

**OFFICE OF
THE CITY AUDITOR**

REPORT RECOMMENDATION FOLLOW-UP

Administration closed 10 recommendations.

There are 46 outstanding recommendations: 32 are not yet due and 14 are overdue.

AUGUST 20, 2024

Recommendation Dashboard

46

recommendations currently outstanding

10

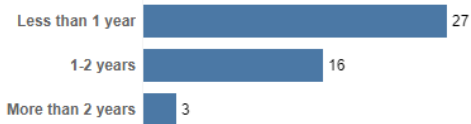
recommendations closed since last report to audit committee

4

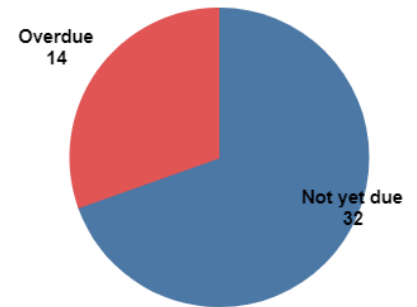
recommendations closed in the last 30 days

Age of Recommendations

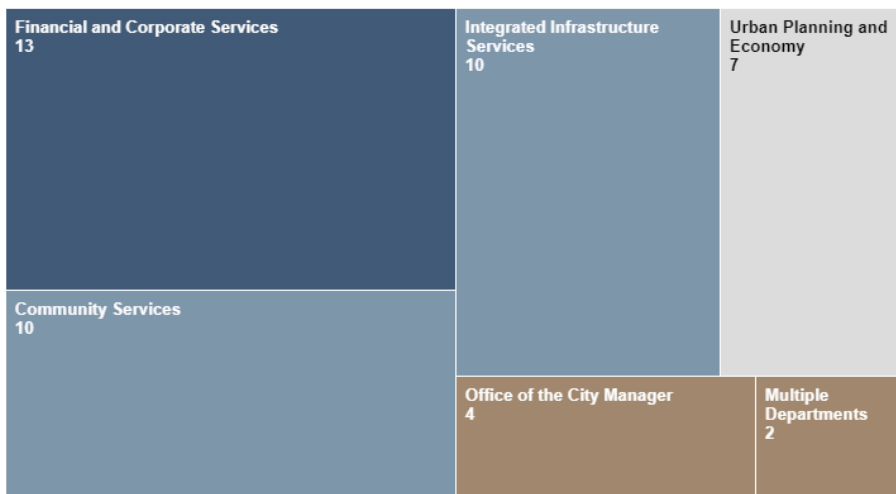
Years since recommendation was made



Outstanding Recommendation Distribution



Outstanding Recommendations by Department



13

recommendations due in the next 6 months

55%

of recommendations due to date in 2024 closed on time

Closed Recommendations

Since our last report (June 6, 2024) Administration has **closed 10 recommendations.**

Project Name	Department	Recommendation	Due Date	Closed Date
1. City Governance of Fort Edmonton Park	Community Services	Rec 4 - Develop detailed service agreements	September 1, 2023 Revised due date: June 30, 2024	July 31, 2024

On October 3, 2022, we recommended that the City Manager develop detailed agreements for the services the City provides to the Fort Edmonton Management Company (FEMCo).

City Administration created nine Service Level Agreements (SLAs) that outline the current state of how various City business areas provide support for the operation of Fort Edmonton Park. FEMCo leadership reviewed each of the SLAs and accepted that they represent the current state.

2. Cyber Security Program	Financial and Corporate Services	Rec 3 - In private	June 30, 2024	June 30, 2024
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Specific information related to this recommendation was not shared publicly due to the *Freedom of Information and Protection of Privacy Act*. Some of the information could pose a risk to the City if malicious actors were made aware of it; as a result, any discussion related to this recommendation should be done in private.

3. Cyber Security Program	Financial and Corporate Services	Rec 4 - In private	June 30, 2024	July 9, 2024
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Specific information related to this recommendation was not shared publicly due to the *Freedom of Information and Protection of Privacy Act*. Some of the information could pose a risk to the City if malicious actors were made aware of it; as a result, any discussion related to this recommendation should be done in private.

