**OFFICE OF
THE CITY AUDITOR**

REPORT
RECOMMENDATION
FOLLOW-UP

Administration closed three recommendations.

There are 44 outstanding recommendations: 35 are not yet due and 9 are overdue.

MARCH 28, 2024

Edmonton

Recommendation Dashboard

44
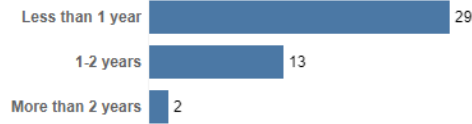recommendations currently outstanding

3
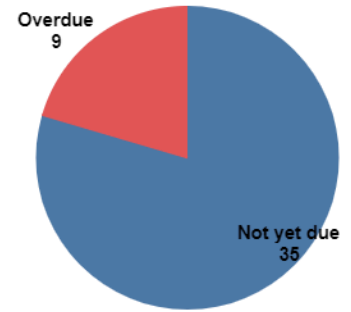recommendations closed since last report to audit committee

3
recommendations closed since last month

Age of Recommendations

Years since recommendation was made

Less than 1 year	29
1-2 years	13
More than 2 years	2

Outstanding Recommendation Distribution
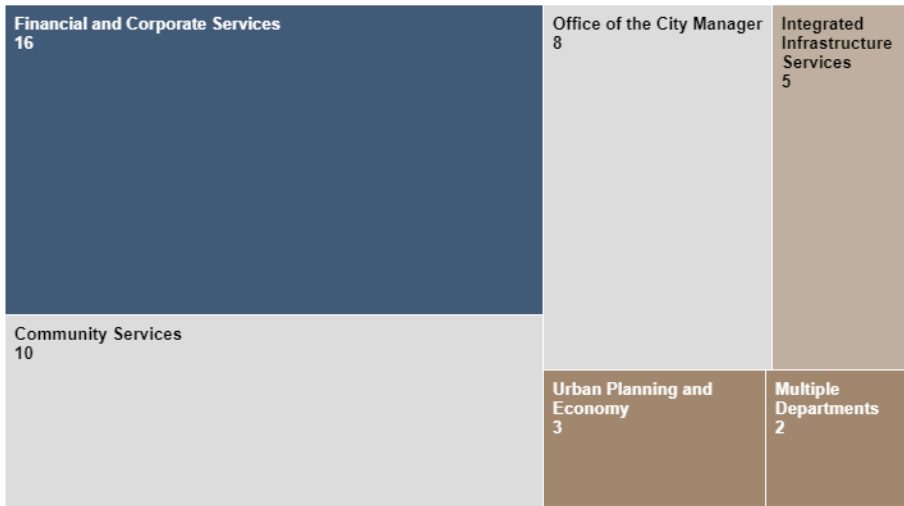
Overdue
9

Not yet due
35

15
recommendations due in the next 6 months

100%
of recommendations due to date in 2024 closed on time

Outstanding Recommendations by Department

Financial and Corporate Services 16	Office of the City Manager 8	Integrated Infrastructure Services 5
Community Services 10	Urban Planning and Economy 3	Multiple Departments 2

Closed Recommendations

Since our last report (February 29, 2024) Administration has **closed three recommendations.**

Project Name	Department	Recommendation	Original Due Date	Closed Date
1. Enterprise Performance Management	Financial and Corporate Services	Rec 3 - Regularly evaluate performance measures	March 31, 2024	March 26, 2024

On January 30, 2023, we recommended that the Service Innovation and Performance Branch Manager work with each Department Strategy Section to regularly evaluate performance measures to assess their achievement of goals.

The Branch has created guidelines for City departments that includes criteria for selecting performance measures, how to effectively report performance, and the frequency of when performance conversations should happen. They have also created a dashboard that the City departments populate, via a google form, that tracks when they held performance conversations and what measures were discussed. We have concluded that the guidelines and dashboard will aid the Department Strategy Sections in evaluating their respective department's performance measures and monitoring the achievement of their goals.

Project Name	Department	Recommendation	Original Due Date	Closed Date
2. City's Response to 311 Requests	Financial and Corporate Services	Rec 4 - Maintain list of individuals assigned to 311 roles	March 31, 2024	March 28, 2024

On November 14, 2023, we recommended that the Service Innovation and Performance Branch maintain a current list of individuals assigned to 311 roles.

