

## 2020-2022 Closed Recommendations - Office of the City Auditor

Entity	Audit Title	Recommendation	Closed: Date	Related Budget Impact	If yes, funded or unfunded in 2023-2026 budget	Additional Notes
Assessment and Taxation	Assessment and Taxation	Rec 1 - Supplementary Assessments	16/4/2020	No		
Assessment and Taxation	Assessment and Taxation	Rec 2 - Monitor Complaint Process	16/4/2020	No		
Assessment and Taxation	Assessment and Taxation	Rec 4 - TACS System Access	16/4/2020	No		
Building Great Neighbourhoods	Open Spaces Asset Transfer	Rec 1 - Document Inspections & Deficiencies	10/11/2021	No		
Building Great Neighbourhoods	Open Spaces Asset Transfer	Rec 2 - Communication of Inspections	10/11/2021	No		
Audit led by: Building Great Neighbourhoods  Impacted Area: Parks and Roads Services	Open Spaces Asset Transfer	Rec 3 - Formalize the process to input open space assets into the Spatial Land Inventory Management system to ensure that PARS is receiving complete information on a timely basis.	26/1/2022	Yes	Unfunded  (Two Service Packages not approved for 2023-2026: Parks and Open Space Inventory Growth Maintenance - \$23.8 million over 2023-2026; and Urban Forest Maintenance and Care - Operating Budget - \$7.4 million over 2023-2026)	Due to limited funding, there is a growing backlog for maintaining new acquired open space assets. Assets are often prioritized only to address critical maintenance requirements.
Communications and Engagement	Communications and Engagement Department	Rec 1 - Document position work tasks and responsibilities	14/6/2021	No		
Communications and Engagement	Communications and Engagement Department	Rec 2 - Standardize processes	30/9/2020	No		
Communications and Engagement	Communications and Engagement Department	Rec 3 - Review and communicate services	14/6/2021	No		
Communications and Engagement	Communications and Engagement Department	Rec 4 - Finalize performance measures	22/9/2020	No		
Communications and Engagement	Communications and Engagement Department	Rec 5 - Increase communication with business areas	14/6/2021	No		
Communications and Engagement	Communications and Engagement Department	Rec 6 - Identify and resolve service model exceptions	1/12/2021	No		
Corporate Procurement and Supply Services	Consultant Services Review	Rec 1 - Training and Quality Assurance	13/3/2020	No		
Corporate Procurement and Supply Services	Consultant Services Review	Rec 2 - Reducing Unplanned Change Orders	10/1/2020	No		
Development Services	Current Planning Reserve	Rec 3 - Review and Assess Service Level Performance	30/1/2020	Yes	Funded  (Funded through Planning and Development Business Model)	Reviewing and assessing service level performance is an ongoing process as the branch is continually exploring service delivery improvements. This may impact fees and expense budgets in the future. For the 2023-2026 budget, the impacts are reflected in the approved base budget for the Planning & Development Business Model.
Development Services	Residential Infill	Rec 2 - Development Permit Review	28/10/2020	No		

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Development Services	Residential Infill	Rec 3 - Zoning Bylaw Updates	23/10/2020	Yes	Funded (\$2.4 million tax levy plus \$0.8 million FSR)	This audit recommendation is addressed through the comprehensive Zoning Bylaw Renewal project which is funded by a combination of base budget, FSR funded carryforwards and the funded Zoning Bylaw Renewal Continuation service package approved in the 2023-2026 budget.
Development Services	Residential Infill	Rec 4 - Use of the Term "Infill"	4/11/2020	No		
Economic Investment Services	Ukrainian Canadian Archives and Museum of Alberta Investigation	Rec 1 - Clear Funding Agreement Terms and Conditions	30/4/2021	No		
Economic Investment Services	Environmental Strategies Review	Rec 1 - Review and Manage Performance Measures	29/6/2021	No		
Edmonton Economic Development Corporation	Edmonton Economic Development Corporation (EEDC)	Rec 1 - Update EEDC's governing documents	10/5/2021	No		
Edmonton Economic Development Corporation	Edmonton Economic Development Corporation (EEDC)	Rec 2 - Align risk management process with best practice	26/3/2021	No		
Edmonton Economic Development Corporation	Edmonton Economic Development Corporation (EEDC)	Rec 3 - Review and update objectives of EEDC's Innovation System	22/10/2020	No		
Edmonton Economic Development Corporation	Edmonton Economic Development Corporation (EEDC)	Rec 4 - Track resource use and review resource allocation in EEDC's Innovation System	21/2/2020	No		
Edmonton Economic Development Corporation	Edmonton Economic Development Corporation (EEDC)	Rec 5 - Ensure performance measures are sufficient, reliable, understandable, and comparable	22/10/2020	No		
Edmonton Economic Development Corporation	Edmonton Economic Development Corporation (EEDC)	Rec 6 - Clean up and maintain the Vendor Master File	7/1/2020	No		
Edmonton Economic Development Corporation	Edmonton Economic Development Corporation (EEDC)	Rec 7 - Document and implement procedures	8/1/2020	No		
Edmonton Police Service	Edmonton Police Service Staffing	Rec 1 - Assess patrol staffing models	2/6/2020	No		
Edmonton Transit Service	ETS Revenue Management	Rec 1 - Strengthen Governance	14/4/2020	No		
Edmonton Transit Service	ETS Revenue Management	Rec 2 - Improve program reporting	27/5/2021	No		
Edmonton Transit Service	ETS Revenue Management	Rec 3 - Document Support for Inputs and Assumptions	10/11/2021	No		
Edmonton Transit Service	ETS Revenue Management	Rec 4 - Develop documented strategies to increase non-fare revenue and review existing non-fare revenue programs to ensure they meet their intended outcomes.	27/5/2021	Yes	Unfunded	The audit recommendation highlighted opportunities to further expand non-fare revenue strategies. Implementing these strategies would require additional staffing resources which are unfunded.

