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Report

2005 Risk Assessment

September 2005

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Austin, Texas

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September 27, 2005

To: Mayor and Council Members

From: Stephen L. Morgan, City Auditor

Subject: 2005 Risk Assessment Report

Attached is the report on our 2005 risk assessment project, in which we assessed risk levels for one-third of City departments. Business areas assessed this year include Community Services, and Financial and Administrative Services.

Our results are intended to show where there may be greater impact if significant problems emerge, and thus serve as a focusing tool for targeting limited audit and management resources in the areas of greatest need.

In addition to identifying activities with higher risk ratings, we identified crosscutting 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 2006, in developing OCA's 2006 performance plan.

We appreciate the cooperation and assistance we received from a number of City departments during the assessment, including the Budget Office, the Controller's Office, the Office of Telecommunications and Regulatory Affairs, and the Human Resources Department, as well as management and staff in the departments we assessed.

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

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BACKGROUND, OBJECTIVES, SCOPE & METHODOLOGY

In the internal auditing profession, formal risk assessment models are extensively used and widely accepted tools 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. In addition to risk assessment for audit planning, organizations are learning that risk assessment is also a critical tool for management.

Every three to five years, the Office of the City Auditor (OCA) conducts a Citywide assessment of the organization's risks. The last full Citywide risk assessment was completed in 1999. Our 2003 annual service plan included 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 in 2003. This report presents the results of the third and final 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 accept 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 the impact of problems might be unacceptably high.

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.

Assessing risk. Risk assessment is a process of systematically scoring (or rating) 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 this risk assessment are shown in Exhibit 1.

**EXHIBIT 1
Risk Groups and Weights**

Risk Group	Weight
Size & Complexity <ul style="list-style-type: none"> ▪ Budgeted expenditures ▪ Full-time equivalents (FTEs) ▪ Number of sites ▪ Diversity of services ▪ Contract expenditures ▪ Revenues 	16%
Change <ul style="list-style-type: none"> ▪ Budget trend ▪ FTE trend ▪ Change dynamics in business plans ▪ Turnover and years of service lost ▪ Change in expenditures ▪ Change in revenue 	18%
Planning & Performance <ul style="list-style-type: none"> ▪ Variance in budget to actual expenditures ▪ Performance trends ▪ Workforce survey satisfaction rating ▪ Overtime expenditures 	20%
Public Concern & Perception <ul style="list-style-type: none"> ▪ Citizen complaints ▪ Legal claims & suits filed ▪ Survey of Council and CMO 	11%
Safety & Liability <ul style="list-style-type: none"> ▪ Worker’s Compensation claims ▪ Legal claims and suits paid ▪ Workforce survey safety rating 	9%
Ethics <ul style="list-style-type: none"> ▪ Investigator ratings of ethics risks ▪ Workforce survey ethics rating ▪ Commodity expenditures ▪ Extent and amount of cash handling 	14%
Mitigating Factors <ul style="list-style-type: none"> ▪ Independent oversight by outside agencies ▪ OCA audits ▪ Other internal and external audit coverage ▪ Management initiatives 	12%

SOURCE: Summary of OCA risk assessment model.

Additional information on the risk factors within each group is presented in Appendix A.

SCOPE

This risk assessment included approximately one-third of City departments and we conducted the majority of our analysis at the activity level. Our assessment included multiple sources of data that spanned fiscal years 2000 to 2005. Our assessment excluded Transfers and Other Requirements as activities, as well as expenditures and revenue in the financial system that did not tie to specific activities.

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 2005 (referred to in this report as "Year Three Departments") includes both direct service and internal support service business areas:

The Community Services group includes:

- Community Care Services Department (CCSD),
- Health and Human Services Department (HHSD),
- Library Department (ALD),
- Neighborhood Housing and Community Development Office (NCHD),
- Parks and Recreation Department (PARD)

The Internal Support Services group includes:

- Financial and Administrative Services Department (FASD),
- Fleet Services (Fleet), and
- Communication Technology Management (CTM).

Wherever possible, we made use of data already captured in a variety of sources. These sources included:

- Budget and business plan documents,
- Data from AFS2, the City's financial system of record,
- Data from CARMA, the City's central performance measure database,
- Data from BANNER, the City's human resources management system.

When existing data was not available, we surveyed appropriate personnel in each of the Year Three Departments. However, in the case of the Community Care Services Department, significant data for four of the more heavily weighted factors was not available. We decided against making time consuming efforts to piece the data together from various department sources because the upcoming transition of these services to the Travis County Hospital District would make the use of the data for our purposes mute and divert the department's personnel from current duties to no purpose.

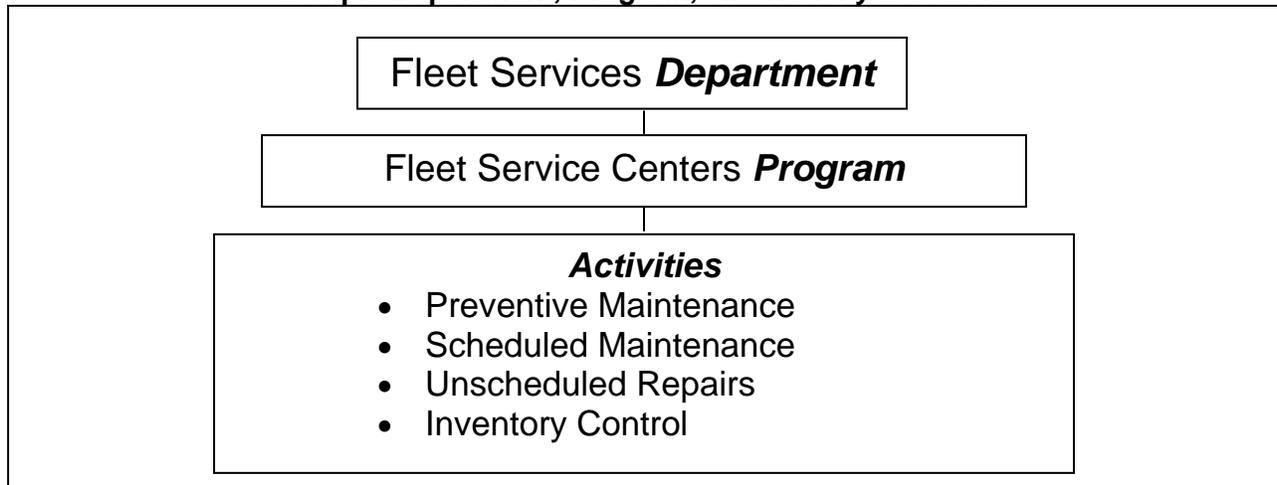
When auditors do not have needed data for assessing risk, prudent professional practice is that we assess risk at 50% probability of problems existing (misstated financials, poor performance,

etc.) and an equal 50% probability that there are no problems. For the purposes of this assessment, a risk rating of 3 on the scale of 1 to 5 was given to each of the four factors where data was not available.

The scope of 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) are based on FY 05 data, while the data used for the performance trend factor in the planning and performance group spanned FY 99 through FY 05, 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. An example of the organizational levels of a department, program, and activities is shown in Exhibit 2. Overall, we assessed 181 activities in Year Three Departments on each of 30 risk factors in seven risk factor groups. In instances when data at the activity level was unavailable, department level data was obtained, rated, and then combined with available activity level data.

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



SOURCE: Sample program from the City’s FY 05 Budget.

We excluded some organizational units and some data from our analysis. The following organizational units have been excluded from the three-year risk assessment project:

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

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.

Transfers and Other Requirements and Expenditures and Revenue in AFS2 that did not tie to any specific activities were excluded from the final analysis because they exist as accounting conventions and not as units of City internal or external service delivery and sufficient information does not exist upon which to rate risk.

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 Three 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.

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

Our results are intended to show where there is a greater impact when problems 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 impact.

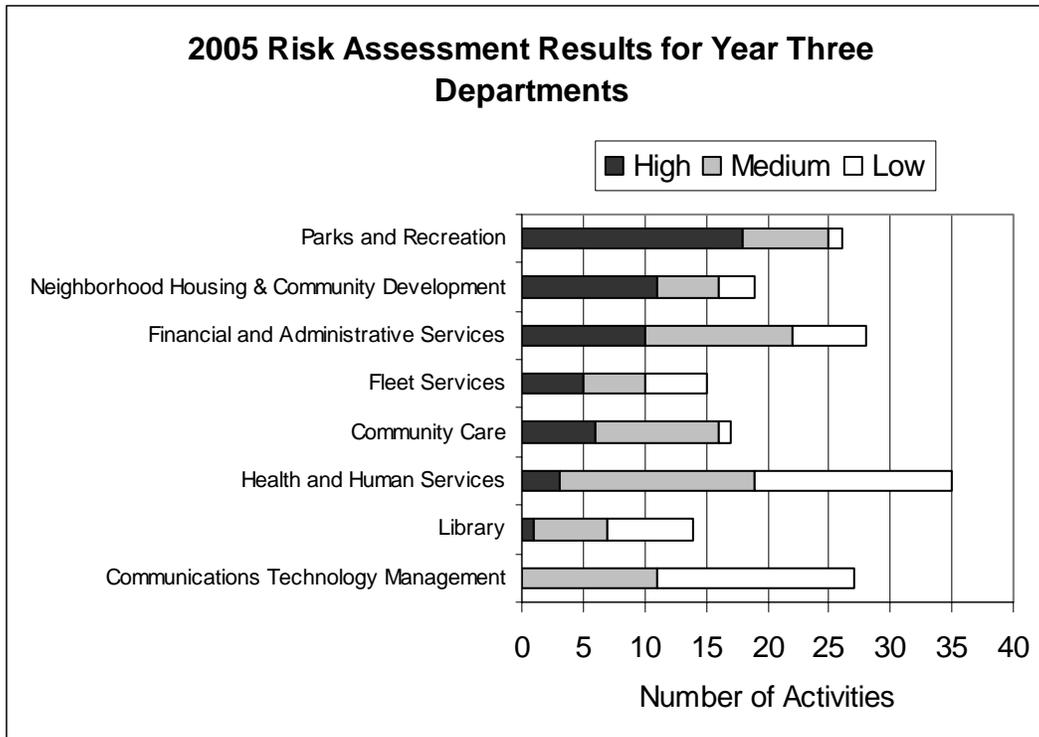
Review of the model and results used in the first year of this risk assessment was used to inform changes to the risk assessment model used for Year Two and Three Departments. From January through July 2005, we gathered and analyzed data for each of the factors, then prepared the information in report format. None of the proposed changes in departmental budgets for FY 2006 were available for inclusion in this analysis.

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 2005 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 Three Departments is shown in the exhibit below.

EXHIBIT 3
Activity Risk Levels by Department



SOURCE: OCA Analysis of 2005 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 management focus.

As shown in Exhibit 4, we found that most (40) of the (54) high risk activities were clustered in Parks and Recreation, Neighborhood Housing and Community Development, and Financial and Administrative Services. The remaining 14 high risk activities were spread among Community Care, Fleet Services, Health and Human Services, and Library. Communications Technology Management had no activities in the high risk group.

**EXHIBIT 4
Percent of Activities in Top 30% Risk Ranking By Department**

Dept	Number of Activities in Top 30% of Risk Rank	Total Activities	Percent of Activities in Top 30%
Parks and Recreation	19	26	73%
Neighborhood Housing & Community Development	11	19	58%
Financial and Administrative Services	10	28	36%
Community Care	6	17	35%
Fleet Services	5	15	33%
Health and Human Services	3	35	9%
Library	1	14	7%
Communications Technology Management	0	27	0%

SOURCE: OCA Analysis of 2005 Risk Assessment results.

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 5. These would logically warrant a higher level of additional attention by OCA, department management, or City management. (See Appendix B for a full list of Year Three activities in descending order by risk rating.)

EXHIBIT 5
Top 10% Risk Ranked Activities in Year Three Departments
(Those with Rank of 10) by Program

Community Care

- **Patient Care Support Services** – Pharmacy

Financial and Administrative Services

- **Budget Office** – C I P, Managing For Results
- **Building Services** – Security
- **Telecommunications and Regulatory Affairs** – Franchise Management

Fleet Services

- **Fleet Service Centers** – Preventive Maintenance, Unscheduled Repairs

Neighborhood Housing and Community Development

- **Housing Development** – Assisted Housing, First-time Home Buyer Services, Owner Occupied Services

Parks and Recreation Department

- **Community Recreation Services** – Community Recreation
- **Cultural Arts Services** – Museums
- **Facility Services** – Facility Maintenance, PARD Construction, Special Events
- **Public Safety** – Lake Patrol
- **Sports Management** – Athletics, Golf

SOURCE: OCA Analysis of 2005 Risk Assessment results.

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

Activities that ranked in the second and third top ten percent of risk ratings are shown in Exhibit 6. 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.

EXHIBIT 6
2nd and 3rd Highest Risk Ranked Activities in Year Three Departments
(Those with Rank of 8 & 9) by Program

Community Care

- **Clinic Based Care** – Adult and Pediatric Services, Dental Services
- **Indigent Health Managed Care** – MAP Contracted Service
- **Patient Care Support Services** – Billing and Collection Services, Client Services

Financial and Administrative Services

- **Building Services** – Custodial Services, Maintenance
- **Purchasing** – Procurement
- **Support Services** – Administration and Management, Facility Expense
- **Treasury** – Cash and Investment Management

Fleet Services

- **Fleet Service Centers** – Inventory Control
- **Support Services** – Information Technology Support
- **Vehicle Support Services** – Auction

Health and Human Services

- **Environmental and Consumer Health** – Health and Safety Code Compliance
- **Healthy Communities** – Austin Health Connection, Disease and Injury Prevention

Library

- **Support Services** – Facility Expense

Neighborhood Housing and Community Development

- **Community Development** – Commercial Revitalization, Neighborhood Revitalization, Public Facilities, Small Business Development
- **Grants Administration** – Compliance
- **Housing Development** – Lead Hazard Control, Rental Housing
- **Support Services** – General Administration

Parks and Recreation Department

- **Community Recreation Services** – Millennium Youth Entertainment Complex, Senior Services, Summer Programs
- **Cultural Arts Services** – Art Centers Services
- **Facility Services** – Park Maintenance
- **Natural Resources** – Environmental Education, Horticulture
- **Public Safety** – Parks and Facility Patrol
- **Sports Management** – Aquatics
- **Support Services** – Administration and Management, PIO/Community Services

SOURCE: OCA Analysis of 2005 Risk Assessment results.

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

We also noted areas with low risk ratings. As Exhibit 7 shows, Communication Technology Management, the Library, Health and Human Services, and Fleet Services all had at least one-third of their activities in the low risk group. The exhibit also shows that departments that were cited earlier with high-risk activities also had some activities in the low risk category. The activities with the lowest overall risk ratings are identified in Exhibit 8. These include activities that ranked 1, 2, or 3 on a scale of 1 to 10, representing the lowest 30 percent rank.

**EXHIBIT 7
Percentage of Activities in Lowest 30% Risk Ranking By Department**

Department	Activities in Bottom 30% of Risk Rank	Total Activities	Percent of Activities In Bottom 30%
Communications Technology Management	16	27	59%
Library	6	14	43%
Health and Human Services	16	35	46%
Fleet Services	5	15	33%
Financial and Administrative Services	6	28	21%
Neighborhood Housing and Community Development	3	19	16%
Community Care	1	17	6%
Parks and Recreation	0	26	0%

SOURCE: OCA analysis of 2005 Risk Assessment results.

Activities that were not in the top or bottom 30% risk ranks 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, known control deficiencies that this risk assessment model is not designed to expose, or other input in OCA's service planning process. (See further discussion under the report section, Use of Risk Assessment Results on page 14.)

EXHIBIT 8
Lowest 30% Risk Ranked Activities in Year Three Departments
(Those with Rank of 1, 2, or 3) by Department and Program

Department	Program	Activity	Rank - 10ths
Communications and Technology Management	CTECC Facility	AFD LAN Support	2
		APD LAN Support	2
		CTECC IT Support	3
		CTECC Systems	2
		CTECC Facility Operations	2
	IT Operations	Data Center	2
		LAN Operations	2
		Voice Operations	3
		WAN Operations	2
		IT Projects and Development	Applications Support
	One Stop Shop	Land Use Review	3
	Program Management	Help Desk	2
		Training	1
	Wireless Operations	Installation Operations	2
	Wireless Operations Support	Inventory Management	1
		Operations Management	1
	Community Care	Support Services	PIO/Community Services
Financial and Administrative Services	Building Services	Electrical	3
		Heating, Ventilation & Cooling	2
		Safety	1
	Purchasing	Inventory Services	3
	Support Services	Financial Monitoring/Budgeting	3
	Telecommunications and Regulatory Affairs	Community Technology Initiatives	2
Fleet Services	Support Services	Administration and Management	3
	Vehicle Support Services	Fuel Management	2
		Make Ready	3
		Rental Pool	1
		Taxi	1
Health and Human Services	Animal Services	Animal Control	3
		No Kill Millennium	3
	Communicable Disease Prevention	Immunization	3
		STD Control	3
		Tuberculosis Elimination	3
	Healthy Communities	Family Health	1
		Public Health Nursing	2
Continued On Next Page			

EXHIBIT 8, continued
Lowest 30% Risk Ranked Activities in Year Three Departments
(Those with Rank of 1, 2, or 3) by Department and Program

Department	Program	Activity	Rank - 10ths
Health and Human Services (continued)	One Stop Shop	Commercial Building Plan Review	1
		One Time Inspection	1
	Social Services	Mental Health Services	3
	Support Services	Administration and Management	3
		Facility Expense	2
		Financial Monitoring/Budgeting	1
		Personnel/Training	1
		Vehicle/Equipment Maintenance	2
	Youth Services	Youth Development	3
	Library Department	Library Collection Services	Cataloging Support
Public Services		Reference Services	3
Support Services		Financial Monitoring/Budgeting	2
		PIO/Community Services	1
		Purchasing/M/WBE	1
		Vehicle/Equipment Maintenance	1
Neighborhood Housing and Community Development	Grants Administration	Planning	1
	Support Services	Personnel/Training	3
		Public Information and Marketing	1
Parks and Recreation Department	Support Services	Financial Monitoring/Budgeting	3

SOURCE: OCA Analysis of 2005 Risk Assessment results.

Some 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. These emerging issues include:

- **The City continues to face funding challenges related to managing the current budget after several years of reductions.**
 After three years of budget reductions, the City is now challenged to continue service delivery, both internal and external, while prioritizing the restoration of adequate funding to those departments that underwent severe cuts and funding newly surfaced unmet needs.
- **At the same time, customer satisfaction is decreasing and customer complaints are increasing as demand for services continues to exceed supply and work backlog grows.**
 The number of citizen complaints is increasing in many departments, and customer satisfaction is holding steady or declining. Because budget shortfalls have lowered

performance targets in some areas, meeting citizen needs may be more difficult even once resources are restored.

- **The City may confront consequences of lost institutional knowledge due to long-term employees leaving the City.**

Although turnover appears to be low Citywide, the people who are leaving the City tend to be in higher-level positions with a long tenure of City employment. The departure of so many long-term, high-level employees points to a need for strong succession planning in the City and emphasis on documenting procedures as less experienced staff take on broader responsibilities.

- **Increasing need for infrastructure maintenance is evident in the high risk activities.**

Prior to the downturn, the City had been building new infrastructure rather than maintaining existing infrastructure. Both were affected by the downturn. Now that the City is at a point to restore some degree of infrastructure funding, pressure to build rather than maintain could place existing assets at extremely high risk of further deterioration.

- **Monitoring and enforcement services are also overrepresented in the high risk group.**

These are services that typically lose rigor when deep budget cuts are required. Without strong monitoring and enforcement the City is at risk of not receiving the quality or quantity of goods and services contracted for. Uneven enforcement of City code provisions leads to a general decline in voluntary compliance, making enforcement a more difficult and drawn out procedure.

- **Implementation of technology projects to improve efficiencies may need monitoring to ensure technology is meeting needs.**

During this assessment we noted several areas where technology projects are being used to improve efficiencies, especially in areas with reductions in staff. As these technology projects are implemented, it will be important to confirm that systems are providing the information needed and that systems are developed to support business processes.

In addition to these issues, further study of the risk assessment results may reveal other cross-cutting issues that will also be considered as appropriate for inclusion in OCA's 2006 and future service 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 planning 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 service 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 service plan development is already underway and a proposed plan for calendar year 2006 will be presented to the Council Audit and Finance Committee 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 2005 Risk Assessment is made up of the activities in eight City Departments. Departments were divided by business area according to the City of Austin Organizational chart. One-third of the City has been assessed each year for three years under this model, according to the following table.

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

Abbr. Name	Department (or Organizational Unit) Name	Risk Assessment Year 1,2,3
EGRSO	Economic Growth and Redevelopment Services Office	1
NPZD	Neighborhood Planning and Zoning	1
TPSD	Transportation, Planning and Sustainability (Dissolved in FY 04)	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
Agenda	Agenda Office (as part of Management Services)	2
AWU	Austin Water Utility	2
GovRel	Government Relations Office (as part of Management Services)	2
HRD	Human Resources Department	2
Mgmt Svcs	Management Services	2
Clerk	Office of the City Clerk	2
PIO	Public Information Office	2
PW	Public Works Department	2
SMBR	Small and Minority Business Resources	2
SWS	Solid Waste Services	2
CTM	Communications and Technology Management	3
CCD	Community Care Department	3
FASD	Financial and Administrative Services	3
Fleet	Fleet Services	3
HHSD	Health and Human Services	3
Library	Library Department	3
NHCD	Neighborhood Housing & Community Development	3
PARD	Parks and Recreation Department	3
Wireless	Wireless Communications Services (subsumed by CTM in FY05)	3
AE*	Austin Energy	n/a
Council*	Mayor and Council	n/a
OCA*	Office of the City Auditor	n/a

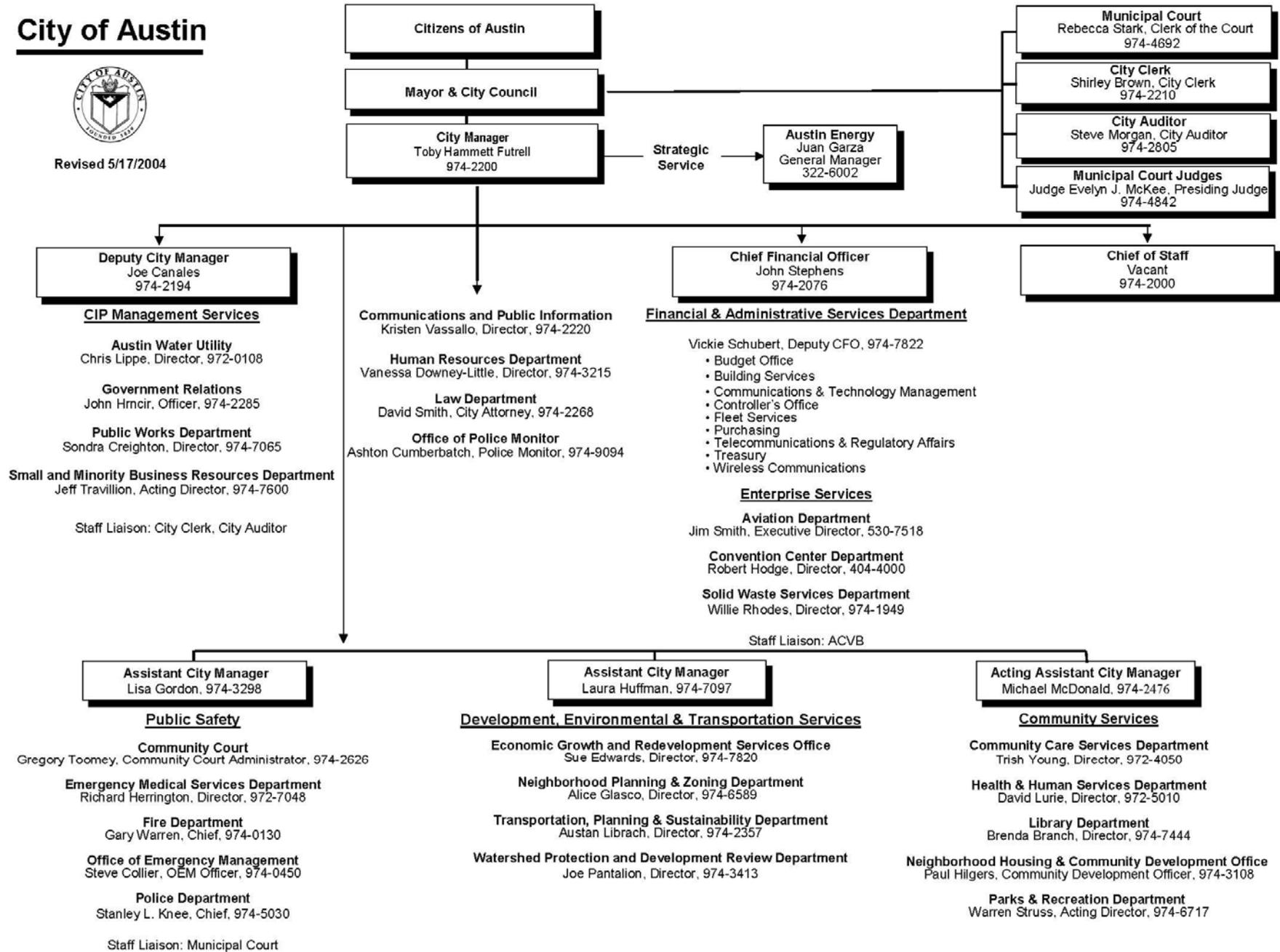
SOURCE: OCA summary of audit universe.

*NOTE: Austin Energy is excluded from the Citywide Risk Assessment because OCA has an ongoing audit presence at Austin Energy that conducts ongoing risk assessment. OCA and Mayor and Council are excluded because OCA is not independent of either itself or Mayor and Council.

City of Austin



Revised 5/17/2004



For an enlarged copy of this chart please call the Public Information Office, 974-2220

Summary of Risk Assessment Model

Audit Universe:

Operational departments, programs, and activities were identified from the budget document, financial system, and City organizational chart. They were then grouped by Assistant City Manager in order to make the risk assessment more relevant to how City Management organizes City business areas.

Scope:

The scope of our work includes both historical and current data. For factors involving business plan and budget review, we reviewed documents dating back to fiscal year 2001. For other factors, we used data for the current fiscal year (2005) and prior fiscal year (2004).

Risk Factor Groups & Relative Weights:

Risk factors in this model emphasize inherent risks, although some factors are indicators of both inherent risk and control risk (e.g., Worker’s compensation claims, Listening to the Workforce scores, or performance trends). Whenever possible, data at the activity level was used for our analysis. Data was available at or attributable to the activity level for twenty of the thirty risk factors. The remaining ten factors, which used only department level data, are shown in italics in the chart of factors and groups below.

Size & Complexity Risk <ul style="list-style-type: none"> ▪ Budgeted Expenditures ▪ Full-time equivalents (FTEs) ▪ <i>Number of sites</i> 	<ul style="list-style-type: none"> ▪ Diversity of services ▪ Contract expenditures ▪ <i>Revenues</i> 	16%
Change Risk <ul style="list-style-type: none"> ▪ Budget trend ▪ FTE trend ▪ Change dynamics in business plans 	<ul style="list-style-type: none"> ▪ <i>Turnover and years of service lost</i> ▪ Change in expenditures ▪ Change in revenue 	18%
Planning & Performance Risk <ul style="list-style-type: none"> ▪ Variance in budget to actual expenditures ▪ Performance trends 	<ul style="list-style-type: none"> ▪ <i>Workforce survey satisfaction rating</i> ▪ Overtime expenditures 	20%
Public Concern & Perception Risk <ul style="list-style-type: none"> ▪ Citizen complaints ▪ <i>Legal claims & suits filed</i> 	<ul style="list-style-type: none"> ▪ Survey of Council and CMO 	11%
Safety & Liability Risk <ul style="list-style-type: none"> ▪ Workers compensation claims ▪ <i>Legal claims and suits paid</i> 	<ul style="list-style-type: none"> ▪ <i>Workforce survey safety rating</i> 	9%
Ethics Risk <ul style="list-style-type: none"> ▪ Investigator ratings of ethics risks ▪ <i>Workforce survey ethics rating</i> 	<ul style="list-style-type: none"> ▪ Commodity expenditures ▪ Extent and amount of cash handling 	14%
Mitigating Factors <ul style="list-style-type: none"> ▪ Independent oversight by outside agencies ▪ OCA audits 	<ul style="list-style-type: none"> ▪ Other internal and external audit coverage ▪ Management initiatives 	12%

Risk Factor Weights:

The following table shows the individual risk factors used in the 2005 risk assessment along with the relative weights for each factor.

