City of Winnipeg – Audit Department

Implementation of Audit Recommendations Report
2022 – Quarter 4

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

This report summarizes the status of Implementation of Audit Recommendations for the period ending December 31, 2022.:

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

Summary of the Implementation of Audit Recommendations at December 31, 2022

	Number of Recommendations				
Audit Reports	**Total**	**Implemented**	**In Progress**	**Not to be Implemented**	**Percent Complete**
Automatic Vehicle Locator Investigation -June 2021	6	3	3		50 %
Board of Revision Audit - June 2021	18	16	2		88%
By-Law Amalgamation Audit - June 2018	11	0	11		0%
Contract Vendor Management Audit - December 2020	9	6	3		66%
New report Fleet Management Audit -June 2022	10	0	10		0%
New report Intersection Signal Infrastructure Investigation - September 2022	3	0	3		0%
New report Urban Forestry Branch Investigation - September 2022	8	2	6		25%
New report Water and Waste Dept Investigation - Brady Road Resource Management Facility - August 2022	4	1	3		25%
Totals	69	28	41		60%

Recommendations implemented and confirmed in 2022 Qtr 4

Documentation supporting the implementation was reviewed and confirmed by the Audit Department.

Automatic Vehicle Locator Investigation - June 2021		
2.	That the Chief Administrative Officer should ensure that the contract administrator assigned to the citywide AVL program is in the most optimal position to monitor the performance of the contract.	The contract administrator assigned to the citywide AVL program is the Manager, Innovation & Technology, Public Works.
3.	That the Chief Administrative Officer designate and delegate authority to a corporate program owner to enable departmental accountability for AVL use and outcomes.	Delegation of authority to be the corporate program owner is the General Manager, Winnipeg Fleet Management Agency (Special Operating Agency).

Contract Vendor Management Audit - December 2020		
2.	We recommend that the Chief Administrative Officer develop, communicate, and make accessible a list of the key roles and responsibilities for post-award administration of contracts for goods and/or services. The topics included in Appendix 4 should serve as a basis for the minimum content of a roles and responsibilities listing.	A Contract Administrators Goods and Services Manual has been developed. The Manual will be posted online and a notice to employees will be provided in 2023 Qtr 1.
6.	We recommend that the Chief Administrative Officer develop, communicate, and make accessible a list of the key roles and responsibilities that include oversight of contract/vendor performance for post-award administration of contracts for goods and/or services.	A Contract Administrators Goods and Services Manual has been developed. Contract Administrator responsibilities are detailed in the manual. The Manual will be posted online and a notice to employees will be provided in 2023 Qtr 1.

8.	We recommend that the Chief Administrative Officer establish a process to increase awareness of the recently developed Conflict of Interest Policy for all City of Winnipeg staff.	A Contract Administrators Goods and Services Manual has been developed. The manual contains a section detailing the Conflict of Interest Policy. The Manual will be posted online and a notice to employees will be provided in 2023 Qtr 1.
9.	We recommend that the Chief Administrative Officer develop, communicate, and make accessible a list of the key roles and responsibilities to guide contract administrators in the proper payment process.	A Contract Administrators Goods and Services Manual has been developed. The manual contains a section detailing proper payment processes. The Manual will be posted online and a notice to employees will be provided in 2023 Qtr 1.

Recommendations implemented early and confirmed in 2022 Qtr 4

Urban Forestry Branch Investigation September 2022		
4.	We recommend that the Branch perform annual performance reviews for all Branch employees.	The annual performance review has been implemented. To be confirmed by the Acting City Auditor in 2023 Qtr 1.
6.	We recommend that Corporate Human Resources develop additional guidance within City's COI Policy specifically related to workplace relationships. The Policy should include specific disclosure requirements (written confirmation), the process to address the conflicts of interest or how perceived conflicts of interests will be managed, employee support, and disciplinary actions if the policy is breached.	An updated Conflict of Interest Policy was tabled at EPC on February 14, 2023. EPC Agenda - February 14, 2023

Water and Waste Dept Investigation - Brady Road Resource Management Facility - August 2022		
3.	We recommend for the Corporate Human Resource Services Department to review letter templates annually (or as appropriate) to ensure alignment with the current union agreements or other governing authorities. Specifying the dates of the latest template version may help identify templates that require updating in the future.	A standardized rehired letter of offer and term extension letter has been created, it has been circulated and posted for use.

Recommendations Targeted for Implementation in 2022 Quarter 4:

Implementation dates are revised by the public service for a variety of reasons. Delays can be attributed to internal or external factors; the delays are reviewed by the Audit Department to confirm that they are reasonable.

Audit Report	**Recommendation # Targeted for Completion in Quarter 4**	**Revised implementation date**
Automatic Vehicle Locator Investigation - June 2021	**4**	**2023 Qtr 1**
Automatic Vehicle Locator Investigation- June 2021	**5**	**2023 Qtr 2**
Automatic Vehicle Locator Investigation- June 2021	**6**	**2023 Qtr 2**
Board of Revision Audit - June 2021	**9**	**2023 Qtr 2**
Contract Vendor Management Audit – December 2020	**7**	**2023 Qtr 1**

Recommendation numbers in Progress – 2022 Quarter 4

Implementation status updates were provided by management and were reviewed by the Audit Department.

	Audit Report	Recommendation numbers already implemented	Recommendation numbers in progress	Recommendation numbers not to be implemented	Target quarter for implementation				
					2023 Qtr 1	2023 Qtr 2	2023 Qtr 3	2023 Qtr 4	2024 Qtr 1 & Beyond
	Automatic Vehicle Locator Investigation - June 2021	1, 2, 3	4, 5, 6		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 - June 2018		1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11		8, 9,10		1,3,4,5, 6, 11	2	7
	Contract Vendor Management Audit – December 2020	1, * 2, 5, *6, *8, * 9	3, 4, 7		7	3, 4			
New Reports this Quarter	Fleet Management Audit - June 2022		1, 2, 3, 4, 5, 6, 7, 8, 9, 10		4			1, 2, 3, 6	5, 7, 8, 9, 10
	Intersection Signal Infrastructure Investigation - September 2022		1, 2, 3,		2		3		1
	Urban Forestry Branch Investigation – September 2022	*4, *6	1, 2, 3, 5, 7, 8		3, 5	1, 7, 8			2
	Water and Waste Dept Investigation - Brady Road Resource Management Facility - August 2022	3	1, 2, 4		2		4		1
	Totals	28	41	0	12	6	8	6	9

*to be confirmed by the Audit Department in 2023 Qtr 1