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Edmonton Transit Service	ETS Revenue Management	Rec 5 - Document performance measures methodology	27/5/2021	No		
Edmonton Transit Service	ETS Revenue Management	Rec 6 - Develop, document and implement strategies to mitigate fare evasion.	31/8/2020	Yes	Unfunded	Implementing additional fare evasion controls creates pressure on fare enforcement resources, such as Transit Peace Officers. Additional fare enforcement resources were not funded as part of implementing this recommendation.
Edmonton Transit Service	ETS Revenue Management	Rec 8 - Improve Safeguards for Fare Media	18/2/2022	No		
Employee Services	City Productivity and Performance	Rec 1 - Review supervisor responsibilities to reduce costs and layers.	29/11/2021	No		
Service Innovation and Performance	City Productivity and Performance	Rec 1 - Improve Benchmarking	23/2/2022	No		
Financial Services	City Productivity and Performance	Rec 2 - Perform Regularly Scheduled Operational Processes	4/11/2021	No		
Financial Services	Reserve Funds Governance and Management Review	Rec 1 - Update the governing document to promote the consistent administration and use of reserve funds.	17/6/2022	No		
Financial Services	Evaluated Receipt Settlement	Rec 1 - ERS Administrative Directive	28/7/2021	No		
Financial Services	Accounts Payable	Rec 1 - Improve controls over receiving non-purchase order transactions	26/5/2020	No		
Financial Services	Accounts Payable	Rec 2 - Improve controls over accounts payable systems	25/1/2021	No		
Financial Services	Accounts Payable	Rec 4 - Develop performance measures	2/3/2020	No		
Fire Rescue Services	Office of Emergency Management	Rec 1 - Strategic Plan and Performance Management Framework	8/7/2021	No		
Fire Rescue Services	Office of Emergency Management	Rec 2 - Update Governing Documents	8/7/2021	No		
Fire Rescue Services	Office of Emergency Management	Rec 3 - Hazard Identification and Risk Assessment	8/7/2021	No		
Infrastructure Delivery	Project Management of Transportation Infrastructure	Project Quality Measurement and Reporting	6/12/2022	No		
Integrated Infrastructure Services	Major Capital Project Review	Rec 1 - In Private	8/1/2021	No		
Legal Services, Employee Relations and Compensation	Conflict of Interest Management	Rec 1 - Update Conflict of Interest Program Governance Framework	3/5/2021	No		
Legal Services, Employee Relations and Compensation	Conflict of Interest Management	Rec 2 - Develop Clear Guiding Documents Tailored to Needs and Risks	7/9/2021	No		
Organizational Design and Development	Conflict of Interest Management	Rec 3 - Ensure All Employees Have Completed the Code of Conduct Training	27/8/2021	No		
Legal Services, Employee Relations and Compensation	Conflict of Interest Management	Rec 4 - Provide Ongoing Conflict of Interest Communication and Easily Accessible Information and Tools	7/9/2021	No		
Office of the City Clerk	2017 Municipal Election	Rec 1 - Information Technology Support	18/1/2021	No		

