



Office of the City Auditor Policies and Procedures

Number: 5.1.1**Title:** Library and Research Files

Original Date:**Revision Date:****Approved By:**

01/27/1994

02/06/2006

I. Policy

The Office of the City Auditor shall maintain an in-house library of reference works, City financial and legal documents, journals, and training materials. Holdings will be updated as resources become available.

II. Purpose

The OCA library provides in-house materials to facilitate and support the work of OCA staff, other City audit staff, and Council Member office staff. In-house materials save time required for research and enhance the quality of work products, especially during audit surveys.

III. Definitions

- A. **Inter-library Loan** – Allows staff to access materials in libraries other than City of Austin libraries.
- B. **OCA Library** – Provides frequently used books and materials for use by staff and is a central repository for City documents.
- C. **OCA Library Administrator** – OCA staff member selected by the City Auditor or designee to manage the OCA Library and Database.
- D. **OCA Library Database** – Database used to administer, catalogue, and track OCA Library materials.

IV. Procedures

- A. OCA staff, other City audit staff, and Council Member office staff may borrow materials from the OCA Library.

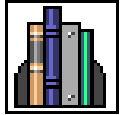
1. OCA Library materials are maintained and tracked in the OCA Library Database which can be used to search for available materials and shall be used to check out and return materials:
 - a. Refer to the OCA Library Database User Guide (Attachment A) for specific check-out/return procedures.
 - b. If there are any questions about the OCA Library or Database procedures, staff should contact the OCA Library Administrator for assistance.
- B. Other library materials are available to staff from the these sources:
 1. The Austin Public Library (APL) including APL database applications,
 2. The Austin History Center,
 3. City department libraries, and
 4. Other libraries through an inter-library loan through the APL.
- C. Staff may request that materials be purchased for audits or general reference by submitting a purchase request form. See policy **7.8.3 Purchasing Requests** for appropriate forms and procedures.

V. Responsibilities

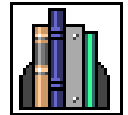
- A. **All staff** shall:
 1. Safeguard all library materials,
 2. Check out materials according to requisite procedure, and
 3. Return materials promptly according to requisite procedure.
- B. **OCA Administrative Staff**
 1. When a staff member leaves OCA employment, all OCA Library materials that are checked out to that staff member must be returned. As part of the exit process, **OCA Administrative Staff** shall run a “checked out materials” report from the OCA Library Database to verify that no OCA Library materials are outstanding.
- C. **City Auditor**
 1. Shall designate an OCA staff member to serve as the OCA Library Administrator.
- D. **OCA Library Administrator**

1. Shall be responsible for management of the OCA Library and Database. These duties include:
 - a. Cataloging OCA library materials and
 - b. Developing appropriate procedures to verify that OCA Library and Database information is kept current.
2. Acts as the OCA liaison to outside staff and provides OCA Library assistance as needed.

Attachment A



Office of the City Auditor
Library Database



User Guide

Last Revised: December 12th, 2005

Library User Guide
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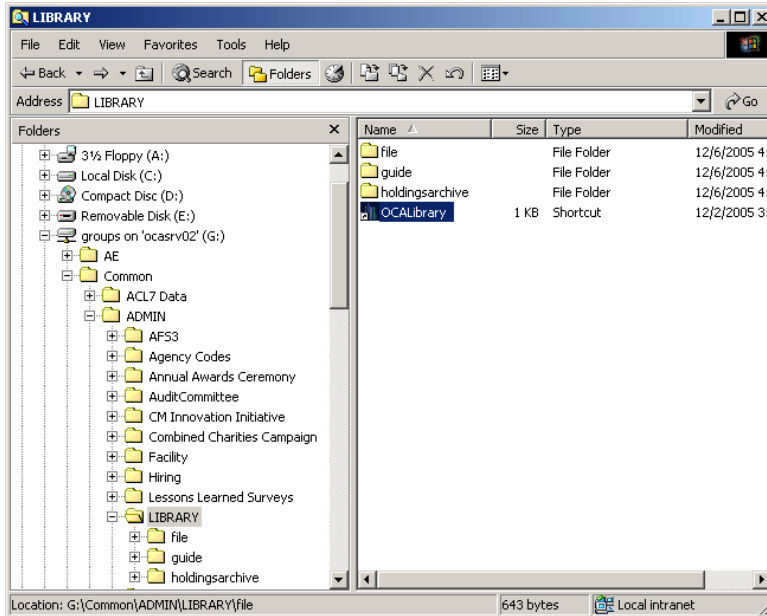
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Introduction