OCA 2005 Risk Assessment - Risk Factors & Relative Weights

#	Risk Group and Factor Names	Number of Factors	Weight	Total Weight
1	Size and Complexity	6		16
1.1	Expenditures (FY05)		3	
1.2	FTEs (FY05)		3	
1.3	Number of sites		2	
1.4	Diversity of services rating		3	
1.6	Contract expenditures - % of total (FY04)		3	
1.7	Revenues (FY04)		2	
2	Change	6		18
2.1	Business plan change dynamics rating		7	
2.2	Budget trend (FY03 - FY05)		2	
2.3	FTE trend (FY03 - FY05)		2	
2.4	Employee turnover (FY04)		4	
2.5	Years of service lost (FY04)		1	
2.6	Revenue Trend (FY03 - FY04)		2	
3	Planning and Performance	4		20
3.1	Expenditure variance from budget (FY04)		3	
3.2	Performance results and trends rating		10	
3.3	Employee satisfaction in Workforce survey (04)		3	
3.4	Overtime expenditures - % of salaries (FY04)		4	
4	Public Concern	3		11
4.1	Citizen complaints (FY04)		4	
4.2	Council/CMO survey		5	
4.3	Legal claims & suits filed (FY04)		2	
5	Safety and Liability	3		9
5.1	Worker's compensation claims (FY04)		4	
5.2	Legal Claims & Suits Paid (FY04)		2	
5.3	Safety responses in Workforce survey (04)		3	
6	Ethics	4		14
6.1	Investigator ratings		4	
6.2	Ethics responses in Workforce survey (04)		3	
6.3	Commodity expenditures - % of total (FY04)		4	
6.4	Cash handling rating		3	
7	Mitigating Factors	4		12
7.1	Independent oversight		2	
7.2	OCA audits (FY01-05)		4	
7.3	Internal and external audits (FY01-05)		2	
7.4	Management focus rating		4	
	TOTAL # of factors & total weight	30		100

SOURCE: OCA Summary of 2005 Risk Assessment Risk Factors.

Final Scale for Risk Factor Groups

Each individual risk factor was rated on a scale of 1 to 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 five.

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

Risk Assessment Results: Rating Scales by Risk Group

Risk Group:	Size & Complexity	Change	Planning & Performance	Public Concern	Safety & Liability	Ethics	Mitigating Factors	Overall Risk Rating
Top of Range	4.1	3.6	3.4	3.6	3.8	3.9	4.3	3.27
Bottom of Range	2.6	2.4	2.2	1.2	2.0	2.2	3.2	2.15
Range Value	1.6	1.2	1.3	2.5	1.8	1.7	1.2	1.12
One Fifth	0.31	0.23	0.25	0.49	0.36	0.34	0.23	0.22
Range Cutoffs								
5 - High	4.1	3.6	3.4	3.6	3.8	3.9	4.3	3.27
4 - Med-High	3.8	3.3	3.2	3.1	3.4	3.6	4.1	3.04
3 - Medium	3.5	3.1	2.9	2.7	3.1	3.2	3.9	2.82
2 - Low-Med	3.2	2.9	2.7	2.2	2.7	2.9	3.6	2.60
1 - Low	2.9	2.6	2.4	1.7	2.4	2.6	3.4	2.37
Bottom	2.6	2.4	2.2	1.2	2.0	2.2	3.2	2.15

SOURCE: OCA analysis of Risk Assessment results.

Individual Risk Factor Descriptions, Rating Scales, and Rating Criteria

Risk Group 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, contract expenditures, and revenue.

1.1 Expenditures, FY 05

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

Rating Criteria: FY 05 Budgeted Expenditures per Activity

Risk	Low	Low-Med	Medium	Med-High	High
Rating	1	2	3	4	5
Activity Budget Range	\$0 - 50K	>\$50K - 250K	>\$250K - \$750K	>\$750K - \$1.5M	>\$1.5M

SOURCE: Data downloaded from CARMA.

1.2 Full-Time Employees (FTEs), FY 05

Rating Criteria: FY 05 Budgeted FTEs per Activity

Risk	Low	Low-Med	Medium	Med-High	High
Rating	1	2	3	4	5
Activity FTE Range	0	>0 – 2	>2 – 6	>6 – 15	>15

SOURCE: Data downloaded from CARMA.

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 defined as a permanent City facility where employees regularly report to work and conduct City business.

Rating Criteria: Number of Sites per Department in FY05

Risk	Low	Low-Med	Medium	Med-High	High
Rating	1	2	3	4	5
Number of Sites	1	2 - 4	5 - 9	10 - 19	20 or more

SOURCE: OCA analysis of COA Insurance Schedule.

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, its score was assigned the same as the department score, minus one (down to a minimum score of 1). If the activity was 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: Diversity of FY05 Department Services

Risk Rating	Low 1	Low-Med 2	Medium 3	Med-High 4	High 5
Service Diversity	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: Ratings were assigned using information from FY05 approved budget, FY05 business planning documents, and institutional knowledge of the OCA rater.

1.5 Number of Grants (used in Year One of the Risk Assessment, but not in Year Two or Three.)

The greater the number of grants to manage, the more performance and reporting requirements there are to meet, thus the greater the risk to the organization.

1.6 Contract Expenditures

The greater the number of and size of contracts used by departments to perform services, the greater the risk associated with ensuring contract performance. Contract risk was assessed by rating the FY 04 contract expenditures as a percentage of total expenditures for each activity.

Rating Criteria: FY 04 Contract Expenditures as a Percent of Total Activity Expenditures

Risk	Low	Low-Med	Medium	Med-High	High
Rating	1	2	3	4	5
$\frac{\text{Contract Expenditures}}{\text{Total Expenditures}}$	0% - 20%	>20% - 40%	>40% - 60%	>60% - 80%	>80%

SOURCE: OCA analysis of expenditures by Object Code downloaded from AFS2.

1.7 Revenue (added to the Risk Assessment Model in Year Two)

The amount of a department's revenue is an indicator of the size of the department. This is a particularly important indicator in those areas not dependent on General Fund money for their requirements and in those areas that must transfer a portion of revenues to another fund. Department revenues can also reflect one aspect of the complexity of operations. Additional processes are needed to determine amount and preparation of billings as well as collection procedures. Finally, when money changes hands (cash or otherwise) stronger controls are needed to prevent fraud or misuse.

Rating Criteria: FY 04 Departmental Revenue

Risk	Low	Low-Med	Medium	Med-High	High
Rating	1	2	3	4	5
Department Revenue Range	\$0	>\$0 - \$1M	>\$1M - \$10M	>\$10M - \$100M	>\$100M

SOURCE: OCA analysis of operating revenue by source from AFS2.

Risk Group 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 adjustments to new management, personnel, or work requirements.

Change risk factors include business plan change dynamics, budget trends, FTE trends, employee turnover, years of service lost, and revenue trends.

2.1 Business Plan Change Dynamics

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:

Low 1	Low-Med 2	Medium 3	Med-High 4	High 5
<p><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.</p>	<p>In between low and moderate change identified.</p>	<p><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.</p>	<p>In between moderate and high change identified.</p>	<p><u>Significant change</u> underway to core business services or to strategies supporting the organization's mission, goals or objectives. Change may be affecting major systems, services, strategies, staffing or organizational alignment. Maybe needed changes are not being made or existing change initiatives may not be successful.</p>

2.2 Budget Trend FY 03 – FY 05

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: FY 03 - FY 05 Percent Change In Budgeted Expenditures

Risk	Low	Low-Med	Medium	Med-High	High
Rating	1	2	3	4	5
Percentage Change in Budget (+ or -)	0% - 10%	>10% - 20%	>20% - 40%	>40% - 80%	>80%

SOURCE: OCA analysis of data obtained from CARMA download.

2.3 FTE Trend FY 03 – FY 05

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 for maintaining quality and continuity of service delivery.

Rating Criteria: FY 03 - FY 05 Percent Change In Budgeted FTEs

Risk	Low	Low-Med	Medium	Med-High	High
Rating	1	2	3	4	5
Percentage Change in FTEs (+ or -)	0% - 10%	>10% - 20%	>20% - 40%	>40% - 80%	>80%

SOURCE: OCA analysis of data obtained from CARMA download.

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

Employee turnover trends, especially if they are increasing or holding steady at high rates 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.

Rating Criteria: FY 04 Employees Leaving as a Percent of Total Department Employees

Risk	Low	Low-Med	Medium	Med-High	High
Rating	1	2	3	4	5
Turnover as a Percent of Total Department FTEs	0% - 5%	>5% - 10%	>10% - 15%	>15% - 20%	>20%

SOURCE: OCA analysis of data obtained from BANNER.

2.5 Years of Service Lost

Even in areas where the overall turnover rate is not high, risk of diminished quality of service exists where experienced, seasoned employees leave the organization. The longer an employee has been with an organization, the more institutional memory and skills are lost when that employee exits the organization. Therefore, risk ratings were assigned based on years of service lost.

Rating Criteria: FY 04 Average Years of Services Lost Per Department FTE

Risk	Low	Low-Med	Medium	Med-High	High
Rating	1	2	3	4	5
<u>Avg Years of Service Lost</u> Department FTEs	0 - .05	>.05 - .1	>.1 - .2	>.2 - .4	>.4

SOURCE: OCA analysis of data obtained from BANNER.

2.6 Revenue Trend FY 03 – FY 04

The degree of revenue change within a department can be an indicator of risk within an organization. The more change or fluctuation in an organization’s revenue, the more the organization is exposed to risk.

Rating Criteria: FY 03 - FY 04 Percent Change In Departmental Revenue

Risk	Low	Low-Med	Medium	Med-High	High
Rating	1	2	3	4	5
Percentage Change in Revenue (+ or -)	0% - 5%	>5% - 10%	>10% - 20%	>20% - 30%	>30%

SOURCE: OCA analysis of revenue by source downloaded from AFS2.

Risk Group 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 as a percent of salary expenditures.

3.1 Expenditure Variance from Budget

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: FY 04 Expenditure Variance, Planned vs. Actual Expenditures

Risk	Low	Low-Med	Medium	Med-High	High
Rating	1	2	3	4	5
Percentage Variance – Planned vs. Actual (+ or -)	0% - 5%	>5% - 10%	>10% - 15%	>15% - 25%	>25%

SOURCE: OCA analysis of data obtained from CARMA download.

3.2 Performance Results

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

Rating Criteria: Business Plan Change Dynamics

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

NOTE: “No info” relates to functions that are either newly created or newly moved from another department with insufficient information to rate, which were assigned a rating of 3. “No measurement” means performance measures were created and should have been reported but have not been reported.

3.3 Employee Satisfaction Rating

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: Percent of Positive Responses Regarding Employee Satisfaction

Risk	Low	Low-Med	Medium	Med-High	High
Rating	1	2	3	4	5
	Divided Into Fifths				
Percent Positive Responses Regarding Employee Satisfaction	80% - 88%	>73 - 80%	>65% - 73%	>58% - 65%	50% - 58%

SOURCE: Human Resources Department 2004 Listening to the Workforce survey results.

3.4 Overtime Expenditures

The ratio of overtime wages 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, impaired service quality, higher injury rates, or lower employee morale.

Rating Criteria: FY 04 Overtime Expenditures as a Percent of Activity Salaries

Risk	Low	Low-Med	Medium	Med-High	High
Rating	1	2	3	4	5
<u>Overtime Expenditures</u> All Salary Expenditures	0% - 1%	>1% - 5%	>5% - 10%	>10% - 20%	>20%

SOURCE: Analysis of expenditures by Object Code downloaded from AFS2.

Risk Group 4: Public Concern and 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 lawsuits 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: FY 04 Citizen Complaints Per Department FTE

Risk	Low	Low-Med	Medium	Med-High	High
Rating	1	2	3	4	5
Citizen Complaints Per Activity FTE	0-2	2-4	4-6	6-8	>8

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

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: FY 04 Citizen Complaints Per Department FTE

Risk	Low	Low-Med	Medium	Med-High	High
Rating	1	2	3	4	5
Number of respondents commenting on activity	0	0-1	1-3	3-4	4-7

SOURCE: OCA 2005 Council/CMO survey results.

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: FY 04 Claims and Suits Filed Per Department FTE

Risk	Low	Low-Med	Medium	Med-High	High
Rating	1	2	3	4	5
Claims and Suits Filed Per 100 Department FTEs	0	>0 - 5	>5 - 10	>10 - 20	>20

SOURCE: OCA analysis of City of Austin claims and litigation databases.

Risk Group 5: Safety and 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 workers compensation claims, legal claims, lawsuits 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 Workers Compensation Claims Paid

The number of workers compensation claims filed against the City is an indicator of both inherent risk and control risk. Departments with more claims could indicate greater inherent risk involved in the nature of the work performed than in those departments with less claims. 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: Number of Worker's Compensation Claims per Activity FTE

Risk	Low	Low-Med	Medium	Med-High	High
Rating	1	2	3	4	5
Workers Compensation Claims Per Activity FTE	0 - .05	>.05 - .10	>.10 - .25	>.25 - .50	>.50

SOURCE: OCA analysis of data from the City of Austin Worker's Compensation database.

5.2 Legal Claims and Suits Paid

The number of legal claims and lawsuits 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: FY 04 Claims and Suits Paid Per Department FTE

Risk	Low	Low-Med	Medium	Med-High	High
Rating	1	2	3	4	5
Claims and Suits Paid Per 100 Department FTEs	>\$0 - \$12	>\$12 - \$100	>\$100 - \$200	>\$200 - \$300	>\$300

SOURCE: OCA analysis of City of Austin claims and litigation databases.

5.3 Employee Safety Rating

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. Responses to the questions on safety in the City’s annual Listening to the Workforce Survey (LTW) are an indicator of the effectiveness of City efforts at controlling these risks.

Rating Criteria: Percent of Positive Responses Regarding Safety

Risk	Low	Low-Med	Medium	Med-High	High
Rating	1	2	3	4	5
	Divided Into Fifths				
Percent Positive Responses Regarding Employee Safety	83% - 88%	>77 – 83%	>72% - 77%	>66% - 72%	60%-66%

SOURCE: Human Resources Department 2004 Listening to the Workforce survey results.

Risk Group 6: Ethics

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 investigator ratings, employee ethics, liquidity of assets, and cash handling.

6.1 Investigator Ratings

OCA investigators receive allegations of fraud, waste, and abuse (integrity violations) within the City. OCA 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. 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

Risk	Low	Low-Med	Med	Med-High	High
Rating	1	2	3	4	5
Risk of Integrity violations	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

SOURCE: OCA Survey of Investigators for 2005 Risk Assessment.

6.2 Employee Ethics Rating

In the 2004 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: Percent of Positive Responses Regarding Ethics

Risk	Low	Low-Med	Medium	Med-High	High
Rating	1	2	3	4	5
	Divided Into Fifths				
Percent Positive Responses Regarding Ethics	68% - 73%	>64 – 68%	>59% - 64%	>54% - 59%	50%-54%

SOURCE: Human Resources Department 2004 Listening to the Workforce survey results.

6.3 Liquidity of Assets

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

Rating Criteria: FY 04 Commodity Expenditures as a Percent of Activity Expenditures

Risk	Low	Low-Med	Medium	Med-High	High
Rating	1	2	3	4	5
$\frac{\text{Commodity Expenditures}}{\text{Total Activity Expenditures}}$	0% - 20%	>20% - 30%	>30% - 40%	>40% - 50%	>50%

SOURCE: Analysis of expenditures by Object Code downloaded from AFS2.

6.4 Cash handling

Cash handling examined both the dollar volume of cash handled and the number of cash handlers. The number of cash handlers and the average daily cash handled were analyzed together to assign a risk rating.

Rating Criteria: FY 05 Number of Cash Handlers and Amount of Cash Handled

Risk	Low	Low-Med	Medium	Med-High	High
Rating	1	2	3	4	5
Number of Cash Handlers	0	1 - 4	> 4 - 20	>20 - 40	>40
Avg Daily Cash Handled	$< \$500 = 3$ $\$500 - \$1000 = 4$ $> \$1000 = 5$				
Weighted Cash Handling Rating	0 - 3	> 3 - 20	> 20 - 80	> 80 - 200	> 200

SOURCE: Analysis of TARA Cash Handling database.

Group 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 by other auditors, and management focus.

7.1 Independent 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: Number of external entities providing oversight in 2005

Risk	Low	Low-Med	Medium	Med-High	High
Rating	1	2	3	4	5
Number of entities providing oversight	3-19	-	1-3	-	0

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: Most recent audit by OCA

Risk	Low	Low-Med	Medium	Med-High	High
Rating	1	2	3	4	5
Full Audit in:	FY 05	FY 04	FY 03	FY 02	None since FY 01
Partial Audit in:	-	FY 05	FY 04	FY 03	FY 02

SOURCE: OCA Time Accounting System.

7.3 Internal & External Audits

Internal and external audit efforts by auditors other than OCA staff reduce risk in City operations and are also seen as mitigating factors.

Rating Criteria: Most recent audit conducted by other internal and external auditors

Risk	Low	Low-Med	Medium	Med-High	High
Rating	1	2	3	4	5
Full Review through an Internal or External Audit:	Annually OR in FY 05	FY 04	FY 03	FY 02	None since FY 01
Partial Review:	-	FY 05	FY 04	FY 03	FY 02

SOURCE: OCA Time Accounting System.

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, or cross-functional. 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

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

SOURCES: Ratings were assigned using information from FY04 to FY06 business planning documents, FY03 to FY05 approved budget documents, an institutional knowledge of the OCA rater.

APPENDIX B
OVERALL RISK RATINGS FOR YEAR TWO DEPARTMENTS AND
ACTIVITIES IN DESCENDING ORDER BY RISK RANK

**OCA 2005 Risk Assessment
Departmental Risk Ratings In Descending Order For Year Three Departments**

<u>RiskGroup #</u>	<u>1</u>	<u>2</u>	<u>3</u>	<u>4</u>	<u>5</u>	<u>6</u>	<u>7</u>	<u>All</u>
Total Weight	16	18	20	11	9	14	12	100

Department	Risk Group Name	Size / Complexity	Change	Planning / Performance	Public Concern	Safety / Liability	Ethics	Mitigating Factors	Weighted Avg-All Factors
									RISK RATINGS
Parks and Recreation		3.8	3.1	2.7	3.0	3.2	3.4	4.0	3.26
Community Care		3.5	3.6	3.0	2.5	2.4	3.9	3.3	3.24
Neighborhood Housing & Community Development		2.6	2.6	3.4	3.6	3.8	2.7	3.7	3.11
Financial and Administrative Services		4.1	3.3	2.2	2.5	2.0	2.7	4.0	2.99
Fleet Services		3.1	2.6	2.3	1.2	3.2	3.9	4.3	2.91
Health and Human Services		3.7	2.9	2.2	2.5	2.9	2.4	3.2	2.80
Library		2.9	2.8	2.2	1.6	2.4	2.9	3.3	2.62
Communications and Technology Management		3.4	2.4	2.6	1.5	2.3	2.2	3.5	2.60

**OCA 2005 Risk Assessment
Overall Risk Ratings In Descending Order For Year Three Activities**

<u>RiskGroup #</u>	<u>1</u>	<u>2</u>	<u>3</u>	<u>4</u>	<u>5</u>	<u>6</u>	<u>7</u>	<u>All</u>
Department Level Factors Weight	4	7	3	2	5	3	0	24
Activity Level Factors Weight	12	11	17	9	4	11	12	76
Total Weight	16	18	20	11	9	14	12	100

Department	Program	Activity	Risk Group Name	Size / Complexity	Change	Planning / Performance	Public Concern	Safety / Liability	Ethics	Mitigating Factors	Weighted Avg-Activity Factors	Weighted Avg-All Factors	RANK - 10ths
RISK RATINGS													
Fleet Services	Fleet Service Centers	Preventive Maintenance		3.5	3.3	4.1	1.0	3.0	2.6	5.0	3.38	3.27	10
Fleet Services	Fleet Service Centers	Unscheduled Repairs		3.5	3.3	3.3	1.0	5.0	2.8	5.0	3.34	3.24	10
Parks and Recreation D	Facility Services	Facility Maintenance		3.8	3.1	3.2	1.6	2.0	2.6	4.7	3.16	3.18	10
Neighborhood Housing	Housing Development	Owner Occupied Services		3.8	4.0	3.7	1.6	1.0	1.7	4.5	3.20	3.18	10
Parks and Recreation D	Public Safety	Lake Patrol		2.8	4.1	4.5	1.4	1.0	1.7	4.0	3.14	3.17	10
Financial and Administr	Telecom and Regulatory Affairs	Franchise Management		3.0	4.3	3.5	2.1	1.0	2.1	4.7	3.22	3.17	10
Parks and Recreation D	Sports Management	Athletics		3.8	3.3	2.6	2.1	3.0	2.4	4.7	3.13	3.16	10
Neighborhood Housing	Housing Development	First-time Home Buyer Services		3.8	2.6	4.1	2.1	1.0	1.7	4.7	3.17	3.16	10
Parks and Recreation D	Community Recreation Services	Community Recreation		3.8	3.3	2.9	1.6	3.0	2.9	4.0	3.12	3.15	10
Parks and Recreation D	Facility Services	Special Events		2.8	3.8	3.4	1.6	1.0	2.5	4.7	3.08	3.12	10
Financial and Administr	Budget Office	CIP		2.8	5.0	3.5	1.0	1.0	2.5	4.3	3.16	3.12	10
Parks and Recreation D	Cultural Arts Services	Museums		3.8	4.6	2.9	1.0	3.0	2.1	3.7	3.07	3.11	10
Parks and Recreation D	Sports Management	Golf		4.0	3.3	2.5	1.0	3.0	2.6	4.7	3.07	3.11	10
Community Care Depar	Patient Care Support Services	Pharmacy		3.5	2.5	2.6	2.1	3.0	3.9	3.7	3.04	3.09	10
Parks and Recreation D	Facility Services	PARD Construction		3.0	3.5	3.3	1.0	3.0	2.1	4.7	3.03	3.08	10
Financial and Administr	Building Services	Security		3.3	5.0	3.1	1.0	1.0	2.1	4.3	3.09	3.07	10
Financial and Administr	Budget Office	Managing for Results		2.3	5.0	3.5	1.0	1.0	1.7	5.0	3.08	3.06	10
Neighborhood Housing	Housing Development	Assisted Housing		2.8	4.2	3.4	2.0	1.0	1.7	4.5	3.04	3.06	10
Parks and Recreation D	Community Recreation Services	Millennium Youth Complex		3.5	3.2	3.6	1.0	1.0	2.1	4.3	2.99	3.05	9
Financial and Administr	Support Services	Facility Expense		4.0	4.0	3.4	1.0	1.0	1.7	4.3	3.07	3.05	9
Parks and Recreation D	Public Safety	Parks and Facility Patrol		3.8	3.1	3.0	1.0	4.0	2.1	4.0	2.97	3.04	9
Financial and Administr	Building Services	Custodial Services		4.0	3.9	2.2	1.6	3.0	2.0	4.7	3.05	3.04	9
Financial and Administr	Treasury	Investment Management		2.8	4.5	3.9	1.0	1.0	1.7	4.3	3.05	3.04	9
Parks and Recreation D	Facility Services	Park Maintenance		3.8	2.9	2.4	2.1	3.0	2.1	4.3	2.95	3.02	9
Parks and Recreation D	Support Services	Administration and Management		3.0	3.5	3.1	2.6	1.0	2.0	4.0	2.95	3.02	9
Fleet Services	Fleet Service Centers	Inventory Control		3.3	3.1	2.8	1.0	4.0	2.5	5.0	3.05	3.02	9
Parks and Recreation D	Community Recreation Services	Senior Services		3.8	2.5	2.8	1.6	2.0	2.6	4.3	2.92	3.00	9
Neighborhood Housing	Community Development	Commercial Revitalization		3.3	4.0	3.5	1.6	1.0	2.1	3.5	2.96	3.00	9
Neighborhood Housing	Support Services	General Administration		3.8	3.5	2.8	1.6	1.0	2.5	4.2	2.96	3.00	9
Financial and Administr	Support Services	Administration and Management		3.8	3.3	1.9	1.6	3.0	2.5	5.0	2.99	2.99	9
Neighborhood Housing	Community Development	Small Business Development		2.8	3.2	3.4	1.6	1.0	2.5	4.5	2.95	2.99	9

**OCA 2005 Risk Assessment
Overall Risk Ratings In Descending Order For Year Three Activities**

<u>RiskGroup #</u>	<u>1</u>	<u>2</u>	<u>3</u>	<u>4</u>	<u>5</u>	<u>6</u>	<u>7</u>	<u>All</u>
Department Level Factors Weight	4	7	3	2	5	3	0	24
Activity Level Factors Weight	12	11	17	9	4	11	12	76
Total Weight	16	18	20	11	9	14	12	100

Department	Program	Activity	Risk Group Name	Size / Complexity	Change	Planning / Performance	Public Concern	Safety / Liability	Ethics	Mitigating Factors	Weighted Avg-Activity Factors	Weighted Avg-All Factors	RANK - 10ths
Parks and Recreation D	Natural Resources	Environmental Education		3.3	2.6	2.9	1.0	3.0	2.3	4.7	2.89	2.98	9
Neighborhood Housing	Housing Development	Lead Hazard Control		2.5	4.0	3.4	1.0	1.0	1.7	5.0	2.93	2.98	9
Parks and Recreation D	Community Recreation Services	Summer Programs		2.5	3.6	2.8	1.6	1.0	2.5	4.7	2.87	2.96	9
Financial and Administr	Building Services	Maintenance		4.0	3.9	1.6	1.6	4.0	2.1	4.3	2.93	2.95	9
Neighborhood Housing	Community Development	Public Facilities		2.8	3.2	3.4	1.6	1.0	2.1	4.5	2.89	2.95	9
Neighborhood Housing	Community Development	Neighborhood Revitalization		3.3	2.6	3.3	1.6	1.0	2.1	4.5	2.88	2.94	9
Community Care Depart	Clinic Based Care	Adult and Pediatric Services		3.5	3.0	2.4	2.1	1.0	2.9	3.7	2.83	2.93	8
Fleet Services	Support Services	Information Technology Support		2.8	3.9	2.9	1.0	1.0	2.1	5.0	2.92	2.92	8
Health and Human Serv	Healthy Communities	Austin Health Connection		2.0	4.4	2.9	1.6	5.0	2.6	3.3	2.95	2.91	8
Financial and Administr	Purchasing	Procurement		3.8	3.5	2.4	1.0	1.0	2.7	4.3	2.88	2.91	8
Fleet Services	Vehicle Support Services	Auction		3.0	1.4	4.1	1.0	1.0	2.5	5.0	2.89	2.90	8
Community Care Depart	Patient Care Support Services	Client Services		3.3	3.7	2.2	2.7	1.0	2.1	3.7	2.79	2.90	8
Health and Human Serv	Healthy Communities	Disease and Injury Prevention		4.0	3.2	2.8	1.6	3.0	1.7	3.8	2.91	2.88	8
Parks and Recreation D	Cultural Arts Services	Art Centers Services		3.3	2.5	1.9	1.0	4.0	2.6	4.7	2.75	2.87	8
Health and Human Serv	Environmental & Consumer Health	Health and safety Code Compliance		3.8	3.1	2.8	2.1	3.0	2.1	3.3	2.89	2.87	8
Parks and Recreation D	Natural Resources	Horticultural		3.0	4.3	2.2	1.0	4.0	1.7	3.7	2.74	2.86	8
Parks and Recreation D	Support Services	PIO/Community Services		2.8	3.7	2.9	1.0	1.0	1.7	4.3	2.72	2.85	8
Community Care Depart	Indigent Health Managed Care	MAP Contracted Services		3.3	3.7	2.2	2.1	1.0	2.1	3.7	2.72	2.85	8
Community Care Depart	Patient Care Support Services	Billing and Collections		2.8	3.0	3.1	1.0	1.0	2.1	4.3	2.72	2.85	8
Neighborhood Housing	Housing Development	Rental Housing		3.5	3.8	2.2	2.1	1.0	1.7	3.8	2.75	2.84	8
Parks and Recreation D	Sports Management	Aquatics		3.8	2.3	1.6	1.0	5.0	2.0	4.7	2.68	2.82	8
Library Department	Support Services	Facility Expense		3.5	3.9	2.9	1.0	4.0	1.4	3.7	2.88	2.82	8
Community Care Depart	Clinic Based Care	Dental Services		3.5	2.5	2.4	1.0	3.0	2.6	3.7	2.67	2.81	8
Neighborhood Housing	Grants Administration	Compliance		3.0	4.4	2.8	1.6	1.0	1.7	3.2	2.71	2.81	8
Neighborhood Housing	Grants Administration	Policy Development		2.3	2.1	3.4	2.7	1.0	1.7	4.2	2.68	2.79	7
Library Department	Support Services	Personnel/Training		2.5	4.1	2.8	1.6	1.0	1.7	4.7	2.83	2.78	7
Community Care Depart	Patient Care Support Services	Health Information Management		3.3	2.5	2.9	1.6	1.0	2.1	3.7	2.63	2.78	7
Parks and Recreation D	Facility Services	Park Planning		3.3	2.3	2.8	1.0	1.0	2.1	4.3	2.62	2.77	7
Health and Human Serv	Social Services	Basic Needs Services		4.0	2.9	2.2	1.6	3.0	2.1	3.7	2.76	2.77	7
Financial and Administr	Controller's Office	Accounts Payable		3.0	3.5	2.9	1.0	1.0	2.1	3.7	2.70	2.77	7
Parks and Recreation D	Support Services	Purchasing/M/WBE		2.8	2.6	2.9	1.0	1.0	2.1	4.2	2.61	2.76	7

