

Audit of Procurement for Pedestrian and Cycling Strategies and Review of Employee Code of Conduct

**Audit Recommendation Implementation quarterly updates:
2018 Qtr 1 to 2020 Qtr 2**

The final report was received by Council on November 26, 2020

<https://clkapps.winnipeg.ca/DMIS/November 26, 2020>



*Audit of Procurement for the Pedestrian and Cycling Strategies
Report and Review of the Employee Code of Conduct
Status of Audit Recommendations
2018 Qtr 1*

To be leaders in building public trust in our civic government

Audit Department

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*Review of the Employee Code of Conduct
Status of Recommendations
2018 Qtr 1*

History

A motion was made in the July 15, 2015 Council meeting that:

- “The City Auditor immediately undertake an independent review of the procurement of the contract and subcontracts related to the Pedestrian and Cycling Strategy so as to ensure that all aspects of the City of Winnipeg Code of Conduct have been upheld and to report their findings back to Winnipeg City Council”; and that
- “The City Auditor provide recommendations to City Council in the event that they find there is a need to update and modernize the City of Winnipeg Employee Code of Conduct.”

On November 23, 2016, the Audit Department reported to Audit Committee and made six (6) recommendations. On December 14, 2016, City Council adopted these recommendations and requested a quarterly update on the status of recommendations.

The Public Service will provide the first status report on the implementation of recommendations from the *Review of the Employee Code of Conduct*, effective the first implementation date of the six (6) audit recommendations.

This is the status report for 2018 Qtr 1 on the implementation of six recommendations from the *Review of the Employee Code of Conduct* as to which recommendations have been implemented and which are yet to be implemented. Where applicable, documentation supporting the implementation of the recommendation was reviewed by the Audit Department to confirm implementation has occurred.

Summary of Audit Recommendations

How was the Status of Audit Recommendations report produced?

The Audit Department forwards a template of the audit recommendations to the Public Service who provides status updates on the implementation of the recommendations. The completed templates are forwarded back to the Audit Department for review and compilation. The status report presents the Public Service's representations as to the status of recommendations implemented, in progress or not to be implemented at the end of 2018 Qtr 1. The Audit Department summarizes the status of implementation and prepares a brief overview for Audit Committee. Documentation supporting the implementation of recommendations is reviewed by the Audit Department to confirm implementation has occurred. For recommendations in progress, an implementation strategy and timeframe is provided. For recommendations not to be implemented, an explanation is provided.

AUDIT REPORT	RECOMMENDATIONS				TARGET DATE FOR COMPLETION			
	Total	Complete	Not to be implemented	Percent Complete	2 nd Qtr 2018	3 rd Qtr 2018	4 th Qtr 2018	1 st Qtr 2019 or later
Review of the Employee Code of Conduct	6	-	-	0%	-	5	1	-

Audit Observations

- The Public Service has reported that no recommendations have been implemented to date.
- At the end of 2018 Qtr 1, six (6) recommendations are in progress:
 - Five (5) recommendations are scheduled for implementation in the 3rd quarter of 2018.
 - Recommendation #1 is regarding an update to the City's Employee Code of Conduct
 - Recommendation #2 is to define the term "conflict of interest" in the Employee Code of Conduct
 - Recommendation #3 is to establish a process to review and update the Employee Code of Conduct
 - Recommendation #4 is to document the ethics framework
 - Recommendation #5 is to establish a process to periodically review and update the City's Ethics Framework
 - One (1) recommendation is scheduled for implementation in the 4th quarter of 2018.
 - Recommendation #6 is to develop a training course for all City employees, mandated for supervisory positions, and educates employees on the City's ethics framework

Date: April, 2018

Recommendations In Progress – 2018 Qtr 1 Updates

No.	Recommendation	Update – 2018 Qtr 1
1	We recommend that the Public Service update the City's Employee Code of Conduct to incorporate the key characteristics for codes.	<p>The Code of Conduct has been updated to incorporate the key characteristics for codes. It is currently being reviewed by the CAO before it can be rolled out to all employees. Implementation and rollout planned for Q3.</p> <p><u>Implementation Date:</u> 2018 Qtr 3</p>
2	We recommend that the Public Service revise the City's Employee Code of Conduct to define the term "conflict of interest".	<p>Conflict of interest has been defined in clear, plain language and is explicitly outlined in the revised Code of Conduct with clear examples.</p> <p><u>Implementation Date:</u> 2018 Qtr 3</p>
3	We recommend that the Public Service establish a process to review and update the Employee Code of Conduct going forward to ensure it continues to be current and relevant.	<p>The revised Code of Conduct states that "the Code of Conduct will be reviewed annually by administration to ensure it follows all organizational guidelines and directives".</p> <p><u>Implementation Date:</u> 2018 Qtr 3</p>
4	<p>We recommend that the Public Service:</p> <ul style="list-style-type: none"> a) Create a formally documented ethics framework for the Public Service. b) Ensure that the framework includes all of the key components for ethics frameworks c) Document the linkages between all of the key components of the ethics framework d) Communicate the ethics framework to all Public Service employees 	<p>Research and development of a framework is underway to ensure it is based on best practices and aligns to the City of Winnipeg's structure and process for communicating the Code of Conduct to all employees.</p> <p><u>Implementation Date:</u> 2018 Qtr 3</p>
5	We recommend that the Public Service establish a process to periodically review and update the City's Ethics Framework going forward to ensure it continues to be current and relevant.	<p>A review process for the ethics framework is being developed alongside of the creation of the framework and will be rolled out together to all employees.</p> <p><u>Implementation Date:</u> 2018 Qtr 3</p>

6	We recommend that the Public Service develop a training course that is made available to all City employees, and that is mandated for supervisory positions, that educates employees on the City's ethics framework.	<p>Training materials are being developed to provide training on the new Code of Conduct and on the ethics framework for employees. It will be available to all employees but completion will be mandatory for supervisory positions.</p> <p><u>Implementation Date:</u> 2018 Qtr 4</p>
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Recommendations Implemented – 2018 Qtr 1

No recommendations were implemented in this quarter.