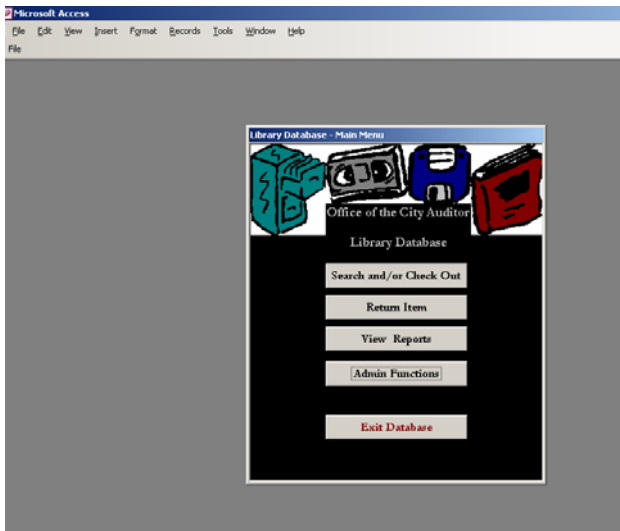
The Library database was designed to facilitate OCA staff access to Library resources. The Library, and the accompanying database, is operated on an OCA honor system. Please do your part to ensure that the Library resources are properly checked out and properly returned and to ensure that the materials remain organized over time. This database guide is intended as a supplement to OCA's Library Policy, policy 5.1.1.

Opening the Database

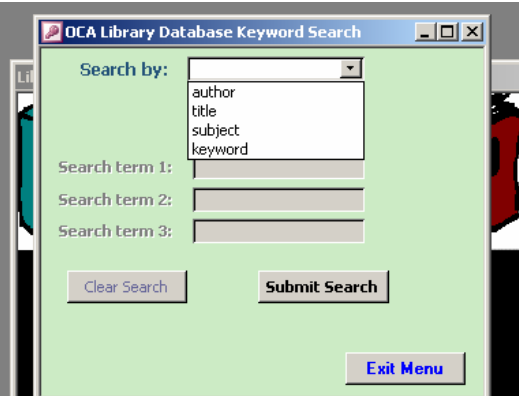
The shortcut to the OCA Library database can be found in the Common folder at: G:\SHARED RESOURCES\Audit Resources\LIBRARY\. The shortcut is called OCALibrary and has a set of books as the shortcut icon.



When you double click the shortcut, the Access database opens to the Main Menu of the Library database.



Finding Items



To find an item, click the “Search and/or Checkout” button on the Main Menu. The search form will open. From the search form, you have four choices of how to search: by author, by title, by subject, or by keyword.

For all searches except the subject search:

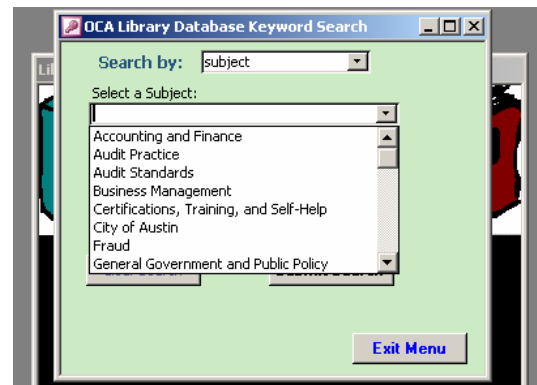
When you choose the search type, the search term boxes below will become active and allow you to enter one or more search term.

When you click the “Submit Search” button, a new form with your search results will open. The Match column on the far left, which indicates a percentage match based on your search terms only appears when doing a keyword search.