**OCA 2005 Risk Assessment
Overall Risk Ratings In Descending Order For Year Three Activities**

<u>RiskGroup #</u>	<u>1</u>	<u>2</u>	<u>3</u>	<u>4</u>	<u>5</u>	<u>6</u>	<u>7</u>	<u>All</u>
Department Level Factors Weight	4	7	3	2	5	3	0	24
Activity Level Factors Weight	12	11	17	9	4	11	12	76
Total Weight	16	18	20	11	9	14	12	100

Department	Program	Activity	Risk Group Name	Size / Complexity	Change	Planning / Performance	Public Concern	Safety / Liability	Ethics	Mitigating Factors	Weighted Avg-Activity Factors	Weighted Avg-All Factors	RANK - 10ths
Fleet Services	Support Services	Personnel/Training/Safety		2.8	1.0	3.9	1.0	1.0	2.5	4.7	2.71	2.76	7
Financial and Administr	Controller's Office	Accounting & Reporting		4.0	3.5	2.2	1.6	1.0	2.4	3.0	2.68	2.76	7
Financial and Administr	Support Services	Personnel/Training		3.0	2.5	3.4	1.0	1.0	1.7	4.3	2.68	2.76	7
Fleet Services	Support Services	Purchasing/M/WBE		2.3	2.3	3.4	1.0	1.0	2.1	5.0	2.70	2.75	7
Community Care Depar	Support Services	Administration and Management		3.0	2.3	2.4	2.7	1.0	2.1	3.7	2.58	2.74	7
Parks and Recreation D	Support Services	Personnel/Training		3.3	1.6	2.9	1.0	1.0	1.7	4.7	2.57	2.73	7
Library Department	Library Collection Services	Collection Support		3.0	2.5	2.8	1.0	2.0	3.2	4.0	2.76	2.73	7
Community Care Depar	Support Services	Financial Monitoring/Budgeting		2.5	3.0	2.9	1.0	1.0	2.4	3.7	2.57	2.73	7
Health and Human Serv	Support Services	Information Technology Support		3.3	3.7	2.2	1.0	1.0	1.7	4.7	2.70	2.72	7
Health and Human Serv	Animal Services	Shelter Services		3.8	1.0	2.2	1.6	5.0	3.0	3.7	2.68	2.71	7
Health and Human Serv	Social Services	Homeless Services		3.5	3.6	2.2	1.6	1.0	1.7	4.0	2.68	2.71	7
Financial and Administr	Telecom and Regulatory Affairs	Financial Management Services		3.0	3.0	2.4	1.0	1.0	2.6	4.0	2.62	2.71	6
Neighborhood Housing	Support Services	Information Technology Support		2.5	3.4	2.8	1.0	1.0	2.1	3.8	2.58	2.71	6
Fleet Services	Support Services	Financial Monitoring/Budgeting		3.0	2.5	2.9	1.0	1.0	2.1	4.3	2.63	2.70	6
Community Care Depar	Hospital-Based Care	Hospital Services		1.5	3.7	2.9	1.0	1.0	1.7	4.3	2.53	2.70	6
Financial and Administr	Controller's Office	Payroll		3.5	3.9	2.2	1.0	1.0	2.1	3.3	2.61	2.70	6
Parks and Recreation D	Support Services	Information Technology Support		2.5	2.9	2.2	1.0	1.0	1.7	5.0	2.51	2.69	6
Health and Human Serv	Communicable Disease Prevention	Disease Surveillance		3.3	3.3	2.8	1.0	1.0	2.1	3.7	2.66	2.69	6
Health and Human Serv	Youth Services	Youth Employment		2.8	2.6	2.4	1.0	5.0	1.7	4.3	2.66	2.69	6
Community Care Depar	Patient Care Support Services	Quality Management		2.3	2.6	2.4	2.7	1.0	2.1	3.7	2.51	2.69	6
Community Care Depar	Support Services	Purchasing/M/WBE		2.3	3.2	2.9	1.0	1.0	2.1	3.7	2.51	2.69	6
Communications and T	GATTN / COA Networks	Development		3.5	3.7	2.5	1.0	1.0	1.7	4.0	2.71	2.68	6
Health and Human Serv	Social Services	Workforce Development Services		3.5	2.9	2.8	1.0	1.0	1.7	4.0	2.64	2.68	6
Financial and Administr	Budget Office	Annual Budget		3.0	3.7	1.0	2.7	1.0	2.4	4.0	2.58	2.68	6
Communications and T	GATTN / COA Networks	GAATN		3.8	3.4	2.8	1.0	1.0	1.7	3.7	2.70	2.67	6
Health and Human Serv	Environmental & Consumer Health	Information and Referral		3.0	3.1	2.8	1.0	1.0	2.4	3.7	2.63	2.67	6
Communications and T	IT Projects and Development	IT Projects		3.0	2.9	3.3	1.0	2.0	2.1	3.3	2.68	2.66	6
Parks and Recreation D	Natural Resources	Endangered Habitat Management		2.3	3.3	2.2	1.0	1.0	1.7	4.7	2.47	2.66	6
Health and Human Serv	Vital Records	Vital Records		3.0	2.1	2.9	1.0	3.0	2.6	3.3	2.62	2.66	6
Library Department	Public Services	Circulation		3.3	2.3	1.6	1.0	3.0	3.2	4.7	2.67	2.66	5
Financial and Administr	Support Services	Purchasing/M/WBE		2.8	2.6	2.5	1.6	1.0	2.1	4.0	2.55	2.66	5

**OCA 2005 Risk Assessment
Overall Risk Ratings In Descending Order For Year Three Activities**

<u>RiskGroup #</u>	<u>1</u>	<u>2</u>	<u>3</u>	<u>4</u>	<u>5</u>	<u>6</u>	<u>7</u>	<u>All</u>
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Department	Program	Activity	Risk Group Name	Size / Complexity	Change	Planning / Performance	Public Concern	Safety / Liability	Ethics	Mitigating Factors	Weighted Avg-Activity Factors	Weighted Avg-All Factors	RANK - 10ths
Health and Human Serv	Environmental & Consumer Health	Rodent/Vector Control		2.8	3.3	2.4	1.6	3.0	2.1	3.3	2.61	2.65	5
Health and Human Serv	Social Services	Child Care Services		3.3	2.9	2.8	1.0	1.0	2.1	3.7	2.61	2.65	5
Library Department	Public Services	Austin History Center		2.5	2.5	2.5	1.0	4.0	2.6	4.0	2.66	2.65	5
Communications and T	IT Projects and Development	IT Applications		3.5	1.8	3.3	1.0	1.0	2.1	4.0	2.66	2.64	5
Communications and T	Security	Security		2.5	3.5	2.7	1.0	1.0	2.1	4.3	2.66	2.64	5
Parks and Recreation D	One Stop Shop	Land Use Review		2.0	3.7	2.2	1.0	1.0	1.7	4.3	2.45	2.64	5
Health and Human Serv	Social Services	Violence & Victimization Services		3.0	3.1	2.8	1.0	1.0	1.7	4.0	2.59	2.64	5
Fleet Services	Support Services	Facility Expense		2.0	2.1	3.5	1.0	1.0	1.4	5.0	2.55	2.64	5
Community Care Depar	Support Services	Facility Expense		3.0	3.4	2.2	1.0	1.0	1.7	3.7	2.45	2.64	5
Communications and T	Program Management	Program Support		3.3	4.4	2.4	1.0	1.0	1.7	3.5	2.64	2.63	5
Parks and Recreation D	Support Services	Financial Monitoring/Budgeting		3.0	2.5	2.5	1.6	1.0	2.1	3.2	2.43	2.63	5
Health and Human Serv	Social Services	Substance Abuse Services		2.8	3.3	2.8	1.0	1.0	1.7	4.0	2.58	2.63	5
Library Department	Support Services	Administration and Management		2.5	2.8	2.2	2.1	3.0	2.1	4.0	2.63	2.63	5
Library Department	Support Services	Information Technology Services		3.0	4.3	1.6	1.0	2.0	2.1	4.2	2.63	2.63	5
Fleet Services	Fleet Service Centers	Scheduled Maintenance		3.0	4.0	1.0	1.0	1.0	2.1	5.0	2.54	2.63	5
Community Care Depar	Support Services	Information Technology Support		2.5	3.0	2.7	1.0	1.0	1.7	3.7	2.43	2.63	5
Financial and Administr	Purchasing	Mail Services		3.3	3.9	1.0	1.0	3.0	1.7	4.3	2.51	2.63	5
Neighborhood Housing	Housing Development	S.M.A.R.T. Housing		3.0	3.3	1.0	2.7	1.0	2.1	4.0	2.47	2.63	4
Neighborhood Housing	Support Services	Facility Expense		2.3	2.3	2.9	1.0	1.0	1.7	4.5	2.47	2.63	4
Community Care Depar	Clinic Based Care	HIV Clinical Services		3.3	2.3	2.2	1.0	1.0	2.4	3.7	2.42	2.62	4
Community Care Depar	Support Services	Personnel/Training		2.5	2.3	2.9	1.0	1.0	2.1	3.7	2.42	2.62	4
Communications and T	IT Operations	Desktop Support Group		3.5	3.5	1.8	1.0	1.0	2.1	4.3	2.62	2.61	4
Health and Human Serv	Communicable Disease Prevention	HIV Outreach & Prevention		3.8	3.1	2.2	1.0	1.0	2.1	3.5	2.55	2.61	4
Financial and Administr	Support Services	Financial Monitoring/Budgeting		2.8	2.5	2.5	1.6	1.0	2.5	3.3	2.47	2.60	4
Neighborhood Housing	Support Services	Financial Monitoring/Budgeting		3.0	2.3	1.6	1.6	4.0	2.6	3.2	2.43	2.60	4
Communications and T	IT Projects and Development	GIS Services		3.5	4.4	1.6	1.0	1.0	1.7	4.0	2.59	2.59	4
Communications and T	Wireless Operations	Field Operations		4.0	3.5	2.0	1.0	1.0	1.7	3.7	2.59	2.59	4
Health and Human Serv	Communicable Disease Prevention	HIV Community Programs		3.8	2.9	2.2	1.0	1.0	2.1	3.5	2.53	2.59	4
Health and Human Serv	Social Services	Self Sufficiency Services		3.3	3.1	2.8	1.0	1.0	1.7	3.3	2.53	2.59	4
Library Department	Public Services	Youth Services		3.0	2.3	2.8	1.6	3.0	1.7	3.5	2.57	2.58	4
Communications and T	IT Operations	Enterprise Support Group		3.0	3.7	1.8	1.0	1.0	2.1	4.3	2.57	2.57	4

**OCA 2005 Risk Assessment
Overall Risk Ratings In Descending Order For Year Three Activities**

<u>RiskGroup #</u>	<u>1</u>	<u>2</u>	<u>3</u>	<u>4</u>	<u>5</u>	<u>6</u>	<u>7</u>	<u>All</u>
Department Level Factors Weight	4	7	3	2	5	3	0	24
Activity Level Factors Weight	12	11	17	9	4	11	12	76
Total Weight	16	18	20	11	9	14	12	100

Department	Program	Activity	Risk Group Name	Size / Complexity	Change	Planning / Performance	Public Concern	Safety / Liability	Ethics	Mitigating Factors	Weighted Avg-Activity Factors	Weighted Avg-All Factors	RANK - 10ths
Financial and Administr	Budget Office	Financial Monitoring and Evaluation		1.8	3.5	2.2	1.0	1.0	1.7	4.7	2.43	2.57	4
Financial and Administr	Support Services	Information Technology Support		3.0	3.5	1.0	1.0	1.0	2.5	4.3	2.42	2.56	4
Financial and Administr	Treasury	Debt Management		2.8	4.3	1.2	1.0	1.0	1.7	4.3	2.42	2.56	4
Communications and T	Wireless Operations	Shop Operations		3.5	1.4	3.0	1.0	1.0	2.5	3.7	2.53	2.54	4
Health and Human Serv	Animal Services	No Kill Millennium		3.3	1.8	1.6	1.6	4.0	2.5	3.7	2.46	2.54	3
Health and Human Serv	Youth Services	Youth Development		3.8	2.6	2.2	1.0	1.0	1.7	3.7	2.46	2.54	3
Health and Human Serv	Social Services	Mental Health Services		3.3	3.6	1.6	1.0	1.0	1.7	4.0	2.45	2.53	3
Library Department	Public Services	Reference Services		3.0	2.6	2.2	1.6	2.0	2.0	3.7	2.50	2.53	3
Health and Human Serv	Communicable Disease Prevention	STD Control		3.5	1.8	2.4	1.0	2.0	1.6	4.0	2.43	2.52	3
Health and Human Serv	Communicable Disease Prevention	Tuberculosis Elimination		3.5	1.8	2.8	1.0	1.0	1.4	4.0	2.43	2.52	3
Fleet Services	Support Services	Administration and Management		2.8	1.2	1.4	1.6	4.0	2.8	4.3	2.39	2.52	3
Fleet Services	Vehicle Support Services	Make Ready		2.3	1.2	3.1	1.0	1.0	2.1	4.3	2.38	2.51	3
Financial and Administr	Building Services	Electrical		3.0	2.9	1.4	1.0	3.0	2.1	3.7	2.36	2.51	3
Health and Human Serv	Communicable Disease Prevention	Immunization		3.5	2.9	1.6	1.0	2.0	1.7	3.8	2.41	2.50	3
Health and Human Serv	Support Services	Administration and Management		4.0	2.8	2.2	1.0	1.0	1.6	3.0	2.41	2.50	3
Financial and Administr	Purchasing	Inventory Services		3.0	1.9	1.0	1.0	4.0	2.4	4.3	2.33	2.49	3
Communications and T	CTECC Facility	CTECC IT Support		3.3	3.1	2.2	1.0	1.0	1.7	3.7	2.45	2.48	3
Communications and T	IT Operations	Voice Operations		3.3	2.2	2.8	1.0	1.0	1.7	3.7	2.45	2.48	3
Communications and T	One Stop Shop	Land Use Review		2.0	3.7	2.2	1.0	1.0	1.7	4.3	2.45	2.48	3
Neighborhood Housing	Support Services	Personnel/Training		2.3	2.5	2.2	1.0	1.0	1.7	4.2	2.28	2.48	3
Health and Human Serv	Animal Services	Animal Control		3.5	1.0	1.6	1.6	5.0	2.4	3.3	2.37	2.47	3
Library Department	Library Collection Services	Cataloging Support		2.8	2.6	2.4	1.0	1.0	1.7	4.0	2.39	2.45	2
Communications and T	CTECC Facility	APD LAN Support		3.5	2.5	2.2	1.0	1.0	1.7	3.7	2.39	2.44	2
Communications and T	IT Operations	Data Center		4.0	1.5	2.4	1.0	1.0	1.7	3.7	2.39	2.44	2
Health and Human Serv	Healthy Communities	Public Health Nursing		3.0	2.8	1.8	1.0	2.0	1.7	3.7	2.33	2.44	2
Library Department	Support Services	Financial Monitoring/Budgeting		2.0	1.0	2.7	1.6	5.0	2.4	3.3	2.38	2.44	2
Community Care Depar	Support Services	PIO/Community Services		2.0	2.6	2.2	1.0	1.0	1.7	3.7	2.18	2.44	2
Health and Human Serv	Support Services	Facility Expense		3.3	1.9	2.4	1.0	1.0	1.7	3.7	2.32	2.43	2
Fleet Services	Vehicle Support Services	Fuel Management		3.0	1.9	1.2	1.0	1.0	3.2	4.0	2.28	2.43	2
Communications and T	IT Operations	LAN (Local Area Network) Operations		1.5	3.7	2.2	1.0	1.0	1.7	4.3	2.37	2.42	2
Communications and T	IT Operations	WAN Operations		3.8	1.5	1.8	1.0	4.0	1.7	3.7	2.37	2.42	2

**OCA 2005 Risk Assessment
Overall Risk Ratings In Descending Order For Year Three Activities**

<u>RiskGroup #</u>	<u>1</u>	<u>2</u>	<u>3</u>	<u>4</u>	<u>5</u>	<u>6</u>	<u>7</u>	<u>All</u>
Department Level Factors Weight	4	7	3	2	5	3	0	24
Activity Level Factors Weight	12	11	17	9	4	11	12	76
Total Weight	16	18	20	11	9	14	12	100

Department	Program	Activity	Risk Group Name	Size / Complexity	Change	Planning / Performance	Public Concern	Safety / Liability	Ethics	Mitigating Factors	Weighted Avg-Activity Factors	Weighted Avg-All Factors	RANK - 10ths
											RISK RATINGS		
Communications and T	Wireless Operations	Installation Operations		3.3	1.2	2.8	1.0	1.0	2.1	3.7	2.37	2.42	2
Health and Human Serv	Support Services	Vehicle/Equipment Maintenance		2.3	2.3	2.7	1.0	1.0	1.7	3.7	2.29	2.41	2
Financial and Administr	Telecom and Regulatory Affairs	Community Technology Initiatives		3.5	1.2	1.8	1.0	1.0	1.7	4.3	2.22	2.41	2
Communications and T	CTECC Facility	CTECC-Facility Operations		3.3	3.1	2.2	1.0	1.0	1.7	3.0	2.34	2.40	2
Financial and Administr	Building Services	Heating, Ventilation & Cooling		3.5	2.3	1.2	1.0	2.0	1.7	3.7	2.20	2.39	2
Communications and T	CTECC Facility	AFD LAN Support		2.5	2.5	2.5	1.0	1.0	1.7	3.7	2.32	2.38	2
Communications and T	CTECC Facility	CTECC Systems		3.8	3.1	2.2	1.0	1.0	1.7	2.3	2.32	2.38	2
Communications and T	IT Projects and Development	Applications Support		1.5	3.7	2.2	1.0	1.0	1.7	4.0	2.32	2.38	2
Communications and T	Program Management	Help Desk		3.0	4.3	1.0	1.0	1.0	1.7	3.7	2.32	2.38	2
Neighborhood Housing	Grants Administration	Planning		2.5	1.9	2.2	1.6	1.0	1.7	3.2	2.14	2.38	1
Health and Human Serv	Support Services	Financial Monitoring/Budgeting		3.5	2.0	1.8	1.0	2.0	2.1	3.0	2.24	2.37	1
Financial and Administr	Building Services	Safety		2.8	1.0	1.7	1.0	1.0	2.5	4.3	2.17	2.37	1
Financial and Administr	Internal Audit	Audits and Special Projects		1.5	2.3	2.2	1.0	1.0	1.7	4.3	2.16	2.36	1
Communications and T	Wireless Operations Support	Operations Management		3.5	2.3	2.0	1.0	1.0	1.7	3.3	2.28	2.35	1
Health and Human Serv	One Stop Shop	One Time Inspection		2.0	2.5	2.2	1.0	1.0	2.1	3.7	2.21	2.35	1
Health and Human Serv	One Stop Shop	Commercial Building Plan Review		2.3	2.5	2.2	1.0	1.0	1.7	3.7	2.20	2.34	1
Library Department	Support Services	PIO/Community Services		2.3	1.6	2.9	1.0	1.0	1.7	3.7	2.24	2.33	1
Health and Human Serv	Support Services	Personnel/Training		3.3	1.5	2.2	1.0	3.0	1.4	3.0	2.17	2.32	1
Fleet Services	Vehicle Support Services	Rental Pool		2.5	1.4	1.7	1.0	1.0	2.1	4.3	2.13	2.32	1
Neighborhood Housing	Support Services	Public Information & Marketing		2.3	2.1	2.2	1.0	1.0	1.7	3.2	2.07	2.32	1
Communications and T	Wireless Operations Support	Inventory Management		2.8	1.4	2.4	1.0	1.0	1.7	3.7	2.17	2.27	1
Library Department	Support Services	Purchasing/M/WBE		2.3	1.7	2.2	1.0	1.0	2.1	3.5	2.12	2.24	1
Communications and T	Program Management	Training		2.5	1.2	2.2	1.6	1.0	1.7	3.7	2.12	2.23	1
Health and Human Serv	Healthy Communities	Family Health		2.5	1.4	1.8	1.6	1.0	1.7	3.3	2.00	2.19	1
Fleet Services	Vehicle Support Services	Taxi		2.8	1.4	1.0	1.0	1.0	1.7	4.3	1.96	2.19	1
Library Department	Support Services	Vehicle/Equipment Maintenance		1.8	1.7	2.1	1.0	1.0	1.7	3.7	2.00	2.15	1

APPENDIX C
DETAILED RISK RATING RESULTS FOR YEAR TWO DEPARTMENTS

Department Sections:

1. Communications and Technology Management	51
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Each department section contains:

- Activity Results by Program
- Risk Factor Detail – Raw Data and Activity Ratings by Group
 - Size and Complexity Group
 - Change Group
 - Planning and Performance Group
 - Safety and Liability Group
 - Ethics Group
 - Mitigating Factors Group

APPENDIX C
RISK RATING RESULTS

Communications and Technology Management

**OCA 2005 Risk Assessment
Risk Group Ratings by Activity**

<u>RiskGroup #</u>	<u>1</u>	<u>2</u>	<u>3</u>	<u>4</u>	<u>5</u>	<u>6</u>	<u>7</u>	<u>All</u>
Department Level Factors Weight	4	7	3	2	5	3	0	24
Activity Level Factors Weight	12	11	17	9	4	11	12	76
Total Weight	16	18	20	11	9	14	12	100

Communications and Technology Management

Program	Risk Group Name	Activity	Size / Complexity	Change	Planning / Performance	Public Concern	Safety / Liability	Ethics	Mitigating Factors	Weighted Avg-Activity Factors	Weighted Avg-All Factors	RANK - 10ths
CTECC Facility		AFD LAN Support	2.5	2.5	2.5	1.0	1.0	1.7	3.7	2.32	2.38	2
		APD LAN Support	3.5	2.5	2.2	1.0	1.0	1.7	3.7	2.39	2.44	2
		CTECC IT Support	3.3	3.1	2.2	1.0	1.0	1.7	3.7	2.45	2.48	3
		CTECC Systems	3.8	3.1	2.2	1.0	1.0	1.7	2.3	2.32	2.38	2
		CTECC-Facility Operations	3.3	3.1	2.2	1.0	1.0	1.7	3.0	2.34	2.40	2
GATTN / COA Networks		Development	3.5	3.7	2.5	1.0	1.0	1.7	4.0	2.71	2.68	6
		GAATN	3.8	3.4	2.8	1.0	1.0	1.7	3.7	2.70	2.67	6
IT Operations		Data Center	4.0	1.5	2.4	1.0	1.0	1.7	3.7	2.39	2.44	2
		Desktop Support Group	3.5	3.5	1.8	1.0	1.0	2.1	4.3	2.62	2.61	4
		Enterprise Support Group	3.0	3.7	1.8	1.0	1.0	2.1	4.3	2.57	2.57	4
		LAN (Local Area Network) Operations	1.5	3.7	2.2	1.0	1.0	1.7	4.3	2.37	2.42	2
		Voice Operations	3.3	2.2	2.8	1.0	1.0	1.7	3.7	2.45	2.48	3
		WAN Operations	3.8	1.5	1.8	1.0	4.0	1.7	3.7	2.37	2.42	2
IT Projects and Development		Applications Support	1.5	3.7	2.2	1.0	1.0	1.7	4.0	2.32	2.38	2
		GIS Services	3.5	4.4	1.6	1.0	1.0	1.7	4.0	2.59	2.59	4
		IT Applications	3.5	1.8	3.3	1.0	1.0	2.1	4.0	2.66	2.64	5
		IT Projects	3.0	2.9	3.3	1.0	2.0	2.1	3.3	2.68	2.66	6
One Stop Shop		Land Use Review	2.0	3.7	2.2	1.0	1.0	1.7	4.3	2.45	2.48	3
Program Management		Help Desk	3.0	4.3	1.0	1.0	1.0	1.7	3.7	2.32	2.38	2
		Program Support	3.3	4.4	2.4	1.0	1.0	1.7	3.5	2.64	2.63	5
		Training	2.5	1.2	2.2	1.6	1.0	1.7	3.7	2.12	2.23	1
Security		Security	2.5	3.5	2.7	1.0	1.0	2.1	4.3	2.66	2.64	5
Wireless Operations		Field Operations	4.0	3.5	2.0	1.0	1.0	1.7	3.7	2.59	2.59	4
		Installation Operations	3.3	1.2	2.8	1.0	1.0	2.1	3.7	2.37	2.42	2
		Shop Operations	3.5	1.4	3.0	1.0	1.0	2.5	3.7	2.53	2.54	4
Wireless Operations Support		Inventory Management	2.8	1.4	2.4	1.0	1.0	1.7	3.7	2.17	2.27	1
		Operations Management	3.5	2.3	2.0	1.0	1.0	1.7	3.3	2.28	2.35	1

Communications and Technology Management

Factor: Size and Complexity

Program	Activity	Size-FY05 Budgeted Expend	Budget Relative Size Rating	Size-FY05 Budgeted FTEs	FTEs Relative Size Rating	Revenue Rating	No. of Sites Rating	Diversity of Services Rating	Contract Expend. - % of Total	Contract Expend. Rating	Size and Complexity Rating
CTECC Facility	AFD LAN Support	\$131,765	2	2.00	2	3	2	5	0.00%	1	2.5
	APD LAN Support	\$1,070,016	4	12.00	4	3	2	5	0.00%	1	3.5
	CTECC IT Support	\$706,485	3	9.00	4	3	2	5	0.00%	1	3.3
	CTECC Systems	\$2,409,720	5	10.00	4	3	2	5	0.00%	1	3.8
	CTECC-Facility Operations	\$4,200,100	5	2.00	2	3	2	5	0.00%	1	3.3
GATTN / COA Networks	Development	\$967,527	4	9.00	4	3	2	5	0.00%	1	3.5
	GAATN	\$1,105,259	4	4.25	3	3	2	5	40.19%	3	3.8
IT Operations	Data Center	\$4,363,683	5	25.50	5	3	2	3	40.43%	3	4.0
	Desktop Support Group	\$2,165,287	5	28.00	5	3	2	3	0.00%	1	3.5
	Enterprise Support Group	\$914,813	4	7.25	4	3	2	3	0.00%	1	3.0
	LAN (Local Area Network) Operations	\$0	1	0.00	1	3	2	3	0.00%	1	1.5
	Voice Operations	\$1,443,838	4	15.25	5	3	2	3	8.57%	1	3.3
	WAN Operations	\$1,745,522	5	8.25	4	3	2	3	57.14%	3	3.8
IT Projects and Development	Applications Support	\$0	1	0.00	1	3	2	3	0.00%	1	1.5
	GIS Services	\$1,957,408	5	22.33	5	3	2	3	0.00%	1	3.5
	IT Applications	\$3,390,151	5	29.34	5	3	2	3	0.00%	1	3.5
	IT Projects	\$1,443,815	4	13.58	4	3	2	3	0.00%	1	3.0
One Stop Shop	Land Use Review	\$87,338	2	2.00	2	3	2	3	0.00%	1	2.0
Program Management	Help Desk	\$777,282	4	11.25	4	3	2	3	10.11%	1	3.0
	Program Support	\$1,354,347	4	17.50	5	3	2	3	0.00%	1	3.3
	Training	\$320,010	3	4.25	3	3	2	3	4.48%	1	2.5
Security	Security	\$518,557	3	5.25	3	3	2	3	3.04%	1	2.5
Wireless Operations	Field Operations	\$4,178,761	5	12.00	4	3	2	5	38.21%	2	4.0
	Installation Operations	\$461,133	3	6.50	4	3	2	5	8.16%	1	3.3
	Shop Operations	\$771,867	4	7.00	4	3	2	5	7.99%	1	3.5
Wireless Operations Support	Inventory Management	\$226,538	2	4.00	3	3	2	5	4.53%	1	2.8
	Operations Management	\$658,992	3	4.50	3	3	2	5	45.49%	3	3.5