Recommendations Implemented – Previous Quarters

No recommendations were implemented in the previous quarters.



*Audit of Procurement for the Pedestrian and Cycling Strategies
Report and Review of the Employee Code of Conduct
Status of Audit Recommendations
2018 Qtr 2*

To be leaders in building public trust in our civic government

Audit Department

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*Review of the Employee Code of Conduct
Status of Recommendations
2018 Qtr 2*

History

A motion was made in the July 15, 2015 Council meeting that:

- “The City Auditor immediately undertake an independent review of the procurement of the contract and subcontracts related to the Pedestrian and Cycling Strategy so as to ensure that all aspects of the City of Winnipeg Code of Conduct have been upheld and to report their findings back to Winnipeg City Council”; and that
- “The City Auditor provide recommendations to City Council in the event that they find there is a need to update and modernize the City of Winnipeg Employee Code of Conduct.”

On November 23, 2016, the Audit Department reported to Audit Committee and made six (6) recommendations. On December 14, 2016, City Council adopted these recommendations and requested a quarterly update on the status of recommendations.

The Public Service will provide the first status report on the implementation of recommendations from the *Review of the Employee Code of Conduct*, effective the first implementation date of the six (6) audit recommendations.

This is the status report for 2018 Qtr 2 on the implementation of six (6) recommendations from the *Review of the Employee Code of Conduct* as to which recommendations have been implemented and which are yet to be implemented. Where applicable, documentation supporting the implementation of the recommendation was reviewed by the Audit Department to confirm implementation has occurred.

Summary of Audit Recommendations

How was the Status of Audit Recommendations report produced?

The Audit Department forwards a template of the audit recommendations to the Public Service who provides status updates on the implementation of the recommendations. The completed templates are forwarded back to the Audit Department for review and compilation. The status report presents the Public Service's representations as to the status of recommendations implemented, in progress or not to be implemented at the end of 2018 Qtr 2. The Audit Department summarizes the status of implementation and prepares a brief overview for Audit Committee. Documentation supporting the implementation of recommendations is reviewed by the Audit Department to confirm implementation has occurred. For recommendations in progress, an implementation strategy and timeframe is provided. For recommendations not to be implemented, an explanation is provided.

AUDIT REPORT	RECOMMENDATIONS				TARGET DATE FOR COMPLETION			
	Total	Complete	Not to be implemented	Percent Complete	3 rd Qtr 2018	4 th Qtr 2018	1 st Qtr 2019	2 nd Qtr 2019 or later
Review of the Employee Code of Conduct	6	-	-	0%	5	1	-	-

Audit Observations

- The Public Service has reported that no recommendations have been implemented to date.
- At the end of 2018 Qtr 2, six (6) recommendations are in progress:
 - Five (5) recommendations are scheduled for implementation in the 3rd quarter of 2018.
 - Recommendation #1 is regarding an update to the City's Employee Code of Conduct
 - Recommendation #2 is to define the term "conflict of interest" in the Employee Code of Conduct
 - Recommendation #3 is to establish a process to review and update the Employee Code of Conduct
 - Recommendation #4 is to document the ethics framework
 - Recommendation #5 is to establish a process to periodically review and update the City's Ethics Framework
 - One (1) recommendation is scheduled for implementation in the 4th quarter of 2018.
 - Recommendation #6 is to develop a training course for all City employees, mandated for supervisory positions, and educates employees on the City's ethics framework
- The implementation dates for the six (6) recommendations are unchanged in the 2nd quarter of 2018.

Date: July, 2018

Recommendations In Progress – 2018 Qtr 2 Updates

No.	Recommendation	Update – 2018 Qtr 2
1	We recommend that the Public Service update the City's Employee Code of Conduct to incorporate the key characteristics for codes.	<p>The Code of Conduct has been updated to incorporate the key characteristics for codes. It is currently being reviewed by the CAO before it can be rolled out to all employees. Implementation and rollout planned for Q3.</p> <p><u>Implementation Date:</u> 2018 Qtr 3</p>
2	We recommend that the Public Service revise the City's Employee Code of Conduct to define the term "conflict of interest".	<p>Conflict of interest has been defined in clear, plain language and is explicitly outlined in the revised Code of Conduct with clear examples.</p> <p><u>Implementation Date:</u> 2018 Qtr 3</p>
3	We recommend that the Public Service establish a process to review and update the Employee Code of Conduct going forward to ensure it continues to be current and relevant.	<p>The revised Code of Conduct states that "the Code of Conduct will be reviewed annually by administration to ensure it follows all organizational guidelines and directives".</p> <p><u>Implementation Date:</u> 2018 Qtr 3</p>
4	<p>We recommend that the Public Service:</p> <ul style="list-style-type: none"> a) Create a formally documented ethics framework for the Public Service. b) Ensure that the framework includes all of the key components for ethics frameworks c) Document the linkages between all of the key components of the ethics framework d) Communicate the ethics framework to all Public Service employees 	<p>Research and development of a framework is underway to ensure it is based on best practices and aligns to the City of Winnipeg's structure and process for communicating the Code of Conduct to all employees.</p> <p><u>Implementation Date:</u> 2018 Qtr 3</p>
5	We recommend that the Public Service establish a process to periodically review and update the City's Ethics Framework going forward to ensure it continues to be current and relevant.	<p>A review process for the ethics framework is being developed alongside of the creation of the framework and will be rolled out together to all employees.</p> <p><u>Implementation Date:</u> 2018 Qtr 3</p>

6	We recommend that the Public Service develop a training course that is made available to all City employees, and that is mandated for supervisory positions, that educates employees on the City's ethics framework.	<p>Training materials are being developed to provide training on the new Code of Conduct and on the ethics framework for employees. It will be available to all employees but completion will be mandatory for supervisory positions.</p> <p><u>Implementation Date:</u> 2018 Qtr 4</p>
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Recommendations Implemented – 2018 Qtr 2

No recommendations were implemented in this quarter.

Recommendations Implemented – Previous Quarters

No recommendations were implemented in the previous quarters.



