR</b>	<b>Water Quality Protection</b>	Water quality Planning and Intergovernmental Compliance	1
	<b>Flood Hazard Mitigation</b>	Regional Stormwater Management Evaluation	2
		Flood Early Warning System	2
	<b>Infrastructure and Waterway Maintenance</b>	Town Lake Cleanup	1
	<b>Support Services</b>	Facility Expense	3
<b>EMS</b>	<b>Training &amp; Education</b>	Academy	3
		Media Production	3
	<b>Support Services</b>	Facility Expense	1
		Purchasing/M/WBE	1
		PIO/Community Services	3
<b>Fire</b>	<b>Fire/Emergency Response</b>	AFR Bergstrom	1
	<b>Operations Support</b>	Communications Section	2
		Airmask/Operations Research	1
		Safety Operations	2
		Medical/Quality Compliance	2
		Recruiting	2
		Planning and Research	1
	<b>Emergency Prevention</b>	Fire Code and On-site Inspections	1
		Investigations	1
		Hazardous Materials	
		Engineering	1
		Public Education	2
	<b>Support Services</b>	Administration and Management	3
		Financial Monitoring/Budgeting	3
		Personnel/Training	2

Continued...

**EXHIBIT 10, continued**  
**Lowest 30% Risk Ranked Activities in Year One Departments**  
**(Those with Rank of 1, 2, or 3) by Department & Program**

<b>Dept.</b>	<b>Program</b>	<b>Activity</b>	<b>Risk Rank in 10ths</b>
<b>Muni Ct.</b>	<b>Judiciary</b>	Class C Proceedings	3
		Central Booking	1
	<b>Municipal Court Operations</b>	Records Management	2
		Warrant Collections	3
		Civil Parking	3
	<b>Court Security</b>	Security	2
	<b>Support Services</b>	Administration and Management	1
		Financial Monitoring/Budgeting	1
		Information Technology Support	1
		Facility Expense	2
Purchasing/M/WBE		1	
Vehicle/Equipment Maintenance		2	
<b>DACC</b>	<b>Downtown Austin Community Court</b>	Court Services	2
		DACC Operations/Coordination	3
<b>Police</b>	<b>Professional Standards</b>	Accreditation Inspections	1
	<b>Support Services</b>	Public Information	3
<b>OEM</b>	<b>Office of Emergency Management</b>	Response	3
<b>Law</b>	<b>Advocacy &amp; Dispute Resolution</b>	Civil Litigation	2
	<b>Opinions and Advice</b>	Contract Development, Preparation and Review	3
	<b>Support Services</b>	Administration and Management	2
		Financial Monitoring/Budgeting	2
		Information Technology Support	1
		Facility Expense	3
		Purchasing/M/WBE	2
	Personnel/Training	3	

SOURCE: OCA Analysis of 2003 Risk Assessment Results.

**General cross cutting issues emerged from our work that were not specific to individual activities.** These issues will be studied in further detail, along with other input, as part of OCA's service plan development. Resulting specific audit issues will be brought forward in our annual performance plan proposal.

Emerging issues include:

**Support service reductions and associated concerns about weakening of management control structures.** We were surprised at the number of support service activities that appeared in the high risk group (top 30% by rank). There is some minimum level of support that has to be maintained, and if cut below that level, or if direct service providers have to step in to fill those roles, existing management controls can easily erode. Lack of adequate controls can have a negative impact on direct service delivery and may expose the organization to greater potential for fraud, waste, and abuse.

**Changes in service delivery models.** One cross-cutting theme that arose in a number of areas was the need for efficient and effective service delivery models. For example, there has been a long-standing decentralization of the City's various inspection and code enforcement functions, and management is in the process of re-engineering service delivery models in these areas as well as development and review. In addition, service delivery models and staffing goals for public safety functions are of concern, with the need to operate public safety functions both effectively and efficiently.

**Demand for services exceeding supply, and backlog of workload with loss of FTEs and positions held unfilled.** We noted several instances of change dynamics and performance indicators in the higher-risk activities in Year One Departments reflecting demand for services that exceeded supply even in FY 02, with additional cuts implemented in FY 03, and further cuts anticipated in FY 04. In some instances, customer service improvements have already been negated by the inability to hire or replace staff. In other instances one element of customer service has been maintained at the expense of another. Examples include:

- Activities in the Traffic Controls program area (Signs, Signals, Markings);
- Transportation Engineering with significant design requests and corridor design projects;
- Activities related to storm drain cleaning and rehabilitation;
- Activities related to plan review and permitting functions;
- Environmental Inspection;
- Municipal Court Customer Service.

These are but a few of the areas affected by continued reductions in funding to City services. This imbalance between supply and demand for City services will be receiving ongoing attention by management and OCA. Areas where OCA review or analysis might provide benefit will be considered in the performance planning process.

**Customer Service.** A related issue that came up in the course of our work concerned the impact on customer service of cuts in funding and staffing of City services. Specific areas of concern in many Year One Departments are:

- Citizen access to information about an activity;
- Responsiveness of City staff and processes to citizen complaints; and
- Ease of access to City services.

A review of the most current information available on citizen prioritization of and satisfaction with City services is underway by City management in conjunction with the FY 04 budget process. Any audit projects that would potentially assist in assessing any aspect of this issue would be considered by OCA.

**Technology needs.** Examples of unmet technology needs were reported frequently by Year One Departments that had the greatest percentage of high-risk activities. These include:

- The pollution detection activity in WPDR is affected by unfunded technology needs.
- Flood hazard mitigation activities lack adequate topographical data to do hydraulic and hydrological modeling needed to develop digital floodplain maps used in determining insurance rates and in determining where to perform water quality assessments.
- Storm drain rehab and cleaning activities have had significantly increased demand since the storm event of November, 2001, and the department only has estimates of storm drain linear miles in the system. Lack of data impacts the ability to predict percentage of drains cleaned or rehabilitated, track spills through the system, or precisely identify causes of local flooding.
- Land development, building inspection, commercial building plan inspection functions – these activities are impacted by the need to upgrade the PIER system. Addressing system issues such as these may be especially important given the impending reorganization of the service delivery models in the development, review, and inspection areas.
- In general, the Watershed Protection and Development Review Department is highly data driven and has ongoing database

programming needs for virtually all of its core mission related services. New technology acquisitions (e.g., hand-held devices for inspectors that directly interface with existing programs) are needed to keep pace with demand.

- The traffic signs activity in traffic controls already lacked software and hardware support, when it had an additional decrease in materials and personnel in FY 03.
- The police business plan indicated a need for training and recruiting for increased technical and tactical skills.

**Inter-organizational Coordination.** A number of the activities that ranked in the high-risk category had issues to deal with relating to the need for coordination among organizations. Examples include:

- regional coordination needed to address complex issues such as transportation and air quality;
- inter-departmental coordination needed in the development and review processes;
- shifting federal and state involvement in areas such as homeland defense and environmental protection.

Of particular concern to OCA is the ability to assess the effectiveness of efforts in areas that require collaboration among entities of various jurisdictions. What are the indicators of success, and if we do not have direct ownership or control over the outcomes, is the information available to tell us if we're moving in the right direction? Or, if we do not yet have longitudinal indicators of success, do we at least have process measures that tell us that we're doing enough of the right things that are known to increase the likelihood that our longitudinal results will be positive?

**Availability of information.** Issues of information availability came to our attention through a number of forms in the course of the risk assessment, both in terms of identifying information and technology issues facing the departments being assessed, and in terms of our own ability to collect information to perform the risk assessment at the activity level.

Budgeting and managing a wide variety of services under conditions of extremely constrained resources raises the level of importance of the quality of information available for decision making at all levels. Just as reliable information is needed in adopting an activity level budget, activity level information of various kinds is needed by department, program and activity managers so they can take responsibility for the controls needed in their operations. Obviously this includes consistent and accurate accounting data, but other forms are needed as well. Some

examples of such data needed by all managers at the activity level include:

- Workers' Compensation number and dollar amount of claims filed and claims paid;
- Citizen Complaints;
- Number and dollar amount of legal claims filed and legal claims paid;
- Overtime as a percent of total salaries paid.

**Fee structures.** Some concern came to our attention on the Council/CMO survey of the adequacy of current fee structures and the need for reviews or adjustments. Of particular interest is the identification of fees that have not been reviewed in recent years and the comparison of those fees to levels charged by comparable cities.

**Vehicle driver safety and training.** A common theme in our review of legal claims and suits filed and paid was vehicle driver safety. Texas law affects the extent to which the City is liable for damages arising from its various functions. Vehicle safety is one area in which the City is not exempt under Texas law, and a significant portion of the legal claims and suits paid in the period we reviewed arose from vehicle-related activities. This raises the question of whether sufficient procedures and controls are in place to ensure safe driving in relevant City services.

**Contracts.** Our analysis included a determination of the percentage contract expenditures to total expenditures by activity. This percentage was significant (up to 90%) in some activities. This raised general questions relating to how much of general fund services are being out-sourced, whether the contracts are being well managed, and whether sole source requirements are met where relevant.

**These are but a few of the cross-cutting issues that emerged during the course of the risk assessment.** Continued study of the risk assessment results will undoubtedly reveal other issues that will also be considered as appropriate for inclusion in OCA's 2004 and future performance plans.

## USE OF RISK ASSESSMENT RESULTS

While formal risk assessment models yield valuable information, all of them have limitations. Among the most important of these limitations is the fact that in order to be “doable,” the assessment must be conducted at a very high level. Such an assessment gives a broad-brush picture of inherent risk without identifying how those risks manifest themselves in a specific unit or process. In the same way, if the model addresses controls at all, it can only indicate areas where vulnerability is more likely to exist, but does not indicate whether mitigating controls are actually in place and functioning as intended.

In order to determine how a broad risk category is playing out in a specific auditable unit and to determine whether effective controls are present, a much more detailed assessment at the micro level must be conducted. This is the detailed risk and vulnerability assessment that is carried out in the survey phase of an audit.

**Risk assessment is only one source of input into the audit planning process.** For an organization the size and scope of the City of Austin, no model that is doable could address all possible risks, nor could it identify specific problems that need audit or management attention or assess all areas of concern to the Council, City management, and OCA. Therefore other information must be combined with that produced by the formal risk assessment model in selecting areas for audit.

The process of collecting and combining all such information produces OCA’s annual performance plan. Components that go into developing audit issues for inclusion in our annual plan include:

- Information gleaned from careful combing of the results of the formal risk assessment project. As discussed above, this information largely concerns inherent risk with some indicators of possible vulnerability.
- Input from decision makers – Council, CMO, and department management. This input usually indicates areas where vulnerability is known to exist because specific problems are known to exist.
- Input from OCA management and staff. This input serves three purposes:
  1. We add to the knowledge on areas of vulnerability by including those problems that have been identified through the course of our audits but which were not directly related to the objectives being audited.

2. We run input from all sources through a filter of “do-ability” in order to identify units and processes that we can audit on a reasonable schedule with available resources and skills.
3. Finally we select from all of the audit issues developed from the above named sources those that will ensure the best possible coverage of the City that we can provide with resources available.

The OCA annual performance plan development is already underway and we will be bringing to the Council Audit and Finance Committee a proposed plan for Calendar Year 2004 later this fall.

**APPENDIX A  
RISK ASSESSMENT MODEL**



## **APPENDIX A Risk Assessment Model**

- 1. Audit Universe**
- 2. City of Austin Organizational Chart**
- 3. Summary of Risk Assessment Model**
- 4. Risk Factor Weights**
- 5. Final Scale for Risk Factor Groups**
- 6. Individual Risk Factor Descriptions, Rating Scales, and Rating Criteria**

### **Audit Universe**

The audit universe for OCA's 2003 Risk Assessment is made up of the activities in City Departments. These were divided by business area according to the City of Austin Organizational chart. One-third of the City will be assessed each year for three years under this model, according to the following table.

**Audit Universe – City Departments & Organizational Units  
By Risk Assessment Year**

<b>Abbrev. Name</b>	<b>Department (or organizational unit) Name</b>	<b>Risk Assessment Year 1,2,3</b>
EGRSO	Economic Growth and Redevelopment Services Office	1
NPZD	Neighborhood Planning and Zoning	1
TPSD	Transportation, Planning and Sustainability	1
WPDR	Watershed Protection and Development Review	1
Police	Police Department	1
Fire	Fire Department	1
EMS	Emergency Medical Services Department	1
OEM	Office of Emergency Management	1
Law	Law Department	1
Muni Ct.	Municipal Court	1
DACC	Downtown Austin Community Court	1
ABIA	Aviation Department (Austin-Bergstrom Int'l Airport)	2
ACCD	Austin Convention Center Department	2
DispRes	Office of Dispute Resolution	2
GovRel	Government Relations Office	2
HRD	Human Resources Department	2
MgtSrv	Management Services	2
PIO	Public Information Office	2
PW	Public Works Department	2
SMBR	Small and Minority Business Resources	2
SWS	Solid Waste Services	2
WWW	Water and Wastewater Utility	2
AE	Austin Energy*	3
Agenda	Agenda Office	3
CCD	Community Care Department	3
Clerk	Office of the City Clerk	3
Council	Mayor and Council	3
FASD	Financial and Administrative Services	3
Fleet	Fleet Services	3
HHSD	Health and Human Services	3
ISD	Information Systems Department	3
Library	Library Department	3
NHCD	Neighborhood Housing & Community Development	3
OCA	Office of the City Auditor	3
PARD	Parks and Recreation Department	3
Wireless	Wireless Communications Services	3

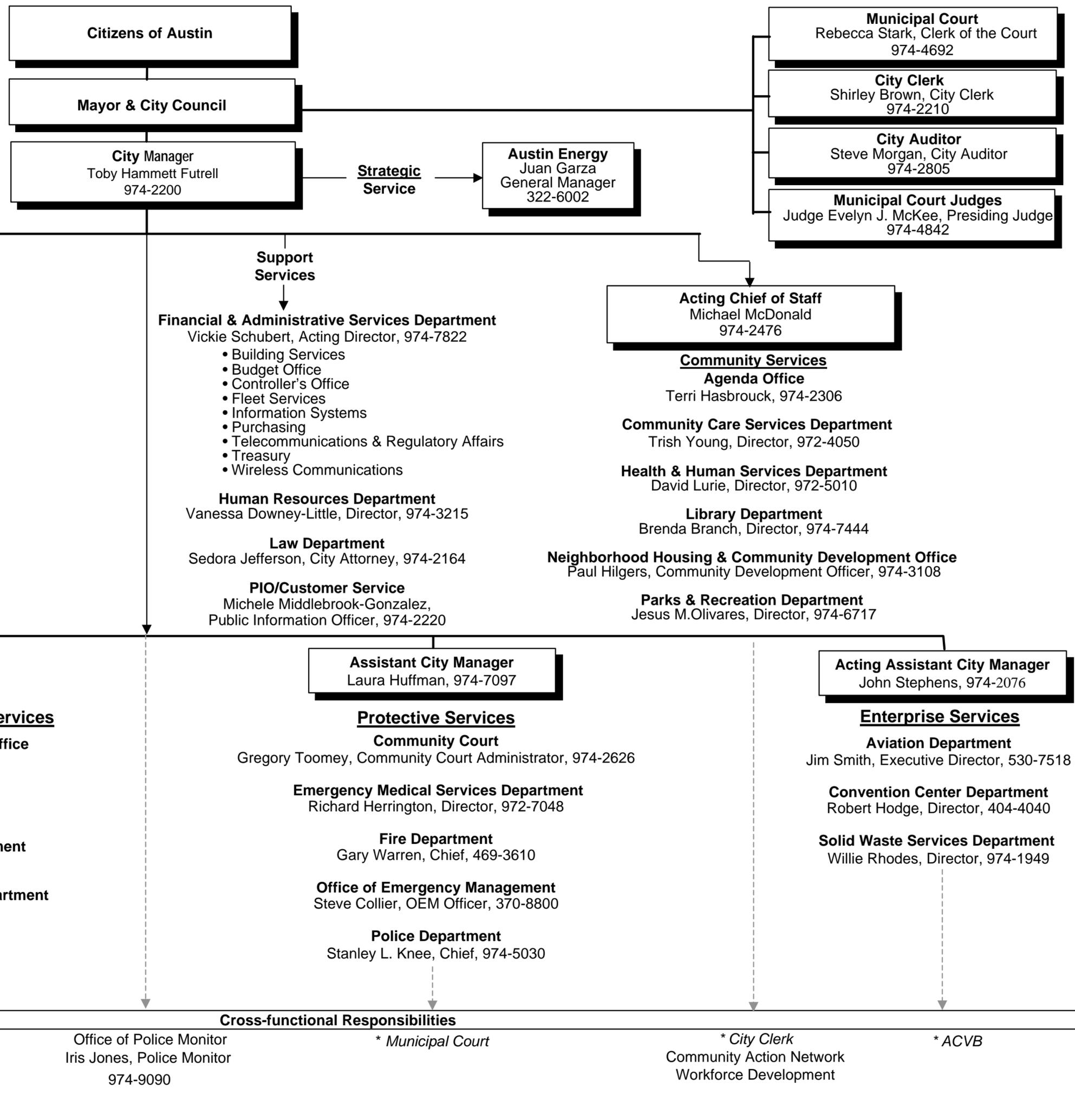
Source: OCA summary of audit universe.

Note: Austin Energy is excluded from the scope of the Citywide Risk Assessment because OCA has an ongoing audit presence at Austin Energy that conducts risk assessment.

# City of Austin



Revised 4/17/2003



\* Liaison Function

## Summary of Risk Assessment Model

### **Audit Universe:**

Operational Departments/Programs/Activities – These were identified from the Budget Document, CARMA system, City Organizational Chart, and grouped by Assistant City Manager in order to make the risk assessment more relevant to how City Management organizes City business areas.

**Scope:** Current fiscal year budgets and plans, prior 2-years' actuals, and subsequent year's business plans.

### **Risk Factor Groups & Relative Weights:**

Risk factors in this model emphasize inherent risks (e.g., size and complexity), although some factors are indicators of both inherent risk and control risk (e.g., Worker's comp claims, Listening to the Workforce scores, or Performance Trends).

- **Size & Complexity Risk 16%**  
Expenditures, FTEs, # of sites, Diversity of services, # of grants, Contracts
- **Change Risk 18%**  
Change in expenditures and FTEs; Turnover and years of service lost; Change dynamics in business plans
- **Planning & Performance Risk 20%**  
Variances in expenditures; Performance trends; Listening to the Workforce Survey – employee satisfaction; Overtime as a % of Salaries
- **Public Concern Risk 11%**  
Citizen complaints; Legal claims & suits filed; Survey of Council/CMO
- **Safety & Liability Risk 9%**  
Worker's Comp claims; Legal claims and suits paid; Listening to the Workforce Survey – safety
- **Ethics Risk 14%**  
Investigator ratings of ethics risks ; Listening to the Workforce Survey – ethics; Liquidity of assets; extent of Cash Handling
- **Mitigating Factors 12%**  
Independent oversight by outside agencies; OCA audits; Other City internal and external audit coverage; Management initiatives

**Risk Factor Weights:**

The following table shows the individual risk factors used in the 2003 risk assessment, along with the relative weights for each.

**OCA 2003 Risk Assessment  
Risk Factors & Relative Weights**

#	Risk Group & Factor Names	# of Factors	Wt.	Total Wt.
<b>1</b>	<b>Size &amp; Complexity</b>	7		<b>16</b>
1.1	Expenditures 03		3	
1.2	FTEs 03		3	
1.3	# sites		2	
1.4	Diversity of Svcs		3	
1.5	# Grants		2	
1.6	Contracts/Expenditures		3	
<b>2</b>	<b>Change</b>	4		<b>18</b>
2.1	Bus Plans		7	
2.2	Trend Bud		4	
2.3	Trend FTE		2	
2.4	Employee turnover by longevity		5	
<b>3</b>	<b>Planning/Performance</b>	4		<b>20</b>
3.1	Var. Exp 02 planned/actual		3	
3.2	Performance results		10	
3.3	LTW Employee sat		3	
3.4	Overtime/Salaries		4	
<b>4</b>	<b>Public Concern</b>	3		<b>11</b>
4.1	Citizen Complaints		4	
4.2	Council/CMO survey		5	
4.3	Legal Claims & Suits Filed		2	
<b>5</b>	<b>Safety/Liability</b>	3		<b>9</b>
5.1	Worker's Comp claims		4	
5.2	Legal Claims & Suits Paid		2	
5.3	Listening to the Workforce - safety		3	
<b>6</b>	<b>Ethics</b>	4		<b>14</b>
6.1	Investigator ratings		4	
6.2	Listening to the Workforce - ethics		3	
6.3	Liquidity of Assets		4	
6.4	Cash Handling		3	
<b>7</b>	<b>Mitigating Factors</b>	4		<b>12</b>
7.1	Independent Oversight		2	
7.2	OCA audits		4	
7.3	Internal & External Audits		2	
7.4	Management Focus		4	
	<b>TOTAL # of factors &amp; total weight</b>	<b>29</b>		<b>100</b>

SOURCE: OCA Summary of 2003 Risk Assessment Risk Factors.

## **Final Scale for Risk Factor Groups**

Each individual risk factor was rated on a scale of 1-5 (low risk – high risk). However, for any given activity being rated, risk may have been rated higher for one factor and lower for another factor within the same group. Thus, the weighted average all of the risk factors within a group will result in a final scale for the group that is less than 1-5.

The final rating scale for each risk factor group is shown below.

### **Summary of Risk Assessment Results**

<b>Risk Factor Group</b>	<b>Size and Complexity</b>	<b>Change</b>	<b>Planning &amp; Performance</b>	<b>Public Concern</b>	<b>Safety &amp; Liability</b>	<b>Ethics</b>	<b>Mitigating Factors</b>	<b>Overall Avg. Risk Rating</b>
<b>Top of Range</b>	<b>4.1</b>	<b>4.6</b>	<b>4.2</b>	<b>3.9</b>	<b>3.8</b>	<b>3.4</b>	<b>5.0</b>	<b>3.28</b>
<b>Bottom of Range</b>	<b>1.0</b>	<b>1.0</b>	<b>1.0</b>	<b>1.0</b>	<b>1.0</b>	<b>1.4</b>	<b>2.0</b>	<b>1.70</b>
<b>Range Value</b>	3.1	3.6	3.2	2.9	2.8	1.9	3.0	1.58
<b>One 5th</b>	0.6	0.7	0.6	0.6	0.6	0.4	0.6	0.32
<b>Range Cutoffs:</b>								
5 - High	4.1	4.6	4.2	3.9	3.8	3.4	5.0	3.28
4 - Med-High	3.5	3.9	3.6	3.3	3.2	3.0	4.4	2.96
3 - Medium	2.9	3.2	2.9	2.7	2.7	2.6	3.8	2.65
2 - Low-Med	2.3	2.4	2.3	2.2	2.1	2.2	3.2	2.33
1 - Low	1.6	1.7	1.6	1.6	1.6	1.8	2.6	2.02
Bottom	1.0	1.0	1.0	1.0	1.0	1.4	2.0	1.70

Source: OCA analysis of Risk Assessment Results.

## **Individual Risk Factor Descriptions, Rating Scales, and Rating Criteria**

### **1. Size & Complexity Risk Factors**

Size risk factors reflect the risks associated with magnitude of dollars and employees being managed. Complexity risk factors reflect risks associated with the nature and complexity of operations. Risk factors examined in this category include expenditures, number of FTEs, number of sites, diversity of services, number of grants, and contract expenditures.

#### 1.1 Expenditures FY 03

The size of expenditures is a significant factor that represents the relative size of each auditable unit in the City.

Rating Criteria: FY 03 Expenditures (Budget)

<b>Risk Rating</b>	<b>Low 1</b>	<b>Low-Med 2</b>	<b>Medium 3</b>	<b>Med-High 4</b>	<b>High 5</b>
	Bottom 5 <sup>th</sup>	2 <sup>nd</sup> 5 <sup>th</sup>	Middle 5 <sup>th</sup>	4 <sup>th</sup> 5 <sup>th</sup>	Top 5 <sup>th</sup>
# of Activities in range	142	143	143	143	143
Approx. Range \$K	\$0-\$59	\$60-\$276	\$279-\$644	\$644-\$1,633	>\$1,633-\$95,248

#### 1.2 Full Time Employees (FTEs) FY 03

Rating Criteria: FTEs

<b>Risk Rating</b>	<b>Low 1</b>	<b>Low-Med 2</b>	<b>Medium 3</b>	<b>Med-High 4</b>	<b>High 5</b>
	Bottom 5 <sup>th</sup>	2 <sup>nd</sup> 5 <sup>th</sup>	Middle 5 <sup>th</sup>	4 <sup>th</sup> 5 <sup>th</sup>	Top 5 <sup>th</sup>
# of Activities in range	167	116	151	140	140
FTEs	0	>0 - 2	>2 - 6	>6 - 15	>15 - 930

### 1.3 Number of Sites

The number of sites and diversity of services are both indicators of complexity. Risk increases proportionately with the complexity of operations. A site is a permanent City facility where employees regularly report to work and conduct City business.

Rating Criteria:

<b>Low</b>	<b>Low-Med</b>	<b>Medium</b>	<b>Med-High</b>	<b>High</b>
<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
1 site	2 sites	3 sites	4 sites	5 or more sites

### 1.4 Diversity of Services

The diversity of a department's services is another indicator of complexity in an organization. The greater the diversity of services offered, the more complex are the management systems needed to ensure efficient, effective and ethical operations.

The diversity of a department's services was assessed and the department was given an overall score. Scores at the activity level were derived by determining whether the activity was part of the core business of the department. If so, it's score was assigned the same as the department score, minus one (down to a minimum score of 1). If the activity is an "outlier service," it was assigned the department score plus one (up to a maximum score of 5). All support services got the department score.

Rating Criteria:

<b>Low</b>	<b>Low-Med</b>	<b>Medium</b>	<b>Med-High</b>	<b>High</b>
<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
One service or related service group.	Two services or service groups that are somewhat similar.	Three to four services or service groups that are similar, or a mix of at least three where one is somewhat diverse.	Two to three or more services or service groups that are somewhat diverse.	Four or more services or service groups that are very diverse.

Sources for Ratings:

- Business Planning documents FY 00 – FY 04
- FY 02 – FY 03 Approved budget documents
- Institutional knowledge of rater

### 1.5 Number of Grants

The greater the number of grants to manage, the more performance and reporting requirements there are to attend to, thus the greater the risk to the organization. Overall department-level ratings were assigned based on the criteria below, and these ratings were then assigned to the activities within the departments that manage the grants.

Rating Criteria:

<b>Low</b>	<b>Low-Med</b>	<b>Medium</b>	<b>Med-High</b>	<b>High</b>
<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
Zero grants	One grant	Two grants	Three grants	Four or more grants

### 1.6 Contracts/Expenditures

The greater the number of and amount of contracts used by departments to perform services, the greater the risk are associated with ensuring contract performance. Contract risk was assessed by rating the FY 02 contract expenditures as a percentage of total expenditures, for each activity.

Rating Criteria: FY 02 Contracts % of Total Expenditures

<b>Risk</b>	<b>Low</b>	<b>Low-Med</b>	<b>Medium</b>	<b>Med-High</b>	<b>High</b>
<b>Rating</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
	Bottom 5 <sup>th</sup>	2 <sup>nd</sup> 5 <sup>th</sup>	Middle 5 <sup>th</sup>	4 <sup>th</sup> 5 <sup>th</sup>	Top 5 <sup>th</sup>
\$ Contracts / Total FY 02 Exp	0 - 18.14%	18.15% - 36.28%	36.29% - 54.42%	54.43% - 72.56%	72.57% - 90.70%

## 2. Change

Change risk factors reflect the risk that changes in City operations could negatively impact the citizens or City service delivery. This risk exists as a result of adjustment to something new or unfamiliar. Examples would include new or untried management systems, or strategies, and adverse adjustments to new management, personnel, or work requirements.

Change risk factors include business plan change dynamics, budget trends, FTE trends, and employee turnover by longevity.

### 2.1 Business Plan Change

As part of the standard Citywide business planning process, City departments identify strengths, weaknesses, opportunities, and threats facing each department, as well as emerging issues or trends (change dynamics) that could have an impact on City operations. Change dynamics may include internal or external pressures or factors that may require a change in order to adapt and successfully continue service delivery.

Rating Criteria:

<b>Low</b>	<b>Low-Med</b>	<b>Medium</b>	<b>Med-High</b>	<b>High</b>
<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
<u>Little change</u> underway, or no significant changes are identified. Or little change needed from the auditor's assessment of the business plan and other knowledge about the business area.	In between low and moderate change identified.	<u>Moderate change.</u> Fairly routine changes underway that come and go with growth and a decline in cycles. Or, a non-routine change is underway, but is not significant to core services or to achievement of the department's mission, goals & objectives or to the activity's purpose.	In between moderate and high change identified.	<u>Significant change</u> underway to core business services or to strategies supporting the organization's mission, goals or objectives. Change maybe affecting major systems, services, strategies, staffing or organizational alignment. Maybe needed changes are not being made or existing change initiatives may not be successful.

**Additional Notes on Methodology:** Final ratings were assigned at the Activity Level. Many departments have change factors that affect an entire program. Where this occurred, an overall program rating was assigned, and additional factors affecting individual activities were assessed at the activity level, which would increase the risk score for that activity. In the absence of additional change factors, the activity was assigned the overall program rating.

## 2.2 Budget Trends FY 01 – FY 03

The degree of budget changes or fluctuations across auditable units can be an indicator of risk within an organization. The more changes and fluctuations in a budget, the more the organization is exposed to risk.

Rating Criteria:

<b>Risk Rating</b>	<b>Low 1</b>	<b>Low-Med 2</b>	<b>Medium 3</b>	<b>Med-High 4</b>	<b>High 5</b>
	Bottom 5 <sup>th</sup>	2 <sup>nd</sup> 5 <sup>th</sup>	Middle 5 <sup>th</sup>	4 <sup>th</sup> 5 <sup>th</sup>	Top 5 <sup>th</sup>
Budget % Chng	0%-10%	>10%-20%	>20%-30%	>30%-40%	>40%

**Additional Notes on Methodology:** If the budget and FTEs had divergent trends (i.e., one was increasing while the other was decreasing), then an additional risk point was added to the budget trend rating, up to a maximum rating of 5.

## 2.3 FTE Trend FY 01 – FY 03

As with the budget, the degree of change in authorized staffing levels (FTEs, or Full Time Equivalent Employees) can be an indicator of risk within an organization. The more changes and fluctuations in staffing levels, the more the organization is exposed to risk in terms of challenges that need to be addressed to maintain quality and continuity of service delivery.

Rating Criteria: % Change in FTEs FY 01 – FY 03

<b>Risk Rating</b>	<b>Low 1</b>	<b>Low-Med 2</b>	<b>Medium 3</b>	<b>Med-High 4</b>	<b>High 5</b>
	Bottom 5 <sup>th</sup>	2 <sup>nd</sup> 5 <sup>th</sup>	Middle 5 <sup>th</sup>	4 <sup>th</sup> 5 <sup>th</sup>	Top 5 <sup>th</sup>
FTEs % Chng	0%-10%	>10%-20%	>20%-30%	>30%-40%	>40%

Note: We used data in budget documents that reflected authorized positions. However, temporary or seasonal employees were not included in our analysis.

## 2.4 Employee Turnover by Longevity

Employee turnover trends (if increasing over time) can indicate risk to an organization. Turnover represents a loss of skills and institutional memory, and therefore, it represents a potential risk to the continuity and quality of service delivery and to department's ability to maintain a qualified workforce. The longer an employee has been with an organization, the more institutional memory and skills are lost when an employee exits the organization. Therefore,

risk ratings were assigned based on years of service lost with the loss of separating employees, shown on the following page.

Rating Criteria:

<b>Risk</b>	<b>Low</b>	<b>Low - Medium</b>	<b>Medium</b>	<b>Medium-High</b>	<b>High</b>
<b>Rating</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
	Bottom 5 <sup>th</sup>	2 <sup>nd</sup> 5 <sup>th</sup>	Middle 5 <sup>th</sup>	4 <sup>th</sup> 5 <sup>th</sup>	Top 5 <sup>th</sup>
Average years of service lost per FTE FY 02 & FY 03 YTD*	0.00 - 0.12	>0.12-.23	>.23 - .35	>.35 - .46	>.46 - .58

\*As of (5/21/03)

### 3. Planning & Performance

Planning and performance risk factors reflect risks associated with the organization's ability to accurately predict expenditures and revenues, and the organization's ability to achieve its goals and objectives, as represented by its performance measures. Planning and performance risk was assessed by examining variance in expenditures, performance measurement trends, employee satisfaction, and overtime/salaries.

#### 3.1 Variance in Expenditures FY 02 Planned vs. Actual

The variance in planned versus actual expenditures can indicate unpredictable requirements, poor financial planning and management and therefore, puts an organization's operations at risk. The greater the variance, the greater the risk to the organization.

Rating Criteria:

<b>Risk</b>	<b>Low</b>	<b>Low-Med</b>	<b>Medium</b>	<b>High-Med</b>	<b>High</b>
<b>Rating</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
	Bottom 5 <sup>th</sup>	2 <sup>nd</sup> 5 <sup>th</sup>	Middle 5 <sup>th</sup>	4 <sup>th</sup> 5 <sup>th</sup>	Top 5 <sup>th</sup>
Variance in Expenditures FY 02 Planned vs. Actual	+/- 0% - 5%	+/- >5% - 10%	+/- >10% - 15%	+/- >15% - 20%	+/- > 20%

### 3.2 Performance Results

An analysis of performance trends can assist in determining whether performance levels are improving, staying level, or declining. These changing performance trends can pose risk to an organization.

Rating Criteria:

<b>Risk</b>	<b>Low</b>	<b>Low-Med</b>	<b>Med</b>	<b>Med-High</b>	<b>High</b>
<b>Rating</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
<b>Performance Trends</b>	Performance improving significantly	Performance improving moderately	Performance flat	Performance declining moderately	Performance declining significantly
<b>-or- Performance Variances</b>	within +/- 2%	+/- >2% - 5%	+/- >5% - 10%	+/- >10% - 15%	+/- >15% var.
<b>-or- Benchmark Comparisons</b>	Performance levels significantly better than comparable entities	Performance levels moderately better than comparable entities	Performance levels the same as comparable entities	Performance levels moderately worse than comparable entities	Performance levels significantly worse than comparable entities
<b>-or- Existence of measures and/or consistency &amp; quality of measurement and reporting</b>	Meaningful measures present and consistently reported.		Some meaningful measures present while others are missing and/or some inconsistencies in measure reporting and calculations.		No measurement tracked and/or poor measures and/or significant inconsistencies in reporting or calculations.
<b>-or- Insufficient information to rate or establish a clear trend</b>			No info.		

Note: "No info" relates to functions that are either newly-created or newly-moved from another department with insufficient information to rate. "No measurement" means performance measures were created and should have been reported but have not been reported.

