City of Winnipeg – Audit Department

Quarterly Report Card – Audit Recommendations

2020 – Quarter 3 Summary

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Quarterly Report Card– 2020 Quarter 3- Summary

Audit Recommendations

Once an Audit is complete, the next step is implementation of the recommendations. The Audit Department provides a list of the audit recommendations to the Public Service Director of the department that was audited. The Public Service prepares an action plan and target for completion date. The implementation of the audit recommendations is the responsibility of the Public Service.

The Public Service provides status updates quarterly for all recommendations. For recommendations in progress this includes a target completion date. Documentation supporting implementation and progress is reviewed by the Audit Department for confirmation. If the Public Service indicates that a recommendation will not be implemented, residual risk is identified and discussed with the Department and reported to Audit Committee.

After presentation to the Audit Committee these are posted at: Audit Quarterly Reports

The Quarterly Report Card summarizes the status of:

- recommendations targeted for completion in the current quarter (as indicated by the Public Service)
- recommendations currently in progress and the target date for completion
- the number of recommendations implemented to date

Quarterly reports are typically completed for five years following the issue date of an audit report.

Recommendations in Progress –2020 Quarter 3

Audit Report	Recommendation numbers implemented	Recommendation numbers not to be implemented	Recommendation numbers in Progress	Target dates for implementation of recommendations in progress					
				2020 Qtr 4	2021 Qtr 1	2021 Qtr 2	2021 Qtr 3	2021 Qtr 4	2022 Qtr 1 & beyond
By-Law Amalgamation Audit, 2018	-	-	1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11	8, 9, 10,	11			1, 3, 4, 5, 6	2, 7
Independent Fairness Commissioner-Summary Report Recommendations-July2019	1.1, 1.2, 1.4, 1.5, 1.8, 1.10, 1.11, 2.1, 2.3, 3.1 ,4.1, 4.2,5.3, 5.4, 5.5	1.3, 1.6, 2.2, 5.2	1.7*, 1.9, 5.1*,	1.7* 5.1*	1.9**				
Legal Services Department Audit, 2018	1, 2, 5, 6, 8, 9	-	3, 4, 7	3, 7		4			
Non-Monetary Real Estate Grants Audit, 2013	1, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12	-	2	2					
Safety Review of the City of Winnipeg Outdoor Aquatic Facilities Audit, 2018	1, 3, 4, 5, 7, 8, 9, 10, 11,12, 13, 21, 23, 25, 26,27, 28, 29, 30, 32 36	6, 16 ,17, 19, 24, 34	2, 14, 15,18, 20, 22, 31, 33, 35,	2, 18		14,15, 20, 22, 31,33, 35			
William R. Clement Parkway / Sterling Lyon Parkway Extension Project Audit, 2018	1, 3, 4, 5, 6, 7, 11, 13, 15	-	2, 8, 9, 10, 12, 14,	2		8, 9, 10, 12, 14			
TOTAL	**62**	**10**	**33**	**11**	**2**	**13**		**5**	**2**

*1.7/*5.1 PPD has developed client questionnaires , to date no client requests have been processed for this type of transaction
**1.9 is under review by Legal Services.

Safety Review of the City of Winnipeg Outdoor Aquatic Facilities Audit, 2018	
Outdoor aquatic facilities operate for a short season, recommendations that were reported as implemented in 2020 Quarter 2 were subject to confirmation by the Audit Department in 2020 Qtr 3. Recommendations said to be implemented that could not be confirmed by the Auditor will be reviewed in 2021 Qtr 3.	
Recommendation:	**Action:**
1. Ensure that facility first aid kits are stocked to the level required by regulation at all times. Review and revise policies and procedures around the checking and stocking of first aid kits. (Manitoba Regulation P210 - 132/97, Section 10 [1] and Schedule B) Lead: Aquatic Services Division	Audit confirmed that management has developed the required policy/procedure. Upon site inspection, the Auditor was unable to confirm employee compliance. Management advises that they have addressed the performance issues of non-compliance. The Audit Department requested that Management monitor employee compliance and take appropriate action as required.
4. Add a pool outlet/drain cover check to the operating procedures for all outdoor pools, and ensure that these checks are conducted and logged at least once a month. Lead: Planning Property & Development	PPD added to Computer Maintenance Management System (CMMS) or Maximo to generate a work order, which will require a response. The Auditor confirmed implementation.
11. Complete a full review of lifeguard coverage zones in the facility. Conduct a review of all facility positioning, scanning and rotation charts at all outdoor pools to ensure that they are effective tools to advise employees of the areas of responsibility and coverage. ~~2.~~ Lead: Aquatic Services Division	Audit confirmed that management has developed the required policy/procedure. Upon site inspection, the Auditor was unable to confirm employee compliance. Management advises that they have addressed the performance issues of employee non-compliance. The Audit Department requested that Management monitor employee compliance and take appropriate action as required.
12. Review procedures on how employee's certifications/training records are recorded, stored and maintained. (Manitoba Regulation P210 – 132/97, Section 12 [2] & Manitoba Regulation P210 – 132/97, Section 43) Lead: Aquatic Services Division	Management updated the Qualification template used to track employee's certifications/training records. The Auditor confirmed that the template for recording qualifications was updated to reference the appropriate expiry date to be recorded. This

