



Office of the City Auditor Policies and Procedures

Number: 4.6.0

Title: Reporting on CAIU Projects

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Approved by:

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I. Policy

- A. Information pertaining to integrity violations received by the City Auditor's Integrity Unit (CAIU) may be reported (verbal or in writing) to the Deputy City Auditor, City Auditor, the City Manager, and the Austin Police Department's Integrity Crime Unit (ICU).
- B. Actionable integrity violations, follow-through projects, and assistance cases may also be reported to the Deputy City Auditor, City Auditor, and to the appropriate authorities. Appropriate authorities may include, but are not limited to: City management, City Council, Austin Police Department, District Attorney's Office, U.S. Treasury Department, or the Management Integrity Committee (MIC).

II. Purpose

The purpose of this policy is to provide reliable and effective information to the City Auditor and to provide assistance to City management and City Council in order to effect accountability, in addition to ensuring proper disposition on criminal matters.

III. Definitions

- A. **Integrity violation** is defined in Policy 4.1.0
- B. **Actionable integrity violations** - those violations that provide reasonable support for administrative, civil, or criminal actions.
- C. **Follow-through projects** - non-investigations or assistance cases that may be initiated at the conclusion of a CAIU or Austin Police Department investigation associated with a City of Austin department. The purpose of follow-through projects is to assist City

management in properly addressing control deficiencies as they relate to fraud, waste, and abuse.

IV. Procedures

- A. An integrity unit service report, including completed cases, will be delivered to the Deputy City Auditor and the City Auditor at least once per month, one week prior to each audit and finance committee meeting. This report should contain for each completed investigation, follow-through, and assistance case: a case number, a brief summary of the facts, the subject(s) directly involved, the department(s) involved, and the outcome of each. For cases closed in preliminary stages a reason for closure will also be provided.
- B. When an investigation or assistance case produces evidence that supports a finding that an integrity violation has occurred, a memorandum of findings may be prepared. The memorandum of finding will be directed to the City Auditor, and to the appropriate department director and city manager. The memorandum will summarize predication, methodology, evidence discovered, and state an opinion based upon the general understanding of the case. The City Auditor may report findings on integrity violations to Council members, City management, the MIC, or the appropriate law enforcement entity.
- C. If a follow-through project has substantial findings or suggested improvements, a memorandum may be prepared, and issued to the City Auditor and the affected department manager and Assistant City Manager.
- D. At all times, CAIU evidence will be available to the City Auditor and, when appropriate, the proper authorities for the purpose of making a determination on subsequent actions to be taken resulting from investigative findings. However, the availability of CAIU evidence may be subject to civil or criminal legal restrictions.