### 3.3 Listening to the Workforce (LTW) Survey - Employee Satisfaction

Employee satisfaction is an important indicator of organizational risk. For instance, employees who are more satisfied with their work are less likely to perform poorly on the job and perform low quality services than those employees who are not satisfied with their work. The higher the percentage of

positive responses to the survey, the greater the perceived satisfaction in the workplace.

Rating Criteria:

<b>Risk</b>	<b>Low</b>	<b>Low-Med</b>	<b>Medium</b>	<b>Med-High</b>	<b>High</b>
<b>Rating</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
Employee Satisfaction	Top 5 <sup>th</sup>	2 <sup>nd</sup> 5 <sup>th</sup>	Middle 5 <sup>th</sup>	4 <sup>th</sup> 5 <sup>th</sup>	Bottom 5 <sup>th</sup>
% Positive Responses 2002 LTW Survey	81% - 74%	73% - 68%	67% - 61%	66% - 55%	54% - 48%

### 3.4 Overtime/Salaries FY 02

The ratio of overtime to total salaries is an additional indicator of planning/performance risk. Higher levels of overtime may reflect imbalances between workload and staffing levels and may lead to undesirable outcomes over time such as reduced levels of service, service quality, or employee morale.

Rating Criteria:

<b>Risk</b>	<b>Low</b>	<b>Low-Med</b>	<b>Medium</b>	<b>Med-High</b>	<b>High</b>
<b>Rating</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
	Bottom 5 <sup>th</sup>	2 <sup>nd</sup> 5 <sup>th</sup>	Middle 5 <sup>th</sup>	4 <sup>th</sup> 5 <sup>th</sup>	Top 5 <sup>th</sup>
Overtime as % of Total Salaries FY 02	0 - 7.41%	7.42%-14.82%	14.83%-22.23%	22.24% - 29.64%	29.65% - 37.04%

DATA SOURCE: OCA analysis of AFS2 expenditures by object code and activity for FY 02.

## 4. Public Concern & Perception

Public concern and perception risk factors capture areas of concern to citizens and elected officials and high-level City management. Public concern and perception was assessed by examining citizen complaints, Council/CMO survey results, and legal claims and law suits filed.

### 4.1 Citizen Complaints

Citizen complaints are one indicator of public concern regarding City functions or service delivery. The greater the number of complaints, the greater the risk that some problem exists that needs attention. Because the number of employees involved in a function would affect the potential for interactions with the public, larger functions have the potential to receive more complaints

simply because of sheer size. Therefore, the rating of citizen complaints has been normalized for staff size by rating complaints per FTE for each activity.

Rating Criteria:

<b>Risk</b>	<b>Low</b>	<b>Low-Med</b>	<b>Medium</b>	<b>Med-High</b>	<b>High</b>
<b>Rating</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
Range of Complaints	None	Bottom 4th	2 <sup>nd</sup> 4 <sup>th</sup>	3 <sup>rd</sup> 4 <sup>th</sup>	Top 4 <sup>th</sup>
Complaints per FTE, FY 02	0	>0-2.22	>2.22-4.45	>4.45-6.67	>6.67-8.89
Complaints per FTE, FY03 YTD	0	>0-.83	>.83-1.67	>1.67-2.5	>2.5-3.33

DATA SOURCE: Analysis of Customer Assistance Forms (CAFs) from the City's Automated Customer Assistance Program (ACAP) database.

Note: The number of CAFs/FTE measured for FY 03 was lower than FY 02 because FY 03 data was for a partial year, whereas FY 02 data was for a full year.

#### 4.2 Council/CMO Survey

A survey was developed and administered to Council members and the City Manager's Office. The questions centered on what issues they heard the most about from citizens, what the most important short-term issues facing the City were, and what the most important long-term issues facing the City were.

Rating Criteria:

<b>Risk</b>	<b>Low</b>	<b>Low-Med</b>	<b>Medium</b>	<b>Med-High</b>	<b>High</b>
<b>Rating</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
Number of respondents who commented per activity	0	1	2 - 3	4	5 - 8
Resulting number of activities	555	110	25	5	7

DATA SOURCE: FY 03 Council/CMO data: Range: 0 to 8 people commented.

#### 4.3 Legal Claims & Suits Filed

Legal claims and suits filed are another indicator of citizen concern about some aspect of City operations or service delivery, going beyond just registering a complaint to making an actual claim for damages due. As with citizen complaints, suits and claims filed per FTE have been rated in order to normalize for activity size. Claims and suits paid, as opposed to those filed, are rated separately in the risk category addressing safety and liability.

Rating Criteria:

<b>Risk</b>	<b>Low</b>	<b>Low-Med</b>	<b>Medium</b>	<b>High-Med</b>	<b>High</b>
<b>Rating</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
Legal Claims & Suits Filed per 100 FTE FY 02 - FY 03	0	> 0 - 5	> 5-10	> 10-20	> 20

## 5. Safety & Liability

Safety and liability risk factors represent the risk that unsafe working conditions, improper work processes, or inherently dangerous types of work could result in injury or damage to employees or citizens. Indicators examined worker's compensation claims, legal claims, law suits paid, and LTW survey results on employee safety.

Many of the jobs within the City are inherently dangerous based on the physically demanding nature of the work and exposure to hazardous conditions and materials. By effectively identifying and controlling safety risks, the City can reap the benefits of reduced human and financial costs as well as avoid losses in productivity.

### 5.1 Worker's Compensation Claims Paid

The amount paid in worker's compensation claims filed against the City is an indicator of both inherent risk and control risk. Departments with higher claim amounts paid could indicate greater inherent risk involved in the nature of the work performed than in those departments with where lower compensation claim amounts were paid out by the City. Higher claims could also indicate missing procedures, training issues, or controls that do not mitigate inherent risks stemming from the nature of the work.

Rating Criteria:

<b>Risk</b>	<b>Low</b>	<b>Low-Med</b>	<b>Medium</b>	<b>Med-High</b>	<b>High</b>
<b>Rating</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
Worker's Comp Claims \$ Paid per FTE FY 02	\$0	> \$0 - \$25	> \$25 - \$128	> \$128 - \$460	> \$460 - \$4,589

## 5.2 Legal Claims and Suits Paid

The number of legal claims and law suits paid out by the City indicate the risk that a department's functions can cause the City to incur legal liabilities. Legal claims can serve as an indicator of weak controls (such as poor training of employees or hazardous conditions for citizens) because they reflect incidents having to do with City property or processes.

Rating Criteria: Dollars Paid

<b>Risk</b>	<b>Low</b>	<b>Low-Medium</b>	<b>Medium</b>	<b>Medium-High</b>	<b>High</b>
<b>Rating</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
Legal Claims & Suits \$ paid per FTE, FY 02 -FY 03	\$0	> \$0 - \$100	> \$100 - \$200	> \$200 - \$300	> \$300

## 5.3 LTW - Safety

Despite the challenge created by its large workforce and diversity of services, the City has both an ethical and legal obligation to provide a safe work environment for its employees. The City's annual Listening to the Workforce Survey (LTW) questions on safety are one indicator of the effectiveness of City efforts at controlling these risks.

Rating Criteria:

<b>Risk</b>	<b>Low</b>	<b>Low-Med</b>	<b>Medium</b>	<b>Med-High</b>	<b>High</b>
<b>Rating</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
Employee Safety	Top 5 <sup>th</sup>	2 <sup>nd</sup> 5 <sup>th</sup>	Middle 5 <sup>th</sup>	4 <sup>th</sup> 5 <sup>th</sup>	Bottom 5 <sup>th</sup>
% Positive Responses 2002 LTW Survey	85% - 73%	72% - 62%	61% - 50%	49% - 39%	38% - 27%

## 6. Ethics: Vulnerability to theft, fraud, waste, & abuse

Ethics risk factors represent vulnerability to fraud, waste, and abuse, or the risk that unethical behavior or organizational culture will negatively impact the City organization or citizens. Many ethical problems found in the workplace are organizational in nature. They often have their roots in work pressures that lead people to cut corners and in the development of informal group norms and practices that are contrary to formal rules and procedures. National surveys show that employees are observing a high level of illegal and unethical

conduct on the job, and public employees express the most negative observations about the incidence of problems in the workplace. Improper employee conduct is one of the greatest risks to success in an organization. Factors examined included Employee Ethics, Liquidity of Assets, and Cash handling.

## 6.1 Investigator Ratings

OCA investigators generally receive allegations of fraud, waste, and abuse (integrity violations), while HRD investigators receive allegations of other types of ethics/personnel policy violations such as sexual harassment, general harassment, retaliation, favoritism, drug and alcohol abuse, etc.

OCA and HRD investigators were asked to rate auditable units based on investigation experience. The ratings drew upon the investigator's direct experience and knowledge of the areas, rather than on the number of cases or allegations involved.

Ratings given by different investigators for a given auditable unit were compiled and averaged by the Risk Assessment team. Investigators may have rated auditable units at the department, program, or activity level. If there was a rating at the department or program level but none at the activity level, then the department or program rating was assigned to the activities involved. If there was an individual activity level rating and also a department or program level rating, the activity-level rating was adjusted upward or downward to reflect the department or program level rating. All activities that did not have a rating after this process were given a rating of 3, which corresponds to "no knowledge," or medium risk.

Risk ratings by investigators were included in the calculation of overall risk ratings for each activity, but the specific ratings are not shown in the final report because they may be based on sensitive information.

Rating Criteria: Investigator ratings

<b>Risk</b>	<b>Low</b>	<b>Low-Med</b>	<b>Med</b>	<b>Med-High</b>	<b>High</b>
<b>Rating</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
<b>Risk of integrity violations</b>	Low risk of integrity violations	Low-medium risk of integrity violations	Medium risk of integrity violations	Medium-high risk of integrity violations	High risk of integrity violations
<b>As represented by any of the following:</b>					
<b>Investigator knowledge of the area (auditable unit)</b>	Knowledge of strong ethical environment		No knowledge of the area		Knowledge of significant integrity issues
<b>Controls &amp; procedures to prevent violations</b>	Strong controls in place	Strong to moderate level of controls in place		Moderate to low level of controls in place	No controls or very weak controls in place
<b>Control environment/management attitudes</b>	High level of concern about ensuring an ethical environment and employee behavior	High-medium level of concern about ensuring an ethical environment and employee behavior		Medium-low level of concern about ensuring an ethical environment and employee behavior	Low level of concern about ensuring an ethical environment and employee behavior
<b>Accountability action</b>	Accountability action is <u>always</u> taken by management on completed investigations that prove integrity violations occurred.	Accountability action is <u>frequently</u> taken by management on completed investigations that prove integrity violations occurred.		Accountability action is <u>sometimes</u> taken by management on completed investigations that prove integrity violations occurred.	Accountability action is <u>never</u> taken by management on completed investigations that prove integrity violations occurred.
<b>Sources of allegations</b>	Management typically reports allegations of integrity violations	Mostly managers (and few employees) are the source of allegations of integrity violations		Mostly employees (and few managers) are the source of allegations of integrity violations	Employees are the only source of allegations of integrity violations

DATA SOURCE: OCA Survey of Investigators for 2003 Risk Assessment.

## 6.2 LTW – Ethics

In the 2002 Listening to the Workforce (LTW) survey, employees were asked to rate statements regarding the ethical environment they worked in. The higher the percentage score, the greater the perceived ethical climate in the workplace.

Rating Criteria:

<b>Risk</b>	<b>Low</b>	<b>Low-Med</b>	<b>Medium</b>	<b>Med-High</b>	<b>High</b>
<b>Rating</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
Employee Ethics	Top 5 <sup>th</sup>	2 <sup>nd</sup> 5 <sup>th</sup>	Middle 5 <sup>th</sup>	4 <sup>th</sup> 5 <sup>th</sup>	Bottom 5 <sup>th</sup>
% Positive Responses 2002 LTW Survey	93%	73%	64%	54%	44%

## 6.3 Liquidity of Assets

Liquidity of assets refers to assets such as tools, small equipment, and supplies that could easily be misplaced. The greater these items are used, the more controls are needed to ensure they are safeguarded and properly accounted for and used.

Rating Criteria:

<b>Risk</b>	<b>Low</b>	<b>Low-Med</b>	<b>Medium</b>	<b>Med-High</b>	<b>High</b>
<b>Rating</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
	Bottom 5 <sup>th</sup>	2 <sup>nd</sup> 5 <sup>th</sup>	Middle 5 <sup>th</sup>	4 <sup>th</sup> 5 <sup>th</sup>	Top5 <sup>th</sup>
Commodities as a % of Total Expenditures, FY 02	0% - 6.44%	6.45% - 12.89%	12.90% - 19.34%	19.35% - 25.79%	25.80% - 32.24%

DATA SOURCE: OCA Analysis of AFS2 Expenditures by object code and activity for FY 02.

## 6.4 Cash handling

Cash handling examined both the dollar volume of cash handled and the number of cash handlers.

Rating Criteria:

<b>Risk</b>	<b>Low</b>	<b>Low-Med</b>	<b>Medium</b>	<b>Med-High</b>	<b>High</b>
<b>Rating</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
	Bottom 5 <sup>th</sup>	2 <sup>nd</sup> 5 <sup>th</sup>	Middle 5 <sup>th</sup>	4 <sup>th</sup> 5 <sup>th</sup>	Top 5 <sup>th</sup>
Approx. cash handled per week	\$0	\$1-\$99	\$100-\$499	\$500-\$1000	Over \$1000
# of cash handlers	0	1	2 - 3	4 - 9	10 or more

## 7. Mitigating Factors

Mitigating factors represent conditions that are expected to mitigate risks, and therefore, reduce the overall risk rating for a given auditable unit, reducing the need for inclusion in OCA's audit service planning. The mitigating factors examined include Independent oversight by outside agencies, OCA audits, internal and external audits, and management focus.

### 7.1 Independent Oversight – Number of entities providing oversight

There can be more than one independent agency providing oversight to a City department. The independent agencies providing oversight can lead to lower risk for an organization than in those departments without any independent oversight, by increasing the likelihood that any problems will be noticed and addressed.

Rating Criteria: Independent Oversight

<b>Risk</b>	<b>Low</b>	<b>Low-Med</b>	<b>Med</b>	<b>High-Med</b>	<b>High</b>
<b>Rating</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
Number of entities providing independent oversight	3 or more independent bodies or reviews involved in oversight		1-2 independent bodies or reviews involved in oversight		No independent oversight/ review

DATA SOURCE: OCA Survey of Department Managers

### 7.2 OCA Audits

Departments having had OCA audit involvement within the last few years are at less risk than those departments that have not had any audit activity within the last few years.

Rating Criteria:

<b>Risk</b>	<b>Low</b>	<b>Low-Med</b>	<b>Medium</b>	<b>High-Med</b>	<b>High</b>
<b>Rating</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
Full Audit in:	FY 03	FY 02	FY 01	FY 00	None since FY 00
Touched in:		FY 03	FY 02	FY 01	FY 00

### 7.3 Internal & External Audits

Internal and external audit efforts reduce risk in City operations and are also seen as mitigating factors.

Rating Criteria:

<b>Risk Rating</b>	<b>Low 1</b>	<b>Low-Med 2</b>	<b>Med 3</b>	<b>High-Med 4</b>	<b>High 5</b>
Internal & External Audit Coverage Combined	Audited Annually or Audited in 2003 (of FY2003 data)	Audited in 2003 (of FY2002 data)	Audited 2002 (of FY2001 data)	Audited in 2001 (of FY2000 data)	Not Audited at all or not audited since 2000 (of FY1999 data)
Or (if only a few transactions tested)		"Touched" in 2003 Audit (of FY2003 data)	"Touched" in 2003 Audit (of FY2002 data)	"Touched" in 2002 Audit (of FY2001 data)	"Touched" in 2001 Audit (of FY2000 data)

### 7.4 Management Focus

Management Focus consists of initiatives identified to address issues at hand or needed improvements. These initiatives might be undertaken at any level: Council, City Management, Department, Program, Activity, cross-functional, etc. In theory, when management is focusing on an area of governmental services, the risk associated with that area drops during the period of management focus. This is particularly true where the focus is associated with reengineering of services for more effective, efficient service delivery, or where managers involved in the initiative are required to present regular reports to the appropriate level(s) of management.

Rating Criteria: Management Initiatives

<b>Risk Rating</b>	<b>Low 1</b>	<b>Low-Med 2</b>	<b>Medium 3</b>	<b>Med-High 4</b>	<b>High 5</b>
Existence of Management Initiatives to mitigate identified risks	Underway		Planned		No management initiatives identified to mitigate identified risks

**Additional notes on ratings:** An initial rating was given at the appropriate level for the initiative identified (Department, Program, Activity, etc.). That rating was then applied at the Activity level to all Activities that fell under the initially rated level. Any additional initiatives applicable to an activity already rated would serve to further reduce the risk rating for that activity.

**APPENDIX B**  
**OVERALL RISK RATINGS FOR YEAR ONE DEPARTMENTS**  
**IN DESCENDING ORDER BY RISK RANK**



OCA 2003 Risk Assessment

Overall Ratings - Descending Order

			Weight	16	18	20	11	9	14	12	100	
			Factor #	1	2	3	4	5	6	7	TOTAL	
			Risk Factor Group:	Size & Complexity	Change	Planning & Performance	Public Concern	Safety & Liability	Ethics	Mitigating Factors	Weighted Avg. - All Factors	Risk Rank in 10ths
Dept.	Program	Activity	Risk Ratings									
TPSD	Traffic Controls	Traffic Signals	3.1	3.8	4.2	2.4	2.4	2.5	3.7	3.28	10	
Police	Neighborhood-Based Policing	Community Partnerships	3.9	2.8	3.8	2.8	3.3	2.4	3.3	3.22	10	
TPSD	Transportation Enhancement	Parking Space Management	3.1	3.3	3.6	1.9	2.9	2.2	5.0	3.19	10	
Police	Neighborhood-Based Policing	Neighborhood-Based Policing Support	3.9	2.1	3.7	2.6	3.8	2.3	4.0	3.17	10	
TPSD	Traffic Controls	Traffic Markings	2.9	2.9	3.9	1.7	2.4	3.4	4.3	3.16	10	
WPDR	Land Development Review & Inspection	Land Development Review & Assistance	3.3	3.7	3.0	3.7	1.2	2.4	4.3	3.16	10	
TPSD	Sustainability	Air Quality	2.1	4.4	4.2	2.4	1.6	2.1	3.7	3.12	10	
EGRSO	Economic Growth and Redevelopment Services	Development/Redevelopment	2.1	4.2	3.9	2.8	1.7	2.0	4.0	3.10	10	
Police	Neighborhood-Based Policing	Traffic	3.9	3.5	3.3	2.5	2.0	1.9	4.0	3.10	10	
Police	Operations Support	Planning and Analysis	3.3	3.4	3.2	1.5	2.9	2.7	4.0	3.06	10	
Police	Operations Support	Forensic Science Services	3.8	3.0	3.2	1.5	2.9	2.6	4.0	3.05	10	
Police	Support Services	Facility Expense	3.1	2.7	3.5	1.5	3.8	1.9	5.0	3.05	10	
Police	Neighborhood-Based Policing	First Response	3.9	3.1	2.5	2.8	3.3	1.9	4.0	3.03	10	
Police	Investigations	Homeland Defense	3.9	3.9	2.8	2.5	2.0	1.9	3.7	3.03	10	
WPDR	Building Development Regulations	Building Inspections-Permit and Licensing	3.3	3.1	2.1	3.7	2.1	2.7	4.7	3.03	10	
Police	Support Services	Fleet/Equipment & Maintenance	3.1	2.6	3.2	1.5	3.8	2.2	5.0	3.00	10	
TPSD	Support Services	Financial Monitoring/Budgeting	2.3	4.4	3.6	1.5	1.6	1.9	4.3	2.99	10	
TPSD	Transportation Enhancement	Transportation Engineering	3.3	3.0	3.8	2.8	1.6	2.2	3.3	2.97	9	
TPSD	Long Range Planning	Bicycle Improvements	2.3	4.0	4.2	3.5	1.6	1.9	2.0	2.97	9	
EMS	Operations	Emergency Services	3.6	4.1	2.3	2.1	2.9	2.2	3.3	2.96	9	
EGRSO	Economic Growth and Redevelopment Services	Project Delivery	3.4	4.0	3.9	1.0	1.7	2.0	3.0	2.94	9	
TPSD	Support Services	Administration and Management/General Administration	2.9	4.4	2.6	2.7	1.6	1.9	3.7	2.93	9	
Police	Professional Standards	Training	3.4	2.4	3.3	1.5	3.3	1.9	4.7	2.92	9	
TPSD	Support Services	Purchasing/M/WBE	2.3	3.9	3.6	1.5	1.6	1.9	4.3	2.90	9	
WPDR	Flood Hazard Mitigation	Localized Flood Hazard Mitigation	2.5	4.2	1.8	2.8	2.1	2.0	5.0	2.89	9	
Police	Support Services	Personnel/Training	2.9	2.8	3.3	2.0	2.0	2.2	4.7	2.89	9	
Police	Operations Support	Victim Services	3.8	2.8	2.6	1.5	3.3	1.9	4.0	2.84	9	
TPSD	Capital Area Metropolitan Planning Organization	Capital Area Metropolitan Planning Organization	2.8	4.0	3.1	1.5	1.6	2.2	3.7	2.83	9	
TPSD	Long Range Planning	Pedestrian Improvements	1.9	4.4	3.6	3.2	1.6	1.9	2.0	2.83	9	

OCA 2003 Risk Assessment

Overall Ratings - Descending Order

			Weight	16	18	20	11	9	14	12	100	
			Factor #	1	2	3	4	5	6	7	TOTAL	
			Risk Factor Group:	Size & Complexity	Change	Planning & Performance	Public Concern	Safety & Liability	Ethics	Mitigating Factors	Weighted Avg. - All Factors	Risk Rank in 10ths
Dept.	Program	Activity	Risk Ratings									
WPDR	Infrastructure and Waterway Maintenance	Storm Drain Rehabilitation	2.9	3.2	2.8	1.9	1.2	2.6	4.7	2.83	9	
WPDR	Support Services	Financial Monitoring/Budgeting	2.5	3.0	3.4	2.0	1.2	2.6	4.3	2.83	9	
TPSD	Support Services	Personnel/Training	2.3	4.4	2.8	1.5	1.6	1.9	4.3	2.82	9	
WPDR	Infrastructure and Waterway Maintenance	Pond Maintenance	3.1	4.2	1.5	1.9	3.0	2.0	4.3	2.82	9	
WPDR	Infrastructure and Waterway Maintenance	Storm Drain Cleaning	2.3	3.4	3.2	1.9	1.2	2.3	4.7	2.81	9	
TPSD	Long Range Planning	Transportation Improvements	2.1	3.9	3.9	2.9	1.6	1.9	2.0	2.79	8	
Police	Investigations	Organized Crime	3.4	3.7	1.7	1.9	3.3	1.9	4.0	2.79	8	
Police	Investigations	Special Operations	3.5	3.6	1.7	1.9	3.3	1.9	4.0	2.79	8	
WPDR	Support Services	Information Technology	2.5	4.1	3.0	2.0	1.2	2.0	3.7	2.77	8	
EGRSO	Economic Growth and Redevelopment Services	Downtown Initiatives	1.6	4.6	3.0	1.4	1.7	2.0	4.3	2.77	8	
Police	Operations Support	Communications	3.4	2.8	2.9	1.7	3.3	2.2	3.0	2.77	8	
Police	Support Services	Financial Monitoring/Budgeting	2.5	2.7	2.3	3.4	2.0	1.9	5.0	2.76	8	
Police	Support Services	Information Technology Support	2.8	2.7	3.5	1.5	2.0	1.9	4.3	2.76	8	
EMS	Billing Services	Billing Services	2.3	3.5	3.3	1.5	1.6	3.0	3.0	2.76	8	
EGRSO	Economic Growth and Redevelopment Services	Austin Sense of Place and Cultural Identity	1.9	4.2	3.3	1.0	1.7	2.0	4.0	2.75	8	
TPSD	Traffic Controls	Traffic Signs	2.9	2.7	1.9	1.9	3.3	2.8	4.3	2.74	8	
WPDR	Support Services	Administration and Management	2.7	3.8	1.6	2.1	1.2	2.6	5.0	2.74	8	
EGRSO	Support Services	Financial Monitoring/Budgeting	1.8	3.8	3.3	1.0	1.7	2.3	4.3	2.73	8	
Police	Investigations	Centralized Investigations	3.4	3.0	2.7	1.9	2.9	1.9	3.2	2.73	8	
WPDR	Streambank Restoration & Erosion Management	Streambank Restoration and Erosion Management Services	2.1	2.9	2.8	2.8	1.2	2.0	5.0	2.71	8	
EGRSO	Support Services	Administration & Management	1.8	3.8	3.3	1.5	1.7	2.3	3.7	2.70	8	
TPSD	Long Range Planning	Long Range Land Use	2.1	3.7	2.8	2.6	1.6	1.9	3.7	2.69	8	
Police	Support Services	Administration and Management	2.5	2.8	2.5	2.5	2.4	1.9	4.3	2.68	8	
TPSD	Long Range Planning	Spatial Analysis, Forecasting, and Demographics	2.1	2.8	3.6	1.5	1.6	1.9	4.3	2.67	7	
Muni Ct.	Municipal Court Operations	Customer Service	2.6	3.3	2.6	1.5	2.4	2.8	3.0	2.67	7	
EMS	Operations	Emergency Communications	2.8	3.4	2.5	1.2	2.0	2.2	4.0	2.65	7	
NPZ	Zoning Case Management	Zoning Case Management	1.9	3.4	2.6	3.9	1.0	1.8	3.7	2.65	7	
WPDR	Land Development Review & Inspection	Environmental Inspection	2.5	2.7	2.5	2.9	2.1	2.3	3.7	2.64	7	

OCA 2003 Risk Assessment

Overall Ratings - Descending Order

			Weight	16	18	20	11	9	14	12	100	
			Factor #	1	2	3	4	5	6	7	TOTAL	
			Risk Factor Group:	Size & Complexity	Change	Planning & Performance	Public Concern	Safety & Liability	Ethics	Mitigating Factors	Weighted Avg. - All Factors	Risk Rank in 10ths
Dept.	Program	Activity	Risk Ratings									
Fire	Fire/Emergency Response	Combat Operations	4.1	2.8	1.5	2.5	2.6	2.2	3.0	2.64	7	
TPSD	Sustainability	Sustainability	1.9	2.9	3.2	2.0	1.6	1.9	4.3	2.62	7	
WPDR	Water Quality Protection	Water Quality Education	2.5	3.4	2.8	2.0	1.2	2.6	3.0	2.62	7	
EGRSO	Support Services	Facilities Expense	1.6	3.8	2.8	1.0	1.7	2.3	4.3	2.60	7	
Police	Professional Standards	Internal Affairs	2.9	1.6	3.2	1.9	2.0	1.9	4.7	2.60	7	
TPSD	Transportation Enhancement	Work Zone Safety	2.7	1.6	2.8	1.7	3.3	2.2	4.3	2.59	7	
TPSD	Sustainability	Water Conservation	2.9	1.9	2.9	2.2	1.6	2.1	4.3	2.59	7	
TPSD	Child Safety	School Crossing Guards	3.0	1.6	2.9	1.7	3.3	1.9	4.0	2.58	7	
WPDR	Building Development Regulations	Commercial Building Plan Review	2.9	2.8	1.3	3.3	1.2	2.3	4.7	2.58	7	
WPDR	Watershed Protection Master Planning	Watershed Protection Master Planning	1.8	3.4	2.4	2.0	1.2	2.0	5.0	2.58	7	
Fire	Support Services	Purchasing/M/WBE	2.1	2.6	3.2	1.2	1.2	2.8	4.3	2.58	7	
WPDR	Water Quality Protection	Salamander Research Program (AKA Aquatic Endangered Species Protection)	2.1	3.7	2.0	2.0	3.0	2.3	3.0	2.57	7	
Muni Ct.	Municipal Court Operations	Courtroom Support	1.8	2.6	3.6	1.5	3.3	1.9	3.0	2.57	7	
Muni Ct.	Support Services	Personnel/Training	1.3	3.7	3.7	1.6	1.6	1.9	3.0	2.56	6	
Police	Support Services	Purchasing/M/WBE	2.9	2.2	1.8	1.5	2.0	2.8	5.0	2.56	6	
Law	Opinions and Advice	General Counsel	2.5	2.9	2.5	2.0	2.2	2.0	3.7	2.56	6	
NPZ	Code Compliance	Code Compliance	2.3	3.1	2.0	3.2	1.9	2.0	3.7	2.55	6	
WPDR	Support Services	Purchasing/M/WBE	1.9	3.0	3.4	1.5	1.2	2.0	3.8	2.55	6	
NPZ	Neighborhood Planning	Neighborhood Planning	2.3	3.9	1.6	3.5	1.0	1.7	3.7	2.54	6	
TPSD	Sustainability	Urban Design	2.3	3.3	2.2	2.5	1.6	1.9	3.7	2.54	6	
EMS	Training & Education	Safety	1.4	3.5	3.3	1.2	1.6	2.2	3.7	2.53	6	
NPZ	Support Services	Administration and Management	2.1	2.8	3.5	2.1	1.0	1.6	3.7	2.52	6	
EMS	Operations	STAR Flight	2.1	2.5	3.3	1.2	1.6	2.2	4.0	2.50	6	
DACC	Downtown Austin Community Court	Community Service Restitution	1.8	2.3	4.2	1.2	1.6	2.2	3.0	2.48	6	
WPDR	Water Quality Protection	Environmental Impact Assessment	2.1	3.1	2.4	2.0	1.2	2.3	3.7	2.47	6	
WPDR	Flood Hazard Mitigation	Creek Flood Hazard Mitigation	2.1	2.6	2.3	2.6	1.2	2.0	4.3	2.46	6	
WPDR	Support Services	Personnel/Training	2.3	3.0	2.1	2.0	1.2	2.0	4.3	2.46	6	
Fire	Support Services	Vehicle/Equipment Maintenance	3.2	1.8	3.0	1.2	1.2	2.2	4.0	2.46	6	
WPDR	Water Quality Protection	Pollution Prevention & Reduction	2.5	1.9	3.0	2.0	1.7	2.8	3.0	2.45	6	
Law	Advocacy & Dispute Resolution	Criminal Prosecution	2.1	3.3	2.5	1.0	1.3	1.4	5.0	2.45	6	

OCA 2003 Risk Assessment

Overall Ratings - Descending Order

			Weight	16	18	20	11	9	14	12	100	
			Factor #	1	2	3	4	5	6	7	TOTAL	
			Risk Factor Group:	Size & Complexity	Change	Planning & Performance	Public Concern	Safety & Liability	Ethics	Mitigating Factors	Weighted Avg. - All Factors	Risk Rank in 10ths
Dept.	Program	Activity	Risk Ratings									
TPSD	Sustainability	Smart Growth	2.1	2.8	2.2	2.8	1.6	1.9	3.7	2.44	6	
WPDR	Support Services	PIO/Community Services	1.9	3.0	2.9	1.5	1.2	2.0	3.7	2.43	5	
EMS	Support Services	Vehicle/Equipment Maintenance	2.3	1.9	3.3	1.2	1.6	2.2	4.0	2.43	5	
Muni Ct.	Municipal Court Operations	Case Initiation & Management	2.3	2.7	3.3	1.4	1.6	1.9	3.0	2.43	5	
DACC	Downtown Austin Community Court	Rehabilitation Services	1.9	3.4	3.2	1.2	1.6	1.6	3.0	2.43	5	
WPDR	Brownfields Program	Brownfields	2.4	3.0	2.3	1.5	1.2	2.3	3.7	2.42	5	
EMS	Support Services	Personnel/Training	1.8	2.4	2.8	1.6	1.6	2.2	4.3	2.41	5	
Police	Professional Standards	Recruiting	3.2	2.5	1.3	2.0	2.0	2.2	4.0	2.41	5	
WPDR	Infrastructure and Waterway Maintenance	Erosion Repair	2.1	1.7	2.8	1.9	1.2	2.0	5.0	2.40	5	
Muni Ct.	Municipal Court Operations	Marshal Services	2.1	2.6	2.9	1.2	2.4	2.2	3.0	2.40	5	
Muni Ct.	Municipal Court Operations	Warrant Processing	1.9	2.6	2.6	1.2	2.0	3.1	3.0	2.40	5	
TPSD	Child Safety	Safety Education	1.9	2.4	2.9	1.5	1.6	1.9	4.0	2.39	5	
WPDR	Water Quality Protection	Stormwater Quality Evaluation	2.5	1.7	3.4	2.0	1.2	2.3	3.0	2.39	5	
EMS	Training & Education	Quality Assurance & Improvement	2.4	3.5	1.8	1.2	1.6	2.2	3.7	2.38	5	
WPDR	Infrastructure and Waterway Maintenance	Open Waterway Maintenance	2.9	2.4	1.5	1.7	1.7	2.0	4.7	2.37	5	
Fire	Support Services	Facility Expense	2.5	1.8	3.0	1.4	1.2	2.2	4.0	2.37	5	
WPDR	Flood Hazard Mitigation	Floodplain Management	2.1	3.1	2.0	2.6	1.2	2.0	3.3	2.36	5	
WPDR	Water Quality Protection	Stormwater Treatment	2.1	1.9	3.1	2.0	1.2	2.6	3.0	2.35	4	
WPDR	Infrastructure and Waterway Maintenance	Creek Vegetation Control	2.9	2.4	1.8	2.1	1.2	2.0	4.0	2.35	4	
EMS	Support Services	Financial Monitoring/Budgeting	2.1	1.5	3.2	1.6	1.6	2.2	4.0	2.35	4	
Fire	Operations Support	Cadet/In-service Training	2.5	2.8	1.0	1.6	2.6	2.2	4.3	2.34	4	
NPZ	Support Services	Facility Expense	1.4	2.3	2.6	1.7	1.0	2.7	4.3	2.33	4	
EMS	Training & Education	CPR/First Aid	1.4	2.4	2.8	1.2	1.6	2.4	4.3	2.33	4	
OEM	Office of Emergency Management	Preparedness and Mitigation	1.8	3.2	2.5	1.6	1.7	2.0	3.0	2.33	4	
EMS	Support Services	Administration and Management	1.9	1.6	3.2	1.2	1.6	3.0	3.3	2.32	4	
Fire	Support Services	PIO/Community Services	1.9	2.7	2.3	1.2	1.2	2.2	4.3	2.32	4	
OEM	Office of Emergency Management	Recovery	1.3	3.4	2.8	1.5	1.7	2.0	3.0	2.32	4	
WPDR	Water Quality Protection	Pollution Detection, Tracking & Forecasting	2.5	2.4	2.3	2.0	1.2	2.3	3.0	2.31	4	

