



Office of the City Auditor

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# **Office of the City Auditor**

## **Recommendation Follow-up**

### **Dashboard Report**

**As at September 15, 2016**

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 September 15, 2016

As at September 15, 2016 the administration has 17 recommendations from the Office of the City Auditor that are outstanding. Based on the implementation dates provided by the administration, 12 of these recommendations are not yet due and 5 are overdue.

In the period since our last report (May 31 to September 15, 2016) the administration has closed the following 4 recommendations:

*Four  
recommendations  
closed*

| Project # and Name                     | Department              | Recommendation  |
|--|-------------------------|---|
| 1. 15384 – Fleet Services Branch Audit | City Operations         | Rec 2 - Training Process                                      |
| 2. 14369 - City Streets Audit          | City Operations         | Rec 2 - Document operating procedures                         |
| 3. 14369 - City Streets Audit          | City Operations         | Rec 3 - Document reasons for selecting neighbourhood projects |
| 4. 15387 - Traffic Shortcutting        | Sustainable Development | Rec - 2 Centralize Risk Ownership                             |

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 | 5                    |
| Green  | Not yet due                | 12                   |

Five  
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. 14369 - City Streets Audit                       | City Operations                    | Rec 1 - Document Strategies                         | 9                     | 11/30/2016              |
| 2. 14373 - Transportation Contributed Assets        | Sustainable Development            | Rec 1 - Standards and Specifications Document       | 6                     | 12/31/2016              |
| 3. 14371 - Continuous Auditing                      | Financial and Corporate Services   | Rec 2 - Improve Restricted Purchase Guidelines      | 4                     |                         |
| 4. 15387 - Traffic Shortcutting                     | Sustainable Development            | Rec 1 - Traffic Management Policy                   | 3                     | 6/30/2017               |
| 5. 16409 - Queen Elizabeth Park (QEP) Investigation | Integrated Infrastructure Services | Rec 1 - Construction Completion Certificate Process | 1                     |                         |

Twelve  
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. 11336 - 2013 Municipal Election | Office of the City Clerk           | Rec 4 - Voting Station Logistics                    | 4                       | 12/31/2016      |
| 2. 15391 - Bus and LRT Review      | City Operations                    | Rec 2 - Performance Measures                        | 4                       | 12/31/2016      |
| 3. 15396 - Neighbourhood Renewal   | City Operations                    | Rec 1 - Consistent Reporting Methodology            | 4                       | 12/31/2016      |
| 4. 15396 - Neighbourhood Renewal   | Integrated Infrastructure Services | Rec 2 - Bonus oversight and change order compliance | 4                       | 12/31/2016      |
| 5. 15391 - Bus and LRT Review      | City Operations                    | Rec 1 - Transit Strategic Plan                      | 10                      | 6/30/2017       |
| 6. 15399 - Change Order Process    | Financial and Corporate Services   | Rec 1 - Change Order Process                        | 10                      | 6/30/2017       |
| 7. 11336 - 2013 Municipal Election | Office of the City Clerk           | Rec 2 - Logic and Accuracy Testing                  | 11                      | 7/31/2017       |
| 8. 11336 - 2013 Municipal Election | Office of the City Clerk           | Rec 3 - Worker Comprehension                        | 11                      | 7/31/2017       |
| 9. 11336 - 2013 Municipal Election | Office of the City Clerk           | Rec 5 - Ballot Design                               | 11                      | 7/31/2017       |
| 10. 15391 - Bus and LRT Review     | City Operations                    | Rec 3 - Transit Funding and Fares                   | 16                      | 12/30/2017      |

| <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> |
| 11. 15396 - Neighbourhood<br>Renewal | Integrated<br>Infrastructure<br>Services | Rec 3 - Public<br>Communications<br>Improvements | 28                      | 12/31/2018      |
| 12. 15396 - Neighbourhood<br>Renewal | Integrated<br>Infrastructure<br>Services | Rec 4 - Inquiry<br>Management System             | 28                      | 12/31/2018      |