**OFFICE OF
THE CITY AUDITOR**

REPORT
RECOMMENDATION
FOLLOW-UP

Administration closed 3 recommendations.

There are 37 outstanding recommendations: 35 are not yet due and 2 are overdue.

SEPTEMBER 1, 2023

Edmonton

Recommendation Dashboard

37
recommendations currently outstanding

3
recommendations closed since last audit committee
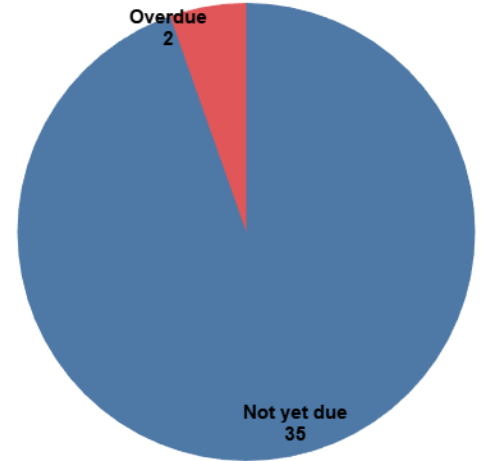
Outstanding Recommendation Distribution

Overdue 2

Not yet due 35

Age of Recommendations

Years since recommendation was made

Less than 1 year	32
1-2 years	5

Outstanding Recommendations by Department

Financial and Corporate Services 17	Community Services 10	Office of the City Manager 5
	Urban Planning and Economy 5	

13
recommendations due in the next 6 months

67%
of recommendations due to date in 2023 closed on time

Closed Recommendations

Since our last report (June 9, 2023) Administration has **closed 3 recommendations.**

	Project Name	Department	Recommendation	Original Due Date	Closed Date
1.	Information Technology – Disaster Recovery Planning	Financial and Corporate Services	Rec 1 - Fully implement the disaster recovery program	December 31, 2021	July 20, 2023

Specific information related to this recommendation was not shared publicly due to *Freedom of Information and Protection of Privacy Act* exemptions. Some of the information could pose a risk to the City if malicious actors were made aware of it; as a result, any discussion related to this recommendation should be done in private.

	Project Name	Department	Recommendation	Original Due Date	Closed Date
2.	Council and Committee Reporting Review	Office of the City Manager	Rec 1 - Strengthen Council report writing instructions	July 31, 2023	July 19, 2023

On January 30, 2023, we recommended that the City Manager strengthen Council and Council Committee report writing instructions to clarify the process and set clear writing standards for reports.

The Chief of Staff's office has updated guidelines to specify when a Council or Committee report is appropriate. They have also clarified who is responsible for each stage of report writing and the approval process. They updated the Council Reports Style Guide to provide additional guidance on executive summaries, data points, use of plain language, jargon and active voice.

	Project Name	Department	Recommendation	Original Due Date	Closed Date
3.	Safety Codes Permits and Inspection Services	Urban Planning and Economy	Rec 3 - Update standard operating procedures and checklists	June 30, 2023	July 4, 2023

On October 3, 2022, we recommended that the Development Services Branch update its procedures and checklists for application intake, and develop operating procedures and checklists to improve consistency of Safety Codes Officers' site inspections.

The Branch has developed a *Standard Operating Procedures Matrix* containing job aids and checklists relating to: intake, plan exams, issuance of permits, inspections, and document storage. Branch staff use these job aids and checklists for conducting site inspections and training purposes. Additionally, supervisors are performing operational audits of staff to ensure alignment to these standard operating procedures and checklists.

Overdue Recommendations

There are two overdue recommendations.