OCA 2003 Risk Assessment

Overall Ratings - Descending Order

			Weight	16	18	20	11	9	14	12	100	
			Factor #	1	2	3	4	5	6	7	TOTAL	
			Risk Factor Group:	Size & Complexity	Change	Planning & Performance	Public Concern	Safety & Liability	Ethics	Mitigating Factors	Weighted Avg. - All Factors	Risk Rank in 10ths
Dept.	Program	Activity	Risk Ratings									
WPDR	Flood Hazard Mitigation	Voluntary Floodplain Home Buyout Program	1.9	1.7	2.9	2.3	1.2	2.0	4.0	2.31	4	
EMS	Support Services	Information Technology Support	1.9	3.5	1.9	1.4	1.6	2.2	3.3	2.31	4	
Fire	Support Services	Information Technology Support	2.5	2.6	2.1	1.2	1.2	2.2	4.0	2.31	4	
NPZ	Support Services	Personnel/Training	1.4	3.2	2.0	2.2	1.0	2.1	4.0	2.30	4	
NPZ	Support Services	Financial Monitoring/Budgeting	1.4	3.2	2.0	1.7	1.0	2.1	4.3	2.29	4	
TPSD	Child Safety	School Infrastructure	2.3	2.2	2.9	1.5	1.6	1.9	3.0	2.29	4	
Muni Ct.	Municipal Court Operations	Magistrate Support	2.1	2.4	2.6	1.2	1.6	2.8	3.0	2.29	4	
TPSD	Long Range Planning	Annexation	1.9	2.1	1.6	3.0	1.6	1.9	4.3	2.27	3	
TPSD	Sustainability	Historic Preservation	2.1	3.3	1.6	1.9	1.6	1.9	3.3	2.27	3	
TPSD	Support Services	Facility Expense	2.3	1.6	2.6	1.5	1.6	1.9	4.3	2.27	3	
Law	Opinions and Advice	Contract Development, Preparation and Review	2.1	2.6	2.4	1.4	1.3	2.0	3.7	2.27	3	
Muni Ct.	Municipal Court Operations	Warrant Collections	1.9	2.1	2.8	1.4	1.6	2.8	3.0	2.27	3	
Muni Ct.	Municipal Court Operations	Civil Parking	1.9	2.2	2.1	1.5	1.6	2.8	3.7	2.26	3	
DACC	Downtown Austin Community Court	DACC Operations/Coordination	1.9	2.3	2.8	1.2	1.6	2.5	3.0	2.26	3	
Law	Support Services	Personnel/Training	1.2	2.9	3.0	1.0	1.3	1.4	4.3	2.25	3	
NPZ	Support Services	Purchasing/M/WBE	1.2	3.2	2.0	1.7	1.0	2.0	4.3	2.24	3	
WPDR	Support Services	Facility Expense	2.3	1.7	2.5	1.5	1.2	2.0	4.3	2.24	3	
Fire	Support Services	Financial Monitoring/Budgeting	2.1	2.7	1.2	3.0	1.2	2.2	3.7	2.24	3	
EMS	Training & Education	Media Production	1.4	2.6	2.2	1.2	1.6	2.2	4.3	2.22	3	
Muni Ct.	Judiciary	Class C Proceedings	2.3	1.8	2.8	1.2	1.6	1.9	3.7	2.22	3	
OEM	Office of Emergency Management	Response	1.6	2.6	2.8	1.5	1.7	2.0	3.0	2.22	3	
Fire	Support Services	Administration and Management	2.8	2.3	1.0	1.5	1.2	2.4	4.3	2.21	3	
Police	Support Services	Public Information	2.3	2.0	1.3	1.5	2.0	1.9	5.0	2.21	3	
EMS	Training & Education	Academy	1.8	2.3	1.9	1.2	3.3	2.2	3.3	2.20	3	
EMS	Support Services	PIO/Community Services	1.6	2.4	2.1	1.2	1.6	2.2	4.3	2.20	3	
Law	Support Services	Facility Expense	1.6	2.4	2.8	1.0	1.3	1.4	4.3	2.20	3	
Law	Support Services	Administration and Management	1.8	2.4	2.0	1.4	1.3	2.0	4.3	2.19	2	
WPDR	Flood Hazard Mitigation	Flood Early Warning System	1.9	1.9	1.5	2.6	2.1	2.0	4.0	2.18	2	
Fire	Operations Support	Recruiting	2.5	1.7	1.7	2.3	1.2	2.2	4.0	2.18	2	
Fire	Operations Support	Communications Section	2.9	2.9	1.2	1.2	1.7	2.2	3.0	2.17	2	
DACC	Downtown Austin Community Court	Court Services	1.6	2.7	2.9	1.2	1.6	1.6	3.0	2.17	2	

OCA 2003 Risk Assessment

Overall Ratings - Descending Order

			Weight	16	18	20	11	9	14	12	100	
			Factor #	1	2	3	4	5	6	7	TOTAL	
			Risk Factor Group:	Size & Complexity	Change	Planning & Performance	Public Concern	Safety & Liability	Ethics	Mitigating Factors	Weighted Avg. - All Factors	Risk Rank in 10ths
Dept.	Program	Activity	Risk Ratings									
Muni Ct.	Court Security	Security	2.2	3.3	1.6	1.2	1.6	1.9	3.0	2.16	2	
Muni Ct.	Support Services	Facility Expense	1.4	2.4	2.6	1.2	1.6	1.9	3.7	2.16	2	
Law	Support Services	Purchasing/M/WBE	1.4	2.6	1.9	1.0	1.3	2.3	4.3	2.13	2	
Muni Ct.	Municipal Court Operations	Records Management	1.9	1.9	1.9	1.4	1.6	3.1	3.0	2.12	2	
Law	Support Services	Financial Monitoring/Budgeting	1.2	2.0	2.9	1.0	1.3	1.7	4.3	2.12	2	
WPDR	Flood Hazard Mitigation	Regional Stormwater Management Evaluation	1.9	2.3	1.3	2.2	1.2	2.1	4.0	2.12	2	
Fire	Operations Support	Medical/Quality Compliance	2.7	1.3	1.5	1.2	3.0	2.2	3.7	2.11	2	
Law	Advocacy & Dispute Resolution	Civil Litigation	2.3	2.2	1.8	1.4	1.3	1.4	4.3	2.11	2	
Fire	Support Services	Personnel/Training	2.5	2.6	1.0	1.6	1.2	2.2	3.7	2.10	2	
Muni Ct.	Support Services	Vehicle/Equipment Maintenance	1.0	2.4	2.6	1.2	1.6	1.9	3.7	2.10	2	
Fire	Operations Support	Safety Operations	2.1	1.9	1.5	1.2	2.6	2.2	3.7	2.08	2	
Fire	Emergency Prevention	Public Education	2.5	1.8	1.7	1.2	1.2	2.2	4.0	2.08	2	
EMS	Support Services	Facility Expense	1.4	2.6	1.3	1.2	1.6	2.2	4.3	2.05	1	
Fire	Emergency Prevention	Investigations	2.8	1.0	2.0	1.2	1.2	2.2	4.0	2.05	1	
WPDR	Water Quality Protection	Water quality Planning and Intergovernmental Compliance	1.9	2.3	1.3	2.0	1.2	2.6	3.0	2.04	1	
Fire	Emergency Prevention	Fire Code and On-site Inspections	2.9	1.2	1.0	2.0	1.7	2.2	4.0	2.04	1	
Muni Ct.	Support Services	Information Technology Support	1.9	2.9	1.9	1.2	1.6	1.9	2.3	2.03	1	
Fire	Operations Support	Airmask/Operations Research	2.1	1.4	1.3	1.2	2.6	2.2	4.0	2.01	1	
Muni Ct.	Judiciary	Central Booking	2.1	1.8	1.9	1.2	1.6	1.9	3.7	2.01	1	
Muni Ct.	Support Services	Administration and Management	1.6	2.0	2.1	1.5	1.6	2.2	3.0	2.01	1	
Muni Ct.	Support Services	Purchasing/M/WBE	1.4	1.8	2.7	1.2	1.6	2.1	3.0	2.00	1	
Muni Ct.	Support Services	Financial Monitoring/Budgeting	1.8	2.2	1.6	1.6	1.6	2.2	3.0	1.99	1	
WPDR	Infrastructure and Waterway Maintenance	Town Lake Cleanup	1.9	2.1	1.6	1.5	1.2	2.0	3.3	1.97	1	
Fire	Fire/Emergency Response	AFR Bergstrom	2.9	1.0	1.5	1.2	1.7	2.2	3.7	1.97	1	
Police	Professional Standards	Accreditation Inspections	2.1	1.2	1.7	1.5	2.0	2.2	3.3	1.95	1	
EMS	Support Services	Purchasing/M/WBE	1.8	2.4	1.2	1.2	1.6	2.2	3.5	1.94	1	
Fire	Emergency Prevention	Hazardous Materials Engineering	2.5	1.6	1.0	1.2	1.2	2.2	3.7	1.87	1	
Fire	Operations Support	Planning and Research	2.1	1.2	1.0	1.2	1.2	2.2	4.0	1.79	1	
Law	Support Services	Information Technology Support	1.6	2.2	1.3	1.0	1.3	1.4	3.0	1.70	1	

## **APPENDIX C RISK RATING RESULTS FOR YEAR ONE DEPARTMENTS**

### **Department Sections:**

1. EGRSO      Economic Growth and Redevelopment Services Office
2. NPZ        Neighborhood Planning and Zoning Department
3. TPSD      Transportation, Planning and Sustainability Department
4. WPDR      Watershed Protection and Development Review Department
5. Police      Police Department
6. Fire        Fire Department
7. EMS        Emergency Medical Services Department
8. OEM        Office of Emergency Management
9. Law        Law Department
10. Muni Ct.    Municipal Court
11. DACC      Downtown Austin Community Court

### **Each department section contains:**

- A.** Activity Results by Program
- B.** Program Results
- C.** Activity Results by Rank
- D.** Risk Factor Detail – Raw Data and Activity Ratings



**APPENDIX C.1  
RISK RATING RESULTS**

**EGRSO – Economic Growth and Redevelopment Services Office**



OCA 2003 Risk Assessment

**A. Activity Results**  
**Office of Economic Growth and**  
**Redevelopment Services**

<b>Weight</b>	<b>16</b>	<b>18</b>	<b>20</b>	<b>11</b>	<b>9</b>	<b>14</b>	<b>12</b>	<b>100</b>
<b>Risk Factor #</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>	<b>7</b>	

<b>Program</b>	<b>Activity</b>	<b>Risk Factor Name</b>	<b>Size and Complexity</b>	<b>Change</b>	<b>Planning and Performance</b>	<b>Public Concern</b>	<b>Safety and Liability</b>	<b>Ethics</b>	<b>Mitigating Factors</b>	<b>Weighted Avg- All Factors</b>	<b>ACTIVITY RANK</b>
Ec Growth Redev Svcs	Sense of Place, Identity		1.9	1.9	3.3	1.0	1.7	2.0	4.0	<b>2.75</b>	<b>8</b>
	Development/Redevelopment		2.1	2.1	3.9	2.8	1.7	2.0	4.0	<b>3.10</b>	<b>10</b>
	Downtown Initiatives		1.6	1.6	3.0	1.4	1.7	2.0	4.3	<b>2.77</b>	<b>8</b>
	Project Delivery		3.4	3.4	3.9	1.0	1.7	2.0	3.0	<b>2.94</b>	<b>9</b>
Support Services	Administration & Management		1.8	1.8	3.3	1.5	1.7	2.3	3.7	<b>2.70</b>	<b>8</b>
	Financial Monitoring/Budgeting		1.8	1.8	3.3	1.0	1.7	2.3	4.3	<b>2.73</b>	<b>8</b>
	Facilities Expense		1.6	1.6	2.8	1.0	1.7	2.3	4.3	<b>2.60</b>	<b>7</b>

OCA 2003 Risk Assessment

**B. Program-Level Results**  
**Office of Economic Growth and**  
**Redevelopment Services**

	Weight Risk Factor #	16 1	18 2	20 3	11 4	9 5	14 6	12 7	100	
Risk Factor Name	Size and Complexity	Change	Planning and Performance	Public Concern	Safety and Liability	Ethics	Mitigating Factors	Weighted Avg- All Factors	RANK	
<b>RISK RATINGS</b>										
Program										
Ec Growth Redev Svcs	2.3	2.3	3.5	1.5	1.7	2.0	3.8	<b>2.89</b>	<b>9</b>	
Support Services	1.7	1.7	3.1	1.2	1.7	2.3	4.1	<b>2.68</b>	<b>8</b>	

OCA 2003 Risk Assessment

**C. Activity Results by Rank**  
**Office of Economic Growth and**  
**Redevelopment Services**

Activity	Weight	16	18	20	11	9	14	12	100	ACTIVITY RANK
	Risk Factor #	1	2	3	4	5	6	7	Weighted Avg- All Factors	
Risk Factor Name	Size and Complexity	Change	Planning and Performance	Public Concern	Safety and Liability	Ethics	Mitigating Factors			
RISK RATINGS										
Development/Redevelopment	2.1	2.1	3.9	2.8	1.7	2.0	4.0	<b>3.10</b>	<b>10</b>	
Project Delivery	3.4	3.4	3.9	1.0	1.7	2.0	3.0	<b>2.94</b>	<b>9</b>	
Downtown Initiatives	1.6	1.6	3.0	1.4	1.7	2.0	4.3	<b>2.77</b>	<b>8</b>	
Sense of Place, Identity	1.9	1.9	3.3	1.0	1.7	2.0	4.0	<b>2.75</b>	<b>8</b>	
Financial Monitoring/Budgeting	1.8	1.8	3.3	1.0	1.7	2.3	4.3	<b>2.73</b>	<b>8</b>	
Administration & Management	1.8	1.8	3.3	1.5	1.7	2.3	3.7	<b>2.70</b>	<b>8</b>	
Facilities Expense	1.6	1.6	2.8	1.0	1.7	2.3	4.3	<b>2.60</b>	<b>7</b>	

OCA 2003 Risk Assessment

**D. Risk Factor Detail - Raw Data and Activity Ratings**

**Office of Economic Growth and**

**Redevelopment Services**

**Factor: Size and Complexity**

<b>Program</b>	<b>Activity</b>	<b>Size-FY03 Budgeted Expend</b>	<b>Budget Relative Size Rating</b>	<b>Size-FY03 Budgeted FTEs</b>	<b>FTEs Relative Size Rating</b>	<b>No. of Sites Rating</b>	<b>Diversity of Services Rating</b>	<b>No. of Grants Rating</b>	<b>Contract Expend. -% of Total</b>	<b>Contract Exp. -% of Total Rating</b>	<b>Size and Complexity Rating</b>
Ec Growth Redev Svcs	Sense of Place, Identity	\$170,005	2	1.65	2	1	4	1	0.0%	1	<b>1.9</b>
	Development/Redevelopment	\$819,123	4	5.15	3	1	2	1	0.0%	1	<b>2.1</b>
	Downtown Initiatives	\$166,730	2	1.25	2	1	2	1	0.0%	1	<b>1.6</b>
	Project Delivery	\$3,115,589	5	6.30	4	2	4	1	46.8%	3	<b>3.4</b>
Support Services	Administration & Management	\$112,837	2	1.65	2	1	3	1	0.0%	1	<b>1.8</b>
	Financial Monitoring/Budgeting	\$97,420	2	1.00	2	1	3	1	0.0%	1	<b>1.8</b>
	Facilities Expense	\$68,837	2	0.00	1	1	3	1	0.0%	1	<b>1.6</b>

OCA 2003 Risk Assessment

D. Risk Factor Detail - Raw Data and Activity Ratings

Office of Economic Growth and  
Redevelopment Services

Factor: Change

Program	Activity	Business Plan Change Rating	Expend Trend - % Change	Initial Expend Trend Rating	Adjustment for diverg. FTE/Budget Trend	Final Adjusted Trend Rating	FTE Trend -% Change	FTE Trend Rating	Employee Turnover Rating	Change Rating
Ec Growth Redev Svcs	Sense of Place, Identity	3	100%	5		5	100%	5	5	4.2
	Development/Redevelopment	3	100%	5		5	100%	5	5	4.2
	Downtown Initiatives	4	100%	5		5	100%	5	5	4.6
	Project Delivery	3	25%	3	1	4	-48%	5	5	4.0
Support Services	Administration & Management	2	100%	5		5	100%	5	5	3.8
	Financial Monitoring/Budgeting	2	100%	5		5	100%	5	5	3.8
	Facilities Expense	2	100%	5		5	100%	5	5	3.8

OCA 2003 Risk Assessment

D. Risk Factor Detail - Raw Data and Activity Ratings

Office of Economic Growth and  
Redevelopment Services

Factor: Planning and Performance

Program	Activity	Variance - FY02 Actual vs Budget	Variance - Actual vs Budget Rating	Performance Trend Rating	Workforce Survey - Satisfaction Rating	Overtime - % of Total Salaries	Overtime - % of Total Rating	Planning and Performance Rating
Ec Growth Redev Svcs	Sense of Place, Identity		1	5	3	0.00%	1	<b>3.3</b>
	Development/Redevelopment	-54%	5	5	3	0.20%	1	<b>3.9</b>
	Downtown Initiatives	-7%	2	4	3	0.08%	1	<b>3.0</b>
	Project Delivery	-25%	5	5	3	0.02%	1	<b>3.9</b>
Support Services	Administration & Management	4%	1	5	3	0.15%	1	<b>3.3</b>
	Financial Monitoring/Budgeting		1	5	3	0.00%	1	<b>3.3</b>
	Facilities Expense		1	4	3	0.00%	1	<b>2.8</b>

OCA 2003 Risk Assessment

D. Risk Factor Detail - Raw Data and Activity Ratings

Office of Economic Growth and

Redevelopment Services

Factor: Public Concern

Program	Activity	FY02 Citizen Complaints per FTE	FY03 Citizen Complaints per FTE	Avg Citizen Complaints per FTE Rating	# Legal Claims & Suits per 100 FTEs	# Legal Claims and Suits Rating	Council/ CMO/ Survey - # of "hits"	Council/ CMO/ Survey Rating	Public Concern Rating
Ec Growth Redev Svcs	Sense of Place, Identity	0.00	0.00	1.0	0	1	0	1	1.0
	Development/Redevelopment	0.00	0.00	1.0	0	1	5	5	2.8
	Downtown Initiatives	0.45	0.80	2.0	0	1	0	1	1.4
	Project Delivery	0.00	0.00	1.0	0	1	0	1	1.0
Support Services	Administration & Management	0.00	0.00	1.0	0	1	1	2	1.5
	Financial Monitoring/Budgeting	0.00	0.00	1.0	0	1	0	1	1.0
	Facilities Expense	0.00	0.00	1.0	0	1	0	1	1.0

OCA 2003 Risk Assessment

D. Risk Factor Detail - Raw Data and Activity Ratings

Office of Economic Growth and  
Redevelopment Services

Factor: Safety and Liability

Program	Activity	FY02 Workers Comp Claims Paid	FY02 WC Claims per FTE	Workers Comp Claims Rating	Legal Claims and Suits Paid per FTE	Legal Claims and Suits Paid Rating	Workforce Survey - Safety Rating	Safety and Liability Rating
Ec Growth Redev Svcs	Sense of Place, Identity	\$0		1	\$0.00	1	3	1.7
	Development/Redevelopment	\$0	\$0	1	\$0.00	1	3	1.7
	Downtown Initiatives	\$0	\$0	1	\$0.00	1	3	1.7
	Project Delivery	\$0	\$0	1	\$0.00	1	3	1.7
Support Services	Administration & Management	\$0	\$0	1	\$0.00	1	3	1.7
	Financial Monitoring/Budgeting	\$0		1	\$0.00	1	3	1.7
	Facilities Expense	\$0		1	\$0.00	1	3	1.7

OCA 2003 Risk Assessment

D. Risk Factor Detail - Raw Data and Activity Ratings

Office of Economic Growth and  
Redevelopment Services

Factor: Ethics

Program	Activity	Workforce Survey - Ethics Rating	Commoditi es % of Total Expend.	Commod. % of Total Expend. Rating	Number of Cash Handlers	Avg. Weekly Cash Handled	Cash Handling Rating	Ethics Rating
Ec Growth Redev Svcs	Sense of Place, Identity	3	0.0%	1			1.0	<b>2.0</b>
	Development/Redevelopment	3	0.0%	1			1.0	<b>2.0</b>
	Downtown Initiatives	3	0.0%	1			1.0	<b>2.0</b>
Support Services	Project Delivery	3	4.9%	1			1.0	<b>2.0</b>
	Administration & Management	3	0.0%	1			1.0	<b>2.3</b>
	Financial Monitoring/Budgeting	3	0.0%	1			1.0	<b>2.3</b>
	Facilities Expense	3	0.0%	1			1.0	<b>2.3</b>

OCA 2003 Risk Assessment

D. Risk Factor Detail - Raw Data and Activity Ratings

Office of Economic Growth and  
Redevelopment Services

Factor: Mitigating Factors

Program	Activity	No. of Agencies Providing Indep. Oversight	Indep. Oversight Rating	OCA Audits Rating	Internal and		Overall Mitigating Factors Rating
					External Audits Rating	Management Initiatives Rating	
Ec Growth Redev Svcs	Sense of Place, Identity	0	5	5	5	2	4.0
	Development/Redevelopment	0	5	5	5	2	4.0
	Downtown Initiatives	0	5	5	5	3	4.3
	Project Delivery	0	5	5	1	1	3.0
Support Services	Administration & Management	0	5	3	5	3	3.7
	Financial Monitoring/Budgeting	0	5	5	5	3	4.3
	Facilities Expense	0	5	5	5	3	4.3

**APPENDIX C.2  
RISK RATING RESULTS**

**NPZD – Neighborhood Planning and Zoning Department**



OCA 2003 Risk Assessment

**A. Activity Results**  
**Neighborhood Planning and Zoning**

Weight	16	18	20	11	9	14	12	100
Risk Factor #	1	2	3	4	5	6	7	

Program	Activity	Risk Factor Name	Size and Complexity	Change	Planning and Performance	Public Concern	Safety and Liability	Ethics	Mitigating Factors	Weighted Avg- All Factors	ACTIVITY RANK
Neighborhood Planning	Neighborhood Planning		2.3	2.3	1.6	3.5	1.0	1.7	3.7	2.54	6
Zoning Case Management	Zoning Case Management		1.9	1.9	2.6	3.9	1.0	1.8	3.7	2.65	7
Code Compliance	Code Compliance		2.3	2.3	2.0	3.2	1.9	2.0	3.7	2.55	6
Support Services	Administration and Management		2.1	2.1	3.5	2.1	1.0	1.6	3.7	2.52	6
	Financial Monitoring/Budgeting		1.4	1.4	2.0	1.7	1.0	2.1	4.3	2.29	4
	Facility Expense		1.4	1.4	2.6	1.7	1.0	2.7	4.3	2.33	4
	Purchasing/M/WBE		1.2	1.2	2.0	1.7	1.0	2.0	4.3	2.24	3
	Personnel/Training		1.4	1.4	2.0	2.2	1.0	2.1	4.0	2.30	4

OCA 2003 Risk Assessment

**B. Program-Level Results**  
**Neighborhood Planning and Zoning**

	Weight Risk Factor #	16 1	18 2	20 3	11 4	9 5	14 6	12 7	100 Weighted Avg- All Factors	RANK
Risk Factor Name	Size and Complexity	Change	Planning and Performance	Public Concern	Safety and Liability	Ethics	Mitigating Factors			
<b>RISK RATINGS</b>										
Neighborhood Planning	2.3	2.3	1.6	3.5	1.0	1.7	3.7	2.54	6	
Zoning Case Management	1.9	1.9	2.6	3.9	1.0	1.8	3.7	2.65	7	
Code Compliance	2.3	2.3	2.0	3.2	1.9	2.0	3.7	2.55	6	
Support Services	1.5	1.5	2.4	1.9	1.0	2.1	4.1	2.34	4	

OCA 2003 Risk Assessment

**C. Activity Results by Rank  
Neighborhood Planning and Zoning**

	Weight Risk Factor #	16 1	18 2	20 3	11 4	9 5	14 6	12 7	100 Weighted Avg- All Factors	ACTIVITY RANK
	Risk Factor Name	Size and Complexity	Change	Planning and Performance	Public Concern	Safety and Liability	Ethics	Mitigating Factors		
Activity	RISK RATINGS									
Zoning Case Management		1.9	1.9	2.6	3.9	1.0	1.8	3.7	2.65	7
Code Compliance		2.3	2.3	2.0	3.2	1.9	2.0	3.7	2.55	6
Neighborhood Planning		2.3	2.3	1.6	3.5	1.0	1.7	3.7	2.54	6
Administration and Management		2.1	2.1	3.5	2.1	1.0	1.6	3.7	2.52	6
Facility Expense		1.4	1.4	2.6	1.7	1.0	2.7	4.3	2.33	4
Personnel/Training		1.4	1.4	2.0	2.2	1.0	2.1	4.0	2.30	4
Financial Monitoring/Budgeting		1.4	1.4	2.0	1.7	1.0	2.1	4.3	2.29	4
Purchasing/M/WBE		1.2	1.2	2.0	1.7	1.0	2.0	4.3	2.24	3

OCA 2003 Risk Assessment

D. Risk Factor Detail - Raw Data and Activity Ratings

Neighborhood Planning and Zoning

Factor: Size and Complexity

Program	Activity	Size-FY03 Budgeted Expend	Budget Relative Size Rating	Size-FY03 Budgeted FTEs	FTEs Relative Size Rating	No. of Sites Rating	Diversity of Services Rating	No. of Grants Rating	Contract Expend. -% of Total	Contract Exp. -% of Total Rating	Size and Complexity Rating
Neighborhood Planning	Neighborhood Planning	\$1,165,212	4	18.00	5	1	1	1	0.0%	1	2.3
Zoning Case Management	Zoning Case Management	\$526,757	3	8.00	4	1	1	1	0.0%	1	1.9
Code Compliance	Code Compliance	\$1,113,060	4	18.00	5	1	1	1	5.7%	1	2.3
Support Services	Administration and Management	\$648,463	4	7.00	4	1	1	1	0.0%	1	2.1
	Financial Monitoring/Budgeting	\$61,581	2	1.00	2	1	1	1	0.0%	1	1.4
	Facility Expense	\$299,427	3	0.00	1	1	1	1	6.3%	1	1.4
	Purchasing/M/WBE	\$41,211	1	1.00	2	1	1	1	0.0%	1	1.2
	Personnel/Training	\$143,045	2	2.00	2	1	1	1	0.0%	1	1.4

OCA 2003 Risk Assessment

D. Risk Factor Detail - Raw Data and Activity Ratings

Neighborhood Planning and Zoning

Factor: Change

Program	Activity	Business Plan Change Rating	Expend Trend - % Change	Initial Expend Trend Rating	Adjustment for diverg. FTE/Budget Trend	Final Adjusted Trend Rating	FTE Trend -% Change	FTE Trend Rating	Employee Turnover Rating	Change Rating
Neighborhood Planning	Neighborhood Planning	5	-11%	2		2	-33%	4	4	<b>3.9</b>
Zoning Case Management	Zoning Case Management	3	25%	3	1	4	-20%	2	4	<b>3.4</b>
Code Compliance	Code Compliance	3	14%	2	1	3	-5%	1	4	<b>3.1</b>
Support Services	Administration and Management	3	20%	2		2	0%	1	4	<b>2.8</b>
	Financial Monitoring/Budgeting	1	100%	5		5	100%	5	4	<b>3.2</b>
	Facility Expense	1	26%	3		3	0%	1	4	<b>2.3</b>
	Purchasing/M/WBE	1	100%	5		5	100%	5	4	<b>3.2</b>
	Personnel/Training	1	100%	5		5	100%	5	4	<b>3.2</b>

OCA 2003 Risk Assessment

**D. Risk Factor Detail - Raw Data and Activity Ratings**

**Neighborhood Planning and Zoning**

**Factor: Planning and Performance**

<b>Program</b>	<b>Activity</b>	<b>Variance - FY02 Actual vs Budget</b>	<b>Variance - Actual vs Budget Rating</b>	<b>Performance Trend Rating</b>	<b>Workforce Survey - Satisfaction Rating</b>	<b>Overtime - % of Total Salaries</b>	<b>Overtime - % of Total Rating</b>	<b>Planning and Performance Rating</b>
Neighborhood Planning	Neighborhood Planning	-32%	5	1	1	0.15%	1	<b>1.6</b>
Zoning Case Management	Zoning Case Management	-31%	5	3	1	0.43%	1	<b>2.6</b>
Code Compliance	Code Compliance	-1%	1	3	1	0.34%	1	<b>2.0</b>
Support Services	Administration and Management	-17%	4	5	1	0.03%	1	<b>3.5</b>
	Financial Monitoring/Budgeting		1	3	1	0.00%	1	<b>2.0</b>
	Facility Expense	-34%	5	3	1	0.00%	1	<b>2.6</b>
	Purchasing/M/WBE		1	3	1	0.00%	1	<b>2.0</b>
	Personnel/Training		1	3	1	0.00%	1	<b>2.0</b>

OCA 2003 Risk Assessment

D. Risk Factor Detail - Raw Data and Activity Ratings

Neighborhood Planning and Zoning

Factor: Public Concern

Program	Activity	FY02 Citizen Complaints per FTE	FY03 Citizen Complaints per FTE	Avg Citizen Complaints per FTE Rating	# Legal Claims & Suits per 100 FTEs	# Legal Claims and Suits Rating	Council/ CMO/ Survey - # of "hits"	Council/ CMO/ Survey Rating	Public Concern Rating
Neighborhood Planning	Neighborhood Planning	0.16	0.06	2.0	26	5	4	4	3.5
Zoning Case Management	Zoning Case Management	0.67	0.38	2.0	26	5	5	5	3.9
Code Compliance	Code Compliance	1.67	1.17	2.5	26	5	3	3	3.2
Support Services	Administration and Management	0.38	0.43	2.0	26	5	0	1	2.1
	Financial Monitoring/Budgeting	0.00	0.00	1.0	26	5	0	1	1.7
	Facility Expense	0.00	0.00	1.0	26	5	0	1	1.7
	Purchasing/M/WBE	0.00	0.00	1.0	26	5	0	1	1.7
	Personnel/Training	0.00	0.00	1.0	26	5	1	2	2.2

OCA 2003 Risk Assessment

D. Risk Factor Detail - Raw Data and Activity Ratings

Neighborhood Planning and Zoning

Factor: Safety and Liability

Program	Activity	FY02 Workers Comp Claims Paid	FY02 WC Claims per FTE	Workers Comp Claims Rating	Legal Claims and Suits Paid per FTE	Legal Claims and Suits Paid Rating	Workforce Survey - Safety Rating	Safety and Liability Rating
Neighborhood Planning	Neighborhood Planning	\$0	\$0	1	\$0.00	1	1	1.0
Zoning Case Management	Zoning Case Management	\$0	\$0	1	\$0.00	1	1	1.0
Code Compliance	Code Compliance	\$713	\$40	3	\$0.00	1	1	1.9
Support Services	Administration and Management	\$0	\$0	1	\$0.00	1	1	1.0
	Financial Monitoring/Budgeting	\$0		1	\$0.00	1	1	1.0
	Facility Expense	\$0		1	\$0.00	1	1	1.0
	Purchasing/M/WBE	\$0		1	\$0.00	1	1	1.0
	Personnel/Training	\$0		1	\$0.00	1	1	1.0

OCA 2003 Risk Assessment

D. Risk Factor Detail - Raw Data and Activity Ratings

Neighborhood Planning and Zoning

Factor: Ethics

Program	Activity	Workforce Survey - Ethics Rating	Commodities % of Total Expend.	Commod. % of Total Expend. Rating	Number of Cash Handlers	Avg. Weekly Cash Handled	Cash Handling Rating	Ethics Rating
Neighborhood Planning	Neighborhood Planning	1	2.3%	1			1.0	1.7
Zoning Case Management	Zoning Case Management	1	0.5%	1			1.0	1.8
Code Compliance	Code Compliance	1	0.4%	1			1.0	2.0
Support Services	Administration and Management	1	2.2%	1			1.0	1.6
	Financial Monitoring/Budgeting	1	0.0%	1			1.0	2.1
	Facility Expense	1	14.1%	3			1.0	2.7
	Purchasing/M/WBE	1	0.0%	1			1.0	2.0
	Personnel/Training	1	0.0%	1			1.0	2.1

OCA 2003 Risk Assessment

**D. Risk Factor Detail - Raw Data and Activity Ratings**

**Neighborhood Planning and Zoning**

**Factor: Mitigating Factors**

<b>Program</b>	<b>Activity</b>	<b>No. of Agencies Providing Indep. Oversight</b>	<b>Indep. Oversight Rating</b>	<b>OCA Audits Rating</b>	<b>Internal and External Audits Rating</b>	<b>Management Initiatives Rating</b>	<b>Overall Mitigating Factors Rating</b>
Neighborhood Planning	Neighborhood Planning	0	5	5	5	1	<b>3.7</b>
Zoning Case Management	Zoning Case Management	0	5	5	5	1	<b>3.7</b>
Code Compliance	Code Compliance	0	5	5	5	1	<b>3.7</b>
Support Services	Administration and Management	0	5	3	5	3	<b>3.7</b>
	Financial Monitoring/Budgeting	0	5	5	5	3	<b>4.3</b>
	Facility Expense	0	5	5	5	3	<b>4.3</b>
	Purchasing/M/WBE	0	5	5	5	3	<b>4.3</b>
	Personnel/Training	0	5	5	3	3	<b>4.0</b>