**Communications and Technology
Management
Factor: Change**

Program	Activity	Business Plan Change Rating	Expend Trend - % Change	Expend Trend Rating	FTE Trend - % Change	FTE Trend Rating	Employee Turnover Rating	Yrs of Svc Lost Rating	Revenue Trend - % Change	Revenue Trend Rating	Change Rating
CTECC Facility	AFD LAN Support	1	100.00%	5	100.00%	5	1	3	-16.79%	3	2.5
	APD LAN Support	1	100.00%	5	100.00%	5	1	3	-16.79%	3	2.5
	CTECC IT Support	2	100.00%	5	100.00%	5	1	3	-16.79%	3	3.1
	CTECC Systems	2	100.00%	5	100.00%	5	1	3	-16.79%	3	3.1
	CTECC-Facility Operations	2	100.00%	5	100.00%	5	1	3	-16.79%	3	3.1
GATTN / COA Networks	Development	3	100.00%	5	100.00%	5	1	3	-16.79%	3	3.7
	GAATN	3	-43.41%	4	-63.98%	4	1	3	-16.79%	3	3.4
IT Operations	Data Center	1	12.40%	2	24.88%	3	1	3	-16.79%	3	1.5
	Desktop Support Group	3	73.57%	4	180.00%	5	1	3	-16.79%	3	3.5
	Enterprise Support Group	3	4214.75%	5	198.35%	5	1	3	-16.79%	3	3.7
	LAN (Local Area Network) Operations	3	-100.00%	5	-100.00%	5	1	3	-16.79%	3	3.7
	Voice Operations	2	12.58%	2	33.54%	3	1	3	-16.79%	3	2.2
	WAN Operations	1	13.90%	2	-21.13%	3	1	3	-16.79%	3	1.5
IT Projects and Development	Applications Support	3	-100.00%	5	-100.00%	5	1	3	-16.79%	3	3.7
	GIS Services	4	100.00%	5	100.00%	5	1	3	-16.79%	3	4.4
	IT Applications	2	-9.63%	1	-12.16%	2	1	3	-16.79%	3	1.8
	IT Projects	2	-56.78%	4	239.50%	5	1	3	-16.79%	3	2.9
One Stop Shop	Land Use Review	3	100.00%	5	100.00%	5	1	3	-16.79%	3	3.7
Program Management	Help Desk	5	25.80%	3	33.61%	3	1	3	-16.79%	3	4.3
	Program Support	4	100.00%	5	100.00%	5	1	3	-16.79%	3	4.4
	Training	1	10.08%	2	6.25%	1	1	3	-16.79%	3	1.2
Security	Security	4	30.42%	3	19.32%	2	1	3	-16.79%	3	3.5
Wireless Operations	Field Operations	3	451.11%	5	50.00%	4	1	3	-16.79%	3	3.5
	Installation Operations	1	16.40%	2	8.33%	1	1	3	-16.79%	3	1.2
	Shop Operations	1	12.54%	2	-12.50%	2	1	3	-16.79%	3	1.4
Wireless Operations Support	Inventory Management	1	-14.84%	2	-15.79%	2	1	3	-16.79%	3	1.4
	Operations Management	1	194.01%	5	50.00%	4	1	3	-16.79%	3	2.3

Communications and Technology Management

Factor: Planning and Performance

Program	Activity	Variance - FY04 Actual vs Budget	Variance - Actual vs Budget Rating	Performance Trend Rating	LWF Survey Positive Empl. Satisf. Responses	Workforce Survey - Satisfaction Rating	Overtime - % of Total Salaries	Overtime - % of Total Rating	Planning and Performance Rating
CTECC Facility	AFD LAN Support	-12.32%	3	3	66.00%	3	0.00%	1	2.5
	APD LAN Support	-0.07%	1	3	66.00%	3	0.00%	1	2.2
	CTECC IT Support	2.06%	1	3	66.00%	3	0.00%	1	2.2
GATTN / COA Networks	CTECC Systems	-3.91%	1	3	66.00%	3	0.00%	1	2.2
	CTECC-Facility Operations	2.15%	1	3	66.00%	3	0.00%	1	2.2
	Development	-14.39%	3	3	66.00%	3	0.00%	1	2.5
	GAATN	2.80%	1	4	66.00%	3	0.00%	1	2.8
IT Operations	Data Center	4.70%	1	3	66.00%	3	2.15%	2	2.4
	Desktop Support Group	8.91%	2	2	66.00%	3	0.00%	1	1.8
IT Projects and Development	Enterprise Support Group	-5.34%	2	2	66.00%	3	0.00%	1	1.8
	LAN (Local Area Network) Operations	0.00%	1	3	66.00%	3	0.00%	1	2.2
	Voice Operations	-2.48%	1	4	66.00%	3	0.33%	1	2.8
	WAN Operations	-8.65%	2	2	66.00%	3	0.82%	1	1.8
	Applications Support	0.00%	1	3	66.00%	3	0.00%	1	2.2
One Stop Shop	GIS Services	-4.84%	1	2	66.00%	3	0.00%	1	1.6
	IT Applications	-17.71%	4	4	66.00%	3	0.11%	1	3.3
	IT Projects	-18.06%	4	4	66.00%	3	0.70%	1	3.3
Program Management	Land Use Review	0.00%	1	3	66.00%	3	0.00%	1	2.2
	Help Desk	-0.18%	1	1	66.00%	3	0.00%	1	1.0
Security	Program Support	5.50%	2	3	66.00%	3	0.00%	1	2.4
	Training	-4.28%	1	3	66.00%	3	0.05%	1	2.2
	Security	21.66%	4	3	66.00%	3	0.04%	1	2.7
Wireless Operations	Field Operations	-5.52%	2	2	66.00%	3	2.04%	2	2.0
	Installation Operations	-6.58%	2	3	66.00%	3	5.48%	3	2.8
	Shop Operations	-12.48%	3	3	66.00%	3	6.56%	3	3.0
Wireless Operations Support	Inventory Management	-1.60%	1	3	66.00%	3	4.30%	2	2.4
	Operations Management	7.41%	2	2	66.00%	3	2.17%	2	2.0

**Communications and Technology
Management**

Factor: Public Concern

Program	Activity	FY04 Citizen Complaints (CAFs) per FTE	Citizen Complaints per FTE Rating	Number of Council/ CMO Comments	Council/ CMO Survey Rating	Legal Claims and Suits per 100 FTEs	Legal Claims and Suits Rating	Public Concern Rating
CTECC Facility	AFD LAN Support	0.00	1	0	1	0.00	1	1.0
	APD LAN Support	0.00	1	0	1	0.00	1	1.0
	CTECC IT Support	0.00	1	0	1	0.00	1	1.0
	CTECC Systems	0.00	1	0	1	0.00	1	1.0
	CTECC-Facility Operations	0.00	1	0	1	0.00	1	1.0
GATTN / COA Networks	Development	0.00	1	0	1	0.00	1	1.0
	GAATN	0.00	1	0	1	0.00	1	1.0
IT Operations	Data Center	0.00	1	0	1	0.00	1	1.0
	Desktop Support Group	0.00	1	0	1	0.00	1	1.0
	Enterprise Support Group	0.00	1	0	1	0.00	1	1.0
	LAN (Local Area Network) Operations	0.00	1	0	1	0.00	1	1.0
	Voice Operations	0.00	1	0	1	0.00	1	1.0
	WAN Operations	0.00	1	0	1	0.00	1	1.0
IT Projects and Development	Applications Support	0.00	1	0	1	0.00	1	1.0
	GIS Services	0.00	1	0	1	0.00	1	1.0
	IT Applications	0.00	1	0	1	0.00	1	1.0
	IT Projects	0.00	1	0	1	0.00	1	1.0
One Stop Shop	Land Use Review	0.00	1	0	1	0.00	1	1.0
Program Management	Help Desk	0.00	1	0	1	0.00	1	1.0
	Program Support	0.00	1	0	1	0.00	1	1.0
	Training	0.00	1	1	2	0.00	1	1.6
Security	Security	0.00	1	0	1	0.00	1	1.0
Wireless Operations	Field Operations	0.00	1	0	1	0.00	1	1.0
	Installation Operations	0.00	1	0	1	0.00	1	1.0
	Shop Operations	0.00	1	0	1	0.00	1	1.0
Wireless Operations Support	Inventory Management	0.00	1	0	1	0.00	1	1.0
	Operations Management	0.00	1	0	1	0.00	1	1.0

**Communications and Technology
Management**

Factor: Safety and Liability

Program	Activity	FY04 Workers Comp Claims per FTE	Workers Comp Claims Rating	Legal Claims and Suits Paid per FTE	Legal Claims and Suits Paid Rating	LWF Survey Positive Safety Responses	Workforce Survey - Safety Rating	Safety and Liability Rating
CTECC Facility	AFD LAN Support	0.00	1	0.00	1	63.00%	5	1.0
	APD LAN Support	0.00	1	0.00	1	63.00%	5	1.0
	CTECC IT Support	0.00	1	0.00	1	63.00%	5	1.0
	CTECC Systems	0.00	1	0.00	1	63.00%	5	1.0
	CTECC-Facility Operations	0.00	1	0.00	1	63.00%	5	1.0
GATTN / COA Networks	Development	0.00	1	0.00	1	63.00%	5	1.0
	GAATN	0.00	1	0.00	1	63.00%	5	1.0
IT Operations	Data Center	0.00	1	0.00	1	63.00%	5	1.0
	Desktop Support Group	0.00	1	0.00	1	63.00%	5	1.0
	Enterprise Support Group	0.00	1	0.00	1	63.00%	5	1.0
	LAN (Local Area Network) Operations	0.00	1	0.00	1	63.00%	5	1.0
	Voice Operations	0.00	1	0.00	1	63.00%	5	1.0
	WAN Operations	0.29	4	0.00	1	63.00%	5	4.0
IT Projects and Development	Applications Support	0.00	1	0.00	1	63.00%	5	1.0
	GIS Services	0.00	1	0.00	1	63.00%	5	1.0
	IT Applications	0.00	1	0.00	1	63.00%	5	1.0
	IT Projects	0.09	2	0.00	1	63.00%	5	2.0
One Stop Shop	Land Use Review	0.00	1	0.00	1	63.00%	5	1.0
Program Management	Help Desk	0.00	1	0.00	1	63.00%	5	1.0
	Program Support	0.00	1	0.00	1	63.00%	5	1.0
	Training	0.00	1	0.00	1	63.00%	5	1.0
Security	Security	0.00	1	0.00	1	63.00%	5	1.0
Wireless Operations	Field Operations	0.00	1	0.00	1	63.00%	5	1.0
	Installation Operations	0.00	1	0.00	1	63.00%	5	1.0
	Shop Operations	0.00	1	0.00	1	63.00%	5	1.0
Wireless Operations Support	Inventory Management	0.00	1	0.00	1	63.00%	5	1.0
	Operations Management	0.00	1	0.00	1	63.00%	5	1.0

**Communications and Technology
Management
Factor: Ethics**

Program	Activity	LWF Survey - Ethics Positive Responses	Workforce Survey - Ethics Rating	Commod. % of Total Expend.	Commod. % of Total Expend. Rating	Weighted Cash Handling Score	Cash Handling Rating	Ethics Rating
CTECC Facility	AFD LAN Support	59.00%	3	0.00%	1	0.0	1	1.7
	APD LAN Support	59.00%	3	0.00%	1	0.0	1	1.7
	CTECC IT Support	59.00%	3	0.00%	1	0.0	1	1.7
	CTECC Systems	59.00%	3	0.00%	1	0.0	1	1.7
	CTECC-Facility Operations	59.00%	3	0.00%	1	0.0	1	1.7
GATTN / COA Networks	Development	59.00%	3	0.00%	1	0.0	1	1.7
	GAATN	59.00%	3	2.14%	1	0.0	1	1.7
IT Operations	Data Center	59.00%	3	0.59%	1	0.0	1	1.7
	Desktop Support Group	59.00%	3	0.00%	1	0.0	1	2.1
	Enterprise Support Group	59.00%	3	0.00%	1	0.0	1	2.1
	LAN (Local Area Network) Operations	59.00%	3	0.00%	1	0.0	1	1.7
	Voice Operations	59.00%	3	3.06%	1	0.0	1	1.7
	WAN Operations	59.00%	3	1.30%	1	0.0	1	1.7
IT Projects and Development	Applications Support	59.00%	3	0.00%	1	0.0	1	1.7
	GIS Services	59.00%	3	0.00%	1	0.0	1	1.7
	IT Applications	59.00%	3	0.03%	1	0.0	1	2.1
	IT Projects	59.00%	3	0.00%	1	0.0	1	2.1
One Stop Shop	Land Use Review	59.00%	3	0.00%	1	0.0	1	1.7
Program Management	Help Desk	59.00%	3	0.79%	1	3.0	1	1.7
	Program Support	59.00%	3	0.00%	1	3.0	1	1.7
	Training	59.00%	3	0.80%	1	0.0	1	1.7
Security	Security	59.00%	3	1.60%	1	0.0	1	2.1
Wireless Operations	Field Operations	59.00%	3	0.57%	1	0.0	1	1.7
	Installation Operations	59.00%	3	9.83%	1	0.0	1	2.1
	Shop Operations	59.00%	3	34.17%	3	0.0	1	2.5
Wireless Operations Support	Inventory Management	59.00%	3	0.90%	1	3.0	1	1.7
	Operations Management	59.00%	3	4.23%	1	0.0	1	1.7

* Risk scores and ratings for factor 6.1, investigator ratings, are not published

**Communications and Technology
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
CTECC Facility	AFD LAN Support	0.0	5	5	5	1	3.7
	APD LAN Support	0.0	5	5	5	1	3.7
	CTECC IT Support	0.0	5	5	5	1	3.7
	CTECC Systems	6.0	1	3	5	1	2.3
	CTECC-Facility Operations	6.0	1	5	5	1	3.0
GATTN / COA Networks	Development	0.0	5	5	5	2	4.0
	GAATN	1.0	3	5	5	2	3.7
IT Operations	Data Center	0.0	5	5	5	1	3.7
	Desktop Support Group	0.0	5	5	5	3	4.3
	Enterprise Support Group	0.0	5	5	5	3	4.3
	LAN (Local Area Network) Operations	0.0	5	5	5	3	4.3
	Voice Operations	0.0	5	5	5	1	3.7
	WAN Operations	0.0	5	5	5	1	3.7
IT Projects and Development	Applications Support	0.0	5	5	5	2	4.0
	GIS Services	0.0	5	5	5	2	4.0
	IT Applications	0.0	5	5	5	2	4.0
	IT Projects	0.0	5	3	5	2	3.3
One Stop Shop	Land Use Review	0.0	5	5	5	3	4.3
Program Management	Help Desk	0.0	5	5	5	1	3.7
	Program Support	0.0	5	5	2	2	3.5
	Training	0.0	5	5	5	1	3.7
Security	Security	0.0	5	5	5	3	4.3
Wireless Operations	Field Operations	0.0	5	5	5	1	3.7
	Installation Operations	0.0	5	5	5	1	3.7
Wireless Operations Support	Shop Operations	0.0	5	5	5	1	3.7
	Inventory Management	0.0	5	5	5	1	3.7
	Operations Management	2.0	3	5	5	1	3.3

APPENDIX C
RISK RATING RESULTS

Community Care Department

**OCA 2005 Risk Assessment
Risk Group Ratings by Activity**

RiskGroup #	1	2	3	4	5	6	7	All
Department Level Factors Weight	4	7	3	2	5	3	0	24
Activity Level Factors Weight	12	11	17	9	4	11	12	76
Total Weight	16	18	20	11	9	14	12	100

Community Care Department

Program	Activity	Risk Group Name	Size / Complexity	Change	Planning / Performance	Public Concern	Safety / Liability	Ethics	Mitigating Factors	Weighted Avg-Activity Factors	Weighted Avg-All Factors	RANK - 10ths
Clinic Based Care	Adult and Pediatric Services		3.5	3.0	2.4	2.1	1.0	2.9	3.7	2.83	2.93	8
	Dental Services		3.5	2.5	2.4	1.0	3.0	2.6	3.7	2.67	2.81	8
	HIV Clinical Services		3.3	2.3	2.2	1.0	1.0	2.4	3.7	2.42	2.62	4
Hospital-Based Care	Hospital Services		1.5	3.7	2.9	1.0	1.0	1.7	4.3	2.53	2.70	6
Indigent Health Managed Care	MAP Contracted Services		3.3	3.7	2.2	2.1	1.0	2.1	3.7	2.72	2.85	8
Patient Care Support Services	Billing and Collections		2.8	3.0	3.1	1.0	1.0	2.1	4.3	2.72	2.85	8
	Client Services		3.3	3.7	2.2	2.7	1.0	2.1	3.7	2.79	2.90	8
	Health Information Management		3.3	2.5	2.9	1.6	1.0	2.1	3.7	2.63	2.78	7
	Pharmacy		3.5	2.5	2.6	2.1	3.0	3.9	3.7	3.04	3.09	10
	Quality Management		2.3	2.6	2.4	2.7	1.0	2.1	3.7	2.51	2.69	6
	Administration and Management		3.0	2.3	2.4	2.7	1.0	2.1	3.7	2.58	2.74	7
	Facility Expense		3.0	3.4	2.2	1.0	1.0	1.7	3.7	2.45	2.64	5
	Financial Monitoring/Budgeting		2.5	3.0	2.9	1.0	1.0	2.4	3.7	2.57	2.73	7
	Information Technology Support		2.5	3.0	2.7	1.0	1.0	1.7	3.7	2.43	2.63	5
	Personnel/Training		2.5	2.3	2.9	1.0	1.0	2.1	3.7	2.42	2.62	4
Support Services	PIO/Community Services		2.0	2.6	2.2	1.0	1.0	1.7	3.7	2.18	2.44	2
	Purchasing/M/WBE		2.3	3.2	2.9	1.0	1.0	2.1	3.7	2.51	2.69	6

Community Care Department

Factor: Size and Complexity

Program	Activity	Size-FY05 Budgeted Expend	Budget Relative Size Rating	Size-FY05 Budgeted FTEs	FTEs Relative Size Rating	Revenue Rating	No. of Sites Rating	Diversity of Services Rating	Contract Expend. - % of Total	Contract Expend. Rating	Size and Complexity Rating
Clinic Based Care	Dental Services	\$2,125,280	5	29.53	5	4	3	3	9.46%	1	3.5
	HIV Clinical Services	\$1,141,069	4	38.00	5	4	3	3	0.00%	1	3.3
Hospital-Based Care	Hospital Services	\$0	1	0.00	1	4	3	3	0.00%	1	1.5
Indigent Health Managed Care	MAP Contracted Services	\$24,107,588	5	10.00	4	4	3	3	0.00%	1	3.3
Patient Care Support Services	Billing and Collections	\$476,178	3	10.00	4	4	3	3	12.63%	1	2.8
	Client Services	\$1,232,085	4	46.50	5	4	3	3	0.00%	1	3.3
	Health Information Management	\$767,620	4	17.00	5	4	3	3	0.00%	1	3.3
	Pharmacy	\$4,058,152	5	16.50	5	4	3	3	11.64%	1	3.5
	Quality Management	\$217,896	2	3.00	3	4	3	3	0.00%	1	2.3
Support Services	Administration and Management	\$934,290	4	8.00	4	4	3	3	6.81%	1	3.0
	Facility Expense	\$348,231	3	1.00	2	4	3	3	77.07%	4	3.0
	Financial Monitoring/Budgeting	\$289,640	3	4.00	3	4	3	3	12.07%	1	2.5
	Information Technology Support	\$533,841	3	3.00	3	4	3	3	0.00%	1	2.5
	Personnel/Training	\$401,742	3	6.00	3	4	3	3	1.01%	1	2.5
	PIO/Community Services	\$159,291	2	2.00	2	4	3	3	0.24%	1	2.0
	Purchasing/M/WBE	\$161,477	2	3.00	3	4	3	3	0.00%	1	2.3

Community Care Department

Factor: Change

Program	Activity	Business Plan Change Rating	Expend Trend - % Change	Expend Trend Rating	FTE Trend - % Change	FTE Trend Rating	Employee Turnover Rating	Yrs of Svc Lost Rating	Revenue Trend - % Change	Revenue Trend Rating	Change Rating
Clinic Based Care	Dental Services	3	17.41%	2	3.51%	1	3	5	97.11%	5	2.5
	HIV Clinical Services	3	5.97%	1	2.70%	1	3	5	97.11%	5	2.3
Hospital-Based Care	Hospital Services	3	100.00%	5	-100.00%	5	3	5	97.11%	5	3.7
Indigent Health Managed Care	MAP Contracted Services	3	100.00%	5	100.00%	5	3	5	97.11%	5	3.7
Patient Care Support Services	Billing and Collections	3	28.71%	3	-33.33%	3	3	5	97.11%	5	3.0
	Client Services	3	220.47%	5	342.86%	5	3	5	97.11%	5	3.7
	Health Information Management	3	15.74%	2	0.00%	1	3	5	97.11%	5	2.5
	Pharmacy	3	16.80%	2	4.76%	1	3	5	97.11%	5	2.5
	Quality Management	3	22.22%	3	0.00%	1	3	5	97.11%	5	2.6
Support Services	Administration and Management	3	-9.87%	1	0.00%	1	3	5	97.11%	5	2.3
	Facility Expense	3	-56.21%	4	-50.00%	4	3	5	97.11%	5	3.4
	Financial Monitoring/Budgeting	3	36.16%	3	20.12%	3	3	5	97.11%	5	3.0
	Information Technology Support	3	100.00%	5	0.00%	1	3	5	97.11%	5	3.0
	Personnel/Training	3	3.37%	1	0.00%	1	3	5	97.11%	5	2.3
	PIO/Community Services	3	20.14%	3	0.00%	1	3	5	97.11%	5	2.6
	Purchasing/M/WBE	3	-27.05%	3	50.00%	4	3	5	97.11%	5	3.2

Community Care Department
Factor: Planning and Performance

Program	Activity	Variance - FY04 Actual vs Budget	Variance - Actual vs Budget Rating	Performance Trend Rating	LWF Survey Positive Empl. Satisf. Responses	Workforce Survey - Satisfaction Rating	Overtime - % of Total Salaries	Overtime - % of Total Rating	Planning and Performance Rating
Clinic Based Care	Dental Services	-5.30%	2	3	76.00%	2	0.15%	1	2.4
	HIV Clinical Services	-0.13%	1	3	76.00%	2	0.00%	1	2.2
Hospital-Based Care	Hospital Services	-63.33%	5	3	76.00%	2	0.00%	1	2.9
Indigent Health Managed Care	MAP Contracted Services	-0.69%	1	3	76.00%	2	0.00%	1	2.2
Patient Care Support Services	Billing and Collections	-44.86%	5	3	76.00%	2	2.35%	2	3.1
	Client Services	-0.12%	1	3	76.00%	2	0.00%	1	2.2
	Health Information Management	-43.48%	5	3	76.00%	2	0.00%	1	2.9
	Pharmacy	9.85%	2	3	76.00%	2	4.48%	2	2.6
	Quality Management	-7.81%	2	3	76.00%	2	0.00%	1	2.4
Support Services	Administration and Management	-5.54%	2	3	76.00%	2	0.00%	1	2.4
	Facility Expense	3.55%	1	3	76.00%	2	0.00%	1	2.2
	Financial Monitoring/Budgeting	-29.58%	5	3	76.00%	2	0.00%	1	2.9
	Information Technology Support	-15.74%	4	3	76.00%	2	0.00%	1	2.7
	Personnel/Training	-25.63%	5	3	76.00%	2	0.00%	1	2.9
	PIO/Community Services	-0.46%	1	3	76.00%	2	0.00%	1	2.2
	Purchasing/M/WBE	-33.85%	5	3	76.00%	2	0.00%	1	2.9

Community Care Department

Factor: Public Concern

Program	Activity	FY04 Citizen Complaints (CAFs) per FTE	Citizen Complaints per FTE Rating	Number of Council/CMO Comments	Council/CMO Survey Rating	Legal Claims and Suits per 100 FTEs	Legal Claims and Suits Rating	Public Concern Rating
Clinic Based Care	Dental Services	0.00	1	0	1	0.87	2	1.0
	HIV Clinical Services	0.00	1	0	1	0.87	2	1.0
Hospital-Based Care	Hospital Services	0.00	1	0	1	0.87	2	1.0
Indigent Health Managed Care	MAP Contracted Services	0.20	1	2	3	0.87	2	2.1
Patient Care Support Services	Billing and Collections	0.00	1	0	1	0.87	2	1.0
	Client Services	0.20	1	4	4	0.87	2	2.7
	Health Information Management	0.00	1	1	2	0.87	2	1.6
	Pharmacy	0.06	1	3	3	0.87	2	2.1
	Quality Management	0.00	1	4	4	0.87	2	2.7
Support Services	Administration and Management	0.44	1	4	4	0.87	2	2.7
	Facility Expense	0.00	1	0	1	0.87	2	1.0
	Financial Monitoring/Budgeting	0.00	1	0	1	0.87	2	1.0
	Information Technology Support	0.00	1	0	1	0.87	2	1.0
	Personnel/Training	0.00	1	0	1	0.87	2	1.0
	PIO/Community Services	0.00	1	0	1	0.87	2	1.0
	Purchasing/M/WBE	0.00	1	0	1	0.87	2	1.0

Community Care Department
Factor: Safety and Liability

Program	Activity	FY04 Workers Comp Claims per FTE	Workers Comp Claims Rating	Legal Claims and Suits Paid per FTE	Legal Claims and Suits Paid Rating	LWF Survey Positive Safety Responses	Workforce Survey - Safety Rating	Safety and Liability Rating
Clinic Based Care	Dental Services	0.14	3	0.00	1	70.71%	4	3.0
	HIV Clinical Services	0.00	1	0.00	1	70.71%	4	1.0
Hospital-Based Care	Hospital Services	0.00	1	0.00	1	70.71%	4	1.0
Indigent Health Managed Care	MAP Contracted Services	0.00	1	0.00	1	70.71%	4	1.0
Patient Care Support Services	Billing and Collections	0.00	1	0.00	1	70.71%	4	1.0
	Client Services	0.00	1	0.00	1	70.71%	4	1.0
	Health Information Management	0.00	1	0.00	1	70.71%	4	1.0
	Pharmacy	0.12	3	0.00	1	70.71%	4	3.0
	Quality Management	0.00	1	0.00	1	70.71%	4	1.0
Support Services	Administration and Management	0.00	1	0.00	1	70.71%	4	1.0
	Facility Expense	0.00	1	0.00	1	70.71%	4	1.0
	Financial Monitoring/Budgeting	0.00	1	0.00	1	70.71%	4	1.0
	Information Technology Support	0.00	1	0.00	1	70.71%	4	1.0
	Personnel/Training	0.00	1	0.00	1	70.71%	4	1.0
	PIO/Community Services	0.00	1	0.00	1	70.71%	4	1.0
	Purchasing/M/WBE	0.00	1	0.00	1	70.71%	4	1.0

Community Care Department

Factor: Ethics

Program	Activity	LWF Survey - Ethics Positive Responses	Workforce Survey - Ethics Rating	Commod. % of Total Expend.	Commod. % of Total Expend. Rating	Weighted Cash Handling Score	Cash Handling Rating	Ethics Rating
Clinic Based Care	Dental Services	57.83%	4	6.45%	1	36.0	3	2.6
	HIV Clinical Services	57.83%	4	0.00%	1	8.0	2	2.4
Hospital-Based Care	Hospital Services	57.83%	4	0.00%	1	0.0	1	1.7
Indigent Health Managed Care	MAP Contracted Services	57.83%	4	0.00%	1	0.0	1	2.1
Patient Care Support Services	Billing and Collections	57.83%	4	1.25%	1	0.0	1	2.1
	Client Services	57.83%	4	0.00%	1	0.0	1	2.1
	Health Information Management	57.83%	4	0.00%	1	0.0	1	2.1
	Pharmacy	57.83%	4	51.77%	5	0.0	1	3.9
	Quality Management	57.83%	4	0.00%	1	0.0	1	2.1
Support Services	Administration and Management	57.83%	4	7.50%	1	0.0	1	2.1
	Facility Expense	57.83%	4	1.23%	1	0.0	1	1.7
	Financial Monitoring/Budgeting	57.83%	4	0.51%	1	12.0	2	2.4
	Information Technology Support	57.83%	4	0.00%	1	0.0	1	1.7
	Personnel/Training	57.83%	4	1.83%	1	0.0	1	2.1
	PIO/Community Services	57.83%	4	0.57%	1	0.0	1	1.7
	Purchasing/M/WBE	57.83%	4	0.00%	1	0.0	1	2.1

* Risk scores and ratings for factor 6.1, investigator ratings, are not published

Community Care Department
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
Clinic Based Care	Dental Services	7.0	1	5	5	3	3.7
	HIV Clinical Services	19.0	1	5	5	3	3.7
Hospital-Based Care	Hospital Services	0.0	5	5	5	3	4.3
Indigent Health Managed Care	MAP Contracted Services	13.0	1	5	5	3	3.7
Patient Care Support Services	Billing and Collections	0.0	5	5	5	3	4.3
	Client Services	5.0	1	5	5	3	3.7
	Health Information Management	5.0	1	5	5	3	3.7
	Pharmacy	8.0	1	5	5	3	3.7
	Quality Management	6.0	1	5	5	3	3.7
Support Services	Administration and Management	5.0	1	5	5	3	3.7
	Facility Expense	5.0	1	5	5	3	3.7
	Financial Monitoring/Budgeting	5.0	1	5	5	3	3.7
	Information Technology Support	5.0	1	5	5	3	3.7
	Personnel/Training	5.0	1	5	5	3	3.7
	PIO/Community Services	5.0	1	5	5	3	3.7
	Purchasing/M/WBE	5.0	1	5	5	3	3.7

APPENDIX C
RISK RATING RESULTS

Financial and Administrative Services

**OCA 2005 Risk Assessment
Risk Group Ratings by Activity**

<u>RiskGroup #</u>	<u>1</u>	<u>2</u>	<u>3</u>	<u>4</u>	<u>5</u>	<u>6</u>	<u>7</u>	<u>All</u>
Department Level Factors Weight	4	7	3	2	5	3	0	24
Activity Level Factors Weight	12	11	17	9	4	11	12	76
Total Weight	16	18	20	11	9	14	12	100

