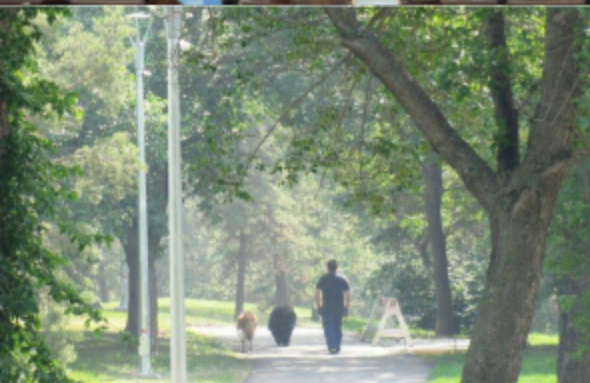# City of Edmonton
Office of the City Auditor

Recommendation Follow-up Dashboard Report

As at May 27, 2021

There are 48 outstanding recommendations: 36 are not yet due and 12 are overdue.

OCA00655– Attachment 1

Closed Recommendations

In the period since our last report (March 29, 2021) the administration closed 6 recommendations

	Project Name	Department	Recommendation
1.	Conflict of Interest Management Audit	Office of the City Manager	Rec 1 - Update the Conflict of Interest Program Governance Framework
2.	Edmonton Economic Development Corporation (EEDC) Audit	Edmonton Economic Development Corporation	Rec 1 - Update EEDC's Governing Documents
3.	Edmonton Economic Development Corporation (EEDC) Audit	Edmonton Economic Development Corporation	Rec 2 - Align Risk Management Process with Best Practice
4.	Edmonton Transit Service Revenue Management Audit	City Operations	Rec 2 - Improve Program Reporting
5.	Edmonton Transit Service Revenue Management Audit	City Operations	Rec 4 - Enhance Non-Fare Revenue Strategies
6.	Edmonton Transit Service Revenue Management Audit	City Operations	Rec 5 - Document Performance Measures Methodology

Overdue Recommendations

There are 12 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 8 - Improve Safeguards for Fare Media	**14**	4/30/2021
2.	Conflict of Interest Management Audit	Employee Services	Rec 3 - Ensure All Employees have Completed the Code of Conduct Training	**14**	7/30/2021
3.	Conflict of Interest Management Audit	Office of the City Manager	Rec 4 - Provide Ongoing Conflict of Interest Communication and Easily Accessible Information and Tools	**14**	10/31/2021

Less than one year overdue:

	Project Name	Department	Recommendation	Months Overdue	Revised Due Date
4.	Edmonton Transit Service Revenue Management Audit	City Operations	Rec 3 - Document Support for Inputs and Assumptions	**11**	6/30/2020
5.	Access to Digital Assets	Financial and Corporate Services	Rec 2 - Correct Identified Weaknesses with Access Control Processes	**7**	10/31/2020
6.	Emergency Management Governance and Risk Assessment Audit	Citizen Services	Rec 1 - Strategic Plan and Performance Management Framework	**5**	6/30/2021
7.	Emergency Management Governance and Risk Assessment Audit	Citizen Services	Rec 2 - Update Governing Documents	**5**	6/30/2021

	Audit	Department	Recommendation		Due Date
8.	Emergency Management Governance and Risk Assessment Audit	Citizen Services	Rec 3 - Hazard Identification and Risk Assessment	**5**	6/30/2021
9.	Conflict of Interest Management Audit	Office of the City Manager	Rec 2 - Develop Clear Guiding Documents Tailored to Needs and Risks	**4**	1/31/2021
10.	Evaluated Receipt Settlement Audit	Financial and Corporate Services	Rec 1 - Design and Implement an ERS Administrative Directive	**2**	3/31/2021
11.	Evaluated Receipt Settlement Audit	Financial and Corporate Services	Rec 2 - Perform Regularly Scheduled Operational Processes	**2**	3/31/2021
12.	Snow and Ice Control Audit	City Operations	Rec 11 - Improve Public Communications	**2**	3/31/2021

Recommendations Not Yet Due

There are 36 recommendations that are not yet due.