**APPENDIX C.3  
RISK RATING RESULTS**

**TPSD – Transportation, Planning and Sustainability Department**



OCA 2003 Risk Assessment

**A. Activity Results**  
**Transportation, Planning and Sustainability**

Weight 16 18 20 11 9 14 12 100  
 Risk Factor # 1 2 3 4 5 6 7

Program	Activity	Risk Factor Name	Size and Complexity	Change	Planning and Performance	Public Concern	Safety and Liability	Ethics	Mitigating Factors	Weighted Avg- All Factors	ACTIVITY RANK
Traffic Controls	Traffic Signs		2.9	2.9	1.9	1.9	3.3	2.8	4.3	2.74	8
	Traffic Signals		3.1	3.1	4.2	2.4	2.4	2.5	3.7	3.28	10
	Traffic Markings		2.9	2.9	3.9	1.7	2.4	3.4	4.3	3.16	10
Transportation Enhancement	Transportation Engineering		3.3	3.3	3.8	2.8	1.6	2.2	3.3	2.97	9
	Parking Space Management		3.1	3.1	3.6	1.9	2.9	2.2	5.0	3.19	10
	Work Zone Safety		2.7	2.7	2.8	1.7	3.3	2.2	4.3	2.59	7
Capital Area MPO	CAMPO		2.8	2.8	3.1	1.5	1.6	2.2	3.7	2.83	9
Long Range Planning	Annexation		1.9	1.9	1.6	3.0	1.6	1.9	4.3	2.27	3
	Bicycle Improvements		2.3	2.3	4.2	3.5	1.6	1.9	2.0	2.97	9
	Pedestrian Improvements		1.9	1.9	3.6	3.2	1.6	1.9	2.0	2.83	9
	Long Range Land Use		2.1	2.1	2.8	2.6	1.6	1.9	3.7	2.69	8
	Transportation Improvements		2.1	2.1	3.9	2.9	1.6	1.9	2.0	2.79	8
	Spatial Analysis, Forecstg, Demogr.		2.1	2.1	3.6	1.5	1.6	1.9	4.3	2.67	7
Sustainability	Historic Preservation		2.1	2.1	1.6	1.9	1.6	1.9	3.3	2.27	3
	Air Quality		2.1	2.1	4.2	2.4	1.6	2.1	3.7	3.12	10
	Urban Design		2.3	2.3	2.2	2.5	1.6	1.9	3.7	2.54	6
	Smart Growth		2.1	2.1	2.2	2.8	1.6	1.9	3.7	2.44	6
	Sustainability		1.9	1.9	3.2	2.0	1.6	1.9	4.3	2.62	7
	Water Conservation		2.9	2.9	2.9	2.2	1.6	2.1	4.3	2.59	7
Child Safety	School Crossing Guards		3.0	3.0	2.9	1.7	3.3	1.9	4.0	2.58	7
	School Infrastructure		2.3	2.3	2.9	1.5	1.6	1.9	3.0	2.29	4
	Safety Education		1.9	1.9	2.9	1.5	1.6	1.9	4.0	2.39	5
Support Services	Administration and Management		2.9	2.9	2.6	2.7	1.6	1.9	3.7	2.93	9
	Financial Monitoring/Budgeting		2.3	2.3	3.6	1.5	1.6	1.9	4.3	2.99	10
	Facility Expense		2.3	2.3	2.6	1.5	1.6	1.9	4.3	2.27	3
	Purchasing/M/WBE		2.3	2.3	3.6	1.5	1.6	1.9	4.3	2.90	9
	Personnel/Training		2.3	2.3	2.8	1.5	1.6	1.9	4.3	2.82	9

**OCA 2003 Risk Assessment  
OCA 2003 Risk Assessment**

**B. Program-Level Results**

**Transportation, Planning and Sustainability**

	Weight Risk Factor #	16 1	18 2	20 3	11 4	9 5	14 6	12 7	100	
Risk Factor Name	Size and Complexity	Change	Planning and Performance	Public Concern	Safety and Liability	Ethics	Mitigating Factors	Weighted Avg- All Factors	RANK	
<b>RISK RATINGS</b>										
<b>Program</b>										
Traffic Controls	2.9	2.9	3.3	2.0	2.7	2.9	4.1	3.06	9	
Transportation Enhancement	3.0	3.0	3.4	2.2	2.6	2.2	4.2	2.92	9	
Capital Area MPO	2.8	2.8	3.1	1.5	1.6	2.2	3.7	2.83	9	
Long Range Planning	2.1	2.1	3.3	2.8	1.6	1.9	3.1	2.70	7	
Sustainability	2.3	2.3	2.7	2.3	1.6	2.0	3.8	2.60	7	
Child Safety	2.4	2.4	2.9	1.6	2.1	1.9	3.7	2.42	5	
Support Services	2.4	2.4	3.0	1.8	1.6	1.9	4.2	2.78	8	

OCA 2003 Risk Assessment

**C. Activity Results by Rank**  
**Transportation, Planning and Sustainability**

Activity	Weight	16	18	20	11	9	14	12	100	ACTIVITY RANK
	Risk Factor #	1	2	3	4	5	6	7	Weighted Avg- All Factors	
	Risk Factor Name	Size and Complexity	Change	Planning and Performance	Public Concern	Safety and Liability	Ethics	Mitigating Factors		
RISK RATINGS										
Traffic Signals		3.1	3.1	4.2	2.4	2.4	2.5	3.7	3.28	10
Parking Space Management		3.1	3.1	3.6	1.9	2.9	2.2	5.0	3.19	10
Traffic Markings		2.9	2.9	3.9	1.7	2.4	3.4	4.3	3.16	10
Air Quality		2.1	2.1	4.2	2.4	1.6	2.1	3.7	3.12	10
Financial Monitoring/Budgeting		2.3	2.3	3.6	1.5	1.6	1.9	4.3	2.99	10
Bicycle Improvements		2.3	2.3	4.2	3.5	1.6	1.9	2.0	2.97	9
Transportation Engineering		3.3	3.3	3.8	2.8	1.6	2.2	3.3	2.97	9
Administration and Management		2.9	2.9	2.6	2.7	1.6	1.9	3.7	2.93	9
Purchasing/M/WBE		2.3	2.3	3.6	1.5	1.6	1.9	4.3	2.90	9
CAMPO		2.8	2.8	3.1	1.5	1.6	2.2	3.7	2.83	9
Pedestrian Improvements		1.9	1.9	3.6	3.2	1.6	1.9	2.0	2.83	9
Personnel/Training		2.3	2.3	2.8	1.5	1.6	1.9	4.3	2.82	9
Transportation Improvements		2.1	2.1	3.9	2.9	1.6	1.9	2.0	2.79	8
Traffic Signs		2.9	2.9	1.9	1.9	3.3	2.8	4.3	2.74	8
Long Range Land Use		2.1	2.1	2.8	2.6	1.6	1.9	3.7	2.69	8
Spatial Analysis, Forecstg, Demogr.		2.1	2.1	3.6	1.5	1.6	1.9	4.3	2.67	7
Sustainability		1.9	1.9	3.2	2.0	1.6	1.9	4.3	2.62	7
Water Conservation		2.9	2.9	2.9	2.2	1.6	2.1	4.3	2.59	7
Work Zone Safety		2.7	2.7	2.8	1.7	3.3	2.2	4.3	2.59	7
School Crossing Guards		3.0	3.0	2.9	1.7	3.3	1.9	4.0	2.58	7
Urban Design		2.3	2.3	2.2	2.5	1.6	1.9	3.7	2.54	6
Smart Growth		2.1	2.1	2.2	2.8	1.6	1.9	3.7	2.44	6
Safety Education		1.9	1.9	2.9	1.5	1.6	1.9	4.0	2.39	5
School Infrastructure		2.3	2.3	2.9	1.5	1.6	1.9	3.0	2.29	4
Historic Preservation		2.1	2.1	1.6	1.9	1.6	1.9	3.3	2.27	3
Facility Expense		2.3	2.3	2.6	1.5	1.6	1.9	4.3	2.27	3
Annexation		1.9	1.9	1.6	3.0	1.6	1.9	4.3	2.27	3

OCA 2003 Risk Assessment

D. Risk Factor Detail - Raw Data and Activity Ratings

Transportation, Planning and Sustainability

Factor: Size and Complexity

Program	Activity	Size-FY03 Budgeted Expend	Budget Relative Size Rating	Size-FY03 Budgeted FTEs	FTEs Relative Size Rating	No. of Sites Rating	Diversity of Services Rating	No. of Grants Rating	Contract Expend. -% of Total	Contract Exp. -% of Total Rating	Size and Complexity Rating
Traffic Controls	Traffic Signs	\$1,467,236	4	17.00	5	1	4	1	0.0%	1	2.9
	Traffic Signals	\$2,918,058	5	33.50	5	1	4	1	5.1%	1	3.1
	Traffic Markings	\$1,067,228	4	16.00	5	1	4	1	0.0%	1	2.9
Transportation Enhancement	Transportation Engineering	\$1,241,273	4	17.00	5	1	4	4	0.0%	1	3.3
	Parking Space Management	\$1,456,379	4	34.00	5	1	5	1	0.0%	1	3.1
	Work Zone Safety	\$399,843	3	7.00	4	1	5	1	0.0%	1	2.7
Capital Area MPO	CAMPO	\$776,228	4	11.00	4	3	3	1	0.0%	1	2.8
Long Range Planning	Annexation	\$125,652	2	1.90	2	1	4	1	0.0%	1	1.9
	Bicycle Improvements	\$130,779	2	1.98	2	1	4	4	0.0%	1	2.3
	Pedestrian Improvements	\$101,401	2	1.97	2	1	4	1	0.0%	1	1.9
	Long Range Land Use	\$237,042	2	3.87	3	1	4	1	0.0%	1	2.1
	Transportation Improvements	\$269,671	2	3.82	3	1	4	1	0.0%	1	2.1
	Spatial Analysis, Forecstg, Demogr.	\$246,092	2	3.66	3	1	4	1	0.0%	1	2.1
Sustainability	Historic Preservation	\$180,559	2	3.00	3	1	4	1	0.0%	1	2.1
	Air Quality	\$228,909	2	3.50	3	1	4	1	0.1%	1	2.1
	Urban Design	\$284,164	3	4.40	3	1	4	1	0.0%	1	2.3
	Smart Growth	\$233,705	2	2.50	3	1	4	1	0.0%	1	2.1
	Sustainability	\$101,142	2	1.45	2	1	4	1	0.0%	1	1.9
	Water Conservation	\$1,151,619	4	15.05	5	1	4	1	0.6%	1	2.9
Child Safety	School Crossing Guards	\$966,547	4	1.30	2	5	5	1	0.0%	1	3.0
	School Infrastructure	\$297,328	3	0.10	2	1	5	1	0.2%	1	2.3
	Safety Education	\$62,006	2	0.00	1	1	5	1	0.0%	1	1.9
Support Services	Administration and Management	\$715,744	4	11.25	4	1	5	1	0.4%	1	2.9
	Financial Monitoring/Budgeting	\$243,408	2	3.00	3	1	5	1	0.0%	1	2.3
	Facility Expense	\$866,234	4	0.00	1	1	5	1	2.8%	1	2.3
	Purchasing/M/WBE	\$162,099	2	2.85	3	1	5	1	0.0%	1	2.3
	Personnel/Training	\$217,032	2	2.90	3	1	5	1	0.0%	1	2.3

OCA 2003 Risk Assessment

D. Risk Factor Detail - Raw Data and Activity Ratings

Transportation, Planning and Sustainability

Factor: Change

Program	Activity	Business Plan Change Rating	Expend Trend - % Change	Initial Expend Trend Rating	Adjustment for diverg. FTE/Budget Trend	Final Adjusted Trend Rating	FTE Trend -% Change	FTE Trend Rating	Employee Turnover Rating	Change Rating
Traffic Controls	Traffic Signs	3	3%	1	1	2	-15%	2	3	2.7
	Traffic Signals	5	-36%	4		4	-9%	1	3	3.8
	Traffic Markings	3	24%	3		3	14%	2	3	2.9
Transportation Enhancement	Transportation Engineering	3	22%	3		3	21%	3	3	3.0
	Parking Space Management	5	5%	1	1	2	-3%	1	3	3.3
	Work Zone Safety	1	8%	1		1	0%	1	3	1.6
Capital Area MPO	CAMPO	5	10279%	5		5	0%	1	3	4.0
Long Range Planning	Annexation	1	-22%	3		3	-19%	2	3	2.1
	Bicycle Improvements	5	-23%	3		3	-64%	5	3	4.0
	Pedestrian Improvements	5	100%	5		5	100%	5	3	4.4
	Long Range Land Use	3	100%	5		5	100%	5	3	3.7
	Transportation Improvements	5	-22%	3		3	-34%	4	3	3.9
	Spatial Analysis, Forecstg, Demogr.	2	46%	5		5	8%	1	3	2.8
Sustainability	Historic Preservation	2	100%	5		5	100%	5	3	3.3
	Air Quality	5	45%	5		5	43%	5	3	4.4
	Urban Design	3	31%	4	1	5	-18%	2	3	3.3
	Smart Growth	3	-9%	1		1	-56%	5	3	2.8
	Sustainability	1	52%	5		5	-41%	5	3	2.9
	Water Conservation	2	6%	1		1	2%	1	3	1.9
Child Safety	School Crossing Guards	1	8%	1		1	0%	1	3	1.6
	School Infrastructure	1	-37%	4		4	0%	1	3	2.2
	Safety Education	1	63%	5		5	0%	1	3	2.4
Support Services	Administration and Management	5	92%	5		5	70%	5	3	4.4
	Financial Monitoring/Budgeting	5	100%	5		5	100%	5	3	4.4
	Facility Expense	1	5%	1		1	0%	1	3	1.6
	Purchasing/M/WBE	4	113%	5		5	36%	4	3	3.9
	Personnel/Training	5	202%	5		5	52%	5	3	4.4

OCA 2003 Risk Assessment

D. Risk Factor Detail - Raw Data and Activity Ratings

Transportation, Planning and Sustainability

Factor: Planning and Performance

Program	Activity	Variance - FY02 Actual vs Budget	Variance - Actual vs Budget Rating	Performance Trend Rating	Workforce Survey - Satisfaction Rating	Overtime - % of Total Salaries	Overtime - % of Total Rating	Planning and Performance Rating
Traffic Controls	Traffic Signs	-10%	3	1	5	6.43%	1	1.9
	Traffic Signals	-29%	5	5	5	4.34%	1	4.2
	Traffic Markings	-13%	3	5	5	0.00%	1	3.9
Transportation Enhancement	Transportation Engineering	-7%	2	5	5	0.70%	1	3.8
	Parking Space Management	-5%	1	5	5	0.17%	1	3.6
	Work Zone Safety	-3%	1	3	5	10.89%	2	2.8
Capital Area MPO	CAMPO	15%	4	3	5	0.04%	1	3.1
Long Range Planning	Annexation	-4%	1	1	5	0.02%	1	1.6
	Bicycle Improvements	-40%	5	5	5	0.25%	1	4.2
	Pedestrian Improvements		1	5	5	0.00%	1	3.6
	Long Range Land Use	6%	2	3	5	0.20%	1	2.8
	Transportation Improvements	-13%	3	5	5	0.04%	1	3.9
Sustainability	Spatial Analysis, Forecstg, Demogr.	-1%	1	5	5	0.02%	1	3.6
	Historic Preservation		1	1	5	0.00%	1	1.6
	Air Quality	24%	5	5	5	0.25%	1	4.2
	Urban Design	71%	5	1	5	0.03%	1	2.2
	Smart Growth	-52%	5	1	5	0.97%	1	2.2
Child Safety	Sustainability	-82%	5	3	5	0.24%	1	3.2
	Water Conservation	-10%	3	3	5	0.07%	1	2.9
	School Crossing Guards	-12%	3	3	5	0.00%	1	2.9
	School Infrastructure	-13%	3	3	5	0.00%	1	2.9
Support Services	Safety Education	-11%	3	3	5	0.00%	1	2.9
	Administration and Management	-2%	1	3	5	0.18%	1	2.6
	Financial Monitoring/Budgeting		1	5	5	0.00%	1	3.6
	Facility Expense	3%	1	3	5	0.00%	1	2.6
	Purchasing/M/WBE	4%	1	5	5	0.87%	1	3.6
	Personnel/Training	-9%	2	3	5	0.57%	1	2.8

OCA 2003 Risk Assessment

D. Risk Factor Detail - Raw Data and Activity Ratings

Transportation, Planning and Sustainability

Factor: Public Concern

Program	Activity	FY02 Citizen Complaints per FTE	FY03 Citizen Complaints per FTE	Avg Citizen Complaints per FTE Rating	# Legal Claims & Suits per 100 FTEs	# Legal Claims and Suits Rating	Council/ CMO/ Survey - # of "hits"	Council/ CMO/ Survey Rating	Public Concern Rating
Traffic Controls	Traffic Signs	0.64	0.47	2.0	11	4	0	1	1.9
	Traffic Signals	0.27	0.27	2.0	11	4	1	2	2.4
	Traffic Markings	0.38	0.00	1.5	11	4	0	1	1.7
Transportation Enhancement	Transportation Engineering	1.23	0.47	2.0	11	4	3	3	2.8
	Parking Space Management	0.37	0.18	2.0	11	4	0	1	1.9
	Work Zone Safety	1.29	0.00	1.5	11	4	0	1	1.7
Capital Area MPO	CAMPO	0.00	0.00	1.0	11	4	0	1	1.5
Long Range Planning	Annexation	0.00	2.11	2.5	11	4	2	3	3.0
	Bicycle Improvements	2.86	2.53	4.0	11	4	3	3	3.5
	Pedestrian Improvements	0.00	2.54	3.0	11	4	2	3	3.2
	Long Range Land Use	1.82	0.00	1.5	11	4	3	3	2.6
	Transportation Improvements	0.00	0.00	1.0	11	4	4	4	2.9
	Spatial Analysis, Forecstg, Demogr.	0.00	0.00	1.0	11	4	0	1	1.5
Sustainability	Historic Preservation	0.00	1.00	2.0	11	4	0	1	1.9
	Air Quality	0.78	0.29	2.0	11	4	1	2	2.4
	Urban Design	1.11	1.14	2.5	11	4	1	2	2.5
	Smart Growth	0.55	0.40	2.0	11	4	2	3	2.8
	Sustainability	0.00	0.00	1.0	11	4	1	2	2.0
	Water Conservation	0.00	0.13	1.5	11	4	1	2	2.2
Child Safety	School Crossing Guards	0.00	0.77	1.5	11	4	0	1	1.7
	School Infrastructure	0.00	0.00	1.0	11	4	0	1	1.5
	Safety Education	0.00	0.00	1.0	11	4	0	1	1.5
Support Services	Administration and Management	2.73	0.89	3.0	11	4	1	2	2.7
	Financial Monitoring/Budgeting	0.00	0.00	1.0	11	4	0	1	1.5
	Facility Expense	0.00	0.00	1.0	11	4	0	1	1.5
	Purchasing/M/WBE	0.00	0.00	1.0	11	4	0	1	1.5
	Personnel/Training	0.00	0.00	1.0	11	4	0	1	1.5

OCA 2003 Risk Assessment

D. Risk Factor Detail - Raw Data and Activity Ratings

Transportation, Planning and Sustainability

Factor: Safety and Liability

Program	Activity	FY02 Workers Comp Claims Paid	FY02 WC Claims per FTE	Workers Comp Claims Rating	Legal Claims and Suits Paid per FTE	Legal Claims and Suits Paid Rating	Workforce Survey - Safety Rating	Safety and Liability Rating
Traffic Controls	Traffic Signs	\$10,452	\$475	5	\$24.92	2	2	3.3
	Traffic Signals	\$991	\$27	3	\$24.92	2	2	2.4
	Traffic Markings	\$1,781	\$111	3	\$24.92	2	2	2.4
Transportation Enhancement	Transportation Engineering	\$0	\$0	1	\$24.92	2	2	1.6
	Parking Space Management	\$11,259	\$322	4	\$24.92	2	2	2.9
	Work Zone Safety	\$15,421	\$2,203	5	\$24.92	2	2	3.3
Capital Area MPO	CAMPO	\$0	\$0	1	\$24.92	2	2	1.6
Long Range Planning	Annexation	\$0	\$0	1	\$24.92	2	2	1.6
	Bicycle Improvements	\$0	\$0	1	\$24.92	2	2	1.6
	Pedestrian Improvements	\$0	\$0	1	\$24.92	2	2	1.6
	Long Range Land Use	\$0	\$0	1	\$24.92	2	2	1.6
	Transportation Improvements	\$0	\$0	1	\$24.92	2	2	1.6
	Spatial Analysis, Forecstg, Demogr.	\$0	\$0	1	\$24.92	2	2	1.6
	Sustainability	Historic Preservation	\$0	\$0	1	\$24.92	2	2
Sustainability	Air Quality	\$0	\$0	1	\$24.92	2	2	1.6
	Urban Design	\$0	\$0	1	\$24.92	2	2	1.6
	Smart Growth	\$0	\$0	1	\$24.92	2	2	1.6
	Sustainability	\$0	\$0	1	\$24.92	2	2	1.6
	Water Conservation	\$0	\$0	1	\$24.92	2	2	1.6
Child Safety	School Crossing Guards	\$865	\$665	5	\$24.92	2	2	3.3
	School Infrastructure	\$0	\$0	1	\$24.92	2	2	1.6
	Safety Education	\$0	\$0	1	\$24.92	2	2	1.6
Support Services	Administration and Management	\$0	\$0	1	\$24.92	2	2	1.6
	Financial Monitoring/Budgeting	\$0	\$0	1	\$24.92	2	2	1.6
	Facility Expense	\$0	\$0	1	\$24.92	2	2	1.6
	Purchasing/M/WBE	\$0	\$0	1	\$24.92	2	2	1.6
	Personnel/Training	\$0	\$0	1	\$24.92	2	2	1.6

OCA 2003 Risk Assessment

D. Risk Factor Detail - Raw Data and Activity Ratings

Transportation, Planning and Sustainability

Factor: Ethics

Program	Activity	Workforce Survey - Ethics Rating	Commodities % of Total Expend.	Commod. % of Total Expend. Rating	Number of Cash Handlers	Avg. Weekly Cash Handled	Cash Handling Rating	Ethics Rating
Traffic Controls	Traffic Signs	4	16.9%	3			1.0	2.8
	Traffic Signals	4	9.1%	2			1.0	2.5
	Traffic Markings	4	32.2%	5			1.0	3.4
Transportation Enhancement	Transportation Engineering	4	0.4%	1			1.0	2.2
	Parking Space Management	4	0.6%	1			1.0	2.2
	Work Zone Safety	4	0.6%	1			1.0	2.2
Capital Area MPO	CAMPO	4	0.4%	1			1.0	2.2
Long Range Planning	Annexation	4	0.5%	1			1.0	1.9
	Bicycle Improvements	4	0.8%	1			1.0	1.9
	Pedestrian Improvements	4	0.0%	1			1.0	1.9
	Long Range Land Use	4	0.0%	1			1.0	1.9
	Transportation Improvements	4	0.9%	1			1.0	1.9
	Spatial Analysis, Forecstg, Demogr.	4	0.1%	1			1.0	1.9
Sustainability	Historic Preservation	4	0.0%	1			1.0	1.9
	Air Quality	4	1.2%	1	2	0	2.0	2.1
	Urban Design	4	0.9%	1			1.0	1.9
	Smart Growth	4	0.0%	1			1.0	1.9
	Sustainability	4	1.4%	1			1.0	1.9
	Water Conservation	4	1.4%	1	2	0	2.0	2.1
Child Safety	School Crossing Guards	4	0.5%	1			1.0	1.9
	School Infrastructure	4	0.0%	1			1.0	1.9
	Safety Education	4	0.0%	1			1.0	1.9
Support Services	Administration and Management	4	3.2%	1			1.0	1.9
	Financial Monitoring/Budgeting	4	0.0%	1			1.0	1.9
	Facility Expense	4	0.0%	1			1.0	1.9
	Purchasing/M/WBE	4	0.0%	1			1.0	1.9
	Personnel/Training	4	0.0%	1			1.0	1.9

OCA 2003 Risk Assessment

D. Risk Factor Detail - Raw Data and Activity Ratings

Transportation, Planning and Sustainability

Factor: Mitigating Factors

Program	Activity	No. of Agencies Providing Indep. Oversight	Indep. Oversight Rating	OCA Audits Rating	Internal and		Overall Mitigating Factors Rating
					External Audits Rating	Management Initiatives Rating	
Traffic Controls	Traffic Signs	0	5	5	5	3	4.3
	Traffic Signals	1	3	3	3	5	3.7
	Traffic Markings	0	5	5	5	3	4.3
Transportation Enhancement	Transportation Engineering	0	5	3	3	3	3.3
	Parking Space Management	0	5	5	5	5	5.0
	Work Zone Safety	0	5	5	5	3	4.3
Capital Area MPO	CAMPO	3	1	5	5	3	3.7
Long Range Planning	Annexation	0	5	5	5	3	4.3
	Bicycle Improvements	1	3	2	3	1	2.0
	Pedestrian Improvements	1	3	2	3	1	2.0
	Long Range Land Use	0	5	5	5	1	3.7
	Transportation Improvements	1	3	2	3	1	2.0
	Spatial Analysis, Forecstg, Demogr.	0	5	5	5	3	4.3
Sustainability	Historic Preservation	1	3	5	5	1	3.3
	Air Quality	2	3	3	5	4	3.7
	Urban Design	0	5	5	5	1	3.7
	Smart Growth	0	5	5	5	1	3.7
	Sustainability	0	5	5	5	3	4.3
Child Safety	Water Conservation	0	5	5	5	3	4.3
	School Crossing Guards	1	3	5	5	3	4.0
	School Infrastructure	1	3	2	5	3	3.0
Support Services	Safety Education	1	3	5	5	3	4.0
	Administration and Management	0	5	3	5	3	3.7
	Financial Monitoring/Budgeting	0	5	5	5	3	4.3
	Facility Expense	0	5	5	5	3	4.3
	Purchasing/MWBE	0	5	5	5	3	4.3
	Personnel/Training	0	5	5	5	3	4.3

**APPENDIX C.4  
RISK RATING RESULTS**

**WPDR – Watershed Protection and Development Review**



**A. Activity Results**  
**Watershed Protection and Development**  
**Review**

Weight 16 18 20 11 9 14 12 100  
 Risk Factor # 1 2 3 4 5 6 7

Program	Activity	Risk Factor Name	Size and Complexity	Change	Planning and Performance	Public Concern	Safety and Liability	Ethics	Mitigating Factors	Weighted Avg- All Factors	ACTIVITY RANK
		RISK RATINGS									
Land Dev Review & Inspectn	Land Dev Review & Assistance		3.3	3.3	3.0	3.7	1.2	2.4	4.3	3.16	10
	Environmental Inspection		2.5	2.5	2.5	2.9	2.1	2.3	3.7	2.64	7
Building Development	Bldg Inspec'ns-Permit & Licensing		3.3	3.3	2.1	3.7	2.1	2.7	4.7	3.03	10
	Commercial Building Plan Review		2.9	2.9	1.3	3.3	1.2	2.3	4.7	2.58	7
Brownfields Program	Brownfields		2.4	2.4	2.3	1.5	1.2	2.3	3.7	2.42	5
Water Quality Protection	Environmental Impact Assessment		2.1	2.1	2.4	2.0	1.2	2.3	3.7	2.47	6
	Salamander Research Program		2.1	2.1	2.0	2.0	3.0	2.3	3.0	2.57	7
	Pollution Detection, Trckg & Forcstg		2.5	2.5	2.3	2.0	1.2	2.3	3.0	2.31	4
	Stormwater Quality Evaluation		2.5	2.5	3.4	2.0	1.2	2.3	3.0	2.39	5
	Stormwater Treatment		2.1	2.1	3.1	2.0	1.2	2.6	3.0	2.35	4
	Water Quality Education		2.5	2.5	2.8	2.0	1.2	2.6	3.0	2.62	7
	Pollution Prevention & Reduction		2.5	2.5	3.0	2.0	1.7	2.8	3.0	2.45	6
	Water Qlty Plng and Intergovtl Compl		1.9	1.9	1.3	2.0	1.2	2.6	3.0	2.04	1
Streambank Restrtrn & Erosion	Streambank R&E Mgmt Svcs		2.1	2.1	2.8	2.8	1.2	2.0	5.0	2.71	8
Flood Hazard Mitigation	Vol Floodplain Home Buyout		1.9	1.9	2.9	2.3	1.2	2.0	4.0	2.31	4
	Regnl Stormwater Mgmt Evaluation		1.9	1.9	1.3	2.2	1.2	2.1	4.0	2.12	2
	Localized Flood Hazard Mitigation		2.5	2.5	1.8	2.8	2.1	2.0	5.0	2.89	9
	Creek Flood Hazard Mitigation		2.1	2.1	2.3	2.6	1.2	2.0	4.3	2.46	6
	Flood Early Warning System		1.9	1.9	1.5	2.6	2.1	2.0	4.0	2.18	2
	Floodplain Management		2.1	2.1	2.0	2.6	1.2	2.0	3.3	2.36	5
Watershed Prot'n Master Plng	Watershed Protection Master Plng		1.8	1.8	2.4	2.0	1.2	2.0	5.0	2.58	7
Infrastrctr and Waterway Maint	Creek Vegetation Control		2.9	2.9	1.8	2.1	1.2	2.0	4.0	2.35	4
	Erosion Repair		2.1	2.1	2.8	1.9	1.2	2.0	5.0	2.40	5
	Town Lake Cleanup		1.9	1.9	1.6	1.5	1.2	2.0	3.3	1.97	1
	Open Waterway Maintenance		2.9	2.9	1.5	1.7	1.7	2.0	4.7	2.37	5
	Pond Maintenance		3.1	3.1	1.5	1.9	3.0	2.0	4.3	2.82	9
	Storm Drain Rehabilitation		2.9	2.9	2.8	1.9	1.2	2.6	4.7	2.83	9
	Storm Drain Cleaning		2.3	2.3	3.2	1.9	1.2	2.3	4.7	2.81	9
Support Services	Administration and Management		2.7	2.7	1.6	2.1	1.2	2.6	5.0	2.74	8
	Financial Monitoring/Budgeting		2.5	2.5	3.4	2.0	1.2	2.6	4.3	2.83	9

OCA 2003 Risk Assessment

**A. Activity Results**  
**Watershed Protection and Development**  
**Review**

<b>Weight</b>	<b>16</b>	<b>18</b>	<b>20</b>	<b>11</b>	<b>9</b>	<b>14</b>	<b>12</b>	<b>100</b>
<b>Risk Factor #</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>	<b>7</b>	

<b>Risk Factor Name</b>	<b>Size and Complexity</b>	<b>Change</b>	<b>Planning and Performance</b>	<b>Public Concern</b>	<b>Safety and Liability</b>	<b>Ethics</b>	<b>Mitigating Factors</b>	<b>Weighted Avg- All Factors</b>	<b>ACTIVITY RANK</b>
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<b>Program</b>	<b>Activity</b>	<b>RISK RATINGS</b>								
Support Services	Information Technology	2.5	2.5	3.0	2.0	1.2	2.0	3.7	<b>2.77</b>	<b>8</b>
	Facility Expense	2.3	2.3	2.5	1.5	1.2	2.0	4.3	<b>2.24</b>	<b>3</b>
	Purchasing/M/WBE	1.9	1.9	3.4	1.5	1.2	2.0	3.8	<b>2.55</b>	<b>6</b>
	Personnel/Training	2.3	2.3	2.1	2.0	1.2	2.0	4.3	<b>2.46</b>	<b>6</b>
	PIO/Community Services	1.9	1.9	2.9	1.5	1.2	2.0	3.7	<b>2.43</b>	<b>5</b>

OCA 2003 Risk Assessment

**B. Program-Level Results**  
**Watershed Protection and Development**  
**Review**

	Weight Risk Factor #	16 1	18 2	20 3	11 4	9 5	14 6	12 7	100 Weighted Avg- All Factors	RANK
Risk Factor Name	Size and Complexity	Change	Planning and Performance	Public Concern	Safety and Liability	Ethics	Mitigating Factors			
<b>RISK RATINGS</b>										
Program										
Land Dev Review & Inspectn	2.9	2.9	2.7	3.3	1.7	2.3	4.0	<b>2.90</b>	<b>9</b>	
Building Development Regulations	3.1	3.1	1.7	3.5	1.7	2.5	4.7	<b>2.80</b>	<b>9</b>	
Brownfields Program	2.4	2.4	2.3	1.5	1.2	2.3	3.7	<b>2.42</b>	<b>5</b>	
Water Quality Protection	2.3	2.3	2.5	2.0	1.5	2.5	3.1	<b>2.40</b>	<b>5</b>	
Streambank Restrtn & Erosion	2.1	2.1	2.8	2.8	1.2	2.0	5.0	<b>2.71</b>	<b>8</b>	
Flood Hazard Mitigation	2.1	2.1	2.0	2.5	1.5	2.0	4.1	<b>2.39</b>	<b>5</b>	
Watershed Prot'n Master Plng	1.8	1.8	2.4	2.0	1.2	2.0	5.0	<b>2.58</b>	<b>7</b>	
Infrastrctr and Waterway Maint	2.6	2.6	2.2	1.9	1.5	2.1	4.4	<b>2.51</b>	<b>6</b>	
Support Services	2.3	2.3	2.7	1.8	1.2	2.2	4.2	<b>2.57</b>	<b>6</b>	

OCA 2003 Risk Assessment

**C. Activity Results by Rank**  
**Watershed Protection and Development**

Activity	Weight	16	18	20	11	9	14	12	100	ACTIVITY RANK
	Risk Factor #	1	2	3	4	5	6	7	Weighted Avg- All Factors	
Risk Factor Name	Size and Complexity	Change	Planning and Performance	Public Concern	Safety and Liability	Ethics	Mitigating Factors			
RISK RATINGS										
Land Dev Review & Assistance	3.3	3.3	3.0	3.7	1.2	2.4	4.3	3.16	10	
Bldg Inspec'ns-Permit & Licensing	3.3	3.3	2.1	3.7	2.1	2.7	4.7	3.03	10	
Localized Flood Hazard Mitigation	2.5	2.5	1.8	2.8	2.1	2.0	5.0	2.89	9	
Storm Drain Rehabilitation	2.9	2.9	2.8	1.9	1.2	2.6	4.7	2.83	9	
Financial Monitoring/Budgeting	2.5	2.5	3.4	2.0	1.2	2.6	4.3	2.83	9	
Pond Maintenance	3.1	3.1	1.5	1.9	3.0	2.0	4.3	2.82	9	
Storm Drain Cleaning	2.3	2.3	3.2	1.9	1.2	2.3	4.7	2.81	9	
Information Technology	2.5	2.5	3.0	2.0	1.2	2.0	3.7	2.77	8	
Administration and Management	2.7	2.7	1.6	2.1	1.2	2.6	5.0	2.74	8	
Streambank R&E Mgmt Svcs	2.1	2.1	2.8	2.8	1.2	2.0	5.0	2.71	8	
Environmental Inspection	2.5	2.5	2.5	2.9	2.1	2.3	3.7	2.64	7	
Water Quality Education	2.5	2.5	2.8	2.0	1.2	2.6	3.0	2.62	7	
Commercial Building Plan Review	2.9	2.9	1.3	3.3	1.2	2.3	4.7	2.58	7	
Watershed Protection Master Plng	1.8	1.8	2.4	2.0	1.2	2.0	5.0	2.58	7	
Salamander Research Program	2.1	2.1	2.0	2.0	3.0	2.3	3.0	2.57	7	
Purchasing/M/WBE	1.9	1.9	3.4	1.5	1.2	2.0	3.8	2.55	6	
Environmental Impact Assessment	2.1	2.1	2.4	2.0	1.2	2.3	3.7	2.47	6	
Creek Flood Hazard Mitigation	2.1	2.1	2.3	2.6	1.2	2.0	4.3	2.46	6	
Personnel/Training	2.3	2.3	2.1	2.0	1.2	2.0	4.3	2.46	6	
Pollution Prevention & Reduction	2.5	2.5	3.0	2.0	1.7	2.8	3.0	2.45	6	
PIO/Community Services	1.9	1.9	2.9	1.5	1.2	2.0	3.7	2.43	5	
Brownfields	2.4	2.4	2.3	1.5	1.2	2.3	3.7	2.42	5	
Erosion Repair	2.1	2.1	2.8	1.9	1.2	2.0	5.0	2.40	5	
Stormwater Quality Evaluation	2.5	2.5	3.4	2.0	1.2	2.3	3.0	2.39	5	
Open Waterway Maintenance	2.9	2.9	1.5	1.7	1.7	2.0	4.7	2.37	5	
Floodplain Management	2.1	2.1	2.0	2.6	1.2	2.0	3.3	2.36	5	
Creek Vegetation Control	2.9	2.9	1.8	2.1	1.2	2.0	4.0	2.35	4	
Stormwater Treatment	2.1	2.1	3.1	2.0	1.2	2.6	3.0	2.35	4	
Vol Floodplain Home Buyout	1.9	1.9	2.9	2.3	1.2	2.0	4.0	2.31	4	
Pollution Detection, Trckg & Forcstg	2.5	2.5	2.3	2.0	1.2	2.3	3.0	2.31	4	
Facility Expense	2.3	2.3	2.5	1.5	1.2	2.0	4.3	2.24	3	
Flood Early Warning System	1.9	1.9	1.5	2.6	2.1	2.0	4.0	2.18	2	

