Winnipeg

Audit of Procurement for the Pedestrian and Cycling Strategies Report and Review of the Employee Code of Conduct Status of Audit Recommendations 2018 Qtr 4

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Audit Department

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Review of the Employee Code of Conduct
Status of Recommendations
2018 Qtr 4

History

A motion was made in the July 15, 2015 Council meeting that:

- "The City Auditor immediately undertake an independent review of the procurement of the contract and subcontracts related to the Pedestrian and Cycling Strategy so as to ensure that all aspects of the City of Winnipeg Code of Conduct have been upheld and to report their findings back to Winnipeg City Council"; and that

- "The City Auditor provide recommendations to City Council in the event that they find there is a need to update and modernize the City of Winnipeg Employee Code of Conduct."

On November 23, 2016, the Audit Department reported to Audit Committee and made six (6) recommendations. On December 14, 2016, City Council adopted these recommendations and requested a quarterly update on the status of recommendations.

The Public Service will provide the first status report on the implementation of recommendations from the *Review of the Employee Code of Conduct*, effective the first implementation date of the six (6) audit recommendations.

This is the status report for 2018 Quarter 4 on the implementation of six (6) recommendations from the *Review of the Employee Code of Conduct* as to which recommendations have been implemented and which are yet to be implemented. Where applicable, documentation supporting the implementation of the recommendation was reviewed by the Audit Department to confirm implementation has occurred.

Summary of Audit Recommendations

How was the Status of Audit Recommendations report produced?

The Audit Department forwards a template of the audit recommendations to the Public Service who provides status updates on the implementation of the recommendations. The completed templates are forwarded back to the Audit Department for review and compilation. The status report presents the Public Service's representations as to the status of recommendations implemented, in progress or not to be implemented at the end of 2018 Quarter 4. The Audit Department summarizes the status of implementation and prepares a brief overview for Audit Committee. Documentation supporting the implementation of recommendations is reviewed by the Audit Department 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.

AUDIT REPORT	RECOMMENDATIONS				TARGET DATE FOR COMPLETION			
	Total	Complete	Not to be implemented	Percent Complete	1st Qtr 2019	2nd Qtr 2019	3rd Qtr 2019	4th Qtr 2019 or later
Review of the Employee Code of Conduct	6	-	-	0%	4	2	-	-

Audit Observations

- The Public Service has reported that no recommendations have been implemented to date.

- At the end of 2018 Qtr 4, six (6) recommendations are in progress:

    - Four (4) recommendations are scheduled for implementation in the 1st quarter of 2019.

        - Recommendation #1 is regarding an update to the City's Employee Code of Conduct
        - Recommendation #3 is to establish a process to review and update the Employee Code of Conduct
        - Recommendation #4 is to document the ethics framework
        - Recommendation #5 is to establish a process to periodically review and update the City's Ethics Framework

    - Two (2) recommendations are scheduled for implementation in the 2nd quarter of 2019.

        - Recommendation #2 is to define the term "conflict of interest" in the Employee Code of Conduct
        - Recommendation #6 is to develop a training course for all City employees, mandated for supervisory positions, and educates employees on the City's ethics framework

The implementation dates for the six (6) recommendations were revised and were originally scheduled to be implemented in the 4th quarter of 2018.

Date: January, 2019

Recommendations In Progress – 2018 Qtr 4 Updates

No.	Recommendation	Update – 2018 Qtr 4
1	We recommend that the Public Service update the City's Employee Code of Conduct to incorporate the key characteristics for codes.	The Code of Conduct has been updated to incorporate all key characteristics. Awaiting final review by Director of HR Implementation Date: 2019 Qtr 1
2	We recommend that the Public Service revise the City's Employee Code of Conduct to define the term "conflict of interest".	Conflict of Interest has been defined. Specific information around Conflict of Interest is being outlined out in a separate Administrative Standard. Implementation Date: 2019 Qtr 2
3	We recommend that the Public Service establish a process to review and update the Employee Code of Conduct going forward to ensure it continues to be current and relevant.	The annual review process has been outlined in the Code and approval to delegate authority to the CAO will be requested. Implementation Date: 2019 Qtr 1
4	We recommend that the Public Service: a) Create a formally documented ethics framework for the Public Service. b) Ensure that the framework includes all of the key components for ethics frameworks c) Document the linkages between all of the key components of the ethics framework d) Communicate the ethics framework to all Public Service employees	The key components for ethics frameworks are being documented and the linkages to other programs, policies and documents have been outlined. The ethics framework has been drafted and will be communicated to all Public Service employees alongside the Code of Conduct document and the online learning module, which be implemented upon final approval. Implementation Date: 2019 Qtr 1
5	We recommend that the Public Service establish a process to periodically review and update the City's Ethics Framework going forward to ensure it continues to be current and relevant.	The ethics framework will be reviewed annually and updated as required to ensure it remains current and relevant. Implementation Date: 2019 Qtr 1

6	We recommend that the Public Service develop a training course that is made available to all City employees, and that is mandated for supervisory positions, that educates employees on the City's ethics framework.	A mandatory online training course will be rolled out alongside the Code of Conduct to educate employees on the Code of Conduct and the City's ethics framework. Implementation Date: 2019 Qtr 2

Recommendations Implemented – 2018 Qtr 4

No recommendations were implemented in this quarter.

Recommendations Implemented – Previous Quarters

No recommendations were implemented in the previous quarters.