	Project Name	Department	Recommendation	Months Until Due	Due Date
1.	Communications and Engagement Department Audit	Communications and Engagement	Rec 1 - Document Position Work Tasks and Responsibilities	1	6/30/2021
2.	Communications and Engagement Department Audit	Communications and Engagement	Rec 3 - Review and Communicate Services	1	6/30/2021
3.	Communications and Engagement Department Audit	Communications and Engagement	Rec 5 - Increase Communication with Business Areas	1	6/30/2021
4.	Social Development Audit	Citizen Services	Rec 1 - Align Activities to Role, Purpose, and Outcomes	4	9/30/2021
5.	Snow and Ice Control Audit	City Operations	Rec 12 - Strengthen Complaint Handling Processes	4	9/30/2021
6.	Snow and Ice Control Audit	City Operations	Rec 9 - Expand Standard Operating Procedures to include all Key SNIC Activities	4	9/30/2021
7.	Cloud Computing Audit	Financial and Corporate Services	Rec 3 - Ensure Compliance with the Cyber Security Administrative Directive	4	9/30/2021
8.	Real Estate Branch Audit	Financial and Corporate Services	Rec 2 - Update Lease Creation Process Requirements	4	9/30/2021
9.	Real Estate Branch Audit	Financial and Corporate Services	Rec 4 - Improve Process Documentation	4	9/30/2021
10.	Forestry Services Audit	City Operations	Rec 1 - Review Pruning Target	6	11/30/2021
11.	Forestry Services Audit	City Operations	Rec 2 - Inspections and Invoices	6	11/30/2021

12. Forestry Services Audit	City Operations	Rec 3 - Review Tree Inventory Data	**6**	11/30/2021
13. Forestry Services Audit	City Operations	Rec 4 - Review Equipment Utilization	**6**	11/30/2021
14. Social Development Audit	Citizen Services	Rec 3 - Improve the Adequacy of the Administration Processes for Financial Contributions	**7**	12/30/2021
15. Information Technology – Disaster Recovery Planning	Financial and Corporate Services	Rec 1 - Fully Implement the Disaster Recovery Program	**7**	12/31/2021
16. Communications and Engagement Department Audit	Communications and Engagement	Rec 6 - Identify and Resolve Service Model Exceptions	**7**	12/31/2021
17. Snow and Ice Control Audit	City Operations	Rec 1 - Review and Update Guiding Documents	**7**	12/31/2021
18. Snow and Ice Control Audit	City Operations	Rec 2 - Improve Decision-Making Processes	**7**	12/31/2021
19. Snow and Ice Control Audit	City Operations	Rec 4 - Develop Performance Measures that Support Decision-Making	**7**	12/31/2021
20. Snow and Ice Control Audit	City Operations	Rec 5 - Improve Benchmarking Processes	**7**	12/31/2021
21. Snow and Ice Control Audit	City Operations	Rec 6 - In-House Versus Contracted Services Cost Analysis	**7**	12/31/2021
22. Real Estate Branch Audit	Financial and Corporate Services	Rec 1 - Update Property Manager Roles and Responsibilities	**7**	12/31/2021
23. Real Estate Branch Audit	Financial and Corporate Services	Rec 3 - Complete and Implement the Performance Measurement Framework	**7**	12/31/2021

24. Open Spaces Asset Transfer Audit	Integrated Infrastructure Services / Urban Planning and Economy	Rec 1 - Document Inspections and Deficiencies	**7**	12/31/2021
25. 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	**10**	3/31/2022
26. City Productivity and Performance Audit (Part 2): Productivity and Performance Measure Analysis	Office of the City Manager	Rec 1 - Improve Benchmarking	**10**	3/31/2022
27. Real Estate Branch Audit	Financial and Corporate Services	Rec 5 - Produce an Annual Report of Land Holdings	**10**	3/31/2022
28. Open Spaces Asset Transfer Audit	Integrated Infrastructure Services / Urban Planning and Economy	Rec 2 - Communications of Inspections	**10**	3/31/2022
29. Forestry Services Audit	City Operations	Rec 6 - Review Performance Measures	**12**	5/30/2022
30. Snow and Ice Control Audit	City Operations	Rec 7 - Document Service Level Commitments and Operational Arrangement	**13**	6/30/2022
31. Snow and Ice Control Audit	City Operations	Rec 3 - Improve Change Management Processes	**16**	9/30/2022
32. Snow and Ice Control Audit	City Operations	Rec 10 - Improve Staff Oversight	**16**	9/30/2022
33. Forestry Services Audit	City Operations	Rec 5 - Update Guiding Documents	**18**	11/30/2022
34. Social Development Audit	Citizen Services	Rec 2 - Evaluate Activities and Outcomes	**19**	12/30/2022
35. Snow and Ice Control Audit	City Operations	Rec 8 - Develop Cost-Reduction and Revenue Generation Opportunities	**19**	12/31/2022

36. Open Spaces Asset Transfer Audit	Integrated Infrastructure Services / Urban Planning and Economy	Rec 3 - Formalize the Process to Input Assets into SLIM	**19**	12/31/2022

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

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