OCA 2003 Risk Assessment

**C. Activity Results by Rank**  
**Watershed Protection and Development**

Activity	Weight	16	18	20	11	9	14	12	100	ACTIVITY RANK
	Risk Factor #	1	2	3	4	5	6	7	Weighted Avg- All Factors	
Risk Factor Name	Size and Complexity	Change	Planning and Performance	Public Concern	Safety and Liability	Ethics	Mitigating Factors			
RISK RATINGS										
Regnl Stormwater Mgmt Evaluation		1.9	1.9	1.3	2.2	1.2	2.1	4.0	<b>2.12</b>	<b>2</b>
Water Qlty Plng and Intergovtl Compl		1.9	1.9	1.3	2.0	1.2	2.6	3.0	<b>2.04</b>	<b>1</b>
Town Lake Cleanup		1.9	1.9	1.6	1.5	1.2	2.0	3.3	<b>1.97</b>	<b>1</b>

OCA 2003 Risk Assessment

**D. Risk Factor Detail - Raw Data and Activity Ratings**  
**Watershed Protection and Development**  
**Review**

**Factor: Size and Complexity**

Program	Activity	Size-FY03 Budgeted Expend	Budget Relative Size Rating	Size-FY03 Budgeted FTEs	FTEs Relative Size Rating	No. of Sites Rating	Diversity of Services Rating	No. of Grants Rating	Contract Expend. -% of Total	Contract Exp. -% of Total Rating	Size and Complexity Rating
Land Dev Review & Inspectn	Land Dev Review & Assistance	\$5,860,642	5	112.25	5	1	5	1	0.0%	1	3.3
	Environmental Inspection	\$779,260	4	13.00	4	1	3	1	0.0%	1	2.5
Building Development	Bldg Inspec'ns-Permit & Licensing	\$3,538,707	5	56.00	5	1	5	1	0.0%	1	3.3
	Commercial Building Plan Review	\$815,894	4	14.00	4	1	5	1	0.0%	1	2.9
Brownfields Program	Brownfields	\$172,101	2	2.00	2	1	5	3	0.0%	1	2.4
Water Quality Protection	Environmental Impact Assessment	\$415,044	3	5.15	3	1	3	1	0.0%	1	2.1
	Salamander Research Program	\$375,350	3	3.00	3	1	3	1	0.0%	1	2.1
	Pollution Detection, Trckg & Forcstg	\$1,048,582	4	11.05	4	1	3	1	0.0%	1	2.5
	Stormwater Quality Evaluation	\$1,198,915	4	11.00	4	1	3	1	0.8%	1	2.5
	Stormwater Treatment	\$322,455	3	3.55	3	1	3	1	0.0%	1	2.1
	Water Quality Education	\$643,985	4	7.75	4	1	3	1	0.0%	1	2.5
	Pollution Prevention & Reduction	\$1,006,140	4	12.00	4	1	3	1	1.3%	1	2.5
	Water Qlty Plng and Intergovtl Compl	\$244,641	2	4.00	3	1	3	1	0.0%	1	1.9
Streambank Restrtn & Erosion	Streambank R&E Mgmt Svcs	\$525,747	3	5.90	3	1	3	1	0.0%	1	2.1
Flood Hazard Mitigation	Vol Floodplain Home Buyout	\$26,918	1	0.30	2	1	5	1	0.0%	1	1.9
	Regnl Stormwater Mgmt Evaluation	\$160,190	2	2.60	3	1	3	1	0.0%	1	1.9
	Localized Flood Hazard Mitigation	\$765,896	4	9.70	4	1	3	1	0.0%	1	2.5
	Creek Flood Hazard Mitigation	\$503,942	3	4.30	3	1	3	1	0.0%	1	2.1
	Flood Early Warning System	\$215,814	2	2.30	3	1	3	1	0.0%	1	1.9
	Floodplain Management	\$308,741	3	3.80	3	1	3	1	11.8%	1	2.1
Watershed Prot'n Master Plng	Watershed Protection Master Plng	\$151,497	2	1.50	2	1	3	1	0.0%	1	1.8
Infrastrctr and Waterway Maint	Creek Vegetation Control	\$1,306,156	4	1.00	2	1	3	1	90.7%	5	2.9
	Erosion Repair	\$348,733	3	6.00	3	1	3	1	0.0%	1	2.1
	Town Lake Cleanup	\$196,118	2	4.00	3	1	3	1	0.0%	1	1.9
	Open Waterway Maintenance	\$1,842,890	5	27.00	5	1	3	1	0.0%	1	2.9
	Pond Maintenance	\$1,452,862	4	20.00	5	1	3	1	40.3%	3	3.1
	Storm Drain Rehabilitation	\$1,643,631	5	18.00	5	1	3	1	0.6%	1	2.9
	Storm Drain Cleaning	\$595,766	3	8.00	4	1	3	1	0.0%	1	2.3
Support Services	Administration and Management	\$1,357,636	4	8.25	4	1	4	1	6.2%	1	2.7
	Financial Monitoring/Budgeting	\$439,028	3	9.00	4	1	4	1	0.0%	1	2.5
	Information Technology	\$500,395	3	6.85	4	1	4	1	0.0%	1	2.5
	Facility Expense	\$1,666,772	5	0.00	1	1	4	1	0.0%	1	2.3
	Purchasing/M/WBE	\$100,880	2	2.00	2	1	4	1	0.0%	1	1.9
	Personnel/Training	\$329,387	3	5.00	3	1	4	1	0.0%	1	2.3
	PIO/Community Services	\$80,033	2	1.00	2	1	4	1	0.0%	1	1.9

**D. Risk Factor Detail - Raw Data and Activity Ratings**

**Watershed Protection and Development Review**

**Factor: Change**

Program	Activity	Business Plan Change Rating	Expend Trend - % Change	Initial Expend Trend Rating	Adjustment for diverg. FTE/Budget Trend	Final Adjusted Trend Rating	FTE Trend -% Change	FTE Trend Rating	Employee Turnover Rating	Change Rating
Land Dev Review & Inspectn	Land Dev Review & Assistance	5	41%	5		5	1%	1	2	3.7
	Environmental Inspection	4	14%	2		2	0%	1	2	2.7
Building Development Regulations	Bldg Inspec'ns-Permit & Licensing	5	10%	1	1	2	-8%	1	2	3.1
	Commercial Building Plan Review	5	1%	1		1	0%	1	2	2.8
Brownfields Program	Brownfields	2	100%	5		5	100%	5	2	3.0
Water Quality Protection	Environmental Impact Assessment	4	30%	3		3	26%	3	2	3.1
	Salamander Research Program	5	138%	5		5	0%	1	2	3.7
	Pollution Detection, Trckg & Forcstg	4	-7%	1		1	-8%	1	2	2.4
	Stormwater Quality Evaluation	2	-1%	1		1	0%	1	2	1.7
	Stormwater Treatment	2	18%	2		2	1%	1	2	1.9
	Water Quality Education	3	59%	5		5	76%	5	2	3.4
	Pollution Prevention & Reduction	2	12%	2		2	0%	1	2	1.9
	Water Qlty Plng and Intergovtl Compl	2	25%	3		3	21%	3	2	2.3
Streambank Restrtn & Erosion	Streambank R&E Mgmt Svcs	4	-15%	2		2	-26%	3	2	2.9
Flood Hazard Mitigation	Vol Floodplain Home Buyout	2	-8%	1		1	0%	1	2	1.7
	Regnl Stormwater Mgmt Evaluation	2	29%	3		3	30%	3	2	2.3
	Localized Flood Hazard Mitigation	5	24864%	5		5	52%	5	2	4.2
	Creek Flood Hazard Mitigation	2	100%	5		5	0%	1	2	2.6
	Flood Early Warning System	2	11%	2		2	0%	1	2	1.9
	Floodplain Management	5	13%	2		2	3%	1	2	3.1
Watershed Prot'n Master Plng	Watershed Protection Master Plng	5	-22%	3		3	-19%	2	2	3.4
Infrastrctr and Waterway Maint	Creek Vegetation Control	4	3%	1		1	0%	1	2	2.4
	Erosion Repair	2	-1%	1		1	0%	1	2	1.7
	Town Lake Cleanup	2	21%	3		3	0%	1	2	2.1
	Open Waterway Maintenance	4	7%	1		1	0%	1	2	2.4
	Pond Maintenance	5	96%	5		5	186%	5	2	4.2
	Storm Drain Rehabilitation	5	0%	1	1	2	-14%	2	2	3.2
	Storm Drain Cleaning	5	19%	2	1	3	-20%	2	2	3.4
Support Services	Administration and Management	5	24%	3	1	4	-33%	4	2	3.8
	Financial Monitoring/Budgeting	2	2139%	5		5	1100%	5	2	3.0
	Information Technology	5	110%	5		5	34%	4	2	4.1
	Facility Expense	2	1%	1		1	0%	1	2	1.7
	Purchasing/M/WBE	2	206%	5		5	100%	5	2	3.0
	Personnel/Training	2	615%	5		5	400%	5	2	3.0
	PIO/Community Services	2	100%	5		5	100%	5	2	3.0

**D. Risk Factor Detail - Raw Data and Activity Ratings**

**Watershed Protection and Development Review**

**Factor: Planning and Performance**

<b>Program</b>	<b>Activity</b>	<b>Variance - FY02 Actual vs Budget</b>	<b>Variance - Actual vs Budget Rating</b>	<b>Performance Trend Rating</b>	<b>Workforce Survey - Satisfaction Rating</b>	<b>Overtime - % of Total Salaries</b>	<b>Overtime - % of Total Rating</b>	<b>Planning and Performance Rating</b>
Land Dev Review & Inspectn	Land Dev Review & Assistance	-9%	2	4	3	0.08%	1	<b>3.0</b>
	Environmental Inspection	-7%	2	3	3	0.37%	1	<b>2.5</b>
Building Development Regulations	Bldg Inspec'ns-Permit & Licensing	-10%	3	2	3	0.67%	1	<b>2.1</b>
	Commercial Building Plan Review	-4%	1	1	3	0.00%	1	<b>1.3</b>
Brownfields Program	Brownfields		1	3	3	0.00%	1	<b>2.3</b>
Water Quality Protection	Environmental Impact Assessment	-24%	5	2	3	0.06%	1	<b>2.4</b>
	Salamander Research Program	8%	2	2	3	1.12%	1	<b>2.0</b>
	Pollution Detection, Trckg & Forcstg	-1%	1	3	3	0.47%	1	<b>2.3</b>
	Stormwater Quality Evaluation	-30%	5	4	3	0.07%	1	<b>3.4</b>
	Stormwater Treatment	-14%	3	4	3	1.74%	1	<b>3.1</b>
	Water Quality Education	4%	1	4	3	0.71%	1	<b>2.8</b>
	Pollution Prevention & Reduction	-7%	2	4	3	0.49%	1	<b>3.0</b>
	Water Qlty Plng and Intergovtl Compl	1%	1	1	3	0.00%	1	<b>1.3</b>
Streambank Restrtn & Erosion	Streambank R&E Mgmt Svcs	-17%	4	3	3	0.18%	1	<b>2.8</b>
Flood Hazard Mitigation	Vol Floodplain Home Buyout	-49%	5	3	3	0.00%	1	<b>2.9</b>
	Regnl Stormwater Mgmt Evaluation	3%	1	1	3	0.00%	1	<b>1.3</b>
	Localized Flood Hazard Mitigation	-3%	1	2	3	0.00%	1	<b>1.8</b>
	Creek Flood Hazard Mitigation	1%	1	3	3	0.05%	1	<b>2.3</b>
	Flood Early Warning System	-9%	2	1	3	0.35%	1	<b>1.5</b>
	Floodplain Management	-9%	2	2	3	0.02%	1	<b>2.0</b>
Watershed Prot'n Master Plng	Watershed Protection Master Plng	-45%	5	2	3	0.86%	1	<b>2.4</b>
Infrastrctr and Waterway Maint	Creek Vegetation Control	-16%	4	1	3	0.00%	1	<b>1.8</b>
	Erosion Repair	-14%	3	3	3	7.53%	2	<b>2.8</b>
	Town Lake Cleanup	-13%	3	1	3	6.87%	1	<b>1.6</b>
	Open Waterway Maintenance	-6%	2	1	3	7.02%	1	<b>1.5</b>
	Pond Maintenance	-5%	1	1	3	9.17%	2	<b>1.5</b>
	Storm Drain Rehabilitation	4%	1	4	3	7.25%	1	<b>2.8</b>
	Storm Drain Cleaning	-5%	2	4	3	8.24%	2	<b>3.2</b>
	Support Services	Administration and Management	-14%	3	1	3	0.25%	1
Financial Monitoring/Budgeting		-50%	5	4	3	0.00%	1	<b>3.4</b>
Information Technology		-6%	2	4	3	0.03%	1	<b>3.0</b>
Facility Expense		6%	2	3	3	0.00%	1	<b>2.5</b>
Purchasing/M/WBE		-63%	5	4	3	0.20%	1	<b>3.4</b>
Personnel/Training		13%	3	2	3	0.00%	1	<b>2.1</b>
	PIO/Community Services	-60%	5	3	3	0.00%	1	<b>2.9</b>

**D. Risk Factor Detail - Raw Data and Activity Ratings**

**Watershed Protection and Development Review**

**Factor: Public Concern**

Program	Activity	FY02 Citizen Complaints per FTE	FY03 Citizen Complaints per FTE	Avg Citizen Complaints per FTE Rating	# Legal Claims & Suits per 100 FTEs	# Legal Claims and Suits Rating	Council/CMO Survey - # of "hits"	Council/CMO Survey Rating	Public Concern Rating
Land Dev Review & Inspectn	Land Dev Review & Assistance	0.22	0.14	2.0	17	4	5	5	3.7
	Environmental Inspection	0.00	0.00	1.0	17	4	4	4	2.9
Building Development Regulations	Bldg Inspec'ns-Permit & Licensing	0.39	0.09	2.0	17	4	5	5	3.7
	Commercial Building Plan Review	0.13	0.07	2.0	17	4	4	4	3.3
Brownfields Program	Brownfields	0.00	0.00	1.0	17	4	0	1	1.5
Water Quality Protection	Environmental Impact Assessment	0.00	0.00	1.0	17	4	1	2	2.0
	Salamander Research Program	0.00	0.00	1.0	17	4	1	2	2.0
	Pollution Detection, Trckg & Forcstg	0.00	0.00	1.0	17	4	1	2	2.0
	Stormwater Quality Evaluation	0.00	0.00	1.0	17	4	1	2	2.0
	Stormwater Treatment	0.00	0.00	1.0	17	4	1	2	2.0
	Water Quality Education	0.00	0.00	1.0	17	4	1	2	2.0
	Pollution Prevention & Reduction	0.00	0.00	1.0	17	4	1	2	2.0
	Water Qlty Plng and Intergovtl Compl	0.00	0.00	1.0	17	4	1	2	2.0
Streambank Restrtrn & Erosion	Streambank R&E Mgmt Svcs	1.00	0.34	2.0	17	4	2	3	2.8
Flood Hazard Mitigation	Vol Floodplain Home Buyout	0.00	3.33	3.0	17	4	0	1	2.3
	Regnl Stormwater Mgmt Evaluation	0.40	0.00	1.5	17	4	1	2	2.2
	Localized Flood Hazard Mitigation	1.17	0.41	2.0	17	4	2	3	2.8
	Creek Flood Hazard Mitigation	0.26	0.00	1.5	17	4	2	3	2.6
	Flood Early Warning System	0.87	0.00	1.5	17	4	2	3	2.6
	Floodplain Management	1.62	0.00	1.5	17	4	2	3	2.6
Watershed Prot'n Master Plng	Watershed Protection Master Plng	0.00	0.00	1.0	17	4	1	2	2.0
Infrastrctr and Waterway Maint	Creek Vegetation Control	3.00	1.00	2.5	17	4	0	1	2.1
	Erosion Repair	0.50	0.33	2.0	17	4	0	1	1.9
	Town Lake Cleanup	0.00	0.00	1.0	17	4	0	1	1.5
	Open Waterway Maintenance	0.29	0.00	1.5	17	4	0	1	1.7
	Pond Maintenance	0.14	0.05	2.0	17	4	0	1	1.9
	Storm Drain Rehabilitation	0.24	0.06	2.0	17	4	0	1	1.9
	Storm Drain Cleaning	0.20	0.25	2.0	17	4	0	1	1.9
	Support Services	Administration and Management	0.84	0.97	2.5	17	4	0	1
Financial Monitoring/Budgeting		0.00	0.00	1.0	17	4	1	2	2.0
Information Technology		0.00	0.00	1.0	17	4	1	2	2.0
Facility Expense		0.00	0.00	1.0	17	4	0	1	1.5
Purchasing/M/WBE		0.00	0.00	1.0	17	4	0	1	1.5
Personnel/Training		0.00	0.00	1.0	17	4	1	2	2.0
	PIO/Community Services	0.00	0.00	1.0	17	4	0	1	1.5

**D. Risk Factor Detail - Raw Data and Activity Ratings**

**Watershed Protection and Development Review**

**Factor: Safety and Liability**

<b>Program</b>	<b>Activity</b>	<b>FY02 Workers Comp Claims Paid</b>	<b>FY02 WC Claims per FTE</b>	<b>Workers Comp Claims Rating</b>	<b>Legal Claims and Suits Paid per FTE</b>	<b>Legal Claims and Suits Paid Rating</b>	<b>Workforce Survey - Safety Rating</b>	<b>Safety and Liability Rating</b>	
Land Dev Review & Inspectn	Land Dev Review & Assistance	\$0	\$0	1	\$70.00	2	1	1.2	
	Environmental Inspection	\$395	\$30	3	\$70.00	2	1	2.1	
Building Development Regulations	Bldg Inspec'ns-Permit & Licensing	\$1,620	\$25	3	\$70.00	2	1	2.1	
	Commercial Building Plan Review	\$0	\$0	1	\$70.00	2	1	1.2	
Brownfields Program	Brownfields	\$0	\$0	1	\$70.00	2	1	1.2	
Water Quality Protection	Environmental Impact Assessment	\$0	\$0	1	\$70.00	2	1	1.2	
	Salamander Research Program	\$1,984	\$661	5	\$70.00	2	1	3.0	
	Pollution Detection, Trckg & Forcstg	\$0	\$0	1	\$70.00	2	1	1.2	
	Stormwater Quality Evaluation	\$0	\$0	1	\$70.00	2	1	1.2	
	Stormwater Treatment	\$0	\$0	1	\$70.00	2	1	1.2	
	Water Quality Education	\$0	\$0	1	\$70.00	2	1	1.2	
	Pollution Prevention & Reduction	\$25	\$2	2	\$70.00	2	1	1.7	
	Water Qlty Plng and Intergovtl Compl	\$0	\$0	1	\$70.00	2	1	1.2	
Streambank Restrtrn & Erosion	Streambank R&E Mgmt Svcs	\$0	\$0	1	\$70.00	2	1	1.2	
Flood Hazard Mitigation	Vol Floodplain Home Buyout	\$0	\$0	1	\$70.00	2	1	1.2	
	Regnl Stormwater Mgmt Evaluation	\$0	\$0	1	\$70.00	2	1	1.2	
	Localized Flood Hazard Mitigation	\$1,137	\$121	3	\$70.00	2	1	2.1	
	Creek Flood Hazard Mitigation	\$0	\$0	1	\$70.00	2	1	1.2	
	Flood Early Warning System	\$184	\$80	3	\$70.00	2	1	2.1	
	Floodplain Management	\$0	\$0	1	\$70.00	2	1	1.2	
Watershed Prot'n Master Plng	Watershed Protection Master Plng	\$0	\$0	1	\$70.00	2	1	1.2	
Infrastrctr and Waterway Maint	Creek Vegetation Control	\$0	\$0	1	\$70.00	2	1	1.2	
	Erosion Repair	\$0	\$0	1	\$70.00	2	1	1.2	
	Town Lake Cleanup	\$0	\$0	1	\$70.00	2	1	1.2	
	Open Waterway Maintenance	\$196	\$7	2	\$70.00	2	1	1.7	
	Pond Maintenance	\$4,586	\$655	5	\$70.00	2	1	3.0	
	Storm Drain Rehabilitation	\$0	\$0	1	\$70.00	2	1	1.2	
	Storm Drain Cleaning	\$0	\$0	1	\$70.00	2	1	1.2	
	Support Services	Administration and Management	\$0	\$0	1	\$70.00	2	1	1.2
		Financial Monitoring/Budgeting	\$0	\$0	1	\$70.00	2	1	1.2
		Information Technology	\$0	\$0	1	\$70.00	2	1	1.2
Facility Expense		\$0		1	\$70.00	2	1	1.2	
Purchasing/M/WBE		\$0	\$0	1	\$70.00	2	1	1.2	
Personnel/Training		\$0	\$0	1	\$70.00	2	1	1.2	
	PIO/Community Services	\$0	\$0	1	\$70.00	2	1	1.2	

**D. Risk Factor Detail - Raw Data and Activity Ratings**

**Watershed Protection and Development Review**

**Factor: Ethics**

Program	Activity	Workforce Survey - Ethics Rating	Commodities % of Total Expend.	Commod. % of Total Expend. Rating	Number of Cash Handlers	Avg. Weekly Cash Handled	Cash Handling Rating	Ethics Rating
Land Dev Review & Inspectn	Land Dev Review & Assistance	3	0.4%	1	1		1.5	2.4
	Environmental Inspection	3	0.7%	1			1.0	2.3
Building Development Regulations	Bldg Inspect'ns-Permit & Licensing	3	0.4%	1	1		1.5	2.7
	Commercial Building Plan Review	3	0.5%	1			1.0	2.3
Brownfields Program	Brownfields	3	0.0%	1			1.0	2.3
Water Quality Protection	Environmental Impact Assessment	3	0.5%	1			1.0	2.3
	Salamander Research Program	3	0.0%	1			1.0	2.3
	Pollution Detection, Trckg & Forcstg	3	0.5%	1			1.0	2.3
	Stormwater Quality Evaluation	3	0.8%	1			1.0	2.3
	Stormwater Treatment	3	0.0%	1			1.0	2.6
	Water Quality Education	3	4.5%	1			1.0	2.6
	Pollution Prevention & Reduction	3	0.3%	1	1	\$1-\$99	2.0	2.8
	Water Qlty Plng and Intergovtl Compl	3	0.0%	1			1.0	2.6
Streambank Restrtn & Erosion	Streambank R&E Mgmt Svcs	3	0.7%	1			1.0	2.0
Flood Hazard Mitigation	Vol Floodplain Home Buyout	3	0.1%	1			1.0	2.0
	Regnl Stormwater Mgmt Evaluation	3	0.8%	1	1		1.5	2.1
	Localized Flood Hazard Mitigation	3	1.1%	1			1.0	2.0
	Creek Flood Hazard Mitigation	3	0.1%	1			1.0	2.0
	Flood Early Warning System	3	0.4%	1			1.0	2.0
	Floodplain Management	3	0.7%	1			1.0	2.0
Watershed Prot'n Master Plng	Watershed Protection Master Plng	3	4.2%	1			1.0	2.0
Infrastrctr and Waterway Maint	Creek Vegetation Control	3	0.0%	1			1.0	2.0
	Erosion Repair	3	2.8%	1			1.0	2.0
	Town Lake Cleanup	3	0.1%	1			1.0	2.0
	Open Waterway Maintenance	3	1.0%	1			1.0	2.0
	Pond Maintenance	3	3.5%	1			1.0	2.0
	Storm Drain Rehabilitation	3	11.7%	2			1.0	2.6
	Storm Drain Cleaning	3	0.4%	1			1.0	2.3
	Support Services	Administration and Management	3	1.7%	1			1.0
	Financial Monitoring/Budgeting	3	0.0%	1			1.0	2.6
	Information Technology	3	0.0%	1			1.0	2.0
	Facility Expense	3	0.1%	1			1.0	2.0
	Purchasing/M/WBE	3	0.0%	1			1.0	2.0
	Personnel/Training	3	0.0%	1			1.0	2.0
	PIO/Community Services	3	0.0%	1			1.0	2.0

OCA 2003 Risk Assessment

**D. Risk Factor Detail - Raw Data and Activity Ratings**

**Watershed Protection and Development Review**

**Factor: Mitigating Factors**

Program	Activity	No. of Agencies Providing Indep. Oversight	Indep. Oversight Rating	OCA Audits Rating	Internal and		Overall Mitigating Factors Rating
					External Audits Rating	Management Initiatives Rating	
Land Dev Review & Inspectn	Land Dev Review & Assistance	4	1	5	5	5	4.3
	Environmental Inspection	3	1	5	5	3	3.7
Building Development Regulations	Bldg Inspec'ns-Permit & Licensing	1	3	5	5	5	4.7
	Commercial Building Plan Review	1	3	5	5	5	4.7
Brownfields Program	Brownfields	0	5	5	5	1	3.7
Water Quality Protection	Environmental Impact Assessment	3	1	5	5	3	3.7
	Salamander Research Program	3	1	5	5	1	3.0
	Pollution Detection, Trckg & Forcstg	3	1	5	5	1	3.0
	Stormwater Quality Evaluation	3	1	5	5	1	3.0
	Stormwater Treatment	3	1	5	5	1	3.0
	Water Quality Education	3	1	5	5	1	3.0
	Pollution Prevention & Reduction	3	1	5	5	1	3.0
	Water Qlty Plng and Intergovtl Compl	3	1	5	5	1	3.0
Streambank Restrtn & Erosion	Streambank R&E Mgmt Svcs	0	5	5	5	5	5.0
Flood Hazard Mitigation	Vol Floodplain Home Buyout	1	3	5	5	3	4.0
	Regnl Stormwater Mgmt Evaluation	2	3	5	5	3	4.0
	Localized Flood Hazard Mitigation	0	5	5	5	5	5.0
	Creek Flood Hazard Mitigation	3	1	5	5	5	4.3
	Flood Early Warning System	1	3	5	5	3	4.0
	Floodplain Management	1	3	5	5	1	3.3
Watershed Prot'n Master Plng	Watershed Protection Master Plng	0	5	5	5	5	5.0
Infrstrctr and Waterway Maint	Creek Vegetation Control	2	3	5	5	3	4.0
	Erosion Repair	0	5	5	5	5	5.0
	Town Lake Cleanup	2	3	5	5	1	3.3
	Open Waterway Maintenance	2	3	5	5	5	4.7
	Pond Maintenance	3	1	5	5	5	4.3
	Storm Drain Rehabilitation	2	3	5	5	5	4.7
	Storm Drain Cleaning	2	3	5	5	5	4.7
Support Services	Administration and Management	0	5	5	5	5	5.0
	Financial Monitoring/Budgeting	0	5	5	5	3	4.3
	Information Technology	0	5	3	5	3	3.7
	Facility Expense	0	5	5	5	3	4.3
	Purchasing/M/WBE	0	5	5	2	3	3.8
	Personnel/Training	0	5	5	5	3	4.3
	PIO/Community Services	0	5	5	5	1	3.7

**APPENDIX C.5  
RISK RATING RESULTS**

**Police Department**



OCA 2003 Risk Assessment

A. Activity Results  
Police Department

Weight 16 18 20 11 9 14 12 100  
Risk Factor # 1 2 3 4 5 6 7

Risk Factor Name Size and Complexity Change Planning and Performance Public Concern Safety and Liability Ethics Mitigating Factors Weighted Avg- All Factors ACTIVITY RANK

Program	Activity	Size and Complexity	Change	Planning and Performance	Public Concern	Safety and Liability	Ethics	Mitigating Factors	Weighted Avg- All Factors	ACTIVITY RANK
Neighborhood-Based Policing	First Response	3.9	3.9	2.5	2.8	3.3	1.9	4.0	3.03	10
	Community Partnerships	3.9	3.9	3.8	2.8	3.3	2.4	3.3	3.22	10
	Neighborhood-Based Policing Support	3.9	3.9	3.7	2.6	3.8	2.3	4.0	3.17	10
	Traffic	3.9	3.9	3.3	2.5	2.0	1.9	4.0	3.10	10
Investigations	Centralized Investigations	3.4	3.4	2.7	1.9	2.9	1.9	3.2	2.73	8
	Organized Crime	3.4	3.4	1.7	1.9	3.3	1.9	4.0	2.79	8
	Special Operations	3.5	3.5	1.7	1.9	3.3	1.9	4.0	2.79	8
	Homeland Defense	3.9	3.9	2.8	2.5	2.0	1.9	3.7	3.03	10
Operations Support	Communications	3.4	3.4	2.9	1.7	3.3	2.2	3.0	2.77	8
	Planning and Analysis	3.3	3.3	3.2	1.5	2.9	2.7	4.0	3.06	10
	Victim Services	3.8	3.8	2.6	1.5	3.3	1.9	4.0	2.84	9
	Forensic Science Services	3.8	3.8	3.2	1.5	2.9	2.6	4.0	3.05	10
Professional Standards	Accreditation Inspections	2.1	2.1	1.7	1.5	2.0	2.2	3.3	1.95	1
	Internal Affairs	2.9	2.9	3.2	1.9	2.0	1.9	4.7	2.60	7
	Training	3.4	3.4	3.3	1.5	3.3	1.9	4.7	2.92	9
	Recruiting	3.2	3.2	1.3	2.0	2.0	2.2	4.0	2.41	5
Support Services	Administration and Management	2.5	2.5	2.5	2.5	2.4	1.9	4.3	2.68	8
	Financial Monitoring/Budgeting	2.5	2.5	2.3	3.4	2.0	1.9	5.0	2.76	8
	Information Technology Support	2.8	2.8	3.5	1.5	2.0	1.9	4.3	2.76	8
	Facility Expense	3.1	3.1	3.5	1.5	3.8	1.9	5.0	3.05	10
	Purchasing/M/WBE	2.9	2.9	1.8	1.5	2.0	2.8	5.0	2.56	6
	Personnel/Training	2.9	2.9	3.3	2.0	2.0	2.2	4.7	2.89	9
	Public Information	2.3	2.3	1.3	1.5	2.0	1.9	5.0	2.21	3
Fleet/Equipment & Maintenance	3.1	3.1	3.2	1.5	3.8	2.2	5.0	3.00	10	

**OCA 2003 Risk Assessment**

**B. Program-Level Results  
Police Department**

	Weight Risk Factor #	16 1	18 2	20 3	11 4	9 5	14 6	12 7	100	
Risk Factor Name	Size and Complexity	Change	Planning and Performance	Public Concern	Safety and Liability	Ethics	Mitigating Factors	Weighted Avg- All Factors	RANK	
<b>Program</b>	<b>RISK RATINGS</b>									
Neighborhood-Based Policing	3.9	3.9	3.3	2.7	3.1	2.1	3.8	3.13	10	
Investigations	3.5	3.5	2.2	2.0	2.9	1.9	3.7	2.84	9	
Operations Support	3.5	3.5	2.9	1.6	3.1	2.4	3.8	2.93	9	
Professional Standards	2.9	2.9	2.3	1.8	2.3	2.1	4.2	2.47	6	
Support Services	2.8	2.8	2.7	2.0	2.5	2.1	4.8	2.74	8	

## OCA Risk Assessment

### C. Activity Results by Rank Police Department

Activity	Weight	16	18	20	11	9	14	12	100	ACTIVITY RANK
	Risk Factor #	1	2	3	4	5	6	7	Weighted Avg- All Factors	
	Risk Factor Name	Size and Complexity	Change	Planning and Performance	Public Concern	Safety and Liability	Ethics	Mitigating Factors		
RISK RATINGS										
Community Partnerships		3.9	3.9	3.8	2.8	3.3	2.4	3.3	3.22	10
Neighborhood-Based Policing Support		3.9	3.9	3.7	2.6	3.8	2.3	4.0	3.17	10
Traffic		3.9	3.9	3.3	2.5	2.0	1.9	4.0	3.10	10
Planning and Analysis		3.3	3.3	3.2	1.5	2.9	2.7	4.0	3.06	10
Facility Expense		3.1	3.1	3.5	1.5	3.8	1.9	5.0	3.05	10
Forensic Science Services		3.8	3.8	3.2	1.5	2.9	2.6	4.0	3.05	10
Homeland Defense		3.9	3.9	2.8	2.5	2.0	1.9	3.7	3.03	10
First Response		3.9	3.9	2.5	2.8	3.3	1.9	4.0	3.03	10
Fleet/Equipment & Maintenance		3.1	3.1	3.2	1.5	3.8	2.2	5.0	3.00	10
Training		3.4	3.4	3.3	1.5	3.3	1.9	4.7	2.92	9
Personnel/Training		2.9	2.9	3.3	2.0	2.0	2.2	4.7	2.89	9
Victim Services		3.8	3.8	2.6	1.5	3.3	1.9	4.0	2.84	9
Special Operations		3.5	3.5	1.7	1.9	3.3	1.9	4.0	2.79	8
Organized Crime		3.4	3.4	1.7	1.9	3.3	1.9	4.0	2.79	8
Communications		3.4	3.4	2.9	1.7	3.3	2.2	3.0	2.77	8
Information Technology Support		2.8	2.8	3.5	1.5	2.0	1.9	4.3	2.76	8
Financial Monitoring/Budgeting		2.5	2.5	2.3	3.4	2.0	1.9	5.0	2.76	8
Centralized Investigations		3.4	3.4	2.7	1.9	2.9	1.9	3.2	2.73	8
Administration and Management		2.5	2.5	2.5	2.5	2.4	1.9	4.3	2.68	8
Internal Affairs		2.9	2.9	3.2	1.9	2.0	1.9	4.7	2.60	7
Purchasing/M/WBE		2.9	2.9	1.8	1.5	2.0	2.8	5.0	2.56	6
Recruiting		3.2	3.2	1.3	2.0	2.0	2.2	4.0	2.41	5
Public Information		2.3	2.3	1.3	1.5	2.0	1.9	5.0	2.21	3
Accreditation Inspections		2.1	2.1	1.7	1.5	2.0	2.2	3.3	1.95	1

