

APPENDIX A - City of Windsor Audit Recommendation Tracking Summary - December 31, 2019

Finding #	Recommendation/Topic	CLT Member Responsible	Assigned to	Audit Report/Source	Audit Unit/Firm	Date Issued	Target Date for Implementation	Current Status (as of December 31, 2019)	Additional Comments
51a	Documented strategic plan	WDTC Chief Executive Officer	WDTC Chief Executive Officer	WDTC	PwC	July 27, 2015	2016 Q4	Item retargeted to 2020 Q3	Due to the incorporation of a new organization, Windsor Detroit BorderLink Limited, management requires additional time to draft a strategic plan.
51b	Evidence of Board review and approval	WDTC Chief Executive Officer	WDTC Chief Executive Officer	WDTC	PwC	July 27, 2015	2016 Q4	Item retargeted to 2020 Q3	See description in 51a
101	Evidence of contract review with the County of Essex to consider: a) Outlining oversight responsibilities, contract ownership and expectations regarding Blue Box collection, and b) Flow through of expenses from the City to the Authority and the terms of the other shared finance services provided by the City.	Chief Administrative Officer	Chief Administrative Officer	EWSWA	PwC	January 26, 2016	2016 Q2	Retargeted to 2020 Q3	
116a	Evidence of public consultations to update User Fee Policy.	Corporate Leader, Parks, Recreation & Culture and Facilities	Executive Director of Recreation & Culture	User Fees Review	PwC	April 25, 2016	2018 Q2	Item complete and will be included in the next validation by PwC.	
116b	Updated User Fee Policy.	Corporate Leader, Parks, Recreation & Culture and Facilities	Executive Director of Recreation & Culture	User Fees Review	PwC	April 25, 2016	2018 Q2	Item complete and will be included in the next validation by PwC.	
165	Document a reporting and services agreement between the City & RGCC	GM, Roseland	GM, Roseland	Roseland Golf & Curling Club	PwC	October 23, 2017	2018 Q2	Item retargeted to 2020 Q4	
166	Define and document strategic plan	GM, Roseland	GM, Roseland	Roseland Golf & Curling Club	PwC	October 23, 2017	2018 Q4	Item retargeted to 2020 Q4	
167	Update policy manual	GM, Roseland	GM, Roseland	Roseland Golf & Curling Club	PwC	October 23, 2017	2018 Q3	Item retargeted to 2020 Q4	
173	Define overarching Policies for Inventory Control	Chief Financial Officer	Deputy Treasurer – Financial Accounting	Inventory Control and Lifecycle Management	PwC	October 23, 2017	2018 Q4	Item complete and will be included in the next validation by PwC.	
192	Enhance PM Task Instruction Accuracy - Pollution Control	City Engineer	Mechanical Process Engineer	Pollution Control - Preventative Maintenance Compliance & Accountability	PwC	August 27, 2018	2019 Q2	Item complete and will be included in the next validation by PwC.	
193	Conduct Trend Analysis - Pollution Control	City Engineer	Mechanical Process Engineer	Pollution Control - Preventative Maintenance Compliance & Accountability	PwC	August 27, 2018	2019 Q2	Item complete and will be included in the next validation by PwC.	
194	PM Escalation Standards	City Engineer	Mechanical Process Engineer	Pollution Control - Preventative Maintenance Compliance & Accountability	PwC	August 27, 2018	2019 Q2	Item complete and will be included in the next validation by PwC.	
196	Enhance PM Compliance - Fleet	City Engineer	Fleet Coordinator	Fleet - Preventative Maintenance Compliance & Accountability	PwC	August 27, 2018	2019 Q4	Item complete and will be included in the next validation by PwC.	
197	Conduct Trend Analysis - Fleet	City Engineer	Fleet Manager	Fleet - Preventative Maintenance Compliance & Accountability	PwC	August 27, 2018	2019 Q4	Item complete and will be included in the next validation by PwC.	
199	Establish policies and procedures for Apparatus and Training division	City Solicitor	Director of Apparatus/ Chief Training Officer	Fire Rescue Compliance	PwC	August 27, 2018	2019 Q4	Item complete and will be included in the next validation by PwC.	
200	Enhance annual training planning and documentation for monitoring	City Solicitor	Chief Training Officer	Fire Rescue Compliance	PwC	August 27, 2018	2020 Q2	In progress	
201	Improve documentation structure and consistency for training	City Solicitor	Administrative Assistant	Fire Rescue Compliance	PwC	August 27, 2018	2019 Q4	Item complete and will be included in the next validation by PwC.	
202	Enhance apparatus maintenance annual planning and documentation for monitoring	City Solicitor	Director of Apparatus	Fire Rescue Compliance	PwC	August 27, 2018	2019 Q4	Item complete and will be included in the next validation by PwC.	