*Audit of Procurement for the Pedestrian and Cycling Strategies
Report and Review of the Employee Code of Conduct
Status of Audit Recommendations
2018 Qtr 3*

To be leaders in building public trust in our civic government

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*Review of the Employee Code of Conduct
Status of Recommendations
2018 Qtr 3*

History

A motion was made in the July 15, 2015 Council meeting that:

- “The City Auditor immediately undertake an independent review of the procurement of the contract and subcontracts related to the Pedestrian and Cycling Strategy so as to ensure that all aspects of the City of Winnipeg Code of Conduct have been upheld and to report their findings back to Winnipeg City Council”; and that
- “The City Auditor provide recommendations to City Council in the event that they find there is a need to update and modernize the City of Winnipeg Employee Code of Conduct.”

On November 23, 2016, the Audit Department reported to Audit Committee and made six (6) recommendations. On December 14, 2016, City Council adopted these recommendations and requested a quarterly update on the status of recommendations.

The Public Service will provide the first status report on the implementation of recommendations from the *Review of the Employee Code of Conduct*, effective the first implementation date of the six (6) audit recommendations.

This is the status report for 2018 Quarter 3 on the implementation of six (6) recommendations from the *Review of the Employee Code of Conduct* as to which recommendations have been implemented and which are yet to be implemented. Where applicable, documentation supporting the implementation of the recommendation was reviewed by the Audit Department to confirm implementation has occurred.

Summary of Audit Recommendations

How was the Status of Audit Recommendations report produced?

The Audit Department forwards a template of the audit recommendations to the Public Service who provides status updates on the implementation of the recommendations. The completed templates are forwarded back to the Audit Department for review and compilation. The status report presents the Public Service's representations as to the status of recommendations implemented, in progress or not to be implemented at the end of 2018 Quarter 3. The Audit Department summarizes the status of implementation and prepares a brief overview for Audit Committee. Documentation supporting the implementation of recommendations is reviewed by the Audit Department to confirm implementation has occurred. For recommendations in progress, an implementation strategy and timeframe is provided. For recommendations not to be implemented, an explanation is provided.

AUDIT REPORT	RECOMMENDATIONS				TARGET DATE FOR COMPLETION			
	Total	Complete	Not to be implemented	Percent Complete	4 th Qtr 2018	1 st Qtr 2019	2 nd Qtr 2019	3 rd Qtr 2019 or later
Review of the Employee Code of Conduct	6	-	-	0%	6	-	-	-

Audit Observations

- The Public Service has reported that no recommendations have been implemented to date.
- At the end of 2018 Qtr 3, six (6) recommendations are in progress:
 - Six (6) recommendations are scheduled for implementation in the 4th quarter of 2018.
 - Recommendation #1 is regarding an update to the City's Employee Code of Conduct
 - Recommendation #2 is to define the term "conflict of interest" in the Employee Code of Conduct
 - Recommendation #3 is to establish a process to review and update the Employee Code of Conduct
 - Recommendation #4 is to document the ethics framework
 - Recommendation #5 is to establish a process to periodically review and update the City's Ethics Framework
 - Recommendation #6 is to develop a training course for all City employees, mandated for supervisory positions, and educates employees on the City's ethics framework

Date: October, 2018

Recommendations In Progress – 2018 Qtr 3 Updates

No.	Recommendation	Update – 2018 Qtr 3
1	We recommend that the Public Service update the City's Employee Code of Conduct to incorporate the key characteristics for codes.	<p>The newly hired Director of Human Resource Services is reviewing the revised Code of Conduct. All other reviews have been completed and roll out of the Code should be ready for Q4.</p> <p><u>Implementation Date:</u> 2018 Qtr 4</p>
2	We recommend that the Public Service revise the City's Employee Code of Conduct to define the term "conflict of interest".	<p>Conflict of interest has been defined and explained with examples in the new draft.</p> <p><u>Implementation Date:</u> 2018 Qtr 4</p>
3	We recommend that the Public Service establish a process to review and update the Employee Code of Conduct going forward to ensure it continues to be current and relevant.	<p>The revised Code of Conduct will be reviewed annually by the Public Service. Approval is being requested from Council to delegate authority to the CAO to approve any future updates.</p> <p><u>Implementation Date:</u> 2018 Qtr 4</p>
4	<p>We recommend that the Public Service:</p> <ul style="list-style-type: none"> a) Create a formally documented ethics framework for the Public Service. b) Ensure that the framework includes all of the key components for ethics frameworks c) Document the linkages between all of the key components of the ethics framework d) Communicate the ethics framework to all Public Service employees 	<p>The key components for ethics frameworks are being documented and the linkages to other programs, policies and documents have been outlined. The ethics framework will be finalized in Q4 and will be communicated to all Public Service employees alongside the Code of Conduct document and the online learning module, which is scheduled to be implemented in Q4.</p> <p><u>Implementation Date:</u> 2018 Qtr 4</p>
5	We recommend that the Public Service establish a process to periodically review and update the City's Ethics Framework going forward to ensure it continues to be current and relevant.	<p>The ethics framework will be reviewed annually and updated as required to ensure it remains current and relevant.</p> <p><u>Implementation Date:</u> 2018 Qtr 4</p>

6	We recommend that the Public Service develop a training course that is made available to all City employees, and that is mandated for supervisory positions, that educates employees on the City's ethics framework.	<p>An online learning module is being created to educate employees on the ethics framework, which will explain the linkages between all ethical programs, policies and documents. The module will also focus on the revised Code of Conduct to ensure all Public Servants are aware of the City's expectations and behavioural requirements.</p> <p><u>Implementation Date:</u> 2018 Qtr 4</p>
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Recommendations Implemented – 2018 Qtr 3

No recommendations were implemented in this quarter.

Recommendations Implemented – Previous Quarters

No recommendations were implemented in the previous quarters.