Financial and Administrative Services

Program	Activity	Risk Group Name	Size / Complexity	Change	Planning / Performance	Public Concern	Safety / Liability	Ethics	Mitigating Factors	Weighted Avg-Activity Factors	Weighted Avg-All Factors	RANK - 10ths
Budget Office	Annual Budget		3.0	3.7	1.0	2.7	1.0	2.4	4.0	2.58	2.68	6
	CIP		2.8	5.0	3.5	1.0	1.0	2.5	4.3	3.16	3.12	10
	Financial Monitoring and Evaluation		1.8	3.5	2.2	1.0	1.0	1.7	4.7	2.43	2.57	4
	Managing for Results		2.3	5.0	3.5	1.0	1.0	1.7	5.0	3.08	3.06	10
Building Services	Custodial Services		4.0	3.9	2.2	1.6	3.0	2.0	4.7	3.05	3.04	9
	Electrical		3.0	2.9	1.4	1.0	3.0	2.1	3.7	2.36	2.51	3
	Heating, Ventilation & Cooling		3.5	2.3	1.2	1.0	2.0	1.7	3.7	2.20	2.39	2
	Maintenance		4.0	3.9	1.6	1.6	4.0	2.1	4.3	2.93	2.95	9
	Safety		2.8	1.0	1.7	1.0	1.0	2.5	4.3	2.17	2.37	1
Controller's Office	Security		3.3	5.0	3.1	1.0	1.0	2.1	4.3	3.09	3.07	10
	Accounting & Reporting		4.0	3.5	2.2	1.6	1.0	2.4	3.0	2.68	2.76	7
	Accounts Payable		3.0	3.5	2.9	1.0	1.0	2.1	3.7	2.70	2.77	7
	Payroll		3.5	3.9	2.2	1.0	1.0	2.1	3.3	2.61	2.70	6
Internal Audit	Audits and Special Projects		1.5	2.3	2.2	1.0	1.0	1.7	4.3	2.16	2.36	1
Purchasing	Inventory Services		3.0	1.9	1.0	1.0	4.0	2.4	4.3	2.33	2.49	3
	Mail Services		3.3	3.9	1.0	1.0	3.0	1.7	4.3	2.51	2.63	5
	Procurement		3.8	3.5	2.4	1.0	1.0	2.7	4.3	2.88	2.91	8
Support Services	Administration and Management		3.8	3.3	1.9	1.6	3.0	2.5	5.0	2.99	2.99	9
	Facility Expense		4.0	4.0	3.4	1.0	1.0	1.7	4.3	3.07	3.05	9
	Financial Monitoring/Budgeting		2.8	2.5	2.5	1.6	1.0	2.5	3.3	2.47	2.60	4
	Information Technology Support		3.0	3.5	1.0	1.0	1.0	2.5	4.3	2.42	2.56	4
	Personnel/Training		3.0	2.5	3.4	1.0	1.0	1.7	4.3	2.68	2.76	7
	Purchasing/M/WBE		2.8	2.6	2.5	1.6	1.0	2.1	4.0	2.55	2.66	5
Telecom and Regulatory Affairs	Community Technology Initiatives		3.5	1.2	1.8	1.0	1.0	1.7	4.3	2.22	2.41	2
	Financial Management Services		3.0	3.0	2.4	1.0	1.0	2.6	4.0	2.62	2.71	6
	Franchise Management		3.0	4.3	3.5	2.1	1.0	2.1	4.7	3.22	3.17	10
Treasury	Debt Management		2.8	4.3	1.2	1.0	1.0	1.7	4.3	2.42	2.56	4
	Investment Management		2.8	4.5	3.9	1.0	1.0	1.7	4.3	3.05	3.04	9

Financial and Administrative Services

Factor: Size and Complexity

Program	Activity	Size-FY05 Budgeted Expend	Budget Relative Size Rating	Size-FY05 Budgeted FTEs	FTEs Relative Size Rating	Revenue Rating	No. of Sites Rating	Diversity of Services Rating	Contract Expend. - % of Total	Contract Expend. Rating	Size and Complexity Rating
Budget Office	Annual Budget	\$717,339	3	8.95	4	5	4	4	1.69%	1	3.0
	CIP	\$370,690	3	4.75	3	5	4	4	0.00%	1	2.8
	Financial Monitoring and Evaluation	\$0	1	0.00	1	5	4	4	0.00%	1	1.8
	Managing for Results	\$157,630	2	1.60	2	5	4	4	0.00%	1	2.3
Building Services	Custodial Services	\$3,156,149	5	79.50	5	5	4	5	10.25%	1	4.0
	Electrical	\$492,996	3	5.00	3	5	4	5	9.18%	1	3.0
	Heating, Ventilation & Cooling	\$908,945	4	11.00	4	5	4	5	4.06%	1	3.5
	Maintenance	\$1,953,243	5	15.00	4	5	4	5	33.48%	2	4.0
	Safety	\$81,295	2	1.00	2	5	4	5	20.24%	2	2.8
Controller's Office	Security	\$402,737	3	10.00	4	5	4	5	14.71%	1	3.3
	Accounting & Reporting	\$3,630,934	5	40.00	5	5	4	4	21.01%	2	4.0
	Accounts Payable	\$640,674	3	11.40	4	5	4	4	12.69%	1	3.0
Internal Audit	Payroll	\$886,228	4	10.60	4	5	4	4	22.98%	2	3.5
	Audits and Special Projects	\$272,913	3	0.00	1	5	4	1	0.00%	1	1.5
Purchasing	Inventory Services	\$392,402	3	5.80	3	5	4	5	6.05%	1	3.0
	Mail Services	\$297,937	3	6.25	4	5	4	5	1.41%	1	3.3
	Procurement	\$4,160,790	5	58.60	5	5	4	4	5.55%	1	3.8
Support Services	Administration and Management	\$1,572,437	5	12.45	4	5	4	5	0.61%	1	3.8
	Facility Expense	\$1,619,896	5	0.00	1	5	4	5	92.71%	5	4.0
	Financial Monitoring/Budgeting	\$188,887	2	2.75	3	5	4	5	0.00%	1	2.8
	Information Technology Support	\$481,732	3	5.25	3	5	4	5	2.60%	1	3.0
	Personnel/Training	\$374,022	3	5.50	3	5	4	5	0.00%	1	3.0
Telecom and Regulatory Affairs	Purchasing/M/WBE	\$191,815	2	3.50	3	5	4	5	2.84%	1	2.8
	Community Technology Initiatives	\$616,536	3	3.00	3	5	4	4	60.28%	4	3.5
	Financial Management Services	\$277,163	3	3.25	3	5	4	4	31.74%	2	3.0
Treasury	Franchise Management	\$402,154	3	4.75	3	5	4	4	22.48%	2	3.0
	Debt Management	\$396,863	3	4.15	3	5	4	4	8.40%	1	2.8
	Investment Management	\$436,992	3	3.85	3	5	4	4	13.20%	1	2.8

Financial and Administrative Services

Factor: Change

Program	Activity	Business Plan Change Rating	Expend Trend - % Change	Expend Trend Rating	FTE Trend - % Change	FTE Trend Rating	Employee Turnover Rating	Yrs of Svc Lost Rating	Revenue Trend - % Change	Revenue Trend Rating	Change Rating
Budget Office	Annual Budget	5	19.05%	2	4.68%	1	3	5	3.04%	1	3.7
	CIP	5	192.91%	5	171.43%	5	3	5	3.04%	1	5.0
	Financial Monitoring and Evaluation	5	0.00%	1	0.00%	1	3	5	3.04%	1	3.5
	Managing for Results	5	100.00%	5	100.00%	5	3	5	3.04%	1	5.0
Building Services	Custodial Services	5	19.06%	2	11.58%	2	3	5	3.04%	1	3.9
	Electrical	4	6.91%	1	0.00%	1	3	5	3.04%	1	2.9
	Heating, Ventilation & Cooling	3	1.92%	1	0.00%	1	3	5	3.04%	1	2.3
	Maintenance	5	-20.52%	3	7.14%	1	3	5	3.04%	1	3.9
	Safety	1	7.69%	1	0.00%	1	3	5	3.04%	1	1.0
	Security	5	342.84%	5	400.00%	5	3	5	3.04%	1	5.0
Controller's Office	Accounting & Reporting	5	5.65%	1	2.56%	1	3	5	3.04%	1	3.5
	Accounts Payable	5	6.23%	1	-8.06%	1	3	5	3.04%	1	3.5
	Payroll	5	29.66%	3	0.00%	1	3	5	3.04%	1	3.9
Internal Audit	Audits and Special Projects	3	0.00%	1	0.00%	1	3	5	3.04%	1	2.3
Purchasing	Inventory Services	1	49.49%	4	-31.76%	3	3	5	3.04%	1	1.9
Support Services	Mail Services	5	8.52%	1	-24.24%	3	3	5	3.04%	1	3.9
	Procurement	5	8.35%	1	-7.93%	1	3	5	3.04%	1	3.5
	Administration and Management	4	-14.39%	2	-11.70%	2	3	5	3.04%	1	3.3
	Facility Expense	4	29.21%	3	100.00%	5	3	5	3.04%	1	4.0
	Financial Monitoring/Budgeting	3	-2.71%	1	-15.38%	2	3	5	3.04%	1	2.5
	Information Technology Support	5	7.73%	1	-8.70%	1	3	5	3.04%	1	3.5
	Personnel/Training	3	-2.93%	1	-12.00%	2	3	5	3.04%	1	2.5
	Purchasing/M/WBE	3	-5.44%	1	-26.32%	3	3	5	3.04%	1	2.6
Telecom and Regulatory Affairs	Community Technology Initiatives	1	4.98%	1	-14.29%	2	3	5	3.04%	1	1.2
	Financial Management Services	3	-11.21%	2	-58.06%	4	3	5	3.04%	1	3.0
	Franchise Management	5	30.28%	3	-26.92%	3	3	5	3.04%	1	4.3
Treasury	Debt Management	5	36.57%	3	31.75%	3	3	5	3.04%	1	4.3
	Investment Management	5	55.75%	4	-20.62%	3	3	5	3.04%	1	4.5

Financial and Administrative Services

Factor: Planning and Performance

Program	Activity	Variance - FY04 Actual vs Budget	Variance - Actual vs Budget Rating	Performance Trend Rating	LWF Survey Positive Empl. Satisf. Responses	Workforce Survey - Satisfaction Rating	Overtime - % of Total Salaries	Overtime - % of Total Rating	Planning and Performance Rating
Budget Office	Annual Budget	-0.28%	1	1	77.00%	2	0.09%	1	1.0
	CIP	5.56%	2	5	77.00%	2	0.00%	1	3.5
	Financial Monitoring and Evaluation	0.00%	1	3	77.00%	2	0.00%	1	2.2
	Managing for Results	-5.13%	2	5	77.00%	2	0.00%	1	3.5
Building Services	Custodial Services	-2.37%	1	3	77.00%	2	0.40%	1	2.2
	Electrical	11.37%	3	1	77.00%	2	0.25%	1	1.4
	Heating, Ventilation & Cooling	-8.47%	2	1	77.00%	2	0.38%	1	1.2
	Maintenance	-2.38%	1	2	77.00%	2	0.36%	1	1.6
	Safety	27.82%	5	1	77.00%	2	0.00%	1	1.7
	Security	40.67%	5	3	77.00%	2	1.47%	2	3.1
Controller's Office	Accounting & Reporting	-0.94%	1	3	77.00%	2	0.00%	1	2.2
	Accounts Payable	-9.96%	2	4	77.00%	2	0.06%	1	2.9
	Payroll	-2.67%	1	3	77.00%	2	0.00%	1	2.2
Internal Audit	Audits and Special Projects	0.00%	1	3	77.00%	2	0.00%	1	2.2
Purchasing	Inventory Services	2.09%	1	1	77.00%	2	0.00%	1	1.0
	Mail Services	-3.60%	1	1	77.00%	2	0.00%	1	1.0
Support Services	Procurement	-6.00%	2	3	77.00%	2	0.00%	1	2.4
	Administration and Management	12.46%	3	2	77.00%	2	0.10%	1	1.9
	Facility Expense	3.04%	1	5	77.00%	2	0.00%	1	3.4
	Financial Monitoring/Budgeting	-13.05%	3	3	77.00%	2	0.09%	1	2.5
	Information Technology Support	1.37%	1	1	77.00%	2	0.03%	1	1.0
	Personnel/Training	-2.19%	1	5	77.00%	2	0.00%	1	3.4
Telecom and Regulatory Affairs	Purchasing/M/WBE	-13.67%	3	3	77.00%	2	0.48%	1	2.5
	Community Technology Initiatives	-7.81%	2	2	77.00%	2	0.00%	1	1.8
	Financial Management Services	-9.74%	2	3	77.00%	2	0.00%	1	2.4
	Franchise Management	5.98%	2	5	77.00%	2	0.00%	1	3.5
Treasury	Debt Management	7.73%	2	1	77.00%	2	0.00%	1	1.2
	Investment Management	-23.66%	4	5	77.00%	2	0.00%	1	3.9

Financial and Administrative Services

Factor: Public Concern

Program	Activity	FY04 Citizen Complaints (CAFs) per FTE	Citizen Complaints per FTE Rating	Number of Council/ CMO Comments	Council/ CMO Survey Rating	Legal Claims and Suits per 100 FTEs	Legal Claims and Suits Rating	Public Concern Rating
Budget Office	Annual Budget	0.00	1	4	4	1.27	2	2.7
	CIP	0.00	1	0	1	1.27	2	1.0
	Financial Monitoring and Evaluation	0.00	1	0	1	1.27	2	1.0
	Managing for Results	1.25	1	0	1	1.27	2	1.0
Building Services	Custodial Services	0.00	1	1	2	1.27	2	1.6
	Electrical	0.00	1	0	1	1.27	2	1.0
	Heating, Ventilation & Cooling	0.00	1	0	1	1.27	2	1.0
	Maintenance	0.07	1	1	2	1.27	2	1.6
	Safety	0.00	1	0	1	1.27	2	1.0
	Security	0.00	1	0	1	1.27	2	1.0
	Accounting & Reporting	0.00	1	1	2	1.27	2	1.6
Controller's Office	Accounts Payable	0.00	1	0	1	1.27	2	1.0
	Payroll	0.00	1	0	1	1.27	2	1.0
	Audits and Special Projects	0.00	1	0	1	1.27	2	1.0
Internal Audit	Audits and Special Projects	0.00	1	0	1	1.27	2	1.0
Purchasing	Inventory Services	0.00	1	0	1	1.27	2	1.0
	Mail Services	0.00	1	0	1	1.27	2	1.0
	Procurement	0.08	1	0	1	1.27	2	1.0
Support Services	Administration and Management	0.87	1	1	2	1.27	2	1.6
	Facility Expense	0.00	1	0	1	1.27	2	1.0
	Financial Monitoring/Budgeting	0.00	1	1	2	1.27	2	1.6
	Information Technology Support	0.00	1	0	1	1.27	2	1.0
	Personnel/Training	0.00	1	0	1	1.27	2	1.0
	Purchasing/M/WBE	0.00	1	1	2	1.27	2	1.6
Telecom and Regulatory Affairs	Community Technology Initiatives	1.00	1	0	1	1.27	2	1.0
	Financial Management Services	0.31	1	0	1	1.27	2	1.0
	Franchise Management	0.63	1	3	3	1.27	2	2.1
Treasury	Debt Management	0.00	1	0	1	1.27	2	1.0
	Investment Management	0.00	1	0	1	1.27	2	1.0

Financial and Administrative Services

Factor: Safety and Liability

Program	Activity	FY04 Workers Comp Claims per FTE	Workers Comp Claims Rating	Legal Claims and Suits Paid per FTE	Legal Claims and Suits Paid Rating	LWF Survey Positive Safety Responses	Workforce Survey - Safety Rating	Safety and Liability Rating
Budget Office	Annual Budget	0.00	1	27.01	2	80.43%	2	1.0
	CIP	0.00	1	27.01	2	80.43%	2	1.0
	Financial Monitoring and Evaluation	0.00	1	27.01	2	80.43%	2	1.0
	Managing for Results	0.00	1	27.01	2	80.43%	2	1.0
Building Services	Custodial Services	0.18	3	27.01	2	80.43%	2	3.0
	Electrical	0.20	3	27.01	2	80.43%	2	3.0
	Heating, Ventilation & Cooling	0.09	2	27.01	2	80.43%	2	2.0
	Maintenance	0.29	4	27.01	2	80.43%	2	4.0
	Safety	0.00	1	27.01	2	80.43%	2	1.0
	Security	0.00	1	27.01	2	80.43%	2	1.0
Controller's Office	Accounting & Reporting	0.05	1	27.01	2	80.43%	2	1.0
	Accounts Payable	0.00	1	27.01	2	80.43%	2	1.0
	Payroll	0.00	1	27.01	2	80.43%	2	1.0
Internal Audit	Audits and Special Projects	0.00	1	27.01	2	80.43%	2	1.0
Purchasing	Inventory Services	0.31	4	27.01	2	80.43%	2	4.0
	Mail Services	0.16	3	27.01	2	80.43%	2	3.0
	Procurement	0.03	1	27.01	2	80.43%	2	1.0
Support Services	Administration and Management	0.16	3	27.01	2	80.43%	2	3.0
	Facility Expense	0.00	1	27.01	2	80.43%	2	1.0
	Financial Monitoring/Budgeting	0.00	1	27.01	2	80.43%	2	1.0
	Information Technology Support	0.00	1	27.01	2	80.43%	2	1.0
	Personnel/Training	0.00	1	27.01	2	80.43%	2	1.0
	Purchasing/M/WBE	0.00	1	27.01	2	80.43%	2	1.0
Telecom and Regulatory Affairs	Community Technology Initiatives	0.00	1	27.01	2	80.43%	2	1.0
	Financial Management Services	0.00	1	27.01	2	80.43%	2	1.0
	Franchise Management	0.00	1	27.01	2	80.43%	2	1.0
Treasury	Debt Management	0.00	1	27.01	2	80.43%	2	1.0
	Investment Management	0.00	1	27.01	2	80.43%	2	1.0

Financial and Administrative Services

Factor: Ethics

Program	Activity	LWF Survey - Ethics Positive Responses	Workforce Survey - Ethics Rating	Commod. % of Total Expend.	Commod. % of Total Expend. Rating	Weighted Cash Handling Score	Cash Handling Rating	Ethics Rating
Budget Office	Annual Budget	60.92%	3	1.25%	1	6.0	2	2.4
	CIP	60.92%	3	0.00%	1	0.0	1	2.5
	Financial Monitoring and Evaluation	60.92%	3	0.00%	1	0.0	1	1.7
	Managing for Results	60.92%	3	0.00%	1	0.0	1	1.7
Building Services	Custodial Services	60.92%	3	4.70%	1	6.0	2	2.0
	Electrical	60.92%	3	13.59%	1	0.0	1	2.1
	Heating, Ventilation & Cooling	60.92%	3	14.38%	1	0.0	1	1.7
	Maintenance	60.92%	3	6.30%	1	0.0	1	2.1
	Safety	60.92%	3	0.92%	1	0.0	1	2.5
	Security	60.92%	3	0.38%	1	0.0	1	2.1
Controller's Office	Accounting & Reporting	60.92%	3	1.16%	1	18.0	2	2.4
	Accounts Payable	60.92%	3	2.78%	1	0.0	1	2.1
	Payroll	60.92%	3	1.08%	1	0.0	1	2.1
Internal Audit	Audits and Special Projects	60.92%	3	0.00%	1	0.0	1	1.7
Purchasing	Inventory Services	60.92%	3	0.65%	1	6.0	2	2.4
	Mail Services	60.92%	3	0.42%	1	0.0	1	1.7
	Procurement	60.92%	3	0.76%	1	12.0	2	2.7
Support Services	Administration and Management	60.92%	3	0.72%	1	0.0	1	2.5
	Facility Expense	60.92%	3	0.88%	1	0.0	1	1.7
	Financial Monitoring/Budgeting	60.92%	3	0.00%	1	0.0	1	2.5
	Information Technology Support	60.92%	3	2.31%	1	0.0	1	2.5
	Personnel/Training	60.92%	3	0.16%	1	0.0	1	1.7
	Purchasing/M/WBE	60.92%	3	0.00%	1	0.0	1	2.1
Telecom and Regulatory Affairs	Community Technology Initiatives	60.92%	3	0.03%	1	0.0	1	1.7
	Financial Management Services	60.92%	3	0.43%	1	24.0	3	2.6
	Franchise Management	60.92%	3	1.93%	1	3.0	1	2.1
Treasury	Debt Management	60.92%	3	1.07%	1	0.0	1	1.7
	Investment Management	60.92%	3	0.17%	1	0.0	1	1.7

* Risk scores and ratings for factor 6.1, investigator ratings, are not published

Financial and Administrative Services

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	
Budget Office	Annual Budget	0.0	5	3	5	4	4.0	
	CIP	0.0	5	5	3	4	4.3	
	Financial Monitoring and Evaluation	0.0	5	5	5	4	4.7	
	Managing for Results	0.0	5	5	5	5	5.0	
Building Services	Custodial Services	0.0	5	5	5	4	4.7	
	Electrical	0.0	5	5	5	1	3.7	
	Heating, Ventilation & Cooling	0.0	5	5	5	1	3.7	
	Maintenance	0.0	5	5	5	3	4.3	
	Safety	0.0	5	5	5	3	4.3	
	Security	0.0	5	5	5	3	4.3	
	Controller's Office	Accounting & Reporting	3.0	1	3	1	5	3.0
		Accounts Payable	1.0	3	5	1	4	3.7
Payroll		2.0	3	3	1	5	3.3	
Internal Audit	Audits and Special Projects	0.0	5	5	5	3	4.3	
Purchasing	Inventory Services	0.0	5	5	5	3	4.3	
	Mail Services	0.0	5	5	5	3	4.3	
Support Services	Procurement	0.0	5	5	3	4	4.3	
	Administration and Management	0.0	5	5	5	5	5.0	
	Facility Expense	0.0	5	5	5	3	4.3	
	Financial Monitoring/Budgeting	0.0	5	2	5	3	3.3	
	Information Technology Support	0.0	5	5	5	3	4.3	
	Personnel/Training	0.0	5	5	5	3	4.3	
	Purchasing/M/WBE	0.0	5	5	3	3	4.0	
	Telecom and Regulatory Affairs	Community Technology Initiatives	0.0	5	5	5	3	4.3
Financial Management Services		0.0	5	5	3	3	4.0	
Franchise Management		0.0	5	5	3	5	4.7	
Treasury	Debt Management	0.0	5	5	1	5	4.3	
	Investment Management	0.0	5	5	1	5	4.3	

APPENDIX C
RISK RATING RESULTS

Fleet Services

**OCA 2005 Risk Assessment
Risk Group Ratings by Activity**

<u>RiskGroup #</u>	<u>1</u>	<u>2</u>	<u>3</u>	<u>4</u>	<u>5</u>	<u>6</u>	<u>7</u>	<u>All</u>
Department Level Factors Weight	4	7	3	2	5	3	0	24
Activity Level Factors Weight	12	11	17	9	4	11	12	76
Total Weight	16	18	20	11	9	14	12	100

Fleet Services

Program	Risk Group Name	Activity	Size / Complexity	Change	Planning / Performance	Public Concern	Safety / Liability	Ethics	Mitigating Factors	Weighted Avg-Activity Factors	Weighted Avg-All Factors	RANK - 10ths
Fleet Service Centers		Inventory Control	3.3	3.1	2.8	1.0	4.0	2.5	5.0	3.05	3.02	9
		Preventive Maintenance	3.5	3.3	4.1	1.0	3.0	2.6	5.0	3.38	3.27	10
		Scheduled Maintenance	3.0	4.0	1.0	1.0	1.0	2.1	5.0	2.54	2.63	5
		Unscheduled Repairs	3.5	3.3	3.3	1.0	5.0	2.8	5.0	3.34	3.24	10
Support Services		Administration and Management	2.8	1.2	1.4	1.6	4.0	2.8	4.3	2.39	2.52	3
		Facility Expense	2.0	2.1	3.5	1.0	1.0	1.4	5.0	2.55	2.64	5
		Financial Monitoring/Budgeting	3.0	2.5	2.9	1.0	1.0	2.1	4.3	2.63	2.70	6
		Information Technology Support	2.8	3.9	2.9	1.0	1.0	2.1	5.0	2.92	2.92	8
		Personnel/Training/Safety	2.8	1.0	3.9	1.0	1.0	2.5	4.7	2.71	2.76	7
Vehicle Support Services		Purchasing/M/WBE	2.3	2.3	3.4	1.0	1.0	2.1	5.0	2.70	2.75	7
		Auction	3.0	1.4	4.1	1.0	1.0	2.5	5.0	2.89	2.90	8
		Fuel Management	3.0	1.9	1.2	1.0	1.0	3.2	4.0	2.28	2.43	2
		Make Ready	2.3	1.2	3.1	1.0	1.0	2.1	4.3	2.38	2.51	3
		Rental Pool	2.5	1.4	1.7	1.0	1.0	2.1	4.3	2.13	2.32	1
		Taxi	2.8	1.4	1.0	1.0	1.0	1.7	4.3	1.96	2.19	1

Fleet Services

Factor: Size and Complexity

Program	Activity	Size-FY05 Budgeted Expend	Budget Relative Size Rating	Size-FY05 Budgeted FTEs	FTEs Relative Size Rating	Revenue Rating	No. of Sites Rating	Diversity of Services Rating	Contract Expend. - % of Total	Contract Expend. Rating	Size and Complexity Rating
Fleet Service Centers	Inventory Control	\$1,139,331	4	23.00	5	4	3	3	0.33%	1	3.3
	Preventive Maintenance	\$4,369,380	5	42.90	5	4	3	3	6.90%	1	3.5
	Scheduled Maintenance	\$1,440,940	4	14.30	4	4	3	3	0.00%	1	3.0
	Unscheduled Repairs	\$8,768,421	5	85.80	5	4	3	3	11.99%	1	3.5
Support Services	Administration and Management	\$480,094	3	3.00	3	4	3	4	8.38%	1	2.8
	Facility Expense	\$208,800	2	0.00	1	4	3	4	8.46%	1	2.0
	Financial Monitoring/Budgeting	\$515,034	3	9.00	4	4	3	4	0.06%	1	3.0
	Information Technology Support	\$283,358	3	2.00	2	4	3	4	33.80%	2	2.8
	Personnel/Training/Safety	\$259,371	3	3.00	3	4	3	4	0.00%	1	2.8
	Purchasing/M/WBE	\$77,789	2	1.00	2	4	3	4	0.00%	1	2.3
Vehicle Support Services	Auction	\$145,768	2	2.30	3	4	3	5	22.43%	2	3.0
	Fuel Management	\$6,120,047	5	6.00	3	4	3	3	0.80%	1	3.0
	Make Ready	\$173,289	2	2.50	3	4	3	3	2.72%	1	2.3
	Rental Pool	\$243,198	2	1.15	2	4	3	5	1.41%	1	2.5
	Taxi	\$118,945	2	3.05	3	4	3	5	0.00%	1	2.8

Fleet Services
Factor: Change

Program	Activity	Business Plan Change Rating	Expend Trend - % Change	Expend Trend Rating	FTE Trend - % Change	FTE Trend Rating	Employee Turnover Rating	Yrs of Svc Lost Rating	Revenue Trend - % Change	Revenue Trend Rating	Change Rating
Fleet Service Centers	Inventory Control	4	2.67%	1	-11.54%	2	3	5	7.36%	2	3.1
	Preventive Maintenance	4	-2.27%	1	-22.67%	3	3	5	7.36%	2	3.3
	Scheduled Maintenance	4	40.44%	4	-47.04%	4	3	5	7.36%	2	4.0
	Unscheduled Repairs	4	3.26%	1	27.07%	3	3	5	7.36%	2	3.3
Support Services	Administration and Management	1	-13.03%	2	0.00%	1	3	5	7.36%	2	1.2
	Facility Expense	1	-20.87%	3	100.00%	5	3	5	7.36%	2	2.1
	Financial Monitoring/Budgeting	3	18.28%	2	-10.00%	1	3	5	7.36%	2	2.5
	Information Technology Support	5	-6.47%	1	-33.33%	3	3	5	7.36%	2	3.9
	Personnel/Training/Safety	1	7.49%	1	0.00%	1	3	5	7.36%	2	1.0
	Purchasing/M/WBE	3	9.43%	1	0.00%	1	3	5	7.36%	2	2.3
Vehicle Support Services	Auction	1	15.10%	2	-11.54%	2	3	5	7.36%	2	1.4
	Fuel Management	1	22.22%	3	-57.14%	4	3	5	7.36%	2	1.9
	Make Ready	1	7.20%	1	-16.67%	2	3	5	7.36%	2	1.2
	Rental Pool	1	16.14%	2	-11.54%	2	3	5	7.36%	2	1.4
	Taxi	1	2.85%	1	-27.38%	3	3	5	7.36%	2	1.4

