City of Winnipeg – Audit Department

Implementation of Audit Recommendations Report
2021 – Quarter 4

For more information visit: Winnipeg.ca/audit

Implementation of Audit Recommendations Report- 2021 Quarter 4 - 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

February 2022: Quarterly Report on the Implementation of Audit Recommendations for the period ending December 31, 2021

This report summarizes the status of:

- the number of recommendations implemented to date
- the number of recommendations that will not be implemented
- implementation of recommendations currently in progress and the target date for completion

Summary of the Implementation of Audit Recommendations at December 31, 2021

	Number of Recommendations				
Open Audit Report	**Total**	**Implemented**	**In Progress**	**Not to be Implemented**	**Percent Complete**
New report: Automatic Vehicle Locator Investigation-June21	6	1	5		17%
New report: Board Of Revision Audit - June 2021	18	1	17		5%
Business Improvement Zone Governance Review 2021	1		1		0%
By-Law Amalgamation Audit, 2018	11		11		0%
ContractVendorManagementAudit2020	9	1	8		11%
Final Report: Independent Fairness Commissioner-Summary Report Recommendations-July2019	22	18	0	4	100%
New report Municipal Cemeteries Investigation June 2021	7	6	1		85%
William R. Clement Parkway/Sterling Lyon Parkway Extension Project Audit, 2018	15	10	5		66%
TOTAL Recommendations in open reports	**89**	**37**	**48**	**4**	
Final reports were issued in 2021 for the following reports that were closed in 2021					
ContinuousMonitoring-AdvisoryReportApril2020	1	1			100%
Safety Review of the City of Winnipeg Outdoor Aquatic Facilities Audit, 2018	36	30		6	100%
NewFireParamedicStationsConstructionProject,2013	14	13		1	100%
WinnipegPoliceServiceHeadquartersConstructionProject2014	19	19			100%
Non-Monetary Real Estate Grants Audit, 2013	12	12			100%

Recommendations implemented and confirmed in 2021 Qtr 4

Documentation supporting the implementation was reviewed and confirmed by the City Auditor.

Independent Fairness Commissioner-Summary Report Recommendations-July2019		
1.9	The terms and conditions template provided by Legal Services for use in these Transactions should be reviewed with Management to ensure the objectives of the RETMF are met, and to ensure the corresponding evidence required is retained within file documentation.	Legal Services updated the terms and condition template – the updated template was reviewed by the IFC and PP&D and subsequently implemented by PP& D.

Municipal Cemeteries Investigation June 2021		
2.	We recommend that the Branch work with PP&D Human Resources to ensure all job descriptions are updated as required. The updates should be communicated with staff so they are aware of their current roles and responsibilities.	All job descriptions are up to date and in line with the current duties and responsibilities for all positions.
3	We recommend that the Branch evaluate the current organization structure and job descriptions to ensure proper oversight is provided to all office staff.	The Cemeteries Administrator has implemented an oversight strategy for office staff to ensure accuracy of work and identify potential issues.

4.	We recommend that the Branch work with PP&D Human Resources to ensure a process is implemented so that annual performance reviews are completed for all staff.	A process is in place so that annual performance reviews will be completed for all staff.
5.	We recommend the Branch work with PP&D Human Resources to ensure a process is implemented to communicate all safety concerns to the direct supervisor in written form.	Working with the PPD Safety Officer a process has been implemented that all safety concerns will be documented in writing. All conversations between the Safety Officer and Cemeteries supervisors will be documented in a follow up email.
6.	We recommend that the Branch develop a process to track the amount of time spent entering information into the system, and to evaluate the opportunity to dedicate existing resources to enter the remaining information into the system during the off-season with specific data entry targets.	The Cemeteries Branch began entering information for Brookside Cemetery into Stone Orchard in June 2021. In December 2021, the Branch began entering information for Section D10 and tracked the amount of time that was is being taken to enter information. Based on this effort, it has been estimated that it will take approximately 13 years to complete the entering of Brookside information. The Branch has also set targets and is tracking progress against said targets. There are no immediate plans to dedicate existing resources to this task as there is no spare capacity within the Branch.
7.	We recommend that the Branch develop a plan to fully implement Stone Orchard. This could include evaluating opportunities for seasonal, part-time, or temporary staff to support system data entry.	A plan is in place to complete data entry for Brookside Cemetery, which would then allow the Branch to fully utilize Stone Orchard. Brookside Cemetery was activated in Stone Orchard in June 2021. To date, 27 sections have been entered and are fully operational. As data is prepared and completed for other sections, it will be added to Stone Orchard. This process is expected to take approximately 13 years with current resources. There is currently no budget for additional resources to assist with this task though the Branch remains open to opportunities to expedite this process should resources become available to assist with this work.

Recommendations Targeted for Completion in 2021 Quarter 4:

Implementation dates are revised by the public service for a variety of reasons. Delays can be attributed to external factors such as the pandemic and conflicting priorities. Explanations for the delays are reviewed by the City Auditor to confirm that they are reasonable.

Audit Report	**Recommendation # Targeted for Completion in Quarter 4**	**Revised implementation date**
BusinessImprovementZoneGovernanceReview 2021	1	2022 Qtr 1
William R. Clement Parkway / Sterling Lyon Parkway Extension Project Audit, 2018	8	2022 Qtr 1
William R. Clement Parkway / Sterling Lyon Parkway Extension Project Audit, 2018	9	2022 Qtr 1
William R. Clement Parkway / Sterling Lyon Parkway Extension Project Audit, 2018	10	2022 Qtr 1
William R. Clement Parkway / Sterling Lyon Parkway Extension Project Audit, 2018	12	2022 Qtr 1
William R. Clement Parkway / Sterling Lyon Parkway Extension Project Audit, 2018	14	2022 Qtr 1

Recommendation numbers in Progress – 2021 Quarter 4

Implementation status updates were provided by management and were reviewed by the City Auditor.

Audit Report	Recommendation numbers already implemented	Recommendation numbers in progress	Recommendation numbers not to be implemented	Target dates for implementation of recommendations in progress			
				2022 Qtr 1	2022 Qtr 2	2022 Qtr 3	2022 Qtr 4 & beyond
New report: Automatic Vehicle Locator Investigation-June 2021	1	2, 3, 4, 5, 6		2, 3	4, 5		6
New report: Board Of Revision Audit - June 2021	7	1,2,3,4,5,6,7,8,9, 10,11,12,13,14, 15,16,17,18		1,2,3,4, 5,6,16	7,8,9,10 11,12,13, 14,15,17, 18		
Business Improvement Zone Governance Review 2021		1		1			
By-Law Amalgamation Audit, 2018		1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11					1,2,3,4, 5,6,7,8, 9,10,11
New report Municipal Cemeteries Investigation – June 2021	2, 3, 4, 5, 6, 7	1		1			
Contract Vendor Management Audit 2020	1	2, 3, 4, 5, 6, 7, 8, 9			2	3, 4, 5, 6, 8, 9	7
William R. Clement Parkway / Sterling Lyon Parkway Extension Project Audit, 2018	1, 2, 3, 4, 5, 6, 7, 11, 13, 15	8, 9, 10, 12, 14,		8,9,10 12,14			
TOTAL	**19**	**49**		**16**	**14**	**6**	**13**