*Audit of Procurement for the Pedestrian and Cycling Strategies
Report and Review of the Employee Code of Conduct
Status of Audit Recommendations
2018 Qtr 4*

To be leaders in building public trust in our civic government

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*Review of the Employee Code of Conduct
Status of Recommendations
2018 Qtr 4*

History

A motion was made in the July 15, 2015 Council meeting that:

- “The City Auditor immediately undertake an independent review of the procurement of the contract and subcontracts related to the Pedestrian and Cycling Strategy so as to ensure that all aspects of the City of Winnipeg Code of Conduct have been upheld and to report their findings back to Winnipeg City Council”; and that
- “The City Auditor provide recommendations to City Council in the event that they find there is a need to update and modernize the City of Winnipeg Employee Code of Conduct.”

On November 23, 2016, the Audit Department reported to Audit Committee and made six (6) recommendations. On December 14, 2016, City Council adopted these recommendations and requested a quarterly update on the status of recommendations.

The Public Service will provide the first status report on the implementation of recommendations from the *Review of the Employee Code of Conduct*, effective the first implementation date of the six (6) audit recommendations.

This is the status report for 2018 Quarter 4 on the implementation of six (6) recommendations from the *Review of the Employee Code of Conduct* as to which recommendations have been implemented and which are yet to be implemented. Where applicable, documentation supporting the implementation of the recommendation was reviewed by the Audit Department to confirm implementation has occurred.

Summary of Audit Recommendations

How was the Status of Audit Recommendations report produced?

The Audit Department forwards a template of the audit recommendations to the Public Service who provides status updates on the implementation of the recommendations. The completed templates are forwarded back to the Audit Department for review and compilation. The status report presents the Public Service's representations as to the status of recommendations implemented, in progress or not to be implemented at the end of 2018 Quarter 4. The Audit Department summarizes the status of implementation and prepares a brief overview for Audit Committee. Documentation supporting the implementation of recommendations is reviewed by the Audit Department to confirm implementation has occurred. For recommendations in progress, an implementation strategy and timeframe is provided. For recommendations not to be implemented, an explanation is provided.

AUDIT REPORT	RECOMMENDATIONS				TARGET DATE FOR COMPLETION			
	Total	Complete	Not to be implemented	Percent Complete	1 st Qtr 2019	2 nd Qtr 2019	3 rd Qtr 2019	4 th Qtr 2019 or later
Review of the Employee Code of Conduct	6	-	-	0%	4	2	-	-

Audit Observations

- The Public Service has reported that no recommendations have been implemented to date.
- At the end of 2018 Qtr 4, six (6) recommendations are in progress:
 - Four (4) recommendations are scheduled for implementation in the 1st quarter of 2019.
 - Recommendation #1 is regarding an update to the City's Employee Code of Conduct
 - Recommendation #3 is to establish a process to review and update the Employee Code of Conduct
 - Recommendation #4 is to document the ethics framework
 - Recommendation #5 is to establish a process to periodically review and update the City's Ethics Framework
 - Two (2) recommendations are scheduled for implementation in the 2nd quarter of 2019.
 - Recommendation #2 is to define the term "conflict of interest" in the Employee Code of Conduct
 - Recommendation #6 is to develop a training course for all City employees, mandated for supervisory positions, and educates employees on the City's ethics framework

The implementation dates for the six (6) recommendations were revised and were originally scheduled to be implemented in the 4th quarter of 2018.

Date: January, 2019

Recommendations In Progress – 2018 Qtr 4 Updates

No.	Recommendation	Update – 2018 Qtr 4
1	We recommend that the Public Service update the City's Employee Code of Conduct to incorporate the key characteristics for codes.	The Code of Conduct has been updated to incorporate all key characteristics. Awaiting final review by Director of HR <u>Implementation Date:</u> 2019 Qtr 1
2	We recommend that the Public Service revise the City's Employee Code of Conduct to define the term "conflict of interest".	Conflict of Interest has been defined. Specific information around Conflict of Interest is being outlined out in a separate Administrative Standard. <u>Implementation Date:</u> 2019 Qtr 2
3	We recommend that the Public Service establish a process to review and update the Employee Code of Conduct going forward to ensure it continues to be current and relevant.	The annual review process has been outlined in the Code and approval to delegate authority to the CAO will be requested. <u>Implementation Date:</u> 2019 Qtr 1
4	We recommend that the Public Service: a) Create a formally documented ethics framework for the Public Service. b) Ensure that the framework includes all of the key components for ethics frameworks c) Document the linkages between all of the key components of the ethics framework d) Communicate the ethics framework to all Public Service employees	The key components for ethics frameworks are being documented and the linkages to other programs, policies and documents have been outlined. The ethics framework has been drafted and will be communicated to all Public Service employees alongside the Code of Conduct document and the online learning module, which be implemented upon final approval. <u>Implementation Date:</u> 2019 Qtr 1
5	We recommend that the Public Service establish a process to periodically review and update the City's Ethics Framework going forward to ensure it continues to be current and relevant.	The ethics framework will be reviewed annually and updated as required to ensure it remains current and relevant. <u>Implementation Date:</u> 2019 Qtr 1

6	We recommend that the Public Service develop a training course that is made available to all City employees, and that is mandated for supervisory positions, that educates employees on the City's ethics framework.	A mandatory online training course will be rolled out alongside the Code of Conduct to educate employees on the Code of Conduct and the City's ethics framework. <u>Implementation Date:</u> 2019 Qtr 2
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Recommendations Implemented – 2018 Qtr 4

No recommendations were implemented in this quarter.

Recommendations Implemented – Previous Quarters

No recommendations were implemented in the previous quarters.



City of Winnipeg – Audit Department

**Audit of Procurement for the Pedestrian and Cycling
Strategies Report and Review of the Employee Code of
Conduct**

Quarterly Report Card –2019 – Quarter 1

For more information visit: Winnipeg.ca/audit

History - Procurement for the Pedestrian and Cycling Strategies Report and Review of the Employee Code of Conduct

July 15, 2015:

Council motion:

- *“The City Auditor immediately undertake an independent review of the procurement of the contract and subcontracts related to the Pedestrian and Cycling Strategy so as to ensure that all aspects of the City of Winnipeg Code of Conduct have been upheld and to report their findings back to Winnipeg City Council”; and that*
- *“The City Auditor provides recommendations to City Council in the event that they find there is a need to update and modernize the City of Winnipeg Employee Code of Conduct.”*

November 23, 2016:

The City Auditor reported to Audit Committee and made six (6) recommendations.

