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Automatic Vehicle Locator Investigation (published June 2021) - Status of Audit Recommendations at June 30, 2025

winnipeg.ca/audit/pdfs/reports/2022/AutomaticVehicleLocatorInvestigation.pdf

	Status	Initial target for Implementation	Revised Target for Implementation	Implementation Date	Initial Implementation Plan	Evidence of implementation reviewed by Audit Department
Recommendation #1 That the Chief Administrative Officer establish a team of department stakeholders, comprised of operational and technical representatives currently using an AVL system, to reassess the suitability of the citywide AVL system to achieve the intended benefits of the program.	Implemented	2021 Quarter 4	n/a	2021 Quarter 4	Agreed. The Office of the CAO will establish an AVL working group to assess accordingly.	Working group established Q4 2021. Members include: CAO; Director of Public Works; General Manager of Fleet SOA; Director of Water & Waste; Director of Asset and Project Management; Manager of Municipal Accommodations. Meeting monthly as required.
Recommendation # 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.	Implemented	2022 Quarter 1	2022 Quarter 4	2022 Quarter 4	Agreed. The CAO will ensure that the interdepartmental AVL working group reviews and makes a recommendation for CAO consideration on the appropriate designation of the contract administrator, including how best to position that person to monitor the performance of the contract.	The contract administrator assigned to the citywide AVL program is the Manager, Innovation & Technology, Public Works.
Recommendation # 3 That the Chief Administrative Officer designate and delegate authority to a corporate program owner to enable departmental accountability for AVL use and outcomes.	Implemented	2022 Quarter 1	2022 Quarter 4	2022 Quarter 4	Agreed. The CAO will ensure that the interdepartmental AVL working group reviews and makes a recommendation for CAO consideration on the designation of a corporate program owner.	Delegation of authority to be the corporate program owner is the General Manager, Winnipeg Fleet Management Agency (Special Operating Agency).
Recommendation # 4 That the Chief Administrative Officer establish a ‘stand-alone’ AVL policy to define citywide AVL minimum standards that are applicable to all departments participating in the program. Citywide minimum standards should include: o Minimum requirements for the AVL device threshold settings that prompt notification to a monitoring employee, and are the basis for generation of an exception report; o Acceptable practices for access to AVL data that is not prompted by an exception report, or employee performance investigation; o A standardized process for adding or removing employee access to the AVL system database to enhance data security;	Implemented	2022 Quarter 2	2024 Quarter 2	2024 Quarter 2	Agreed. The CAO will ensure that the interdepartmental AVL working group prepares a draft “stand-alone” AVL policy for CAO consideration.	The Administrative Standard AS-020 has been implemented and communicated to all affected departments. The document is posted on the City’s intranet for all employees. Included in the Admin Standard are: Minimum requirements for AVL settings that will prompt a notification of an exception report. A process for access to AVL data, including training in the correct use of AVL data. A process for adding or removing AVL department employee access.
Recommendation # 5 That the Chief Administrative Officer review the AVL Letter of Understanding and communicate guidance on access and use of AVL information to support the achievement of the City’s AVL program objectives.	Implemented	2022 Quarter 2	2024 Quarter 2	2024 Quarter 4	Agreed. The CAO will review the AVL Letter of Understanding and communicate the recommended guidance.	The Administrative Standard AS-020 has replaced the AVL Letter of Understanding.

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Recommendation # 6 That the Chief Administrative Officer, or delegate, establish and communicate specific, measurable, attainable, relevant, and time-bound (SMART) goals for all intended outcomes of the AVL program.	In Progress	2022 Quarter 4	2026 Qtr 1	n/a	Agreed. The CAO will ensure that SMART goals are established and communicated as recommended.	n/a

TOTAL RECOMMENDATIONS	6
Implemented	5
In progress	1

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By-Law Amalgamation Audit (published June 2018) - Status of Audit Recommendations at June 30 , 2025
winnipeg.ca/audit/pdfs/reports/2018/BylawAmalgamationAuditJune2018.pdf

	Status	Intial target for implementation	Revised target for implementation	Implementation Date	Initial Implementation Plan	Evidence of implementation reviewed by Audit Department
Recommendation #1 We recommend that the Chief Administrative Officer develop a corporate strategy and directive that defines corporate goals and objectives for by-law enforcement, that establishes a base level of expectations on how enforcement is to be carried out, and that promotes a consistent enforcement approach throughout the City. The intent of the goals and objectives is to measure service performance and not to establish compliance quotas.	In progress	2019 Qtr 4	2025 Qtr 3	n/a	A working group will be initiated to develop a draft corporate strategy and administrative directive for review and approval of the Chief Administrative Officer. The draft strategy and administrative directive will be completed and approved for implementation within one year. A communication plan will also accompany the strategy that outlines key messages and delivery mechanisms on how the by-law enforcement change will be communicated to affected staff within departments and Special Operating Agencies. Department heads and Special Operating Agency Chief Operating Officers (COOs) will identify a single representative to participate on the working group. An internal resource, or external consultant, will need to be identified to lead this effort.	n/a
Recommendation #2 We recommend that the Chief Administrative Officer communicate the corporate strategy and directive to all departments and their respective by-law enforcement areas.	In progress	2020 Qtr 1	2025 Qtr 3	n/a	Upon completion of developing a corporate strategy and directive that defines corporate goals and objectives for by-law enforcement, an administrative directive will be circulated to all departments and Special Operating Agencies. The communications plan will be deployed to ensure all required staff understands the change in by-law enforcement approach, how it affects them directly, and expectations to monitor ongoing compliance and success of the new approach.	n/a
Recommendation #3 We recommend that the Chief Administrative Officer establish a process to periodically review and update the City's corporate strategy and directive for by-law enforcement to ensure it remains appropriate and effective. This periodic review should include an assessment of fine structures and levels for appropriateness and effectiveness in achieving by-law enforcement objectives.	In progress	2019 Qtr 4	2025 Qtr 3	n/a	The administrative directive for the corporate by-law enforcement strategy will include a timeline for when a review and update of the strategy will take place.	n/a
Recommendation #4 We recommend that the Chief Administrative Officer include key goals and objectives in the corporate by-law enforcement strategy.	In progress	2019 Qtr 4	2025 Qtr 3	n/a	The corporate by-law enforcement strategy will include key goals and objectives to assess performance of enforcement areas across the City. The goals and objectives will be aligned to expected levels of service relative to the service delivered by the respective departments and Special Operating Agencies. For clarity, the goals and objectives will be specific to the success of the by-law enforcement approach but will not include targets for enforcement related activities such as targets for number of penalty notice/tickets issued.	n/a

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	Status	Intial target for implementation	Revised target for implementation	Implementation Date	Initial Implementation Plan	Evidence of implementation reviewed by Audit Department
Recommendation #5 We recommend that the Chief Administrative Officer develop and document objectives and goals specific to the by-law enforcement activities of each department. These goals should be in line with, and support overall corporate goals and objectives.	In progress	2019 Qtr 4	2025 Qtr 3	n/a	Each department and Special Operating Agency representative on the working group developing the strategy will be required to develop and document objectives and goals specific to the by-law enforcement activities of their respective department and Special Operating Agency.	n/a
Recommendation #6 We recommend that the Chief Administrative Officer: a) Define measurable performance targets and indicators that can be used to measure achievement of objectives. b) Track and analyze performance measurement data to assess how each enforcement area is performing against its objectives, goals and targets.	In progress	2019 Qtr 4	2025 Qtr 3	n/a	Each department and Special Operating Agency representative on the working group developing the strategy will be required to define, track and analyze performance measures/KPIs specific to their objectives and goals. Departments and Special Operating Agencies who already track by-law enforcement related performance metrics will present those to the working group as examples of what type of metrics can help to ensure an effective by-law enforcement program implementation. The working group will also identify what performance metrics should be used from a corporate perspective to identify if the overall corporate by-law enforcement approach is meeting its intended goals and objectives.	n/a
Recommendation #7 We recommend that the Chief Administrative Officer establish and formally document a process for reporting, review and monitoring of performance results.	In progress	2021 Qtr 2/3	2025 Qtr 3		The corporate and department/Special Operating Agency specific performance metrics will be published annually in the Community Trends and Performance Report. Internally it will be recommended to the working group to consider quarterly review of performance metrics, so that any deviation from goals and objectives can be corrected throughout the year and ensure greater success of the overall strategy.	n/a
Recommendation #8 We recommend to the Chief Administrative Officer that the screening, adjudication and collections functions of all by-law enforcement remain under the authority of the Winnipeg Parking Authority.	In progress	2019 Qtr 2	2025 Qtr 4	n/a	The Chief Administrative Officer will direct the Winnipeg Parking Authority to prepare and submit a report to Council that includes updates to their Operating Charter to reflect the permanency of the screening, adjudication and collections functions of all by-law enforcement under their authority. The Legal Services department will be consulted on the changes to the Operating Charter.	n/a

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Recommendation #9 We recommend that the Chief Administrative Officer pursue re-branding efforts and amendments to the Winnipeg Parking Authority's Operating Charter. This should be done in consultation with the Legal Services Department and with final approval from Council.	In progress	2019 Qtr 2	2025 Qtr 4		The report being prepared for Council submission as outlined under the recommendation that the screening, adjudication and collections functions of all by-law enforcement remain under the authority of the Winnipeg Parking Authority, will include re-branding efforts. Corporate communications will identify the most effective re-branding approach. Consideration will be given to re-branding the Winnipeg Parking Authority to better reflect the additional new service lines from the Municipal By-Law Enforcement Act (MBEA)/Provincial Offences Act (POA) and Vehicle for Hire By-Law.	n/a
Recommendation #10 We recommend that the Chief Administrative Officer implement a communication strategy targeted at educating the public on changes to the by-law enforcement screening, adjudication and collection process. The communication should include information on the authority awarded to the Winnipeg Parking Authority, changes to the Operating Charter, if approved by Council and re-branding information.	In progress	2019 Qtr 3	2025 Qtr 4		Corporate Communications will be directed to develop and implement the most appropriate communications strategy.	n/a
Recommendation #11 We recommend that the Chief Administrative Officer evaluate the opportunity to reassign the responsibility of enforcing the Parks by-law under the Community By-Law Enforcement Services Division and the Streets by-law under the Winnipeg Parking Authority. Consideration should be given to assessing enforcement areas on a continual basis to determine if further realignments are needed to improve services overall and to ensure the City is in the best position to meet by-law enforcement goals and objectives.	Implemented	2018 Qtr 4	n/a	2024 Qtr 4	Prior to the working group work being initiated to develop a draft corporate strategy and administrative directive, the Chief Administrative Officer will set up a meeting between the Public Works department, the Winnipeg Parking Authority, Community By-Law Enforcement Services Branch, and the Legal Services department, to review this recommendation and to identify if there are any barriers, including financial or human resourcing, and impacts to implementing this recommendation. Provided there are no significant barriers to accomplishing this recommendation, meeting participants will identify and bring forward a plan with respect to implementing this recommendation.	The interim CAO has approved revisions to the reassignment of some provisions of the Streets by-law to the Winnipeg Parking Authority. The Parks by-law 85/2009 and associated legislation (Municipal By-Law Enforcement Act (MBEA) or Provincial Offences Act (POA) will be updated to reflect service areas that should be prioritized for enforcement, an enforcement plan will be developed to outline priority areas.

