

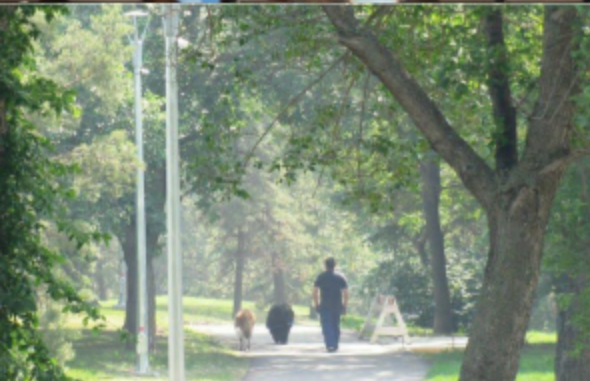


City of Edmonton **Office of the City Auditor**

Recommendation Follow-up Dashboard Report

As at March 29, 2021

There are 46 outstanding recommendations: 31 are not yet due and 15 are overdue.





Closed Recommendations

In the period since our last report (January 25, 2021) the administration **closed 4 recommendations**

Project Name	Department	Recommendation
1. Ukrainian Canadian Archives and Museum of Alberta Investigation	Financial and Corporate Services	Rec 1 - Clear Funding Agreement Terms and Conditions
2. Investigation Report	Financial and Corporate Services	Rec 2 - Review Cheque Requisition Process
3. Cloud Computing Audit	Financial and Corporate Services	Rec 1 - Update and Review the Software Asset Management SOP
4. Cloud Computing Audit	Financial and Corporate Services	Rec 2 - Ensure BMs are Reminded of the Responsibilities on a Regular Basis

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	16	1/31/2021

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	11	7/30/2021
3. Edmonton Transit Service Revenue Management Audit	City Operations	Rec 8 - Improve Safeguards for Fare Media	11	1/31/2021
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	11	3/31/2010
5. Edmonton Economic Development Corporation (EEDC) Audit	Edmonton Economic Development Corporation	Rec 1 - Update EEDC's Governing Documents	11	4/30/2021
6. Edmonton Transit Service Revenue Management Audit	City Operations	Rec 2 - Improve Program Reporting	9	6/30/2020
7. Edmonton Transit Service Revenue Management Audit	City Operations	Rec 3 - Document Support for Inputs and Assumptions	9	6/30/2020



8.	Edmonton Transit Service Revenue Management Audit	City Operations	Rec 4 - Enhance Non-Fare Revenue Strategies	9	6/30/2020
9.	Access to Digital Assets	Financial and Corporate Services	Rec 2 - Address Weaknesses with Access Control Processes	5	10/31/2020
10.	Emergency Management Governance and Risk Assessment Audit	Citizen Services	Rec 1 - Strategic Plan and Performance Management Framework	3	6/30/2021
11.	Emergency Management Governance and Risk Assessment Audit	Citizen Services	Rec 2 - Update Governing Documents	3	6/30/2021
12.	Emergency Management Governance and Risk Assessment Audit	Citizen Services	Rec 3 - Hazard Identification and Risk Assessment	3	6/30/2021
13.	Edmonton Economic Development Corporation (EEDC) Audit	Edmonton Economic Development Corporation	Rec 2 - Align Risk Management Process with Best Practice	3	3/31/2021
14.	Conflict of Interest Management Audit	Office of the City Manager	Rec 2 - Develop Clear Guiding Documents Tailored to Needs and Risks	2	1/31/2021
15.	Conflict of Interest Management Audit	Office of the City Manager	Rec 1 - Update the Conflict of Interest Program Governance Framework	1	2/28/2021

Recommendations Not Yet Due

There are 31 recommendations that are **not yet due**.

