

# Administrative Update on the Auditor's Dashboard

## Recommendation

That the June 18, 2021, Office of the City Manager report OCM00630, be received for information.

## Executive Summary

The Administrative Update on Auditor Dashboard provides the status on audit recommendations that are more than six months overdue. For this reporting period, there are five recommendations that are more than six months overdue, as outlined below.

## Report

### **18448 - Edmonton Transit Service Revenue Management Audit Rec 8 - Improve Safeguards for Fare Media**

Administration continues to monitor CCTV scans on a regular basis and is working on completing staff training and a final review of cash controls and obtaining sign-off from Treasury Management to close the cash control review recommendations. This work was delayed due to COVID-19 and temporary staff layoffs.

Administration expects that final actions to fully implement the recommendation will be complete for review and closure by the City Auditor by Q4 2021.

### **19453 - Conflict of Interest Management Audit Rec 3 - Ensure All Employees have Completed the Code of Conduct Training**

The refreshed Code of Conduct training rolled out to all employees on February 24. Employees required to complete training by June 30, 2021.

Administration expects that final actions to fully implement the recommendation will be complete for review and closure by the City Auditor by July 30, 2021.

### **19453 - Conflict of Interest Management Audit Rec 4 - Provide Ongoing Conflict of Interest Communication and Easily Accessible Information and Tools**

Various means have been used to communicate regularly with employees about the tools and their responsibilities and processes to manage conflicts of interest, including

email, OneCity articles, and offline communications methods such as FAQs and tipsheets for supervisors of those who work in the field and direct contact with People Leaders.

A risk based approach has been used to ensure existing employees receive appropriate training. In fact, all new and existing employees have been asked to complete the updated Code of Conduct training by June 2021.

Administration expects that final actions to fully implement the recommendation will be complete for review and closure by the City Auditor by October 31, 2021.

**18448 - Edmonton Transit Service Revenue Management Audit  
Rec 3 - Document Support for Inputs and Assumptions**

ETS's Enterprise Performance Management catalog includes the key performance measures for ETS and details how and which inputs will be used to calculate the outputs. The catalog provides the definitions, calculation methodology, and roles and responsibilities for each measure. This approach aligns with the City of Edmonton's Performance Management Framework.

Administration expects that final actions to fully implement the recommendation will be complete for review and closure by the City Auditor by June 30, 2021.

**18444 - Access to Digital Assets  
Rec 2 - Correct Identified Weaknesses with Access Control Processes**

With the exception of creating a Standard Operating Procedure (SOP) for Fire Rescue Services, Administration has implemented this recommendation. The SOP is in the final stage of review.

Administration expects that final actions to fully implement the recommendation will be complete for review and closure by the City Auditor by August 31, 2021.

**Corporate Outcomes and Performance Management**

| Corporate Outcome(s): Conditions of Success |            |           |           |
|---|------------|-----------|-----------|
| Outcome(s)                                  | Measure(s) | Result(s) | Target(s) |

|  |   |   |  |
|--|---|---|--|
| <p>Timely closure of audit recommendations</p> | <p>Number of audit recommendations more than six months overdue</p> | <p>Five recommendations are more than six months overdue:</p> <p>18448 - Edmonton Transit Service Revenue Management Audit<br/>Rec 8 - Improve Safeguards for Fare Media</p> <p>19453 - Conflict of Interest Management Audit<br/>Rec 3 - Ensure All Employees have Completed the Code of Conduct Training</p> <p>19453 - Conflict of Interest Management Audit<br/>Rec 4 - Provide Ongoing Conflict of Interest Communication and Easily Accessible Information and Tools</p> <p>18448 - Edmonton Transit Service Revenue Management Audit<br/>Rec 3 - Document Support for Inputs and Assumptions</p> <p>18444 - Access to Digital Assets Audit<br/>Rec 2 - Correct Identified Weaknesses With Access Control Process</p> | <p>Anticipated completion date:</p> <p>Q4, 2021</p> <p>July 30, 2021</p> <p>October 31, 2021</p> <p>June 30, 2021</p> <p>August 31, 2021</p> |
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**Others Reviewing this Report**

- M. Persson, Chief Financial Officer and Deputy City Manager, Financial and Corporate Services
- G. Cebryk, Deputy City Manager, City Operations
- R. Smyth, Deputy City Manager, Citizen Services
- K. Armstrong, Deputy City Manager, Employee Services
- K. Fallis-Howell, Acting City Solicitor