Match	ID	Title	Author	Subject	Publication Date	Location	
100%	122	Process Development Life Cycle: An Audit Survival Guide	IIA	Audit Practice	2001	library	Check Out
100%	227	Powering Up How Public Managers Can Take Control	Katherine Barrett; Richard Greene	Business Management	2001	library	Check Out
100%	333	Combined Transportation, Emergency, and Communication Cente	City of Austin - CTM	Industry Specific	2003	library	Check Out
100%	356	Management of Public Works Construction Projects	James L. Martin	Industry Specific	1999	library	Check Out
100%	370	Regional Radio System - Project Documentation	City of Austin - CTM	Industry Specific	2003	library	Check Out
100%	419	IS Project Management Handbook	George M. Doss	IT Audit	2000	library	Check Out
100%	469	A Guide to the Project Management Body of Knowledge	Project Management Institute, Inc	Project Management	2000	library	Check Out

For the subject search, you can choose to search by keyword, which works like the search and results forms shown above. You can also choose to see all records for a particular subject.

If you choose to see all records for a particular subject, a different looking search form opens. This form allows you to choose from the available subjects in the database. Once you choose a subject and click the “Submit Search” button, the search results are displayed in alphabetical order by title.



Book ID	Author	Title	Subject	Location	Publication Date	Employee	Check Out Date
278	David G. Banks	Auditing Accounts Payable for Fraud	Fraud	library	2001		
279	City of Austin; Office of	Forensic Accounting and Investigations: Financial State	Fraud	library	2003		
280	AICPA	How Fraud Hurts You and Your Organization	Fraud	library	2002		
281	G. McKechnie; N. Howell	Million-Dollar Frauds	Fraud	library	1998		
282	Richard B. Lanza	Proactively Detecting Occupational Fraud Using Comput	Fraud	library	2004		
283	James Bowman; David E	Public Integrity Annual	Fraud	library	1996		
284		The Causes of Ethical Collapse in Individuals and Organ	Fraud	library	2004		
285	George Allen	The Fraud Identification Handbook: Fraud Avoidance th	Fraud	library	1999		

Checking Out Items

To check out an item, you must first search for the item using the steps above. Once you have found the item you are looking for in the database, you should then find the item on the shelves. The items are shelved by Subject. Within each subject, the titles are organized alphabetically except when the item is part of a series. Note: You no longer need to use the pink Library cards to check books in and out.

Once you have the item in hand, you should return to the database and find the record for the item. You can then check out the item by selecting your name in the Employee column next to the item you are checking out and entering a check out date. To enter the current date, double click in the Check Out Date box for your item.

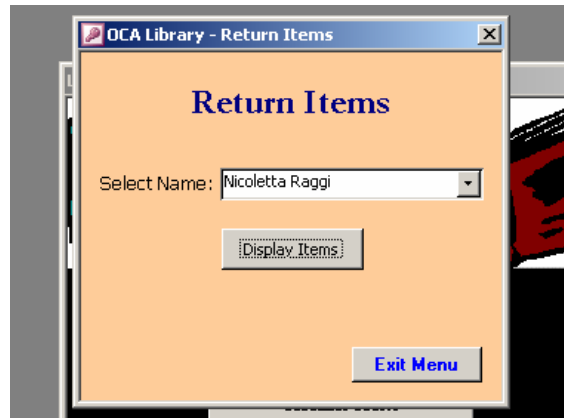
Book ID	Author	Title	Subject	Location	Publication Date	Employee	Check Out Date
148	IIA	2003 Webcast Series 4 - Looking Ahead: How Upcoming	Audit Standards	library	2003		
288	John O'Looney	Beyond Maps: GIS and Decision Making in Local Governi	General Governme	library	1997		
289	John O'Looney	Beyond Maps: GIS and Decision Making in Local Governi	General Governme	library	2001		
290	R.W. Greene	GIS in Public Policy	General Governme	library	2000	C'Anne Daugherty Clarke Hammond Colleen Waring Corrie Stokes David Henderson Douglas Whitworth Erin Taber Glyn Rogers	
292	R.W. Greene	Open Access GIS In e-Government	General Governme	library	2001		
335	R.W. Greene	Confronting Catastrophe: A GIS Handbook	Industry Specific	library	2002		
486	ESRI	ArcGIS 9: What is ArcGIS	Software	library	2001		

This process is the same for checking out items from any type of search except for a keyword search. If you search by keyword, you will need to click the “Check Out” button to the right of the item. This will open the Check Out form for the selected item where you can select your name and enter a check out date. Again, you can double-click to populate the field with the current date.

Returning Items

To return an item you have checked out, choose the “Return Item” button from the Main Menu. This will open the return form.