4. Cyber Security Program	Financial and Corporate Services	Rec 7 - In private	June 30, 2024	June 27, 2024
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Specific information related to this recommendation was not shared publicly due to the *Freedom of Information and Protection of Privacy Act*. Some of the information could pose a risk to the City if malicious actors were made aware of it; as a result, any discussion related to this recommendation should be done in private.

5. Cyber Security Program	Financial and Corporate Services	Rec 8 - In private	June 30, 2024	June 27, 2024
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Specific information related to this recommendation was not shared publicly due to the *Freedom of Information and Protection of Privacy Act*. Some of the information could pose a risk to the City if malicious actors were made aware of it; as a result, any discussion related to this recommendation should be done in private.

6. Employee Absences and Overtime	Office of the City Manager	Rec 1 - Strengthen support for the management of absences and overtime	June 30, 2024	July 2, 2024
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On June 9, 2023, we recommended that the Employee Services Department (now part of Employee and Legal Services Division) strengthen support for the management of absences and overtime to hold business areas accountable for managing risks related to employee absences and overtime.

The Employee and Legal Services Division updated applicable policies and guiding documents governing employee absences and overtime. The updated Effective Overtime Management: A Guide for Supervisors and the newly developed Earned Days Off (EDO) and Compressed Hours of Work (CHOW) Programs: A guide for Supervisors, clarify roles and responsibilities relating to monitoring and oversight of absences and overtime for all stakeholders involved, including the Division's corporate monitoring function. In addition, the Division increased communication of the tools to supervisors, posted the guides on the City's internal intranet site for employees, and expanded the existing workforce analytics platform to all People Leaders as a means to provide information on employee absences and overtime.

The Division also increased support to business areas with periodic reviews and trend analysis to optimize the workforce, create holistic strategies and solutions, and proactively address areas of concern. Finally, the Division compiled aggregate-level data for periodic reporting to the Executive Leadership Team to ensure that all business areas are managing operational risks related to absences and overtime.

7.	Employee Absences and Overtime	Office of the City Manager	Rec 3 - Provide consistent guidance on monitoring and managing overtime	June 30, 2024	July 2, 2024
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On June 9, 2023, we recommended that the Employee Services Department (now part of Employee and Legal Services Division) provide business areas with consistent guidance on the monitoring and managing of overtime both at an individual and aggregate level.

The Employee and Legal Services Division updated applicable policies and guiding documents governing employee absences and overtime. The updated Effective Overtime Management: A Guide for Supervisors and the newly developed Earned Days Off (EDO) and Compressed Hours of Work (CHOW) Programs: A guide for Supervisors, clarify roles and responsibilities relating to monitoring and oversight of absences and overtime for all stakeholders involved, including the Division's corporate monitoring function. In addition, the Division increased communication of the tools to supervisors, posted the guides on the City's internal intranet site for employees, and expanded the existing workforce analytics platform to all People Leaders as a means to provide information on employee absences and overtime.

8.	Employee Absences and Overtime	Office of the City Manager	Rec 4 - Review and report to management	June 30, 2024	June 30, 2024
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On June 9, 2023, we recommended that the Employee Services Department (now part of Employee and Legal Services Division) review and report to management on business areas' overtime monitoring and management practices.

The Division increased support to business areas with periodic reviews and trend analysis to optimize the workforce, create holistic strategies and solutions, and proactively address areas of concern. In addition, the Division compiled aggregate-level data for periodic reporting to the Executive Leadership Team to ensure that all business areas are managing operational risks related to absences and overtime.

Division staff also have had conversations with business areas to discuss the reasons for overtime and possible workforce strategies. These have been both ad hoc as well as part of regular check ins that HR Business Partners and/or Labour Relations consultants have with areas.

9.	City's Response to Homelessness	Community Services	Rec 1 - Develop a corporate-wide homelessness plan	December 31, 2023	July 31, 2024
				Revised due date:	
				December 31, 2024	

On May 27, 2022, we recommended that the City Manager develop a corporate-wide homelessness plan that defines the strategy and integrates and coordinates the City's internal response to homelessness.

