



Office of the City Auditor

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Office of the City Auditor

Recommendation Follow-up

Dashboard Report

As at March 31, 2017

The Office of the City Auditor conducted this
project in accordance with the
*International Standards for the
Professional Practice of Internal Auditing*

Office of the City Auditor Recommendation Follow-up Dashboard Report

As at March 31, 2017

As at March 31, 2017 the administration has 29 recommendations from the Office of the City Auditor that are outstanding. Based on the implementation dates provided by the administration, 25 of these recommendations are not yet due and 4 are overdue.

In the period since our last report (January 27, 2017 to March 31, 2017) the administration has closed the following 2 recommendations:

*Two
recommendations
closed*

Project # and Name	Department	Recommendation
14373 – Transportation Contributed Assets	Sustainable Development	Rec 1 – Standards and Specifications Document
15396 - Neighbourhood Renewal	Integrated Infrastructure Services	Rec 4 – Inquiry Management System

The following tables contain the outstanding recommendations listed in the following categories:

Colour	Category	# of Recommendations
Red	More than one year overdue	0
Yellow	Less than one year overdue	4
Green	Not yet due	25

Four
recommendations
less than one
year overdue

Recommendations less than one year overdue					
	Project # and Name	Department	Recommendation	Months Overdue	Revised Due Date
1.	15387 - Traffic Shortcutting	Sustainable Development	Rec 1 - Traffic Management Policy	9	6/30/2017
2.	16405 - Use of Sole Source Procurement Audit	Financial and Corporate Services	Rec 1 - Support of MWPTA and Sole/Single Source	3	12/31/2016
3.	16405 - Use of Sole Source Procurement Audit	Financial and Corporate Services	Rec 3 - Revise Administrative Directive	3	12/31/2016
4.	16405 - Use of Sole Source Procurement Audit	Financial and Corporate Services	Rec 4 - Strategic Sourcing Opportunity	1	2/28/2017

Twenty five
recommendations
not yet due

Recommendations not due					
	Project # and Name	Department	Recommendation	Months Until Due	Due Date
1.	16405 - Use of Sole Source Procurement Audit	Financial and Corporate Services	Rec 2- Training of Departmental and CPSS Staff	2	5/31/2017
2.	15391 - Bus and LRT Review	City Operations	Rec 1 - Transit Strategic Plan	3	6/30/2017
3.	15399 - Change Order Process	Financial and Corporate Services	Rec 1 - Change Order Process	3	6/30/2017
4.	16406 - Sand Recycling Audit	City Operations	Rec 1 - Winter Street Sand Recycling and Mixing Program Review	3	6/30/2017
5.	16412 - Employee Business Expense Audit	Financial and Corporate Services	Rec 1 - Review, Update, and Enforce Directive and Procedures	3	6/30/2017
6.	16412 - Employee Business Expense Audit	Financial and Corporate Services	Rec 2 - Travel Coordinator Use and Training	3	6/30/2017
7.	11336 - 2013 Municipal Election	City Clerks Office	Rec 2 - Logic and Accuracy Testing	4	7/31/2017
8.	11336 - 2013 Municipal Election	City Clerks Office	Rec 3 - Worker Comprehension	4	7/31/2017
9.	11336 - 2013 Municipal Election	City Clerks Office	Rec 5 - Ballot Design	4	7/31/2017
10.	16412 - Employee Business Expense Audit	Financial and Corporate Services	Rec 3 - Track Employee Travel Corporately	6	9/30/2017
11.	16413 - Façade Improvement and Development	Sustainable Development	Rec 1 - Façade Improvement Program Policy and Development	6	9/30/2017

Recommendations not due				
Project # and Name	Department	Recommendation	Months Until Due	Due Date
		Incentive Program Policy Improvements		
12. 16413 - Facade Improvement and Development Incentive Programs Review	Sustainable Development	Rec 2 - Improve Grant Program Monitoring	6	9/30/2017
13. 16413 - Facade Improvement and Development Incentive Programs Review	Sustainable Development	Rec 3 - Compliance with Policies and Procedures	6	9/30/2017
14. 16415 - POSSE System Review	Sustainable Development	Rec 1 - Clarify and ensure consistency of governing documents.	6	9/30/2017
15. 16415 - POSSE System Review	Sustainable Development	Rec 3 - Enhance Communication about key processes	6	9/30/2017
16. 16415 - POSSE System Review	Sustainable Development	Rec 4 - Improve efficiency of key processes	6	9/30/2017
17. 16406 - Sand Recycling Audit	City Operations	Rec 2 - Performance Management System	7	10/31/2017
18. 16406 - Sand Recycling Audit	City Operations	Rec 3 - Quality Assurance on Contract Content	7	10/31/2017
19. 16406 - Sand Recycling Audit	City Operations	Rec 4 - Program Management and Oversight	7	10/31/2017
20. 15391 - Bus and LRT Review	City Operations	Rec 3 - Transit Funding and Fares	9	12/30/2017
21. 16404 - Utilities Infrastructure Audit	Integrated Infrastructure Services	Rec 1 - Overtime Use and Monitoring Guidelines	9	12/31/2017
22. 16415 - POSSE System Review	Sustainable Development	Rec 2 - Determine the Value and Total Cost of POSSE	11	2/28/2018
23. 16412 - Employee Business Expense Audit	Financial and Corporate Services	Rec 4 - Examine Improvement Opportunities	15	6/30/2018
24. 15396 - Neighbourhood Renewal	Integrated Infrastructure Services	Rec 3 - Public Communications Improvements	21	12/31/2018
25. 16404 - Utilities Infrastructure Audit	Integrated Infrastructure Services	Rec 2 - Performance Measures	21	12/31/2018