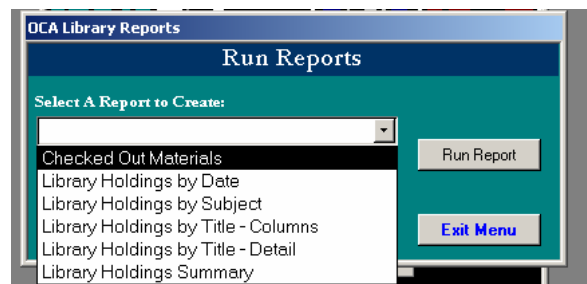
From the return form, you can select your name and then click the “Display Items” button. A form will open that shows the items checked out to you. To return an item, type in a return date in the Return Date box. Once you have returned the item in the database, you will need to re-shelve the item in the appropriate subject category location.



Book ID	Author	Title	Subject	Publication Date	Employee	Check Out Date	Return Date
289	John O'Looney	Beyond Maps: GIS and Decision Making in Local Governi	General Governmer	2001	Corrie Stokes	11/8/2005	
290	R.W. Greene	GIS in Public Policy	General Governmer	2000	Corrie Stokes	11/8/2005	

Database Reports

There are several reports available in the Library database. To run any of these reports, choose “View Reports” from the Main Menu. Then on the reports form, select the report you want to run from the drop down menu and click the “Run Report” button. If you choose the Library Holding by Subject report, you can select a specific subject or leave the subject line blank to see the full report.

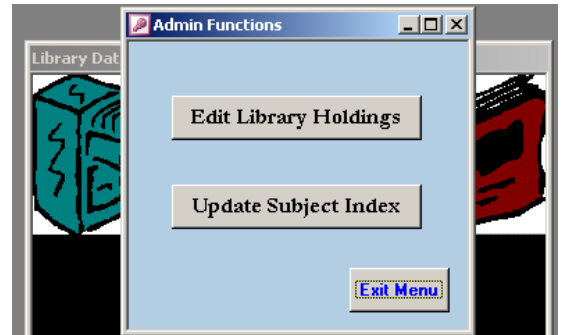


Administrator Functions

The Library administrator(s) can add to or edit the library holdings and update the list of subjects. To do this, the administrator must have the administrator password.

Instructions for Administrators:

To get to the Admin menu, select Admin Functions from the Main Menu. Enter the administrator password when prompted. The admin function menu will then appear.

A screenshot of a web application window titled "Edit Library Holdings". The window has a purple background. At the top, it says "Choose a subject to view library holdings:". Below this is a "Subject:" dropdown menu. There are two buttons: "Show Subject Records" and "Show All Records", separated by the word "OR". At the bottom right, there is an "Exit Menu" button.

To add to or edit the library holdings, select the “Edit Library Holdings” button. The edit form will open. You can then select a subject and view only records for that subject or select “Show All Records” to see all the records in the database. Once you’ve chosen to see either the subject records or all records, a form with the record details will open.

To page through the existing records or to add a record, use the appropriate buttons at the bottom left of the form. You can also highlight all or part of a field then right click and select “Filter by Selection”. This will limit the available records to just those records with the selected text in the active field.

A screenshot of a web application window titled "Enter Library Items". The window has a teal background. At the top, it says "OCA Library Holdings" with book icons on either side. The form contains several fields: "Title:" (text input with "A Guide for Preparing a Debt Policy"), "Author:" (text input with "Patricia Tigue"), "Subject:" (dropdown menu with "Accounting and Finance"), "Publication Type:" (dropdown menu with "book"), "Publisher:" (text input with "GFOA"), "Publication Year:" (text input with "1998"), "Receive Date:" (text input with "6/24/2004"), "Copies Available:" (text input with "1"), "Location:" (dropdown menu with "library"), and "Notes:" (text area). At the bottom, there are five "Keyword:" fields with values: "debt", "debt policy", "government finance", and two empty fields. At the bottom right, there is an "Exit Menu" button. At the very bottom, there is a "Record:" field with a value of "1" and navigation buttons.

To update the list of subjects, select the “Update Subject Index” button on the admin function form. A list of all of the current subjects will appear. You can add a new subject by scrolling to the bottom. You can also change the title of a current subject. However, if you change the title of a subject, the library records for each holding associated with that subject will also need to be updated. Do not change a subject title unless you are sure you can also change the holdings records; otherwise, the user search functions may no longer work properly.