TOTAL RECOMMENDATIONS	11
Implemented	1
In progress	10

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Fleet Management Audit (published September 2022) - Status of Audit Recommendations at June 30, 2025
winnipeg.ca/audit/pdfs/reports/2022/FleetManagmentAudit-June2022.pdf

	Status	Initial target for implementation	Revised target for implementation	Implementation Date	Initial Implementation Plan	Evidence of implementation reviewed by Audit Department
Recommendation #1 The WFMA General Manager review the general controls on data inputs into the Fleet Management Solution software and update processes to ensure that data is created, captured, and managed to ensure compliance with the City's Corporate Recordkeeping Administrative Standard No. AS-006. The general controls should include, but are not limited to those that address initial vehicle profile entries, controls around fuel transactions and timely processes to verify accuracy of all data entries.	In progress	2023 Qtr 4	2025 Qtr 3	n/a	Agreed. With the upcoming implementation of WFMA's new fleet software system the WFMA General Manager will ensure data created, captured and managed will meet with the City's Corporate Recordkeeping Administrative Standard No. AS-006. Controls around fuel transactions will require further investigation for opportunities to source a system or develop a City-wide process that can automatically upload vehicle and equipment meter readings for improved accuracy.	n/a
Recommendation # 2 The CAO establish a fleet oversight committee that includes the Chief Administrative Officer or their designate, a representative from Corporate Finance, the WFMA General Manager and Department Directors representing the departments using City owned, rented or leased vehicles and/or equipment.	Implemented	2024 Qtr 1	n/a	2023 Qtr 3	The CAO will establish an oversight committee to ensure the recommendations of this report are implemented. Upon completion of these tasks, the CAO will reassess the mandate and role of an oversight committee to ensure it positioned to provide effective governance and oversight over fleet on an ongoing basis.	The fleet oversight committee (FOC) has been established, this oversight committee will provide effective governance andoversight of Fleet on an ongoing basis. Committee Terms of Reference have been developed and approved by this committee.
Recommendation # 3 The CAO or designate, in collaboration with the fleet oversight committee, define the committee's terms of reference that include, but not limited to: - Scope of the committee; - Role and responsibilities of the committee; o Defining minimum criteria for vehicle utilization; o Review vehicle utilization annually; o Review vehicles that do not meet the minimum criteria for vehicle utilization, o Adjudicate vehicles and/or equipment that do not meet the defined minimums; o Develop annual summary reporting of activities for the Chief Administrative Officer	Implemented	2024 Qtr 1	n/a	2025 Qtr 1	The CAO will set terms of reference for this oversight committee for the implementation of the recommendations of this report and will include scope, roles and responsibilities. After implementation of recommendations is complete, the terms of reference for the oversight committee will be reassessed to ensure it is positioned to provide effective governance and oversight over fleet on an ongoing basis.	The CAO or designate in collaboration with the fleet oversight committee defined and approved the Terms of Reference for the Fleet Oversight Committee. The Terms of Reference include the items identified in the recommendation with annual summary reporting on the activities of the Fleet Management Agency to the CAO's Office.
Recommendation # 4 The CAO should direct the fleet oversight committee to develop and implement a corporate vehicle utilization policy. The policy should include a requirement for departments to analyze vehicle needs and adequately support the necessity for a vehicle. The policy should also include a process requiring departments to report on the performance of their fleet to the fleet oversight committee, at minimum, on an annual basis. A utilization policy should at minimum: - Consider vehicle pool(s), vehicle swapping, and the use of personally-owned vehicles; - Include the fleet oversight committee's definition of low and/or under-utilized vehicles; - Define how performance data will be collected, and the activities that will be performed to ensure the data will be complete, accurate, and reliable; - Include the fleet oversight committee's definition of all relevant roles and responsibilities, and enforcement of the policy and accountability for outcomes; - Identify a process and timeline for providing required support for the necessity for a vehicle that does not meet the minimums defined by the fleet oversight committee	Implemented	2024 Qtr 1	n/a	2024 Qtr 4	The oversight committee established by the CAO will ensure that an enforceable vehicle utilization policy be developed and implemented that will address vehicle requirements and define roles and responsibilities.	The fleet oversight committee developed and adopted a corporate vehicle utilization policy. The policy includes the minimum items identified in the recommendation.

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Recommendation # 5 The CAO direct the fleet oversight committee to collaborate with WFMA and Department representatives to develop a framework of acceptable vehicle types, including guidance regarding the minimum and maximum specifications of vehicles. Proposed vehicle acquisitions that do not meet the approved specifications should be reviewed and approved by the fleet oversight committee prior to acquisition.	In progress	2024 Qtr 1	2025 Qtr 4	n/a	The oversight committee established by the CAO will ensure that a framework is established and implemented that will define acceptable vehicle type as well as guidance on specifications.	n/a
Recommendation # 6 The WFMA perform and document a cost benefit analysis of fleet management based on adherence to the Life Cycle Cost Management principles compared to the practice of extending vehicles beyond their planned replacement date. The analysis should also include the feasibility of implementing a dynamic life cycle approach for the City's light and medium fleet vehicles. The analysis should be communicated to elected officials for consideration during future budget deliberations.	Implemented	2023 Qtr 4	n/a	2024 Qtr 2	Agreed. WFMA will perform and document a cost benefit analysis comparing Life Cycle Cost Management principles to that of extending vehicles beyond their planned replacement date which will be included in WFMA's annual budget and business plan submission.	WFMA conducted an analysis based on the City's fleet of vehicles that supports their replacement schedule for vehicles and identified that the average annual costs decreased over the lifespan of the vehicle. There was a limited sample of vehicles that lasted over 10 years. The Admin Report that accompanied their 2024 Business Plan, (communicated to council), stated that they forecast that they will operate within their established debt limit through deferred replacement of fleet assets.
Recommendation # 7 The CAO or their designate, in consultation with the fleet oversight committee, determine the information necessary to make informed budgetary decisions, and provide effective oversight of department fleet performance. At minimum, department reporting should be annual and include vehicle quantities and types per division, and the utilization rates of these vehicles. In addition, the CAO or their designate, ensure this information is made available for future budget decisions.	Implemented	2024 Qtr 1	n/a	2025 Qtr	The oversight committee established by the CAO will ensure that a reporting framework is implemented that will measure fleet performance and will inform future budget planning.	The CAO or their designate, in consultation with the fleet oversight committee, developed and implemented an annual reporting framework to measure fleet performance, inform future budget planning and provide effective oversight of department fleet performance. The reporting by the Fleet Management Agency includes vehicle quantities and types per department, and the number of units with low utilization rates by department.
Recommendation # 8 The CAO or their designate, in consultation with the fleet oversight committee, develop standardized minimum and maximum parameters for fuel transactions, and develop and implement a process to ensure exceptions are identified and corrected, at minimum, on a monthly basis. The process should require WFMA to provide complete, accurate, timely reporting with sufficient detail to enable departments to identify the root cause of the exception and take corrective action.	Implemented	2024 Qtr 1	2025 Qtr 2	2025 Qtr 2	The oversight committee established by the CAO will ensure that fuel standards are established, a reporting system implemented and define a process for exceptions.	The Winnipeg Fleet Management Agency developed standardized minimum and maximum parameters for fuel transactions, established fuel standards and a monthly reporting system for exceptions.
Recommendation # 9 The CAO or their designate, in consultation with the fleet oversight committee, evaluate and document the City's position on an individual's responsibility for at fault preventable incidents while in the care and control of a City vehicle and update the Administrative Standard No. HR-019 Safe and Responsible Driver with the City's position.	In progress	2024 Qtr 1	2025 Qtr 4	n/a	The oversight committee established by the CAO will ensure that individual responsibility for at fault preventable incidents while in the care and control of a City vehicle will be reviewed and the Administrative Standard HR-019 will be updated accordingly.	n/a

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Recommendation # 10 The CAO or their designate, in consultation with the fleet oversight committee, develop emission reduction goals and timelines at the department level in support of the Green Fleet Plan and in alignment with the Climate Action Plan. In addition, develop and implement a process for departments to report annually on their progress to the fleet oversight committee.	In progress	2024 Qtr 1	2026 Qtr 1	n/a	The oversight committee established by the CAO will ensure that emission targets are established at the department level and an annual reporting process on their progress towards these targets is developed and implemented	n/a

TOTAL RECOMMENDATIONS	**10**
Implemented	**6**
In progress	**4**

	Status	Initial target for Implementation	Revised target for implementation	Implementation date	Initial Implementation Plan	Evidence of implementation reviewed by Audit Department
Recommendation #1 An Asset Management Plan is created and effectively implemented. It is our understanding that the Branch is currently in the process of creating an Asset Management Plan specific to traffic signals infrastructure. It is recommended the Asset Management Plan being developed include what the Branch's overall asset strategy plan is and ensure that it is updated when necessary for changes in guidance and internal procedures. Elements of the plan should include procedures for the following: • When updates should occur, • Replacement of assets before the end of asset life, including when a cost-benefit assessment should occur, and • Required levels of documentation. The Asset Management Plan should be effectively communicated with other branches of the City that impact traffic signals infrastructure.	In progress	2024 Qtr 2	2025 Qtr 3	n/a	Agree. Traffic Signals asset management will be developed in accordance with the City of Winnipeg's Asset Management Policy F1-011 which will lead to a full cycle cost of maintenance and replacements.	n/a
Recommendation #2 Guidance on internal practices related to traffic signals infrastructure should be updated and regularly reviewed to ensure alignment with external guidance. The practices/guidelines should include a review period to ensure they reflect current practice and are aligned with all external guidance. Once the practice/guidelines are documented they should be effectively communicated internally and with other branches of the City that impact traffic signals infrastructure. It is our understanding that the Branch is currently undertaking an internal initiative, as directed by City Council, to develop a set of guidelines related to vehicle signal configuration.	Implemented	2023 Qtr 1	n/a	2023 Qtr 2	Agree. Work has previously commenced on the Traffic Control Signals Design Guidelines which will formulate the framework for signal configuration. This guideline is planned for completions in 2023 and will be reviewed annually in conjunction with Transportation Association of Canada's (TAC) Manual of Uniform Traffic Control Devices of Canada (MUTCDC).	A 'Traffic Signal Design Guidelines' manual was developed,implemented and internally communicated to the Traffic SignalsBranch and other City branches that impact traffic signals infrastructure. The guidelines will be reviewed on an annual basis and revisions will be noted at the beginning of the manual
Recommendation #3 Decisions are documented: The Branch should review the internal documentation practices to determine an optimal level of documentation to support signals project work. The guidance should define the minimum standard of documentation to support signals project work. The guidance must balance between the documentation of decisions and the creation of extraneous paperwork. Ultimately, the Branch should be able to demonstrate accountability to decisionmakers for the works performed and monies expended.	Implemented	2023 Qtr 3	n/a	2024 Qtr 1	Agree. Traffic Signals currently follows the City of Winnipeg's Asset Management Policy F1-011 and is in the process of implementing the framework from the City of Winnipeg's Project Management Manual 4.0.	Process documents have been developed to support signals work. The process documents have been communicated to all staff.