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

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

Project Name	Department	Recommendation	Months Overdue	Due date
1. Enforcement Services Management and Support	Community Services	Rec 1 - Develop performance measures	**2**	June 30, 2023 **Revised due date:** March 30, 2024
2. City Governance of Fort Edmonton Park	Community Services	Rec 4 - Develop detailed service agreements	**0**	September 1, 2023 **Revised due date:** December 31, 2023

Recommendations Not Yet Due

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

	Project Name	Department	Recommendation	Months until due	Due date
1.	Safety Codes Permits and Inspection Services	Urban Planning and Economy	Rec 1 - Clarify minimum number of inspections	**1**	September 30, 2023
2.	Safety Codes Permits and Inspection Services	Urban Planning and Economy	Rec 2 - Expand risk-based inspections	**1**	September 30, 2023
3.	Safety Codes Permits and Inspection Services	Urban Planning and Economy	Rec 4 - Enhance performance measures	**1**	September 30, 2023
4.	Safety Codes Permits and Inspection Services	Urban Planning and Economy	Rec 5 - Improve efficiency for permit application and inspections	**1**	September 30, 2023
5.	Enterprise Performance Management	Financial and Corporate Services	Rec 1 - Gather performance measurement data	**1**	September 30, 2023
6.	Enterprise Performance Management	Financial and Corporate Services	Rec 1 - Monitor departments	**1**	September 30, 2023

7.	Enforcement Services Management and Support	Community Services	Rec 3 - Implement functional dispatch and GPS systems	**4**	December 31, 2023
8.	City's Response to Homelessness	Community Services	Rec 1 - Develop a corporate-wide homelessness plan	**4**	December 31, 2023 **Revised due date:** December 31, 2024
9.	City's Response to Homelessness	Community Services	Rec 2 - Assign accountability for homelessness plan	**4**	December 31, 2023 **Revised due date:** December 31, 2024
10.	City's Response to Homelessness	Community Services	Rec 3 - Develop performance measures and evaluate the homelessness plan	**4**	December 31, 2023 **Revised due date:** December 31, 2024
11.	Enterprise Performance Management	Financial and Corporate Services	Rec 4 - Enhance operational and public reporting	**4**	December 31, 2023
12.	Cyber Security Program	Financial and Corporate Services	Rec 6 - In private	**4**	December 31, 2023
13.	Council and Committee Reporting Review	Office of the City Manager	Rec 2 - Improve readability and fully support information in Council reports	**6**	February 28, 2024

14.	Enterprise Performance Management	Financial and Corporate Services	Rec 3 - Regularly evaluate performance measures	**7**	March 31, 2024
15.	Grants and Subsidies	Financial and Corporate Services	Rec 1 - Provide training	**7**	March 31, 2024
16.	Grants and Subsidies	Financial and Corporate Services	Rec 2 - Monitor and report on business area compliance	**7**	March 31, 2024
17.	Grants and Subsidies	Financial and Corporate Services	Rec 3 - Evaluate grant programs and subsidies	**7**	March 31, 2024
18.	City Governance of Fort Edmonton Park	Community Services	Rec 2 - Clarify roles and responsibilities of various stakeholders	**8**	April 30, 2024
19.	Enforcement Services Management and Support	Community Services	Rec 2 - Update policies and procedures	**10**	June 28, 2024
20.	Employee Absences and Overtime Audit	Office of the City Manager	Rec 1 - Strengthen support for the management of absences and overtime	**10**	June 30, 2024
21.	Employee Absences and Overtime Audit	Office of the City Manager	Rec 2 - Improve earned day off program communication and tracking	**10**	June 30, 2024
22.	Employee Absences and Overtime Audit	Office of the City Manager	Rec 3 - Provide consistent guidance on monitoring and managing overtime	**10**	June 30, 2024

23.	Employee Absences and Overtime Audit	Office of the City Manager	Rec 4 - Review and report to management	**10**	June 30, 2024
24.	IT General Controls - Process Ownership	Financial and Corporate Services	Rec 1 - Update and fully implement IT governance framework	**10**	June 30, 2024
25.	Cyber Security Program	Financial and Corporate Services	Rec 3 - In private	**10**	June 30, 2024
26.	Cyber Security Program	Financial and Corporate Services	Rec 4 - In private	**10**	June 30, 2024
27.	Cyber Security Program	Financial and Corporate Services	Rec 7 - In private	**10**	June 30, 2024
28.	Cyber Security Program	Financial and Corporate Services	Rec 8 - In private	**10**	June 30, 2024
29.	City Governance of Fort Edmonton Park	Community Services	Rec 1 - Update governance documents	**16**	December 31, 2024
30.	City Governance of Fort Edmonton Park	Community Services	Rec 3 - Clarify City's funding approach of FEMCo	**16**	December 31, 2024
31.	Historical Resources Management Program Audit	Urban Planning and Economy	Rec 1- Update guiding documents	**16**	December 31, 2024