<https://winnipeg.ca/audit/pdfs/reports/2017/AuditProcurementPedestrianCyclingStrategiesReportReviewEmployeeCodeConduct.pdf>

December 14, 2016:

City Council adopted these recommendations and requested a quarterly update on the status of recommendations.

View all previous quarterly reports at: <https://winnipeg.ca/audit/reports.stm#tab-QuarterlyReports>

May 2019:

Quarterly Report Card produced for 2019 Quarter 1.

Audit Recommendations Implementation Status

Once an Audit is complete, the next step is implementation of the recommendations. The Audit Department provides a list of the audit recommendations to the Public Service Director of the department that was audited. The Public Service prepares an action plan and target for completion date. The implementation of the audit recommendations is the responsibility of the Public Service.

Status updates are provided to the Audit Department on a quarterly basis; after presentation to Council these are posted at: <https://winnipeg.ca/audit/reports.stm>. An explanation is provided for any recommendations that will not be implemented; a targeted completion date is noted for implementation in progress. Documentation supporting implementation is reviewed by the Audit Department for confirmation

	Recommendations				Target date for implementation			
	total	implemented	not to be implemented	% complete	2019 Qtr 1	2019 Qtr 2	2019 Qtr 3	2019 Qtr 4
Procurement for the Pedestrian and Cycling Strategies Report and Review of the Employee Code of Conduct	6					3	3	

Recommendations in Progress

No.	Recommendation	Update – 2019 Qtr 1
1	We recommend that the Public Service update the City's Employee Code of Conduct to incorporate the key characteristics for codes.	The Code of Conduct has been updated to incorporate all key characteristics. Awaiting final review by Director of HR <u>Implementation Date:</u> 2019 Qtr 2
2	We recommend that the Public Service revise the City's Employee Code of Conduct to define the term "conflict of interest".	Conflict of Interest has been defined. Specific information around Conflict of Interest is being outlined out in a separate Administrative Standard. <u>Implementation Date:</u> 2019 Qtr 2
3	We recommend that the Public Service establish a process to review and update the Employee Code of Conduct going forward to ensure it continues to be current and relevant.	The annual review process has been outlined in the Code and approval to delegate authority to the CAO will be requested. <u>Implementation Date:</u> 2019 Qtr 2
4	We recommend that the Public Service: a) Create a formally documented ethics framework for the Public Service. b) Ensure that the framework includes all of the key components for ethics frameworks c) Document the linkages between all of the key components of the ethics framework d) Communicate the ethics framework to all Public Service employees	The key components for ethics frameworks are being documented and the linkages to other programs, policies and documents have been outlined. The ethics framework has been drafted and will be communicated to all Public Service employees alongside the Code of Conduct document and the online learning module, which be implemented upon final approval. <u>Implementation Date:</u> 2019 Qtr 3
5	We recommend that the Public Service establish a process to periodically review and update the City's Ethics Framework going forward to ensure it continues to be current and relevant.	The ethics framework will be reviewed annually and updated as required to ensure it remains current and relevant. <u>Implementation Date:</u> 2019 Qtr 3

6	We recommend that the Public Service develop a training course that is made available to all City employees, and that is mandated for supervisory positions, that educates employees on the City's ethics framework.	<p>A mandatory online training course will be rolled out alongside the Code of Conduct to educate employees on the Code of Conduct and the City's ethics framework.</p> <p><u>Implementation Date:</u> 2019 Qtr 3</p>
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Audit of Procurement for the Pedestrian and Cycling
Strategies Report and Review of the Employee Code of
Conduct

Quarterly Report Card –2019 – Quarter 2

For more information visit: Winnipeg.ca/audit

History - Procurement for the Pedestrian and Cycling Strategies Report and Review of the Employee Code of Conduct

July 15, 2015:

Council motion:

- *“The City Auditor immediately undertake an independent review of the procurement of the contract and subcontracts related to the Pedestrian and Cycling Strategy so as to ensure that all aspects of the City of Winnipeg Code of Conduct have been upheld and to report their findings back to Winnipeg City Council”; and that*
- *“The City Auditor provides recommendations to City Council in the event that they find there is a need to update and modernize the City of Winnipeg Employee Code of Conduct.”*

November 23, 2016:

The City Auditor reported to Audit Committee and made six (6) recommendations.

<https://winnipeg.ca/audit/pdfs/reports/2017/AuditProcurementPedestrianCyclingStrategiesReportReviewEmployeeCodeConduct.pdf>

December 14, 2016:

City Council adopted these recommendations and requested a quarterly update on the status of recommendations.

View all previous quarterly reports at: <https://winnipeg.ca/audit/reports.stm#tab-QuarterlyReports>

July 2019:

Quarterly Report Card produced for 2019 Quarter 2.

Audit Recommendations Implementation Status

Once an Audit is complete, the next step is implementation of the recommendations. The Audit Department provides a list of the audit recommendations to the Public Service Director of the department that was audited. The Public Service prepares an action plan and target for completion date. The implementation of the audit recommendations is the responsibility of the Public Service.

Status updates are provided to the Audit Department on a quarterly basis; after presentation to Council these are posted at: <https://winnipeg.ca/audit/reports.stm>. An explanation is provided for any recommendations that will not be implemented; a targeted completion date is noted for implementation in progress. Documentation supporting implementation is reviewed by the Audit Department for confirmation.

	Recommendations				Target date for implementation			
	total	implemented	not to be implemented	% complete	2019 Qtr 1	2019 Qtr 2	2019 Qtr 3	2019 Qtr 4
Procurement for the Pedestrian and Cycling Strategies Report and Review of the Employee Code of Conduct	6	3*		50%			1	2

*The Public Service completed the recommendations in Quarter 2 and submitted the reports to Council – Council adopted the reports on July 18, 2019 (Quarter 3) – <http://clkapps.winnipeg.ca/dmis/ViewDoc.asp?DocId=18076&SectionId=&InitUrl=>. City employees were informed by email on July 23, 2019 (Quarter 3).

