



Office of the City Auditor

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# **Office of the City Auditor**

## **Recommendation Follow-up**

### **Dashboard Report**

**As at January 27, 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 January 27, 2017

As at January 27, 2017 the administration has 24 recommendations from the Office of the City Auditor that are outstanding. Based on the implementation dates provided by the administration, 22 of these recommendations are not yet due and 2 are overdue.

In the period since our last report (November 10, 2016 to January 27, 2017) the administration has closed the following 4 recommendations:

*Four  
recommendations  
closed*

| Project # and Name                            | Department                            | Recommendation                                 |
|---|---------------------------------------|--|
| 15391 - Bus and LRT Review                    | Integrated<br>Infrastructure Services | Rec 2 - Performance Measures                   |
| 11336 - 2013 Municipal Election               | Office of the City<br>Clerk           | Rec 4 - Voting Station Logistics               |
| 16410 - IT General Controls - Risk Management | Financial and<br>Corporate Services   | Rec 1 - IT Risk Reporting to Senior Management |
| 15396 - Neighbourhood Renewal                 | Integrated<br>Infrastructure Services | Rec 1 - Consistent Reporting Methodology       |

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 | 2                    |
| Green  | Not yet due                | 22                   |

Two  
recommendations  
less than one  
year overdue

| <b>Recommendations less than one year overdue</b>  |                            |   |                       |                         |
|--|----------------------------|---|-----------------------|-------------------------|
| <b>Project # and Name</b>                          | <b>Department</b>          | <b>Recommendation</b>                               | <b>Months Overdue</b> | <b>Revised Due Date</b> |
| 1. 14373 -<br>Transportation<br>Contributed Assets | Sustainable<br>Development | Rec 1 - Standards and<br>Specifications<br>Document | 10                    | 6/30/2017               |
| 2. 15387 - Traffic<br>Shortcutting                 | Sustainable<br>Development | Rec 1 - Traffic<br>Management Policy                | 7                     | 3/31/2017               |

Twenty two  
recommendations  
not yet due

| <b>Recommendations not due</b>                        |  |  |                         |                 |
|---|--|--|-------------------------|-----------------|
| <b>Project # and Name</b>                             | <b>Department</b>                      | <b>Recommendation</b>  | <b>Months Until Due</b> | <b>Due Date</b> |
| 1. 16405 - Use of Sole<br>Source Procurement<br>Audit | Financial and<br>Corporate<br>Services | Rec 1 - Support of<br>MWPTA and<br>Sole/Single Source                | 0                       | 12/31/2016      |
| 2. 16405 - Use of Sole<br>Source Procurement<br>Audit | Financial and<br>Corporate<br>Services | Rec 3 - Revise<br>Administrative Directive                           | 0                       | 12/31/2016      |
| 3. 16405 - Use of Sole<br>Source Procurement<br>Audit | Financial and<br>Corporate<br>Services | Rec 4 - Strategic<br>Sourcing Opportunity                            | 1                       | 2/28/2017       |
| 4. 16405 - Use of Sole<br>Source Procurement<br>Audit | Financial and<br>Corporate<br>Services | Rec 2- Training of<br>Departmental and CPSS<br>Staff                 | 4                       | 5/31/2017       |
| 5. 15391 - Bus and LRT<br>Review                      | City Operations                        | Rec 1 - Transit Strategic<br>Plan                                    | 5                       | 6/30/2017       |
| 6. 15399 - Change Order<br>Process                    | Financial and<br>Corporate<br>Services | Rec 1 - Change Order<br>Process                                      | 5                       | 6/30/2017       |
| 7. 16406 - Sand Recycling<br>Audit                    | City Operations                        | Rec 1 - Winter Street<br>Sand Recycling and<br>Mixing Program Review | 5                       | 6/30/2017       |
| 8. 16412 – Employee<br>Business Expenses<br>Audit     | Financial and<br>Corporate<br>Services | Rec 1 - Review, Update,<br>and Enforce Directive<br>and Procedures   | 5                       | 6/30/2017       |
| 9. 16412 – Employee<br>Business Expenses<br>Audit     | Financial and<br>Corporate<br>Services | Rec 2 - Travel<br>Coordinator Use and<br>Training                    | 5                       | 6/30/2017       |
| 10. 11336 - 2013 Municipal<br>Election                | Office of the<br>City Clerk            | Rec 2 - Logic and<br>Accuracy Testing                                | 6                       | 7/31/2017       |
| 11. 11336 - 2013 Municipal<br>Election                | Office of the<br>City Clerk            | Rec 3 - Worker<br>Comprehension                                      | 6                       | 7/31/2017       |
| 12. 11336 - 2013 Municipal<br>Election                | Office of the<br>City Clerk            | Rec 5 - Ballot Design  | 6                       | 7/31/2017       |
| 13. 16412 – Employee<br>Business Expenses             | Financial and<br>Corporate             | Rec 3 - Track Employee<br>Travel Corporately                         | 8                       | 9/30/2017       |

| <b>Recommendations not due</b>               |                                    |  |                         |                 |
|--|------------------------------------|--|-------------------------|-----------------|
| <b>Project # and Name</b>                    | <b>Department</b>                  | <b>Recommendation</b>                          | <b>Months Until Due</b> | <b>Due Date</b> |
| Audit  | Services                           |  |                         |                 |
| 14. 16406 - Sand Recycling Audit             | City Operations                    | Rec 2 - Performance Management System          | 9                       | 10/31/2017      |
| 15. 16406 - Sand Recycling Audit             | City Operations                    | Rec 3 - Quality Assurance on Contract Content  | 9                       | 10/31/2017      |
| 16. 16406 - Sand Recycling Audit             | City Operations                    | Rec 4 - Program Management and Oversight       | 9                       | 10/31/2017      |
| 17. 15391 - Bus and LRT Review               | City Operations                    | Rec 3 - Transit Funding and Fares              | 11                      | 12/30/2017      |
| 18. 16404 - Utilities Infrastructure Audit   | Integrated Infrastructure Services | Rec 1 - Overtime Use and Monitoring Guidelines | 11                      | 12/31/2017      |
| 19. 16412 – Employee Business Expenses Audit | Financial and Corporate Services   | Rec 4 - Examine Improvement Opportunities      | 17                      | 6/30/2018       |
| 20. 15396 - Neighbourhood Renewal            | Integrated Infrastructure Services | Rec 3 - Public Communications Improvements     | 23                      | 12/31/2018      |
| 21. 15396 - Neighbourhood Renewal            | Integrated Infrastructure Services | Rec 4 - Inquiry Management System              | 23                      | 12/31/2018      |
| 22. 16404 - Utilities Infrastructure Audit   | Integrated Infrastructure Services | Rec 2 - Performance Measures                   | 23                      | 12/31/2018      |