Project Name	Department	Recommendation	Months Until Due	Due Date
1. Evaluated Receipt Settlement Audit	Financial and Corporate Services	Rec 1 - Design and Implement an ERS Administrative Directive	0	3/31/2021
2. Evaluated Receipt Settlement Audit	Financial and Corporate Services	Rec 2 - Perform Regularly Scheduled Operational Processes	0	3/31/2021
3. Snow and Ice Control Audit	City Operations	Rec 11 - Improve Public Communications	0	3/31/2021
4. Communications and Engagement Department Audit	Communications and Engagement	Rec 1 - Document Position Work Tasks and Responsibilities	3	6/30/2021
5. Communications and Engagement Department Audit	Communications and Engagement	Rec 3 - Review and Communicate Services	3	6/30/2021
6. Communications and Engagement Department Audit	Communications and Engagement	Rec 5 - Increase Communication with Business Areas	3	6/30/2021
7. Social Development Audit	Citizen Services	Rec 1 - Align Activities to Role, Purpose, and Outcomes	6	9/30/2021
8. Snow and Ice Control Audit	City Operations	Rec 12 - Strengthen Complaint Handling Processes	6	9/30/2021
9. Snow and Ice Control Audit	City Operations	Rec 9 - Expand Standard Operating Procedures to include all Key SNIC Activities	6	9/30/2021
10. Cloud Computing Audit	Financial and Corporate Services	Rec 3 - Ensure Compliance with the Cyber Security Administrative Directive	6	9/30/2021
11. Forestry Services Audit	City Operations	Rec 1 - Review Pruning Target	8	11/30/2021

12. Forestry Services Audit	City Operations	Rec 2 - Inspections and Invoices	8	11/30/2021
13. Forestry Services Audit	City Operations	Rec 3 - Review Tree Inventory Data	8	11/30/2021
14. Forestry Services Audit	City Operations	Rec 4 - Review Equipment Utilization	8	11/30/2021
15. Social Development Audit	Citizen Services	Rec 3 - Improve the Adequacy of the Administration Processes for Financial Contributions	9	12/30/2021
16. Information Technology – Disaster Recovery Planning	Financial and Corporate Services	Rec 1 - Fully Implement the Disaster Recovery Program	9	12/31/2021
17. Communications and Engagement Department Audit	Communications and Engagement	Rec 6 - Identify and Resolve Service Model Exceptions	9	12/31/2021
18. Snow and Ice Control Audit	City Operations	Rec 2 - Improve Decision-Making Processes	9	12/31/2021
19. Snow and Ice Control Audit	City Operations	Rec 5 - Improve Benchmarking Processes	9	12/31/2021
20. Snow and Ice Control Audit	City Operations	Rec 1 - Review and Update Guiding Documents	9	12/31/2021
21. Snow and Ice Control Audit	City Operations	Rec 4 - Develop Performance Measures that Support Decision-Making	9	12/31/2021
22. Snow and Ice Control Audit	City Operations	Rec 6 - In-House Versus Contracted Services Cost Analysis	9	12/31/2021
23. 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	12	3/31/2022
24. City Productivity and Performance Audit (Part 2): Productivity and Performance Measure Analysis	Office of the City Manager	Rec 1 - Improve Benchmarking	12	3/31/2022

25. Forestry Services Audit	City Operations	Rec 6 - Review Performance Measures	14	5/30/2022
26. Snow and Ice Control Audit	City Operations	Rec 7 - Document Service Level Commitments and Operational Arrangement	15	6/30/2022
27. Snow and Ice Control Audit	City Operations	Rec 10 - Improve Staff Oversight	18	9/30/2022
28. Snow and Ice Control Audit	City Operations	Rec 3 - Improve Change Management Processes	18	9/30/2022
29. Forestry Services Audit	City Operations	Rec 5 - Update Guiding Documents	20	11/30/2022
30. Social Development Audit	Citizen Services	Rec 2 - Evaluate Activities and Outcomes	21	12/30/2022
31. Snow and Ice Control Audit	City Operations	Rec 8 - Develop Cost-Reduction and Revenue Generation Opportunities	21	13/31/2022

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