

CHICAGO HOUSING AUTHORITY
The Office of the Inspector General



Audit and Program Review
2017 Annual Plan

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I. Mission

The OIG is an independent oversight office whose mission is to promote economy, efficiency and integrity in the administration of programs and operation of the Chicago Housing Authority.

The OIG achieves this mission through criminal and administrative investigations, reviews, and performance audits. From these activities, the OIG issues reports of findings and disciplinary and policy recommendations to ensure that CHA officers, the Board of Commissioners, employees and vendors are held accountable for running an efficient, cost-effective operation. The OIG is tasked to identify inefficiencies, waste, fraud, potential for misconduct, and to promote economy, efficiency, effectiveness, and integrity in the administration of CHA programs and operations. The role of the OIG is to audit CHA operations and make recommendations for improvement, when appropriate. CHA management is responsible for establishing and maintaining processes to ensure that CHA programs operate economically, efficiently, effectively, and with integrity.

II. Purpose of Annual Plan

The purpose of the Audit and Program Review' Annual Plan is to express priorities for the year and outline a list of potential projects that fit those priorities. Our approach for the execution of this review engagement will consist of interviews with key employees, review of documents, inspections, data extractions and the usage of applicable audit tools.

A. Subject to Change

The Annual Plan is a guiding document subject to change and does not prohibit the introduction of new priorities or topics throughout the year. Some topics on the Plan may not be initiated or completed in the year. This may occur if time-sensitive priority projects emerge during the year, or if circumstances arise that reduce the priority of a planned project. In addition, a project originally launched as a review may instead be completed as non-review report, or it may be terminated if the OIG determines that further work on the topic is not necessary.

B. Standard

The OIG conducts audits of programs in accordance with *Generally Accepted Government Auditing Standards issued by the Comptroller General of the United States and Principles and Standards for the Offices of Inspector General*. Those standards require that we plan and perform the audit to obtain sufficient, and appropriate evidence to provide a reasonable basis for our findings and conclusions based on our audit objectives. The adherence to these standards ensures that audits and program reviews comprise the requisite independence, planning, organizing, staff qualifications, direction and control, coordination, reporting, confidentiality and quality assurance.

III. Selection of Topics for Inclusion in Annual Plan

OIG gathers potential review topics from a variety of sources including: complaints received from the public through the OIG hotline, past OIG reviews, OIG investigations and other government agencies performance audits. It is important to note that the OIG may conduct forensic accounting based on the outcomes of CHA's internal audits and risk assessments and if an environment of fraud, waste and abuse has been identified.

A. Over-income Families – In progress

Audit Activity: Families living in Public Housing whose income exceeds established limits.

Division: Asset Management – Public Housing

Summary: Perform a review to evaluate CHA's effectiveness and efficiency on policies and procedures for families in public housing whose income exceeds established limits.

Projected Completion Time Frame: Q1

B. Occupancy Rate – In progress

Audit Activity: Available Public Housing units throughout the four regions.

Division: Asset Management – Public Housing

Summary: Perform a review to is to determine whether CHA has adequate controls to accurately monitor and track available units throughout the four regions.

Projected Completion Time Frame: Q1

C. Follow-Up Emergency Contracts – In progress

Review Activity: CHA's Emergency Contract

Division: Asset Management

Summary: Perform a follow-up review of CHA's Emergency Contract procurement process to ensure procedures are in compliance with CHA's and HUD's policies, procedures, and protocols as it relates to Emergency Contract procurement.

Projected Completion Time Frame: Q2

D. Follow-Up Security Guard Services

Review Activity: Security Gard Services compliance with contract requirements.

Division: Agency-wide

Summary: Perform a follow-up review to evaluate CHA's effectiveness and efficiency on Security Guard Services compliance and approval of payment process.

E. Follow-Up Emergency Contracts

Review Activity: Property Management Companies (PPM) Emergency Contract

Division: Asset Management – PPM

Summary: Perform a follow-up review of PPMs' Emergency Contract procurement process to ensure procedures are in compliance with HUD regulations, CHA's Procurement Procedures Manual and PPMs' procurement procedures.

F. Follow-Up Construction Change Order

Review Activity: Change Orders

Division: Capital Construction

Summary: Perform a follow-up review to evaluate CHA's effectiveness and efficiency on the revised process and usage of Change Orders in the construction process.

G. Grants

Audit Activity: Grant compliance with contract requirements.

Division: Agency-wide

Summary: Perform an audit to evaluate CHA's effectiveness and efficiency on grant compliance and reporting requirements.

H. Social Services Programs Review

a. Review Activity: Social Services Programs

Division: Resident Services

Summary: Perform a review to assess the compliance of service delivery and reporting requirements of the selected Social Service Program (Heartland).

b. Review Activity: Robotics Contract

Division: Resident Services

Summary: Review the operational activity as it relates to CHA residents.

I. Development/New Construction

Division: Capital Construction/Development

Summary: Perform an audit to evaluate CHA's polices and procedures for the Capital Construction/Development Division.

J. Section 3

Perform a review to evaluate CHA's policies and procedures for the Section 3 activity.

K. Private Property Management

Audit the operational functions of Habitat Company.

L. RAD Program

Perform a review to evaluate CHA's polices and procedures for the RAD Program.