



# **High Impact Audits**

**City of Dallas Office of the City Auditor**

*Presented on September 17, 2015*

*Theresa Hampden, Quality Control Manager*

# Session Objectives

- Discuss how:
  - An audit motivated the City of Dallas (City) to mitigate significant operational risks
  - Audit follow-up was critical to validate whether the City's actions were sufficient

# Audit Overview

- April 12, 2011, upon request from the City Manager, the Office of the City Auditor cancelled the *Audit of Emergency Management Operations Business Continuity Plan*
- As a result, the *Audit of the City's Disaster Recovery* was also cancelled

# Continuity of Operations in Government

- Continuity of operations efforts originated during the Cold War
- Terrorist attacks of September 11, 2001 prompted the Executive Branch to focus on continuity of operations

# City of Dallas

- 9th largest city in the United States and third largest in Texas
- Population of 1,241,162

# City of Dallas

- 22.6 million annual visitors, with 44.1 million visiting the Dallas-Fort Worth Arlington Metro area
- Dallas-Fort Worth International Airport is the 4th busiest airport in the United States and 8th busiest in the world

# Audit Criteria

- FEMA developed Continuity Guidance Circular 1 (CGC1) to help non-federal organizations with continuity planning
- Continuity planning facilitates the performance of essential functions during all-hazards emergencies or other situations that may disrupt normal operations

# Audit Criteria

- By continuing the performance of essential functions through a catastrophic emergency, the state, local, territorial, and tribal governments ... support the ability of the federal government to:



# Audit Criteria

- Perform national essential functions
- Continue enduring constitutional government
- Ensure that essential services are provided to the nation's citizens

# Continuity of Operations Basic Plan

- On September 13, 2013, the Office issued the *Audit of the Design of the City of Dallas' Pandemic Influenza Continuity of Operations Basic Plan*

# Audit Recommendations

- City Manager and/or designated continuity personnel to:
  - Develop and implement the ten Continuity Management Functions of the Continuity of Operations Plan (COOP)
  - Provide periodic updates to the City Council on the project to ensure transparency

# Audit Recommendations

- City Manager and the Director of Department of Communication and Information Services (CIS) develop a Disaster Recovery Plan using the information from the ten Continuity Management Functions of the COOP Plan

# Audit Recommendations

AND.....another consultant was hired to help the City respond to the audit recommendations

# City of Dallas

In January 2015:

- The City began the process of updating its COOP
- Developed customized training modules customized for each department

# City of Dallas

The final task of the project was to conduct a full scale exercise of the COOP to test the effectiveness of the plan and for City departments to reconstitute operations at alternate facility sites.

# Exercise Overview

- COOP Drill to culminate the COOP Update project
- Dates July 19th and 21st, 2015
- COOP Advisory Committee and Office of Emergency Management led planning process



# Exercise Objectives

- Exercise revised Continuity of Operations plans for Dallas government departments
- Identify facility and material needs for alternate operational locations (Tier 1 sites) for Dallas government departments

# Exercise Objectives

- Evaluate timeframes needed for City personnel to evacuate normal work facilities, travel to alternate work sites, and resume essential functions
- Transfer 911 and dispatch operations to their alternate facility

# Continuity Advisory Committee

- Meet bi-annually to:
  - Establish priorities for testing, training, and exercising the Citywide Continuity Program
  - Make recommendations for changes to the Citywide Continuity Program content or structure

# High Impact Audit

- Business Continuity Planning is often considered an activity best completed where there is luxury of time and money – especially, since an organization cannot predict when or even if a disaster will strike an organization

# High Impact Audit

- The likelihood, we hope, for these emergencies are low. When they do occur, however, they often result in a high impact/risk to the organization.

# High Impact Audit

- The goal of business continuity planning is to be ready to respond to any emergency and maintain essential functions
- As a result of this audit and management's responsiveness, the City is better prepared to perform essential functions through a catastrophic emergency and support the Federal government



# APPENDIX



# Essential Functions

<b>Communications and Information Systems</b>	Manage PSAP and network operations	EBS, DPD. All departments depend on CIS for this function.	Tier 1
	Maintain radio operations	Radio shop, EBS. DPD, DFR, Library, City Secretary, Economic Development depend on CIS for this function.	Tier 1
	Manage data center operations and applications	EBS. All departments depend on CIS for this function.	Tier 1
<b>Equipment and Building Services</b>	Provide fuel to City Departments		Tier 2
	Manage electricity contracts for City buildings		Tier 2
	Manage facilities		Tier 1
	Manage fleet		Tier 2
<b>Public Works</b>	Manage ambient air sampling and monitoring		Tier 2
<b>311 and Strategic Customer Services</b>	Manage CRMS	All departments	Tier 2
	Respond to Citizen Calls	911	Tier 1
	Manage dispatch operations	Water, Animal Services, Streets, Sanitation, Parking Enforcement	Tier 2
<b>Department of Sustainable Development and Construction</b>	Perform building inspections and permitting		Tier 2
<b>Office of Emergency Management</b>	Manage Emergency Operations Center		Tier 1
	Provide warning and emergency information systems		Tier 1
	Reconstitute daily operations		Tier 3
<b>Courts and Detention Services</b>	Maintain case management system	CIS	Tier 2
	Operate revenue collection		Tier 2
	Operate detention center		Tier 1
	Operate open records response		Tier 2