Recommendations Implemented in 2019 - Quarter 2

No.	Recommendation	Update – 2019 Qtr 2
1	We recommend that the Public Service update the City's Employee Code of Conduct to incorporate the key characteristics for codes.	<p>Revised version with key characteristics was adopted by Council July 18, 2019 – information was distributed to all City employees by email on July 23.</p> <p><u>Implementation Date:</u> 2019 Qtr 2</p>
2	We recommend that the Public Service revise the City's Employee Code of Conduct to define the term “conflict of interest”.	<p>Conflict of Interest has been defined and is also being outlined in a separate policy document. Both Code of Conduct and Conflict of Interest was adopted by Council July 18, 2019, information was distributed to all City employees by email on July 23</p> <p><u>Implementation Date:</u> 2019 Qtr 2</p>
3	We recommend that the Public Service establish a process to review and update the Employee Code of Conduct going forward to ensure it continues to be current and relevant.	<p>The Code of Conduct will be updated regularly to remain current and relevant this was adopted by Council July 18, 2019, information was distributed to all City employees by email on July 23.</p> <p><u>Implementation Date:</u> 2019 Qtr 2</p>

*The Public Service completed the recommendations in Quarter 2 and submitted the reports to Council – Council adopted the reports on July 18, 2019 (Quarter 3) – <http://clkapps.winnipeg.ca/dmis/ViewDoc.asp?DocId=18076&SectionId=&InitUrl=>. City employees were informed by email on July 23, 2019 (Quarter 3).

Recommendations in Progress

No.	Recommendation	Update – 2019 Qtr 2
4	<p>We recommend that the Public Service:</p> <ul style="list-style-type: none"> a) Create a formally documented ethics framework for the Public Service. b) Ensure that the framework includes all of the key components for ethics frameworks c) Document the linkages between all of the key components of the ethics framework d) Communicate the ethics framework to all Public Service employees 	<p>The ethics framework, which includes the key components for the ethics frameworks, is being finalized and will be rolled out to all Public Service employees' alongside the training in the Fall of 2019.</p> <p><u>Implementation Date:</u> 2019 Qtr 4</p>
5	<p>We recommend that the Public Service establish a process to periodically review and update the City's Ethics Framework going forward to ensure it continues to be current and relevant.</p>	<p>The ethics framework will be reviewed annually and updated as required to ensure it remains current and relevant. Approval for this will be in accordance with Council's review in July 2019.</p> <p><u>Implementation Date:</u> 2019 Qtr 3</p>
6	<p>We recommend that the Public Service develop a training course that is made available to all City employees, and that is mandated for supervisory positions, that educates employees on the City's ethics framework.</p>	<p>Training on the Code of Conduct, Conflict of Interest and the ethics framework is being developed and will be available for all Public Service employees in the fall of 2019.</p> <p><u>Implementation Date:</u> 2019 Qtr 4</p>



Audit of Procurement for the Pedestrian and Cycling Strategies Report and Review of the Employee Code of Conduct

Quarterly Report Card –2019 – Quarter 3

For more information visit: Winnipeg.ca/audit

History - Procurement for the Pedestrian and Cycling Strategies Report and Review of the Employee Code of Conduct

July 15, 2015:

Council motion:

- *“The City Auditor immediately undertake an independent review of the procurement of the contract and subcontracts related to the Pedestrian and Cycling Strategy so as to ensure that all aspects of the City of Winnipeg Code of Conduct have been upheld and to report their findings back to Winnipeg City Council”; and that*
- *“The City Auditor provides recommendations to City Council in the event that they find there is a need to update and modernize the City of Winnipeg Employee Code of Conduct.”*

November 23, 2016:

The City Auditor reported to Audit Committee and made six (6) recommendations.

<https://winnipeg.ca/audit/pdfs/reports/2017/AuditProcurementPedestrianCyclingStrategiesReportReviewEmployeeCodeConduct.pdf>

December 14, 2016:

City Council adopted these recommendations and requested a quarterly update on the status of recommendations.

View all previous quarterly reports at: <https://winnipeg.ca/audit/reports.stm#tab-QuarterlyReports>

October 2019:

Quarterly Report Card produced for 2019 Quarter 3.

Audit Recommendations Implementation Status

Once an Audit is complete, the next step is implementation of the recommendations. The Audit Department provides a list of the audit recommendations to the Public Service Director of the department that was audited. The Public Service prepares an action plan and target for completion date. The implementation of the audit recommendations is the responsibility of the Public Service.

Status updates are provided to the Audit Department on a quarterly basis; after presentation to Council these are posted at: <https://winnipeg.ca/audit/reports.stm>. An explanation is provided for any recommendations that will not be implemented; a targeted completion date is noted for implementation in progress. Documentation supporting implementation is reviewed by the Audit Department for confirmation.

	Recommendations				Target date for implementation			
	total	implemented	not to be implemented	% complete	2019 Qtr 1	2019 Qtr 2	2019 Qtr 3	2019 Qtr 4
Procurement for the Pedestrian and Cycling Strategies Report and Review of the Employee Code of Conduct	6	3		50%				#4, #5, # 6

Recommendations implemented in 2019 Quarter Three: none

Recommendations in Progress in Quarter 3

No.	Recommendation	Update – 2019 Qtr 2
4	We recommend that the Public Service: a) Create a formally documented ethics framework for the Public Service. b) Ensure that the framework includes all of the key components for ethics frameworks c) Document the linkages between all of the key components of the ethics framework d) Communicate the ethics framework to all Public Service employees	The ethics framework has been created and will be rolled out with the training in the fall of 2019. <u>Implementation Date:</u> 2019 Qtr 4
5	We recommend that the Public Service establish a process to periodically review and update the City's Ethics Framework going forward to ensure it continues to be current and relevant.	The ethics framework and each of its supporting components will be reviewed regularly to ensure it remains current and relevant. <u>Implementation Date:</u> 2019 Qtr 4
6	We recommend that the Public Service develop a training course that is made available to all City employees, and that is mandated for supervisory positions, that educates employees on the City's ethics framework.	Training on each of the components of the ethical framework is undergoing final review and will be made available to all City employees in the fall of 2019. <u>Implementation Date:</u> 2019 Qtr 4

