Winnipeg

Report to Audit Committee
Status of Audit Recommendations
Quarterly Report Card - Summary
2016 – Quarter 4

To be leaders in building public trust in our civic government

Audit Department

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Prepared: January 2017

Status of Audit Recommendations
Quarterly Report Card – 2016 Quarter 4

What is the Quarterly Report Card?

The Audit Department's work does not end when an audit report is presented to City Council. The most important component of an audit recommendation is its implementation. The Public Service provides a response to each audit recommendation in the Audit Report along with an action plan for completion. The subsequent implementation of the audit recommendations in accordance with the action plans is the responsibility of the Public Service.

The Quarterly Report Card summarizes the status of:

- the specific recommendations targeted for completion in the current quarter as indicated by the Public Service;
- the specific recommendations from each Audit report currently in progress and the target date for completion; and
- the number of Audit recommendations implemented to date.

How is the Quarterly Report Card produced?

The Audit Department provides a template of outstanding audit recommendations to the Department Director responsible for implementing the recommendations. The templates are forwarded to the Audit Department for review and compilation. Documentation supporting the implementation of recommendations is reviewed to confirm implementation has occurred. For recommendations in progress, an implementation strategy and timeframe is provided. For recommendations not to be implemented, an explanation is provided. Overall, the *Quarterly Report Card* presents management's representations as to the status of recommendations implemented, in progress or not to be implemented. The *Quarterly Report Card* is produced at the end of March, June, September and December and is presented by the City Auditor at the next Audit Committee meeting along with any observations he may have.

How long does the Audit Department follow up for?

Quarterly Report Cards are typically completed for five years following the issue date of an audit report, which may be extended as circumstances warrant. After the reporting period, the Audit Department prepares a final report to Audit Committee that provides a summary of recommendations implemented, in progress and not to be implemented. Included is a complete history of status updates relating to those recommendations not implemented. After presentation of this final report, the status of audit recommendations will no longer be tracked by the Audit Department. If there are significant concerns that cannot be satisfactorily addressed by the Public Service, the Audit Committee may propose a new audit of the subject entity.

Recommendations Targeted for Completion in 2016 Qtr 4

Audit Report	Recommendation # Targeted for Completion in Current Quarter	Revised Implementation Date
Capital Projects Management, 2009	28	2nd Qtr 2017
Traffic Signals Branch Performance Audit, 2011	14	1st Qtr 2017
Review of the Hired Equipment Process, 2012	2	4th Qtr 2017
	5	4th Qtr 2017
	6	4th Qtr 2017
	9	4th Qtr 2017
311 Contact Centre Audit, 2014	13	2nd Qtr 2017
Community By-law Enforcement Services Audit	1	-

Eight recommendations were targeted for implementation in the 4th Quarter of 2016 and one of the targeted recommendations was implemented.

Recommendations Completed in 2016 Qtr 4

Community By-law Enforcement Services Audit

Rec #1 We recommend that the Community By-law Enforcement Services Division further refine the performance measurement system by creating outcome measures and targets relating to intended outcomes for community group partnerships.
Risk Area: Information Resources
Risk Assessment: Moderate

Recommendations Not To Be Implemented in 2016 Qtr 4

None.

Recommendations in Progress as at 2016 Qtr 4

Audit Report	Recommendation #s Complete	Recommendation #s Not to be Implemented	Recommendations In Progress			
			Recommendation #s In Progress	Targeted for Completion in:		
				1st Qtr 2017	2nd Qtr 2017	3rd Qtr 2017 or later
Capital Projects Management, 2009	1, 2, 4, 5, 6	3	-			
	7, 8, 9, 10, 11, 12, 14, 15, 16, 17, 18, 19, 20, 21, 22, 23, 24, 25, 26, 27, 29	13	28		28	
Traffic Signals Branch Performance Audit, 2011	1, 2, 4, 5, 7, 8, 11, 12, 13, 15, 16, 17, 18, 19	3	6, 9, 10, 14	14	6	9, 10
Operational Review of the Winnipeg Parking Authority, 2011	2, 3, 4, 5, 6, 7, 8, 10, 11, 12, 14, 15, 16, 17, 18, 19, 20, 21, 22, 23, 24, 25, 26, 27	9, 13	1		1	
Animal Services By-law Enforcement Audit, 2011	4, 5, 6, 7, 8, 9, 10, 11, 12, 13	2	1, 3			1, 3
Review of the Winnipeg Public Library Services, 2012	2, 3, 4, 5, 6, 7, 9	8	1		1	
Review of the Hired Equipment Process, 2012	1, 3, 7, 8	-	2, 4, 5, 6, 9			2, 4, 5, 6, 9
Safety Review of Aquatics Services, 2013	1, 2, 3, 4, 5, 6, 7, 9, 10, 11, 13, 14, 15	12	8			8
Non-Monetary Real Estate Grants Audit, 2013	1, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12	-	2			2
311 Contact Centre Audit, 2014	1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12	-	13		13	
Waverley West Arterial Road Project Audit, 2014	1, 2, 3, 4, 6	-	5			5
Community By-law Enforcement Services Audit, 2015	1, 2, 3, 4	6	5			5
Emergency Mechanical Services Branch Audit, 2015	4, 6, 7, 8	-	1, 2, 3, 5, 9, 10, 11, 12, 13, 14, 15		11, 13, 14	1, 2, 3, 5, 9, 10, 12, 15
TOTAL			**30**	**1**	**8**	**21**

The Public Service has reported that one of the 30 recommendations in progress should be implemented by March 31, 2017. The status of the recommendations in progress will be the focus of our next report card.

Audit Recommendations Implemented to Date

Report	Total Report Recommendations	Recommendations Implemented		
		Total Complete	Total Recommendations Not to be Implemented	Percent Complete
Capital Projects Management, 2009	6	4	2	
	23	22		96%
Traffic Signals Branch Performance Audit, 2011	19	14	1	79%
Operational Review of the Winnipeg Parking Authority, 2011	27	24	2	96%
Animal Services By-law Enforcement Audit, 2011	13	10	1	85%
Review of the Winnipeg Public Library Services, 2012	9	7	1	89%
Review of the Hired Equipment Process, 2012	9	4		44%
Safety Review of Aquatics Services, 2013	15	13	1	93%
Non-Monetary Real Estate Grants Audit, 2013	12	11		92%
311 Contact Centre Audit, 2014	13	12		92%
Waverley West Arterial Road Project Audit, 2014	6	5		83%
Community By-law Enforcement Services Audit, 2015	6	4	1	83%
Emergency Mechanical Services Branch Audit, 2015	15	4		27%
TOTAL	**173**	**134**	**9**	**83%**

As at December 31, 2016, 134 of the 173 recommendations (83%) contained in this Report Card have been completed.