City of Winnipeg – Audit Department

Implementation of Audit Recommendations Report
2022 – Quarter 3

For more information visit: Winnipeg.ca/audit

Implementation of Audit Recommendations Report- 2022 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: Implementation of Audit Recommendations Reports

November 2022: Quarterly Report on the Implementation of Audit Recommendations for the period ending September 30, 2022

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 September 30, 2022

	Number of Recommendations				
Audit Reports	**Total**	**Implemented**	**In Progress**	**Not to be Implemented**	**Percent Complete**
Automatic Vehicle Locator Investigation June 2021	6	1	5		17%
Board of Revision Audit - June 2021	18	16	2		88%
By-Law Amalgamation Audit, 2018	11		11		0%
Contract Vendor Management Audit 2020	9	2	7		22%
Final report William R. Clement Parkway/Sterling Lyon Parkway Extension Project Audit, 2018	15	15			100%
	59	34	25		57%

Recommendations implemented and confirmed in 2022 Qtr 3

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

	Board of Revision Audit - June 2021	
8.	We recommend the Appeals Manager and the Chair of the Board develop a process to utilize and analyze the data in AACS to assist with the monitoring of hearings and the evaluation of Board performance. The data in AACS should also be assessed and the Chair of the Board should utilize, at a minimum, the following performance information for targeting the monitoring of board member performance and the performance of the Board: •Board panel Chairs who preside the majority of the hearings; •Decisions made by the Board that have been appealed to the Municipal Board; •Properties that have appealed their assessed value over a number years.	The Appeals Manager has initiated with IT to grant AACS access to the Chair (non-staff). The Chair and Vice-Chair have started to monitor random hearings and will provide feedback to members (as required). The applicable section(s) have been updated in the Board of Revision Practices and Procedures manual Section 2.8 C., 2.9 D and 2.16 (adopted by Council March 24, 2022). Council Minutes - March 24, 2022 The process as recommended by the Audit Department is on-going.

	William R. Clement Parkway/Sterling Lyon Parkway Extension Project Audit, 2018	
8.	The Chief Administrative Officer should ensure that appropriate guidance is included in the Project Management Manual that would identify when public engagement should be part of a project and develop a minimum set of communications, activities and events that should occur for a capital project. This set of communications, activities and events should be adjusted to reflect the size and sensitivity of the project.	The Infrastructure Planning, Project Management Manual v4 contains guidance on Public Engagement including when public engagement is required, as well as a set of communications, activities and events. The manual is posted at: Project Management Manual Version 4.0 (June 2019) The Engage Winnipeg Policy delineates a list of when public engagement must be undertaken as well as the Principles of Engagement. City of Winnipeg Policy No. CO-013 Engage Winnipeg Policy
9.	The Chief Administrative Officer should direct the Office of Public Engagement to develop guidance and criteria for the Project Management Manual that discuss the requirement to document the process for incorporating public feedback and input received through public engagement activities in the decision-making process for capital projects. The process for incorporating feedback may cover a broad spectrum and should be tailored to the type of project.	The Infrastructure Planning, Project Management Manual v4 contains guidance and criteria on Public Engagement including incorporating public feedback and input in the decision-making process. The manual is posted at: Project Management Manual Version 4.0 (June 2019) Additional information is available in the: City of Winnipeg Policy No. CO-013 Engage Winnipeg Policy

10.	The Chief Administrative Officer should direct the Office of Public Engagement to develop guidance for the Project Management Manual which discuss the requirement to communicate to the public how feedback obtained through public engagement activities will be and was used in the decision-making process.	The Infrastructure Planning, Project Management Manual v4 contains guidance on how public feedback should be obtained in cooperation with the Office of Public Engagement including communication about its use in the decision-making process. The manual is posted at: Project Management Manual Version 4.0 (June 2019) Additional information is available in the: City of Winnipeg Policy No. CO-013 Engage Winnipeg Policy
12.	The Chief Administrative Officer should direct the Office of Public Engagement to develop guidance in the Project Management Manual to define the approval process for public engagement materials.	An administrative standard was implemented in July 2022 outlining the Application of the Engage Winnipeg Policy -approval process for public engagement materials in accordance with City of Winnipeg Policy No. CO-013 Engage Winnipeg Policy
14.	The Chief Administrative Officer should direct the Office of Public Engagement to develop criteria for determining when a neutral facilitator would be appropriate for public engagement on a project, and include the criteria in the Project Management Manual guidance.	An administrative standard was implemented in July 2022 outlining the Application of the Engage Winnipeg Policy -including when a neutral facilitator is required. City of Winnipeg Policy No. CO-013 Engage Winnipeg Policy

Recommendations Targeted for Completion in 2022 Quarter 3:

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 Acting City Auditor to confirm that they are reasonable.

Audit Report	**Recommendation # Targeted for Completion in Quarter 3**	**Revised implementation date**
Board of Revision Audit - June 2021	9	2022 Qtr 4
Contract Vendor Management Audit 2020	2	2022 Qtr 4

Recommendation numbers in Progress – 2022 Quarter 3

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

Audit Report	Recommendation numbers already implemented	Recommendation numbers in progress	Recommendation numbers not to be implemented	Implementation target date			
				2022 Qtr 4	2023 Qtr 1	2023 Qtr 2	2023 Qtr 3 & beyond
Automatic Vehicle Locator Investigation June 2021	1	2, 3, 4, 5, 6		2, 3, 4, 5 ,6			
Board Of Revision Audit - June 2021	1, 2, 3, 4, 5 6,7,8, 10, 11,12, 13,14, 15, 16, 18	9, 17		9	17		
By-Law Amalgamation Audit, 2018		1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11			8, 9, 11	1, 3, 4, 5, 6,10,	2, 7,
Contract Vendor Management Audit 2020	1, 5	2, 3, 4, 6, 7, 8, 9		2, 6, 7, 8, 9	3, 4		
TOTAL	**19**	**25**		**11**	**6**	**6**	**2**