TOTAL RECOMMENDATIONS	**3**
Implemented	**2**
In progress	**1**

Department	Recommendation	Status	Initial target for implementation	Revised target for implementation	Implementation date	Initial Implementation Plan	Evidence of implementation reviewed by Audit Department
APM	Recommendation # 1a Implement a fit-for-purpose governance model that streamlines oversight and supports effective alignment, accountability, autonomy, and disclosure on the Projects The governance and oversight committee should be elevated within the City structure (e.g., elevated Project Sponsor, Chair, and single Council sub-Committee), be chaired by the CAO and report directly to Council. The governance committee review of project performance, including cost performance relative to budget, should occur monthly. Consider assigning a Sponsor role to a senior executive who has the authority to align the project goals within the City organization. Examples of Project Sponsors from industry for projects of this size include Chief Operating Officer, Chief Financial Officer, Executive Vice Presidents, Vice Presidents, or other members of the executive team. Revamping a governance model is a complex activity that may benefit from a staged implementation. Based on the timeline to get material in front of Council, planning for workshops to gain alignment on a revised governance model should commence within 3 months. Total implementation will take longer.	In progress	2026 Qtr 2	n/a	n/a	Management agrees with the recommendation. The NEWPCC Upgrade projects currently comply with all Council and administratively mandated policies, governance, reporting, financial standards and disclosures. Changes to FI-011 Asset Management Policy and FM-004 Administrative Standard – Asset Management will be proposed by the Director, Assets and Project Management, for Council consideration, by Q3 2025. If Council approves the proposed changes, the Director, Assets and Project Management will work to complete the necessary changes by Q2 2026. Timeline: * Changes to Governance Structure Plan proposed to Council: Q3 2025 * Implementation of approved Governance Structure Plan: Q2 2026	n/a
APM	Recommendation # 1b Update FM-004 and the PMM, etc. to provide guidance for future 'major projects'. Provide additional guidance in FM-004, the PMM and the Investment Planning Manual related to very large, highly complex, high consequence projects that triggers consideration of appropriate governance, organizational change management, resourcing, alternative delivery models, public interest or communication assessment, and planning requirements to contain risk to the City. The Major Capital Project Directives (“MCPDs”) and other risk-based criteria such as those identified in the PMM could be used to categorize the projects. This activity should be completed prior to planning the next major project phase (e.g., Biosolids construction phase).		2026 Qtr 2	n/a	n/a	Management agrees with the recommendation. Changes to Governance Structure Plan proposed to Council: Q3 2025 Implementation of approved Governance Structure Plan: Q2 2026	n/a
WW	Recommendation # 2 Revise the decision and financial delegation of authority in alignment with project specific governance structure, including more delegated authority to empower the Project team to make timely decisions in support of project objectives, schedule, and contract requirements. Additional authority to be supported by: • A governance structure with experience in the scale and complexity of the project • Structured reviews at the stage gates and other critical decision points • Transparent reporting including an easy-to-use dashboard. Considerations should include approval of contingency use within stage approval constraints and phased awards of contract scope (e.g., the planned phases for the AECOM contract). It is typical industry practice to have authority delegated to the Project, within financial limits, for management of items within the initial approved budget / contract. The levels within the delegation of authority should be developed specific to the needs of the Project and through consultation with executive leadership and Council. They should consider the existing delegation of authority, project contracts and commercial structures, stage gate structure, governance structure, contingency drawdown curve, and City requirements/precedent. Consider an interim action to address this specific to Headworks, with a broader action for all Projects shortly thereafter.	Implemented	2025 Qtr 1	n/a	2025 Qtr 1	Management agrees with the recommendation. A Winnipeg Sewage Treatment Program (WSTP) Major Capital Project Engineer (MCPE) will prepare an administrative report recommending delegated authority on the headworks, biosolids, and nutrient removal projects for Council approval. The report will outline delegated approvals for contract award and over-expenditures within the Council approved capital budget. Timeline: The delegation of authority report will be submitted in time to be heard at February 2025 SPC WWE.	Council approved the recommendations to revise the delegations of authority for the NEWPCC Upgrade Capital Projects on February 27, 2025. The delegation of authority was increased to align with the project specific governance structure, including more delegated authority to empower the Project team to make timely decisions in support of project objectives, schedule, and contract requirements.

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WW	Recommendation 3: Develop and document project -specific escalation protocols and guidance. It is also suggested that addition guidance be added to the City governance process documents including FM-004 and PMM< regarding development of escalation protocols for major projects.	In progress	2025 Qtr 1	2025 Qtr 3	n/a	Management agrees with the recommendation. A WSTP MCPE will document the escalation protocols currently used and incorporate into the project plan Timeline: February 2025	n/a
WW	Recommendation 4 a. Review and customize the standard project lifecycle to adjust the stage order and/or requirements to make it specific to the Projects, the selected delivery model (e.g., the planned PDB model for Biosolids), and existing contracts. Once approved by the governance authority, document in the project plan.	In progress	2025 Qtr 2	2025 Qtr 3	n/a	WSTP MCPEs will coordinate a project stage gate workshop. From this, a WSTP MCPE will draft a revised stage gate process suitable for the Projects. The final stage gate plan will be approved by the Major Capital Project Advisory Committee. Timeline: * Workshop will be held: December 2024 * Draft plan: January 2025 * Final plan: March 2025 * Approval of plan: June 2025	n/a
APM	Recommendation 4b Provide guidance in standard City documentation (e.g., PMM) that very large, highly complex, high consequence projects assess and customize the project lifecycle to apply specifically to the project and its delivery model.		2026 Qtr 2	n/a	n/a	The Director of Assets and Project Management will update the Project Management Manual Appendix G – Gating Process, to include stage gates for large, complex high-risk projects following the approval of the NEWPCC Upgrade projects gating process. Timeline: * Update Project Management Manual Appendix G – Gating Process: Q2 2026	n/a
WW	Recommendation # 5 Define stage gate requirements and associated deliverables in the project planning documentation. Stage gates should be developed to be fit-for-purpose and based on the project delivery lifecycle. This can include industry standard classifications for certain deliverables, e.g., project cost and schedule and their expected range of accuracy. Requirements and deliverables should be developed such that approvers understand the cost, schedule, and risk profile of a large project as it progresses in planning.	In progress	2025 Qtr 2	2025 Qtr 3	n/a	(same as 4a response) WSTP MCPEs will coordinate a project stage gate workshop. From this, a WSTP MCPE will draft a revised stage gate process suitable for the Projects. The final stage gate plan will be approved by the Major Capital Project Advisory Committee. Timeline: * Workshop will be held: December 2024 * Draft plan: January 2025 * Final plan: March 2025 * Approval of plan: June 2025	n/a
WW	Recommendation # 6 Develop readiness criteria for key delivery gates that are reviewed by the governance structure. This can be built off of existing criteria for the transfer / commissioning and closeout phases to include all gates	In progress	2025 Qtr 2	2025 Qtr 3	n/a	(same as 4a response) WSTP MCPEs will coordinate a project stage gate workshop. From this, a WSTP MCPE will draft a revised stage gate process suitable for the Projects. The final stage gate plan will be approved by the Major Capital Project Advisory Committee. Timeline: * Workshop will be held: December 2024 * Draft plan: January 2025 * Final plan: March 2025 * Approval of plan: June 2025	n/a
WW	Recommendation # 7 Assess the NEWPCC project objectives across all key areas of the project and add objectives as needed to address gaps including safety and reputation.	Implemented	2025 Qtr 1	2025 Qtr 2	2025 Qtr 2	Management agrees with the recommendation. WSTP MCPE will update the project charter to include safety and reputation objectives. Headworks and Biosolids: the project charters will be revised to include additional objectives. Nutrient Removal: the project charter will be created and will include the additional objectives above the PMM requirements. Timeline: All project charters to be updated or created by January 2025.	The Water & Waste Department has updated all of the project charters to include safety and reputation objectives.

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WW	Recommendation # 8 Develop a project governance report with an easy-to-use dashboard to provide a single report of project performance against objectives. The report would include project performance across safety, environment, cost, schedule, progress, quality, etc. along with key risks and issues. Commentary to address performance, risks, issues, and an explanation as to why a KPI is off plan, what actions are being taken to address the issue, and the expected outcomes should also be included. The information from this report could then be used to populate the other reporting required of the Project. The goal is a “single source of truth” report monthly. As part of the dashboard, include enhanced cost and schedule reporting such as performance relative to baseline, a forecast to complete, earned value, and performance metrics. Also include supporting narrative to guide readers to interpret the results. Refer to Recommendations #36 and #37 regarding reporting of cost and schedule performance metrics. The Project Controls monthly dashboard could also be included with the Administrative Report or report to MCPAC if appropriate. Consider an interim action to address this specific to Headworks, with a broader action for all Projects shortly thereafter.	In progress	2026 Qtr 2	n/a	n/a	Dashboard: Management agrees with the recommendation for a project dashboard for Biosolids and Nutrient Removal. Given the stage of construction for Headworks, developing a specific milestone-based dashboard is not recommended as the project will be near completion at implementation time. Identify KPIs for dashboard inclusion: Q1 2025 Purchase software: Q2 2025 Implement dashboard: Prior to signing Design Build Agreement Management acknowledges the urgency of this work. The WSTP Controls Manager is leading this initiative to purchase and/or develop/customize a software program. The NEWPCC project team has already begun reviewing options for a revised dashboard. The dashboard will include reporting on KPIs related to project objectives (such as budget, schedule, scope, safety, reputation) as well as key project risks and mitigation strategies, and Earned Value Analysis for applicable contracts. A WSTP MCPE will outline critical KPIs that should be included in the dashboard. The frequency of the dashboard reporting will increase from quarterly to monthly to MCPAC. If a new governance board is established per Recommendation 1, the reporting will be monthly to that governing body. Timeline: * Identify KPIs for dashboard inclusion: Q1 2025 * Purchase software: Q2 2025 * Implement dashboard: Prior to signing Design Build Agreement (DBA) for Biosolids (approx. Q2 2026) * Increase reporting to monthly to MCPAC after dashboard implementation: Approx Q2 2026	n/a
WW	Recommendation # 9 Develop KPIs and associated reporting requirements related to safety, quality, and additional project elements. KPIs are typically presented in a dashboard report which includes the actual results, the target results, and the variance between the two. Refer to Recommendation #8 above.	In progress	2026 Qtr 2	n/a	n/a	see response to number 8	n/a
WW	Recommendation # 10 Increase the frequency of governance oversight reporting to monthly. Refer to recommendations #8 & 9 above regarding enhanced reporting.	In progress	2026 Qtr 2	n/a	n/a	see response to number 8	n/a
APM	Recommendation # 11 Develop an ongoing Project assurance function independent from the Project team as an extension of the Project's governance and oversight structure. The assurance function should analyze the Project’s performance against key metrics and risks and have a direct reporting relationship to the Project governance committee. This function should have requisite major project experience. This would be in addition to continued inclusion in the City’s Audit Plan.	In progress	2026 Qtr 4	n/a	n/a	Management agrees with the recommendation. An additional staff member in the Assets and Project Management Department, Major Capital Project Oversight Division will be required to address the recommended assurance functions. Additional external resources are anticipated to be required. The Director of Assets and Project Management will submit a budget request for the resource as part of the 2026 budget submission. Timeline: * Request budget for new APM staff member: Q4 2025 * Council approves budget for new APM staff member: Q1 2026 * Post new APM Job Posting: Q2 2026 * Hire new APM staff member: Q3 2026 * Provide Independent Project Assurance Function: Q4 2026	n/a
APM	Recommendation #12: Refer to Recommendation #11 regarding additional means to assure compliance.	In progress	2026 Qtr 4	n/a	n/a	see response to number 11	n/a
APM	Recommendation # 13 For large high-risk projects, establish guidance regarding project assurance requirements into overall City planning documentation (e.g., PMM) to reduce overall risk to the City. Project assurance activities should be applied proportionally to the risk and value of the projects. The PMM should provide guidance on estimate reviews, QRA and Schedule Risk Analysis (“SRA”), project audits and a threshold (risk or dollar based) for engaging a project advisor.	In progress	2026 Qtr 2	n/a	n/a	Management agrees with the recommendation. The Director, Assets and Project Management will complete this recommendation as part of the work to address Recommendation 4b.	n/a