The Social Development Branch prepared a Homelessness and Housing Services Plan, which City Council approved on July 3, 2024. The Plan describes the City's role in addressing and ending homelessness, and includes a framework for integration of the various City branches that have a role to play within the Plan.

10. City's Response to Homelessness	Community Services	Rec 2 - Assign accountability for homelessness plan	December 31, 2023	July 31, 2024
			Revised due date:	
			December 31, 2024	

On May 27, 2022, we recommended that the City Manager assign accountability for the delivery of the corporate-wide homelessness plan and its activities.

The Social Development Branch prepared a Homelessness and Housing Services Plan, which City Council approved on July 3, 2024. The Plan identifies the Affordable Housing and Homelessness Section in the Social Development Branch as the accountable lead for implementation of the Plan.

Overdue Recommendations

There are fourteen overdue recommendations.

No recommendations are **more than one year overdue**.

Fourteen recommendations are **less than one year overdue**.

Project Name	Department	Recommendation	Months Overdue	Due date
1. Safety Codes Permits & Inspection Services	Urban Planning and Economy	Rec 1 - Clarify minimum number of inspections	11	September 30, 2023 Revised due date: December 31, 2024
2. Safety Codes Permits & Inspection Services	Urban Planning and Economy	Rec 2 - Expand risk-based inspections	11	September 30, 2023 Revised due date: December 31, 2024
3. City's Response to Homelessness	Community Services	Rec 3 - Develop performance measures and evaluate the homelessness plan	8	December 31, 2023 Revised due date: December 31, 2024

4.	Enforcement Services Management and Support	Community Services	Rec 3 - Implement functional dispatch and GPS systems	8	December 31, 2023 Revised due date: March 31, 2025
5.	Enterprise Performance Management	Financial and Corporate Services	Rec 4 - Enhance operational and public reporting	8	December 31, 2023 Revised due date: December 31, 2024
6.	Grants and Subsidies	Financial and Corporate Services	Rec 1 - Provide training	4	March 31, 2024 Revised due date: September 30, 2024
7.	Grants and Subsidies	Financial and Corporate Services	Rec 2 - Monitor and report on business area compliance	4	March 31, 2024 Revised due date: September 30, 2024
8.	Grants and Subsidies	Financial and Corporate Services	Rec 3 - Evaluate grant programs and subsidies	4	March 31, 2024 Revised due date: September 30, 2025

9.	City Governance of Fort Edmonton Park	Community Services	Rec 2 - Clarify roles and responsibilities of various stakeholders	3	April 30, 2024 Revised due date: December 31, 2024
10.	Enforcement Services Management and Support	Community Services	Rec 2 - Update policies and procedures	1	June 28, 2024 Revised due date: January 31, 2025
11.	Capital Asset Management	Integrated Infrastructure Services	Rec 1 - Update Infrastructure Policy and Strategy	1	June 30, 2024 Revised due date: December 31, 2024
12.	Civic Agencies Governance	Office of the City Manager	Rec 1 - Update roles and responsibilities	1	June 30, 2024 Revised due date: December 31, 2024
13.	Employee Absences and Overtime	Office of the City Manager	Rec 2 - Improve earned day off program communication and tracking	1	June 30, 2024 Revised due date: October 31, 2024

14. IT General Controls - Process Ownership	Financial and Corporate Services	Rec 1 - Update and fully implement IT governance framework	1	June 30, 2024 Revised due date: October 31, 2024
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Recommendations Not Yet Due

There are 32 recommendations that are **not yet due**.