# Essential Functions

Trinity Watershed Management	Monitor and review flood control		Tier 1
	Proved flood control emergency notifications		Tier 1
City Secretary	Post meeting notifications		Tier 2
	Facilitate council meetings		Tier 2
	Facilitate elections	Contractor	Tier 2
	Process service requests		Tier 3
	Operate records management		Tier 2
	Maintain administrative actions		Tier 2
	Process legal documents		Tier 2
Parks and Recreation	Provide shelters		Tier 2
	Perform monthly and quarterly reporting		Tier 3
	Hazardous Tree removal on Parks and Recreation property		Tier 3
	Process vendor payments		Tier 3
Dallas Public Library	Maintain Texas State Accreditation		Tier 3
	Provide public notices	City Secretary	Tier 3
	Provide public services		Tier 2
	Store and protect valuable City resources and assets		Tier 2
Code Compliance	Respond to code violations		Tier 2
	Perform inspections		Tier 3
	Maintain animal shelters and respond to service requests		Tier 2
Intergovernmental Services	Provide legislative services		Tier 3
	Facilitate fund development		Tier 2
City Attorney	Provide legal advice and representation	Specifically, CIS, EBS, DPD, DFR, City Manager, City Council, Mayor. All departments depend on the City Attorney.	Tier 2
	Prosecution of Class C Misdemeanors	Specifically, CIS, EBS, DPD, DFR, City Manager, City Council, Mayor.	Tier 3

# Essential Functions

Housing and Community Services	Provide disaster relief and emergency response	OEM, EBS, Parks and Recreation, CIS, DPD, DFR, Controller's Office, Water Department	Tier 2
	Operate community centers	EBS, CIS, Parks and Recreation, DPD, DFR, Business Development and Purchasing, OFS, Controller's office, City Manager, OEM, Water Department	Tier 2
	Ensure federal grant compliance	OFS, CIS, EBS, Parks and Recreation, Controller's Office, Dallas County (WIC)	Tier 3
Controller's Office	Process payroll	HR, CIS, EBS, DFR (they have their own timekeeping system). All departments enter payroll	Tier 2
	Manage accounts payable	CIS, EBS. All departments provide e invoices. Cultural affairs and code compliance rely on this function	Tier 3
	Collect and monitor revenue	CIS, EBS, City Manager, Water Department	Tier 3
Water	Operate water distribution	EBS, Business Development and Procurement Services, CIS (non SCADA information), City Atty, Risk Management, HR, DFR, OFS	Tier 1
	Provide materials and supplies to ensure operations	BDPS for purchasing, CIS, EBS, City Atty, City Manager, Controller, OEQ, CPE, DPD, DFR	Tier 3
	Provide waste water operations	EBS, BDPS, CIS, Risk Management, Trinity Watershed Management, Public Works, OEQ, DPD, DFR, 311	Tier 1
	Process billing and collections	CIS, 311, Controllers Office (does reconciliation later), EBS, BDPS (Express Business Center). Sanitation, Controller's office depend on this service	Tier 2
Department of Aviation	Provide commercial services support	EBS (fuel), CIS, Water, TSA, FAA, DPD, City Controller, DFR, Public Works, OEQ, BDPS, OFS, City Atty	Tier 2
	Ensure grants compliance	CIS, Controller's Office, HR, OFS, City Atty	Tier 3
Human Resources	Maintain employee Relations	CIS, EBS, Risk Management, City Atty. All employees depend on HR	Tier 3
	Manage benefits	CIS, EBS, City Atty.	Tier 2
	Manage payroll	CIS, Controller's Office, EBS	Tier 2

# Essential Functions

<b>Risk Management</b>	Manage workers compensation reporting	CIS, EBS, HR, BDPS, City Atty, OFS	Tier 3
	Manage insurance procurement	CIS, EBS, BDPS, City Atty, OFS	Tier 4, deferrable
<b>Mayor and City Council</b>	Provide leadership and make decisions	City Manager, City Secretary, City Atty, Private and Public Commissions	Tier 2
<b>Sanitation</b>	Provide dead animal collection	EBS, CIS	Tier 2
	Provide administrative support	Controller's Office, CIS, Budget Office.	Tier 3
	Provide refuse disposal	EBS, CIS	Tier 2
<b>Fair Housing</b>	Provide Fair Housing Assistance	City Atty, HUD, Texas Region 6 Housing, Code Enforcement, Dallas Housing Authority, and Economic Development	Tier 3
<b>Dallas Fire Rescue</b>	Provide firefighting, emergency medical services, and additional emergency response	OFS, 911	Tier 1
	Respond to emergencies	911, DPD, CIS, OEM	Tier 1
	Conduct fire inspections, investigations, and provide education	Code Compliance, Sustainable Development and Construction	Tier 2
	Provide resource management	BDPS, Controller's Office, CIS, and City Atty	Tier 3
	Receive 911 calls	DPD, Sherriff County, DART, City Atty, CIS	Tier 1
<b>Business Development and Procurement Services</b>	Maintain express business center	CIS, Water, USPS, Controller's Office	Tier 3
	Maintain interoffice and postal mail	EBS, transwestern (owns City Store), USPS	Tier 2
	Conduct procurement for general goods and services		Tier 2
<b>Office of Environmental Quality</b>	Conduct spill response and investigation for non-hazardous spills over a gallon involving City vehicles/equipment, City facilities, or at City projects	Storm Water Management, Parks, Water, CIS, Department responsible for the incident, EBS,	Tier 2
	Ensure City is compliant with regulatory requirements	City Atty, Risk Management, CIS, EBS, Parks, Water, DFR, Aviation	Tier 3