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WW	Recommendation # 14: Review the team size, capacity, and capability to reduce the load on individual team members, risk to the City and impact of change of personnel. Include other key elements as follows: • Develop succession planning and review of levels and compensation for key roles to maintain an adequately competitive position. • Add more major project experience to support critical areas including reducing the scope of the Project Director role or adding support to that role. • Suggest a Gantt or other chart format for staff planning across project phases. The size of an Owner team is dependent on the stage and commercial model of the contract. Examples of public projects of comparable size to the Projects with Owners Engineers onboard, at a project stage in advance of awarding major contracts, and planning to use DB, PDB, or Design Build Finance ("DBF") models had Owner teams with approximately 20-30 personnel, with plans to ramp up upon award of contracts and start of construction. These projects also had a selection of consultants in specialist roles (e.g., legal, commercial, risk, etc.).	In progress	2025 Qtr 2	2025 Qtr 3	n/a	Management agrees with the recommendation. The Manager of Engineering and Project Director have been working to supplement the project team with additional resources. Since the audit, new Senior Major Capital Project Engineer positions have been created (one for each of the major Projects). Three MCPEs have been hired. Recruitment is in progress to backfill vacant positions. A new position to assist with Indigenous communication and social procurement is currently being recruited for. Additional strategic positions are required to fulfill the recommendations of the audit. Some positions will be supplemented through additional Veolia resources. All FTEs will be funded from the NEWPCC Upgrade projects; this will require additional capital approval. The WSTP team will seek Council concurrence on the addition of the new positions. Critical positions for the WSTP: * (1) Communications Consultant (third party resource to be contracted on an as needed basis) * (1) Contract Manager for Owners Advocate Contract (new internal resource) * (1) Accountant (new internal resource) * (1) Nutrient Removal Operations Liaison (new internal resource) Critical positions for a Project Controls group: * (1) Contract Interface Manager (Veolia resource) * (1) Claims specialist (third party resource to be contracted on an as needed basis) * (2) Cost Controllers (Veolia resources - one for HW/NR; one for BS) * (1) Risk Manager (Veolia resource) Timeline: * Position descriptions and budget estimates for positions: January 2025 * The report for Council approval to hire additional resources: submitted for SPC WWE early Q2 2025 * Create the posting packages for all positions to be complete within two months of Council approval * Target posting 50% of positions within three months, and 100% within six months, of Council approval * Target filling 50% of positions within three months, and 100% within six months, of posting * Time to meet this recommendation will be dependent of availability of qualified candidates to fill the roles and are subject to additional Council approval or hire new FTSs. Addition budget will be required and incorporated int the Nutrient Removal project.	n/a
WW	Recommendation # 15: Update the Projects governing documents and organization charts to include the following: • Illustrating reporting lines to show unambiguous reporting lines of authority and communication. • Layouts should reflect the organization structure. • Updating administrative details in the documents including titles, legends, and dates/revision control. • Consider including key contractor interfaces (e.g., Headworks Project Manager with a dotted reporting line to the AECOM Project Manager)	Implemented	2025 Qtr 1	2025 Qtr 2	n/a	Management agrees with the recommendation. A Project Engineer/ Coordinator will update organizational charts for Headworks and Biosolids and create the organizational chart for Nutrient Removal. Updated charts will be included in the respective project plans. Timeline: Organizational charts to be complete by December 2024.	Water and Waste has updated the Projects governing documents and organization charts.
WW	Recommendation # 16 Update the NEWPCC Project Responsibilities Matrix to include all projects and all key tasks. Review and balance accountability / responsibility across the project team as appropriate. Refer also to Recommendation #2 related to balancing authority and accountability.	Implemented	2025 Qtr 1	2025 Qtr 2	n/a	Management agrees with the recommendation. A Project Engineer/ Coordinator will update RACI charts for Headworks and Biosolids and create the RACI chart for Nutrient Removal. Updated charts will be included in the respective project plans. Timeline: RACI charts to be complete by December 2024.	The Water and Waste Department has updated all of the Responsibilities Matrices (RACI charts) to include all projects and key tasks.
APM	Recommendation # 17: Review and update current guidance for resourcing large, high complexity and consequence projects. This could include defining "adequately resourced' in the PMM and the FM-004, and evaluating the current resourcing mechanism to address staffing, retention, and succession concerns (especially for long duration projects). The existing mechanisms in FM-004 and the PMM such as Administrative Overhead Charges should be adequate to support an estimate of the owner team costs with some additional guidance on what a major project team could look like.	In progress	2026 Qtr 2	n/a	n/a	The Director of Assets and Project Management will complete this recommendation as part of the work to address Recommendation 1a.	

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WW	Recommendation # 18: Develop an organizational change management strategy and internal stakeholder communication plan to support understanding of the project and the delivery model and getting stakeholders onboard with the project requirements and decisions.	Implemented	2025 Qtr 1	2025 Qtr 2	n/a	Management agrees with the recommendation. A WSTP MCPE will create an organizational change management strategy and internal stakeholder communication plan for all projects. This will outline project objectives, stakeholder lists, contact lists and indicate frequency of communication. Any project specific deviations from the plan will be documented in the project plan. Timeline: This plan will be completed by Q1 2025.	The Water and Waste Department has updated all of the project's Shareholder Plans to include communication plans. The plans outline project objectives, stakeholder lists, contact lists and indicate frequency of communication.
WW	Recommendation # 19: Update and maintain project plans as "live" documents to support delivery and onboarding of new personnel. A training and onboarding plan should be added to the project plans. Regular updates to project documentation to occur as required throughout project delivery.	Implemented	2025 Qtr 1	2025 Qtr 2	n/a	Management agrees with the recommendation. WSTP Project Engineers will update the project plans to include a training and onboarding plan. Project Charters will also be reviewed and revised as applicable for each project. Headworks and Biosolids: the existing documents will be reviewed and revised. Nutrient Removal: the project documents will be created. Key project documents will be reviewed at major project milestones/stages or at least annually. Timeline: * All project charters to be updated or created by January 2024 (recommendation 7) * All project plans to be updated or created by March 2025 * Reviews of key documents to be conducted yearly, and documented on the revision/review log	The Water and Waste Department has updated all project plans to include a training and onboarding plan. They have also documented that these project plans be regularly updated and maintained as living documents, as needed.
WW	Recommendation # 20: Develop contract interface management plan(s) for the main contract interfaces. This can be included as part of other Project documents,e.g., the Project Execution Plan, Contract Strategies, or Contract Management Plan.	In progress	2026 Qtr 1	n/a	n/a	Management agrees with the recommendation. See recommendation 14 for new Contract Interface Manager resource ask which should be complete by Q4 2025. The new Contract Interface Manager will create the Contract Interface Management Plan following their hire. Timeline: * Draft Contract Interface Management Plan: February 2026 * Final Contract Interface Management Plan: March 2026	n/a

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WW	Recommendation # 21: Continue to hold awareness/education session(s) with all Biosolids Project stakeholders regarding a PDB delivery model and its differences when compared to previously used delivery models such as DB or DBB. These sessions should extend beyond the Water and Waste Department and include other departments affected by changes in workflow or processes, such as permitting. Capture the unique requirements in project processes, City involvement and collaboration in project-specific management plans and documentation developed. The content for the session should include key highlights from the contract (e.g., commercial model, risk allocation, schedule milestones, PDB conversion overview, etc.) along with specific elements relevant to the various City stakeholder groups (e.g., design review process, design completion percentage at stage gates, permitting requirements, etc.). It should also specifically highlight where risks, resourcing/involvement and process differ from traditional delivery models typically used by the City.	In progress	2025 Qtr 4	n/a	n/a	Management agrees with the recommendation. The Biosolids team has done significant training on PDB. Veolia is providing PDB training in Fall 2024 to the broader City (including permitting, legal, procurement, and corporate staff) and Veolia staff not working on Biosolids. Internal training has been ongoing for project staff in preparation of the Biosolids project and includes: 1) Multiple WSTP Project Managers and Program Directors have attended the Design Build Institute of America Conferences from 2015 to 2024 2) Progressive Design Build Done Right Training through Design Build Institute of America in Oct 2021 3) Early Contractor Involvement Informational Session by Blakes in Oct 2021 4) Veolia's Experience with Progressive Design Build Informational Session in Nov 2021 5) AECOM's Experience with Progressive Design Build Informational Session in Nov 2021 6) Fundamentals of Collaborative Delivery and Progressive Design Build Training through Water Collaborative Delivery Group in June 2024. Training will continue throughout the project and will also incorporate additional training in risk management. Current planned training includes: 1) Veolia will provide training to the broader City and Veolia staff who are currently not working on Biosolids. Timeline: Q4 2024 2) AECOM to provide training on Achieving an Acceptable Guaranteed Maximum Price. Timeline: Q4 2024 3) Water Collaborative Delivery Group to provide training on Essentials of Collaborative Delivery Risk Allocation and Contracts Timeline: Q3 2025 4) Water Collaborative Delivery Group to provide training on Implementation Phase of the Progressive Design Build Timeline: Q4 2025 Information on delivery models will be developed and included on the NEWPCC project websites for external resources. Timeline: within six months of filling the Communications Lead position Information was previously provided for elected officials with approval authority. An information session will be developed for the proposed governance body for the NEWPCC Upgrades. Timeline: Recommend this training is delivered within three months of the body being appointed. The training can also be recorded to enable easy review as the project progresses or new people come on board.	n/a
WW	Recommendation # 22: Increase frequency in monitoring contractual risks as part of the Project's risk management plan (refer to Recommendations #25 and#26). Complete a contract risk allocation exercise for the executionphase of the Biosolids Project and Nutrient Removal, as planned when the project progresses into procurement and contracting. The risk allocation exercise should clearly define contract risks as retained, transferred, or shared with the main contractor for theproject agreement.	In progress	2025 Qtr 2	2026 Qtr 2	n/a	Management agrees with the recommendation. In June 2024, the City began evaluating the Veolia risk management tool that has the ability to delineate ownership of risks. The population of WSTP project risks for Headworks has been included in this tool. The plan is to implement all risks into this tool for all three projects. A Quantitative Risk Assessment (QRA) was completed for Headworks in October 2018 and March 2021, and for Biosolids in March 2022. * Headworks: The HW MCPE will review the current risk allocation to ensure its accuracy. They will determine a revised remaining risk contingency budget by completing a new QRA. The HW MCPE will monitor realized and unrealized risks and also monitor and track contingency budget versus outstanding risk amounts. Timeline: Start monthly monitoring of risks to begin Q1 2025; this will be documented in the risk review log. Review existing risk allocation by Q1 2025. Headworks QRA will begin in Q2 2025 * Biosolids: The BS MCPE will negotiate the risk allocation with the Development Partner as part of the Development Phase Agreement. Negotiations will continue until execution of the Design Build Agreement. The BS MCPE will monitor realized and unrealized risks and monitor and track contingency budget versus outstanding risk amounts throughout the implementation phase. Any lessons learned from Headworks will be implemented for Biosolids. Timeline: Start risk allocation negotiations in Q1 2025. Risk allocation to be finalized as a deliverable of the DPA prior to signing the DBA which is anticipated Q2 2026. Monthly monitoring of risk to begin Q1 2025, which will be documented in the risk review log. * Nutrient Removal: The NR MCPE will create a new risk register complete with planned risk allocation. A QRA will be undertaken to determine a risk contingency budget for the business case. Any lessons learned from Headworks and Biosolids will be implemented for Nutrient Removal. Timeline: A risk register and associated risk budget will be developed by Q4 2024. Quarterly monitoring of risk contingency budgets to begin Q1 2025 throughout the planning and procurement phase. Reviews will increase to monthly following engagement of the design-build consortium. Risk reviews will be documented in the risk review log.	n/a

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WW	Recommendation # 23: Document the plan for relationship management with the major project contractor(s). This can be included as part of the contract management plan.	In progress	2025 Qtr 1	2027 Qtr 1	n/a	Management agrees with the recommendation. A WSTP MCPE will document the current practices to manage relationships with the contractor and include in the contract management plan for each project. Timeline: February 2025	n/a
APM	Recommendation # 24: Revise the PMM guidance for managing high-risk major projects to effectively handle risks in complex projects, defining triggers and protocols for escalation, introduction of an RBS, and enhancing the Quantitative Risk Analysis ("QRA") requirements for cost and schedule risk. The City should enhance its focus on Risk Management as a tool for effectively managing projects.	In progress	2026 Qtr 2	n/a	n/a	Management agrees with the recommendation. The Director, Assets and Project Management will complete this recommendation as part of the work to address Recommendation 1a.	n/a
WW	Recommendation # 25:In addition to the risk registers the Projects currently use to monitor risk, develop a risk management plan that reflects the size and complexity of the projects. The risk management plan should include key elements such as clear risk evaluation criteria, defined processes for risk escalation and management, and clear role delineation, QRA requirements, and reporting of top risks. A plan should be developed for all projects, support the implementation of active risk management, and be forward-looking and tactical with assigned responsibility and minimum of monthly updates. For Biosolids and Nutrient Removal the plan should include an overall forward-looking risk management strategy for the project based onlessons learned from Headworks. This can include lessons already gathered through lessons learned sessions undertaken by the Project team.	In progress	2025 Qtr 2	2025 Qtr 3	n/a	Management agrees with the recommendation. The WSTP Program Leader will engage a third-party resource to write a Risk Management Plan that reflects the complexity of each of the main NEWPCC Upgrade projects. Timeline: * Engage third party consultant by December 2024 * Draft risk management plan to be complete by Q1 2025. * Final risk management plan incorporated into the project plans by Q2 2025	n/a
WW	Recommendation # 26: Increase frequency of active risk management on the Projects. Riskregisters should be maintained with up-to-date mitigation plansincluding status, along with due dates, individual position/role titlesassigned to each risk, and schedule impacts. New risks should be added as they occur, and obsolete risks should be removed. A risk breakdown structure can help with focusing on relevant risks for the project stage. Industry practice for projects of similar size and complexity is to review and update risks at least monthly for each Project with more frequent reviews required for initial development and periods of high activity (reduced frequency may be appropriate during periods of low activity), refer to AACE 62R-11 Risk Assessment Identification and Qualitative Analysis for additional guidance.	In progress	2025 Qtr 2	2026 Qtr 2	n/a	Management agrees with the recommendation. See recommendation 22	n/a
WW	Recommendation # 27: Review resourcing for risk management activities and allocate responsibility for risk management reporting to the Project Director / Project Managers. Resources are required for the following: • Headworks to implement tactical risk management through to project completion. • Biosolids to implement lessons learned and position the team for contract award. • Nutrient Removal to implement lessons learned and position the team for procurement. Dedicate a resource in a role such as Risk Management Lead, and consider an additional support role if required.	In progress	2025 Qtr 2	2025 Qtr 3	n/a	Management agrees with the recommendation. See recommendation 14	n/a

