



Office of the City Auditor

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Office of the City Auditor

Recommendation Follow-up

Dashboard Report

As at November 10, 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 November 10, 2016

As at November 10, 2016 the administration has 23 recommendations from the Office of the City Auditor that are outstanding. Based on the implementation dates provided by the administration, 21 of these recommendations are not yet due and 2 are overdue.

In the period since our last report (September 15 to November 10, 2016) the administration has closed the following 4 recommendations:

*Four
recommendations
closed*

Project # and Name	Department	Recommendation
1. 14369 - City Streets Audit	City Operations	Rec 1 - Document Strategies
2. 14371 - Continuous Auditing	Financial and Corporate Services	Rec 2 - Improve Restricted Purchase Guidelines
3. 16409 - Queen Elizabeth Park (QEP) Investigation	Integrated Infrastructure Services	Rec 1 - Construction Completion Certificate Process
4. 15396 - Neighbourhood Renewal	Integrated Infrastructure Services	Rec 2 - Bonus oversight and change order compliance

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	21

Two
recommendations
less than one
year overdue

Recommendations less than one year overdue				
Project # and Name	Department	Recommendation	Months Overdue	Revised Due Date
1. 14373 - Transportation Contributed Assets	Sustainable Development	Rec 1 - Standards and Specifications Document	7	12/31/2016
2. 15387 - Traffic Shortcutting	Sustainable Development	Rec 1 - Traffic Management Policy	4	3/31/2017

Twenty one
recommendations
not yet due

Recommendations not due				
Project # and Name	Department	Recommendation	Months Until Due	Due Date
1. 11336 - 2013 Municipal Election	Office of the City Clerk	Rec 4 - Voting Station Logistics	2	12/31/2016
2. 15391 - Bus and LRT Review	City Operations	Rec 2 - Performance Measures	2	12/31/2016
3. 15396 - Neighbourhood Renewal	City Operations	Rec 1 - Consistent Reporting Methodology	2	12/31/2016
4. 16405 - Use of Sole Source Procurement Audit	Financial and Corporate Services	Rec 1 - Support of NWPTA Exceptions & Sole/Single Source	2	12/31/2016
5. 16405 - Use of Sole Source Procurement Audit	Financial and Corporate Services	Rec 3 - Revise Administrative Directive	2	12/31/2016
6. 16405 - Use of Sole Source Procurement Audit	Financial and Corporate Services	Rec 4 - Strategic Sourcing Opportunity	4	2/28/2017
7. 16405 - Use of Sole Source Procurement Audit	Financial and Corporate Services	Rec 2 - Training of Departmental and CPSS staff	7	5/31/2017
8. 15391 - Bus and LRT Review	City Operations	Rec 1 - Transit Strategic Plan	8	6/30/2017
9. 15399 - Change Order Process	Financial and Corporate Services	Rec 1 - Change Order Process	8	6/30/2017
10. 16406 - Winter Street Sand Recycling and Mixing Program	City Operations	Rec 1 - Winter Street Sand Recycling and Mixing Program Review	8	6/30/2017
11. 11336 - 2013 Municipal Election	Office of the City Clerk	Rec 2 - Logic and Accuracy Testing	9	7/31/2017
12. 11336 - 2013 Municipal Election	Office of the City Clerk	Rec 3 - Worker Comprehension	9	7/31/2017
13. 11336 - 2013 Municipal Election	Office of the City Clerk	Rec 5 - Ballot Design	9	7/31/2017
14. 16406 - Winter Street Sand Recycling and Mixing Program	City Operations	Rec 2 - Performance Management System	12	10/31/2017

Recommendations not due				
Project # and Name	Department	Recommendation	Months Until Due	Due Date
15. 16406 - Winter Street Sand Recycling and Mixing Program	City Operations	Rec 3 - Quality Assurance on Contract Content	12	10/31/2017
16. 16406 - Winter Street Sand Recycling and Mixing Program	City Operations	Rec 4 - Program Management and Oversight	12	10/31/2017
17. 15391 - Bus and LRT Review	City Operations	Rec 3 - Transit Funding and Fares	14	12/30/2017
18. 16404 - Utilities Infrastructure Audit	Integrated Infrastructure Services	Rec 1 - Overtime Use and Monitoring Guidelines	14	12/31/2017
19. 15396 - Neighbourhood Renewal	Integrated Infrastructure Services	Rec 3 - Public Communications Improvements	26	12/31/2018
20. 15396 - Neighbourhood Renewal	Integrated Infrastructure Services	Rec 4 - Inquiry Management System	26	12/31/2018
21. 16404 - Utilities Infrastructure Audit	Integrated Infrastructure Services	Rec 2 - Performance Measures	26	12/31/2018