Project Name	Department	Recommendation	Months until due	Due date
1. Blatchford Development Performance Management	Integrated Infrastructure Services	Rec 1 - Develop sufficient measures and targets	2	September 30, 2024
2. Blatchford Development Performance Management	Integrated Infrastructure Services	Rec 2 - Define and document measures	2	September 30, 2024
3. City's Response to 311 Requests	All Departments	Rec 2 - Departments to close tickets after request has been resolved	2	September 30, 2024
4. Civic Agencies Governance	Office of the City Manager	Rec 4 - Update training requirements	2	September 30, 2024
5. IT Asset Management	Financial and Corporate Services	Rec 1 - Improve IT Asset Management guidance documents	2	September 30, 2024
6. Capital Asset Management	Integrated Infrastructure Services	Rec 3 - Develop guidance on asset disposition	5	December 31, 2024

7.	Capital Asset Management	Integrated Infrastructure Services	Rec 4 - Develop guidance for asset data verification	5	December 31, 2024
8.	City Governance of Fort Edmonton Park	Community Services	Rec 1 - Update governance documents	5	December 31, 2024
9.	City Governance of Fort Edmonton Park	Community Services	Rec 3 - Clarify City's funding approach of FEMCo	5	December 31, 2024
10.	Civic Agencies Governance	Office of the City Manager	Rec 2 - Support Council to regularly review mandates	5	December 31, 2024
11.	Cyber Security Program	Financial and Corporate Services	Rec 1 - In private	5	December 31, 2024
12.	Historical Resources Management Program	Urban Planning and Economy	Rec 1 - Update guiding documents	5	December 31, 2024
13.	IT Asset Management	Financial and Corporate Services	Rec 2 - Maintain accurate software license data	5	December 31, 2024
14.	Publicly Reported Community Indicators Validation	Financial and Corporate Services	Rec 1 - Require business areas to review and approve information	5	December 31, 2024

15. Publicly Reported Community Indicators Validation	Financial and Corporate Services	Rec 2 - Regularly review narratives to match business area information	5	December 31, 2024
16. Blatchford Development Performance Management	Integrated Infrastructure Services	Rec 3 - Collect and analyze performance data	8	March 31, 2025
17. City's Response to 311 Requests	Multiple departments	Rec 3 - Identify KPI and targets	8	March 31, 2025
18. Equitable Recreation Programming	Community Services	Rec 1 - Conduct community needs assessment	8	March 31, 2025
19. Blatchford Development Performance Management	Integrated Infrastructure Services	Rec 4 - Regularly report on progress	11	June 30, 2025
20. Blatchford Development Performance Management	Integrated Infrastructure Services	Rec 5 - Develop action plans	11	June 30, 2025
21. Capital Asset Management	Integrated Infrastructure Services	Rec 5 - Improve asset management performance measurement	11	June 30, 2025
22. Cyber Security Program	Financial and Corporate Services	Rec 9 - In private	11	June 30, 2025
23. Cyber Security Program	Financial and Corporate Services	Rec 2 - In private	17	December 31, 2025

24. Environmental and Climate Governance	Urban Planning and Economy	Rec 1 - Formalize roles and responsibilities	17	December 31, 2025
25. Environmental and Climate Governance	Urban Planning and Economy	Rec 3 - Build climate competencies	17	December 31, 2025
26. Equitable Recreation Programming	Community Services	Rec 2 - Develop an integrated plan	20	March 31, 2026
27. Environmental and Climate Governance	Urban Planning and Economy	Rec 3 - Develop a monitoring evaluation framework	23	June 30, 2026
28. Environmental and Climate Governance	Urban Planning and Economy	Rec 4 - Improve climate-informed decision making	23	June 30, 2026
29. Equitable Recreation Programming	Community Services	Rec 3 - Identify and track minimum objectives for each programming type and individual program	23	June 30, 2026
30. Equitable Recreation Programming	Community Services	Rec 4 - Develop documented guidance	26	September 30, 2026
31. Cyber Security Program	Financial and Corporate Services	Rec 5 - In private	29	December 31, 2026
32. Capital Asset Management	Integrated Infrastructure Services	Rec 2 - Guide development of Asset Management Plans	41	December 31, 2027

Recommendation Follow-Up Process

BACKGROUND

Establishing a follow-up process to monitor and ensure that Administration has effectively implemented audit recommendations is an essential part of an effective audit process. It allows Council, Administration, and the Office of the City Auditor to know that prior recommendations and the risks that led to those recommendations have been addressed.

