



# City of Edmonton Office of the City Auditor

## Recommendation Follow-up Dashboard Report

As at January 25, 2021

There are 34 outstanding recommendations: 19 are not yet due and 15 are overdue.



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## Closed Recommendations

In the period since our last report (November 2, 2020) the administration **closed 6 recommendations**

Project Name	Department	Recommendation
1. Major Capital Project Review	Integrated Infrastructure Services	Rec 1 – <i>In Private</i>
2. Investigation Report	Integrated Infrastructure Services	Rec 1 – Strengthen Project Oversight
3. Residential Infill Audit	Urban Form and Corporate Strategic Development	Rec 4 - Use of Term “Infill”
4. Accounts Payable Audit	Financial and Corporate Services	Rec 2 - Improve Controls over Accounts Payable System
5. 2017 Municipal Election	Office of the City Clerk	Rec 1 - Information Technology Support
6. Africa Centre Governance and Management Review	Africa Centre Board of Directors	Rec 2 - Update Governing Documents

# Overdue Recommendations

There are 15 overdue recommendations.

## More than one year overdue:

Project Name	Department	Recommendation	Months Overdue	Revised Due Date
1. Edmonton Transit Service Revenue Management Audit	City Operations	Rec 5 - Document Performance Measures Methodology	14	10/31/2020

## Less than one year overdue:

Project Name	Department	Recommendation	Months Overdue	Revised Due Date
2. Conflict of Interest Management Audit	Employee Services	Rec 3 - Ensure All Employees have Completed the Code of Conduct Training	10	6/30/2020
3. Edmonton Transit Service Revenue Management Audit	City Operations	Rec 8 - Improve Safeguards for Fare Media	10	11/30/2020
4. Conflict of Interest Management Audit	Office of the City Manager	Rec 4 - Provide Ongoing Conflict of Interest Communication and Easily Accessible Information and Tools	10	11/30/2020
5. Ukrainian Canadian Archives and Museum of Alberta Investigation	Urban Form and Corporate Strategic Development	Rec 1 - Clear Funding Agreement Terms and Conditions	10	12/31/2020
6. Edmonton Economic Development Corporation (EEDC) Audit	Edmonton Economic Development Corporation	Rec 1 - Update EEDC's Governing Documents	9	3/31/2021
7. Edmonton Transit Service Revenue Management Audit	City Operations	Rec 2 - Improve Program Reporting	7	6/30/2020
8. Edmonton Transit	City Operations	Rec 3 - Document Support for	7	6/30/2020





<b>Project Name</b>	<b>Department</b>	<b>Recommendation</b>	<b>Months Overdue</b>	<b>Revised Due Date</b>
Service Revenue Management Audit		Inputs and Assumptions		
9. Edmonton Transit Service Revenue Management Audit	City Operations	Rec 4 - Enhance Non-Fare Revenue Strategies	7	6/30/2020
10. Investigation Report	Financial and Corporate Services	Rec 2 - Review Cheque Requisition Process	4	9/30/2020
11. Access to Digital Assets	Financial and Corporate Services	Rec 2 – Address Weaknesses with Access Control Processes	3	10/31/2020
12. Emergency Management Governance and Risk Assessment Audit	Citizen Services	Rec 1 - Strategic Plan and Performance Management Framework	0	6/30/2021
13. Emergency Management Governance and Risk Assessment Audit	Citizen Services	Rec 2 - Update Governing Documents	0	6/30/2021
14. Emergency Management Governance and Risk Assessment Audit	Citizen Services	Rec 3 - Hazard Identification and Risk Assessment	0	6/30/2021
15. Edmonton Economic Development Corporation (EEDC) Audit	Edmonton Economic Development Corporation	Rec 2 - Align Risk Management Process with Best Practice	0	3/31/2021

# Recommendations Not Yet Due

There are 19 recommendations that are **not yet due**.

Project Name	Department	Recommendation	Months Until Due	Due Date
1. Conflict of Interest Management Audit	Office of the City Manager	Rec 2 - Develop Clear Guiding Documents Tailored to Needs and Risks	0	1/31/2021
2. Conflict of Interest Management Audit	Office of the City Manager	Rec 1 - Update the Conflict of Interest Program Governance Framework	1	2/28/2021
3. Evaluated Receipt Settlement Audit	Financial and Corporate Services	Rec 1 - Design and Implement an ERS Administrative Directive	2	3/31/2021
4. Evaluated Receipt Settlement Audit	Financial and Corporate Services	Rec 2 - Perform Regularly Scheduled Operational Processes	2	3/31/2021
5. Communications and Engagement Department Audit	Communications and Engagement	Rec 1 - Document Position Work Tasks and Responsibilities	5	6/30/2021
6. Communications and Engagement Department Audit	Communications and Engagement	Rec 3 - Review and Communicate Services	5	6/30/2021
7. Communications and Engagement Department Audit	Communications and Engagement	Rec 5 - Increase Communication with Business Areas	5	6/30/2021
8. Social Development Audit	Citizen Services	Rec 1 - Align Activities to Role, Purpose, and Outcomes	8	9/30/2021
9. Forestry Services Audit	City Operations	Rec 1 - Review Pruning Target	10	11/30/2021
10. Forestry Services Audit	City Operations	Rec 2 - Inspections and Invoices	10	11/30/2021
11. Forestry Services Audit	City Operations	Rec 3 - Review Tree Inventory Data	10	11/30/2021
12. Forestry Services Audit	City Operations	Rec 4 - Review Equipment Utilization	10	11/30/2021

<b>Project Name</b>	<b>Department</b>	<b>Recommendation</b>	<b>Months Until Due</b>	<b>Due Date</b>
13. Social Development Audit	Citizen Services	Rec 3 - Improve the Adequacy of the Administration Processes for Financial Contributions	11	12/30/2021
14. Information Technology – Disaster Recovery Planning	Financial and Corporate Services	Rec 1 - Fully Implement the Disaster Recovery Program	11	12/31/2021
15. Communications and Engagement Department Audit	Communications and Engagement	Rec 6 - Identify and Resolve Service Model Exceptions	11	12/31/2021
16. City Productivity and Performance Audit (Part 1): Management Staffing Analysis	Office of the City Manager	Rec 1 - Review Supervisor Responsibilities to Reduce Costs and Layers.	14	3/31/2022
17. Forestry Services Audit	City Operations	Rec 6 - Review Performance Measures	16	5/30/2022
18. Forestry Services Audit	City Operations	Rec 5 - Update Guiding Documents	22	11/30/2022
19. Social Development Audit	Citizen Services	Rec 2 - Evaluate Activities and Outcomes	23	12/30/2022

This project was conducted in accordance with the  
*International Standards for the Professional Practice of  
Internal Auditing*