

**OFFICE OF  
THE CITY AUDITOR**

# **REPORT RECOMMENDATION FOLLOW-UP**

Administration closed 5 recommendations.

There are 39 outstanding recommendations: 35 are not yet due and 4 are overdue.

**November 10, 2023**

# Recommendation Dashboard

39

recommendations currently outstanding

5

recommendations closed since last report to audit committee

## Age of Recommendations

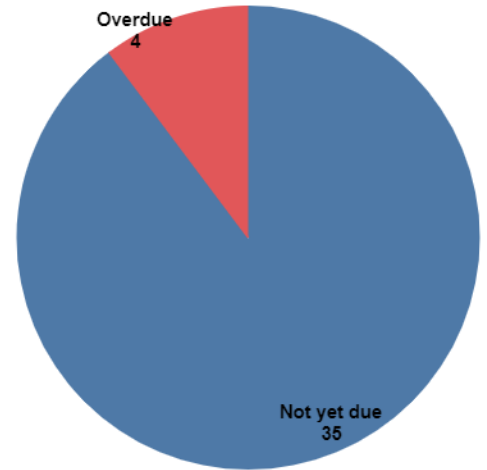
Years since recommendation was made



## Outstanding Recommendations by Department



## Outstanding Recommendation Distribution



11

recommendations due in the next 6 months

62%

of recommendations due to date in 2023 closed on time

# Closed Recommendations

Since our last report (September 1, 2023) Administration has **closed 5 recommendations.**

<b>Project Name</b>	<b>Department</b>	<b>Recommendation</b>	<b>Original Due Date</b>	<b>Closed Date</b>
1. Enterprise Performance Management	Financial and Corporate Services	Rec 1 - Gather performance measurement data	September 30, 2023	September 13, 2023

On January 30, 2023, we recommended that the Service Innovation and Performance Branch work with each Department Strategy Section to gather and input performance measurement data in the enterprise performance management software.

The Branch launched a new internal enterprise data platform and created a user guide that covers the details of the system and the importance of performance management. The Branch also provided training to the Department Strategy Section directors on how to input and update measures into the system.

2. Safety Codes Permits and Inspection Services	Urban Planning and Economy	Rec 4 - Enhance performance measures	September 30, 2023	September 29, 2023
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On October 3, 2022, we recommended that the Development Services Branch enhance its performance measures so they are reliable, understandable, comparable, and include measurable targets.

The Branch has developed a new *Quarterly Report* which includes key performance measures such as application processing times and customer satisfaction measures. The quarter two, 2023 report was published and available on the Branch's website on September 29, 2023. The *Quarterly Report* includes definitions, methodology, and targets for the performance measures.

3. Safety Codes Permits and Inspection Services	Urban Planning and Economy	Rec 5 - Improve efficiency for permit application and inspections	September 30, 2023	September 29, 2023
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On October 3, 2022, we recommended that the Safety Codes Permits & Inspections (SCPI) review the permit application and inspection processes and implement a plan to improve efficiency.

The Branch has developed dashboards to measure and monitor application processing times to assist with ongoing improvement efforts as well as resource allocation across services. SCPI partnered with industry to improve the completeness of the permit application process. According to the dashboard, the percentage of complete applications has increased from 44 percent in 2022 to 46 percent in 2023 for single detached homes. As well, the updates to Standard Operating Procedures and transition of additional resources has reduced the queue times for single detached homes from 14 days to 7 days. To improve the ability to meet safety codes inspections, a second inspection contractor has been added in 2023 to assist with inspection volumes.

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4. Enterprise Performance Management	Financial and Corporate Services	Rec 2 - Monitor departments	September 30, 2023	October 4, 2023
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On January 30, 2023, we recommended that the Service Innovation and Performance Branch monitor the departments' gathering and inputting of performance measurement data.

The Branch provided training to the Department Strategy Section directors that covered how and why the Branch will be monitoring compliance. The Branch also created a compliance requirement document that defines what they are monitoring and why. Finally, the Branch issued its first activity monitoring report that provides information on the number of performance measures that have been updated and have not been updated.

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5. Cyber Security Program	Financial and Corporate Services	Rec 6 - In private	December 31, 2023	November 9, 2023
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Specific information related to this recommendation was not shared publicly due to *Freedom of Information and Protection of Privacy Act*. 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.