OCA 2003 Risk Assessment

D. Risk Factor Detail - Raw Data and Activity Ratings

Police Department

Factor: Size and Complexity

Program	Activity	Size-FY03 Budgeted Expend	Budget Relative Size Rating	Size-FY03 Budgeted FTEs	FTEs Relative Size Rating	No. of Sites Rating	Diversity of Services Rating	No. of Grants Rating	Contract Expend. -% of Total	Contract Exp. -% of Total Rating	Size and Complexity Rating
Neighborhood-Based Policing	First Response	\$52,882,928	5	673.50	5	5	3	5	0.0%	1	3.9
	Community Partnerships	\$7,026,388	5	93.00	5	5	3	5	0.0%	1	3.9
	Neighborhood-Based Policing	\$21,621,525	5	266.50	5	5	3	5	0.0%	1	3.9
Investigations	Traffic	\$5,619,164	5	55.00	5	5	3	5	0.0%	1	3.9
	Centralized Investigations	\$9,810,406	5	105.00	5	1	3	5	1.3%	1	3.4
	Organized Crime	\$9,799,063	5	106.00	5	1	3	5	0.0%	1	3.4
	Special Operations	\$5,103,146	5	52.00	5	2	3	5	0.1%	1	3.5
Operations Support	Homeland Defense	\$4,522,004	5	53.00	5	5	3	5	0.0%	1	3.9
	Communications	\$8,618,468	5	158.00	5	1	3	5	0.0%	1	3.4
	Planning and Analysis	\$2,208,008	5	49.00	5	1	5	1	0.0%	1	3.3
	Victim Services	\$1,856,215	5	38.00	5	1	5	5	0.0%	1	3.8
Professional Standards	Forensic Science Services	\$7,161,391	5	71.00	5	1	5	5	0.0%	1	3.8
	Accreditation Inspections	\$625,330	3	6.00	3	1	3	1	0.0%	1	2.1
	Internal Affairs	\$1,922,850	5	20.00	5	1	3	1	0.0%	1	2.9
	Training	\$7,178,106	5	153.00	5	1	3	5	0.1%	1	3.4
Support Services	Recruiting	\$1,329,796	4	16.00	5	1	3	5	0.0%	1	3.2
	Administration and Management	\$239,748	2	16.00	5	1	4	1	4.7%	1	2.5
	Financial Monitoring/Budgeting	\$524,862	3	8.55	4	1	4	1	0.0%	1	2.5
	Information Technology Support	\$1,973,984	5	0.00	1	1	4	5	0.0%	1	2.8
	Facility Expense	\$2,775,099	5	16.50	5	1	4	1	0.1%	1	3.1
	Purchasing/M/WBE	\$1,931,819	5	8.45	4	1	4	1	0.0%	1	2.9
	Personnel/Training	\$5,646,572	5	15.00	4	1	4	1	0.0%	1	2.9
	Public Information	\$357,224	3	5.00	3	1	4	1	0.0%	1	2.3
	Fleet/Equipment & Maintenance	\$6,016,552	5	21.00	5	1	4	1	0.0%	1	3.1

OCA 2003 Risk Assessment

D. Risk Factor Detail - Raw Data and Activity Ratings

Police Department

Factor: Change

Program	Activity	Business Plan Change Rating	Expend Trend - % Change	Initial Expend Trend Rating	Adjustment for diverg. FTE/Budget Trend	Final Adjusted Trend Rating	FTE Trend -% Change	FTE Trend Rating	Employee Turnover Rating	Change Rating
Neighborhood-Based Policing	First Response	5	34%	4		4	12%	2		3.1
	Community Partnerships	4	23%	3	1	4	-4%	1	1	2.8
	Neighborhood-Based Policing Support	3	5%	1	1	2	-13%	2	1	2.1
	Traffic	4	100%	5		5	100%	5	1	3.5
Investigations	Centralized Investigations	5	19%	2	1	3	-5%	1	1	3.0
	Organized Crime	5	45%	5		5	26%	3	1	3.7
	Special Operations	5	34%	4	1	5	-17%	2	1	3.6
	Homeland Defense	5	100%	5		5	100%	5	1	3.9
Operations Support	Communications	5	18%	2		2	1%	1	1	2.8
	Planning and Analysis	5	39%	4		4	23%	3	1	3.4
	Victim Services	5	1%	1	1	2	-3%	1	1	2.8
	Forensic Science Services	5	-12%	2		2	-21%	3	1	3.0
Professional Standards	Accreditation Inspections	1	15%	2		2	0%	1	1	1.2
	Internal Affairs	2	14%	2		2	0%	1	1	1.6
	Training	4	2%	1	1	2	-3%	1	1	2.4
	Recruiting	4	5%	1	1	2	-11%	2	1	2.5
Support Services	Administration and Management	3	-87%	5		5	-11%	2	1	2.8
	Financial Monitoring/Budgeting	3	-14%	2	1	3	41%	5	1	2.7
	Information Technology Support	3	100%	5		5	0%	1	1	2.7
	Facility Expense	3	11%	2	1	3	-47%	5	1	2.7
	Purchasing/M/WBE	3	6%	1	1	2	-29%	3	1	2.2
	Personnel/Training	3	53%	5		5	15%	2	1	2.8
	Public Information	3	15%	2		2	0%	1	1	2.0
Fleet/Equipment & Maintenance	5	4%	1		1	5%	1	1	2.6	

OCA 2003 Risk Assessment

D. Risk Factor Detail - Raw Data and Activity Ratings

Police Department

Factor: Planning and Performance

Program	Activity	Variance - FY02 Actual vs Budget	Variance - Actual vs Budget Rating	Performance Trend Rating	Workforce Survey - Satisfaction Rating	Overtime - % of Total Salaries	Overtime - % of Total Rating	Planning and Performance Rating
Neighborhood-Based Policing	First Response	-5%	2	3	2	8.92%	2	2.5
	Community Partnerships	-20%	5	5	2	2.68%	1	3.8
	Neighborhood-Based Policing Support	-6%	2	5	2	15.70%	3	3.7
	Traffic	-69%	5	4	2	0.00%	1	3.3
Investigations	Centralized Investigations	4%	1	4	2	4.68%	1	2.7
	Organized Crime	-2%	1	2	2	6.35%	1	1.7
	Special Operations	-13%	3	1	2	10.17%	2	1.7
	Homeland Defense	-73%	5	3	2	0.00%	1	2.8
Operations Support	Communications	-3%	1	4	2	11.52%	2	2.9
	Planning and Analysis	2%	1	5	2	0.94%	1	3.2
	Victim Services	-19%	4	3	2	2.97%	1	2.6
	Forensic Science Services	3%	1	5	2	1.38%	1	3.2
Professional Standards	Accreditation Inspections	4%	1	2	2	0.90%	1	1.7
	Internal Affairs	2%	1	5	2	2.72%	1	3.2
	Training	-26%	5	4	2	2.82%	1	3.3
	Recruiting	6%	2	1	2	3.44%	1	1.3
Support Services	Administration and Management	11%	3	3	2	0.80%	1	2.5
	Financial Monitoring/Budgeting	6%	2	3	2	0.37%	1	2.3
	Information Technology Support	-15%	3	5	2	0.00%	1	3.5
	Facility Expense	-5%	2	5	2	10.95%	2	3.5
	Purchasing/M/WBE	-5%	2	2	2	1.89%	1	1.8
	Personnel/Training	-5%	2	5	2	0.95%	1	3.3
	Public Information	-6%	2	1	2	0.00%	1	1.3
Fleet/Equipment & Maintenance	0%	1	5	2	5.32%	1	3.2	

OCA 2003 Risk Assessment

D. Risk Factor Detail - Raw Data and Activity Ratings

Police Department  
Factor: Public Concern

Program	Activity	FY02 Citizen Complaints per FTE	FY03 Citizen Complaints per FTE	Avg Citizen Complaints per FTE Rating	# Legal Claims & Suits per 100 FTEs	# Legal Claims and Suits Rating	Council/ CMO/ Survey - # of "hits"	Council/ CMO/ Survey Rating	Public Concern Rating
Neighborhood-Based Policing	First Response	0.11	0.04	2.0	12	4	2	3	2.8
	Community Partnerships	0.29	0.15	2.0	12	4	2	3	2.8
	Neighborhood-Based Policing Support	0.01	0.00	1.5	12	4	2	3	2.6
	Traffic	0.00	0.00	1.0	12	4	2	3	2.5
Investigations	Centralized Investigations	0.14	0.03	2.0	12	4	0	1	1.9
	Organized Crime	0.17	0.06	2.0	12	4	0	1	1.9
	Special Operations	0.01	0.02	2.0	12	4	0	1	1.9
	Homeland Defense	0.00	0.00	1.0	12	4	3	3	2.5
Operations Support	Communications	0.01	0.00	1.5	12	4	0	1	1.7
	Planning and Analysis	0.00	0.00	1.0	12	4	0	1	1.5
	Victim Services	0.00	0.00	1.0	12	4	0	1	1.5
	Forensic Science Services	0.00	0.00	1.0	12	4	0	1	1.5
Professional Standards	Accreditation Inspections	0.00	0.00	1.0	12	4	0	1	1.5
	Internal Affairs	0.76	0.25	2.0	12	4	0	1	1.9
	Training	0.00	0.00	1.0	12	4	0	1	1.5
	Recruiting	0.00	0.00	1.0	12	4	1	2	2.0
Support Services	Administration and Management	2.18	0.94	2.5	12	4	1	2	2.5
	Financial Monitoring/Budgeting	0.00	0.00	1.0	12	4	5	5	3.4
	Information Technology Support	0.00	0.00	1.0	12	4	0	1	1.5
	Facility Expense	0.00	0.00	1.0	12	4	0	1	1.5
	Purchasing/M/WBE	0.00	0.00	1.0	12	4	0	1	1.5
	Personnel/Training	0.00	0.00	1.0	12	4	1	2	2.0
	Public Information	0.00	0.00	1.0	12	4	0	1	1.5
Fleet/Equipment & Maintenance	0.00	0.00	1.0	12	4	0	1	1.5	

OCA 2003 Risk Assessment

D. Risk Factor Detail - Raw Data and Activity Ratings

Police Department

Factor: Safety and Liability

Program	Activity	FY02 Workers Comp Claims Paid	FY02 WC Claims per FTE	Workers Comp Claims Rating	Legal Claims and Suits Paid per FTE	Legal Claims and Suits Paid Rating	Workforce Survey - Safety Rating	Safety and Liability Rating
Neighborhood-Based Policing	First Response	\$204,164	\$305	4	\$276.86	4	2	3.3
	Community Partnerships	\$22,401	\$238	4	\$276.86	4	2	3.3
	Neighborhood-Based Policing Support	\$193,652	\$590	5	\$276.86	4	2	3.8
	Traffic	\$0		1	\$276.86	4	2	2.0
Investigations	Centralized Investigations	\$4,923	\$46	3	\$276.86	4	2	2.9
	Organized Crime	\$37,564	\$351	4	\$276.86	4	2	3.3
	Special Operations	\$14,668	\$136	4	\$276.86	4	2	3.3
	Homeland Defense	\$0		1	\$276.86	4	2	2.0
Operations Support	Communications	\$22,966	\$145	4	\$276.86	4	2	3.3
	Planning and Analysis	\$2,609	\$48	3	\$276.86	4	2	2.9
	Victim Services	\$11,141	\$293	4	\$276.86	4	2	3.3
	Forensic Science Services	\$2,024	\$28	3	\$276.86	4	2	2.9
Professional Standards	Accreditation Inspections	\$0	\$0	1	\$276.86	4	2	2.0
	Internal Affairs	\$0	\$0	1	\$276.86	4	2	2.0
	Training	\$68,818	\$444	4	\$276.86	4	2	3.3
	Recruiting	\$0	\$0	1	\$276.86	4	2	2.0
Support Services	Administration and Management	\$373	\$22	2	\$276.86	4	2	2.4
	Financial Monitoring/Budgeting	\$0	\$0	1	\$276.86	4	2	2.0
	Information Technology Support	\$0		1	\$276.86	4	2	2.0
	Facility Expense	\$18,038	\$949	5	\$276.86	4	2	3.8
	Purchasing/M/WBE	\$0	\$0	1	\$276.86	4	2	2.0
	Personnel/Training	\$0	\$0	1	\$276.86	4	2	2.0
	Public Information	\$0	\$0	1	\$276.86	4	2	2.0
	Fleet/Equipment & Maintenance	\$15,936	\$797	5	\$276.86	4	2	3.8

OCA 2003 Risk Assessment

D. Risk Factor Detail - Raw Data and Activity Ratings

Police Department

Factor: Ethics

Program	Activity	Workforce Survey - Ethics Rating	Commodities % of Total Expend.	Commod. % of Total Expend. Rating	Number of Cash Handlers	Avg. Weekly Cash Handled	Cash Handling Rating	Ethics Rating
Neighborhood-Based Policing	First Response	4	0.0%	1			1.0	1.9
	Community Partnerships	4	0.0%	1	2	\$100-\$499	3.0	2.4
	Neighborhood-Based Policing Support	4	0.0%	1	1	\$100-\$499	2.5	2.3
	Traffic	4	0.0%	1			1.0	1.9
Investigations	Centralized Investigations	4	0.0%	1			1.0	1.9
	Organized Crime	4	0.1%	1			1.0	1.9
	Special Operations	4	0.0%	1			1.0	1.9
	Homeland Defense	4	0.0%	1			1.0	1.9
Operations Support	Communications	4	0.0%	1			1.0	2.2
	Planning and Analysis	4	0.0%	1	7	>\$1000	4.5	2.7
	Victim Services	4	0.0%	1			1.0	1.9
	Forensic Science Services	4	0.2%	1			1.0	2.6
Professional Standards	Accreditation Inspections	4	0.0%	1			1.0	2.2
	Internal Affairs	4	0.0%	1			1.0	1.9
	Training	4	0.0%	1			1.0	1.9
	Recruiting	4	0.0%	1			1.0	2.2
Support Services	Administration and Management	4	3.2%	1			1.0	1.9
	Financial Monitoring/Budgeting	4	0.3%	1			1.0	1.9
	Information Technology Support	4	5.3%	1			1.0	1.9
	Facility Expense	4	0.0%	1			1.0	1.9
	Purchasing/M/WBE	4	16.0%	3			1.0	2.8
	Personnel/Training	4	0.1%	1			1.0	2.2
	Public Information	4	0.0%	1			1.0	1.9
Fleet/Equipment & Maintenance	4	0.0%	1			1.0	2.2	

OCA 2003 Risk Assessment

D. Risk Factor Detail - Raw Data and Activity Ratings

Police Department

Factor: Mitigating Factors

Program	Activity	No. of Agencies Providing Indep. Oversight	Indep. Oversight Rating	OCA Audits Rating	Internal and		Overall Mitigating Factors Rating
					External Audits Rating	Management Initiatives Rating	
Neighborhood-Based Policing	First Response	2	3	5	5	3	4.0
	Community Partnerships	5	1	5	3	3	3.3
	Neighborhood-Based Policing Support	3	5	5	3	3	4.0
	Traffic	2	3	5	5	3	4.0
Investigations	Centralized Investigations	5	1	5	2	3	3.2
	Organized Crime	1	3	5	5	3	4.0
	Special Operations	1	3	5	5	3	4.0
	Homeland Defense	6	1	5	5	3	3.7
Operations Support	Communications	5	1	5	5	1	3.0
	Planning and Analysis	1	3	5	5	3	4.0
	Victim Services	2	3	5	5	3	4.0
	Forensic Science Services	1	3	5	5	3	4.0
Professional Standards	Accreditation Inspections	1	3	5	5	1	3.3
	Internal Affairs	1	3	5	5	5	4.7
	Training	2	3	5	5	5	4.7
	Recruiting	1	3	5	5	3	4.0
Support Services	Administration and Management	0	5	5	5	3	4.3
	Financial Monitoring/Budgeting	0	5	5	5	5	5.0
	Information Technology Support	0	5	3	5	5	4.3
	Facility Expense	0	5	5	5	5	5.0
	Purchasing/M/WBE	0	5	5	5	5	5.0
	Personnel/Training	0	5	5	3	5	4.7
	Public Information	0	5	5	5	5	5.0
Fleet/Equipment & Maintenance	0	5	5	5	5	5.0	

**APPENDIX C.6  
RISK RATING RESULTS**

**Fire Department**



OCA 2003 Risk Assessment

A. Activity Results  
Fire Department

Weight	16	18	20	11	9	14	12	100
Risk Factor #	1	2	3	4	5	6	7	

Program	Activity	Risk Factor Name	Size and Complexity	Change	Planning and Performance	Public Concern	Safety and Liability	Ethics	Mitigating Factors	Weighted Avg- All Factors	ACTIVITY RANK
Fire/Emergency Response	Combat Operations		4.1	4.1	1.5	2.5	2.6	2.2	3.0	2.64	7
	AFR Bergstrom		2.9	2.9	1.5	1.2	1.7	2.2	3.7	1.97	1
Operations Support	Communications Section		2.9	2.9	1.2	1.2	1.7	2.2	3.0	2.17	2
	Airmask/Operations Research		2.1	2.1	1.3	1.2	2.6	2.2	4.0	2.01	1
	Safety Operations		2.1	2.1	1.5	1.2	2.6	2.2	3.7	2.08	2
	Medical/Quality Compliance		2.7	2.7	1.5	1.2	3.0	2.2	3.7	2.11	2
	Cadet/In-service Training		2.5	2.5	1.0	1.6	2.6	2.2	4.3	2.34	4
Emergency Prevention	Recruiting		2.5	2.5	1.7	2.3	1.2	2.2	4.0	2.18	2
	Planning and Research		2.1	2.1	1.0	1.2	1.2	2.2	4.0	1.79	1
	Fire Code and On-site Inspections		2.9	2.9	1.0	2.0	1.7	2.2	4.0	2.04	1
	Investigations		2.8	2.8	2.0	1.2	1.2	2.2	4.0	2.05	1
Support Services	Hazardous Materials Engineering		2.5	2.5	1.0	1.2	1.2	2.2	3.7	1.87	1
	Public Education		2.5	2.5	1.7	1.2	1.2	2.2	4.0	2.08	2
	Administration and Management		2.8	2.8	1.0	1.5	1.2	2.4	4.3	2.21	3
	Financial Monitoring/Budgeting		2.1	2.1	1.2	3.0	1.2	2.2	3.7	2.24	3
	Information Technology Support		2.5	2.5	2.1	1.2	1.2	2.2	4.0	2.31	4
	Facility Expense		2.5	2.5	3.0	1.4	1.2	2.2	4.0	2.37	5
	Purchasing/M/WBE		2.1	2.1	3.2	1.2	1.2	2.8	4.3	2.58	7
PIO/Community Services		1.9	1.9	2.3	1.2	1.2	2.2	4.3	2.32	4	
Support Services	Personnel/Training		2.5	2.5	1.0	1.6	1.2	2.2	3.7	2.10	2
	Vehicle/Equipment Maintenance		3.2	3.2	3.0	1.2	1.2	2.2	4.0	2.46	6

OCA 2003 Risk Assessment

**B. Program-Level Results**  
**Fire Department**

	Weight Risk Factor #	16 1	18 2	20 3	11 4	9 5	14 6	12 7	100 Weighted Avg- All Factors	RANK
Risk Factor Name	Size and Complexity	Change	Planning and Performance	Public Concern	Safety and Liability	Ethics	Mitigating Factors			
<b>RISK RATINGS</b>										
Program										
Fire/Emergency Response	3.5	3.5	1.5	1.9	2.1	2.2	3.3	<b>2.31</b>	<b>4</b>	
Operations Support	2.4	2.4	1.3	1.4	2.1	2.2	3.8	<b>2.10</b>	<b>2</b>	
Emergency Prevention	2.7	2.7	1.4	1.4	1.3	2.2	3.9	<b>2.01</b>	<b>1</b>	
Support Services	2.5	2.5	2.1	1.5	1.2	2.3	4.0	<b>2.32</b>	<b>4</b>	

OCA 2003 Risk Assessment

**C. Activity Results by Rank  
Fire Department**

Activity	Weight	16	18	20	11	9	14	12	100	ACTIVITY RANK
	Risk Factor #	1	2	3	4	5	6	7	Weighted Avg- All Factors	
	Risk Factor Name	Size and Complexity	Change	Planning and Performance	Public Concern	Safety and Liability	Ethics	Mitigating Factors		
RISK RATINGS										
Combat Operations		4.1	4.1	1.5	2.5	2.6	2.2	3.0	2.64	7
Purchasing/M/WBE		2.1	2.1	3.2	1.2	1.2	2.8	4.3	2.58	7
Vehicle/Equipment Maintenance		3.2	3.2	3.0	1.2	1.2	2.2	4.0	2.46	6
Facility Expense		2.5	2.5	3.0	1.4	1.2	2.2	4.0	2.37	5
Cadet/In-service Training		2.5	2.5	1.0	1.6	2.6	2.2	4.3	2.34	4
PIO/Community Services		1.9	1.9	2.3	1.2	1.2	2.2	4.3	2.32	4
Information Technology Support		2.5	2.5	2.1	1.2	1.2	2.2	4.0	2.31	4
Financial Monitoring/Budgeting		2.1	2.1	1.2	3.0	1.2	2.2	3.7	2.24	3
Administration and Management		2.8	2.8	1.0	1.5	1.2	2.4	4.3	2.21	3
Recruiting		2.5	2.5	1.7	2.3	1.2	2.2	4.0	2.18	2
Communications Section		2.9	2.9	1.2	1.2	1.7	2.2	3.0	2.17	2
Medical/Quality Compliance		2.7	2.7	1.5	1.2	3.0	2.2	3.7	2.11	2
Personnel/Training		2.5	2.5	1.0	1.6	1.2	2.2	3.7	2.10	2
Safety Operations		2.1	2.1	1.5	1.2	2.6	2.2	3.7	2.08	2
Public Education		2.5	2.5	1.7	1.2	1.2	2.2	4.0	2.08	2
Investigations		2.8	2.8	2.0	1.2	1.2	2.2	4.0	2.05	1
Fire Code and On-site Inspections		2.9	2.9	1.0	2.0	1.7	2.2	4.0	2.04	1
Airmask/Operations Research		2.1	2.1	1.3	1.2	2.6	2.2	4.0	2.01	1
AFR Bergstrom		2.9	2.9	1.5	1.2	1.7	2.2	3.7	1.97	1
Hazardous Materials Engineering		2.5	2.5	1.0	1.2	1.2	2.2	3.7	1.87	1
Planning and Research		2.1	2.1	1.0	1.2	1.2	2.2	4.0	1.79	1

OCA 2003 Risk Assessment

D. Risk Factor Detail - Raw Data and Activity Ratings

Fire Department

Factor: Size and Complexity

Program	Activity	Size-FY03 Budgeted Expend	Budget Relative Size Rating	Size-FY03 Budgeted FTEs	FTEs Relative Size Rating	No. of Sites Rating	Diversity of Services Rating	No. of Grants Rating	Contract Expend. -% of Total	Contract Exp. -% of Total Rating	Size and Complexity Rating
Fire/Emergency Response	Combat Operations	\$64,691,883	5	930.00	5	5	5	4	0.0%	1	4.1
	AFR Bergstrom	\$3,301,171	5	34.20	5	1	3	1	0.0%	1	2.9
Operations Support	Communications Section	\$2,692,032	5	28.20	5	1	3	1	0.0%	1	2.9
	Airmask/Operations Research	\$449,169	3	4.20	3	1	3	1	0.0%	1	2.1
	Safety Operations	\$441,131	3	5.25	3	1	3	1	0.0%	1	2.1
	Medical/Quality Compliance	\$926,956	4	7.25	4	1	3	1	28.3%	2	2.7
	Cadet/In-service Training	\$981,496	4	10.25	4	1	3	1	0.0%	1	2.5
	Recruiting	\$1,480,995	4	13.25	4	1	3	1	0.0%	1	2.5
	Planning and Research	\$380,003	3	5.20	3	1	3	1	0.0%	1	2.1
Emergency Prevention	Fire Code and On-site Inspections	\$2,343,114	5	26.25	5	1	3	1	0.0%	1	2.9
	Investigations	\$1,158,659	4	12.25	4	3	3	1	0.0%	1	2.8
	Hazardous Materials Engineering	\$388,331	3	5.25	3	1	5	1	0.0%	1	2.5
	Public Education	\$347,527	3	4.25	3	1	3	4	0.0%	1	2.5
Support Services	Administration and Management	\$684,893	4	9.90	4	2	4	1	0.0%	1	2.8
	Financial Monitoring/Budgeting	\$189,550	2	3.10	3	1	4	1	0.0%	1	2.1
	Information Technology Support	\$575,333	3	6.20	4	1	4	1	0.0%	1	2.5
	Facility Expense	\$1,408,151	4	3.30	3	1	4	1	3.8%	1	2.5
	Purchasing/M/WBE	\$171,821	2	2.30	3	1	4	1	0.0%	1	2.1
	PIO/Community Services	\$83,014	2	1.00	2	1	4	1	0.0%	1	1.9
	Personnel/Training	\$495,268	3	8.20	4	1	4	1	0.0%	1	2.5
	Vehicle/Equipment Maintenance	\$2,097,753	5	3.20	3	5	4	1	0.0%	1	3.2

OCA 2003 Risk Assessment

D. Risk Factor Detail - Raw Data and Activity Ratings

Fire Department

Factor: Change

Program	Activity	Business Plan Change Rating	Expend Trend - % Change	Initial Expend Trend Rating	Adjustment for diverg. FTE/Budget Trend	Final Adjusted Trend Rating	FTE Trend -% Change	FTE Trend Rating	Employee Turnover Rating	Change Rating
Fire/Emergency Response	Combat Operations	5	15%	2		2	0%	1	1	2.8
	AFR Bergstrom	1	7%	1		1	0%	1	1	1.0
Operations Support	Communications Section	5	12%	2		2	17%	2	1	2.9
	Airmask/Operations Research	1	-28%	3		3	0%	1	1	1.4
	Safety Operations	1	40%	4		4	24%	3	1	1.9
	Medical/Quality Compliance	1	4%	1	1	2	-12%	2	1	1.3
	Cadet/In-service Training	5	-14%	2		2	0%	1	1	2.8
	Recruiting	1	38%	4		4	8%	1	1	1.7
	Planning and Research	1	11%	2		2	0%	1	1	1.2
Emergency Prevention	Fire Code and On-site Inspections	1	2%	1	1	2	-4%	1	1	1.2
	Investigations	1	8%	1		1	9%	1	1	1.0
	Hazardous Materials Engineering	1	14%	2	1	3	-16%	2	1	1.6
	Public Education	1	27%	3		3	31%	4	1	1.8
Support Services	Administration and Management	3	24%	3		3	18%	2	1	2.3
	Financial Monitoring/Budgeting	3	25%	3	1	4	-26%	3	1	2.7
	Information Technology Support	5	-4%	1		1	0%	1	1	2.6
	Facility Expense	3	6%	1		1	3%	1	1	1.8
	Purchasing/M/WBE	3	-29%	3		3	-39%	4	1	2.6
	PIO/Community Services	3	-27%	3		3	-50%	5	1	2.7
	Personnel/Training	3	32%	4		4	14%	2	1	2.6
Vehicle/Equipment Maintenance	3	8%	1		1	0%	1	1	1.8	

OCA 2003 Risk Assessment

D. Risk Factor Detail - Raw Data and Activity Ratings

Fire Department

Factor: Planning and Performance

Program	Activity	Variance - FY02 Actual vs Budget	Variance - Actual vs Budget Rating	Performance Trend Rating	Workforce Survey - Satisfaction Rating	Overtime - % of Total Salaries	Overtime - % of Total Rating	Planning and Performance Rating
Fire/Emergency Response	Combat Operations	-2%	1	2	1	3.46%	1	1.5
	AFR Bergstrom	2%	1	2	1	3.05%	1	1.5
Operations Support	Communications Section	0%	1	1	1	8.30%	2	1.2
	Airmask/Operations Research	11%	3	1	1	1.45%	1	1.3
	Safety Operations	-18%	4	1	1	4.99%	1	1.5
	Medical/Quality Compliance	17%	4	1	1	3.71%	1	1.5
	Cadet/In-service Training	-1%	1	1	1	5.17%	1	1.0
	Recruiting	6%	2	2	1	2.33%	1	1.7
	Planning and Research	1%	1	1	1	1.56%	1	1.0
Emergency Prevention	Fire Code and On-site Inspections	1%	1	1	1	5.29%	1	1.0
	Investigations	1%	1	3	1	3.37%	1	2.0
	Hazardous Materials Engineering	-1%	1	1	1	0.35%	1	1.0
	Public Education	-8%	2	2	1	3.35%	1	1.7
Support Services	Administration and Management	-3%	1	1	1	3.10%	1	1.0
	Financial Monitoring/Budgeting	8%	2	1	1	0.00%	1	1.2
	Information Technology Support	-21%	5	2	1	4.16%	1	2.1
	Facility Expense	-4%	1	5	1	0.81%	1	3.0
	Purchasing/M/WBE	-8%	2	5	1	0.00%	1	3.2
	PIO/Community Services	-11%	3	3	1	0.54%	1	2.3
	Personnel/Training	3%	1	1	1	0.14%	1	1.0
	Vehicle/Equipment Maintenance	0%	1	5	1	4.81%	1	3.0

OCA 2003 Risk Assessment

D. Risk Factor Detail - Raw Data and Activity Ratings

Fire Department

Factor: Public Concern

Program	Activity	FY02 Citizen Complaints per FTE	FY03 Citizen Complaints per FTE	Avg Citizen Complaints per FTE Rating	# Legal Claims & Suits per 100 FTEs	# Legal Claims and Suits Rating	Council/ CMO/ Survey - # of "hits"	Council/ CMO Survey Rating	Public Concern Rating
Fire/Emergency Response	Combat Operations	0.00	0.00	1.0	3	2	4	4	2.5
	AFR Bergstrom	0.00	0.00	1.0	3	2	0	1	1.2
Operations Support	Communications Section	0.00	0.00	1.0	3	2	0	1	1.2
	Airmask/Operations Research	0.00	0.00	1.0	3	2	0	1	1.2
	Safety Operations	0.00	0.00	1.0	3	2	0	1	1.2
	Medical/Quality Compliance	0.00	0.00	1.0	3	2	0	1	1.2
	Cadet/In-service Training	0.00	0.00	1.0	3	2	1	2	1.6
	Recruiting	0.08	0.00	1.5	3	2	2	3	2.3
	Planning and Research	0.00	0.00	1.0	3	2	0	1	1.2
Emergency Prevention	Fire Code and On-site Inspections	0.04	0.08	2.0	3	2	1	2	2.0
	Investigations	0.00	0.00	1.0	3	2	0	1	1.2
	Hazardous Materials Engineering	0.00	0.00	1.0	3	2	0	1	1.2
	Public Education	0.00	0.00	1.0	3	2	0	1	1.2
Support Services	Administration and Management	0.79	0.20	2.0	3	2	0	1	1.5
	Financial Monitoring/Budgeting	0.00	0.00	1.0	3	2	5	5	3.0
	Information Technology Support	0.00	0.00	1.0	3	2	0	1	1.2
	Facility Expense	0.26	0.00	1.5	3	2	0	1	1.4
	Purchasing/M/WBE	0.00	0.00	1.0	3	2	0	1	1.2
	PIO/Community Services	0.00	0.00	1.0	3	2	0	1	1.2
	Personnel/Training	0.00	0.00	1.0	3	2	1	2	1.6
Vehicle/Equipment Maintenance	0.00	0.00	1.0	3	2	0	1	1.2	

OCA 2003 Risk Assessment

D. Risk Factor Detail - Raw Data and Activity Ratings

Fire Department

Factor: Safety and Liability

Program	Activity	FY02 Workers Comp Claims Paid	FY02 WC Claims per FTE	Workers Comp Claims Rating	Legal Claims and Suits Paid per FTE	Legal Claims and Suits Paid Rating	Workforce Survey - Safety Rating	Safety and Liability Rating
Fire/Emergency Response	Combat Operations	\$208,886	\$225	4	\$26.47	2	1	2.6
	AFR Bergstrom	\$619	\$18	2	\$26.47	2	1	1.7
Operations Support	Communications Section	\$305	\$11	2	\$26.47	2	1	1.7
	Airmask/Operations Research	\$642	\$153	4	\$26.47	2	1	2.6
	Safety Operations	\$2,409	\$459	4	\$26.47	2	1	2.6
	Medical/Quality Compliance	\$4,975	\$686	5	\$26.47	2	1	3.0
	Cadet/In-service Training	\$3,303	\$322	4	\$26.47	2	1	2.6
	Recruiting	\$0	\$0	1	\$26.47	2	1	1.2
Emergency Prevention	Planning and Research	\$0	\$0	1	\$26.47	2	1	1.2
	Fire Code and On-site Inspections	\$311	\$12	2	\$26.47	2	1	1.7
	Investigations	\$0	\$0	1	\$26.47	2	1	1.2
	Hazardous Materials Engineering	\$0	\$0	1	\$26.47	2	1	1.2
	Public Education	\$0	\$0	1	\$26.47	2	1	1.2
Support Services	Administration and Management	\$0	\$0	1	\$26.47	2	1	1.2
	Financial Monitoring/Budgeting	\$0	\$0	1	\$26.47	2	1	1.2
	Information Technology Support	\$0	\$0	1	\$26.47	2	1	1.2
	Facility Expense	\$0	\$0	1	\$26.47	2	1	1.2
	Purchasing/M/WBE	\$0	\$0	1	\$26.47	2	1	1.2
	PIO/Community Services	\$0	\$0	1	\$26.47	2	1	1.2
	Personnel/Training	\$0	\$0	1	\$26.47	2	1	1.2
Vehicle/Equipment Maintenance	\$0	\$0	1	\$26.47	2	1	1.2	

OCA 2003 Risk Assessment

D. Risk Factor Detail - Raw Data and Activity Ratings

Fire Department

Factor: Ethics

Program	Activity	Workforce Survey - Ethics Rating	Commodities % of Total Expend.	Commod. % of Total Expend. Rating	Number of Cash Handlers	Avg. Weekly Cash Handled	Cash Handling Rating	Ethics Rating
Fire/Emergency Response	Combat Operations	4	0.2%	1			1.0	2.2
	AFR Bergstrom	4	0.2%	1			1.0	2.2
Operations Support	Communications Section	4	1.7%	1			1.0	2.2
	Airmask/Operations Research	4	0.2%	1			1.0	2.2
	Safety Operations	4	0.2%	1			1.0	2.2
	Medical/Quality Compliance	4	1.1%	1			1.0	2.2
	Cadet/In-service Training	4	1.0%	1			1.0	2.2
	Recruiting	4	0.9%	1			1.0	2.2
	Planning and Research	4	0.9%	1			1.0	2.2
Emergency Prevention	Fire Code and On-site Inspections	4	0.3%	1			1.0	2.2
	Investigations	4	0.6%	1			1.0	2.2
	Hazardous Materials Engineering	4	0.3%	1			1.0	2.2
	Public Education	4	0.4%	1			1.0	2.2
Support Services	Administration and Management	4	5.1%	1	1	\$1-\$99	2.0	2.4
	Financial Monitoring/Budgeting	4	0.1%	1			1.0	2.2
	Information Technology Support	4	0.0%	1			1.0	2.2
	Facility Expense	4	4.0%	1			1.0	2.2
	Purchasing/M/WBE	4	0.2%	1			1.0	2.8
	PIO/Community Services	4	0.1%	1			1.0	2.2
	Personnel/Training	4	0.3%	1			1.0	2.2
	Vehicle/Equipment Maintenance	4	0.1%	1			1.0	2.2

