**OFFICE OF
THE CITY AUDITOR**

REPORT
RECOMMENDATION
FOLLOW-UP

Administration closed 3 recommendations.

There are 50 outstanding recommendations: 38 are not yet due and 12 are overdue.

JUNE 6, 2024

Recommendation Dashboard

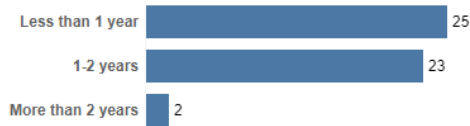## 50
recommendations currently outstanding

3
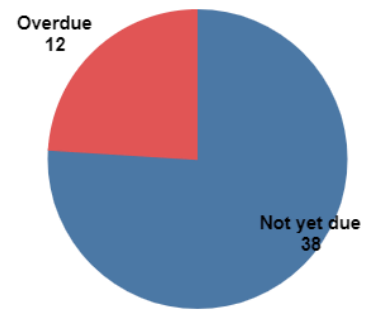recommendations closed since last report to audit committee

2
recommendations closed in the last 30 days

Age of Recommendations

Years since recommendation was made

Less than 1 year	25
1-2 years	23
More than 2 years	2

Outstanding Recommendation Distribution

Overdue 12

Not yet due 38

12
recommendations due in the next 6 months

50%
of recommendations due to date in 2024 closed on time

Outstanding Recommendations by Department

Financial and Corporate Services 15	Community Services 9
	Office of the City Manager 7
Integrated Infrastructure Services 10	Urban Planning and Economy 7
	Multiple

Closed Recommendations

Since our last report (March 28, 2024) Administration has **closed 3 recommendations.**

Project Name	Department	Recommendation	Original Due Date	Closed Date
1. City's Response to 311 Requests	Office of the City Manager	Rec 1 - Define tickets as closed when service request is resolved	March 31, 2024	April 2, 2024

On November 14, 2023, we recommended that the Service Innovation and Performance Branch define tickets as closed when the business area has resolved the service request and communicate this to all business areas that close 311 tickets.

The Branch has updated the definition for the closure of a ticket to indicate that the service request has been resolved and no further action is required. The updated definition has been communicated to the business areas that close 311 tickets through a Briefing Note on March 28, 2024.

Project Name	Department	Recommendation	Original Due Date	Closed Date
2. Civic Agencies Governance	Financial and Corporate Services	Rec 3 - Provide reporting requirements	March 31, 2024	May 7, 2024

On November 14, 2023, we recommended that the City Clerk provide City Council with reporting requirements for advisory committees and decision making boards, to report enough information for Council to assess progress against their mandates.

The City Clerk's Office provided City Council with a memo that outlined the reporting requirements for advisory committees and decision making boards. The memo also included a reporting template for the committees and boards to use, which includes required sections that Council would need in order to perform the mandate assessment.

Project Name	Department	Recommendation	Original Due Date	Closed Date
3. Enforcement Services Management and Support	Community Services	Rec 1 - Develop performance measures	June 30, 2023	June 5, 2024

On October 3, 2022, we recommended that the Community Standards and Neighbourhoods Branch fully develop service objective performance measures and targets and evaluate if the program is achieving its objectives.

The Branch aligned this recommendation with the corporate Enterprise Performance Management work underway following the Enterprise Performance Management Audit. The Branch developed measures and targets for its service objectives including but not limited to Safety and Security on Transit System, Problem Properties Initiative, Homeless Encampment Response, and Animal Welfare Service. The Branch also implemented a quarterly reporting system to report on the measures to the Branch leadership and evaluate if programs are meeting their objectives.

Overdue Recommendations

There are twelve overdue recommendations.

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

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

Project Name	Department	Recommendation	Months Overdue	Due date
1. City Governance of Fort Edmonton Park	Community Services	Rec 4 - Develop detailed service agreements	**9**	September 1, 2023 **Revised due date:** June 30, 2024
2. Safety Codes Permits & Inspection Services	Urban Planning and Economy	Rec 1 - Clarify minimum number of inspections	**8**	September 30, 2023 **Revised due date:** December 31, 2024
3. Safety Codes Permits & Inspection Services	Urban Planning and Economy	Rec 2 - Expand risk-based inspections	**8**	September 30, 2023 **Revised due date:** December 31, 2024
4. City's Response to Homelessness	Community Services	Rec 1 - Develop a corporate-wide homelessness plan	**5**	December 31, 2023 **Revised due date:** December 31, 2024