Recommendations implemented in 2019

No.	Recommendation	Implemented
1	We recommend that the Public Service update the City's Employee Code of Conduct to incorporate the key characteristics for codes.	2019 Qtr 2
2	We recommend that the Public Service revise the City's Employee Code of Conduct to define the term "conflict of interest".	2019 Qtr 2
3	We recommend that the Public Service establish a process to review and update the Employee Code of Conduct going forward to ensure it continues to be current and relevant.	2019 Qtr 2



Audit of Procurement for the Pedestrian and Cycling Strategies Report and Review of the Employee Code of Conduct

Quarterly Report Card –2019 – Quarter 4

For more information visit: Winnipeg.ca/audit

History - Procurement for the Pedestrian and Cycling Strategies Report and Review of the Employee Code of Conduct

July 15, 2015:

Council motion:

- *“The City Auditor immediately undertake an independent review of the procurement of the contract and subcontracts related to the Pedestrian and Cycling Strategy so as to ensure that all aspects of the City of Winnipeg Code of Conduct have been upheld and to report their findings back to Winnipeg City Council”; and that*
- *“The City Auditor provides recommendations to City Council in the event that they find there is a need to update and modernize the City of Winnipeg Employee Code of Conduct.”*

November 23, 2016:

The City Auditor reported to Audit Committee and made six (6) recommendations.

<https://winnipeg.ca/audit/pdfs/reports/2017/AuditProcurementPedestrianCyclingStrategiesReportReviewEmployeeCodeConduct.pdf>

December 14, 2016:

City Council adopted these recommendations and requested a quarterly update on the status of recommendations.

View all previous quarterly reports at: <https://winnipeg.ca/audit/reports.stm#tab-QuarterlyReports>

February 2020:

Quarterly Report Card produced for 2019 Quarter 4.

Audit Recommendations Implementation Status

Once an Audit is complete, the next step is implementation of the recommendations. The Audit Department provides a list of the audit recommendations to the Public Service Director of the department that was audited. The Public Service prepares an action plan and target for completion date. The implementation of the audit recommendations is the responsibility of the Public Service.

Status updates are provided to the Audit Department on a quarterly basis; after presentation to Council these are posted at: winnipeg.ca/audit/reports. An explanation is provided for any recommendations that will not be implemented; a targeted completion date is noted for implementation in progress. Documentation supporting implementation is reviewed by the Audit Department for confirmation.

	Recommendations							
	Status				Target date for implementation of recommendations in progress			
	total	implemented	not to be implemented	% complete	2020 Qtr 1	2020 Qtr 2	2020 Qtr 3	2020 Qtr 4
Procurement for the Pedestrian and Cycling Strategies Report and Review of the Employee Code of Conduct	6	4		66%	# 4, # 6			

Recommendations implemented in 2019 Quarter Four:

No.	Recommendation	Update – 2019 Qtr 4
5	We recommend that the Public Service establish a process to periodically review and update the City's Ethics Framework going forward to ensure it continues to be current and relevant.	<p>The Code of Conduct review process states that <i>"The CAO, with Assistance from Human Resource Services, is accountable for reviewing the Code of Conduct, minimally every two years and putting forth changes to Council for Approval"</i>.</p> <p>https://winnipeg.ca/hr/departement-information/employee-policies.stm</p>

Recommendations in Progress in Quarter 4

No.	Recommendation	Update – 2019 Qtr 2
4	<p>We recommend that the Public Service:</p> <ul style="list-style-type: none"> a) Create a formally documented ethics framework for the Public Service. b) Ensure that the framework includes all of the key components for ethics frameworks c) Document the linkages between all of the key components of the ethics framework d) Communicate the ethics framework to all Public Service employees 	<p>The ethics framework has been created. Final revisions are being made and the training will be launched in 2020 Qtr 1.</p> <p><u>Implementation Date:</u> 2020 Qtr 1</p>

6	We recommend that the Public Service develop a training course that is made available to all City employees, and that is mandated for supervisory positions, that educates employees on the City's ethics framework.	Final revisions are being made and the training will be launched in 2020 Qtr 1. <u>Implementation Date:</u> 2020 Qtr 1
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Recommendations implemented in 2019

No.	Recommendation	Implemented
1	We recommend that the Public Service update the City's Employee Code of Conduct to incorporate the key characteristics for codes.	2019 Qtr 2
2	We recommend that the Public Service revise the City's Employee Code of Conduct to define the term "conflict of interest".	2019 Qtr 2
3	We recommend that the Public Service establish a process to review and update the Employee Code of Conduct going forward to ensure it continues to be current and relevant.	2019 Qtr 2
5	We recommend that the Public Service establish a process to periodically review and update the City's Ethics Framework going forward to ensure it continues to be current and relevant.	2019 Qtr 4



Audit of Procurement for the Pedestrian and Cycling Strategies Report and Review of the Employee Code of Conduct

Quarterly Report Card –2020 – Quarter 1

For more information visit: Winnipeg.ca/audit

History - Procurement for the Pedestrian and Cycling Strategies Report and Review of the Employee Code of Conduct

July 15, 2015:

Council motion:

- *“The City Auditor immediately undertake an independent review of the procurement of the contract and subcontracts related to the Pedestrian and Cycling Strategy so as to ensure that all aspects of the City of Winnipeg Code of Conduct have been upheld and to report their findings back to Winnipeg City Council”; and that*
- *“The City Auditor provides recommendations to City Council in the event that they find there is a need to update and modernize the City of Winnipeg Employee Code of Conduct.”*

November 23, 2016:

The City Auditor reported to Audit Committee and made six (6) recommendations.

<https://winnipeg.ca/audit/pdfs/reports/2017/AuditProcurementPedestrianCyclingStrategiesReportReviewEmployeeCodeConduct.pdf>

December 14, 2016:

City Council adopted these recommendations and requested a quarterly update on the status of recommendations.

View all previous quarterly reports at: <https://winnipeg.ca/audit/reports.stm#tab-QuarterlyReports>

April 2020:

Quarterly Report Card produced for 2020 Quarter 1.