OCA 2003 Risk Assessment

D. Risk Factor Detail - Raw Data and Activity Ratings

Fire Department

Factor: Mitigating Factors

Program	Activity	No. of Agencies Providing Indep. Oversight	Indep. Oversight Rating	OCA Audits Rating	Internal and		Overall Mitigating Factors Rating
					External Audits Rating	Management Initiatives Rating	
Fire/Emergency Response	Combat Operations	11	1	5	5	1	3.0
	AFR Bergstrom	11	1	5	5	3	3.7
Operations Support	Communications Section	3	1	5	5	1	3.0
	Airmask/Operations Research	2	3	5	5	3	4.0
	Safety Operations	5	1	5	5	3	3.7
	Medical/Quality Compliance	6	1	5	5	3	3.7
	Cadet/In-service Training	5	1	5	5	5	4.3
	Recruiting	2	3	5	5	3	4.0
	Planning and Research	2	3	5	5	3	4.0
Emergency Prevention	Fire Code and On-site Inspections	2	3	5	5	3	4.0
	Investigations	2	3	5	5	3	4.0
	Hazardous Materials Engineering	4	1	5	5	3	3.7
	Public Education	1	3	5	5	3	4.0
Support Services	Administration and Management	3	1	5	5	5	4.3
	Financial Monitoring/Budgeting	3	1	5	5	3	3.7
	Information Technology Support	1	3	3	5	5	4.0
	Facility Expense	1	3	5	5	3	4.0
	Purchasing/M/WBE	0	5	5	5	3	4.3
	PIO/Community Services	0	5	5	5	3	4.3
	Personnel/Training	3	1	5	5	3	3.7
	Vehicle/Equipment Maintenance	2	3	5	5	3	4.0

**APPENDIX C.7  
RISK RATING RESULTS**

**EMS - Emergency Medical Services**



OCA 2003 Risk Assessment

**A. Activity Results**  
**Emergency Medical Services Department**

<b>Weight</b>	<b>16</b>	<b>18</b>	<b>20</b>	<b>11</b>	<b>9</b>	<b>14</b>	<b>12</b>	<b>100</b>
<b>Risk Factor #</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>	<b>7</b>	

Program	Activity	Risk Factor Name	Size and Complexity	Change	Planning and Performance	Public Concern	Safety and Liability	Ethics	Mitigating Factors	Weighted Avg- All Factors	ACTIVITY RANK
Operations	Emergency Services		3.6	3.6	2.3	2.1	2.9	2.2	3.3	<b>2.96</b>	<b>9</b>
	Emergency Communications		2.8	2.8	2.5	1.2	2.0	2.2	4.0	<b>2.65</b>	<b>7</b>
	STAR Flight		2.1	2.1	3.3	1.2	1.6	2.2	4.0	<b>2.50</b>	<b>6</b>
Training & Education	Academy		1.8	1.8	1.9	1.2	3.3	2.2	3.3	<b>2.20</b>	<b>3</b>
	Quality Assurance & Improvement		2.4	2.4	1.8	1.2	1.6	2.2	3.7	<b>2.38</b>	<b>5</b>
	Safety		1.4	1.4	3.3	1.2	1.6	2.2	3.7	<b>2.53</b>	<b>6</b>
	Media Production		1.4	1.4	2.2	1.2	1.6	2.2	4.3	<b>2.22</b>	<b>3</b>
	CPR/First Aid		1.4	1.4	2.8	1.2	1.6	2.4	4.3	<b>2.33</b>	<b>4</b>
Billing Services	Billing Services		2.3	2.3	3.3	1.5	1.6	3.0	3.0	<b>2.76</b>	<b>8</b>
Support Services	Administration and Management		1.9	1.9	3.2	1.2	1.6	3.0	3.3	<b>2.32</b>	<b>4</b>
	Financial Monitoring/Budgeting		2.1	2.1	3.2	1.6	1.6	2.2	4.0	<b>2.35</b>	<b>4</b>
	Information Technology Support		1.9	1.9	1.9	1.4	1.6	2.2	3.3	<b>2.31</b>	<b>4</b>
	Facility Expense		1.4	1.4	1.3	1.2	1.6	2.2	4.3	<b>2.05</b>	<b>1</b>
	Purchasing/M/WBE		1.8	1.8	1.2	1.2	1.6	2.2	3.5	<b>1.94</b>	<b>1</b>
	PIO/Community Services		1.6	1.6	2.1	1.2	1.6	2.2	4.3	<b>2.20</b>	<b>3</b>
	Personnel/Training		1.8	1.8	2.8	1.6	1.6	2.2	4.3	<b>2.41</b>	<b>5</b>
	Vehicle/Equipment Maintenance		2.3	2.3	3.3	1.2	1.6	2.2	4.0	<b>2.43</b>	<b>5</b>

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**B. Program-Level Results**  
**Emergency Medical Services Department**

	Weight Risk Factor #	16 1	18 2	20 3	11 4	9 5	14 6	12 7	100	
Risk Factor Name	Size and Complexity	Change	Planning and Performance	Public Concern	Safety and Liability	Ethics	Mitigating Factors	Weighted Avg- All Factors	RANK	
<b>Program</b>	<b>RISK RATINGS</b>									
Operations	2.8	2.8	2.7	1.5	2.1	2.2	3.8	<b>2.70</b>	<b>7</b>	
Training & Education	1.7	1.7	2.4	1.2	1.9	2.3	3.9	<b>2.33</b>	<b>4</b>	
Billing Services	2.3	2.3	3.3	1.5	1.6	3.0	3.0	<b>2.76</b>	<b>8</b>	
Support Services	1.8	1.8	2.3	1.3	1.6	2.3	3.9	<b>2.25</b>	<b>3</b>	

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**C. Activity Results by Rank**  
**Emergency Medical Services Department**

Activity	Weight	16	18	20	11	9	14	12	100	ACTIVITY RANK
	Risk Factor #	1	2	3	4	5	6	7	Weighted Avg- All Factors	
Risk Factor Name	Size and Complexity	Change	Planning and Performance	Public Concern	Safety and Liability	Ethics	Mitigating Factors			
RISK RATINGS										
Emergency Services		3.6	3.6	2.3	2.1	2.9	2.2	3.3	<b>2.96</b>	<b>9</b>
Billing Services		2.3	2.3	3.3	1.5	1.6	3.0	3.0	<b>2.76</b>	<b>8</b>
Emergency Communications		2.8	2.8	2.5	1.2	2.0	2.2	4.0	<b>2.65</b>	<b>7</b>
Safety		1.4	1.4	3.3	1.2	1.6	2.2	3.7	<b>2.53</b>	<b>6</b>
STAR Flight		2.1	2.1	3.3	1.2	1.6	2.2	4.0	<b>2.50</b>	<b>6</b>
Vehicle/Equipment Maintenance		2.3	2.3	3.3	1.2	1.6	2.2	4.0	<b>2.43</b>	<b>5</b>
Personnel/Training		1.8	1.8	2.8	1.6	1.6	2.2	4.3	<b>2.41</b>	<b>5</b>
Quality Assurance & Improvement		2.4	2.4	1.8	1.2	1.6	2.2	3.7	<b>2.38</b>	<b>5</b>
Financial Monitoring/Budgeting		2.1	2.1	3.2	1.6	1.6	2.2	4.0	<b>2.35</b>	<b>4</b>
CPR/First Aid		1.4	1.4	2.8	1.2	1.6	2.4	4.3	<b>2.33</b>	<b>4</b>
Administration and Management		1.9	1.9	3.2	1.2	1.6	3.0	3.3	<b>2.32</b>	<b>4</b>
Information Technology Support		1.9	1.9	1.9	1.4	1.6	2.2	3.3	<b>2.31</b>	<b>4</b>
Media Production		1.4	1.4	2.2	1.2	1.6	2.2	4.3	<b>2.22</b>	<b>3</b>
PIO/Community Services		1.6	1.6	2.1	1.2	1.6	2.2	4.3	<b>2.20</b>	<b>3</b>
Academy		1.8	1.8	1.9	1.2	3.3	2.2	3.3	<b>2.20</b>	<b>3</b>
Facility Expense		1.4	1.4	1.3	1.2	1.6	2.2	4.3	<b>2.05</b>	<b>1</b>
Purchasing/M/WBE		1.8	1.8	1.2	1.2	1.6	2.2	3.5	<b>1.94</b>	<b>1</b>

OCA 2003 Risk Assessment

D. Risk Factor Detail - Raw Data and Activity Ratings

Emergency Medical Services Department

Factor: Size and Complexity

Program	Activity	Size-FY03 Budgeted Expend	Budget Relative Size Rating	Size-FY03 Budgeted FTEs	FTEs Relative Size Rating	No. of Sites Rating	Diversity of Services Rating	No. of Grants Rating	Contract Expend. -% of Total	Contract Exp. -% of Total Rating	Size and Complexity Rating
Operations	Emergency Services	\$19,072,777	5	282.00	5	5	3	3	0.0%	1	3.6
	Emergency Communications	\$2,705,974	5	40.00	5	1	1	3	0.0%	1	2.8
	STAR Flight	\$1,044,443	4	12.00	4	1	1	1	0.0%	1	2.1
Training & Education	Academy	\$461,361	3	5.00	3	1	1	1	0.8%	1	1.8
	Quality Assurance & Improvement	\$829,886	4	9.33	4	1	1	3	0.0%	1	2.4
	Safety	\$82,530	2	1.00	2	1	1	1	1.4%	1	1.4
	Media Production	\$70,726	2	1.00	2	1	1	1	0.0%	1	1.4
	CPR/First Aid	\$91,122	2	1.00	2	1	1	1	0.0%	1	1.4
Billing Services	Billing Services	\$766,585	4	18.00	5	1	1	1	0.0%	1	2.3
Support Services	Administration and Management	\$572,244	3	5.67	3	1	2	1	0.0%	1	1.9
	Financial Monitoring/Budgeting	\$403,157	3	8.00	4	1	2	1	0.0%	1	2.1
	Information Technology Support	\$299,922	3	3.00	3	1	2	1	0.0%	1	1.9
	Facility Expense	\$177,900	2	0.00	1	1	2	1	0.0%	1	1.4
	Purchasing/M/WBE	\$182,901	2	3.00	3	1	2	1	0.0%	1	1.8
	PIO/Community Services	\$66,131	2	1.00	2	1	2	1	0.0%	1	1.6
	Personnel/Training	\$157,703	2	3.00	3	1	2	1	0.0%	1	1.8
	Vehicle/Equipment Maintenance	\$1,255,200	4	0.00	1	5	2	1	0.0%	1	2.3

OCA 2003 Risk Assessment

D. Risk Factor Detail - Raw Data and Activity Ratings

Emergency Medical Services Department

Factor: Change

Program	Activity	Business Plan Change Rating	Expend Trend - % Change	Initial Expend Trend Rating	Adjustment for diverg. FTE/Budget Trend	Final Adjusted Trend Rating	FTE Trend -% Change	FTE Trend Rating	Employee Turnover Rating	Change Rating
Operations	Emergency Services	5	52%	5		5	33%	4	2	4.1
	Emergency Communications	5	22%	3		3	11%	2	2	3.4
	STAR Flight	3	23%	3		3	9%	1	2	2.5
Training & Education	Academy	1	51%	5		5	11%	2	2	2.3
	Quality Assurance & Improvement	5	38%	4		4	6%	1	2	3.5
	Safety	5	-17%	2	1	3	25%	3	2	3.5
	Media Production	1	50%	5		5	67%	5	2	2.6
	CPR/First Aid	1	-37%	4		4	-50%	5	2	2.4
Billing Services	Billing Services	5	25%	3	1	4	-2%	1	2	3.5
Support Services	Administration and Management	1	-13%	2		2	-17%	2	2	1.6
	Financial Monitoring/Budgeting	1	-12%	2		2	-1%	1	2	1.5
	Information Technology Support	5	-31%	4		4	-3%	1	2	3.5
	Facility Expense	1	38%	4	1	5	-100%	5	2	2.6
	Purchasing/M/WBE	1	41%	5		5	22%	3	2	2.4
	PIO/Community Services	1	-47%	5		5	-29%	3	2	2.4
	Personnel/Training	1	41%	5		5	22%	3	2	2.4
	Vehicle/Equipment Maintenance	1	-20%	2		2	-100%	5	2	1.9

OCA 2003 Risk Assessment

D. Risk Factor Detail - Raw Data and Activity Ratings

Emergency Medical Services Department

Factor: Planning and Performance

Program	Activity	Variance - FY02 Actual vs Budget	Variance - Actual vs Budget Rating	Performance Trend Rating	Workforce Survey - Satisfaction Rating	Overtime - % of Total Salaries	Overtime - % of Total Rating	Planning and Performance Rating
Operations	Emergency Services	-4%	1	2	2	27.31%	4	2.3
	Emergency Communications	-7%	2	3	2	9.77%	2	2.5
	STAR Flight	-4%	1	4	2	28.16%	4	3.3
Training & Education	Academy	-11%	3	1	2	18.47%	3	1.9
	Quality Assurance & Improvement	-22%	5	1	2	4.09%	1	1.8
	Safety	-5%	2	5	2	1.58%	1	3.3
	Media Production	3%	1	3	2	2.59%	1	2.2
	CPR/First Aid	-25%	5	3	2	2.57%	1	2.8
Billing Services	Billing Services	-7%	2	5	2	3.30%	1	3.3
Support Services	Administration and Management	1%	1	5	2	0.10%	1	3.2
	Financial Monitoring/Budgeting	-1%	1	5	2	4.73%	1	3.2
	Information Technology Support	-11%	3	1	2	18.05%	3	1.9
	Facility Expense	9%	2	1	2	0.00%	1	1.3
	Purchasing/M/WBE	4%	1	1	2	0.24%	1	1.2
	PIO/Community Services	-8%	2	1	2	37.04%	5	2.1
	Personnel/Training	22%	5	3	2	4.22%	1	2.8
	Vehicle/Equipment Maintenance	8%	2	5	2	0.00%	1	3.3

OCA 2003 Risk Assessment

**D. Risk Factor Detail - Raw Data and Activity Ratings**

**Emergency Medical Services Department**

**Factor: Public Concern**

<b>Program</b>	<b>Activity</b>	<b>FY02 Citizen Complaints per FTE</b>	<b>FY03 Citizen Complaints per FTE</b>	<b>Avg Citizen Complaints per FTE Rating</b>	<b># Legal Claims &amp; Suits per 100 FTEs</b>	<b># Legal Claims and Suits Rating</b>	<b>Council/ CMO Survey - # of "hits"</b>	<b>Council/ CMO Survey Rating</b>	<b>Public Concern Rating</b>
Operations	Emergency Services	0.00	0.00	1.0	5	2	2	3	<b>2.1</b>
	Emergency Communications	0.00	0.00	1.0	5	2	0	1	<b>1.2</b>
	STAR Flight	0.00	0.00	1.0	5	2	0	1	<b>1.2</b>
Training & Education	Academy	0.00	0.00	1.0	5	2	0	1	<b>1.2</b>
	Quality Assurance & Improvement	0.00	0.00	1.0	5	2	0	1	<b>1.2</b>
	Safety	0.00	0.00	1.0	5	2	0	1	<b>1.2</b>
	Media Production	0.00	0.00	1.0	5	2	0	1	<b>1.2</b>
	CPR/First Aid	0.00	0.00	1.0	5	2	0	1	<b>1.2</b>
Billing Services	Billing Services	0.11	0.06	2.0	5	2	0	1	<b>1.5</b>
Support Services	Administration and Management	0.00	0.00	1.0	5	2	0	1	<b>1.2</b>
	Financial Monitoring/Budgeting	0.00	0.00	1.0	5	2	1	2	<b>1.6</b>
	Information Technology Support	0.00	0.33	1.5	5	2	0	1	<b>1.4</b>
	Facility Expense	0.00	0.00	1.0	5	2	0	1	<b>1.2</b>
	Purchasing/M/WBE	0.00	0.00	1.0	5	2	0	1	<b>1.2</b>
	PIO/Community Services	0.00	0.00	1.0	5	2	0	1	<b>1.2</b>
	Personnel/Training	0.00	0.00	1.0	5	2	1	2	<b>1.6</b>
	Vehicle/Equipment Maintenance	0.00	0.00	1.0	5	2	0	1	<b>1.2</b>

OCA 2003 Risk Assessment

**D. Risk Factor Detail - Raw Data and Activity Ratings**

**Emergency Medical Services Department**

**Factor: Safety and Liability**

<b>Program</b>	<b>Activity</b>	<b>FY02 Workers Comp Claims Paid</b>	<b>FY02 WC Claims per FTE</b>	<b>Workers Comp Claims Rating</b>	<b>Legal Claims and Suits Paid per FTE</b>	<b>Legal Claims and Suits Paid Rating</b>	<b>Workforce Survey - Safety Rating</b>	<b>Safety and Liability Rating</b>
Operations	Emergency Services	\$87,426	\$390	4	\$38.07	2	2	<b>2.9</b>
	Emergency Communications	\$59	\$2	2	\$38.07	2	2	<b>2.0</b>
	STAR Flight	\$0	\$0	1	\$38.07	2	2	<b>1.6</b>
Training & Education	Academy	\$11,043	\$2,761	5	\$38.07	2	2	<b>3.3</b>
	Quality Assurance & Improvement	\$0	\$0	1	\$38.07	2	2	<b>1.6</b>
	Safety	\$0	\$0	1	\$38.07	2	2	<b>1.6</b>
	Media Production	\$0	\$0	1	\$38.07	2	2	<b>1.6</b>
	CPR/First Aid	\$0	\$0	1	\$38.07	2	2	<b>1.6</b>
Billing Services	Billing Services	\$0	\$0	1	\$38.07	2	2	<b>1.6</b>
Support Services	Administration and Management	\$0	\$0	1	\$38.07	2	2	<b>1.6</b>
	Financial Monitoring/Budgeting	\$0	\$0	1	\$38.07	2	2	<b>1.6</b>
	Information Technology Support	\$0	\$0	1	\$38.07	2	2	<b>1.6</b>
	Facility Expense	\$0	\$0	1	\$38.07	2	2	<b>1.6</b>
	Purchasing/M/WBE	\$0	\$0	1	\$38.07	2	2	<b>1.6</b>
	PIO/Community Services	\$0	\$0	1	\$38.07	2	2	<b>1.6</b>
	Personnel/Training	\$0	\$0	1	\$38.07	2	2	<b>1.6</b>
	Vehicle/Equipment Maintenance	\$0	\$0	1	\$38.07	2	2	<b>1.6</b>

OCA 2003 Risk Assessment

D. Risk Factor Detail - Raw Data and Activity Ratings

Emergency Medical Services Department

Factor: Ethics

Program	Activity	Workforce Survey - Ethics Rating	Commodities % of Total Expend.	Commod. % of Total Expend. Rating	Number of Cash Handlers	Avg. Weekly Cash Handled	Cash Handling Rating	Ethics Rating
Operations	Emergency Services	4	0.5%	1			1.0	2.2
	Emergency Communications	4	0.1%	1			1.0	2.2
	STAR Flight	4	0.0%	1			1.0	2.2
Training & Education	Academy	4	0.5%	1			1.0	2.2
	Quality Assurance & Improvement	4	1.0%	1			1.0	2.2
	Safety	4	0.0%	1			1.0	2.2
	Media Production	4	0.3%	1			1.0	2.2
	CPR/First Aid	4	0.6%	1	1	\$1-\$99	2.0	2.4
Billing Services	Billing Services	4	9.3%	2	9	\$100-\$499	3.5	3.0
Support Services	Administration and Management	4	9.5%	2	1	\$1-\$99	2.0	3.0
	Financial Monitoring/Budgeting	4	0.0%	1			1.0	2.2
	Information Technology Support	4	0.8%	1			1.0	2.2
	Facility Expense	4	3.3%	1			1.0	2.2
	Purchasing/M/WBE	4	0.0%	1			1.0	2.2
	PIO/Community Services	4	0.0%	1			1.0	2.2
	Personnel/Training	4	0.0%	1			1.0	2.2
	Vehicle/Equipment Maintenance	4	0.0%	1			1.0	2.2

OCA 2003 Risk Assessment

D. Risk Factor Detail - Raw Data and Activity Ratings

Emergency Medical Services Department

Factor: Mitigating Factors

Program	Activity	No. of Agencies Providing Indep. Oversight	Indep. Oversight Rating	OCA Audits Rating	Internal and		Overall Mitigating Factors Rating
					External Audits Rating	Management Initiatives Rating	
Operations	Emergency Services	1	3	3	5	3	3.3
	Emergency Communications	2	3	5	5	3	4.0
	STAR Flight	1	3	5	5	3	4.0
Training & Education	Academy	1	3	3	5	3	3.3
	Quality Assurance & Improvement	3	1	5	5	3	3.7
	Safety	0	5	3	5	3	3.7
	Media Production	0	5	5	5	3	4.3
	CPR/First Aid	0	5	5	5	3	4.3
Billing Services	Billing Services	3	1	5	5	1	3.0
Support Services	Administration and Management	1	3	5	5	1	3.3
	Financial Monitoring/Budgeting	1	3	5	5	3	4.0
	Information Technology Support	0	5	3	5	2	3.3
	Facility Expense	0	5	5	5	3	4.3
	Purchasing/M/WBE	1	3	5	2	3	3.5
	PIO/Community Services	0	5	5	5	3	4.3
	Personnel/Training	0	5	5	5	3	4.3
	Vehicle/Equipment Maintenance	1	3	5	5	3	4.0

**APPENDIX C.8  
RISK RATING RESULTS**

**OEM - Office of Emergency Management**



OCA 2003 Risk Assessment

**A. Activity Results**  
**Office of Emergency Management**

Weight	16	18	20	11	9	14	12	100
Risk Factor #	1	2	3	4	5	6	7	

Program	Activity	Risk Factor Name	Size and Complexity	Change	Planning and Performance	Public Concern	Safety and Liability	Ethics	Mitigating Factors	Weighted Avg- All Factors	ACTIVITY RANK
Office of Emergency Management	Preparedness and Mitigation		1.8	1.8	2.5	1.6	1.7	2.0	3.0	<b>2.33</b>	<b>4</b>
	Response		1.6	1.6	2.8	1.5	1.7	2.0	3.0	<b>2.22</b>	<b>3</b>
	Recovery		1.3	1.3	2.8	1.5	1.7	2.0	3.0	<b>2.32</b>	<b>4</b>

**OCA 2003 Risk Assessment**

**B. Program-Level Results**  
**Office of Emergency Management**

	Weight Risk Factor #	16 1	18 2	20 3	11 4	9 5	14 6	12 7	100 Weighted Avg- All Factors	RANK
Risk Factor Name	Size and Complexity	Change	Planning and Performance	Public Concern	Safety and Liability	Ethics	Mitigating Factors			
<b>Program</b>									<b>RISK RATINGS</b>	
Office of Emergency Management	1.8	1.8	2.5	1.6	1.7	2.0	3.0	2.33	<b>4</b>	
	1.6	1.6	2.8	1.5	1.7	2.0	3.0	2.22	<b>3</b>	
	1.3	1.3	2.8	1.5	1.7	2.0	3.0	2.32	<b>4</b>	

OCA 2003 Risk Assessment

C. Activity Results by Rank  
Office of Emergency Management

Activity	Weight	16	18	20	11	9	14	12	100	ACTIVITY RANK
	Risk Factor #	1	2	3	4	5	6	7	Weighted Avg- All Factors	
	Risk Factor Name	Size and Complexity	Change	Planning and Performance	Public Concern	Safety and Liability	Ethics	Mitigating Factors		
<b>RISK RATINGS</b>										
Preparedness and Mitigation		1.8	1.8	2.5	1.6	1.7	2.0	3.0	<b>2.33</b>	<b>4</b>
Recovery		1.3	1.3	2.8	1.5	1.7	2.0	3.0	<b>2.32</b>	<b>4</b>
Response		1.6	1.6	2.8	1.5	1.7	2.0	3.0	<b>2.22</b>	<b>3</b>

OCA 2003 Risk Assessment

D. Risk Factor Detail - Raw Data and Activity Ratings

Office of Emergency Management

Factor: Size and Complexity

Program	Activity	Size-FY03 Budgeted Expend	Budget Relative Size Rating	Size-FY03 Budgeted FTEs	FTEs Relative Size Rating	No. of Sites Rating	Diversity of Services Rating	No. of Grants Rating	Contract Expend. -% of Total	Contract Exp. -% of Total Rating	Size and Complexity Rating
Office of Emergency Management	Preparedness and Mitigation	\$271,158	2	2.90	3	1	1	3	0.0%	1	<b>1.8</b>
	Response	\$127,328	2	0.50	2	1	1	3	0.0%	1	<b>1.6</b>
	Recovery	\$5,846	1	0.00	1	1	1	3	0.0%	1	<b>1.3</b>

OCA 2003 Risk Assessment

D. Risk Factor Detail - Raw Data and Activity Ratings

Office of Emergency Management

Factor: Change

Program	Activity	Business Plan Change Rating	Expend Trend - % Change	Initial Expend Trend Rating	Adjustment for diverg. FTE/Budget Trend	Final Adjusted Trend Rating	FTE Trend -% Change	FTE Trend Rating	Employee Turnover Rating	Change Rating
Office of Emergency Management	Preparedness and Mitigation	5	20%	2		2	45%	5	1	3.2
	Response	5	9%	1		1	0%	1	1	2.6
	Recovery	5	197%	5		5	0%	1	1	3.4

OCA 2003 Risk Assessment

D. Risk Factor Detail - Raw Data and Activity Ratings

Office of Emergency Management

Factor: Planning and Performance

Program	Activity	Variance - FY02 Actual vs Budget	Variance - Actual vs Budget Rating	Performance Trend Rating	Workforce Survey - Satisfaction Rating	Overtime - % of Total Salaries	Overtime - % of Total Rating	Planning and Performance Rating
Office of Emergency Management	Preparedness and Mitigation	-11%	3	3	2	0.00%	1	2.5
	Response	-88%	5	3	2	0.00%	1	2.8
	Recovery	250%	5	3	2	0.00%	1	2.8

OCA 2003 Risk Assessment

D. Risk Factor Detail - Raw Data and Activity Ratings

Office of Emergency Management

Factor: Public Concern

Program	Activity	FY02 Citizen Complaints per FTE	FY03 Citizen Complaints per FTE	Avg Citizen Complaints per FTE Rating	# Legal Claims & Suits per 100 FTEs	# Legal Claims and Suits Rating	Council/ CMO/ Survey - # of "hits"	Council/ CMO/ Survey Rating	Public Concern Rating
Office of Emergency Management	Preparedness and Mitigation	0.34	0.00	1.5	0	1	1	2	1.6
	Response	0.00	0.00	1.0	0	1	1	2	1.5
	Recovery	0.00	0.00	1.0	0	1	1	2	1.5

OCA 2003 Risk Assessment

D. Risk Factor Detail - Raw Data and Activity Ratings

Office of Emergency Management

Factor: Safety and Liability

Program	Activity	FY02 Workers Comp Claims Paid	FY02 WC Claims per FTE	Workers Comp Claims Rating	Legal Claims and Suits Paid per FTE	Legal Claims and Suits Paid Rating	Workforce Survey - Safety Rating	Safety and Liability Rating
Office of Emergency Management	Preparedness and Mitigation	\$0	\$0	1	\$0.00	1	3	1.7
	Response	\$0	\$0	1	\$0.00	1	3	1.7
	Recovery	\$0		1	\$0.00	1	3	1.7

OCA 2003 Risk Assessment

D. Risk Factor Detail - Raw Data and Activity Ratings

Office of Emergency Management

Factor: Ethics

Program	Activity	Workforce Survey - Ethics Rating	Commodities % of Total Expend.	Commod. % of Total Expend. Rating	Number of Cash Handlers	Avg. Weekly Cash Handled	Cash Handling Rating	Ethics Rating
Office of Emergency Management	Preparedness and Mitigation	3	2.1%	1			1.0	2.0
	Response	3	2.8%	1			1.0	2.0
	Recovery	3	0.0%	1			1.0	2.0

OCA 2003 Risk Assessment

D. Risk Factor Detail - Raw Data and Activity Ratings

Office of Emergency Management

Factor: Mitigating Factors

Program	Activity	No. of Agencies Providing Indep. Oversight	Indep. Oversight Rating	OCA Audits Rating	Internal and External Audits Rating	Management Initiatives Rating	Overall Mitigating Factors Rating
Office of Emergency Management	Preparedness and Mitigation	6	1	5	5	1	3.0
	Response	5	1	5	5	1	3.0
	Recovery	5	1	5	5	1	3.0

**APPENDIX C.9  
RISK RATING RESULTS**

**Law Department**



OCA 2003 Risk Assessment

A. Activity Results  
Law Department

Weight	16	18	20	11	9	14	12	100
Risk Factor #	1	2	3	4	5	6	7	

Program	Activity	Risk Factor Name	Size and Complexity	Change	Planning and Performance	Public Concern	Safety and Liability	Ethics	Mitigating Factors	Weighted Avg- All Factors	ACTIVITY RANK
Advocacy & Dispute Resolution	Civil Litigation		2.3	2.3	1.8	1.4	1.3	1.4	4.3	2.11	2
	Criminal Prosecution		2.1	2.1	2.5	1.0	1.3	1.4	5.0	2.45	6
Opinions and Advice	General Counsel		2.5	2.5	2.5	2.0	2.2	2.0	3.7	2.56	6
	Contract Development, Preparation and Review		2.1	2.1	2.4	1.4	1.3	2.0	3.7	2.27	3
Support Services	Administration and Management		1.8	1.8	2.0	1.4	1.3	2.0	4.3	2.19	2
	Financial Monitoring/Budgeting		1.2	1.2	2.9	1.0	1.3	1.7	4.3	2.12	2
	Information Technology Support		1.6	1.6	1.3	1.0	1.3	1.4	3.0	1.70	1
	Facility Expense		1.6	1.6	2.8	1.0	1.3	1.4	4.3	2.20	3
	Purchasing/M/WBE		1.4	1.4	1.9	1.0	1.3	2.3	4.3	2.13	2
	Personnel/Training		1.2	1.2	3.0	1.0	1.3	1.4	4.3	2.25	3

OCA 2003 Risk Assessment

**B. Program-Level Results**  
**Law Department**

	Weight Risk Factor #	16 1	18 2	20 3	11 4	9 5	14 6	12 7	100 Weighted Avg- All Factors	RANK
Risk Factor Name	Size and Complexity	Change	Planning and Performance	Public Concern	Safety and Liability	Ethics	Mitigating Factors			
<b>RISK RATINGS</b>										
Program										
Advocacy & Dispute Resolution	2.2	2.2	2.1	1.2	1.3	1.4	4.7	<b>2.28</b>	<b>4</b>	
Opinions and Advice	2.3	2.3	2.4	1.7	1.8	2.0	3.7	<b>2.42</b>	<b>5</b>	
Support Services	1.4	1.4	2.3	1.1	1.3	1.7	4.1	<b>2.10</b>	<b>2</b>	

OCA 2003 Risk Assessment

**C. Activity Results by Rank**  
**Law Department**

Activity	Weight	16	18	20	11	9	14	12	100	ACTIVITY RANK
	Risk Factor #	1	2	3	4	5	6	7	Weighted Avg- All Factors	
	Risk Factor Name	Size and Complexity	Change	Planning and Performance	Public Concern	Safety and Liability	Ethics	Mitigating Factors		
<b>RISK RATINGS</b>										
General Counsel		2.5	2.5	2.5	2.0	2.2	2.0	3.7	<b>2.56</b>	<b>6</b>
Criminal Prosecution		2.1	2.1	2.5	1.0	1.3	1.4	5.0	<b>2.45</b>	<b>6</b>
Contract Development, Preparation and Review		2.1	2.1	2.4	1.4	1.3	2.0	3.7	<b>2.27</b>	<b>3</b>
Personnel/Training		1.2	1.2	3.0	1.0	1.3	1.4	4.3	<b>2.25</b>	<b>3</b>
Facility Expense		1.6	1.6	2.8	1.0	1.3	1.4	4.3	<b>2.20</b>	<b>3</b>
Administration and Management		1.8	1.8	2.0	1.4	1.3	2.0	4.3	<b>2.19</b>	<b>2</b>
Purchasing/M/WBE		1.4	1.4	1.9	1.0	1.3	2.3	4.3	<b>2.13</b>	<b>2</b>
Financial Monitoring/Budgeting		1.2	1.2	2.9	1.0	1.3	1.7	4.3	<b>2.12</b>	<b>2</b>
Civil Litigation		2.3	2.3	1.8	1.4	1.3	1.4	4.3	<b>2.11</b>	<b>2</b>
Information Technology Support		1.6	1.6	1.3	1.0	1.3	1.4	3.0	<b>1.70</b>	<b>1</b>

OCA 2003 Risk Assessment

D. Risk Factor Detail - Raw Data and Activity Ratings

Law Department

Factor: Size and Complexity

Program	Activity	Size-FY03 Budgeted Expend	Budget Relative Size Rating	Size-FY03 Budgeted FTEs	FTEs Relative Size Rating	No. of Sites Rating	Diversity of Services Rating	No. of Grants Rating	Contract Expend. -% of Total	Contract Exp. -% of Total Rating	Size and Complexity Rating
Advocacy & Dispute Resolution	Civil Litigation	\$1,602,183	4	21.22	5	1	1	1	8.5%	1	2.3
	Criminal Prosecution	\$628,163	3	10.75	4	2	1	1	0.0%	1	2.1
Opinions and Advice	General Counsel	\$2,380,002	5	26.61	5	1	1	1	0.0%	1	2.5
	Contract Development, Preparation and Review	\$909,081	4	9.84	4	1	1	1	0.0%	1	2.1
Support Services	Administration and Management	\$410,097	3	5.46	3	1	1	1	0.6%	1	1.8
	Financial Monitoring/Budgeting	\$34,530	1	0.50	2	1	1	1	0.0%	1	1.2
	Information Technology Support	\$222,395	2	2.50	3	1	1	1	0.0%	1	1.6
	Facility Expense	\$1,022,372	4	0.00	1	1	1	1	0.0%	1	1.6
	Purchasing/M/WBE	\$99,470	2	1.99	2	1	1	1	0.0%	1	1.4
	Personnel/Training	\$40,095	1	0.63	2	1	1	1	0.0%	1	1.2

