

FY2018/2019 – FY2019/2020 Internal Audit Work Plan

Office of Organizational Performance and Audit

City Council November 6, 2018

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INTERNAL AUDIT SERVICES

Performance Audits

- Economy and Efficiency Review – reduce costs, increase revenue, improve quality of services provided to citizens
- Program Review goals and objectives achieved; adequate internal controls; compliance to laws, regulations, policies/procedures; terms of agreements

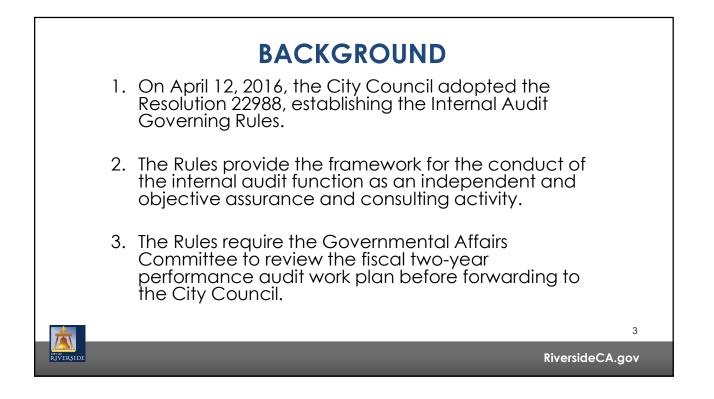
Assurance & Consulting

- Advice on process reengineering, new services, new or existing systems, risk mitigation strategies
- Advise management on operational risks and internal controls
- Provide tools best practices; internal control self-assessments methods
- Coordinate CMO annual External Performance Assessments & Financial Reviews

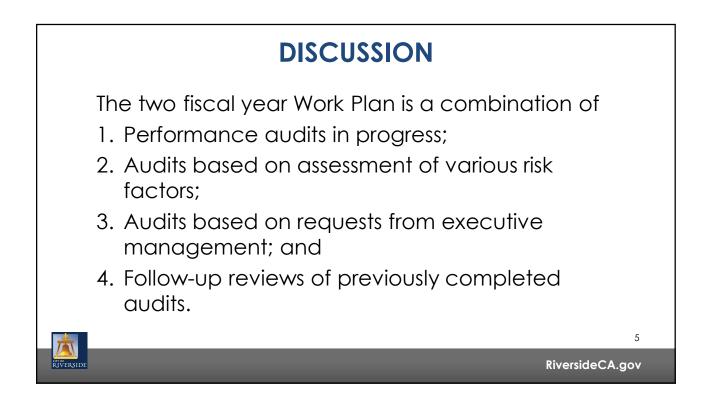
Monitoring

- Citywide Administration Manual policies (updates)
- Fraud, Waste & Abuse Investigations
- Compliance reporting: Pcard transactions, PSAs
- Internal and external audit recommendations and action plan updates
- Citywide Grants
 Administration

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Internal Performance Audit	Audit Objective
Asset Management of Mobile Devices – IT (complete; to GAC and CC in Nov 2018)	Evaluate mobile device management practices and internal controls.
Software Asset Management – IT (in progress)	Assess software asset management practices to ensure compliance with vendor agreements and license-tracking through the lifecycle.
Temp Agency Services & Compliance with CalPERS – All departments (in progress)	Assess the overall management of temporary agency employees to ensure compliance with CaIPERS; controls to reduce the risk of penalties/fines.
Utilization of City-Owned Commercial Leased Properties – General Services & CEDD (in progress)	Determine the extent of effective and efficient management of the City's commercially leased vertical properties.

Sewer Laterals & City-Owned Trees Liability Assessment – Public Works	Determine options to reduce sewer lateral repair costs absorbed by the City.
(in progress)	
Protecting Personally Identifiable Information	Evaluate the oversight and process for protecting
(PII) – All departments	PII that is collected and/or stored by the City.
Firefighter Work Schedule Optimization – Fire	Assess the firefighter and staffing work schedule
Department	based on best practices and NFPA guidelines.
Solid Waste Diversion by 2020 – Public Works	Evaluate progress in complying to the State
	mandate of 75% diversion by 2020.
3-1-1 Call Center Operations – Public Utilities	Determine if the Call Center provides accurate
	and quality information to City departments; provides accurate and relevant performance data
	to management.
Development Impact Fees - CEDD	Assess overall management process and
	accounting.