The Branch has updated their *311 & Customer Access Service Coordinator Contact List* to include the Service Owner, Service Lead, and Service Coordinator. Each business area confirmed their service coordinator between December 2023 and March 2024. We have concluded that this list is current in assigning individuals to their 311 role.

Project Name	Department	Recommendation	Original Due Date	Closed Date
3. City's Response to 311 Requests	Financial and Corporate Services	Rec 5 - Document status of open and closed tickets	March 31, 2024	March 28, 2024

On November 14, 2023, we recommended that the Service Innovation and Performance Branch clarify and communicate its requirements for documenting the current status of an open ticket and reasons for closing a ticket.

The Branch has clarified the requirement for the provision of status details for both open and closed tickets. Open tickets require a status update when the request has not been resolved within the established expectations or the work is planned to be completed in the future. Closed tickets do not require a status detail if it is clear to the submitter that the work has been completed. This is in conjunction with the new definition of a closed ticket, defined as a service request has been resolved and no further action is required. These requirements have been communicated to all business areas in March 2024. The new definition will also be shared publicly in September 2024 once business areas have adapted to the new definition.

Overdue Recommendations

There are nine overdue recommendations.

No recommendations are **more than one year overdue.**

Nine recommendations are **less than one year overdue.**

Project Name	Department	Recommendation	Months Overdue	Due date
1. Enforcement Services Management and Support Branch	Community Services	Rec 1 - Develop performance measures	**9**	June 30, 2023 **Revised due date:** March 30, 2024
2. City Governance of Fort Edmonton Park	Community Services	Rec 4 - Develop detailed service agreements	7	September 1, 2023 **Revised due date:** June 30, 2024
3. Safety Codes Permits & Inspection Services	Urban Planning and Economy	Rec 1 - Clarify minimum number of inspections	6	September 30, 2023 **Revised due date:** December 31, 2024
4. Safety Codes Permits & Inspection Services	Urban Planning and Economy	Rec 2 - Expand risk-based inspections	6	September 30, 2023 **Revised due date:** December 31, 2024

5.	City's Response to Homelessness	Community Services	Rec 1 - Develop a corporate-wide homelessness plan	**3**	December 31, 2023 **Revised due date:** December 31, 2024
6.	City's Response to Homelessness	Community Services	Rec 2 - Assign accountability for homelessness plan	**3**	December 31, 2023 **Revised due date:** December 31, 2024
7.	City's Response to Homelessness	Community Services	Rec 3 - Develop performance measures and evaluate the homelessness plan	**3**	December 31, 2023 **Revised due date:** December 31, 2024
8.	Enforcement Services Management and Support Branch Audit	Community Services	Rec 3 - Implement functional dispatch and GPS systems	**3**	December 31, 2023 **Revised due date:** March 31, 2025
9.	Enterprise Performance Management Review	Financial and Corporate Services	Rec 4 - Enhance operational and public reporting	**3**	December 31, 2023 **Revised due date:** July 31, 2024

Recommendations Not Yet Due

There are 35 recommendations that are **not yet due**.

	Project Name	Department	Recommendation	Months until due	Due date
1.	Grants and Subsidies	Financial and Corporate Services	Rec 1 - Provide training	**0**	March 31, 2024 **Revised due date:** September 30, 2024
2.	Grants and Subsidies	Financial and Corporate Services	Rec 2 - Monitor and report on business area compliance	**0**	March 31, 2024 **Revised due date:** September 30, 2024
3.	Grants and Subsidies	Financial and Corporate Services	Rec 3 - Evaluate grant programs and subsidies	**0**	March 31, 2024 **Revised due date:** September 30, 2025
4.	Civic Agencies Governance	Office of the City Manager	Rec 3 - Provide reporting requirements	**0**	March 31, 2024