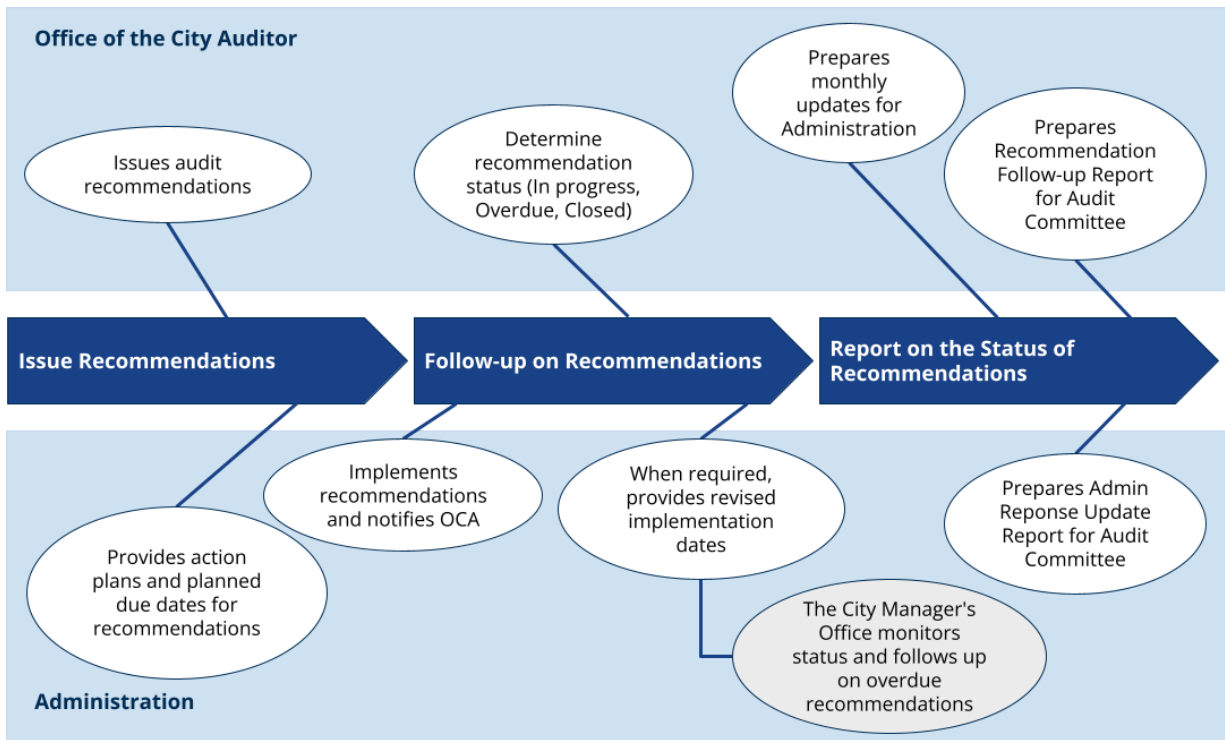
RECOMMENDATION FOLLOW-UP PROCESS

The Office of the City Auditor's follow-up process provides Council and the Administration with timely updates on commitments made in response to audit recommendations.

The recommendation follow-up process consists of three main activities:

1. Issuing recommendations
2. Following-up on recommendations
3. Reporting on the status of recommendations

The chart on the next page depicts the follow-up process and the roles of the Office of the City Auditor and Administration in the process.



REVISING ACTION PLANS AND DUE DATES

Administration sometimes needs to revise action plans and planned due dates as a result of unforeseen circumstances, such as competing priorities, changes in resources, and changes in industry requirements. We continue to track recommendation status based on the original due date, and provide the revised due date in this report.

CLOSING RECOMMENDATIONS

Once administration notifies us that they have implemented the recommendation, we interview appropriate business area staff and review documentation to evaluate administration's actions. We evaluate whether their actions have addressed the risks identified during the audit. We close the recommendation once Administration has met the intent of the recommendation.