32. Cyber Security Program	Financial and Corporate Services	Rec 1 - In private	**16**	December 31, 2024
33. Cyber Security Program	Financial and Corporate Services	Rec 9 - In private	**22**	June 30, 2025
34. Cyber Security Program	Financial and Corporate Services	Rec 2 - In private	**28**	December 31, 2025
35. Cyber Security Program	Financial and Corporate Services	Rec 5 - In private	**41**	December 31, 2026

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.
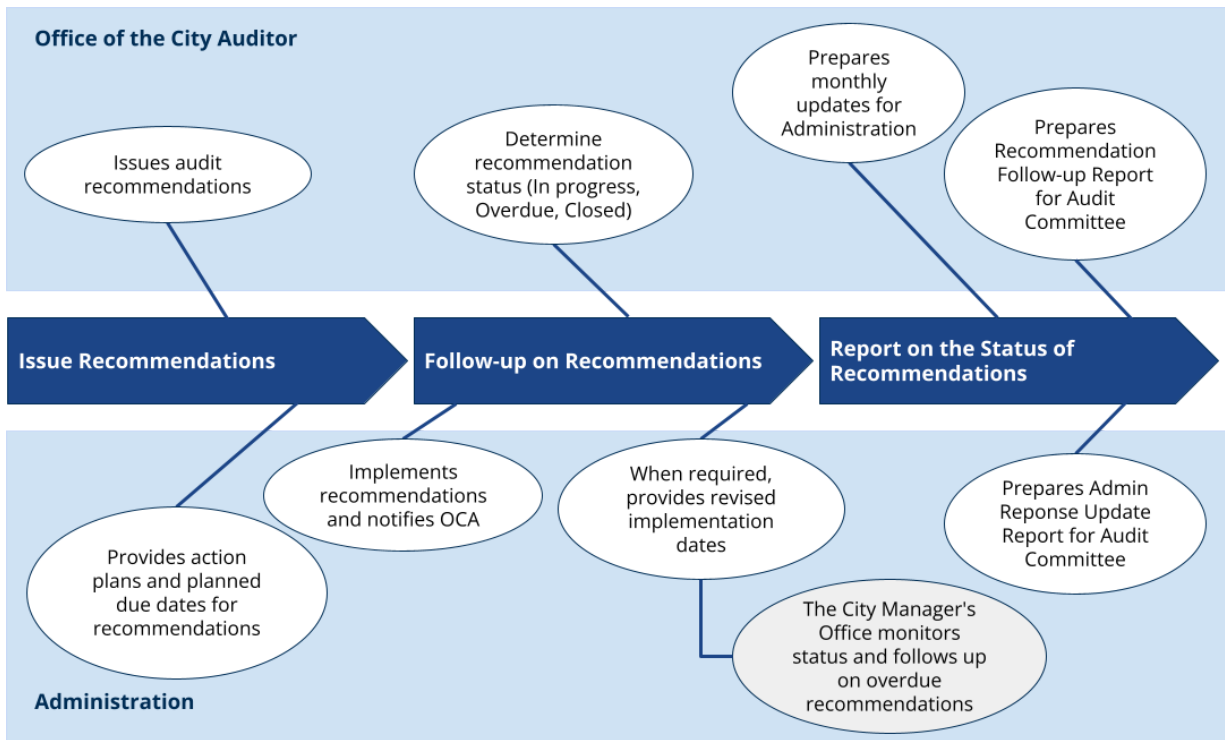
REVISING ACTION PLANS AND DUE DATES

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.