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205	Enhance purchasing policy and document inventory and asset management procedures	CEO - Your Quick Gateway	YQG - Director of Operations	YQG - Managing Inventory, Repairs and Maintenance	PwC	August 27, 2018	2019 Q2	Item retargeted to 2020 Q2	New CEO started on January 13, 2020. More time is needed for his review.
206	Review and document current inventory/asset management systems and processes	CEO - Your Quick Gateway	YQG - Director of Operations	YQG - Managing Inventory, Repairs and Maintenance	PwC	August 27, 2018	2019 Q1	Item retargeted to 2020 Q2	See description in item 205.
207	Enhance key vendor management controls	CEO - Your Quick Gateway	YQG - Director of Finance	YQG - Managing Inventory, Repairs and Maintenance	PwC	August 27, 2018	2018 Q4	Item complete and will be included in the next validation by PwC.	
209	Enhance compensating controls to address potential segregation of duties	CEO - Your Quick Gateway	YQG - Director of Finance	YQG - Managing Inventory, Repairs and Maintenance	PwC	August 27, 2018	2018 Q4	Item complete and will be included in the next validation by PwC.	
211	Enhance project classification and expectation guidelines	CAO - City of Windsor	Executive Initiatives Coordinator - CAO's Office	Managing Transition of Projects into Operations	PwC	November 5, 2018	2019 Q3	Item retargeted to 2021 Q4	Resource assigned to this recommendation has been seconded to the WFM project.
212	Enhance considerations for project risk assessments	CAO - City of Windsor	Executive Initiatives Coordinator - CAO's Office	Managing Transition of Projects into Operations	PwC	November 5, 2018	2019 Q3	Item retargeted to 2021 Q4	See description in 211
213	Formalize detailed Project Implementation Plan	CAO - City of Windsor	Executive Initiatives Coordinator - CAO's Office	Managing Transition of Projects into Operations	PwC	November 5, 2018	2019 Q3	Item retargeted to 2021 Q4	See description in 211
214	Enhance approach to pre/post go-live feedback collection and aggregation	CAO - City of Windsor	Executive Initiatives Coordinator - CAO's Office	Managing Transition of Projects into Operations	PwC	November 5, 2018	2019 Q3	Item retargeted to 2021 Q4	See description in 211
215	Improve evidence of timely completion and review of key billing controls	Chief Financial Officer	Deputy Treasurer, Taxation and Financial Projects	Property tax billing and payment processing	PwC	November 5, 2018	2019 Q3	Item complete and will be included in the next validation by PwC.	
217	Continue to monitor resource needs and benefits of the centralized grant function	Chief Financial Officer	Senior Manager of Asset Planning	Pursuit of Grant Funding	PwC	February 4, 2019	2019 Q2	Item complete and will be included in the next validation by PwC.	
218a	Define service standards and metrics to evaluate performance	CLT-Parks, Facilities, Recreation & Culture	Senior Manager, Facilities	Facilities Operations	PwC	February 4, 2019	2020 Q2	Item retargeted to 2020 Q4	Due to unforeseen circumstances, the Senior Manager, Facilities and the Manager, Assets & Projects were not available in 2019 Q3 & Q4 to address this recommendation and therefore a retarget is required.
218b	Review of priorities assigned to work orders	CLT-Parks, Facilities, Recreation & Culture	Manager, Facility Operations	Facilities Operations	PwC	February 4, 2019	2019 Q4	Item retargeted to 2020 Q4	See description in item 218a.
218c	Establish goals and targets, and develop metrics to assist in measuring and evaluating progress towards goals.	CLT-Parks, Facilities, Recreation & Culture	Manager, Assets & Projects	Facilities Operations	PwC	February 4, 2019	2020 Q4	In progress	
218d	Establish service level agreements/statements to define the expectations	CLT-Parks, Facilities, Recreation & Culture	Manager, Assets & Projects and Manager, Facility Operations	Facilities Operations	PwC	February 4, 2019	2020 Q4	In progress	
219	Enhance Management Discussions	CLT-Parks, Facilities, Recreation & Culture	Manager, Assets & Projects and Manager, Facility Operations	Facilities Operations	PwC	February 4, 2019	2019 Q4	Item retargeted to 2020 Q4	See description in item 218a.
220a	Develop a formal template of criteria for pursuing/not pursuing capital work.	CLT-Parks, Facilities, Recreation & Culture	Manager, Assets & Projects and Manager, Facility Operations	Facilities Operations	PwC	February 4, 2019	2019 Q4	Item retargeted to 2020 Q4	See description in item 218a.
220b	Define clear 'documentation' standard and develop standard forms/templates	CLT-Parks, Facilities, Recreation & Culture	Manager, Assets & Projects and Manager, Facility Operations	Facilities Operations	PwC	February 4, 2019	2021 Q4	No update yet. Due 2021 Q4	
220c	Documentation of training and that training material & records are centrally located.	CLT-Parks, Facilities, Recreation & Culture	Manager, Assets & Projects	Facilities Operations	PwC	February 4, 2019	2019 Q2	Item retargeted to 2020 Q4	See description in item 218a.