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WW	Recommendation # 28: Project Manager and Project Director to evaluate and consider guidance be provided to the main DB contractor on Headworks to enhance risk reporting to include: • Top risks, including risk severity and commentary on mitigation status. • Trending risks (new, increasing, reducing). This guidance may be over and above what is contractually required of the contractor and may therefore result in additional cost. Consideration for action is at the discretion of the Project Manager and Project Director. The suggested reporting enhancements may be applied to future contracts not yet awarded to improve the Project's ability to manage risk effectively.	Implemented	2025 Qtr 2	n/a	2025 Qtr 2	Management agrees with this recommendation. Risk reporting for the Biosolids and Nutrient Removal contracts has yet to be negotiated and will consider audit recommendations as well as lessons learned from Headworks. The Headworks Design-Builder is meeting contractual obligations for risk reporting (including severity). Changes to risk reporting requirements will alter the contract and may result in additional costs. Timeline: * Additional risk reporting criteria to be added to the draft DBAs for Headworks and Nutrient Removal by end of Q2 2025	Water and Waste has developed guidance to enhance risk reporting that will be applied to future contracts.
WW	Recommendation # 29: Improve risk reporting by: • Reporting monthly. Providing a summary of top risks based on their materiality to the project with severity and impact assessments. • Summarizing mitigation strategies and status. • Distinguishing current issues from risks.	In progress	2026 Qtr 2	n/a	n/a	Management agrees with the recommendation. See recommendation 8	n/a
WW	Recommendation # 30: Develop and use a QRA on all Projects to define contingency requirements: • Conduct a QRA on the updated risks for Headworks to assess the contingency required to complete the project and gain confidence regarding the forecast cost to complete. Ensure that the QRA is supported by a well-defined cost estimate basis document. • Develop a process to manage contingency drawdowns and actively manage contingency drawdowns. • Incorporate learnings from Headworks, including contract risk transfer, contingency and the need for quality cost basis documentation to support quantitative risk analysis. • Plan for QRA updates for the Biosolids and Nutrient Removal projects throughout the project lifecycle. • The QRA methodology for Biosolids and Nutrient removal should consider the integration of schedule risk analysis. • Leading practice for integrated cost and schedule risk analysis can be found within AACE 57R-09 "Integrated cost and schedule risks analysis using risk drivers and Monte Carlo simulation of a Critical Path Method ("CPM") model.	In progress	2025 Qtr 2	2026 Qtr 2	n/a	Management agrees with the recommendation. See recommendations 22, 25, and 27	n/a
WW	Recommendation # 31: Explore establishing a mechanism for the Biosolids and Nutrient Removal projects to fund unanticipated risks outside of the scope of the project's budget and provide a financial buffer for the City related to large complex projects. The sort of risks that are normally covered by such a mechanism have very low probability with catastrophic consequences and are usually not carried in a project risk register.	Implemented	2025 Qtr 1	n/a	2025 Qtr 1	Management agrees with the intent of the recommendation but disagrees with the creation of designated Management Reserve. WWD manages risks using municipal utility standard best practices. The ten-year financial model provides for medium term financial stability and the ability to fund unforeseen emergency situations by retaining a target percentage of sales, an Environmental Projects Reserve that funds specific projects, and the ability to transfer between the four funds managed by WWD. An additional Management Reserve for this specific project would necessitate an increase to utility rates in order to accumulate funding.	WWD Management explored establishing a management reserve to fund unanticipated risks outside of the scope of the project's budget. The following Management response was included in the Audit Report adopted by Council on January 30, 2025. "Management agrees with the intent of the recommendation but disagrees with the creation of designated Management Reserve. WWD manages risks using municipal utility standard best practices. The ten-year financial model provides for medium term financial stability and the ability to fund unforeseen emergency situations by retaining a target percentage of sales, an Environmental Projects Reserve that funds specific projects, and the ability to transfer between the four funds managed by WWD. An additional Management Reserve for this specific project would necessitate an increase to utility rates in order to accumulate funding."

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WW	Recommendation # 32: Address review and approval as part of Recommendations #2 and #40 regarding delegation of authority and the implications on the change control process.	In progress	2026 Qtr 1	n/a	n/a	Management agrees with the recommendation. See recommendations 2 and 40	n/a
WW	Recommendation # 33: Include schedule impact and date of submittal in the change log. In addition to the monetary impact of the change order, it is leading practice to include a summary of the schedule implications of each change order (if any). Including a clear date of submittal allows for tracking of change approval timelines and helps facilitate active management of change order approval.	Implemented	2025 Qtr 1	2025 Qtr 2	2025 Qtr 2	Management agrees with the recommendation. The WSTP Project Coordinator will update the Headworks Change Log to include this information from the Change Orders. Timeline: Update to be completed in October 2024.	The Water & Waste Department updated the change log to include the schedule impact and date of submittal
WW	Recommendation # 34: Include a summary of pending and approved changes and their impact on cost and schedule in monthly project reports. Refer to Recommendation #8 regarding project reporting improvements.	In progress	2026 Qtr 2	n/a	n/a	Management agrees with the recommendation. See recommendation 8	n/a
WW	Recommendation # 35: Include or refer to a reporting calendar section in the Project Controls Plan that outlines required meetings, attendance, and frequencies for preparing Project Controls reports.	Implemented	2025 Qtr 1	n/a	2025 Qtr 1	Management agrees with this recommendation. This information is currently managed at the division level. This ensures division wide reporting requirements are monitored in one location and avoids duplication of work. A WSTP MCPE will reference the reporting calendar in the monthly project controls report for information. Timeline: February 2025	The Water & Waste Department updated the Project Controls Plan to include details regarding the reporting calendar.
WW	Recommendation # 36: Include additional cost and schedule performance metrics in the project dashboard. Examples of additional metrics might include to complete performance index (“TCPI”), and Budget at Completion (“BAC”) or Estimate at Completion (“EAC”).	In progress	2026 Qtr 2	n/a	n/a	Management agrees with the recommendation. See recommendation 8.	n/a
WW	Recommendation # 37: Implement a more detailed tracking system at the WBS level. This could involve developing productivity and quantity curves to better forecast cost and schedule. By doing so, cost and schedule management can become more proactive rather than reactive, improving oversight effectiveness. Provide training for project team members on the updates made to cost and schedule performance tracking, including earned value principles, performance metrics, and how to implement.	In progress	2025 Qtr 1	2025 Qtr 4	n/a	Management agrees with the recommendation for non-milestone-based contracts (Biosolids and Nutrient Removal). Headworks is a milestone-based project, so tracking at a deeper WBS level is not possible without a major contract change. Additionally, as the timeline for complete implementation of this recommendation is Q2 2026, and Headworks will be almost complete by that time, there is little value for money to be gained with respect to the Headworks project. * Biosolids: This is currently underway with the Development Partner who is creating a Work Breakdown Structure for the development phase. Timeline: February 2025 * Nutrient Removal: A WBS will be developed for the procurement phase. Future phases will be developed as the project progresses. Timeline: * Nutrient Removal draft to be completed in January 2025 * Final: To align with project execution plan March 2025	n/a
WW	Recommendation # 38: Expand the scope of the earned value management (“EVM”) system to include all material components of the project budget, not just the Headworks DB. This would involve tracking the earned value of owner indirect costs and other WBS components. By doing so, the Project Controls dashboard would provide a more comprehensive view of project performance against the baseline.	In progress	2026 Qtr 2	n/a	n/a	See recommendation 8 Management agrees with this recommendation. EVM is already being done for the Headworks project. As other major supplementary contracts come online, they will be included in the EVM. Timeline: * Currently ongoing for Headworks * Other supplementary contracts will be added following the first invoice	n/a

Department	Recommendation	Status	Initial target for implementation	Revised target for implementation	Implementation date	Initial Implementation Plan	Evidence of implementation reviewed by Audit Department
WW	Recommendation #39a) Develop a project specific contract management/administration plan that clearly defines roles and responsibilities, and project specific processes and requirements for key elements such as contract compliance monitoring, contract reporting, contract change management, meetings, and formal correspondence. The plan should at minimum address the specific requirements for the main project contract and may be written to reference the City of Winnipeg's PMM where elements of Section 9 in the manual are relevant and reflect the project's processes. The project team can also rely upon the 'Process and Procedure for Managing the Design Build Contract' when creating the full contract management/administration plan. 39b) Dedicate a resource to take over many of the contract and claims management and administration duties from the Project Manager. Accountability for contract and claims management may remain at the Project Manager level, however, day-to-day responsibility for administration is best delegated down so that the Project Manager's attention remains focused on achieving the overall project scope, cost, and schedule. It is understood that change order routing/administration has already been delegated to other resources.	In progress	2026 Qtr 4	n/a	n/a	39a & b Management agrees with the recommendation. The WSTP Program Leader will be responsible for developing and maintaining the contract management plan for each project. Headworks: Develop a project specific contract management plan that defines various activities, such as: contract administration; team roles and responsibilities; schedule management; risk management; claims management; performance management; cost management; contract close-out plan; governance structure; stage gates; quality management; communication; health, safety and environment; lessons learned; submittal process; Owner's Advocate oversight; operational documents; warranty, etc. Biosolids & Nutrient Removal: Develop project specific contract management plans that define similar activities to those listed for Headworks. The plans will initially be written for the development phase and later updated during the design build phase. Timeline: * Hire third-party Contract Management Plan Consultant: Jan 2025 * Headworks: completed by April 2025 * Biosolids development phase: draft in May 2025; final by Q2 2025 * Biosolids design build phase: draft in Q1 2026; final by Q2 2026 * Nutrient Removal development phase: draft in Q1 2026; final by Q2 2026 * Nutrient Removal design build phase: draft in Q3 2026; final by Q4 2026	n/a
WW	Recommendation # 40: Take steps to expedite the change order review and approval timelines. The primary means to achieve this is through changes in the delegation of authority and/or escalation as required through escalation protocols. Refer to Recommendation #2 regarding delegation of authority for the project and Recommendation #3 regarding escalation protocols. Note that this recommendation is intended to cover contract change order approvals only, not initial contract approvals. The Project team can also implement an expedited approval pathway for urgent changes where fast approval is required to control risk to the City. This would not include typical situations that would be covered by the delegation of authority and should be reserved for high dollar value high risk changes. Criteria for use of the expedited approval pathway should be developed and could include examples such as events comparable to the NWI failure, force majeure, safety critical, security critical, or operational critical items.	In progress	2024 Qtr 4	2025 Qtr 3	n/a	Management agrees with the recommendation. See recommendation 2 for Over-Expenditure Approval as this requires Council Approval. For approval of Change Orders, a WSTP MCPE will prepare a memo to the Manager of Purchasing, who will forward to the CFO recommending the following delegation of authority to Appendix 10 of FM002: For Major Capital Projects that have a governance body created specifically in the contract, and that governance structure within the contract has been approved by the Chief Financial Officer, that the most senior City representative represented at the highest level of the governance body structure be delegated the authority to approve amendments to terms of a contract, in consultation with Legal Services, on the condition that the funding for the amendment is available within the applicable capital budget as approved by Council. Timeline: The delegation of authority memo was submitted by the WSTP MCPE to the Manager of Purchasing on November 8, 2024. The Manager of Purchasing will forward to the CFO in Q4 of 2024.	n/a
WW	Recommendation # 41: Identify and document project and contract specific contract compliance activities and responsibilities. These may be incorporated as part of the project specific contract management/administration plan.	In progress	2026 Qtr 2	n/a	n/a	Management agrees with this recommendation. Compliance with the Headworks DBA is monitored by the Owner's Advocate throughout the project. Project compliance is also verified on an on-going basis for the Headworks project by a third-party Independent Certifier. Milestone certificates (and related payment) are not issued until compliance with the Headworks DBA is confirmed by the Independent Certifier. Timeline: * Headworks DBA Contract Compliance Plan: Q2 2025 * Biosolids DBA Contract Compliance Plan: Q2 2026 * Nutrient Removal DBA Contract Compliance Plan: Q2 2026	n/a