5.	City's Response to Homelessness	Community Services	Rec 2 - Assign accountability for homelessness plan	**5**	December 31, 2023 **Revised due date:** December 31, 2024
6.	City's Response to Homelessness	Community Services	Rec 3 - Develop performance measures and evaluate the homelessness plan	**5**	December 31, 2023 **Revised due date:** December 31, 2024
7.	Enforcement Services Management and Support	Community Services	Rec 3 - Implement functional dispatch and GPS systems	**5**	December 31, 2023 **Revised due date:** March 31, 2025
8.	Enterprise Performance Management	Financial and Corporate Services	Rec 4 - Enhance operational and public reporting	**5**	December 31, 2023 **Revised due date:** July 31, 2024
9.	Grants and Subsidies	Financial and Corporate Services	Rec 1 - Provide training	**2**	March 31, 2024 **Revised due date:** September 30, 2024

10.	Grants and Subsidies	Financial and Corporate Services	Rec 2 - Monitor and report on business area compliance	2	March 31, 2024 **Revised due date:** September 30, 2024
11.	Grants and Subsidies	Financial and Corporate Services	Rec 3 - Evaluate grant programs and subsidies	2	March 31, 2024 **Revised due date:** September 30, 2025
12.	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

Recommendations Not Yet Due

There are 38 recommendations that are **not yet due**.

	Project Name	Department	Recommendation	Months until due	Due date
1.	Enforcement Services Management and Support	Community Services	Rec 2 - Update policies and procedures	**1**	June 28, 2024
2.	Capital Asset Management	Integrated Infrastructure Services	Rec 1 - Update Infrastructure Policy and Strategy	**1**	June 30, 2024
3.	Civic Agencies Governance	Office of the City Manager	Rec 1 - Update roles and responsibilities	**1**	June 30, 2024
4.	Cyber Security Program	Financial and Corporate Services	Rec 3 - In private	**1**	June 30, 2024
5.	Cyber Security Program	Financial and Corporate Services	Rec 4 - In private	**1**	June 30, 2024
6.	Cyber Security Program	Financial and Corporate Services	Rec 7 - In private	**1**	June 30, 2024
7.	Cyber Security Program	Financial and Corporate Services	Rec 8 - In private	**1**	June 30, 2024

8.	Employee Absences and Overtime	Office of the City Manager	Rec 1 - Strengthen support for the management of absences and overtime	**1**	June 30, 2024
9.	Employee Absences and Overtime	Office of the City Manager	Rec 2 - Improve earned day off program communication and tracking	**1**	June 30, 2024
10.	Employee Absences and Overtime	Office of the City Manager	Rec 3 - Provide consistent guidance on monitoring and managing overtime	**1**	June 30, 2024
11.	Employee Absences and Overtime	Office of the City Manager	Rec 4 - Review and report to management	**1**	June 30, 2024
12.	IT General Controls - Process Ownership	Financial and Corporate Services	Rec 1 - Update and fully implement IT governance framework	**1**	June 30, 2024
13.	Blatchford Development Performance Management	Integrated Infrastructure Services	Rec 1 - Develop sufficient measures and targets	**4**	September 30, 2024
14.	Blatchford Development Performance Management	Integrated Infrastructure Services	Rec 2 - Define and document measures	**4**	September 30, 2024
15.	City's Response to 311 Requests	All Departments	Rec 2 - Departments to close tickets after request has been resolved	**4**	September 30, 2024
16.	Civic Agencies Governance	Office of the City Manager	Rec 4 - Update training requirements	**4**	September 30, 2024

17. IT Asset Management	Financial and Corporate Services	Rec 1 - Improve IT Asset Management guidance documents	**4**	September 30, 2024
18. Capital Asset Management	Integrated Infrastructure Services	Rec 3 - Develop guidance on asset disposition	**7**	December 31, 2024
19. Capital Asset Management	Integrated Infrastructure Services	Rec 4 - Develop guidance for asset data verification	**7**	December 31, 2024
20. City Governance of Fort Edmonton Park	Community Services	Rec 1 - Update governance documents	**7**	December 31, 2024
21. City Governance of Fort Edmonton Park	Community Services	Rec 3 - Clarify City's funding approach of FEMCo	**7**	December 31, 2024
22. Cyber Security Program	Financial and Corporate Services	Rec 1 - In private	**7**	December 31, 2024
23. Historical Resources Management Program	Urban Planning and Economy	Rec 1- Update guiding documents	**7**	December 31, 2024
24. IT Asset Management	Financial and Corporate Services	Rec 2 - Maintain accurate software license data	**7**	December 31, 2024
25. Civic Agencies Governance	Office of the City Manager	Rec 2 - Support Council to regularly review mandates	**7**	December 31, 2024