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# Overdue Recommendations

There are four overdue recommendations.

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

Four 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	4	June 30, 2023 <b>Revised due date:</b> March 30, 2024
2. City Governance of Fort Edmonton Park	Community Services	Rec 4 - Develop detailed service agreements	2	September 1, 2023 <b>Revised due date:</b> December 31, 2023
3. Safety Codes Permits and Inspection Services	Urban Planning and Economy	Rec 1 - Clarify minimum number of inspections	1	September 30, 2023 <b>Revised due date:</b> December 31, 2024
4. Safety Codes Permits and Inspection Services	Urban Planning and Economy	Rec 2 - Expand risk-based inspections	1	September 30, 2023 <b>Revised due date:</b> December 31, 2024

# Recommendations Not Yet Due

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

Project Name	Department	Recommendation	Months until due	Due date
5. Enforcement Services Management and Support	Community Services	Rec 3 - Implement functional dispatch and GPS systems	2	December 31, 2023
6. City's Response to Homelessness	Community Services	Rec 1 - Develop a corporate-wide homelessness plan	2	December 31, 2023 <b>Revised due date:</b> December 31, 2024
7. City's Response to Homelessness	Community Services	Rec 2 - Assign accountability for homelessness plan	2	December 31, 2023 <b>Revised due date:</b> December 31, 2024
8. City's Response to Homelessness	Community Services	Rec 3 - Develop performance measures and evaluate the homelessness plan	2	December 31, 2023 <b>Revised due date:</b> December 31, 2024

9.	Enterprise Performance Management	Financial and Corporate Services	Rec 4 - Enhance operational and public reporting	2	December 31, 2023
10.	Council and Committee Reporting Review	Office of the City Manager	Rec 2 - Improve readability and fully support information in Council reports	4	February 28, 2024
11.	Enterprise Performance Management	Financial and Corporate Services	Rec 3 - Regularly evaluate performance measures	5	March 31, 2024
12.	Grants and Subsidies	Financial and Corporate Services	Rec 1 - Provide training	5	March 31, 2024
13.	Grants and Subsidies	Financial and Corporate Services	Rec 2 - Monitor and report on business area compliance	5	March 31, 2024
14.	Grants and Subsidies	Financial and Corporate Services	Rec 3 - Evaluate grant programs and subsidies	5	March 31, 2024
15.	City Governance of Fort Edmonton Park	Community Services	Rec 2 - Clarify roles and responsibilities of various stakeholders	6	April 30, 2024
16.	Enforcement Services Management and Support	Community Services	Rec 2 - Update policies and procedures	8	June 28, 2024
17.	Capital Asset Management Audit	Integrated Infrastructure Services	Rec 1 - Update Infrastructure Policy and Strategy	8	June 30, 2024

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18. Cyber Security Program Audit	Financial and Corporate Services	Rec 3 - In private	8	June 30, 2024
19. Cyber Security Program Audit	Financial and Corporate Services	Rec 4 - In private	8	June 30, 2024
20. Cyber Security Program Audit	Financial and Corporate Services	Rec 7 - In private	8	June 30, 2024
21. Cyber Security Program Audit	Financial and Corporate Services	Rec 8 - In private	8	June 30, 2024
22. Employee Absences and Overtime Audit	Office of the City Manager	Rec 1 - Strengthen support for the management of absences and overtime	8	June 30, 2024
23. Employee Absences and Overtime Audit	Office of the City Manager	Rec 2 - Improve earned day off program communication and tracking	8	June 30, 2024
24. Employee Absences and Overtime Audit	Office of the City Manager	Rec 3 - Provide consistent guidance on monitoring and managing overtime	8	June 30, 2024
25. Employee Absences and Overtime Audit	Office of the City Manager	Rec 4 - Review and report to management	8	June 30, 2024
26. IT General Controls - Process Ownership	Financial and Corporate Services	Rec 1 - Update and fully implement IT governance framework	8	June 30, 2024
27. IT Asset Management Audit	Financial and Corporate Services	Rec 1 - IT Asset Management Guidance	11	September 30, 2024