Department	Recommendation	Status	Initial target for implementation	Revised target for implementation	Implementation date	Initial Implementation Plan	Evidence of implementation reviewed by Audit Department
WW	Recommendation # 42: Develop a project specific claims management plan and claims avoidance strategy that clearly defines roles and responsibilities, and project specific processes and requirements for key elements such as claims administration and claims analysis.	In progress	2025 Qtr 3	n/a	n/a	Management agrees with the recommendation. See recommendation 14 as well. The WSTP Contracts Leader will engage a third- party resource to write a Claims Management Plan for the NEWPCC Upgrade projects. Timeline: * Engage third party consultant by Q1 2025 * Draft claims management plan to be complete by Q2 2025. * Final claims management plan incorporated into the project plans by Q3 2025	n/a
WW	Recommendation # 43: Develop a strategy and plan for managing the public profile of the Projects and allocate resources to support coordination and alignment with City-wide activities. Consider reassessing the public communication approach and engaging specialist resources, reporting to the Project Director, to support in messaging and media.	In progress	2026 Qtr 1	n/a	n/a	Management agrees with the recommendation. See recommendation 14 as well. WSTP MCPE will work with Departmental and Corporate Communications to develop a term of reference to engage a third-party communications consultant. The external consultant will develop the communication strategy and management plan. Timeline: * Post RFP: Q1 2025 * Award Contract: Q2 2025 * Draft communications management plan: December 2025	n/a
WW	Recommendation # 44a: Develop a comprehensive City-wide approach to communication with Indigenous Communities including for major projects such as the Projects. Dedicate resources, reporting to the Project Director, to support with the implementation on the Projects.	In progress	2026 Qtr 4	n/a	n/a	Management agrees with the recommendation. An Indigenous Liaison has been retained for the NEWPCC Upgrades in February 2024. A draft IndigenousCommunities communication plan was developed in the summer of 2024 and is currently under review. Discussions will be ongoing with Indigenous communities through the Biosolids Development Phase. Timeline: * Ongoing discussions with Indigenous communities from Nov 2024 to Dec 2025 * Final communications plan: Q1 2026 The Director of Assets and Project Management will apply lessons learned from the NEWPCC Upgrade Indigenous Communities communication plan, to other Major Capital Projects. The Project Management Manual will be changed to incorporate Indigenous Communities Communication Guidance by Q4 2026. Timeline: * Update Project Management Manual with Indigenous Communities Communication Guidance: Q4 2026	n/a
WW	Recommendation 44b) Continue as planned to develop the social procurement plan and incorporate into the project planning documentation.		2026 Qtr 2	n/a	n/a	Management agrees with the recommendation. Social procurement plan is being developed for Biosolids during the development phase. Biosolids: The social procurement requirements are being negotiated with the Development Partner. The social procurement plan outlining objectives and resources are being developed with the Development Partner. Timeline: * Begin negotiations: Q1 2025 * Finalize social procurement objectives: Prior to DBA for Biosolids (approx. Q2 2026) Nutrient Removal: Develop high level objectives in the project charter and project plan that will be included in contract documents. Use lessons learned from Biosolids. Timeline: *Create high level social procurement objectives: Q1 2025	n/a

TOTAL RECOMMENDATIONS	44
Implemented	10
In progress	34

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Stores Audit - October 2022 - Status of Audit Recommendations at June 30, 2025

	Status	Initial target for implementation	Revised target for implementation	Implementation date	Initial Implementation Plan	Evidence of implementation reviewed by Audit Department
Recommendation #1 We recommend that the Corporate Controller should develop standardized stores operations procedures, to the extent possible, to be used by all departments to ensure decentralized departments are consistent in their baseline practices. This is applicable, at minimum, to the following processes: □ Stores inventory requisitions – improve consistency and efficiency of the requisition process □ Supplier selection - tracking vendor performance □ Identification of inventory demand – effectively identify inventory needs □ Performance indicators - setting targets to measure performance against □ Security and Access - identifying items with greater susceptibility to theft and implementing safeguards.	In progress	2023 Qtr 4	2026 Qtr 2	n/a	The Administrative Standards will be updated to include standard processes and procedures, where practical, as identified above, with additional resources to be included in the 2024 multi-year budget process.	n/a
Recommendation # 2 We recommend that the Corporate Controller develop training material and hold learning sessions on the inventory and reporting functionalities of the systems, to help the departments better understand how to obtain valuable information from the system that can be used in the inventory performance management process. This should be mandatory training for all staff involved in inventory performance management.	In progress	2023 Qtr 3	2026 Qtr 2	n/a	The Corporate Controllers' office will investigate the ability to provide training to stores operations personnel regarding the use of the inventory reporting capabilities of systems that are already in place	n/a
Recommendation # 3 We recommend that the Corporate Controller develop and implement a set of centralized performance metrics established and monitored at the Corporate Finance level to provide oversight over inventory management and stores operations, which departments are required to report on. At a minimum, inventory turnover, inventory accuracy, and excess/obsolete inventory should be monitored. Departments can choose to supplement with metrics that will provide additional insights specific to their Stores operations.	In progress	2023 Qtr 2	2026 Qtr 2	n/a	The Corporate Controllers' office will investigate which metrics can be used and where additional metrics can be configured. Additional resources to be include in the 2024 mulit-year budget process to achieve this.	n/a

TOTAL RECOMMENDATIONS	3
Implemented	0
In progress	3

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TSB- Procurement and Contracting Audit (published September 2024) - Status of Audit Recommendations at June 30, 2025
winnipeg.ca/audit/pdfs/reports/2024/Traffic-Signals-Branch-Procurement-and-Contracting-Audit-September-2024.pdf

	Status	Initial Target for Implementation	Revised target for Implementation	Implementation date	Initial Implementation Plan	**Evidence of implementation reviewed by Audit Department**
Recommendation # 1 We recommend that the Director of Public Works in collaboration with the Traffic Signals Engineer, work with key stakeholders, specifically the Insurance Branch to establish a process that ensures all required documentation are received and communicated for the Traffic Signals Branch contracts.	Implemented	2025 Qtr 1	2025 Qtr 2	n/a	Management agrees with the recommendation. Traffic Signals Engineer will work with Purchasing to formalize the documented process to ensure all required contract documents are received for final review and relevant documents submitted to the Insurance Branch prior to the start of construction. Process will be provided to Traffic Signals employees via email documentation.	A Contractor Requirements Checklist has been established. The checklist includes a list of the required contract documents. Where required contract documents are received by other departments such as Risk Management and Legal Services, the Contract Administrator is to state the name of the receiving department, the form of confirmation of the receipt and acceptance of the document (e.g. email confirmation) and the date documents were received.
Recommendation # 2 We recommend that the Director of Public Works in collaboration with the Traffic Signals Engineer, establish and document a Standard Operating Procedure (SOP) for creating amending agreements within the Public Works Department, which aligns with the underlisted procedures included in AS014 (Review, Approval, and Execution of Agreements): o The date when the SOP was last updated/effective date o Clarification of the responsibilities and the job positions/persons of those responsible for performing the procedures o When to create an amending agreement o Individual who will ensure that the SOP and AS-014 are followed / oversight process. o Retention of email or communication to demonstrate performance and oversight of the procedures The internal SOP should be communicated to all staff of the Traffic Signals Branch.	In progress	2025 Qtr 1	2025 Qtr 4	n/a	Management agrees with the recommendation. Public Works will have this Standard Operating Procedure in place and updated as per the American Public Works Association Re-accreditation process commencing in November 2024.	n/a
Recommendation # 3 We recommend that the Director of Public Works in collaboration with the Traffic Signals Engineer, work with the Claims Branch to establish a process that ensures the prompt reporting of damages, the associated costs, and all required documentation supporting the claims are supplied to the Claims Branch in a timely manner. Additionally, the status of the claims should be consistently monitored and reported on.	Implemented	2025 Qtr 1	2025 Qtr 2	n/a	Management agrees with the recommendation. Traffic Signal Engineer to work with Supervisor of Claims & Risk Control Services to develop documented process for reporting and monitoring status of traffic signals damages to the Risk Management branch. This process will include submission of relevant documents, photos (when available), claim status, and costs. Process will be provided to Traffic Signals employees via email documentation.	A Damage Reporting Process was developed by the Traffic Signals Branch in collaboration with the Claims Branch and communicated to the Supervisor, Traffic Signals Ops, Design Constr. Eng. Traffic Signals, Supervisor of Claims & Risk Control Services and the Public Works Clerks, responsible for most of the process.

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TSB- Procurement and Contracting Audit (published September 2024) - Status of Audit Recommendations at June 30, 2025
winnipeg.ca/audit/pdfs/reports/2024/Traffic-Signals-Branch-Procurement-and-Contracting-Audit-September-2024.pdf

Recommendation # 4 We recommend that Corporate Finance update the administrative standard to include the use of new purchase orders for each new contract. This should be communicated to all the departments.	Implemented	2024 Qtr 3	n/a	2024 Qtr 4	Management agrees with the Recommendation. Clause B1.6 (d) (i) of FM-002 was updated in July 2024 to include instructions to issue one purchase order for each contract.	The Administrative Standard FM 002 (Supplemental to the Purchasing Policy) was updated with the inclusion of the use of one purchase order for each contract. The update was communicated to the City Contract Administrators via an email sent on November 1, 2024.
Recommendation # 5 We recommend that Corporate Finance update the administrative standard to set base guidelines for closing purchase orders, communicating and holding departments accountable to adherence to defined procedures.	Implemented	2024 Qtr 4	2025 Qtr 2	n/a	Corporate Finance agrees with the recommendation and will update the PeopleSoft guides to assist staff with base guidelines for closing purchase orders. At year-end, Corporate Finance does a complete review of open Purchase Orders and we will look at doing the review on a semi-annual basis going forward.	The PeopleSoft Purchasing Guidelines were updated with guidelines on closing Purchase Orders. The updated Guidelines were uploaded on the Corporate Finance site and communicated to City Controllers by the Corporate Controller. The Corporate Controller will remind City Controllers throughout the year to clean up open Purchase Orders in PeopleSoft. There will be year-end review and monitoring through weekly status report to the Corporate Controller in ensuring accountability to adherence to the procedure.
Recommendation # 6 We recommend that Corporate Finance designate a Program Manager to update the Purchasing Card Program Procedures manual with the current correct maximum single-transaction limit of $5,000.	Implemented	2024 Qtr 3	n/a	2024 Qtr 4	Corporate Finance agrees with the recommendation and will update the Purchasing Card Program Procedure to reflect the correct maximum single-transaction limit of $5,000.	The Purchasing Card Procedures Program Manual has been updated to include: the maximum single transaction limit has been updated to $5,000. Additionally, the Purchasing Card Program New Cardholder Application Form template included as attachment B in the program manual states the transaction maximum limit as $5,000.