Fleet Services

Factor: Planning and Performance

Program	Activity	Variance - FY04 Actual vs Budget	Variance - Actual vs Budget Rating	Performance Trend Rating	LWF Survey Positive Empl. Satisf. Responses	Workforce Survey - Satisfaction Rating	Overtime - % of Total Salaries	Overtime - % of Total Rating	Planning and Performance Rating
Fleet Service Centers	Inventory Control	-3.17%	1	4	0.00%	3	0.16%	1	2.8
	Preventive Maintenance	-36.09%	5	5	0.00%	3	0.74%	1	4.1
	Scheduled Maintenance	0.04%	1	1	0.00%	3	0.00%	1	1.0
	Unscheduled Repairs	15.09%	4	4	0.00%	3	0.77%	1	3.3
Support Services	Administration and Management	12.90%	3	1	0.00%	3	0.00%	1	1.4
	Facility Expense	26.11%	5	4	0.00%	3	0.00%	1	3.5
	Financial Monitoring/Budgeting	-29.05%	5	3	0.00%	3	0.00%	1	2.9
	Information Technology Support	-5.53%	2	4	0.00%	3	0.00%	1	2.9
	Personnel/Training/Safety	-16.25%	4	5	0.00%	3	0.00%	1	3.9
	Purchasing/M/WBE	-2.48%	1	5	0.00%	3	0.00%	1	3.4
Vehicle Support Services	Auction	-27.45%	5	5	0.00%	3	0.00%	1	4.1
	Fuel Management	-8.35%	2	1	0.00%	3	0.02%	1	1.2
	Make Ready	12.06%	3	4	0.00%	3	0.00%	1	3.1
	Rental Pool	-30.29%	5	1	0.00%	3	0.00%	1	1.7
	Taxi	-4.34%	1	1	0.00%	3	0.00%	1	1.0

Fleet Services

Factor: Public Concern

Program	Activity	FY04 Citizen Complaints (CAFs) per FTE	Citizen Complaints per FTE Rating	Number of Council/ CMO/ Comments	Council/ CMO Survey Rating	Legal Claims and Suits per 100 FTEs	Legal Claims and Suits Rating	Public Concern Rating
Fleet Service Centers	Inventory Control	0.00	1	0	1	2.01	2	1.0
	Preventive Maintenance	0.00	1	0	1	2.01	2	1.0
	Scheduled Maintenance	0.00	1	0	1	2.01	2	1.0
	Unscheduled Repairs	0.00	1	0	1	2.01	2	1.0
Support Services	Administration and Management	0.00	1	1	2	2.01	2	1.6
	Facility Expense	0.00	1	0	1	2.01	2	1.0
	Financial Monitoring/Budgeting	0.00	1	0	1	2.01	2	1.0
	Information Technology Support	0.00	1	0	1	2.01	2	1.0
	Personnel/Training/Safety	0.00	1	0	1	2.01	2	1.0
	Purchasing/M/WBE	0.00	1	0	1	2.01	2	1.0
Vehicle Support Services	Auction	0.00	1	0	1	2.01	2	1.0
	Fuel Management	0.00	1	0	1	2.01	2	1.0
	Make Ready	0.00	1	0	1	2.01	2	1.0
	Rental Pool	0.00	1	0	1	2.01	2	1.0
	Taxi	0.00	1	0	1	2.01	2	1.0

Fleet Services

Factor: Safety and Liability

Program	Activity	FY04 Workers Comp Claims per FTE	Workers Comp Claims Rating	Legal Claims and Suits Paid per FTE	Legal Claims and Suits Paid Rating	LWF Survey Positive Safety Responses	Workforce Survey - Safety Rating	Safety and Liability Rating
Fleet Service Centers	Inventory Control	0.30	4	12.61	2	0.00%	3	4.0
	Preventive Maintenance	0.11	3	12.61	2	0.00%	3	3.0
	Scheduled Maintenance	0.00	1	12.61	2	0.00%	3	1.0
	Unscheduled Repairs	0.64	5	12.61	2	0.00%	3	5.0
Support Services	Administration and Management	0.33	4	12.61	2	0.00%	3	4.0
	Facility Expense	0.00	1	12.61	2	0.00%	3	1.0
	Financial Monitoring/Budgeting	0.00	1	12.61	2	0.00%	3	1.0
	Information Technology Support	0.00	1	12.61	2	0.00%	3	1.0
	Personnel/Training/Safety	0.00	1	12.61	2	0.00%	3	1.0
	Purchasing/M/WBE	0.00	1	12.61	2	0.00%	3	1.0
Vehicle Support Services	Auction	0.00	1	12.61	2	0.00%	3	1.0
	Fuel Management	0.00	1	12.61	2	0.00%	3	1.0
	Make Ready	0.00	1	12.61	2	0.00%	3	1.0
	Rental Pool	0.00	1	12.61	2	0.00%	3	1.0
	Taxi	0.00	1	12.61	2	0.00%	3	1.0

Fleet Services

Factor: Ethics

Program	Activity	LWF Survey - Ethics Positive Responses	Workforce Survey - Ethics Rating	Commod. % of Total Expend.	Commod. % of Total Expend. Rating	Weighted Cash Handling Score	Cash Handling Rating	Ethics Rating
Fleet Service Centers	Inventory Control	0.00%	3	0.27%	1	0.0	1	2.5
	Preventive Maintenance	0.00%	3	15.36%	1	33.0	3	2.6
	Scheduled Maintenance	0.00%	3	0.00%	1	0.0	1	2.1
	Unscheduled Repairs	0.00%	3	32.72%	3	0.0	1	2.8
Support Services	Administration and Management	0.00%	3	28.81%	2	3.0	1	2.8
	Facility Expense	0.00%	3	4.14%	1	0.0	1	1.4
	Financial Monitoring/Budgeting	0.00%	3	0.69%	1	0.0	1	2.1
	Information Technology Support	0.00%	3	0.39%	1	0.0	1	2.1
	Personnel/Training/Safety	0.00%	3	0.21%	1	0.0	1	2.5
	Purchasing/M/WBE	0.00%	3	0.04%	1	0.0	1	2.1
Vehicle Support Services	Auction	0.00%	3	1.99%	1	3.0	1	2.5
	Fuel Management	0.00%	3	48.03%	4	0.0	1	3.2
	Make Ready	0.00%	3	17.44%	1	0.0	1	2.1
	Rental Pool	0.00%	3	0.40%	1	0.0	1	2.1
	Taxi	0.00%	3	0.17%	1	0.0	1	1.7

* Risk scores and ratings for factor 6.1, investigator ratings, are not published

Fleet Services

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
Fleet Service Centers	Inventory Control	0.0	5	5	5	5	5.0
	Preventive Maintenance	0.0	5	5	5	5	5.0
	Scheduled Maintenance	0.0	5	5	5	5	5.0
	Unscheduled Repairs	0.0	5	5	5	5	5.0
Support Services	Administration and Management	0.0	5	5	5	3	4.3
	Facility Expense	0.0	5	5	5	5	5.0
	Financial Monitoring/Budgeting	0.0	5	5	5	3	4.3
	Information Technology Support	0.0	5	5	5	5	5.0
	Personnel/Training/Safety	0.0	5	5	5	4	4.7
	Purchasing/M/WBE	0.0	5	5	5	5	5.0
Vehicle Support Services	Auction	0.0	5	5	5	5	5.0
	Fuel Management	2.0	3	5	5	3	4.0
	Make Ready	0.0	5	5	5	3	4.3
	Rental Pool	0.0	5	5	5	3	4.3
	Taxi	0.0	5	5	5	3	4.3

APPENDIX C
RISK RATING RESULTS

Health and Human Services

**OCA 2005 Risk Assessment
Risk Group Ratings by Activity**

<u>RiskGroup #</u>	<u>1</u>	<u>2</u>	<u>3</u>	<u>4</u>	<u>5</u>	<u>6</u>	<u>7</u>	<u>All</u>
Department Level Factors Weight	4	7	3	2	5	3	0	24
Activity Level Factors Weight	12	11	17	9	4	11	12	76
Total Weight	16	18	20	11	9	14	12	100

Health and Human Services

Program	Activity	Risk Group Name	Size / Complexity	Change	Planning / Performance	Public Concern	Safety / Liability	Ethics	Mitigating Factors	Weighted Avg-Activity Factors	Weighted Avg-All Factors	RANK - 10ths
Animal Services	Animal Control		3.5	1.0	1.6	1.6	5.0	2.4	3.3	2.37	2.47	3
	No Kill Millennium		3.3	1.8	1.6	1.6	4.0	2.5	3.7	2.46	2.54	3
	Shelter Services		3.8	1.0	2.2	1.6	5.0	3.0	3.7	2.68	2.71	7
Communicable Disease Prevention	Disease Surveillance		3.3	3.3	2.8	1.0	1.0	2.1	3.7	2.66	2.69	6
	HIV Community Programs		3.8	2.9	2.2	1.0	1.0	2.1	3.5	2.53	2.59	4
	HIV Outreach & Prevention		3.8	3.1	2.2	1.0	1.0	2.1	3.5	2.55	2.61	4
	Immunization		3.5	2.9	1.6	1.0	2.0	1.7	3.8	2.41	2.50	3
	STD Control		3.5	1.8	2.4	1.0	2.0	1.6	4.0	2.43	2.52	3
	Tuberculosis Elimination		3.5	1.8	2.8	1.0	1.0	1.4	4.0	2.43	2.52	3
Environmental & Consumer Health	Health and safety Code Compliance		3.8	3.1	2.8	2.1	3.0	2.1	3.3	2.89	2.87	8
	Information and Referral		3.0	3.1	2.8	1.0	1.0	2.4	3.7	2.63	2.67	6
	Rodent/Vector Control		2.8	3.3	2.4	1.6	3.0	2.1	3.3	2.61	2.65	5
Healthy Communities	Austin Health Connection		2.0	4.4	2.9	1.6	5.0	2.6	3.3	2.95	2.91	8
	Disease and Injury Prevention		4.0	3.2	2.8	1.6	3.0	1.7	3.8	2.91	2.88	8
	Family Health		2.5	1.4	1.8	1.6	1.0	1.7	3.3	2.00	2.19	1
	Public Health Nursing		3.0	2.8	1.8	1.0	2.0	1.7	3.7	2.33	2.44	2
One Stop Shop	Commercial Building Plan Review		2.3	2.5	2.2	1.0	1.0	1.7	3.7	2.20	2.34	1
	One Time Inspection		2.0	2.5	2.2	1.0	1.0	2.1	3.7	2.21	2.35	1
Social Services	Basic Needs Services		4.0	2.9	2.2	1.6	3.0	2.1	3.7	2.76	2.77	7
	Child Care Services		3.3	2.9	2.8	1.0	1.0	2.1	3.7	2.61	2.65	5
	Homeless Services		3.5	3.6	2.2	1.6	1.0	1.7	4.0	2.68	2.71	7
	Mental Health Services		3.3	3.6	1.6	1.0	1.0	1.7	4.0	2.45	2.53	3
	Self Sufficiency Services		3.3	3.1	2.8	1.0	1.0	1.7	3.3	2.53	2.59	4
	Substance Abuse Services		2.8	3.3	2.8	1.0	1.0	1.7	4.0	2.58	2.63	5
	Violence & Victimization Services		3.0	3.1	2.8	1.0	1.0	1.7	4.0	2.59	2.64	5
	Workforce Development Services		3.5	2.9	2.8	1.0	1.0	1.7	4.0	2.64	2.68	6
Support Services	Administration and Management		4.0	2.8	2.2	1.0	1.0	1.6	3.0	2.41	2.50	3
	Facility Expense		3.3	1.9	2.4	1.0	1.0	1.7	3.7	2.32	2.43	2
	Financial Monitoring/Budgeting		3.5	2.0	1.8	1.0	2.0	2.1	3.0	2.24	2.37	1
	Information Technology Support		3.3	3.7	2.2	1.0	1.0	1.7	4.7	2.70	2.72	7

	Personnel/Training	3.3	1.5	2.2	1.0	3.0	1.4	3.0	2.17	2.32	1
	Vehicle/Equipment Maintenance	2.3	2.3	2.7	1.0	1.0	1.7	3.7	2.29	2.41	2
Vital Records	Vital Records	3.0	2.1	2.9	1.0	3.0	2.6	3.3	2.62	2.66	6
Youth Services	Youth Development	3.8	2.6	2.2	1.0	1.0	1.7	3.7	2.46	2.54	3
	Youth Employment	2.8	2.6	2.4	1.0	5.0	1.7	4.3	2.66	2.69	6

Health and Human Services

Factor: Size and Complexity

Program	Activity	Size-FY05 Budgeted Expend	Budget Relative Size Rating	Size-FY05 Budgeted FTEs	FTEs Relative Size Rating	Revenue Rating	No. of Sites Rating	Diversity of Services Rating	Contract Expend. - % of Total	Contract Expend. Rating	Size and Complexity Rating
Animal Services	Animal Control	\$1,017,035	4	20.75	5	3	4	4	0.17%	1	3.5
	No Kill Millennium	\$632,594	3	12.50	4	3	4	5	0.06%	1	3.3
	Shelter Services	\$2,442,048	5	44.25	5	3	4	4	0.00%	1	3.8
Communicable Disease Prevention	Disease Surveillance	\$1,045,701	4	14.05	4	3	4	4	3.45%	1	3.3
	HIV Community Programs	\$6,540,197	5	14.60	4	3	4	5	0.00%	1	3.8
	HIV Outreach & Prevention	\$2,668,133	5	22.84	5	3	4	4	0.71%	1	3.8
	Immunization	\$1,251,069	4	21.45	5	3	4	4	0.70%	1	3.5
	STD Control	\$1,154,987	4	17.48	5	3	4	4	5.55%	1	3.5
	Tuberculosis Elimination	\$1,157,574	4	17.83	5	3	4	4	16.58%	1	3.5
Environmental & Consumer Health	Health and safety Code Compliance	\$2,034,071	5	31.21	5	3	4	4	1.05%	1	3.8
	Information and Referral	\$287,450	3	6.25	4	3	4	4	4.77%	1	3.0
	Rodent/Vector Control	\$383,380	3	5.70	3	3	4	4	15.59%	1	2.8
Healthy Communities	Austin Health Connection	\$13,080	1	0.00	1	3	4	5	4.04%	1	2.0
	Disease and Injury Prevention	\$2,671,051	5	15.35	5	3	4	5	2.15%	1	4.0
	Family Health	\$215,910	2	2.00	2	3	4	5	0.00%	1	2.5
	Public Health Nursing	\$572,822	3	11.35	4	3	4	4	0.10%	1	3.0
One Stop Shop	Commercial Building Plan Review	\$60,009	2	1.00	2	3	4	4	0.00%	1	2.3
	One Time Inspection	\$20,303	1	0.39	2	3	4	4	0.00%	1	2.0
Social Services	Basic Needs Services	\$2,301,339	5	19.05	5	3	4	5	3.07%	1	4.0
	Child Care Services	\$1,909,015	5	1.55	2	3	4	5	0.00%	1	3.3
	Homeless Services	\$4,008,387	5	2.60	3	3	4	5	0.00%	1	3.5
	Mental Health Services	\$1,933,427	5	0.80	2	3	4	5	0.00%	1	3.3
	Self Sufficiency Services	\$350,628	3	6.05	4	3	4	5	0.14%	1	3.3
	Substance Abuse Services	\$734,843	3	0.60	2	3	4	5	0.00%	1	2.8
	Violence & Victimization Services	\$1,016,561	4	0.85	2	3	4	5	0.00%	1	3.0
	Workforce Development Services	\$2,502,208	5	4.55	3	3	4	5	0.00%	1	3.5
Support Services	Administration and Management	\$1,618,845	5	23.50	5	3	4	5	7.54%	1	4.0
	Facility Expense	\$1,096,310	4	2.00	2	3	4	5	36.40%	2	3.3
	Financial Monitoring/Budgeting	\$859,412	4	13.20	4	3	4	5	0.91%	1	3.5
	Information Technology Support	\$622,900	3	7.10	4	3	4	5	14.12%	1	3.3
	Personnel/Training	\$505,405	3	7.20	4	3	4	5	0.57%	1	3.3
	Vehicle/Equipment Maintenance	\$18,897	1	0.25	2	3	4	5	0.00%	1	2.3
Vital Records	Vital Records	\$495,674	3	9.35	4	3	4	4	15.04%	1	3.0
Youth Services	Youth Development	\$2,507,600	5	11.95	4	3	4	5	0.00%	1	3.8
	Youth Employment	\$297,068	3	0.40	2	3	4	5	-0.07%	1	2.8

Health and Human Services

Factor: Change

Program	Activity	Business Plan Change Rating	Expend Trend - % Change	Expend Trend Rating	FTE Trend - % Change	FTE Trend Rating	Employee Turnover Rating	Yrs of Svc Lost Rating	Revenue Trend - % Change	Revenue Trend Rating	Change Rating	
Animal Services	Animal Control	1	-4.11%	1	-8.39%	1	3	4	-0.78%	1	1.0	
	No Kill Millennium	2	-6.11%	1	-11.97%	2	3	4	-0.78%	1	1.8	
	Shelter Services	1	8.21%	1	-1.99%	1	3	4	-0.78%	1	1.0	
Communicable Disease Prevention	Disease Surveillance	4	37.61%	3	0.29%	1	3	4	-0.78%	1	3.3	
	HIV Community Programs	4	4.95%	1	2.82%	1	3	4	-0.78%	1	2.9	
	HIV Outreach & Prevention	4	12.80%	2	-9.87%	1	3	4	-0.78%	1	3.1	
	Immunization	4	3.47%	1	-3.60%	1	3	4	-0.78%	1	2.9	
	STD Control	2	16.12%	2	-3.64%	1	3	4	-0.78%	1	1.8	
	Tuberculosis Elimination	2	2.99%	1	-14.57%	2	3	4	-0.78%	1	1.8	
Environmental & Consumer Health	Health and safety Code Compliance	4	15.03%	2	-1.70%	1	3	4	-0.78%	1	3.1	
	Information and Referral	4	15.07%	2	0.00%	1	3	4	-0.78%	1	3.1	
	Rodent/Vector Control	4	38.96%	3	3.64%	1	3	4	-0.78%	1	3.3	
Healthy Communities	Austin Health Connection	4	-88.93%	5	-100.00%	5	3	4	-0.78%	1	4.4	
	Disease and Injury Prevention	3	249.66%	5	11.64%	2	3	4	-0.78%	1	3.2	
	Family Health	1	-9.00%	1	-33.33%	3	3	4	-0.78%	1	1.4	
	Public Health Nursing	3	26.03%	3	11.93%	2	3	4	-0.78%	1	2.8	
One Stop Shop	Commercial Building Plan Review	1	100.00%	5	100.00%	5	3	4	-0.78%	1	2.5	
	One Time Inspection	1	100.00%	5	100.00%	5	3	4	-0.78%	1	2.5	
Social Services	Basic Needs Services	4	-2.07%	1	-7.79%	1	3	4	-0.78%	1	2.9	
	Child Care Services	4	-2.31%	1	-8.82%	1	3	4	-0.78%	1	2.9	
	Homeless Services	4	23.46%	3	26.83%	3	3	4	-0.78%	1	3.6	
	Mental Health Services	4	-1.59%	1	86.05%	5	3	4	-0.78%	1	3.6	
	Self Sufficiency Services	4	4.50%	1	-11.55%	2	3	4	-0.78%	1	3.1	
	Substance Abuse Services	4	1.04%	1	39.53%	3	3	4	-0.78%	1	3.3	
	Violence & Victimization Services	4	19.96%	2	0.00%	1	3	4	-0.78%	1	3.1	
	Workforce Development Services	4	-4.42%	1	-8.08%	1	3	4	-0.78%	1	2.9	
	Support Services	Administration and Management	3	-15.88%	2	-30.00%	3	3	4	-0.78%	1	2.8
		Facility Expense	1	-35.47%	3	-71.43%	4	3	4	-0.78%	1	1.9
Financial Monitoring/Budgeting		2	-5.46%	1	-32.65%	3	3	4	-0.78%	1	2.0	
Information Technology Support		5	4.01%	1	-14.46%	2	3	4	-0.78%	1	3.7	
Personnel/Training		1	-19.48%	2	-37.93%	3	3	4	-0.78%	1	1.5	
Vehicle/Equipment Maintenance		1	202.93%	5	-41.86%	4	3	4	-0.78%	1	2.3	
Vital Records	Vital Records	1	50.07%	4	43.85%	4	3	4	-0.78%	1	2.1	
Youth Services	Youth Development	3	-19.52%	2	-15.55%	2	3	4	-0.78%	1	2.6	
	Youth Employment	3	-28.36%	3	0.00%	1	3	4	-0.78%	1	2.6	

Health and Human Services

Factor: Planning and Performance

Program	Activity	Variance - FY04 Actual vs Budget	Variance - Actual vs Budget Rating	Performance Trend Rating	LWF Survey Positive Empl. Satisf. Responses	Workforce Survey - Satisfaction Rating	Overtime - % of Total Salaries	Overtime - % of Total Rating	Planning and Performance Rating	
Animal Services	Animal Control	-3.60%	1	2	73.00%	2	0.79%	1	1.6	
	No Kill Millennium	3.77%	1	2	73.00%	2	0.06%	1	1.6	
	Shelter Services	0.96%	1	3	73.00%	2	0.00%	1	2.2	
Communicable Disease Prevention	Disease Surveillance	-1.89%	1	4	73.00%	2	0.00%	1	2.8	
	HIV Community Programs	-0.10%	1	3	73.00%	2	0.00%	1	2.2	
	HIV Outreach & Prevention	0.39%	1	3	73.00%	2	0.00%	1	2.2	
	Immunization	-1.11%	1	2	73.00%	2	0.08%	1	1.6	
	STD Control	-7.33%	2	3	73.00%	2	0.10%	1	2.4	
	Tuberculosis Elimination	0.82%	1	4	73.00%	2	0.44%	1	2.8	
Environmental & Consumer Health	Health and safety Code Compliance	-2.07%	1	4	73.00%	2	0.02%	1	2.8	
	Information and Referral	-4.03%	1	4	73.00%	2	0.00%	1	2.8	
	Rodent/Vector Control	9.81%	2	3	73.00%	2	0.03%	1	2.4	
Healthy Communities	Austin Health Connection	-32.98%	5	3	73.00%	2	0.10%	1	2.9	
	Disease and Injury Prevention	0.88%	1	4	73.00%	2	0.01%	1	2.8	
One Stop Shop	Family Health	-6.92%	2	2	73.00%	2	0.00%	1	1.8	
	Public Health Nursing	-6.86%	2	2	73.00%	2	0.03%	1	1.8	
	Commercial Building Plan Review	0.00%	1	3	73.00%	2	0.00%	1	2.2	
	One Time Inspection	0.00%	1	3	73.00%	2	0.00%	1	2.2	
Social Services	Basic Needs Services	-1.28%	1	3	73.00%	2	0.02%	1	2.2	
	Child Care Services	1.15%	1	4	73.00%	2	0.00%	1	2.8	
	Homeless Services	0.33%	1	3	73.00%	2	0.00%	1	2.2	
	Mental Health Services	-0.79%	1	2	73.00%	2	0.00%	1	1.6	
	Self Sufficiency Services	-1.54%	1	4	73.00%	2	0.00%	1	2.8	
	Substance Abuse Services	-1.02%	1	4	73.00%	2	0.00%	1	2.8	
	Violence & Victimization Services	2.09%	1	4	73.00%	2	0.00%	1	2.8	
	Workforce Development Services	0.77%	1	4	73.00%	2	0.00%	1	2.8	
	Support Services	Administration and Management	3.05%	1	3	73.00%	2	0.19%	1	2.2
		Facility Expense	-6.83%	2	3	73.00%	2	0.02%	1	2.4
		Financial Monitoring/Budgeting	9.63%	2	2	73.00%	2	0.00%	1	1.8
		Information Technology Support	-2.70%	1	3	73.00%	2	0.00%	1	2.2
		Personnel/Training	-1.40%	1	3	73.00%	2	0.00%	1	2.2
Vehicle/Equipment Maintenance		15.35%	4	3	73.00%	2	0.00%	1	2.7	
Vital Records	Vital Records	-8.90%	2	4	73.00%	2	0.09%	1	2.9	
Youth Services	Youth Development	-2.09%	1	3	73.00%	2	0.00%	1	2.2	
	Youth Employment	5.56%	2	3	73.00%	2	0.00%	1	2.4	

Health and Human Services
Factor: Public Concern

Program	Activity	FY04 Citizen Complaints (CAFs) per FTE	Citizen Complaints per FTE Rating	Number of Council/ CMO Comments	Council/ CMO Survey Rating	Legal Claims and Suits per 100 FTEs	Legal Claims and Suits Rating	Public Concern Rating
Animal Services	Animal Control	0.60	1	1	2	2.01	2	1.6
	No Kill Millennium	0.30	1	1	2	2.01	2	1.6
	Shelter Services	0.02	1	1	2	2.01	2	1.6
Communicable Disease Prevention	Disease Surveillance	0.00	1	0	1	2.01	2	1.0
	HIV Community Programs	0.00	1	0	1	2.01	2	1.0
	HIV Outreach & Prevention	0.00	1	0	1	2.01	2	1.0
	Immunization	0.00	1	0	1	2.01	2	1.0
	STD Control	0.00	1	0	1	2.01	2	1.0
	Tuberculosis Elimination	0.00	1	0	1	2.01	2	1.0
	Health and safety Code Compliance	0.14	1	2	3	2.01	2	2.1
Environmental & Consumer Health	Information and Referral	0.80	1	0	1	2.01	2	1.0
	Rodent/Vector Control	1.85	1	1	2	2.01	2	1.6
	Health and safety Code Compliance	0.14	1	2	3	2.01	2	2.1
Healthy Communities	Austin Health Connection	1.67	1	1	2	2.01	2	1.6
	Disease and Injury Prevention	0.00	1	1	2	2.01	2	1.6
	Family Health	0.00	1	1	2	2.01	2	1.6
	Public Health Nursing	0.09	1	0	1	2.01	2	1.0
One Stop Shop	Commercial Building Plan Review	0.00	1	0	1	2.01	2	1.0
	One Time Inspection	0.00	1	0	1	2.01	2	1.0
Social Services	Basic Needs Services	0.05	1	1	2	2.01	2	1.6
	Child Care Services	0.63	1	0	1	2.01	2	1.0
	Homeless Services	1.05	1	1	2	2.01	2	1.6
	Mental Health Services	1.82	1	0	1	2.01	2	1.0
	Self Sufficiency Services	0.00	1	0	1	2.01	2	1.0
	Substance Abuse Services	0.00	1	0	1	2.01	2	1.0
	Violence & Victimization Services	0.00	1	0	1	2.01	2	1.0
	Workforce Development Services	0.41	1	0	1	2.01	2	1.0
Support Services	Administration and Management	0.41	1	0	1	2.01	2	1.0
	Facility Expense	0.00	1	0	1	2.01	2	1.0
	Financial Monitoring/Budgeting	0.00	1	0	1	2.01	2	1.0
	Information Technology Support	0.00	1	0	1	2.01	2	1.0
	Personnel/Training	0.00	1	0	1	2.01	2	1.0
	Vehicle/Equipment Maintenance	0.00	1	0	1	2.01	2	1.0
Vital Records	Vital Records	0.11	1	0	1	2.01	2	1.0
Youth Services	Youth Development	0.11	1	0	1	2.01	2	1.0
	Youth Employment	0.00	1	0	1	2.01	2	1.0

Health and Human Services
Factor: Safety and Liability

Program	Activity	FY04 Workers Comp Claims per FTE	Workers Comp Claims Rating	Legal Claims and Suits Paid per FTE	Legal Claims and Suits Paid Rating	LWF Survey Positive Safety Responses	Workforce Survey - Safety Rating	Safety and Liability Rating
Animal Services	Animal Control	0.87	5	18.69	2	77.00%	2	5.0
	No Kill Millennium	0.30	4	18.69	2	77.00%	2	4.0
	Shelter Services	0.86	5	18.69	2	77.00%	2	5.0
Communicable Disease Prevention	Disease Surveillance	0.00	1	18.69	2	77.00%	2	1.0
	HIV Community Programs	0.00	1	18.69	2	77.00%	2	1.0
	HIV Outreach & Prevention	0.00	1	18.69	2	77.00%	2	1.0
	Immunization	0.09	2	18.69	2	77.00%	2	2.0
	STD Control	0.06	2	18.69	2	77.00%	2	2.0
	Tuberculosis Elimination	0.00	1	18.69	2	77.00%	2	1.0
Environmental & Consumer Health	Health and safety Code Compliance	0.17	3	18.69	2	77.00%	2	3.0
	Information and Referral	0.00	1	18.69	2	77.00%	2	1.0
	Rodent/Vector Control	0.19	3	18.69	2	77.00%	2	3.0
Healthy Communities	Austin Health Connection	1.67	5	18.69	2	77.00%	2	5.0
	Disease and Injury Prevention	0.16	3	18.69	2	77.00%	2	3.0
	Family Health	0.00	1	18.69	2	77.00%	2	1.0
	Public Health Nursing	0.09	2	18.69	2	77.00%	2	2.0
One Stop Shop	Commercial Building Plan Review	0.00	1	18.69	2	77.00%	2	1.0
	One Time Inspection	0.00	1	18.69	2	77.00%	2	1.0
Social Services	Basic Needs Services	0.15	3	18.69	2	77.00%	2	3.0
	Child Care Services	0.00	1	18.69	2	77.00%	2	1.0
	Homeless Services	0.00	1	18.69	2	77.00%	2	1.0
	Mental Health Services	0.00	1	18.69	2	77.00%	2	1.0
	Self Sufficiency Services	0.00	1	18.69	2	77.00%	2	1.0
	Substance Abuse Services	0.00	1	18.69	2	77.00%	2	1.0
	Violence & Victimization Services	0.00	1	18.69	2	77.00%	2	1.0
	Workforce Development Services	0.00	1	18.69	2	77.00%	2	1.0
Support Services	Administration and Management	0.04	1	18.69	2	77.00%	2	1.0
	Facility Expense	0.00	1	18.69	2	77.00%	2	1.0
	Financial Monitoring/Budgeting	0.07	2	18.69	2	77.00%	2	2.0
	Information Technology Support	0.00	1	18.69	2	77.00%	2	1.0
	Personnel/Training	0.10	3	18.69	2	77.00%	2	3.0
	Vehicle/Equipment Maintenance	0.00	1	18.69	2	77.00%	2	1.0
	Vital Records	Vital Records	0.11	3	18.69	2	77.00%	2
Youth Services	Youth Development	0.00	1	18.69	2	77.00%	2	1.0
	Youth Employment	14.29	5	18.69	2	77.00%	2	5.0