Audit Recommendations Implementation Status

Once an Audit is complete, the next step is implementation of the recommendations. The Audit Department provides a list of the audit recommendations to the Public Service Director of the department that was audited. The Public Service prepares an action plan and target for completion date. The implementation of the audit recommendations is the responsibility of the Public Service.

Status updates are provided to the Audit Department on a quarterly basis; after presentation to Council these are posted at: winnipeg.ca/audit/reports. An explanation is provided for any recommendations that will not be implemented; a targeted completion date is noted for implementation in progress. Documentation supporting implementation is reviewed by the Audit Department for confirmation.

	Recommendations							
	Status				Target date for implementation of recommendations in progress			
	total	implemented	not to be implemented	% complete	2020 Qtr 1	2020 Qtr 2	2020 Qtr 3	2020 Qtr 4
Procurement for the Pedestrian and Cycling Strategies Report and Review of the Employee Code of Conduct	6	4		66%		# 4, # 6		

Recommendations implemented in 2020 Quarter 1:

There were no recommendations implemented in 2020 Quarter 1 – The Covid 19 pandemic response was the priority for all Departments.

Recommendations in Progress in Quarter 2

No.	Recommendation	Update – 2020 Qtr 1
4	We recommend that the Public Service: a) Create a formally documented ethics framework for the Public Service. b) Ensure that the framework includes all of the key components for ethics frameworks c) Document the linkages between all of the key components of the ethics framework d) Communicate the ethics framework to all Public Service employees	The ethics framework has been created. A discussion is planned for May 2020 between the CAO, Corporate Communications and HR to finalize the roll-out plans. Implementation Date: 2020 Qtr 2
6	We recommend that the Public Service develop a training course that is made available to all City employees, and that is mandated for supervisory positions, that educates employees on the City's ethics framework.	The training course has been developed and will be launched following the May 2020 meeting between the CAO, Corporate Communications and HR where the roll-out plan will be finalized. Implementation Date: 2020 Qtr 2

Recommendations implemented in 2019

No.	Recommendation	Implemented
5	We recommend that the Public Service establish a process to periodically review and update the City's Ethics Framework going forward to ensure it continues to be current and relevant.	2019 Qtr 4
1	We recommend that the Public Service update the City's Employee Code of Conduct to incorporate the key characteristics for codes.	2019 Qtr 2
2	We recommend that the Public Service revise the City's Employee Code of Conduct to define the term "conflict of interest".	2019 Qtr 2
3	We recommend that the Public Service establish a process to review and update the Employee Code of Conduct going forward to ensure it continues to be current and relevant.	2019 Qtr 2



Audit of Procurement for the Pedestrian and Cycling Strategies Report and Review of the Employee Code of Conduct

Quarterly Report Card –2020 – Quarter 2

For more information visit: [Winnipeg.ca/audit](https://www.winnipeg.ca/audit)

History - Procurement for the Pedestrian and Cycling Strategies Report and Review of the Employee Code of Conduct

July 15, 2015:

Council motion:

- *“The City Auditor immediately undertake an independent review of the procurement of the contract and subcontracts related to the Pedestrian and Cycling Strategy so as to ensure that all aspects of the City of Winnipeg Code of Conduct have been upheld and to report their findings back to Winnipeg City Council”; and that*
- *“The City Auditor provides recommendations to City Council in the event that they find there is a need to update and modernize the City of Winnipeg Employee Code of Conduct.”*

November 23, 2016:

The City Auditor reported to Audit Committee and made six (6) recommendations.

<https://winnipeg.ca/audit/pdfs/reports/2017/AuditProcurementPedestrianCyclingStrategiesReportReviewEmployeeCodeConduct.pdf>

December 14, 2016:

City Council adopted these recommendations and requested a quarterly update on the status of recommendations.

View all previous quarterly reports at: <https://winnipeg.ca/audit/reports.stm#tab-QuarterlyReports>

July 2020:

Quarterly Report Card produced for 2020 Quarter 2 – all recommendations are implemented, this is the final report for this audit.

Audit Recommendations Implementation Status

Once an Audit is complete, the next step is implementation of the recommendations. The Audit Department provides a list of the audit recommendations to the Public Service Director of the department that was audited. The Public Service prepares an action plan and target for completion date. The implementation of the audit recommendations is the responsibility of the Public Service.

Status updates are provided to the Audit Department on a quarterly basis; after presentation to Council these are posted at: winnipeg.ca/audit/reports. An explanation is provided for any recommendations that will not be implemented; a targeted completion date is noted for implementation in progress. Documentation supporting implementation is reviewed by the Audit Department for confirmation.

	Recommendations			
	Status			
	total	implemented	not to be implemented	% complete
Procurement for the Pedestrian and Cycling Strategies Report and Review of the Employee Code of Conduct	6	6		100%

The Public Service has reported that all six recommendations have been implemented. This is the final report for this audit.

Recommendations implemented in 2020 Quarter 2:

There were two recommendations implemented in 2020 Quarter 2:

No.	Recommendation	Implemented
4	We recommend that the Public Service: a) Create a formally documented ethics framework for the Public Service. b) Ensure that the framework includes all of the key components for ethics frameworks c) Document the linkages between all of the key components of the ethics framework d) Communicate the ethics framework to all Public Service employees	2020 Qtr 2
6	We recommend that the Public Service develop a training course that is made available to all City employees, and that is mandated for supervisory positions, that educates employees on the City's ethics framework.	2020 Qtr 2

Recommendations implemented in 2019

No.	Recommendation	Implemented
5	We recommend that the Public Service establish a process to periodically review and update the City's Ethics Framework going forward to ensure it continues to be current and relevant.	2019 Qtr 4
1	We recommend that the Public Service update the City's Employee Code of Conduct to incorporate the key characteristics for codes.	2019 Qtr 2
2	We recommend that the Public Service revise the City's Employee Code of Conduct to define the term "conflict of interest".	2019 Qtr 2
3	We recommend that the Public Service establish a process to review and update the Employee Code of Conduct going forward to ensure it continues to be current and relevant.	2019 Qtr 2