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28. Capital Asset Management Audit	Integrated Infrastructure Services	Rec 3 - Develop guidance on asset disposition	14	December 31, 2024
29. Capital Asset Management Audit	Integrated Infrastructure Services	Rec 4 - Develop guidance for asset data verification	14	December 31, 2024
30. City Governance of Fort Edmonton Park	Community Services	Rec 1 - Update governance documents	14	December 31, 2024
31. City Governance of Fort Edmonton Park	Community Services	Rec 3 - Clarify City's funding approach of FEMCo	14	December 31, 2024
32. Cyber Security Program	Financial and Corporate Services	Rec 1 - In private	14	December 31, 2024
33. Historical Resources Management Program Audit	Urban Planning and Economy	Rec 1- Update guiding documents	14	December 31, 2024
34. IT Asset Management Audit	Financial and Corporate Services	Rec 2 - Software license data	14	December 31, 2024
35. Capital Asset Management Audit	Integrated Infrastructure Services	Rec 5 - Improve asset management performance measurement	20	June 30, 2025
36. Cyber Security Program	Financial and Corporate Services	Rec 9 - In private	20	June 30, 2025

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37. Cyber Security Program	Financial and Corporate Services	Rec 2 - In private	<b>26</b>	December 31, 2025
38. Cyber Security Program	Financial and Corporate Services	Rec 5 - In private	<b>39</b>	December 31, 2026
39. Capital Asset Management Audit	Integrated Infrastructure Services	Rec 2 - Guide development of Asset Management Plans	<b>51</b>	December 31, 2027

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# 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.

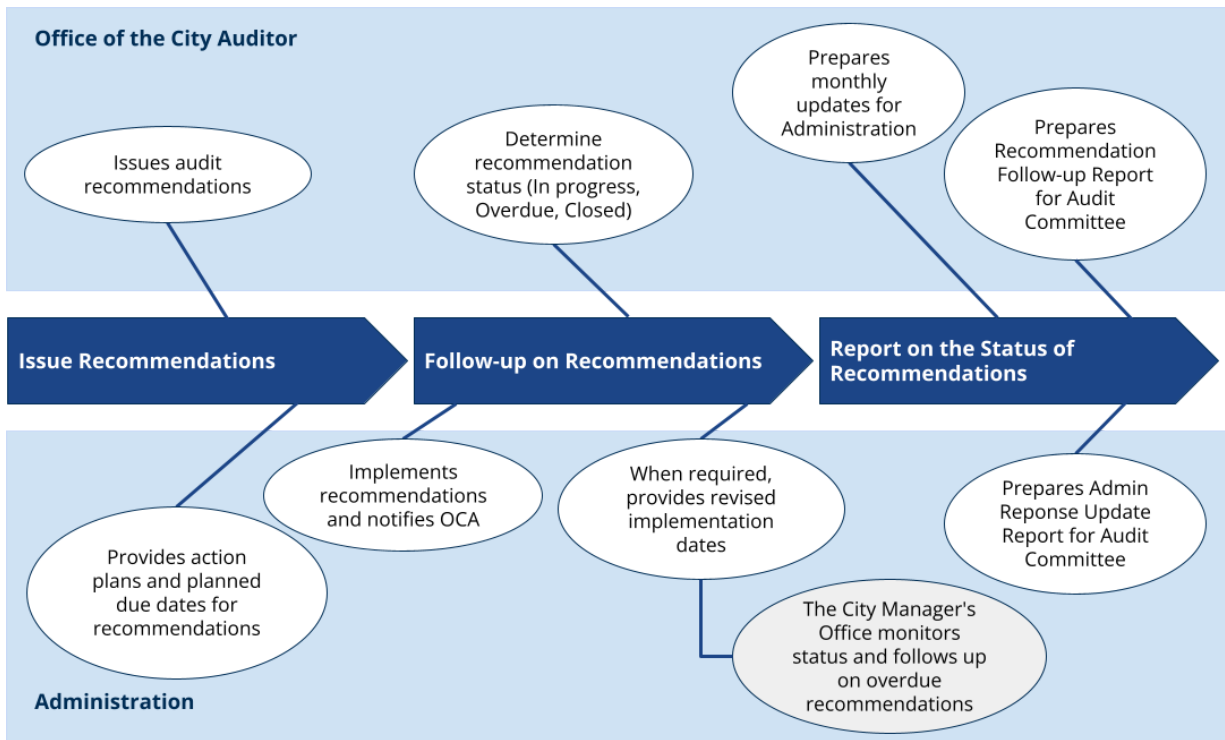
## **RECOMMENDATION FOLLOW-UP PROCESS**

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.