5.	City's Response to 311 Requests	Financial and Corporate Services	Rec 1 - Define tickets as closed when service request is resolved	**0**	March 31, 2024
6.	City Governance of Fort Edmonton Park	Community Services	Rec 2 - Clarify roles and responsibilities of various stakeholders	**1**	April 30, 2024 **Revised due date:** December 31, 2024
7.	Enforcement Services Management and Support	Community Services	Rec 2 - Update policies and procedures	**3**	June 28, 2024
8.	Capital Asset Management Audit	Integrated Infrastructure Services	Rec 1 - Update Infrastructure Policy and Strategy	**3**	June 30, 2024
9.	Civic Agencies Governance	Office of the City Manager	Rec 1 - Update roles and responsibilities	**3**	June 30, 2024
10.	Cyber Security Program Audit	Financial and Corporate Services	Rec 3 - In private	**3**	June 30, 2024
11.	Cyber Security Program Audit	Financial and Corporate Services	Rec 4 - In private	**3**	June 30, 2024
12.	Cyber Security Program Audit	Financial and Corporate Services	Rec 7 - In private	**3**	June 30, 2024
13.	Cyber Security Program Audit	Financial and Corporate Services	Rec 8 - In private	**3**	June 30, 2024

14. Employee Absences and Overtime Audit	Office of the City Manager	Rec 1 - Strengthen support for the management of absences and overtime	**3**	June 30, 2024
15. Employee Absences and Overtime Audit	Office of the City Manager	Rec 2 - Improve earned day off program communication and tracking	**3**	June 30, 2024
16. Employee Absences and Overtime Audit	Office of the City Manager	Rec 3 - Provide consistent guidance on monitoring and managing overtime	**3**	June 30, 2024
17. Employee Absences and Overtime Audit	Office of the City Manager	Rec 4 - Review and report to management	**3**	June 30, 2024
18. IT General Controls - Process Ownership	Financial and Corporate Services	Rec 1 - Update and fully implement IT governance framework	**3**	June 30, 2024
19. City's Response to 311 Requests	All Departments	Rec 2 - Departments to close tickets after request has been resolved	**6**	September 30, 2024
20. Civic Agencies Governance	Office of the City Manager	Rec 4 - Update training requirements	**6**	September 30, 2024
21. IT Asset Management Audit	Financial and Corporate Services	Rec 1 - Improve IT Asset Management guidance documents	**6**	September 30, 2024
22. Capital Asset Management Audit	Integrated Infrastructure Services	Rec 3 - Develop guidance on asset disposition	**9**	December 31, 2024
23. Capital Asset Management Audit	Integrated Infrastructure Services	Rec 4 - Develop guidance for asset data verification	**9**	December 31, 2024

24. City Governance of Fort Edmonton Park	Community Services	Rec 1 - Update governance documents	**9**	December 31, 2024
25. City Governance of Fort Edmonton Park	Community Services	Rec 3 - Clarify City's funding approach of FEMCo	**9**	December 31, 2024
26. Cyber Security Program	Financial and Corporate Services	Rec 1 - In private	**9**	December 31, 2024
27. Historical Resources Management Program Audit	Urban Planning and Economy	Rec 1- Update guiding documents	**9**	December 31, 2024
28. IT Asset Management Audit	Financial and Corporate Services	Rec 2 - Maintain accurate software license data	**9**	December 31, 2024
29. Civic Agencies Governance	Office of the City Manager	Rec 2 - Support Council to regularly review mandates	**9**	December 31, 2024
30. City's Response to 311 Requests	Multiple departments	Rec 3 - Identify KPI and targets	**12**	March 31, 2025
31. Capital Asset Management Audit	Integrated Infrastructure Services	Rec 5 - Improve asset management performance measurement	**15**	June 30, 2025
32. Cyber Security Program	Financial and Corporate Services	Rec 9 - In private	**15**	June 30, 2025

33. Cyber Security Program	Financial and Corporate Services	Rec 2 - In private	**22**	December 31, 2025
34. Cyber Security Program	Financial and Corporate Services	Rec 5 - In private	**34**	December 31, 2026
35. Capital Asset Management Audit	Integrated Infrastructure Services	Rec 2 - Guide development of Asset Management Plans	**46**	December 31, 2027

Recommendation Follow-Up Process

BACKGROUND

Establishing a follow-up process to monitor and ensure that Administration has effectively implemented audit recommendations is an essential part of an effective audit process. It allows Council, Administration, and the Office of the City Auditor to know that prior recommendations and the risks that led to those recommendations have been addressed.