TOTAL RECOMMENDATIONS	6
Implemented	5
In progress	1

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Urban Forestry Branch Investigation (published September 2022) - Status of Audit Recommendations at June 30, 2025
winnipeg.ca/audit/pdfs/reports/2022/UrbanForestryBranchInvestigation-September2022.pdf

	Status	Initial target for implementaion	Revised target for implementaion	Implementation date	Initial implementation plan	Evidence of implementation reviewed by Audit Department
Recommendation #1 We recommend that Corporate Finance review the processes related to the issuance of a purchase order for additional work under an existing contract to ensure that the over-expenditure is properly approved. Consideration must be given to the cost-benefit of the solution but also ensure continued compliance with trade agreements.	implemented	2023 Qtr 1	n/a	2024 Qtr 3	Corporate Finance agrees appropriate authorizations for contract over-expenditures should be obtained prior to contracting with suppliers and directing the related work be executed. Administrative standards supplement the Council approved Materials Management Policy and include direction on contract over-expenditures. The standards generally do not prescribe the format by which contract over-expenditure authorizations are obtained. Further, Corporate Finance acknowledges the practicalities of executing works sometimes may result in appropriate authorizations being informal or “after-the-fact”. In response to this recommendation, Corporate Finance will: □ (Materials Management) amend the administrative standards recommending obtaining contract over-expenditure approval prior to directing the supplier to execute related works, including issuing/amending a purchase order for this. □ (Materials Management) include this in its Contract Administrator training. □ (Corporate Controller) discuss with departmental controllers the internal control of appropriate contract over-expenditure authorizations documented in PeopleSoft.	The recommendation is considered implemented. The Administrative Standard FM-002 has been updated and communicated to all affected departments.
Recommendation # 2 We recommend that the Branch and WFMA improve communications to ensure purchases and/or repairs are administered in accordance with the Service Level Agreement, even in emergency situations. Processes should be developed and documented.	In progress	2024 Qtr 1	2025 Qtr 3	n/a	The Public Works Department is working with WFMA to finalize a Service Level Agreement. The Branch has been working with the WFMA Business Liaison Officer to improve communicationsand/or resolve concerns about repair services and procurement that have not been resolvedbetween the Branch operations and WFMA facilities.	n/a
Recommendation #3 We recommend that management at the Branch review the existing inventory controls in place for key processes such as inventory counts and take the opportunity to enhance the controls as needed.	implemented	2023 Qtr 1	n/a	2023 Qtr 2	The Branch will review inventory controls and identify improvements within existing budget and staffing resources.	The Branch has assigned employees to the signing out and return of equipment on a daily basis. Crews have been directed to return all tools/materials signed out at end of day. Staff are signing out tools/materials at beginning of day and ensuring same are returned at end of day. Staff are manually tracking distribution of materials, PPE, power tools, and tools under Foreman supervision. Upon final review, the Branch does not have additional staff resources nor technological resources to have an electronic inventory tracking system.
Recommendation # 4 We recommend that the Branch perform annual performance reviews for all Branch employees.	implemented	2022 Qtr 4	n/a	2023 Qtr 1	Performance reviews are completed on the anniversary dates of employees entering their current position or are conducted prior to lay off for temporary/seasonal staff. Notifications for annual performance reviews are provided to relevant supervisors via PeopleSoft HR. Management will ensure performance reviews are conducted accordingly across the Branch.	The Branch and Public Works Human Resources will ensure that performance reviews are completed annually for all Branch employees.

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winnipeg.ca/audit/pdfs/reports/2022/UrbanForestryBranchInvestigation-September2022.pdf

	Status	Initial target for implementaion	Revised target for implementaion	Implementation date	Initial implementation plan	Evidence of implementation reviewed by Audit Department
Recommendation #5 We recommend that the Branch work with Public Works Human Resources to ensure sufficient controls are in place for financial transactions and general human resource practices related to personnel in the workplace	implemented	2022 Qtr 4	n/a	2023 Qtr 1	When a conflict or perceived conflict is identified, Human Resources will support the Branch to ensure that there is a documented mitigation plan to ensure sufficient controls are in place for financial transactions and general human resource practices.	The Branch and Public Works Human Resources have taken steps to ensure that the personnel Conflict of Interest (COI) forms include sufficient controls for financial transactions and general human resource practices.
Recommendation #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.	implemented	2022 Qtr 4	n/a	2024 Qtr 2	Corporate Human Resource Services accepts this recommendation and will be updating the City of Winnipeg Conflict of Interest Policy.	The updated Conflict of Interest Policy was adopted by Council on February 23, 2023 and included additional guidance related to workplace relationships. It is posted winnipeg.ca/hr/pdfs/policies/ConflictofInterestPolicy.pdf A communication strategy about the COI policy and an electronic policy acknowledgement was developed in PeopleSoft and was launched in May 2024.
Recommendation #7 We recommend that the Chief Financial Officer review requirements for departments to undertake sole source procurements in an emergency, including without limitation an act of God. This includes determining what processes are mandatory and tailored to ensure a timely, effective and efficient response to emergencies while still preserving core controls.	implemented	2023 Qtr 2	n/a	2024 Qtr 2	Corporate Finance will update Administrative Standard FM-002 to provide additional guidance in emergencies.	The updated Administrative Standard FM-002 has been implemented and communicated to all affected departments. Section C: Procedures delineates single source purchasing in an emergency. The document is posted on the City's intranet for all employees. The CFO is the authority for the Administrative Standard.
Recommendation #8 We recommend that the Materials Management Division monitor exceptions (i.e. deviations from acceptable practices) and communicate them on an annual basis through emails and training sessions for all contract administrators	implemented	2023 Qtr 2	n/a	2023 Qtr 3	The next update to the Contract Administrator training manual will include an Appendix to communicate deviations with supporting language on how to interpret various situations.	Materials Management will monitor exceptions and incorporate trends into the training material and manuals as required.

TOTAL RECOMMENDATIONS	**8**
Implemented	**7**
In progress	**1**

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Workforce Management Audit - published June 2024 -Status of Audit Recommendations at June 30, 2025
https://legacy.winnipeg.ca/audit/pdfs/reports/2024/Workforce-Management-Audit-June-2024.pdf

	Status	Initial target for implementation	Revised target for implementation	Implementation date	Initial implementation plan	Evidence of implementation reviewed by Audit Department
Recommendation # 1 We recommend the CAO, in consultation with Department Directors, establish a process for reporting the progress and/or achievement of the organization's and department's strategic goals to the CAO. The process should include a feedback loop for communicating any issues, following up on outstanding items, or recognizing a job well done within a department. The process description should also be documented and communicated to the appropriate personnel.	In progress	2025 Qtr 4	n/a		Management agrees with the recommendation. The CAO and Manager of Strategic Planning are in the process of completing a reporting tool that will be used by Directors to annually report on their assigned SPAP and Corporate Strategic Plan Goals, including goals specific to each department, to be completed by Q4 2024. Achievement of SPAP, Corporate Strategic Plan, and Departmental goals will be reviewed by the CAO with Department Heads during annual performance review process. This has been occurring in 2024, for completion in Q1 2025.	n/a
Recommendation # 2 We recommend the Director of HRS update the Administrative Standards No. HR-003 Employee Education and Development and No. HR-012 Employee Performance Management with the appropriate key positions in the current organizational chart. The key roles and responsibilities listed in the job descriptions should align to the administrative standards, as applicable.	Implemented	2024 Qtr 4	n/a	Implemented early 2024 Qtr 3	Management agrees with the recommendation. HR-003 is scheduled to be removed as the content has been incorporated as part of the new Employee Development framework document, to be rolled out in 2024. The Director of HRS will assign HR-012 to be updated as it remains active and so it is current. It is anticipated that the content of Administrative Standard HR-012 will be incorporated into the updated performance management	Administrative Standard HR-003 (Education & Development) has been revised into a comprehensive framework, approved and posted to City Intranet site. HR-012 (Performance Management) has been updated to reflect changes cited in Recommendation #2. Further changes to HR-012 will be made to fulfill Recommendation #5.
Recommendation # 3 We recommend the CAO, in collaboration with the Administrative Standards working Group, enhance the review process for existing administrative standards. The role and responsibilities of the working Group, as a whole, should be clarified in the Administrative Standards Framework. The CAO's office or the working group's responsibility should include maintaining a master spreadsheet listing all the Administrative Standards, noting the standards to be reviewed. The review should be triggered by significant changes (e.g. change in organizational structure, re-naming key roles / positions, major changes in process, etc.) and regular interval.	Implemented	2024 Qtr 4	n/a	Implemented early 2024 Qtr 3	Management agrees with the recommendation. The Administrative Standards Committee through the Office of the CAO will be revived and will complete a review of the documented Administrative Standards twice a year. The Committee consists of internal services Directors and is led by the Manager of Administration from the Office of the CAO. At these meetings, the Committee discusses any updates and makes decisions on the Administrative Standards that will be updated next, or they include any unscheduled Administrative Standards that become priority for update, creation, or deletion since the last meeting. Each Director is required to keep the inventory list updated for their areas, which is then rolled up into a master list held in the Office of the CAO.	Review process enhanced, master database created and working group actively reviewing and updating administrative standards.

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	Status	Initial target for implementation	Revised target for implementation	Implementation date	Initial implementation plan	Evidence of implementation reviewed by Audit Department
Recommendation # 4 We recommend that the Director of HRS enhance the process for monitoring and updating job descriptions. The process should be documented and effectively communicated by the Director of HRS and through the CAO to Department Directors and ultimately to the individuals responsible for the creation and updating of job descriptions. Furthermore, the process should include regular reporting to the CAO or Director of HR on the progress of job description updates and creations.	In progress	2025 Qtr 2	2025 Qtr 4	n/a	Management agrees with the recommendation. The Director of HRS will communicate the process for leaders and employees to update job descriptions. A job description template already exists and will be provided through HR Services, with direction on how to use the template, how to submit a job description for review, and how to seek assistance from local HR services to complete a job description, or how to request support from Compensation & Classification Services if required. The Total Compensation Branch will work with the Employee Development Branch to create an online tool with instructions on how to complete job descriptions. Departments will have the following role: •Departments will be requested to focus on creating job descriptions that do not exist first. •Departments will continue to update job descriptions as they are needed for postings. •Both SMT and HRS staff will be reminded that job descriptions should be updated and submitted for review if the role has changed substantially over time. •Department Directors will be directed to report on the number of job descriptions that have been updated or created annually in their respective departments. Department Directors will be directed to create a list of all positions in their organization, if a job description has been created and, if so, its last formal review/update date. These lists be used to set future goals for job description reviews and updates for the department. These lists will be rolled into a master list by Corporate HR, which could be used for reporting.	n/a

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	Status	Initial target for implementation	Revised target for implementation	Implementation date	Initial implementation plan	Evidence of implementation reviewed by Audit Department
Recommendation # 5 We recommend that the Director of HRS, in consultation with departments, develop a new formal performance review process that can be tailored to address the diverse needs of the City departments. The minimum requirements should include: •The frequency of reviews •Specific timing of completion •Tracking the status of reviews and a follow-up for reviews not started •Reporting by departments directly to the CAO (or through HRS), at least annually, to measure compliance with the new process •Incorporate the completion of employee performance reviews as performance metrics for leaders to ensure accountability (i.e. include compliance to the new process in the leader's own annual performance review) •Template with the minimum required components of a performance review (may contain - goals, key KPIs and evaluation against the measures, training and development plan, flex workplace program - if applicable). The process should be documented and communicated.	Implemented	2025 Qtr 4	n/a	Implemented early 2024 Qtr 4	Management agrees with the recommendation. Employee performance is a priority of the CAO and Director of HRS. The CAO and Director of HRS have advised Directors to ensure performance reviews for all staff are completed within existing resources. This includes using the existing PeopleSoft system (PS) as well as paper-based evaluations for the many field staff who do not have access to PS. Of the approximately 8570 employees at the city who report to the CAO, approximately 4200 field staff do not have access to PS. Performance reviews for these staff are often paper-based, and therefore not formally tracked through PS. The CAO will direct Department Directors to maintain a master list of all staff evaluations, for employees whose evaluations are through PS and for those conducted in other methods. Completion rates of the same will form part of the goals discussed in annual Director performance reviews. Human Resource Service is currently researching options for an updated performance program that could be used for all employees at the City of Winnipeg. This formal Performance Management Project is expected to launch at the end of 2024, with a new program expected in late 2025. There is currently no budget in HR Services to support this project. All options will be presented to the CAO for final approval.	The A/Director of HRS developed a new formal performance review process that is tailored to address the diverse needs of all City departments. The new process was communicated to all city staff on December 9, 2024 via an email.