	template was not used for hour selection for the summer of 2020 as qualifications were extended due to Covid-19.
13. Develop site specific procedure manuals for all outdoor pools and wading pools. (Manitoba Regulation P210 – 132/97, Section 23.1) Lead: Aquatic Services Division	Site specific procedure manuals have been implemented. The Auditor confirmed implementation
26. Review safety precautions for metal hatches/panels located on the pool deck. (Manitoba Regulation P210 – 132/97, Section 8(2)) Lead: Planning, Property and Development	'Place Mats on the metal drain cover' was added to the daily checklist and the Auditor confirmed implementation.
30. Ensure that all cylinders of compressed gas are secured against falling over. (Manitoba Regulation W210 – 217/2006, Section 19.10)	'Confirm that compressed gas cylinders are properly secured' was added to the daily checklist and the Auditor confirmed implementation.

Independent Fairness Commissioner-Summary Report Recommendations-	
Recommendation	**Action**
Section 3: Certain types of transactions were not specifically contemplated within the Compliance Framework. 3.1 These transaction types should be reviewed in light of the RETMF as well as other applicable City by-laws, policies, and procedures to determine the appropriate criteria to ensure a Transaction is completed in a fair, transparent and open manner. Management should formalize and document these criteria through an amendment to the Compliance Framework.	Evaluation criteria was developed, the Real Estate Branch developed checklists for transaction types not considered by the RETMF –these checklists are currently in use.
5.3 Certain aspects of the RETMF require further clarification The RETMF competitive procurement guidelines in Appendix D and F should be reviewed by PP&D, and revised to ensure that these elements of compensation are appropriately analyzed and disclosed to decision makers.	The acquisition checklist has been updated to identify how the compensation was estimated and that the source is disclosed in the Administrative Report.

Recommendations Targeted for Completion in 2020 Quarter 3:

Audit Report	Recommendation # Targeted for Completion in Quarter 3	Revised implementation date
Independent Fairness Commissioner-Summary Report Recommendations-July2019	1.7	PPD has developed client questionnaires, no client requests have been processed for this type of this type of transaction
Independent Fairness Commissioner-Summary Report Recommendations-July2019	5.1	PPD has developed client questionnaires, no client requests have been processed for this type of this type of transaction
Non-Monetary Real Estate Grants Audit, 2013	2	2020 Qtr 4
Safety Review of the City of Winnipeg Outdoor Aquatic Facilities Audit, 2018	2	2020 Qtr 4
Safety Review of the City of Winnipeg Outdoor Aquatic Facilities Audit, 2018	14	2021 Qtr 2
Safety Review of the City of Winnipeg Outdoor Aquatic Facilities Audit, 2018	15	2021 Qtr 2
Safety Review of the City of Winnipeg Outdoor Aquatic Facilities Audit, 2018	18	2021 Qtr 2
Safety Review of the City of Winnipeg Outdoor Aquatic Facilities Audit, 2018	22	2021 Qtr 2
Safety Review of the City of Winnipeg Outdoor Aquatic Facilities Audit, 2018	31	2021 Qtr 2
Safety Review of the City of Winnipeg Outdoor Aquatic Facilities Audit, 2018	33	2021 Qtr 2

Summary of Audit Recommendations

Report	Number of Recommendations	Recommendations Implemented	Recommendations Not to be Implemented	Percent Complete
By-Law Amalgamation Audit, 2018	11			0%
Independent Fairness Commissioner-Summary Report Recommendations-July2019	22	15	4	86%
Legal Services Department Audit, 2018	9	6		66%
Non-Monetary Real Estate Grants Audit, 2013	12	11		92%
Safety Review of the City of Winnipeg Outdoor Aquatic Facilities Audit, 2018	36	21	6	75%
William R. Clement Parkway/Sterling Lyon Parkway Extension Project Audit, 2018	15	9		60%
TOTAL	**105**	**81**	**11**	**63%**