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Open City and Technology	Access to Digital Assets	Rec 1 - Inform Assets Owners of Responsibilities	2/11/2020	No		
Open City and Technology	Access to Digital Assets	Rec 2 - Address Weaknesses with Access Control Processes	25/6/2021	No		
Open City and Technology	Cloud Computing	Rec 1 - Update and Review the Software Asset Management SOP	12/3/2021	No		
Open City and Technology	Cloud Computing	Rec 2 - Ensure BMs are Reminded of the Responsibilities on a Regular Basis	22/3/2021	No		
Open City and Technology	Cloud Computing	Rec 3 - Ensure compliance with the Cyber Security Administrative Directive	2/12/2021	No		
Open City and Technology	Use of IT Contracted Resources	Rec 1 - Strengthen requisition of IT contracted resources through the IT staff augmentation contract	20/5/2022	No		
Open City and Technology	Use of IT Contracted Resources	Rec 2 - Review supporting documentation for non-competitive procurements	11/7/2022	No		
Parks and Roads Services	Electrical Services Contract Management	Rec 1 - Clearly define and document roles and responsibilities	3/11/2021	No		
Parks and Roads Services	Electrical Services Contract Management	Rec 2 - Only pay invoices with correct rates and all required supporting documentation	1/3/2022	No		
Parks and Roads Services	Electrical Services Contract Management	Rec 3 - Use contract controls to monitor contractor performance	28/1/2022	No		
Parks and Roads Services	Electrical Services Contract Management	Rec 4 - Enforce the terms and conditions of the contracts	28/1/2022	No		
Parks and Roads Services	Forestry Services	Rec 1 - Review pruning service levels and budgeted workload to ensure performance targets can be met within their current budget.	17/11/2022	Yes	Unfunded (analysis underway)	Analysis is currently underway to estimate the cost of addressing the one-time backlog and transitioning operations to recommended service level. An increase to the capital and operating budget would be required to achieve the recommended service level.
Parks and Roads Services	Forestry Services	Rec 2 - Inspections and Invoices	29/11/2021	No		
Parks and Roads Services	Forestry Services	Rec 3 - Review tree inventory data	29/11/2021	No		
Parks and Roads Services	Forestry Services	Rec 4 - Review Equipment Utilization	29/11/2021	No		
Parks and Roads Services	Forestry Services	Rec 5 - Review and update the guiding documents relating to Forestry Services to improve their clarity, accuracy, and consistency.	17/11/2022	Yes	Unfunded (Service Package not approved for 2023-2026: Execution of the Urban Forest Management Plan \$0.9 million one-time)	Includes updating the Urban Forest Management Plan, the Urban Forest Asset Management Plan, and a contract for procuring LiDAR data to measure the urban forest canopy.
Parks and Roads Services	Forestry Services	Rec 6 - Review Performance Measures	20/5/2022	No		
Parks and Roads Services	Parks and Roads Services Yard Operations	Rec 1 - Develop a plan for yards	22/10/2020	No		An overall Service Location Strategy (SLS) is in development. Any recommendations and outcome will likely result in capital/operating budgetary impacts and requests.
Parks and Roads Services	Parks and Roads Services Yard Operations	Rec 2 - Clarify authority and processes	24/2/2020	No		
Parks and Roads Services	Parks and Roads Services Yard Operations	Rec 3 - Develop a minimum or optimum standard for yard conditions against which to assess and prioritize improvements and upgrades to the individual yards.	19/8/2020	Yes	Unfunded	Combined with recommendation 5

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Parks and Roads Services	Parks and Roads Services Yard Operations	Rec 4 - Review and optimize existing yard space	17/9/2020	No		
Parks and Roads Services & Fleet and Facility Maintenance	Parks and Roads Services Yard Operations	Rec 5 - Work with Corporate Security to assess the security risks in the yards, and develop and implement appropriate security practices including: a. Yard access procedures b. Securing vehicles and mobile equipment c. Securing small assets d. Clarifying yard inspection protocols e. Reporting security incidents	4/6/2020	Yes	Unfunded (Parks & Fleet Safety and Security Improvements - \$3.9 million)	Parks and Fleet Safety and Security Improvements report was completed in 2022 identifying the need for security upgrades.  To address immediate and increased safety concerns, \$554K of operating dollars were transferred capital to address minimum requirements for the Huffman Yard Lighting Upgrade portion. The remaining costs required for upgrades to 18 yards/facilities, as well as costs for project management, contractors, and engineering fees remains unfunded.
Parks and Roads Services	Snow and Ice Control	Rec 1 - Review and Update Guiding Documents	3/11/2021	No		
Parks and Roads Services	Snow and Ice Control	Rec 2 - Improve Decision-Making Processes	9/3/2022	No		
Parks and Roads Services	Snow and Ice Control	Rec 3 - Improve Change Management Processes	19/9/2022	No		
Parks and Roads Services	Snow and Ice Control	Rec 4 - Develop Performance Measures that Support Decision-Making	1/12/2021	No		
Parks and Roads Services	Snow and Ice Control	Rec 5 - Improve and formalize an ongoing benchmarking process to ensure PARS assesses and compares SNIC program's performance with other cities. This process should be aligned with the ongoing work of the Corporation and industry best practices.	4/1/2022	Yes	Unfunded (analysis underway)	Audit recommendation provided an interim solution. If the City decided they would go forward with the corporate benchmarking service, this would require funding in order to pay for the annual subscription (in the order of thousands of dollars). Analysis is underway into what this benchmarking program would look like, and there could be staffing costs associated with this as well. This may be assigned to SIP for implementation.
Parks and Roads Services	Snow and Ice Control	Rec 6 - In-house versus contracted services cost analysis	9/3/2022	No		
Parks and Roads Services	Snow and Ice Control	Rec 7 - Document Service Level Commitments and Operational Arrangement	15/6/2022	No		
Parks and Roads Services	Snow and Ice Control	Rec 8 - Develop Cost-Reduction and Revenue Generation Opportunities	19/12/2022	Yes	Funded (Snow Storage Site Upgrades CP10412: \$49.9 million)	Snow Storage Site Upgrades: CP10412 - capital profile is funded under IIS. \$49.9M was approved for 2023-2026. Ongoing work underway around tipping fee program, which would impact revenues. OICs are anticipated for 2027.  There are other two other cost-reduction and/or revenue opportunities for review that are in progress: - Community Sandbox Program - Permanent versus temporary staff analysis
Parks and Roads Services	Snow and Ice Control	Rec 9 - Expand Standard Operating Procedures to include all Key SNIC Activities	30/11/2021	No		
Parks and Roads Services	Snow and Ice Control	Rec 10 - Improve Staff Oversight	21/9/2022	No		