OCA 2003 Risk Assessment

D. Risk Factor Detail - Raw Data and Activity Ratings

Law Department

Factor: Change

Program	Activity	Business Plan Change Rating	Expend Trend - % Change	Initial Expend Trend Rating	Adjustment for diverg. FTE/Budget Trend	Final Adjusted Trend Rating	FTE Trend -% Change	FTE Trend Rating	Employee Turnover Rating	Change Rating
Advocacy & Dispute Resolution	Civil Litigation	1	-31%	4		4	-5%	1	3	<b>2.2</b>
	Criminal Prosecution	5	6%	1	1	2	-10%	1	3	<b>3.3</b>
Opinions and Advice	General Counsel	4	12%	2		2	7%	1	3	<b>2.9</b>
	Contract Development, Preparation and Review	3	5%	1	1	2	-7%	1	3	<b>2.6</b>
Support Services	Administration and Management	1	-29%	3		3	-45%	5	3	<b>2.4</b>
	Financial Monitoring/Budgeting	1	-4%	1		1	-44%	5	3	<b>2.0</b>
	Information Technology Support	1	-15%	2	1	3	28%	3	3	<b>2.2</b>
	Facility Expense	1	74%	5		5	0%	1	3	<b>2.4</b>
	Purchasing/M/WBE	1	84%	5		5	17%	2	3	<b>2.6</b>
	Personnel/Training	1	-53%	5		5	-70%	5	3	<b>2.9</b>

OCA 2003 Risk Assessment

D. Risk Factor Detail - Raw Data and Activity Ratings

Law Department

Factor: Planning and Performance

Program	Activity	Variance - FY02 Actual vs Budget	Variance - Actual vs Budget Rating	Performance Trend Rating	Workforce Survey - Satisfaction Rating	Overtime - % of Total Salaries	Overtime - % of Total Rating	Planning and Performance Rating
Advocacy & Dispute Resolution	Civil Litigation	-15%	4	1	3	0.19%	1	1.8
	Criminal Prosecution	-9%	2	3	3	0.00%	1	2.5
Opinions and Advice	General Counsel	6%	2	3	3	0.06%	1	2.5
	Contract Development, Preparation and Review	-27%	5	2	3	0.00%	1	2.4
Support Services	Administration and Management	-9%	2	2	3	0.21%	1	2.0
	Financial Monitoring/Budgeting	32%	5	3	3	0.00%	1	2.9
	Information Technology Support	1%	1	1	3	0.00%	1	1.3
	Facility Expense	-1%	1	4	3	0.00%	1	2.8
	Purchasing/M/WBE	-35%	5	1	3	0.55%	1	1.9
	Personnel/Training	6%	2	4	3	0.00%	1	3.0

OCA 2003 Risk Assessment

D. Risk Factor Detail - Raw Data and Activity Ratings

Law Department

Factor: Public Concern

Program	Activity	FY02 Citizen Complaints per FTE	FY03 Citizen Complaints per FTE	Avg Citizen Complaints per FTE Rating	# Legal Claims & Suits per 100 FTEs	# Legal Claims and Suits Rating	Council/ CMO/ Survey - # of "hits"	Council/ CMO/ Survey Rating	Public Concern Rating
Advocacy & Dispute Resolution	Civil Litigation	1.01	0.52	2.0	0	1	0	1	1.4
	Criminal Prosecution	0.00	0.00	1.0	0	1	0	1	1.0
Opinions and Advice	General Counsel	1.25	0.90	2.5	0	1	1	2	2.0
	Contract Development, Preparation and Review	0.20	0.10	2.0	0	1	0	1	1.4
Support Services	Administration and Management	1.40	0.73	2.0	0	1	0	1	1.4
	Financial Monitoring/Budgeting	0.00	0.00	1.0	0	1	0	1	1.0
	Information Technology Support	0.00	0.00	1.0	0	1	0	1	1.0
	Facility Expense	0.00	0.00	1.0	0	1	0	1	1.0
	Purchasing/M/WBE	0.00	0.00	1.0	0	1	0	1	1.0
	Personnel/Training	0.00	0.00	1.0	0	1	0	1	1.0

OCA 2003 Risk Assessment

D. Risk Factor Detail - Raw Data and Activity Ratings

Law Department

Factor: Safety and Liability

Program	Activity	FY02 Workers Comp Claims Paid	FY02 WC Claims per FTE	Workers Comp Claims Rating	Legal Claims and Suits Paid per FTE	Legal Claims and Suits Paid Rating	Workforce Survey - Safety Rating	Safety and Liability Rating
Advocacy & Dispute Resolution	Civil Litigation	\$0	\$0	1	\$0.00	1	2	1.3
	Criminal Prosecution	\$0	\$0	1	\$0.00	1	2	1.3
Opinions and Advice	General Counsel	\$753	\$26	3	\$0.00	1	2	2.2
	Contract Development, Preparation and Review	\$0	\$0	1	\$0.00	1	2	1.3
Support Services	Administration and Management	\$0	\$0	1	\$0.00	1	2	1.3
	Financial Monitoring/Budgeting	\$0	\$0	1	\$0.00	1	2	1.3
	Information Technology Support	\$0	\$0	1	\$0.00	1	2	1.3
	Facility Expense	\$0		1	\$0.00	1	2	1.3
	Purchasing/M/WBE	\$0	\$0	1	\$0.00	1	2	1.3
	Personnel/Training	\$0	\$0	1	\$0.00	1	2	1.3

OCA 2003 Risk Assessment

D. Risk Factor Detail - Raw Data and Activity Ratings

Law Department

Factor: Ethics

Program	Activity	Workforce Survey - Ethics Rating	Commodities % of Total Expend.	Commod. % of Total Expend. Rating	Number of Cash Handlers	Avg. Weekly Cash Handled	Cash Handling Rating	Ethics Rating
Advocacy & Dispute Resolution	Civil Litigation	3	0.1%	1			1.0	1.4
	Criminal Prosecution	3	0.1%	1			1.0	1.4
Opinions and Advice	General Counsel	3	0.3%	1			1.0	2.0
	Contract Developmt, Prep and Review	3	0.0%	1			1.0	2.0
Support Services	Administration and Management	3	6.1%	1	2	\$1-\$99	2.5	2.0
	Financial Monitoring/Budgeting	3	0.0%	1			1.0	1.7
	Information Technology Support	3	0.0%	1			1.0	1.4
	Facility Expense	3	1.2%	1			1.0	1.4
	Purchasing/M/WBE	3	0.0%	1			1.0	2.3
	Personnel/Training	3	0.0%	1			1.0	1.4

OCA 2003 Risk Assessment

D. Risk Factor Detail - Raw Data and Activity Ratings

Law Department

Factor: Mitigating Factors

Program	Activity	No. of Agencies Providing Indep. Oversight	Indep. Oversight Rating	OCA Audits Rating	Internal and		Overall Mitigating Factors Rating
					External Audits Rating	Management Initiatives Rating	
Advocacy & Dispute Resolution	Civil Litigation	0	5	5	5	3	4.3
	Criminal Prosecution	0	5	5	5	5	5.0
Opinions and Advice	General Counsel	0	5	5	5	1	3.7
	Contract Development, Preparation and Review	0	5	5	5	1	3.7
Support Services	Administration and Management	0	5	5	5	3	4.3
	Financial Monitoring/Budgeting	0	5	5	5	3	4.3
	Information Technology Support	0	5	3	5	1	3.0
	Facility Expense	0	5	5	5	3	4.3
	Purchasing/MWBE	0	5	5	5	3	4.3
	Personnel/Training	0	5	5	5	3	4.3

**APPENDIX C.10  
RISK RATING RESULTS**

**Municipal Court**



OCA 2003 Risk Assessment

A. Activity Results  
Municipal Court

Weight	16	18	20	11	9	14	12	100
Risk Factor #	1	2	3	4	5	6	7	

Program	Activity	Risk Factor Name	Size and Complexity	Change	Planning and Performance	Public Concern	Safety and Liability	Ethics	Mitigating Factors	Weighted Avg- All Factors	ACTIVITY RANK
Judiciary	Class C Proceedings		2.3	2.3	2.8	1.2	1.6	1.9	3.7	2.22	3
	Central Booking		2.1	2.1	1.9	1.2	1.6	1.9	3.7	2.01	1
Municipal Court Operations	Records Management		1.9	1.9	1.9	1.4	1.6	3.1	3.0	2.12	2
	Case Initiation & Management		2.3	2.3	3.3	1.4	1.6	1.9	3.0	2.43	5
	Marshal Services		2.1	2.1	2.9	1.2	2.4	2.2	3.0	2.40	5
	Warrant Processing		1.9	1.9	2.6	1.2	2.0	3.1	3.0	2.40	5
	Warrant Collections		1.9	1.9	2.8	1.4	1.6	2.8	3.0	2.27	3
	Courtroom Support		1.8	1.8	3.6	1.5	3.3	1.9	3.0	2.57	7
	Customer Service		2.6	2.6	2.6	1.5	2.4	2.8	3.0	2.67	7
	Magistrate Support		2.1	2.1	2.6	1.2	1.6	2.8	3.0	2.29	4
	Civil Parking		1.9	1.9	2.1	1.5	1.6	2.8	3.7	2.26	3
Court Security	Security		2.2	2.2	1.6	1.2	1.6	1.9	3.0	2.16	2
Support Services	Administration and Management		1.6	1.6	2.1	1.5	1.6	2.2	3.0	2.01	1
	Financial Monitoring/Budgeting		1.8	1.8	1.6	1.6	1.6	2.2	3.0	1.99	1
	Information Technology Support		1.9	1.9	1.9	1.2	1.6	1.9	2.3	2.03	1
	Facility Expense		1.4	1.4	2.6	1.2	1.6	1.9	3.7	2.16	2
	Purchasing/M/WBE		1.4	1.4	2.7	1.2	1.6	2.1	3.0	2.00	1
	Personnel/Training		1.3	1.3	3.7	1.6	1.6	1.9	3.0	2.56	6
	Vehicle/Equipment Maintenance		1.0	1.0	2.6	1.2	1.6	1.9	3.7	2.10	2

OCA 2003 Risk Assessment

**B. Program-Level Results  
Municipal Court**

	Weight Risk Factor #	16 1	18 2	20 3	11 4	9 5	14 6	12 7	100	
Risk Factor Name	Size and Complexity	Change	Planning and Performance	Public Concern	Safety and Liability	Ethics	Mitigating Factors	Weighted Avg- All Factors	RANK	
<b>Program</b>	<b>RISK RATINGS</b>									
Judiciary	2.2	2.2	2.3	1.2	1.6	1.9	3.7	2.12	2	
Municipal Court Operations	2.1	2.1	2.7	1.4	2.0	2.6	3.1	2.38	5	
Court Security	2.2	2.2	1.6	1.2	1.6	1.9	3.0	2.16	2	
Support Services	1.5	1.5	2.5	1.4	1.6	2.0	3.1	2.12	2	

OCA 2003 Risk Assessment

**C. Activity Results by Rank  
Municipal Court**

Activity	Weight	16	18	20	11	9	14	12	100	ACTIVITY RANK
	Risk Factor #	1	2	3	4	5	6	7	Weighted Avg- All Factors	
Risk Factor Name	Size and Complexity	Change	Planning and Performance	Public Concern	Safety and Liability	Ethics	Mitigating Factors			
RISK RATINGS										
Customer Service		2.6	2.6	2.6	1.5	2.4	2.8	3.0	<b>2.67</b>	<b>7</b>
Courtroom Support		1.8	1.8	3.6	1.5	3.3	1.9	3.0	<b>2.57</b>	<b>7</b>
Personnel/Training		1.3	1.3	3.7	1.6	1.6	1.9	3.0	<b>2.56</b>	<b>6</b>
Case Initiation & Management		2.3	2.3	3.3	1.4	1.6	1.9	3.0	<b>2.43</b>	<b>5</b>
Warrant Processing		1.9	1.9	2.6	1.2	2.0	3.1	3.0	<b>2.40</b>	<b>5</b>
Marshal Services		2.1	2.1	2.9	1.2	2.4	2.2	3.0	<b>2.40</b>	<b>5</b>
Magistrate Support		2.1	2.1	2.6	1.2	1.6	2.8	3.0	<b>2.29</b>	<b>4</b>
Warrant Collections		1.9	1.9	2.8	1.4	1.6	2.8	3.0	<b>2.27</b>	<b>3</b>
Civil Parking		1.9	1.9	2.1	1.5	1.6	2.8	3.7	<b>2.26</b>	<b>3</b>
Class C Proceedings		2.3	2.3	2.8	1.2	1.6	1.9	3.7	<b>2.22</b>	<b>3</b>
Facility Expense		1.4	1.4	2.6	1.2	1.6	1.9	3.7	<b>2.16</b>	<b>2</b>
Security		2.2	2.2	1.6	1.2	1.6	1.9	3.0	<b>2.16</b>	<b>2</b>
Records Management		1.9	1.9	1.9	1.4	1.6	3.1	3.0	<b>2.12</b>	<b>2</b>
Vehicle/Equipment Maintenance		1.0	1.0	2.6	1.2	1.6	1.9	3.7	<b>2.10</b>	<b>2</b>
Information Technology Support		1.9	1.9	1.9	1.2	1.6	1.9	2.3	<b>2.03</b>	<b>1</b>
Administration and Management		1.6	1.6	2.1	1.5	1.6	2.2	3.0	<b>2.01</b>	<b>1</b>
Central Booking		2.1	2.1	1.9	1.2	1.6	1.9	3.7	<b>2.01</b>	<b>1</b>
Purchasing/M/WBE		1.4	1.4	2.7	1.2	1.6	2.1	3.0	<b>2.00</b>	<b>1</b>
Financial Monitoring/Budgeting		1.8	1.8	1.6	1.6	1.6	2.2	3.0	<b>1.99</b>	<b>1</b>

OCA 2003 Risk Assessment

D. Risk Factor Detail - Raw Data and Activity Ratings  
Municipal Court

Factor: Size and Complexity

Program	Activity	Size-FY03 Budgeted Expend	Budget Relative Size Rating	Size-FY03 Budgeted FTEs	FTEs Relative Size Rating	No. of Sites Rating	Diversity of Services Rating	No. of Grants Rating	Contract Expend. -% of Total	Contract Exp. -% of Total Rating	Size and Complexity Rating
Judiciary	Class C Proceedings	\$908,621	4	8.75	4	1	1	1	24.6%	2	2.3
	Central Booking	\$411,844	3	3.00	3	2	1	1	31.4%	2	2.1
Municipal Court Operations	Records Management	\$508,675	3	11.75	4	1	1	1	2.3%	1	1.9
	Case Initiation & Management	\$791,514	4	19.75	5	1	1	1	0.0%	1	2.3
	Marshal Services	\$604,240	3	9.17	4	2	1	1	0.0%	1	2.1
	Warrant Processing	\$591,024	3	14.42	4	1	1	1	0.0%	1	1.9
	Warrant Collections	\$279,161	3	7.66	4	1	1	1	0.0%	1	1.9
	Courtroom Support	\$265,264	2	6.75	4	1	1	1	0.0%	1	1.8
	Customer Service	\$1,250,715	4	33.25	5	3	1	1	0.0%	1	2.6
	Magistrate Support	\$394,830	3	11.00	4	2	1	1	0.0%	1	2.1
	Civil Parking	\$336,843	3	6.25	4	1	1	1	0.0%	1	1.9
Court Security	Security	\$605,696	3	7.50	4	3	1	1	0.0%	1	2.2
Support Services	Administration and Management	\$242,002	2	3.00	3	1	1	1	0.0%	1	1.6
	Financial Monitoring/Budgeting	\$292,456	3	5.25	3	1	1	1	0.0%	1	1.8
	Information Technology Support	\$573,800	3	8.00	4	1	1	1	0.0%	1	1.9
	Facility Expense	\$182,441	2	0.50	2	1	1	1	0.0%	1	1.4
	Purchasing/M/WBE	\$122,949	2	1.75	2	1	1	1	0.0%	1	1.4
	Personnel/Training	\$59,919	1	1.00	2	1	1	2	0.0%	1	1.3
	Vehicle/Equipment Maintenance	\$29,000	1	0.00	1	1	1	1	0.0%	1	1.0

OCA 2003 Risk Assessment

D. Risk Factor Detail - Raw Data and Activity Ratings

Municipal Court

Factor: Change

Program	Activity	Business Plan Change Rating	Expend Trend - % Change	Initial Expend Trend Rating	Adjustment for diverg. FTE/Budget Trend	Final Adjusted Trend Rating	FTE Trend -% Change	FTE Trend Rating	Employee Turnover Rating	Change Rating
Judiciary	Class C Proceedings	1	4%	1	1	2	-3%	1	3	1.8
	Central Booking	1	16%	2		2	0%	1	3	1.8
Municipal Court Operations	Records Management	2	-5%	1		1	-5%	1	3	1.9
	Case Initiation & Management	4	4%	1		1	3%	1	3	2.7
	Marshal Services	2	-26%	3		3	-28%	3	3	2.6
	Warrant Processing	2	-21%	3	1	4	0%	1	3	2.6
	Warrant Collections	2	-7%	1		1	-13%	2	3	2.1
	Courtroom Support	2	-21%	3		3	-25%	3	3	2.6
	Customer Service	5	8%	1	1	2	-4%	1	3	3.3
	Magistrate Support	2	-14%	2		2	-27%	3	3	2.4
	Civil Parking	2	-18%	2		2	0%	1	3	2.2
Court Security	Security	2	66%	5		5	88%	5	3	3.3
Support Services	Administration and Management	1	10%	1		1	50%	5	3	2.0
	Financial Monitoring/Budgeting	1	32%	4		4	5%	1	3	2.2
	Information Technology Support	3	-22%	3		3	-11%	2	3	2.9
	Facility Expense	1	-21%	3		3	-99%	5	3	2.4
	Purchasing/M/WBE	1	-18%	2		2	0%	1	3	1.8
	Personnel/Training	3	-70%	5		5	-70%	5	3	3.7
	Vehicle/Equipment Maintenance	1	100%	5		5	0%	1	3	2.4

OCA 2003 Risk Assessment

D. Risk Factor Detail - Raw Data and Activity Ratings

Municipal Court

Factor: Planning and Performance

Program	Activity	Variance - FY02 Actual vs Budget	Variance - Actual vs Budget Rating	Performance Trend Rating	Workforce Survey - Satisfaction Rating	Overtime - % of Total Salaries	Overtime - % of Total Rating	Planning and Performance Rating
Judiciary	Class C Proceedings	-6%	2	3	5	0.00%	1	2.8
	Central Booking	11%	3	1	5	0.00%	1	1.9
Municipal Court Operations	Records Management	-13%	3	1	5	0.02%	1	1.9
	Case Initiation & Management	-6%	2	4	5	2.20%	1	3.3
	Marshal Services	10%	3	3	5	1.62%	1	2.9
	Warrant Processing	1%	1	3	5	1.10%	1	2.6
	Warrant Collections	7%	2	3	5	0.81%	1	2.8
	Courtroom Support	-5%	1	5	5	0.03%	1	3.6
	Customer Service	2%	1	3	5	0.08%	1	2.6
	Magistrate Support	-16%	4	2	5	0.56%	1	2.6
	Civil Parking	2%	1	2	5	0.91%	1	2.1
Court Security	Security		1	1	5	0.00%	1	1.6
Support Services	Administration and Management	-2%	1	2	5	0.00%	1	2.1
	Financial Monitoring/Budgeting	1%	1	1	5	0.01%	1	1.6
	Information Technology Support	-13%	3	1	5	0.03%	1	1.9
	Facility Expense	0%	1	3	5	0.00%	1	2.6
	Purchasing/M/WBE	42%	5	2	5	0.00%	1	2.7
	Personnel/Training	-43%	5	4	5	0.03%	1	3.7
	Vehicle/Equipment Maintenance		1	3	5	0.00%	1	2.6

OCA 2003 Risk Assessment

D. Risk Factor Detail - Raw Data and Activity Ratings

Municipal Court

Factor: Public Concern

Program	Activity	FY02 Citizen Complaints per FTE	FY03 Citizen Complaints per FTE	Avg Citizen Complaints per FTE Rating	# Legal Claims & Suits per 100 FTEs	# Legal Claims and Suits Rating	Council/ CMO Survey - # of "hits"	Council/ CMO Survey Rating	Public Concern Rating
Judiciary	Class C Proceedings	0.00	0.00	1.0	3	2	0	1	1.2
	Central Booking	0.00	0.00	1.0	3	2	0	1	1.2
Municipal Court Operations	Records Management	0.08	0.00	1.5	3	2	0	1	1.4
	Case Initiation & Management	0.05	0.00	1.5	3	2	0	1	1.4
	Marshal Services	0.00	0.00	1.0	3	2	0	1	1.2
	Warrant Processing	0.00	0.00	1.0	3	2	0	1	1.2
	Warrant Collections	0.63	0.00	1.5	3	2	0	1	1.4
	Courtroom Support	0.28	0.15	2.0	3	2	0	1	1.5
	Customer Service	0.03	0.03	2.0	3	2	0	1	1.5
	Magistrate Support	0.00	0.00	1.0	3	2	0	1	1.2
	Civil Parking	0.64	0.80	2.0	3	2	0	1	1.5
Court Security	Security	0.00	0.00	1.0	3	2	0	1	1.2
Support Services	Administration and Management	0.50	0.67	2.0	3	2	0	1	1.5
	Financial Monitoring/Budgeting	0.00	0.00	1.0	3	2	1	2	1.6
	Information Technology Support	0.00	0.00	1.0	3	2	0	1	1.2
	Facility Expense	0.00	0.00	1.0	3	2	0	1	1.2
	Purchasing/M/WBE	0.00	0.00	1.0	3	2	0	1	1.2
	Personnel/Training	0.00	0.00	1.0	3	2	1	2	1.6
	Vehicle/Equipment Maintenance	0.00	0.00	1.0	3	2	0	1	1.2

OCA 2003 Risk Assessment

D. Risk Factor Detail - Raw Data and Activity Ratings

Municipal Court

Factor: Safety and Liability

Program	Activity	FY02 Workers Comp Claims Paid	FY02 WC Claims per FTE	Workers Comp Claims Rating	Legal Claims and Suits Paid per FTE	Legal Claims and Suits Paid Rating	Workforce Survey - Safety Rating	Safety and Liability Rating
Judiciary	Class C Proceedings	\$0	\$0	1	\$2.50	2	2	1.6
	Central Booking	\$0	\$0	1	\$2.50	2	2	1.6
Municipal Court Operations	Records Management	\$0	\$0	1	\$2.50	2	2	1.6
	Case Initiation & Management	\$0	\$0	1	\$2.50	2	2	1.6
	Marshal Services	\$909	\$96	3	\$2.50	2	2	2.4
	Warrant Processing	\$142	\$9	2	\$2.50	2	2	2.0
	Warrant Collections	\$0	\$0	1	\$2.50	2	2	1.6
	Courtroom Support	\$10,646	\$1,468	5	\$2.50	2	2	3.3
	Customer Service	\$1,344	\$40	3	\$2.50	2	2	2.4
	Magistrate Support	\$0	\$0	1	\$2.50	2	2	1.6
	Civil Parking	\$0	\$0	1	\$2.50	2	2	1.6
Court Security	Security	\$0	\$0	1	\$2.50	2	2	1.6
Support Services	Administration and Management	\$0	\$0	1	\$2.50	2	2	1.6
	Financial Monitoring/Budgeting	\$0	\$0	1	\$2.50	2	2	1.6
	Information Technology Support	\$0	\$0	1	\$2.50	2	2	1.6
	Facility Expense	\$0	\$0	1	\$2.50	2	2	1.6
	Purchasing/M/WBE	\$0	\$0	1	\$2.50	2	2	1.6
	Personnel/Training	\$0	\$0	1	\$2.50	2	2	1.6
	Vehicle/Equipment Maintenance	\$0		1	\$2.50	2	2	1.6

OCA 2003 Risk Assessment

D. Risk Factor Detail - Raw Data and Activity Ratings

Municipal Court

Factor: Ethics

Program	Activity	Workforce Survey - Ethics Rating	Commodities % of Total Expend.	Commod. % of Total Expend. Rating	Number of Cash Handlers	Avg. Weekly Cash Handled	Cash Handling Rating	Ethics Rating
Judiciary	Class C Proceedings	4	0.1%	1			1.0	1.9
	Central Booking	4	0.0%	1			1.0	1.9
Municipal Court Operations	Records Management	4	21.5%	4			1.0	3.1
	Case Initiation & Management	4	1.0%	1			1.0	1.9
	Marshal Services	4	0.2%	1			1.0	2.2
	Warrant Processing	4	23.3%	4			1.0	3.1
	Warrant Collections	4	5.7%	1	4	\$100-\$499	3.5	2.8
	Courtroom Support	4	0.2%	1			1.0	1.9
	Customer Service	4	1.1%	1	16	>1000	5.0	2.8
	Magistrate Support	4	1.5%	1	20	>1000	5.0	2.8
	Civil Parking	4	23.5%	4			1.0	2.8
Court Security	Security	4	0.0%	1			1.0	1.9
Support Services	Administration and Management	4	2.5%	1			1.0	2.2
	Financial Monitoring/Budgeting	4	0.7%	1			1.0	2.2
	Information Technology Support	4	5.2%	1			1.0	1.9
	Facility Expense	4	0.1%	1			1.0	1.9
	Purchasing/M/WBE	4	0.6%	1			1.0	2.1
	Personnel/Training	4	0.2%	1			1.0	1.9
	Vehicle/Equipment Maintenance	4	0.0%	1			1.0	1.9

OCA 2003 Risk Assessment

D. Risk Factor Detail - Raw Data and Activity Ratings

Municipal Court

Factor: Mitigating Factors

Program	Activity	No. of Agencies Providing Indep. Oversight	Indep. Oversight Rating	OCA Audits Rating	Internal and		Overall Mitigating Factors Rating
					External Audits Rating	Management Initiatives Rating	
Judiciary	Class C Proceedings	4	1	5	5	3	3.7
	Central Booking	4	1	5	5	3	3.7
Municipal Court Operations	Records Management	4	1	5	5	1	3.0
	Case Initiation & Management	4	1	5	5	1	3.0
	Marshal Services	4	1	5	5	1	3.0
	Warrant Processing	4	1	5	5	1	3.0
	Warrant Collections	4	1	5	5	1	3.0
	Courtroom Support	4	1	5	5	1	3.0
	Customer Service	4	1	5	5	1	3.0
	Magistrate Support	4	1	5	5	1	3.0
	Civil Parking	4	1	5	5	3	3.7
Court Security	Security	4	1	5	5	1	3.0
Support Services	Administration and Management	4	1	5	5	1	3.0
	Financial Monitoring/Budgeting	4	1	5	5	1	3.0
	Information Technology Support	4	1	3	5	1	2.3
	Facility Expense	4	1	5	5	3	3.7
	Purchasing/M/WBE	4	1	5	5	1	3.0
	Personnel/Training	4	1	5	5	1	3.0
	Vehicle/Equipment Maintenance	4	1	5	5	3	3.7

**APPENDIX C.11  
RISK RATING RESULTS**

**Downtown Austin Community Court**



OCA 2003 Risk Assessment

**A. Activity Results**  
**Downtown Austin Community Court**

Weight	16	18	20	11	9	14	12	100
Risk Factor #	1	2	3	4	5	6	7	

Program	Activity	Risk Factor Name	Size and Complexity	Change	Planning and Performance	Public Concern	Safety and Liability	Ethics	Mitigating Factors	Weighted Avg- All Factors	ACTIVITY RANK
Downtown Austin Community Ct	Court Services		1.6	1.6	2.9	1.2	1.6	1.6	3.0	2.17	2
	Rehabilitation Services		1.9	1.9	3.2	1.2	1.6	1.6	3.0	2.43	5
	Community Service Restitution		1.8	1.8	4.2	1.2	1.6	2.2	3.0	2.48	6
	DACC Operations/Coordination		1.9	1.9	2.8	1.2	1.6	2.5	3.0	2.26	3

OCA 2003 Risk Assessment

**B. Program-Level Results**

**Downtown Austin Community Court**

	Weight Risk Factor #	16 1	18 2	20 3	11 4	9 5	14 6	12 7	100	
Risk Factor Name	Size and Complexity	Change	Planning and Performance	Public Concern	Safety and Liability	Ethics	Mitigating Factors	Weighted Avg- All Factors	RANK	
<b>Program</b>	<b>RISK RATINGS</b>									
Downtown Austin Community Court	1.6	1.6	2.9	1.2	1.6	1.6	3.0	2.17	2	
	1.9	1.9	3.2	1.2	1.6	1.6	3.0	2.43	5	
	1.8	1.8	4.2	1.2	1.6	2.2	3.0	2.48	6	
	1.9	1.9	2.8	1.2	1.6	2.5	3.0	2.26	3	

OCA 2003 Risk Assessment

**C. Activity Results by Rank**  
**Downtown Austin Community Court**

	Weight Risk Factor #	16 1	18 2	20 3	11 4	9 5	14 6	12 7	100 Weighted Avg- All Factors	ACTIVITY RANK
	Risk Factor Name	Size and Complexity	Change	Planning and Performance	Public Concern	Safety and Liability	Ethics	Mitigating Factors		
Activity	RISK RATINGS									
Community Service Restitution		1.8	1.8	4.2	1.2	1.6	2.2	3.0	<b>2.48</b>	<b>6</b>
Rehabilitation Services		1.9	1.9	3.2	1.2	1.6	1.6	3.0	<b>2.43</b>	<b>5</b>
DACC Operations/Coordination		1.9	1.9	2.8	1.2	1.6	2.5	3.0	<b>2.26</b>	<b>3</b>
Court Services		1.6	1.6	2.9	1.2	1.6	1.6	3.0	<b>2.17</b>	<b>2</b>

OCA 2003 Risk Assessment

D. Risk Factor Detail - Raw Data and Activity Ratings

Downtown Austin Community Court

Factor: Size and Complexity

Program	Activity	Size-FY03 Budgeted Expend	Budget Relative Size Rating	Size-FY03 Budgeted FTEs	FTEs Relative Size Rating	No. of Sites Rating	Diversity of Services Rating	No. of Grants Rating	Contract Expend. -% of Total	Contract Exp. -% of Total Rating	Size and Complexity Rating
Downtown Austin Community Court	Court Services	\$124,426	2	2.00	2	1	2	1	0.0%	1	1.6
	Rehabilitation Services	\$522,503	3	2.50	3	1	2	1	0.0%	1	1.9
	Community Service Restitution	\$108,799	2	2.50	3	1	2	1	0.0%	1	1.8
	DACC Operations/Coordination	\$387,748	3	3.00	3	1	2	1	0.5%	1	1.9

OCA 2003 Risk Assessment

D. Risk Factor Detail - Raw Data and Activity Ratings

Downtown Austin Community Court

Factor: Change

Program	Activity	Business Plan Change Rating	Expend Trend - % Change	Initial Expend Trend Rating	Adjustment for diverg. FTE/Budget Trend	Final Adjusted Trend Rating	FTE Trend -% Change	FTE Trend Rating	Employee Turnover Rating	Change Rating
Downtown Austin Community Court	Court Services	3	-9%	1		1	-33%	4	3	2.7
	Rehabilitation Services	3	25%	3	1	4	-44%	5	3	3.4
	Community Service Restitution	3	9%	1		1	0%	1	3	2.3
	DACC Operations/Coordination	3	8%	1		1	0%	1	3	2.3

OCA 2003 Risk Assessment

D. Risk Factor Detail - Raw Data and Activity Ratings

Downtown Austin Community Court

Factor: Planning and Performance

Program	Activity	Variance - FY02 Actual vs Budget	Variance - Actual vs Budget Rating	Performance Trend Rating	Workforce Survey - Satisfaction Rating	Overtime - % of Total Salaries	Overtime - % of Total Rating	Planning and Performance Rating
Downtown Austin Community Court	Court Services	13%	3	3	5	0.33%	1	<b>2.9</b>
	Rehabilitation Services	-43%	5	3	5	0.00%	1	<b>3.2</b>
	Community Service Restitution	-27%	5	5	5	0.00%	1	<b>4.2</b>
	DACC Operations/Coordination	6%	2	3	5	0.23%	1	<b>2.8</b>

OCA 2003 Risk Assessment

D. Risk Factor Detail - Raw Data and Activity Ratings

Downtown Austin Community Court

Factor: Public Concern

Program	Activity	FY02 Citizen Complaints per FTE	FY03 Citizen Complaints per FTE	Avg Citizen Complaints per FTE Rating	# Legal Claims & Suits per 100 FTEs	# Legal Claims and Suits Rating	Council/ CMO/ Survey - # of "hits"	Council/ CMO/ Survey Rating	Public Concern Rating
Downtown Austin Community Court	Court Services	0.00	0.00	1.0	3	2	0	1	1.2
	Rehabilitation Services	0.00	0.00	1.0	3	2	0	1	1.2
	Community Service Restitution	0.00	0.00	1.0	3	2	0	1	1.2
	DACC Operations/Coordination	0.00	0.00	1.0	3	2	0	1	1.2

OCA 2003 Risk Assessment

D. Risk Factor Detail - Raw Data and Activity Ratings

Downtown Austin Community Court

Factor: Safety and Liability

Program	Activity	FY02 Workers Comp Claims Paid	FY02 WC Claims per FTE	Workers Comp Claims Rating	Legal Claims and Suits Paid per FTE	Legal Claims and Suits Paid Rating	Workforce Survey - Safety Rating	Safety and Liability Rating
Downtown Austin Community Court	Court Services	\$0	\$0	1	\$2.50	2	2	1.6
	Rehabilitation Services	\$0	\$0	1	\$2.50	2	2	1.6
	Community Service Restitution	\$0	\$0	1	\$2.50	2	2	1.6
	DACC Operations/Coordination	\$0	\$0	1	\$2.50	2	2	1.6

OCA 2003 Risk Assessment

D. Risk Factor Detail - Raw Data and Activity Ratings

Downtown Austin Community Court

Factor: Ethics

Program	Activity	Workforce Survey - Ethics Rating	Commodities % of Total Expend.	Commod. % of Total Expend. Rating	Number of Cash Handlers	Avg. Weekly Cash Handled	Cash Handling Rating	Ethics Rating
Dntn Austin Community Court	Court Services	4	0.0%	1			1.0	1.6
	Rehabilitation Services	4	0.0%	1			1.0	1.6
	Community Service Restitution	4	0.0%	1			1.0	2.2
	DACC Operations/Coordination	4	8.5%	2	4	\$100-\$499	3.5	2.5

OCA 2003 Risk Assessment

D. Risk Factor Detail - Raw Data and Activity Ratings

Downtown Austin Community Court

Factor: Mitigating Factors

Program	Activity	No. of Agencies Providing Indep. Oversight	Indep. Oversight Rating	OCA Audits Rating	Internal and External Audits Rating	Management Initiatives Rating	Overall Mitigating Factors Rating
Downtown Austin Community Court	Court Services	4	1	5	5	1	3.0
	Rehabilitation Services	4	1	5	5	1	3.0
	Community Service Restitution	4	1	5	5	1	3.0
	DACC Operations/Coordination	4	1	5	5	1	3.0