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221	Periodic WO Aging Analysis	CLT-Parks, Facilities, Recreation & Culture	Manager, Assets & Projects and Manager, Facility Operations	Facilities Operations	PwC	February 4, 2019	2019 Q4	Item retargeted to 2020 Q4	See description in item 218a.
222	Design and implement Customer Satisfaction Survey	CLT-Parks, Facilities, Recreation & Culture	Senior Manager, Facilities	Facilities Operations	PwC	February 4, 2019	2019 Q4	Item retargeted to 2020 Q4	See description in item 218a.
223	Track Conditions and Building Condition Assessments (BCA) periodically	CLT-Parks, Facilities, Recreation & Culture	Senior Manager, Facilities	Facilities Operations	PwC	February 4, 2019	2019 Q4	Item retargeted to 2020 Q4	See description in item 218a.
224	Refresh SM Policy and Implement SM Procedures	City Clerk	Senior Manager Communications & Customer Service	Social Media Strategy Assessment	PwC	February 4, 2019	2019 Q4	Item complete and will be included in the next validation by PwC.	
225	Enhance formal oversight controls over SM policies / procedures and governance	City Clerk	Senior Manager Communications & Customer Service	Social Media Strategy Assessment	PwC	February 4, 2019	2020 Q4	In progress	
226	Define and implement strategy evaluation and performance reporting processes	City Clerk	Senior Manager Communications & Customer Service	Social Media Strategy Assessment	PwC	February 4, 2019	2020 Q4	In progress	
227	Develop standard forms/templates for new account creation requests	City Clerk	Senior Manager Communications & Customer Service	Social Media Strategy Assessment	PwC	February 4, 2019	2019 Q4	Item complete and will be included in the next validation by PwC.	
228	Improve controls over Access Management	City Clerk	Senior Manager Communications & Customer Service	Social Media Strategy Assessment	PwC	February 4, 2019	2019 Q4	Item complete and will be included in the next validation by PwC.	
229	Document key content management procedures/checklists and review/update key account level roles/responsibilities.	City Clerk	Senior Manager Communications & Customer Service	Social Media Strategy Assessment	PwC	February 4, 2019	2019 Q4	Item complete and will be included in the next validation by PwC.	
230	Update the Emergency response plan and document process for performing annual update	City Solicitor	Emergency Planning Officer	Emergency Response Planning & Preparedness	PwC	May 6, 2019	2019 Q3	Item retargeted to 2020 Q1	
231	Documentation of EMPC meeting minutes and retention of annual review of emergency management documentation	City Solicitor	Emergency Planning Officer	Emergency Response Planning & Preparedness	PwC	May 6, 2019	2019 Q2	Item complete and will be included in the next validation by PwC.	
232	Implement incident notification and briefing documentation/logging	City Solicitor	Emergency Planning Officer	Emergency Response Planning & Preparedness	PwC	May 6, 2019	2019 Q2	Item complete and will be included in the next validation by PwC.	
233	Develop process guidelines for continuous improvement exercises, documentation and reporting	City Solicitor	Emergency Planning Officer	Emergency Response Planning & Preparedness	PwC	May 6, 2019	2019 Q4	Item complete and will be included in the next validation by PwC.	
234	Review completeness of annual ERP training provided to the staff	City Solicitor	Emergency Planning Officer	Emergency Response Planning & Preparedness	PwC	May 6, 2019	2019 Q4	Item complete and will be included in the next validation by PwC.	
235	Present phase 2 regeneration plan prior to assigning accountabilities for SAMP goals and objectives	WECHC Chief Executive Officer	WECHC - Chief Development and Regeneration Officer	CHC - Asset Management Housing Portfolio	PwC	July 29, 2019	2020 Q4	In progress	
236	Update LTAM Policy with approved FCI target and outline requirements for review/ approval when changes are required to FCI into a procedure/guideline	WECHC Chief Executive Officer	WECHC - Director of Asset Management	CHC - Asset Management Housing Portfolio	PwC	July 29, 2019	2020 Q1	In progress	
237	Establish an acknowledgement procedure to document whether changes to scope prior to issuing addendum were reviewed by a qualified professional	City Engineer	Purchasing Manager	Hotline Investigation - NTS-002-NOV-2018	PwC	July 29, 2019	2019 Q4	Item complete and will be included in the next validation by PwC.	
238	Enhance controls over authorization, recording and release of materials to contractors	City Engineer	Senior Manager of Traffic Operations	Hotline Investigation - NTS-002-NOV-2018	PwC	July 29, 2019	2019 Q4	Item complete and will be included in the next validation by PwC.	
239	Formalize Incident Management Plan and Procedures	Chief Financial Officer	Executive Director Information Technology	Cyber Response Strategy Assessment	PwC	September 23, 2019	2020 Q4	In progress	

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240	Enhance Security Information and Event Management	Chief Financial Officer	Executive Director Information Technology	Cyber Response Strategy Assessment	PwC	September 23, 2019	2020 Q4	In progress	
241	Develop Incident Severity Matrix and Methodology for Incident Response Times using Critical Asset Classification.	Chief Financial Officer	Executive Director Information Technology	Cyber Response Strategy Assessment	PwC	September 23, 2019	2021 Q1	In progress	
242	Formalize Incident Response Tabletop Exercises	Chief Financial Officer	Executive Director Information Technology	Cyber Response Strategy Assessment	PwC	September 23, 2019	2020 Q2	In progress	

COMPLETED PENDING VERIFICATION
OPEN AND DELAYED