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	Status	Initial target for implementation	Revised target for implementation	Implementation date	Initial implementation plan	Evidence of implementation reviewed by Audit Department
Recommendation # 6 We recommend that the CAO work with Department Directors to develop a process that establishes Key Performance Indicators (KPIs) and/or performance targets/goals at the employee level that align with the goals and objectives of the department and Corporate Strategic Plan. The KPIs and/or performance targets/goals should be communicated to all leaders and employees within the departments and should be used to evaluate performance towards achievement of the established goals, targets and/or KPIs.	Implemented	2025 Qtr 4	n/a	2025 Qtr 2	Management agrees with the recommendation. The CAO has directed a tool be created for Department Heads to use annually to report on both the Corporate Strat Plan and Council's SPAP goals, KPIs specific to departments and job duties, and individual employee goals as established during the annual performance review process. The CAO will also direct that those employees and departments already using KPI's continue to do so and plan to report annually on the outcomes or progress made as directed. All departments are encouraged to explore adding KPIs where it makes sense to do so. The CAO will also direct that a process be developed to establish KPIs and/or performance targets/goals at the employee level that will be used to gauge operational achievements, evaluate performance at different levels, focus attention on areas of improvement, and improve efficiency.	The Director of Human Resources, in consultation with the CAO and Department Directors, developed a new performance management process that requires leaders to establish Key Performance Indicators (KPIs) and/or performance targets/goals at the employee level that align with the goals and objectives of the department and Corporate Strategic Plan. The process is designed to evaluate performance towards achievement of the established goals, targets and/or KPIs.
Recommendation # 7 We recommend that the CAO, in collaboration with Department Directors and the Director of HRS, conduct a risk-based analysis of the span of control in departments and develop a plan of action to establish optimal spans of control where concerns are identified.	Implemented	2024 Qtr 4	n/a	2024 Qtr 4	Management agrees with the recommendation. Directors will review spans of control in their department and conduct a risk analysis with support from department HR Services staff and develop plans of action for improvement where needed. Directors will review those action plans with the CAO. Any recommended increase in FTEs will be provided to Council for consideration during the annual budget process.	The Office of the CAO conducted a risk-based analysis of the span of control in departments and developed a plan of action to establish optimal spans of control where departments identified concerns.
Recommendation # 8 We recommend that the Chief Financial Officer formally document the Continuous Monitoring process. The formalized process should be communicated to individuals responsible for the Continuous Monitoring. The process should include, at a minimum: •The key roles and their responsibilities in the process •The desired frequency of the Continuous Monitoring process •A requirement for the Finance Managers or Department Directors to report the results of the Continuous Monitoring process to the CFO or the Corporate Controller and the frequency of reporting	Implemented	2024 Qtr 3	n/a	2024 Qtr 3	Management agrees with the recommendation to provide formal documentation on the Continuous Monitoring process. The Corporate Controller Division will draft and distribute the formal documentation on the Continuous Monitoring process. The results of the Continuous Monitoring process will be elevated to the Department Heads. Directors of each Department control and direct staffing and their utilization of overtime, so the responsibility has to be with those that have control. As an added measure, Corporate Finance will provide a quarterly report to the SMT on overtime usage within the City to bring more awareness and transparency.	Overtime Continuous Monitoring Process formally documented and adopted by SMT. It's been made available on the City's intranet and widely distributed internally.

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Workforce Management Audit - published June 2024 -Status of Audit Recommendations at June 30, 2025
https://legacy.winnipeg.ca/audit/pdfs/reports/2024/Workforce-Management-Audit-June-2024.pdf

	Status	Initial target for implementation	Revised target for implementation	Implementation date	Initial implementation plan	Evidence of implementation reviewed by Audit Department
Recommendation # 9 We recommend that the Chief Financial Officer, in consultation with the Director of HRS and Department Directors, establish the minimum standards for the departmental process concerning pre-approving overtime, including clearly defined documentation requirements. The process description should be documented and communicated to all leaders who have the authority to pre-approve overtime.	Implemented	2024 Qtr 3	n/a	2024 Qtr 3	Management agrees with the recommendation. As part of the development of the documentation in Recommendation #8, management will include the relevant parameters and requirements for documentation for pre-approving overtime which will be communicated to supervisory staff.	Overtime pre-approval requirements and standards included in documented Continuous Monitoring Process. Initial quarterly Overtime report reviewed by SMT in Q3. Internal distribution/communication of Continuous Monitoring Process.
Recommendation # 10 We recommend that the CAO, in consultation with Department Directors, conduct the review of field operations in the departments identified in the report to Council – All other divisions of PP&D, Public Works, Water and Waste, and Community Services. Any information gathered from these reviews should be considered for any policy/budget decisions, and if applicable, future reviews of other field operations.	In progress	2027 Qtr 4	n/a	n/a	Management agrees with the recommendation. The CAO will direct a review of field operations, one department per year, starting in 2024, ongoing annually until Q4 2027.	n/a
Recommendation # 11 We recommend that the CAO, in consultation with the Department Directors and the Director of HRS, develop a process for Departments to report to HRS and the CAO on completion of the annual FWP review and the effectiveness of the Flexible Workplace arrangements.	Implemented	2025 Qtr 1	n/a	Implemented early 2024 Qtr 4	Management agrees with the recommendation. Flexible workplace arrangements are reviewed in real time and formally during the employee's annual performance review. All 1550 employees in the flexible workplace program can be evaluated using the PeopleSoft system. The Flexible Workplace Administrative Standard provides for two options to annually evaluate the formal FWP arrangement. Leaders will use the FWP annual evaluation tool as part of their review of FWP arrangements during annual performance evaluations. The survey tool can be printed and sent to the employee file if required. HRS will remind Directors of the FWP evaluation tool, which is currently available for use. HR Services is currently working to incorporate the FWP evaluation tool into the existing PS system for use. FWP review tools will be added to the design of the new PM program targeted for completion in 2025 to ensure it can be easily tracked and reported on as needed.	Human Resource Services (HRS) developed a process for Departments to track and report to HRS and the CAO on completion of the annual FWP review and the effectiveness of the Flexible Workplace arrangements.

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	Status	Initial target for implementation	Revised target for implementation	Implementation date	Initial implementation plan	Evidence of implementation reviewed by Audit Department
Recommendation # 12 We recommend the CAO, in consultation with the Director of HRS develop a formal documented process for obtaining reports on the completion rates for all employee required training. The process should include Department Directors working with leaders on addressing low completion rates.	Implemented	2024 Qtr 4	n/a	2024 Qtr 4	Management agrees with the recommendation. Mandatory/Required Training lists will be identified for each Department and employee as part of the new Learning Management System roll out in 2024. The Director of HRS will work with Employee Development, and department HR teams, who will work with leaders across the city to assist them with monitoring and developing plans with Directors to address employee completion rates.	Human Resource Services has developed a formalized process that is documented to obtain reports on the completion rates for all employee required training. HRS advised Department Management to work with employees and leaders to address any low completion rates.
Recommendation # 13 We recommend that the Director of HRS develop and implement a communication plan to educate all leaders and employees on the process for recording the external training that they have completed in PeopleSoft.	Implemented	2024 Qtr 4	n/a	Implemented early 2024 Qtr 3	Management agrees with the recommendation. The Director of HRS will work with Employee Development and leaders across the City to create a process to educate employees on how to submit external training information to HR Services for inclusion on their PS record and as part of the implementation of the new Learning Management System. This will be communicated city-wide via existing processes.	A process to record external training and education already exists in PeopleSoft. Internal communication reminding employees of the current process to record external education and training in PeopleSoft has been completed. This recording process will change with the implementation of the new Learning Management System (LMS), and changes will be communicated with the launch of the new LMS.

TOTAL RECOMMENDATIONS	13
Implemented	10
In progress	3

Winnipeg | Audit

Water and Waste Department Investigation - Brady Road Resource Management Facility Investigation (published August 2022)
Status of Audit Recommendations at June 30, 2025 - final report all recommendations have been implemented
winnipeg.ca/audit/pdfs/reports/2022/WaterAndWasteDeptInvestigation-BradyRoadResourceManagmentFacility-August2022.pdf

	Status	Initial target for implmentation	Revised target for implementation	Implementation Date	Initial Implementation Plan	Evidence of implementation reviewed by Audit Department
Recommendation # 1 We recommend the Water and Waste Department examine the Brady Road Resource Management Facility's future dozer utilization requirements. The analysis should include at a minimum: - forecast tonnage to be received by hour/day/week. - detailed hourly requirements of expected dozer usage (grading, road repairs, snow removal, etc.). - estimate of the City-owned dozer capacity (accounting for downtime and other key factors), if the dozer is to be retained. - other variables such as daily tasks, equipment versatility, and future landfill demands (as identified in SWANA guidance). This analysis, should form the foundation of a business case to identify the type and number of dozers the facility requires.	Implemented	2023 Qtr 3	2025 Qtr 2	n/a	We recognize that based on volume calculations alone we appear to have more capacity than needed; however, operational capacity must have some redundancy to address major breakdowns or extended equipment down time on these key pieces of equipment. The City would be at risk if peak hour material volumes are backlogged and create subsequent issues with Provincial license requirements. Going forward, a comprehensive business case will be prepared as recommended by this report in order to document the equipment requirements	Water and Waste Department examined the Brady Road Resource Management Facility's future dozer utilization requirements which included the forecast tonnage, detailed hourly requirements of expected dozer usage and estimated dozer size and number in support of issuing a Request For Proposal for Hourly Rates for Heavy Equipment at the Brady Resource Management Facility. A formal business case was not prepared, however the RFP the analysis ensured the correct size of equipment was included in RFP and the RFP is only for hours worked with no set minimums.
Recommendation # 2 We recommend for the Water and Waste Department to include the unique work ticket number in the work ticket listing. Additionally, management should reconcile the work ticket summary to invoices to identify potential discrepancies during the remaining contract term of Bid Opportunity 595-2018.	Implemented	2023 Qtr 2	n/a	2023 Qtr 1	We will implement steps as outlined in the recommendation to ensure this process is improved.	Unique work tickets are created, tracked on a work ticket summary worksheet and reconciled to invoices..
Recommendation # 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.	Implemented	2023 Qtr 1	n/a	2022 Qtr 4	The Corporate Human Resource Services Department agrees with the results and associated recommendations. Existing letter templates will be reviewed and updated to reflect current Collective Agreement language. This will be actioned asap by the Corporate Recruitment team and a proper letter of offer will be circulated to the HR Community for future use. The letters may need to be vetted by multiple parties prior to circulation such as Human Resource Managers, Labour Relations, etc. but the matter will prioritized and actioned as quickly as we can.	A standardized rehired letter of offer and term extension letter has been created, it has been circulated and posted for use.
Recommendation # 4 We recommend the Water and Waste Department establish and document procedures related to staff screening clean fill for prohibited wastes, considering the suggestions in the SWANA training material. We also recommend the Department develop a process to formally monitor staff's compliance to the documented processes.	Implemented	2023 Qtr 3	n/a	2024 Qtr 3	We agree with the recommendation and have already taken steps necessary to correct this going forward. The Department will develop and document a process for management of clean fill. It should be noted that the industry recommended clean fill ratio may not necessarily always apply to a municipally operated landfill, as clean fill capacity limits can directly impact other Civic departments.	The recommendation is considered implemented and communicated. The Department established and documented the standard operating procedures for clean fill screening and communicated it to the appropriate employees. The employees signed a record of acknowledgment for the updated clean fill screening procedures. A tracking mechanism is in place for recording random inspections.

TOTAL RECOMMENDATIONS	4
Implemented	4
In progress	0