Winnipeg

Report to Audit Committee
Status of Audit Recommendations
Quarterly Report Card - Summary
2017 – Quarter 4

To be leaders in building public trust in our civic government

Audit Department

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Prepared: January 2018

Status of Audit Recommendations
Quarterly Report Card – 2017 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 (5) 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 4

Audit Report	Recommendation # Targeted for Completion in Current Quarter	Revised Implementation Date
311 Contact Centre Audit	13	Implemented
Community By-Law Enforcement Services Audit	5	1st Qtr 2018
Non-Monetary Real Estate Grants Audit	2	2nd Qtr 2018
Operational Review of the Winnipeg Parking Authority Audit	1	Implemented
Review of the Hired Equipment Process Audit	9	2nd Qtr 2018
Emergency Mechanical Services Branch Audit *	1	4th Qtr 2017
	2	4th Qtr 2017
	3	4th Qtr 2017
	9	4th Qtr 2017
	10	4th Qtr 2017

Ten (10) recommendations were targeted for implementation and two (2) were implemented in the 4th Quarter of 2017.
No additional recommendations were implemented ahead of schedule.

* Winnipeg Fire Paramedic Service management did not provide a management update or revised implementation date for the five (5) Emergency Mechanical Services Branch Audit recommendations.

Recommendations Completed in 2017 Qtr 4

311 Contact Centre Audit

Rec #13 We recommend management consider conducting a comprehensive Customer Service Satisfaction Survey to evaluate all aspects of 311 services.

Operational Review of the Winnipeg Parking Authority

Rec #1 The WPA should establish a facility maintenance reserve or retain sufficient earnings to fund the required future maintenance of the parking facilities.

Management has a process defined for the three (3) lots under the authority of WPA. Planning, Property & Development Department has assumed responsibility for 283 parking lots but has not established a maintenance reserve targeted towards parking lots. Planning, Property & Development Department is applying the asset management principles for investment planning; however, given the current financial situation and the infrastructure deficit, the work identified by the condition assessments for parking lots is not of high enough priority to be funded at this time. Until such time as there is sufficient funding, or immediate capital needs become of higher priority over other infrastructure work, this process will remain; requests will continue to be submitted to the budget process if required.

Recommendations Not To Be Implemented in 2017 Qtr 4

None.

Recommendations in Progress as at 2017 Qtr 4

Audit Report	Recommendation #s Implemented	Recommendation #s Not to be Implemented	Recommendations In Progress			
			Recommendation #s In Progress	Targeted for Completion in:		
				4th Qtr 2017	2nd Qtr 2018	3rd Qtr 2018 or later
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	1, 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	-			
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	5	6, 9	2, 4
Safety Review of Aquatics Services, 2013	1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 13, 14, 15	12	-			
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	-	-			
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, 5, 6, 7, 8, 11, 12, 13, 14, 15	-	1, 2, 3, 9, 10			
Southwest Rapid Transitway (Stage 2) and Pembina Hwy Underpass Project Audit – Report 1	1	-	-			
TOTAL			**19**	**10**	**1**	**8**

The Public Service has reported that three (3) of the seventeen (17) recommendations in progress should be implemented by March 31, 2018. 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 Implemented	Total Recommendations Not to be Implemented	Percent Complete
Traffic Signals Branch Performance Audit, 2011	19	15	1	84%
Operational Review of the Winnipeg Parking Authority, 2011 *	27	25	2	100%
Review of the Winnipeg Public Library Services, 2012	9	7	1	89%
Review of the Hired Equipment Process, 2012	9	4		44%
Non-Monetary Real Estate Grants Audit, 2013	12	11		92%
311 Contact Centre Audit, 2014 *	13	13		100%
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	10		67%
TOTAL	**116**	**94**	**5**	**85%**

As at December 31, 2017, 94 of the 116 recommendations (85%) contained in this Report Card have been completed.

***** All of the recommendations from the Operational Review of the Winnipeg Parking Authority and 311 Contact Centre Audit, have now been addressed.