# Essential Functions

<b>City Manager</b>	Provide decision making and leadership for the City	EBS, CIS, City Attorney, City Council, PIO, OEM, Water	Tier 1
	Provide signatures for all time-sensitive documents	City Secretary, CIS, Controller, BDPS	Tier 2
	Coordinate City Council meeting location and prepare agendas	EBS, CIS, Lotus, OFS, City Attorney, Controller, Agenda office, City Council, BDPS	Tier 3
<b>PIO</b>	Provide information to the public (internal and external communications)	CIS, DPD, DFR, OEM, Water, City Manager, MC, City Attorney, Streets, Sanitation, Local media	Tier 1
	Provide answers to information requests	City Secretary, CIS, City Attorney, City Manager	Tier 3
<b>Convention and Event Services</b>	Convention Center Operations	CIS, Controller, OFS, EBS, City Attorney, Economic Development (Film Commission)	Tier 3
	Operate Union Station	Water Department	Tier 3
	Provide emergency sheltering	City Manager, ACM	Tier 2
<b>Office of Financial Services</b>	Ensure grants compliance	City Manager, Council, CIS, Controller, grantee, grantor	Tier 3
	Maintain annual budget process	CIS, City Manager, CFO, City Council, Controller's Office, BDPS. Each department is responsible for getting info to OFS.	Tier 3
<b>Street Services</b>	Keep roads clear	CIS, EBS, TXDot, DPD, DFR, DART	Tier 1
	Maintain traffic control	DART, TXDot, Trinity Watershed Management, Parks, EBS, DPD, DFR	Tier 2

# Essential Functions

## Police

(Patrol) Respond to calls for service	CIS, EBS, DFR Code enforcement, fusion center, Dallas County, DA's office, DART, DISD officers	Tier 1
(Patrol) Provide Public Safety	CIS, EBS, DFR Code enforcement, fusion center, Dallas County, DA's office, DART, DISD officers	Tier 1
(Strategic Deployment) Manage Tactical Operations, Support, and Patrol	DA, Fusion Center, USMS, Mayor Detail, FBI JTF,	Tier 1
(Strategic Deployment) Provide Technical Support	DA, Fusion Center, USMS, Mayor Detail, FBI JTF,	Tier 2
(Strategic Deployment) Manage intelligence gathering and Dissemination	DA, Fusion Center, USMS, Mayor Detail, FBI JTF,	Tier 2
(Strategic Deployment) Maintain Integrity	DA, Fusion Center, USMS, Mayor Detail, FBI JTF,	Tier 1 <b>(Awaiting</b>
(Strategic Deployment) Provide critical infrastructure protection	DA, Fusion Center, USMS, Mayor Detail, FBI JTF,	Tier 1
(Support) Manager 911 Dispatch	CIS, EBS, DFR, DPD, City Attorney (911 recordings)	Tier 1
(Support) Manage Property Facility (Store and Protect evidence and seized property)	CIS, EBS, DFR, DPD, City Attorney	Tier 2
(Support) Warrant Confirmations	CIS, EBS, DFR, DPD, City Attorney, Courts and Detention Services	Tier 2
(Support) Manage Auto Impounds	CIS, EBS, DFR, DPD, City Attorney, Courts and Detention Services	Tier 2
(Support) Manage Legal & Records	CIS, EBS, DFR, DPD, City Attorney, Courts and Detention Services	Tier 2
(Support) Manage Jail and Detention Center	CIS, EBS, DFR, DPD, City Attorney, Courts and Detention Services	Tier 2
(Investigations) First Responder to investigate and follow up on reported crimes	DA, Fusion Center, DPD	Tier 1
(Investigations) Prepare & Investigate violent crimes, homicides, and sexual assaults	DA, Fusion Center, DPD	Tier 1
(Investigations) Prepare and investigate domestic violence cases to include youth advocacy	DA, Fusion Center, DPD	Tier 2
(Investigations) Collect and maintain auto evidence and chain of custody	DA, Fusion Center, DPD	Tier 2
(Administrative) Provide employee relations and administrative support functions to all DPD personnel		Tier 2