Health and Human Services

Factor: Ethics

Program	Activity	LWF Survey - Ethics Positive Responses	Workforce Survey - Ethics Rating	Commod. % of Total Expend.	Commod. % of Total Expend. Rating	Weighted Cash Handling Score	Cash Handling Rating	Ethics Rating
Animal Services	Animal Control	63.58%	2	2.62%	1	6.0	2	2.4
	No Kill Millennium	63.58%	2	1.65%	1	0.0	1	2.5
	Shelter Services	63.58%	2	20.62%	2	28.0	3	3.0
Communicable Disease Prevention	Disease Surveillance	63.58%	2	2.46%	1	0.0	1	2.1
	HIV Community Programs	63.58%	2	0.00%	1	0.0	1	2.1
	HIV Outreach & Prevention	63.58%	2	14.03%	1	0.0	1	2.1
	Immunization	63.58%	2	13.09%	1	0.0	1	1.7
	STD Control	63.58%	2	13.81%	1	18.0	2	1.6
	Tuberculosis Elimination	63.58%	2	3.23%	1	0.0	1	1.4
	Environmental & Consumer Health	Health and safety Code Compliance	63.58%	2	1.12%	1	0.0	1
	Information and Referral	63.58%	2	1.39%	1	10.0	2	2.4
	Rodent/Vector Control	63.58%	2	2.68%	1	0.0	1	2.1
Healthy Communities	Austin Health Connection	63.58%	2	20.42%	2	27.0	3	2.6
	Disease and Injury Prevention	63.58%	2	6.62%	1	0.0	1	1.7
	Family Health	63.58%	2	0.00%	1	0.0	1	1.7
	Public Health Nursing	63.58%	2	3.23%	1	0.0	1	1.7
One Stop Shop	Commercial Building Plan Review	63.58%	2	0.00%	1	0.0	1	1.7
	One Time Inspection	63.58%	2	0.00%	1	0.0	1	2.1
Social Services	Basic Needs Services	63.58%	2	3.11%	1	0.0	1	2.1
	Child Care Services	63.58%	2	0.00%	1	0.0	1	2.1
	Homeless Services	63.58%	2	0.00%	1	0.0	1	1.7
	Mental Health Services	63.58%	2	0.00%	1	0.0	1	1.7
	Self Sufficiency Services	63.58%	2	0.02%	1	0.0	1	1.7
	Substance Abuse Services	63.58%	2	0.00%	1	0.0	1	1.7
	Violence & Victimization Services	63.58%	2	0.00%	1	0.0	1	1.7
	Workforce Development Services	63.58%	2	0.00%	1	0.0	1	1.7
Support Services	Administration and Management	63.58%	2	5.81%	1	19.0	2	1.6
	Facility Expense	63.58%	2	3.48%	1	0.0	1	1.7
	Financial Monitoring/Budgeting	63.58%	2	0.26%	1	0.0	1	2.1
	Information Technology Support	63.58%	2	1.81%	1	0.0	1	1.7
	Personnel/Training	63.58%	2	0.68%	1	0.0	1	1.4
	Vehicle/Equipment Maintenance	63.58%	2	0.00%	1	0.0	1	1.7
Vital Records	Vital Records	63.58%	2	2.91%	1	33.0	3	2.6
Youth Services	Youth Development	63.58%	2	0.00%	1	0.0	1	1.7
	Youth Employment	63.58%	2	0.74%	1	0.0	1	1.7

Health and Human Services

Factor: Ethics

Program	Activity	LWF Survey - Ethics Positive Responses	Workforce Survey - Ethics Rating	Commod. % of Total Expend.	Commod. % of Total Expend. Rating	Weighted Cash Handling Score	Cash Handling Rating	Ethics Rating
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** Risk scores and ratings for factor 6.1, investigator ratings, are not published*

Health and Human Services
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	
Animal Services	Animal Control	1.0	3	5	5	1	3.3	
	No Kill Millennium	1.0	3	5	5	2	3.7	
	Shelter Services	1.0	3	5	5	2	3.7	
Communicable Disease Prevention	Disease Surveillance	1.0	3	5	5	2	3.7	
	HIV Community Programs	4.0	1	5	4	3	3.5	
	HIV Outreach & Prevention	4.0	1	5	4	3	3.5	
	Immunization	1.0	3	5	4	3	3.8	
	STD Control	1.0	3	5	5	3	4.0	
	Tuberculosis Elimination	1.0	3	5	5	3	4.0	
Environmental & Consumer Health	Health and safety Code Compliance	1.0	3	5	5	1	3.3	
	Information and Referral	0.0	5	5	5	1	3.7	
	Rodent/Vector Control	1.0	3	5	5	1	3.3	
Healthy Communities	Austin Health Connection	1.0	3	5	5	1	3.3	
	Disease and Injury Prevention	1.0	3	5	4	3	3.8	
	Family Health	1.0	3	5	5	1	3.3	
	Public Health Nursing	2.0	3	5	5	2	3.7	
One Stop Shop	Commercial Building Plan Review	0.0	5	5	5	1	3.7	
Social Services	One Time Inspection	0.0	5	5	5	1	3.7	
	Basic Needs Services	1.0	3	5	5	2	3.7	
	Child Care Services	0.0	5	5	5	1	3.7	
	Homeless Services	0.0	5	5	5	2	4.0	
	Mental Health Services	0.0	5	5	5	2	4.0	
	Self Sufficiency Services	1.0	3	5	5	1	3.3	
	Substance Abuse Services	0.0	5	5	5	2	4.0	
	Violence & Victimization Services	0.0	5	5	5	2	4.0	
	Workforce Development Services	0.0	5	5	5	2	4.0	
	Support Services	Administration and Management	9.0	1	5	5	1	3.0
		Facility Expense	0.0	5	5	5	1	3.7
		Financial Monitoring/Budgeting	9.0	1	5	5	1	3.0
		Information Technology Support	1.0	3	5	5	5	4.7
Personnel/Training		9.0	1	5	5	1	3.0	
Vehicle/Equipment Maintenance		0.0	5	5	5	1	3.7	
Vital Records	Vital Records	1.0	3	5	5	1	3.3	
Youth Services	Youth Development	3.0	1	5	5	3	3.7	
	Youth Employment	0.0	5	5	5	3	4.3	

APPENDIX C
RISK RATING RESULTS

Library Department

**OCA 2005 Risk Assessment
Risk Group Ratings by Activity**

<u>RiskGroup #</u>	<u>1</u>	<u>2</u>	<u>3</u>	<u>4</u>	<u>5</u>	<u>6</u>	<u>7</u>	<u>All</u>
Department Level Factors Weight	4	7	3	2	5	3	0	24
Activity Level Factors Weight	12	11	17	9	4	11	12	76
Total Weight	16	18	20	11	9	14	12	100

Library Department

Program	Activity	Risk Group Name	Size / Complexity	Change	Planning / Performance	Public Concern	Safety / Liability	Ethics	Mitigating Factors	Weighted Avg-Activity Factors	Weighted Avg-All Factors	RANK - 10ths
Library Collection Services	Cataloging Support		2.8	2.6	2.4	1.0	1.0	1.7	4.0	2.39	2.45	2
	Collection Support		3.0	2.5	2.8	1.0	2.0	3.2	4.0	2.76	2.73	7
Public Services	Austin History Center		2.5	2.5	2.5	1.0	4.0	2.6	4.0	2.66	2.65	5
	Circulation		3.3	2.3	1.6	1.0	3.0	3.2	4.7	2.67	2.66	5
	Reference Services		3.0	2.6	2.2	1.6	2.0	2.0	3.7	2.50	2.53	3
	Youth Services		3.0	2.3	2.8	1.6	3.0	1.7	3.5	2.57	2.58	4
Support Services	Administration and Management		2.5	2.8	2.2	2.1	3.0	2.1	4.0	2.63	2.63	5
	Facility Expense		3.5	3.9	2.9	1.0	4.0	1.4	3.7	2.88	2.82	8
	Financial Monitoring/Budgeting		2.0	1.0	2.7	1.6	5.0	2.4	3.3	2.38	2.44	2
	Information Technology Services		3.0	4.3	1.6	1.0	2.0	2.1	4.2	2.63	2.63	5
	Personnel/Training		2.5	4.1	2.8	1.6	1.0	1.7	4.7	2.83	2.78	7
	PIO/Community Services		2.3	1.6	2.9	1.0	1.0	1.7	3.7	2.24	2.33	1
	Purchasing/M/WBE		2.3	1.7	2.2	1.0	1.0	2.1	3.5	2.12	2.24	1
Vehicle/Equipment Maintenance		1.8	1.7	2.1	1.0	1.0	1.7	3.7	2.00	2.15	1	

Library Department

Factor: Size and Complexity

Program	Activity	Size-FY05 Budgeted Expend	Budget Relative Size Rating	Size-FY05 Budgeted FTEs	FTEs Relative Size Rating	Revenue Rating	No. of Sites Rating	Diversity of Services Rating	Contract Expend. - % of Total	Contract Expend. Rating	Size and Complexity Rating
Library Collection Services	Cataloging Support	\$573,917	3	8.00	4	2	5	2	33.87%	2	2.8
	Collection Support	\$2,286,842	5	14.88	4	2	5	2	7.97%	1	3.0
Public Services	Austin History Center	\$596,769	3	10.25	4	2	5	2	0.94%	1	2.5
	Circulation	\$7,801,035	5	166.09	5	2	5	2	7.36%	1	3.3
	Reference Services	\$1,023,651	4	15.13	5	2	5	2	14.12%	1	3.0
	Youth Services	\$1,442,661	4	25.00	5	2	5	2	4.77%	1	3.0
Support Services	Administration and Management	\$574,855	3	4.00	3	2	5	3	11.92%	1	2.5
	Facility Expense	\$1,240,359	4	18.00	5	2	5	3	27.50%	2	3.5
	Financial Monitoring/Budgeting	\$99,226	2	1.65	2	2	5	3	0.00%	1	2.0
	Information Technology Services	\$1,354,871	4	10.00	4	2	5	3	12.08%	1	3.0
	Personnel/Training	\$300,558	3	4.00	3	2	5	3	0.06%	1	2.5
	PIO/Community Services	\$195,330	2	2.75	3	2	5	3	0.00%	1	2.3
	Purchasing/M/WBE	\$116,298	2	2.10	3	2	5	3	0.00%	1	2.3
	Vehicle/Equipment Maintenance	\$65,021	2	0.00	1	2	5	3	0.00%	1	1.8

Library Department
Factor: Change

Program	Activity	Business Plan Change Rating	Expend Trend - % Change	Expend Trend Rating	FTE Trend - % Change	FTE Trend Rating	Employee Turnover Rating	Yrs of Svc Lost Rating	Revenue Trend - % Change	Revenue Trend Rating	Change Rating
Library Collection Services	Cataloging Support	3	16.43%	2	-11.11%	2	3	4	-1.54%	1	2.6
	Collection Support	3	-16.11%	2	7.20%	1	3	4	-1.54%	1	2.5
Public Services	Austin History Center	3	-3.11%	1	-11.10%	2	3	4	-1.54%	1	2.5
	Circulation	3	5.58%	1	-8.36%	1	3	4	-1.54%	1	2.3
	Reference Services	3	-9.83%	1	-20.99%	3	3	4	-1.54%	1	2.6
	Youth Services	3	-1.04%	1	-4.76%	1	3	4	-1.54%	1	2.3
Support Services	Administration and Management	3	0.78%	1	-40.74%	4	3	4	-1.54%	1	2.8
	Facility Expense	5	-2.98%	1	-20.88%	3	3	4	-1.54%	1	3.9
	Financial Monitoring/Budgeting	1	6.98%	1	0.00%	1	3	4	-1.54%	1	1.0
	Information Technology Services	5	51.38%	4	-16.67%	2	3	4	-1.54%	1	4.3
	Personnel/Training	5	-18.42%	2	-33.33%	3	3	4	-1.54%	1	4.1
	PIO/Community Services	2	-0.13%	1	-8.33%	1	3	4	-1.54%	1	1.6
	Purchasing/M/WBE	1	-24.55%	3	-32.26%	3	3	4	-1.54%	1	1.7
	Vehicle/Equipment Maintenance	1	9.41%	1	100.00%	5	3	4	-1.54%	1	1.7

Library Department

Factor: Planning and Performance

Program	Activity	Variance - FY04 Actual vs Budget	Variance - Actual vs Budget Rating	Performance Trend Rating	LWF Survey Positive Empl. Satisf. Responses	Workforce Survey - Satisfaction Rating	Overtime - % of Total Salaries	Overtime - % of Total Rating	Planning and Performance Rating
Library Collection Services	Cataloging Support	6.57%	2	3	76.00%	2	0.00%	1	2.4
	Collection Support	2.60%	1	4	76.00%	2	0.00%	1	2.8
Public Services	Austin History Center	-10.39%	3	3	76.00%	2	0.00%	1	2.5
	Circulation	-2.02%	1	2	76.00%	2	0.00%	1	1.6
	Reference Services	1.03%	1	3	76.00%	2	0.02%	1	2.2
	Youth Services	0.61%	1	4	76.00%	2	0.00%	1	2.8
Support Services	Administration and Management	-2.36%	1	3	76.00%	2	0.00%	1	2.2
	Facility Expense	-5.05%	2	4	76.00%	2	0.11%	1	2.9
	Financial Monitoring/Budgeting	18.38%	4	3	76.00%	2	0.00%	1	2.7
	Information Technology Services	1.09%	1	2	76.00%	2	0.03%	1	1.6
	Personnel/Training	2.18%	1	4	76.00%	2	0.00%	1	2.8
	PIO/Community Services	-25.96%	5	3	76.00%	2	0.00%	1	2.9
	Purchasing/M/WBE	2.50%	1	3	76.00%	2	0.00%	1	2.2
	Vehicle/Equipment Maintenance	-17.90%	4	2	76.00%	2	0.00%	1	2.1

Library Department
Factor: Public Concern

Program	Activity	FY04 Citizen Complaints (CAFs) per FTE	Citizen Complaints per FTE Rating	Number of Council/ CMO Comments	Council/ CMO Survey Rating	Legal Claims and Suits per 100 FTEs	Legal Claims and Suits Rating	Public Concern Rating
Library Collection Services	Cataloging Support	0.00	1	0	1	1.41	2	1.0
	Collection Support	0.00	1	0	1	1.41	2	1.0
Public Services	Austin History Center	0.10	1	0	1	1.41	2	1.0
	Circulation	0.01	1	0	1	1.41	2	1.0
	Reference Services	0.00	1	1	2	1.41	2	1.6
	Youth Services	0.00	1	1	2	1.41	2	1.6
Support Services	Administration and Management	0.40	1	3	3	1.41	2	2.1
	Facility Expense	0.00	1	0	1	1.41	2	1.0
	Financial Monitoring/Budgeting	0.00	1	1	2	1.41	2	1.6
	Information Technology Services	0.00	1	0	1	1.41	2	1.0
	Personnel/Training	0.00	1	1	2	1.41	2	1.6
	PIO/Community Services	0.00	1	0	1	1.41	2	1.0
	Purchasing/M/WBE	0.00	1	0	1	1.41	2	1.0
	Vehicle/Equipment Maintenance	0.00	1	0	1	1.41	2	1.0

Library Department
Factor: Safety and Liability

Program	Activity	FY04 Workers Comp Claims per FTE	Workers Comp Claims Rating	Legal Claims and Suits Paid per FTE	Legal Claims and Suits Paid Rating	LWF Survey Positive Safety Responses	Workforce Survey - Safety Rating	Safety and Liability Rating
Library Collection Services	Cataloging Support	0.00	1	27.50	2	78.43%	2	1.0
	Collection Support	0.07	2	27.50	2	78.43%	2	2.0
Public Services	Austin History Center	0.39	4	27.50	2	78.43%	2	4.0
	Circulation	0.10	3	27.50	2	78.43%	2	3.0
	Reference Services	0.07	2	27.50	2	78.43%	2	2.0
	Youth Services	0.12	3	27.50	2	78.43%	2	3.0
Support Services	Administration and Management	0.20	3	27.50	2	78.43%	2	3.0
	Facility Expense	0.37	4	27.50	2	78.43%	2	4.0
	Financial Monitoring/Budgeting	0.61	5	27.50	2	78.43%	2	5.0
	Information Technology Services	0.10	2	27.50	2	78.43%	2	2.0
	Personnel/Training	0.00	1	27.50	2	78.43%	2	1.0
	PIO/Community Services	0.00	1	27.50	2	78.43%	2	1.0
	Purchasing/M/WBE	0.00	1	27.50	2	78.43%	2	1.0
	Vehicle/Equipment Maintenance	0.00	1	27.50	2	78.43%	2	1.0

Library Department

Factor: Ethics

Program	Activity	LWF Survey - Ethics Positive Responses	Workforce Survey - Ethics Rating	Commod. % of Total Expend.	Commod. % of Total Expend. Rating	Weighted Cash Handling Score	Cash Handling Rating	Ethics Rating
Library Collection Services	Cataloging Support	67.25%	2	12.20%	1	0.0	1	1.7
	Collection Support	67.25%	2	54.78%	5	0.0	1	3.2
Public Services	Austin History Center	67.25%	2	2.88%	1	30.0	3	2.6
	Circulation	67.25%	2	0.87%	1	426.0	5	3.2
	Reference Services	67.25%	2	1.57%	1	12.0	2	2.0
	Youth Services	67.25%	2	1.48%	1	3.0	1	1.7
Support Services	Administration and Management	67.25%	2	5.05%	1	0.0	1	2.1
	Facility Expense	67.25%	2	4.36%	1	0.0	1	1.4
	Financial Monitoring/Budgeting	67.25%	2	0.00%	1	9.0	2	2.4
	Information Technology Services	67.25%	2	7.24%	1	0.0	1	2.1
	Personnel/Training	67.25%	2	0.65%	1	0.0	1	1.7
	PIO/Community Services	67.25%	2	1.16%	1	0.0	1	1.7
	Purchasing/M/WBE	67.25%	2	0.14%	1	0.0	1	2.1
Vehicle/Equipment Maintenance	67.25%	2	0.00%	1	0.0	1	1.7	

* Risk scores and ratings for factor 6.1, investigator ratings, are not published

Library Department
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
Library Collection Services	Cataloging Support	0.0	5	5	5	2	4.0
	Collection Support	0.0	5	5	5	2	4.0
Public Services	Austin History Center	0.0	5	5	5	2	4.0
	Circulation	1.0	3	5	5	5	4.7
	Reference Services	1.0	3	5	5	2	3.7
	Youth Services	1.0	3	5	4	2	3.5
Support Services	Administration and Management	0.0	5	5	5	2	4.0
	Facility Expense	4.0	1	5	5	3	3.7
	Financial Monitoring/Budgeting	1.0	3	5	5	1	3.3
	Information Technology Services	1.0	3	5	4	4	4.2
	Personnel/Training	0.0	5	5	5	4	4.7
	PIO/Community Services	0.0	5	5	5	1	3.7
	Purchasing/M/WBE	0.0	5	5	4	1	3.5
	Vehicle/Equipment Maintenance	0.0	5	5	5	1	3.7

APPENDIX C
RISK RATING RESULTS

Neighborhood Housing & Community Development

**OCA 2005 Risk Assessment
Risk Group Ratings by Activity**

<u>RiskGroup #</u>	<u>1</u>	<u>2</u>	<u>3</u>	<u>4</u>	<u>5</u>	<u>6</u>	<u>7</u>	<u>All</u>
Department Level Factors Weight	4	7	3	2	5	3	0	24
Activity Level Factors Weight	12	11	17	9	4	11	12	76
Total Weight	16	18	20	11	9	14	12	100

Neighborhood Housing & Community Developmen

Program	Activity	Risk Group Name	Size / Complexity	Change	Planning / Performance	Public Concern	Safety / Liability	Ethics	Mitigating Factors	Weighted Avg-Activity Factors	Weighted Avg-All Factors	RANK - 10ths
Community Development	Commercial Revitalization		3.3	4.0	3.5	1.6	1.0	2.1	3.5	2.96	3.00	9
	Neighborhood Revitalization		3.3	2.6	3.3	1.6	1.0	2.1	4.5	2.88	2.94	9
	Public Facilities		2.8	3.2	3.4	1.6	1.0	2.1	4.5	2.89	2.95	9
	Small Business Development		2.8	3.2	3.4	1.6	1.0	2.5	4.5	2.95	2.99	9
Grants Administration	Compliance		3.0	4.4	2.8	1.6	1.0	1.7	3.2	2.71	2.81	8
	Planning		2.5	1.9	2.2	1.6	1.0	1.7	3.2	2.14	2.38	1
	Policy Development		2.3	2.1	3.4	2.7	1.0	1.7	4.2	2.68	2.79	7
Housing Development	Assisted Housing		2.8	4.2	3.4	2.0	1.0	1.7	4.5	3.04	3.06	10
	First-time Home Buyer Services		3.8	2.6	4.1	2.1	1.0	1.7	4.7	3.17	3.16	10
	Lead Hazard Control		2.5	4.0	3.4	1.0	1.0	1.7	5.0	2.93	2.98	9
	Owner Occupied Services		3.8	4.0	3.7	1.6	1.0	1.7	4.5	3.20	3.18	10
	Rental Housing		3.5	3.8	2.2	2.1	1.0	1.7	3.8	2.75	2.84	8
	S.M.A.R.T. Housing		3.0	3.3	1.0	2.7	1.0	2.1	4.0	2.47	2.63	4
Support Services	Facility Expense		2.3	2.3	2.9	1.0	1.0	1.7	4.5	2.47	2.63	4
	Financial Monitoring/Budgeting		3.0	2.3	1.6	1.6	4.0	2.6	3.2	2.43	2.60	4
	General Administration		3.8	3.5	2.8	1.6	1.0	2.5	4.2	2.96	3.00	9
	Information Technology Support		2.5	3.4	2.8	1.0	1.0	2.1	3.8	2.58	2.71	6
	Personnel/Training		2.3	2.5	2.2	1.0	1.0	1.7	4.2	2.28	2.48	3
	Public Information & Marketing		2.3	2.1	2.2	1.0	1.0	1.7	3.2	2.07	2.32	1

Neighborhood Housing & Community Development

Factor: Size and Complexity

Program	Activity	Size-FY05 Budgeted Expend	Budget Relative Size Rating	Size-FY05 Budgeted FTEs	FTEs Relative Size Rating	Revenue Rating	No. of Sites Rating	Diversity of Services Rating	Contract Expend. - % of Total	Contract Expend. Rating	Size and Complexity Rating
Community Development	Commercial Revitalization	\$1,647,019	5	1.73	2	3	1	5	0.00%	1	3.3
	Neighborhood Revitalization	\$1,474,728	4	3.67	3	3	1	5	0.00%	1	3.3
	Public Facilities	\$1,185,812	4	0.00	1	3	1	5	0.00%	1	2.8
	Small Business Development	\$570,762	3	0.70	2	3	1	5	0.00%	1	2.8
Grants Administration	Compliance	\$722,052	3	6.57	4	3	1	4	0.00%	1	3.0
	Planning	\$64,835	2	2.40	3	3	1	4	0.00%	1	2.5
	Policy Development	\$22,391	1	1.00	2	3	1	5	0.00%	1	2.3
Housing Development	Assisted Housing	\$665,000	3	0.25	2	3	1	5	0.00%	1	2.8
	First-time Home Buyer Services	\$4,144,611	5	9.46	4	3	1	5	0.00%	1	3.8
	Lead Hazard Control	\$0	1	2.43	3	3	1	5	0.00%	1	2.5
	Owner Occupied Services	\$4,462,654	5	8.35	4	3	1	5	0.00%	1	3.8
	Rental Housing	\$2,489,777	5	2.11	3	3	1	5	0.00%	1	3.5
	S.M.A.R.T. Housing	\$467,913	3	5.00	3	3	1	5	0.00%	1	3.0
	Facility Expense	\$109,024	2	0.00	1	3	1	5	3.73%	1	2.3
Support Services	Financial Monitoring/Budgeting	\$136,833	2	6.76	4	3	1	5	0.00%	1	3.0
	General Administration	\$1,360,842	4	15.18	5	3	1	5	8.60%	1	3.8
	Information Technology Support	\$20,114	1	0.00	1	3	1	5	48.24%	3	2.5
	Personnel/Training	\$32,448	1	0.99	2	3	1	5	0.00%	1	2.3
	Public Information & Marketing	\$32,041	1	1.40	2	3	1	5	0.00%	1	2.3

**Neighborhood Housing & Community
Development
Factor: Change**

Program	Activity	Business Plan Change Rating	Expend Trend - % Change	Expend Trend Rating	FTE Trend - % Change	FTE Trend Rating	Employee Turnover Rating	Yrs of Svc Lost Rating	Revenue Trend - % Change	Revenue Trend Rating	Change Rating
Community Development	Commercial Revitalization	4	67.30%	4	-47.09%	4	1	3	-128.68%	5	4.0
	Neighborhood Revitalization	3	-5.03%	1	-23.70%	3	1	3	-128.68%	5	2.6
	Public Facilities	3	-13.49%	2	-100.00%	5	1	3	-128.68%	5	3.2
	Small Business Development	3	-20.50%	3	-43.55%	4	1	3	-128.68%	5	3.2
Grants Administration	Compliance	4	207.01%	5	162.80%	5	1	3	-128.68%	5	4.4
	Planning	1	-29.67%	3	51.90%	4	1	3	-128.68%	5	1.9
	Policy Development	1	100.00%	5	-32.89%	3	1	3	-128.68%	5	2.1
Housing Development	Assisted Housing	4	65.78%	4	100.00%	5	1	3	-128.68%	5	4.2
	First-time Home Buyer Services	3	10.88%	2	-15.08%	2	1	3	-128.68%	5	2.6
	Lead Hazard Control	4	-100.00%	5	-39.25%	3	1	3	-128.68%	5	4.0
	Owner Occupied Services	4	74.47%	4	76.53%	4	1	3	-128.68%	5	4.0
	Rental Housing	4	58.43%	4	-24.64%	3	1	3	-128.68%	5	3.8
	S.M.A.R.T. Housing	4	5.00%	1	25.00%	3	1	3	-128.68%	5	3.3
Support Services	Facility Expense	1	-56.79%	4	100.00%	5	1	3	-128.68%	5	2.3
	Financial Monitoring/Budgeting	1	-65.72%	4	90.42%	5	1	3	-128.68%	5	2.3
	General Administration	4	-34.44%	3	-15.01%	2	1	3	-128.68%	5	3.5
	Information Technology Support	3	-35.01%	3	100.00%	5	1	3	-128.68%	5	3.4
	Personnel/Training	1	131.87%	5	115.22%	5	1	3	-128.68%	5	2.5
	Public Information & Marketing	1	-50.82%	4	44.33%	4	1	3	-128.68%	5	2.1

Neighborhood Housing & Community Development

Factor: Planning and Performance

Program	Activity	Variance - FY04 Actual vs Budget	Variance - Actual vs Budget Rating	Performance Trend Rating	LWF Survey Positive Empl. Satisf. Responses	Workforce Survey - Satisfaction Rating	Overtime - % of Total Salaries	Overtime - % of Total Rating	Planning and Performance Rating
Community Development	Commercial Revitalization	-27.14%	5	4	59.00%	4	0.00%	1	3.5
	Neighborhood Revitalization	-17.77%	4	4	59.00%	4	0.00%	1	3.3
Grants Administration	Public Facilities	-2.61%	1	5	59.00%	4	0.00%	1	3.4
	Small Business Development	0.00%	1	5	59.00%	4	0.00%	1	3.4
	Compliance	-0.61%	1	4	59.00%	4	0.00%	1	2.8
	Planning	0.00%	1	3	59.00%	4	0.00%	1	2.2
	Policy Development	0.00%	1	5	59.00%	4	0.00%	1	3.4
Housing Development	Assisted Housing	0.00%	1	5	59.00%	4	0.00%	1	3.4
	First-time Home Buyer Services	-88.92%	5	5	59.00%	4	0.00%	1	4.1
	Lead Hazard Control	0.00%	1	5	59.00%	4	0.00%	1	3.4
	Owner Occupied Services	-13.56%	3	5	59.00%	4	0.00%	1	3.7
	Rental Housing	-4.52%	1	3	59.00%	4	0.00%	1	2.2
	S.M.A.R.T. Housing	0.00%	1	1	59.00%	4	0.00%	1	1.0
Support Services	Facility Expense	9.40%	2	4	59.00%	4	0.00%	1	2.9
	Financial Monitoring/Budgeting	0.00%	1	2	59.00%	4	0.00%	1	1.6
	General Administration	0.00%	1	4	59.00%	4	0.00%	1	2.8
	Information Technology Support	0.00%	1	4	59.00%	4	0.00%	1	2.8
	Personnel/Training	-0.01%	1	3	59.00%	4	0.00%	1	2.2
	Public Information & Marketing	0.00%	1	3	59.00%	4	0.00%	1	2.2