26. Blatchford Development Performance Management	Integrated Infrastructure Services	Rec 3 - Collect and analyze performance data	**10**	March 31, 2025
27. City's Response to 311 Requests	Multiple departments	Rec 3 - Identify KPI and targets	**10**	March 31, 2025
28. Blatchford Development Performance Management	Integrated Infrastructure Services	Rec 4 - Regularly report on progress	**13**	June 30, 2025
29. Blatchford Development Performance Management	Integrated Infrastructure Services	Rec 5 - Develop action plans	**13**	June 30, 2025
30. Capital Asset Management	Integrated Infrastructure Services	Rec 5 - Improve asset management performance measurement	**13**	June 30, 2025
31. Cyber Security Program	Financial and Corporate Services	Rec 9 - In private	**13**	June 30, 2025
32. Environmental and Climate Governance	Urban Planning and Economy	Rec 1 - Formalize roles and responsibilities	**19**	December 31, 2025
33. Environmental and Climate Governance	Urban Planning and Economy	Rec 3 - Build climate competencies	**19**	December 31, 2025
34. Cyber Security Program	Financial and Corporate Services	Rec 2 - In private	**19**	December 31, 2025

35. Environmental and Climate Governance	Urban Planning and Economy	Rec 3 - Develop a monitoring evaluation framework	**25**	June 30, 2026
36. Environmental and Climate Governance	Urban Planning and Economy	Rec 4 - Improve climate-informed decision making	**25**	June 30, 2026
37. Cyber Security Program	Financial and Corporate Services	Rec 5 - In private	**31**	December 31, 2026
38. Capital Asset Management	Integrated Infrastructure Services	Rec 2 - Guide development of Asset Management Plans	**44**	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.
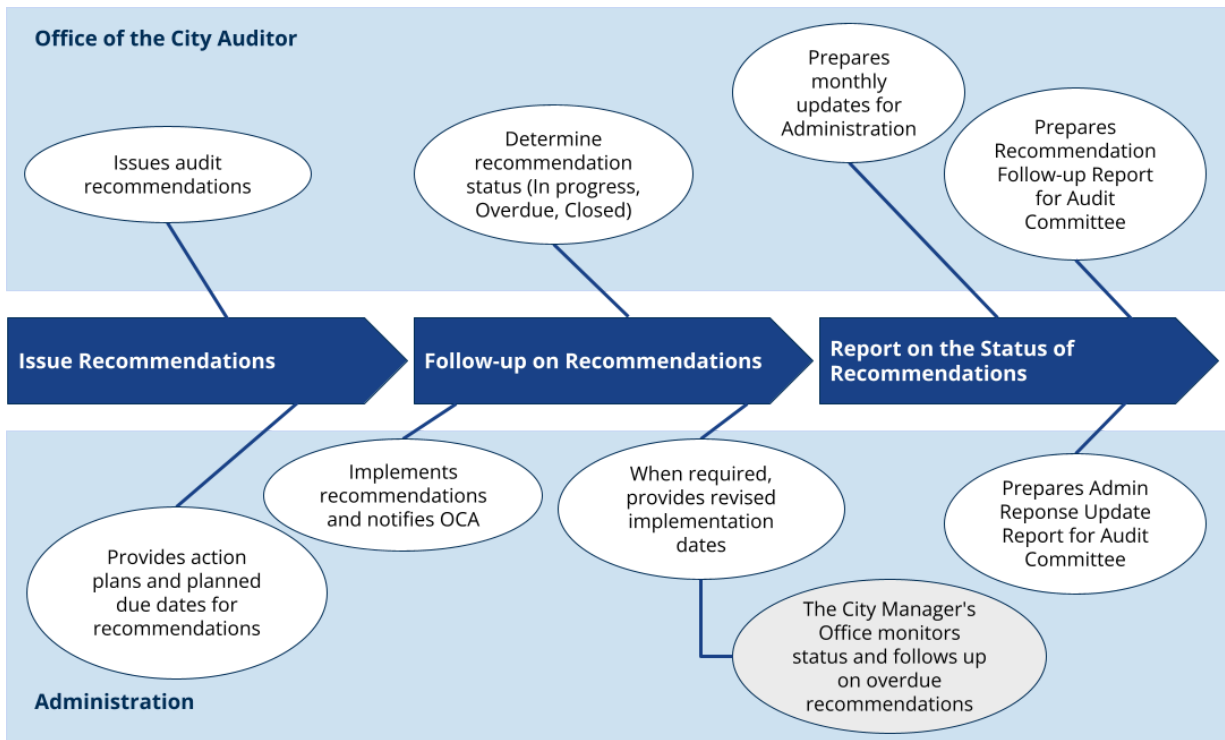
REVISING ACTION PLANS AND DUE DATES

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.