RECOMMENDATION FOLLOW-UP PROCESS

The Office of the City Auditor's follow-up process provides Council and the Administration with timely updates on commitments made in response to audit recommendations.

The recommendation follow-up process consists of three main activities:

1. Issuing recommendations
2. Following-up on recommendations
3. Reporting on the status of recommendations

The chart on the next page depicts the follow-up process and the roles of the Office of the City Auditor and Administration in the process.
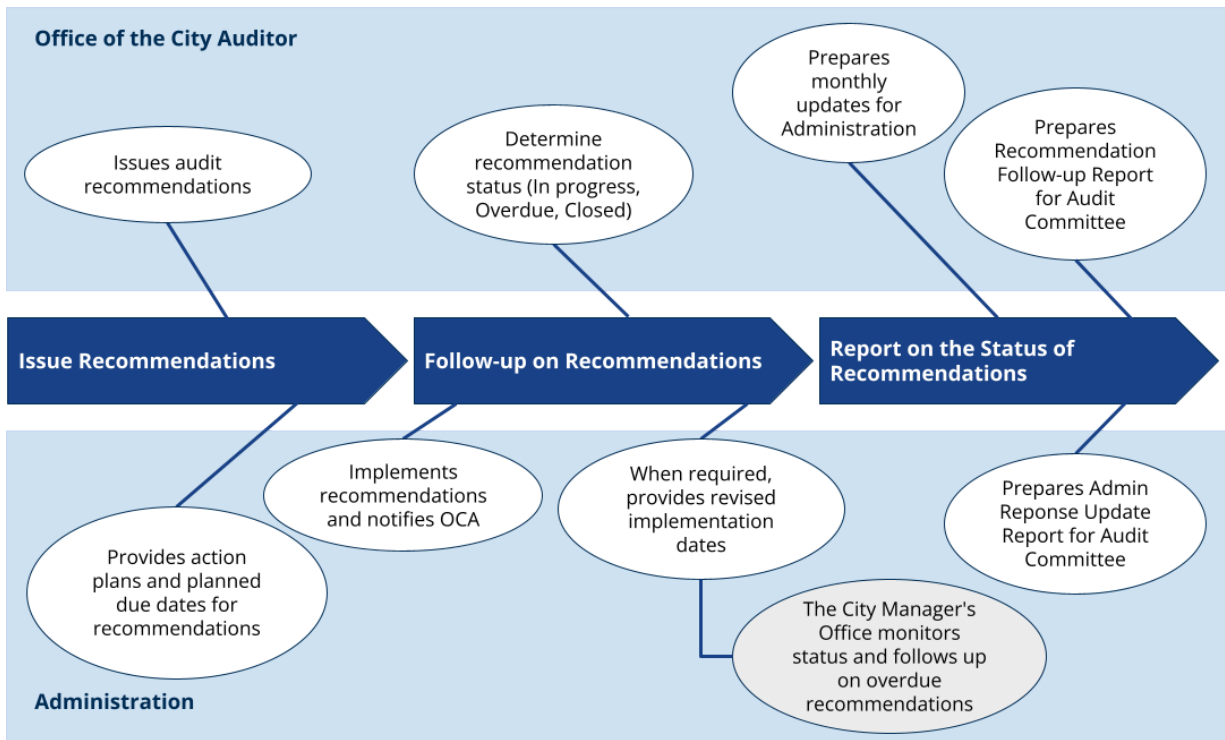
REVISING ACTION PLANS AND DUE DATES

Administration sometimes needs to revise action plans and planned due dates as a result of unforeseen circumstances, such as competing priorities, changes in resources, and changes in industry requirements. We continue to track recommendation status based on the original due date, and provide the revised due date in this report.

CLOSING RECOMMENDATIONS

Once administration notifies us that they have implemented the recommendation, we interview appropriate business area staff and review documentation to evaluate administration's actions. We evaluate whether their actions have addressed the risks identified during the audit. We close the recommendation once Administration has met the intent of the recommendation.