Winnipeg

Report to Audit Committee
Status of Audit Recommendations
Quarterly Report Card - Summary
2017 – Quarter 1

To be leaders in building public trust in our civic government

Audit Department

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Prepared: April 2017

Status of Audit Recommendations
Quarterly Report Card – 2017 Quarter 1

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 2017 Qtr 1

Audit Report	Recommendation # Targeted for Completion in Current Quarter	Revised Implementation Date
Traffic Signals Performance Branch Audit	14	-

One recommendation was targeted for implementation and was implemented in the 1st Quarter of 2017. An additional recommendation was implemented ahead of schedule. One recommendation was determined not to be implemented.

Recommendations Completed in 2017 Qtr 1

Traffic Signals Performance Branch Audit

Rec #14 Traffic Signals Branch management should develop a formalized signal timing review process. Resources should be reviewed to ensure adequate staffing either internally or externally exists to implement the program.

Animal Services By-law Enforcement Audit

Rec #1 We recommend that the Agency establish a comprehensive performance measurement system that provides understandable, reliable, timely, and goal-oriented information on the performance of the enforcement function in relation to the Agency's goals, and set operational targets for these measures.

Recommendations Not To Be Implemented in 2017 Qtr 1

Animal Services By-law Enforcement Audit

Rec #3 We recommend that the Agency develop a system for reporting on actual response times in comparison to service standards, track the number of incidents where resources are required, and set operational targets for these metrics.

City Auditor Comment – The implemented software solution does not provide the functionality to track the various stages of response times (call received, call attended, closed). Animal Services staff may attend some sites multiple times before an incident is closed thereby diminishing the integrity of an actual response time to service standard comparison.

Recommendations in Progress as at 2017 Qtr 1

Audit Report	Recommendation #s Complete	Recommendation #s Not to be Implemented	Recommendations In Progress			
			Recommendation #s In Progress	Targeted for Completion in:		
				2nd Qtr 2017	3rd Qtr 2017	4th 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, 14, 15, 16, 17, 18, 19	3	6, 9, 10		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	1, 4, 5, 6, 7, 8, 9, 10, 11, 12, 13	2, 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	1, 3, 11, 15	5, 9, 10, 12, 13	2, 14
TOTAL			**27**	**6**	**6**	**15**

The Public Service has reported that six of the 27 recommendations in progress should be implemented by June 30, 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	15	1	84%
Operational Review of the Winnipeg Parking Authority, 2011	27	24	2	96%
Animal Services By-law Enforcement Audit, 2011	13	11	2	100% *
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**	**136**	**10**	**84%**

As at March 31, 2017, 136 of the 173 recommendations (84%) contained in this Report Card have been completed.

* All of the recommendations from the Animal Services By-law Enforcement Audit have now been addressed.