



# City of Edmonton Office of the City Auditor

## Recommendation Follow-up Dashboard Report

As at November 2, 2020

There are 36 outstanding recommendations: 23 are not yet due and 13 are overdue.



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## Closed Recommendations

In the period since our last report (September 8, 2020) the administration **closed 8 recommendations**

<b>Project Name</b>	<b>Department</b>	<b>Recommendation</b>
1. Communications and Engagement Department Audit	Communications and Engagement	Rec 2 - Standardize Processes
2. Communications and Engagement Department Audit	Communications and Engagement	Rec 4 - Finalize Performance Measures
3. Parks and Roads Service Yard Operations Audit	City Operations	Rec 1 - Develop a Plan for Yards
4. Parks and Roads Service Yard Operations Audit	City Operations	Rec 4 - Review and Optimize Existing Yard Space
5. Edmonton Economic Development Corporation (EEDC) Audit	Edmonton Economic Development Corporation	Rec 3 - Review and Update Objectives of EEDC's Innovation System
6. Edmonton Economic Development Corporation (EEDC) Audit	Edmonton Economic Development Corporation	Rec 5 - Ensure Performance Measures are Sufficient, Reliable, Understandable and Comparable
7. Residential Infill Audit	Urban Form and Corporate Strategic Development	Rec 2 - Development Permit Review
8. Residential Infill Audit	Urban Form and Corporate Strategic Development	Rec 3 - Zoning Bylaw Updates

# Overdue Recommendations

There are 13 overdue recommendations.

## More than one year overdue:

Project Name	Department	Recommendation	Months Overdue	Revised Due Date
1. Africa Centre Governance and Management Review	Africa Centre Board of Directors	Rec 2 - Update Governing Documents	16	11/30/2020

## Less than one year overdue:

Project Name	Department	Recommendation	Months Overdue	Revised Due Date
2. Edmonton Transit Service Revenue Management Audit	City Operations	Rec 5 - Document Performance Measures Methodology	11	12/15/2019
3. Accounts Payable Audit	Financial and Corporate Services	Rec 2 - Improve Controls over Accounts Payable System	10	12/31/2019
4. Ukrainian Canadian Archives and Museum of Alberta Investigation	Urban Form and Corporate Strategic Development	Rec 1 - Clear Funding Agreement Terms and Conditions	7	3/31/2020
5. Edmonton Transit Service Revenue Management Audit	City Operations	Rec 8 - Improve Safeguards for Fare Media	7	3/31/2020
6. Conflict of Interest Management Audit	Employee Services	Rec 3 - Ensure All Employees have Completed the Code of Conduct Training	7	3/31/2020
7. Conflict of Interest Management Audit	Office of the City Manager	Rec 4 - Provide Ongoing Conflict of Interest Communication and Easily Accessible Information and Tools	7	3/31/2020





<b>Project Name</b>	<b>Department</b>	<b>Recommendation</b>	<b>Months Overdue</b>	<b>Revised Due Date</b>
8. Edmonton Economic Development Corporation (EEDC) Audit	Edmonton Economic Development Corporation	Rec 1 - Update EEDC's Governing Documents	6	12/31/2020
9. Edmonton Transit Service Revenue Management Audit	City Operations	Rec 2 - Improve Program Reporting	4	6/30/2020
10. Edmonton Transit Service Revenue Management Audit	City Operations	Rec 3 - Document Support for Inputs and Assumptions	4	6/30/2020
11. Edmonton Transit Service Revenue Management Audit	City Operations	Rec 4 - Enhance Non-Fare Revenue Strategies	4	6/30/2020
12. Investigation Report	Financial and Corporate Services	Rec 2 - Review Cheque Requisition Process	1	9/30/2020
13. Access to Digital Assets	Financial and Corporate Services	Rec 2 – Address Weaknesses with Access Control Processes	0	10/31/2020

# Recommendations Not Yet Due

There are 23 recommendations that are **not yet due**.

Project Name	Department	Recommendation	Months Until Due	Due Date
1. Investigation Report	Integrated Infrastructure Services	Rec 1 - Strengthen Project Oversight	2	12/15/2020
2. Emergency Management Governance and Risk Assessment Audit	Citizen Services	Rec 1 - Strategic Plan and Performance Management Framework	2	12/20/2020
3. Emergency Management Governance and Risk Assessment Audit	Citizen Services	Rec 2 - Update Governing Documents	2	12/20/2020
4. Emergency Management Governance and Risk Assessment Audit	Citizen Services	Rec 3 - Hazard Identification and Risk Assessment	2	12/20/2020
5. Major Capital Project Review	Integrated Infrastructure Services	Rec 1 - <i>In Private</i>	2	12/31/2020
6. Edmonton Economic Development Corporation (EEDC) Audit	Edmonton Economic Development Corporation	Rec 2 - Align Risk Management Process with Best Practice	2	12/31/2020
7. 2017 Municipal Election	Office of the City Clerk	Rec 1 - Information Technology Support	2	12/31/2020
8. Residential Infill Audit	Urban Form and Corporate Strategic Development	Rec 4 - Use of Term "Infill"	2	12/31/2020
9. Conflict of Interest Management Audit	Office of the City Manager	Rec 2 - Develop Clear Guiding Documents Tailored to Needs and Risks	3	1/31/2021

<b>Project Name</b>	<b>Department</b>	<b>Recommendation</b>	<b>Months Until Due</b>	<b>Due Date</b>
10. Conflict of Interest Management Audit	Office of the City Manager	Rec 1 - Update the Conflict of Interest Program Governance Framework	4	2/28/2021
11. Evaluated Receipt Settlement Audit	Financial and Corporate Services	Rec 1 - Design and Implement an ERS Administrative Directive	5	3/31/2021
12. Evaluated Receipt Settlement Audit	Financial and Corporate Services	Rec 2 - Perform Regularly Scheduled Operational Processes	5	3/31/2021
13. Communications and Engagement Department Audit	Communications and Engagement	Rec 1 - Document Position Work Tasks and Responsibilities	8	6/30/2021
14. Communications and Engagement Department Audit	Communications and Engagement	Rec 3 - Review and Communicate Services	8	6/30/2021
15. Communications and Engagement Department Audit	Communications and Engagement	Rec 5 - Increase Communication with Business Areas	8	6/30/2021
16. Forestry Services Audit	City Operations	Rec 1 - Review Pruning Target	13	11/30/2021
17. Forestry Services Audit	City Operations	Rec 2 - Inspections and Invoices	13	11/30/2021
18. Forestry Services Audit	City Operations	Rec 3 - Review Tree Inventory Data	13	11/30/2021
19. Forestry Services Audit	City Operations	Rec 4 - Review Equipment Utilization	13	11/30/2021
20. Information Technology – Disaster Recovery Planning	Financial and Corporate Services	Rec 1 - Fully Implement the Disaster Recovery Program	14	12/31/2021
21. Communications and Engagement Department Audit	Communications and Engagement	Rec 6 - Identify and Resolve Service Model Exceptions	14	12/31/2021
22. Forestry Services Audit	City Operations	Rec 6 - Review Performance Measures	19	5/30/2022
23. Forestry Services Audit	City Operations	Rec 5 - Update Guiding Documents	25	11/30/2022

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