**Neighborhood Housing & Community
Development**

Factor: Public Concern

Program	Activity	FY04 Citizen Complaints (CAFs) per FTE	Citizen Complaints per FTE Rating	Number of Council/ CMO Comments	Council/ CMO Survey Rating	Legal Claims and Suits per 100 FTEs	Legal Claims and Suits Rating	Public Concern Rating
Community Development	Commercial Revitalization	0.00	1	1	2	13.43	4	1.6
	Neighborhood Revitalization	0.00	1	1	2	13.43	4	1.6
	Public Facilities	0.00	1	1	2	13.43	4	1.6
	Small Business Development	0.00	1	1	2	13.43	4	1.6
Grants Administration	Compliance	0.00	1	1	2	13.43	4	1.6
	Planning	0.00	1	1	2	13.43	4	1.6
	Policy Development	0.00	1	4	4	13.43	4	2.7
Housing Development	Assisted Housing	3.00	2	1	2	13.43	4	2.0
	First-time Home Buyer Services	0.00	1	3	3	13.43	4	2.1
	Lead Hazard Control	0.00	1	0	1	13.43	4	1.0
	Owner Occupied Services	0.00	1	1	2	13.43	4	1.6
	Rental Housing	0.00	1	3	3	13.43	4	2.1
	S.M.A.R.T. Housing	0.00	1	4	4	13.43	4	2.7
Support Services	Facility Expense	0.00	1	0	1	13.43	4	1.0
	Financial Monitoring/Budgeting	0.00	1	1	2	13.43	4	1.6
	General Administration	0.67	1	1	2	13.43	4	1.6
	Information Technology Support	0.00	1	0	1	13.43	4	1.0
	Personnel/Training	0.00	1	0	1	13.43	4	1.0
	Public Information & Marketing	0.00	1	0	1	13.43	4	1.0

**Neighborhood Housing & Community
Development**

Factor: Safety and Liability

Program	Activity	FY04 Workers Comp Claims per FTE	Workers Comp Claims Rating	Legal Claims and Suits Paid per FTE	Legal Claims and Suits Paid Rating	LWF Survey Positive Safety Responses	Workforce Survey - Safety Rating	Safety and Liability Rating
Community Development	Commercial Revitalization	0.00	1	1468.91	5	67.43%	4	1.0
	Neighborhood Revitalization	0.00	1	1468.91	5	67.43%	4	1.0
	Public Facilities	0.00	1	1468.91	5	67.43%	4	1.0
Grants Administration	Small Business Development	0.00	1	1468.91	5	67.43%	4	1.0
	Compliance	0.00	1	1468.91	5	67.43%	4	1.0
	Planning	0.00	1	1468.91	5	67.43%	4	1.0
	Policy Development	0.00	1	1468.91	5	67.43%	4	1.0
Housing Development	Assisted Housing	0.00	1	1468.91	5	67.43%	4	1.0
	First-time Home Buyer Services	0.00	1	1468.91	5	67.43%	4	1.0
	Lead Hazard Control	0.00	1	1468.91	5	67.43%	4	1.0
	Owner Occupied Services	0.00	1	1468.91	5	67.43%	4	1.0
	Rental Housing	0.00	1	1468.91	5	67.43%	4	1.0
	S.M.A.R.T. Housing	0.00	1	1468.91	5	67.43%	4	1.0
Support Services	Facility Expense	0.00	1	1468.91	5	67.43%	4	1.0
	Financial Monitoring/Budgeting	0.35	4	1468.91	5	67.43%	4	4.0
	General Administration	0.00	1	1468.91	5	67.43%	4	1.0
	Information Technology Support	0.00	1	1468.91	5	67.43%	4	1.0
	Personnel/Training	0.00	1	1468.91	5	67.43%	4	1.0
	Public Information & Marketing	0.00	1	1468.91	5	67.43%	4	1.0

**Neighborhood Housing & Community
Development**
Factor: Ethics

Program	Activity	LWF Survey - Ethics Positive Responses	Workforce Survey - Ethics Rating	Commod. % of Total Expend.	Commod. % of Total Expend. Rating	Weighted Cash Handling Score	Cash Handling Rating	Ethics Rating
Community Development	Commercial Revitalization	60.83%	3	0.00%	1	0.0	1	2.1
	Neighborhood Revitalization	60.83%	3	0.00%	1	0.0	1	2.1
	Public Facilities	60.83%	3	0.00%	1	0.0	1	2.1
	Small Business Development	60.83%	3	0.00%	1	0.0	1	2.5
Grants Administration	Compliance	60.83%	3	0.00%	1	0.0	1	1.7
	Planning	60.83%	3	0.00%	1	0.0	1	1.7
	Policy Development	60.83%	3	0.00%	1	0.0	1	1.7
Housing Development	Assisted Housing	60.83%	3	0.00%	1	0.0	1	1.7
	First-time Home Buyer Services	60.83%	3	0.00%	1	0.0	1	1.7
	Lead Hazard Control	60.83%	3	0.00%	1	0.0	1	1.7
	Owner Occupied Services	60.83%	3	0.00%	1	0.0	1	1.7
	Rental Housing	60.83%	3	0.00%	1	0.0	1	1.7
	S.M.A.R.T. Housing	60.83%	3	0.00%	1	0.0	1	2.1
Support Services	Facility Expense	60.83%	3	0.09%	1	0.0	1	1.7
	Financial Monitoring/Budgeting	60.83%	3	0.00%	1	27.0	3	2.6
	General Administration	60.83%	3	2.49%	1	0.0	1	2.5
	Information Technology Support	60.83%	3	17.49%	1	0.0	1	2.1
	Personnel/Training	60.83%	3	0.00%	1	0.0	1	1.7
	Public Information & Marketing	60.83%	3	0.00%	1	0.0	1	1.7

* Risk scores and ratings for factor 6.1, investigator ratings, are not published

Neighborhood Housing & Community Development

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
Community Development	Commercial Revitalization	1.0	3	5	4	2	3.5
	Neighborhood Revitalization	1.0	3	5	4	5	4.5
	Public Facilities	1.0	3	5	4	5	4.5
Grants Administration	Small Business Development	1.0	3	5	4	5	4.5
	Compliance	1.0	3	5	4	1	3.2
	Planning	1.0	3	5	4	1	3.2
	Policy Development	1.0	3	5	4	4	4.2
Housing Development	Assisted Housing	1.0	3	5	4	5	4.5
	First-time Home Buyer Services	1.0	3	5	5	5	4.7
	Lead Hazard Control	0.0	5	5	5	5	5.0
	Owner Occupied Services	1.0	3	5	4	5	4.5
	Rental Housing	1.0	3	3	4	5	3.8
	S.M.A.R.T. Housing	1.0	3	4	5	4	4.0
Support Services	Facility Expense	1.0	3	5	4	5	4.5
	Financial Monitoring/Budgeting	1.0	3	5	4	1	3.2
	General Administration	0.0	5	5	4	3	4.2
	Information Technology Support	1.0	3	5	4	3	3.8
	Personnel/Training	1.0	3	5	4	4	4.2
	Public Information & Marketing	1.0	3	5	4	1	3.2

APPENDIX C
RISK RATING RESULTS

Parks and Recreation Department

**OCA 2005 Risk Assessment
Risk Group Ratings by Activity**

<u>RiskGroup #</u>	<u>1</u>	<u>2</u>	<u>3</u>	<u>4</u>	<u>5</u>	<u>6</u>	<u>7</u>	<u>All</u>
Department Level Factors Weight	4	7	3	2	5	3	0	24
Activity Level Factors Weight	12	11	17	9	4	11	12	76
Total Weight	16	18	20	11	9	14	12	100

Parks and Recreation Department

Program	Activity	Risk Group Name	Size / Complexity	Change	Planning / Performance	Public Concern	Safety / Liability	Ethics	Mitigating Factors	Weighted Avg-Activity Factors	Weighted Avg-All Factors	RANK - 10ths
Community Recreation Services	Community Recreation		3.8	3.3	2.9	1.6	3.0	2.9	4.0	3.12	3.15	10
	Millennium Youth Complex		3.5	3.2	3.6	1.0	1.0	2.1	4.3	2.99	3.05	9
	Senior Services		3.8	2.5	2.8	1.6	2.0	2.6	4.3	2.92	3.00	9
	Summer Programs		2.5	3.6	2.8	1.6	1.0	2.5	4.7	2.87	2.96	9
Cultural Arts Services	Art Centers Services		3.3	2.5	1.9	1.0	4.0	2.6	4.7	2.75	2.87	8
	Museums		3.8	4.6	2.9	1.0	3.0	2.1	3.7	3.07	3.11	10
Facility Services	Facility Maintenance		3.8	3.1	3.2	1.6	2.0	2.6	4.7	3.16	3.18	10
	PARC Construction		3.0	3.5	3.3	1.0	3.0	2.1	4.7	3.03	3.08	10
	Park Maintenance		3.8	2.9	2.4	2.1	3.0	2.1	4.3	2.95	3.02	9
	Park Planning		3.3	2.3	2.8	1.0	1.0	2.1	4.3	2.62	2.77	7
	Special Events		2.8	3.8	3.4	1.6	1.0	2.5	4.7	3.08	3.12	10
Natural Resources	Endangered Habitat Management		2.3	3.3	2.2	1.0	1.0	1.7	4.7	2.47	2.66	6
	Environmental Education		3.3	2.6	2.9	1.0	3.0	2.3	4.7	2.89	2.98	9
	Horticultural		3.0	4.3	2.2	1.0	4.0	1.7	3.7	2.74	2.86	8
One Stop Shop	Land Use Review		2.0	3.7	2.2	1.0	1.0	1.7	4.3	2.45	2.64	5
Public Safety	Lake Patrol		2.8	4.1	4.5	1.4	1.0	1.7	4.0	3.14	3.17	10
	Parks and Facility Patrol		3.8	3.1	3.0	1.0	4.0	2.1	4.0	2.97	3.04	9
Sports Management	Aquatics		3.8	2.3	1.6	1.0	5.0	2.0	4.7	2.68	2.82	8
	Athletics		3.8	3.3	2.6	2.1	3.0	2.4	4.7	3.13	3.16	10
Support Services	Golf		4.0	3.3	2.5	1.0	3.0	2.6	4.7	3.07	3.11	10
	Administration and Management		3.0	3.5	3.1	2.6	1.0	2.0	4.0	2.95	3.02	9
	Financial Monitoring/Budgeting		3.0	2.5	2.5	1.6	1.0	2.1	3.2	2.43	2.63	5
	Information Technology Support		2.5	2.9	2.2	1.0	1.0	1.7	5.0	2.51	2.69	6
	Personnel/Training		3.3	1.6	2.9	1.0	1.0	1.7	4.7	2.57	2.73	7
	PIO/Community Services		2.8	3.7	2.9	1.0	1.0	1.7	4.3	2.72	2.85	8
	Purchasing/M/WBE		2.8	2.6	2.9	1.0	1.0	2.1	4.2	2.61	2.76	7

Parks and Recreation Department

Factor: Size and Complexity

Program	Activity	Size-FY05 Budgeted Expend	Budget Relative Size Rating	Size-FY05 Budgeted FTEs	FTEs Relative Size Rating	Revenue Rating	No. of Sites Rating	Diversity of Services Rating	Contract Expend. - % of Total	Contract Expend. Rating	Size and Complexity Rating
Community Recreation Services	Community Recreation	\$7,264,544	5	80.00	5	4	5	4	15.08%	1	3.8
	Millennium Youth Complex	\$652,419	3	0.00	1	4	5	5	94.94%	5	3.5
	Senior Services	\$2,712,205	5	34.25	5	4	5	4	13.54%	1	3.8
	Summer Programs	\$698,840	3	1.00	2	4	5	4	3.95%	1	2.5
Cultural Arts Services	Art Centers Services	\$1,221,535	4	12.00	4	4	5	4	11.92%	1	3.3
	Museums	\$2,372,916	5	11.50	4	4	5	4	25.36%	2	3.8
Facility Services	Facility Maintenance	\$1,752,193	5	28.00	5	4	5	4	7.29%	1	3.8
	PARC Construction	\$666,398	3	8.00	4	4	5	4	0.52%	1	3.0
	Park Maintenance	\$7,841,892	5	123.75	5	4	5	4	15.17%	1	3.8
	Park Planning	\$1,161,347	4	12.85	4	4	5	4	0.81%	1	3.3
	Special Events	\$408,178	3	0.00	1	4	5	4	43.17%	3	2.8
Natural Resources	Endangered Habitat Management	\$52,148	2	1.00	2	4	5	4	0.87%	1	2.3
	Environmental Education	\$955,809	4	14.50	4	4	5	4	9.59%	1	3.3
	Horticultural	\$479,088	3	7.00	4	4	5	4	2.89%	1	3.0
One Stop Shop	Land Use Review	\$7,798	1	0.15	2	4	5	4	0.00%	1	2.0
Public Safety	Lake Patrol	\$381,791	3	6.00	3	4	5	4	6.38%	1	2.8
	Parks and Facility Patrol	\$2,126,226	5	37.00	5	4	5	4	0.47%	1	3.8
Sports Management	Aquatics	\$3,619,840	5	19.00	5	4	5	4	14.02%	1	3.8
	Athletics	\$1,325,992	4	7.00	4	4	5	4	54.32%	3	3.8
	Golf	\$4,711,187	5	50.00	5	4	5	4	23.22%	2	4.0
Support Services	Administration and Management	\$415,286	3	4.00	3	4	5	5	15.86%	1	3.0
	Financial Monitoring/Budgeting	\$339,068	3	6.00	3	4	5	5	1.90%	1	3.0
	Information Technology Support	\$61,045	2	1.00	2	4	5	5	0.00%	1	2.5
	Personnel/Training	\$464,943	3	6.50	4	4	5	5	6.69%	1	3.3
	PIO/Community Services	\$175,504	2	3.00	3	4	5	5	13.80%	1	2.8
	Purchasing/M/WBE	\$129,306	2	3.00	3	4	5	5	2.98%	1	2.8

Parks and Recreation Department
Factor: Change

Program	Activity	Business Plan Change Rating	Expend Trend - % Change	Expend Trend Rating	FTE Trend - % Change	FTE Trend Rating	Employee Turnover Rating	Yrs of Svc Lost Rating	Revenue Trend - % Change	Revenue Trend Rating	Change Rating
Community Recreation Services	Community Recreation	4	-5.39%	1	-25.75%	3	3	5	-0.88%	1	3.3
	Millennium Youth Complex	3	-16.09%	2	100.00%	5	3	5	-0.88%	1	3.2
	Senior Services	3	15.21%	2	-2.84%	1	3	5	-0.88%	1	2.5
	Summer Programs	4	9.28%	1	100.00%	5	3	5	-0.88%	1	3.6
Cultural Arts Services	Art Centers Services	3	0.93%	1	-14.29%	2	3	5	-0.88%	1	2.5
	Museums	5	197.75%	5	-20.69%	3	3	5	-0.88%	1	4.6
Facility Services	Facility Maintenance	4	3.99%	1	-20.00%	2	3	5	-0.88%	1	3.1
	PARD Construction	4	33.58%	3	-20.00%	2	3	5	-0.88%	1	3.5
	Park Maintenance	4	3.46%	1	4.21%	1	3	5	-0.88%	1	2.9
	Park Planning	3	7.65%	1	2.80%	1	3	5	-0.88%	1	2.3
	Special Events	4	-18.65%	2	100.00%	5	3	5	-0.88%	1	3.8
Natural Resources	Endangered Habitat Management	4	-33.10%	3	0.00%	1	3	5	-0.88%	1	3.3
	Environmental Education	3	-15.28%	2	-12.12%	2	3	5	-0.88%	1	2.6
	Horticultural	5	102.37%	5	0.00%	1	3	5	-0.88%	1	4.3
One Stop Shop	Land Use Review	3	100.00%	5	100.00%	5	3	5	-0.88%	1	3.7
Public Safety	Lake Patrol	5	28.98%	3	20.00%	2	3	5	-0.88%	1	4.1
	Parks and Facility Patrol	4	15.63%	2	-2.63%	1	3	5	-0.88%	1	3.1
Sports Management	Aquatics	3	5.05%	1	0.00%	1	3	5	-0.88%	1	2.3
	Athletics	4	1.96%	1	-22.22%	3	3	5	-0.88%	1	3.3
	Golf	4	0.45%	1	-29.58%	3	3	5	-0.88%	1	3.3
Support Services	Administration and Management	4	-15.98%	2	33.33%	3	3	5	-0.88%	1	3.5
	Financial Monitoring/Budgeting	3	-18.46%	2	0.00%	1	3	5	-0.88%	1	2.5
	Information Technology Support	4	4.87%	1	0.00%	1	3	5	-0.88%	1	2.9
	Personnel/Training	2	0.95%	1	-7.14%	1	3	5	-0.88%	1	1.6
	PIO/Community Services	3	2265.50%	5	200.00%	5	3	5	-0.88%	1	3.7
	Purchasing/M/WBE	3	21.37%	3	0.00%	1	3	5	-0.88%	1	2.6

Parks and Recreation Department
Factor: Planning and Performance

Program	Activity	Variance - FY04 Actual vs Budget	Variance - Actual vs Budget Rating	Performance Trend Rating	LWF Survey Positive Empl. Satisf. Responses	Workforce Survey - Satisfaction Rating	Overtime - % of Total Salaries	Overtime - % of Total Rating	Planning and Performance Rating
Community Recreation Services	Community Recreation	-6.89%	2	4	70.00%	3	0.21%	1	2.9
	Millennium Youth Complex	21.43%	4	3	70.00%	3	80.03%	5	3.6
	Senior Services	-2.98%	1	4	70.00%	3	0.09%	1	2.8
	Summer Programs	-0.01%	1	4	70.00%	3	0.23%	1	2.8
Cultural Arts Services	Art Centers Services	10.61%	3	2	70.00%	3	0.04%	1	1.9
	Museums	-73.49%	5	3	70.00%	3	0.00%	1	2.9
Facility Services	Facility Maintenance	5.67%	2	4	70.00%	3	1.46%	2	3.2
	PARC Construction	-19.49%	4	4	70.00%	3	0.26%	1	3.3
	Park Maintenance	-1.16%	1	3	70.00%	3	2.53%	2	2.4
	Park Planning	0.15%	1	4	70.00%	3	0.00%	1	2.8
	Special Events	15.77%	4	3	70.00%	3	16.94%	4	3.4
Natural Resources	Endangered Habitat Management	4.81%	1	3	70.00%	3	0.62%	1	2.2
	Environmental Education	-8.67%	2	4	70.00%	3	0.26%	1	2.9
	Horticultural	3.97%	1	3	70.00%	3	0.69%	1	2.2
One Stop Shop	Land Use Review	0.00%	1	3	70.00%	3	0.00%	1	2.2
Public Safety	Lake Patrol	-32.11%	5	5	70.00%	3	5.46%	3	4.5
	Parks and Facility Patrol	4.62%	1	4	70.00%	3	4.26%	2	3.0
Sports Management	Aquatics	0.66%	1	2	70.00%	3	0.25%	1	1.6
	Athletics	-5.87%	2	3	70.00%	3	3.79%	2	2.6
	Golf	-12.85%	3	3	70.00%	3	0.16%	1	2.5
Support Services	Administration and Management	-25.22%	5	3	70.00%	3	1.68%	2	3.1
	Financial Monitoring/Budgeting	-13.16%	3	3	70.00%	3	0.89%	1	2.5
	Information Technology Support	-2.02%	1	3	70.00%	3	0.00%	1	2.2
	Personnel/Training	5.06%	2	4	70.00%	3	0.40%	1	2.9
	PIO/Community Services	155.12%	5	3	70.00%	3	0.00%	1	2.9
	Purchasing/M/WBE	-17.88%	4	3	70.00%	3	3.14%	2	2.9

Parks and Recreation Department

Factor: Public Concern

Program	Activity	FY04 Citizen Complaints (CAFs) per FTE	Citizen Complaints per FTE Rating	Number of Council/CMO Comments	Council/CMO Survey Rating	Legal Claims and Suits per 100 FTEs	Legal Claims and Suits Rating	Public Concern Rating
Community Recreation Services	Community Recreation	0.00	1	1	2	9.50	3	1.6
	Millennium Youth Complex	0.00	1	0	1	9.50	3	1.0
	Senior Services	0.12	1	1	2	9.50	3	1.6
	Summer Programs	0.00	1	1	2	9.50	3	1.6
Cultural Arts Services	Art Centers Services	0.00	1	0	1	9.50	3	1.0
	Museums	0.00	1	0	1	9.50	3	1.0
Facility Services	Facility Maintenance	0.07	1	1	2	9.50	3	1.6
	PARD Construction	0.33	1	0	1	9.50	3	1.0
	Park Maintenance	0.29	1	2	3	9.50	3	2.1
	Park Planning	0.77	1	0	1	9.50	3	1.0
	Special Events	1.00	1	1	2	9.50	3	1.6
Natural Resources	Endangered Habitat Management	0.00	1	0	1	9.50	3	1.0
	Environmental Education	0.06	1	0	1	9.50	3	1.0
	Horticultural	0.00	1	0	1	9.50	3	1.0
One Stop Shop	Land Use Review	0.00	1	0	1	9.50	3	1.0
Public Safety	Lake Patrol	3.75	2	0	1	9.50	3	1.4
	Parks and Facility Patrol	0.35	1	0	1	9.50	3	1.0
Sports Management	Aquatics	0.63	1	0	1	9.50	3	1.0
	Athletics	0.56	1	2	3	9.50	3	2.1
	Golf	0.05	1	0	1	9.50	3	1.0
Support Services	Administration and Management	2.00	2	3	3	9.50	3	2.6
	Financial Monitoring/Budgeting	0.00	1	1	2	9.50	3	1.6
	Information Technology Support	0.00	1	0	1	9.50	3	1.0
	Personnel/Training	0.00	1	0	1	9.50	3	1.0
	PIO/Community Services	0.00	1	0	1	9.50	3	1.0
	Purchasing/M/WBE	0.67	1	0	1	9.50	3	1.0

Parks and Recreation Department
Factor: Safety and Liability

Program	Activity	FY04 Workers Comp Claims per FTE	Workers Comp Claims Rating	Legal Claims and Suits Paid per FTE	Legal Claims and Suits Paid Rating	LWF Survey Positive Safety Responses	Workforce Survey - Safety Rating	Safety and Liability Rating
Community Recreation Services	Community Recreation	0.24	3	2193.08	5	85.43%	1	3.0
	Millennium Youth Complex	0.00	1	2193.08	5	85.43%	1	1.0
	Senior Services	0.09	2	2193.08	5	85.43%	1	2.0
	Summer Programs	0.00	1	2193.08	5	85.43%	1	1.0
Cultural Arts Services	Art Centers Services	0.38	4	2193.08	5	85.43%	1	4.0
	Museums	0.15	3	2193.08	5	85.43%	1	3.0
Facility Services	Facility Maintenance	0.07	2	2193.08	5	85.43%	1	2.0
	PARD Construction	0.11	3	2193.08	5	85.43%	1	3.0
	Park Maintenance	0.17	3	2193.08	5	85.43%	1	3.0
	Park Planning	0.00	1	2193.08	5	85.43%	1	1.0
	Special Events	0.00	1	2193.08	5	85.43%	1	1.0
Natural Resources	Endangered Habitat Management	0.00	1	2193.08	5	85.43%	1	1.0
	Environmental Education	0.12	3	2193.08	5	85.43%	1	3.0
	Horticultural	0.40	4	2193.08	5	85.43%	1	4.0
One Stop Shop	Land Use Review	0.00	1	2193.08	5	85.43%	1	1.0
Public Safety	Lake Patrol	0.00	1	2193.08	5	85.43%	1	1.0
	Parks and Facility Patrol	0.32	4	2193.08	5	85.43%	1	4.0
Sports Management	Aquatics	0.74	5	2193.08	5	85.43%	1	5.0
	Athletics	0.22	3	2193.08	5	85.43%	1	3.0
	Golf	0.19	3	2193.08	5	85.43%	1	3.0
Support Services	Administration and Management	0.00	1	2193.08	5	85.43%	1	1.0
	Financial Monitoring/Budgeting	0.00	1	2193.08	5	85.43%	1	1.0
	Information Technology Support	0.00	1	2193.08	5	85.43%	1	1.0
	Personnel/Training	0.00	1	2193.08	5	85.43%	1	1.0
	PIO/Community Services	0.00	1	2193.08	5	85.43%	1	1.0
	Purchasing/M/WBE	0.00	1	2193.08	5	85.43%	1	1.0

Parks and Recreation Department

Factor: Ethics

Program	Activity	LWF Survey - Ethics Positive Responses	Workforce Survey - Ethics Rating	Commod. % of Total Expend.	Commod. % of Total Expend. Rating	Weighted Cash Handling Score	Cash Handling Rating	Ethics Rating
Community Recreation Services	Community Recreation	59.92%	3	5.88%	1	151.0	4	2.9
	Millennium Youth Complex	59.92%	3	0.00%	1	0.0	1	2.1
	Senior Services	59.92%	3	9.45%	1	51.0	3	2.6
	Summer Programs	59.92%	3	3.56%	1	0.0	1	2.5
Cultural Arts Services	Art Centers Services	59.92%	3	5.50%	1	48.0	3	2.6
	Museums	59.92%	3	3.80%	1	0.0	1	2.1
Facility Services	Facility Maintenance	59.92%	3	6.02%	1	24.0	3	2.6
	PARD Construction	59.92%	3	4.63%	1	0.0	1	2.1
	Park Maintenance	59.92%	3	4.44%	1	0.0	1	2.1
	Park Planning	59.92%	3	0.72%	1	3.0	1	2.1
	Special Events	59.92%	3	27.54%	2	0.0	1	2.5
Natural Resources	Endangered Habitat Management	59.92%	3	13.93%	1	0.0	1	1.7
	Environmental Education	59.92%	3	5.46%	1	39.0	3	2.3
	Horticultural	59.92%	3	5.04%	1	0.0	1	1.7
One Stop Shop	Land Use Review	59.92%	3	0.00%	1	0.0	1	1.7
Public Safety	Lake Patrol	59.92%	3	1.99%	1	0.0	1	1.7
	Parks and Facility Patrol	59.92%	3	3.38%	1	0.0	1	2.1
Sports Management	Aquatics	59.92%	3	6.87%	1	15.0	2	2.0
	Athletics	59.92%	3	6.23%	1	11.0	2	2.4
	Golf	59.92%	3	5.43%	1	50.0	3	2.6
Support Services	Administration and Management	59.92%	3	5.11%	1	11.0	2	2.0
	Financial Monitoring/Budgeting	59.92%	3	4.20%	1	0.0	1	2.1
	Information Technology Support	59.92%	3	0.03%	1	0.0	1	1.7
	Personnel/Training	59.92%	3	3.66%	1	0.0	1	1.7
	PIO/Community Services	59.92%	3	15.12%	1	0.0	1	1.7
	Purchasing/M/WBE	59.92%	3	0.89%	1	0.0	1	2.1

* Risk scores and ratings for factor 6.1, investigator ratings, are not published

Parks and Recreation Department
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
Community Recreation Services	Community Recreation	3.0	1	5	5	4	4.0
	Millennium Youth Complex	0.0	5	5	5	3	4.3
	Senior Services	2.0	3	5	5	4	4.3
	Summer Programs	0.0	5	5	5	4	4.7
Cultural Arts Services	Art Centers Services	0.0	5	5	5	4	4.7
	Museums	3.0	1	5	5	3	3.7
Facility Services	Facility Maintenance	0.0	5	5	5	4	4.7
	PARD Construction	0.0	5	5	5	4	4.7
	Park Maintenance	0.0	5	4	5	4	4.3
	Park Planning	1.0	3	5	5	4	4.3
	Special Events	0.0	5	5	5	4	4.7
Natural Resources	Endangered Habitat Management	0.0	5	5	5	4	4.7
	Environmental Education	0.0	5	5	5	4	4.7
	Horticultural	0.0	5	3	5	3	3.7
One Stop Shop	Land Use Review	0.0	5	5	5	3	4.3
Public Safety	Lake Patrol	0.0	5	5	5	2	4.0
	Parks and Facility Patrol	0.0	5	5	5	2	4.0
Sports Management	Aquatics	0.0	5	5	5	4	4.7
	Athletics	0.0	5	5	5	4	4.7
	Golf	0.0	5	5	5	4	4.7
Support Services	Administration and Management	0.0	5	5	5	2	4.0
	Financial Monitoring/Budgeting	0.0	5	3	2	3	3.2
	Information Technology Support	0.0	5	5	5	5	5.0
	Personnel/Training	0.0	5	5	5	4	4.7
	PIO/Community Services	0.0	5	5	5	3	4.3
	Purchasing/M/WBE	0.0	5	5	4	3	4.2