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Parks and Roads Services	Snow and Ice Control	Rec 11 - In collaboration with the Communication and Engagement Department improve public communication, and ensure that: <ul style="list-style-type: none"> <li>• The Communication Plan is clear and complete;</li> <li>• The information provided on the SNIC website is consistent, clear, and concise; and</li> <li>• The interactive maps provided on the website are accurate and timely</li> </ul>	9/11/2021	Yes	Unfunded (analysis underway)	Working towards development of a near real time snow and ice clearing map using GPS data. Depending on direction from leadership there may be future costs in order to fully implement this communication solution.
Parks and Roads Services	Snow and Ice Control	Rec 12 - Strengthen complaint handling processes by: <ol style="list-style-type: none"> <li>1. Ensuring 311 scripts are consistent, complete and accurate.</li> <li>2. Centralizing receiving, recording and handling of Councillor inquiries.</li> <li>3. Analyzing 311 and Councillor inquiries for common themes and developing strategies to address common themes.</li> <li>4. Tracking and managing time spent dealing with 311 and Councillor inquiries.</li> <li>5. Deactivating the PARS email account or developing a process to enter these emails into the 311 stream.</li> </ol>	4/1/2022	Yes	Unfunded (\$0.1 million annually)	Currently using a temporary position to address needs, and working on converting the position to a permanent position. This position was part of the SNIC Service Package where only 20% of the package was funded for 2023-2026. Currently leveraging other funding in the section temporarily for this position, but will require additional funding to cover the ongoing expense.
Planning and Environment Services	Historic Resource Management Program	Rec 2 - Update Historic Resource Listing	17/2/2022	No		
Real Estate	Real Estate Branch	Rec 1 - Update Property Manager Roles and Responsibilities	27/8/2021	No		
Real Estate	Real Estate Branch	Rec 2 - Update Lease Creation Process Requirements	24/9/2021	No		
Real Estate	Real Estate Branch	Rec 3 - Complete and Implement the Performance Measures Framework	20/12/2021	No		
Real Estate	Real Estate Branch	Rec 4 - Improve Process Documentation	24/9/2021	No		
Real Estate	Real Estate Branch	Rec 5 - Produce an Annual Report of Land Holdings	1/2/2022	No		
Social Development	Africa Centre	Rec 2 - Update governing documents	5/2/2021	No		
Social Development	Social Development	Rec 1 - Align activities to role, purpose, and outcomes	24/9/2021	No		
Social Development	Social Development	Rec 2 - Evaluate activities and outcomes	21/11/2022	Yes	Funded (Max \$0.5 million; combined Rec 2 and 3)	The Social Development base budget, through a combination of Family & Community Support Services funding and Community Resources tax levy funding, will be used in 2023 and 2024 to fund a new grant administration system with an estimated implementation in 2024.
Social Development	Social Development	Rec 3 - Improve the adequacy of the administration processes for financial contributions.	2/2/2023	Yes	Funded (Max \$0.5 million; combined Rec 2 and 3)	The Social Development base budget, through a combination of Family & Community Support Services funding and Community Resources tax levy funding, will be used in 2023 and 2024 to fund a new grant administration system with an estimated implementation in 2024.