

City Council Information Items



July 10, 2020

Items for information is a weekly publication for the public and members of City Council. Members of City Council may request that any item appearing on this publication be placed onto the next available Committee of the Whole meeting for discussion.

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Information Report



Service Area	Office of the Chief Administrative Officer
Date	Friday, July 10, 2020
Subject	Employee Expense Process Audit Report

Executive Summary

Purpose of Report

To provide Committee of the Whole with the results of the Employee Expense Process audit performed to assess the adequacy of the internal controls and compliance to policies, procedures, by-laws and legislation.

Key Findings

- The employee and direct supervisor consistently approved legitimate employee expenses, although there is a need to improve the overall administration of policy formulation and stakeholders understanding of existing policies;
- Finance updated the Employee Expense Reimbursement policy in late 2018. A number of significant improvements were made at the time and additional enhancements such as, clarifying policy language and stakeholder documentation have been recommended;
- It is recommended that employees and their direct supervisors review relevant policies and procedures and receive additional training to ensure compliance. In addition, the Finance department training program be enhanced in order to educate staff on the requirements related to employee expenses;
- Management has agreed to all recommendations with 26% of the recommendations completed by the end of January 2020.

Financial Implications

No direct financial implications as a result of the audit.

Report

Details

The employee expense process audit was included as part of the 2019 Internal Audit Work Plan approved by Council in February 2019.

A review was performed to assess the effectiveness and efficiency of employee expense processes. For this audit, employee expenses include travel, training, business and staff meals, mileage and other miscellaneous items.

The audit focused on employee expenses submitted through Accounts Payable for reimbursement and those charged to a corporate credit card (Pcard). Areas of focus

included a review and assessment of compliance to relevant policies and procedures, governance over the employee expense process, and assessing adequacy of supporting documentation.

Effective October 2018, Finance, a department of the Corporate Services service area updated the Employee Expense Reimbursement policy. The policy and procedures requires all City staff to comply. The Policy does not govern expenses incurred by the members of Council and the Mayor or related boards.

Relevant City Policies

Policies and procedures that guide city staff regarding employee expenses are:

- Employee Expense Reimbursement policy and procedure;
- Automotive Expenses Reimbursement policy and procedure;
- Fleet Policy;
- Purchasing Card policy and procedure;
- Expense Authorization policy and procedure.

The Employee Expense Reimbursement policy and procedure governs employees when attending to business related to the City. This includes but not limited to attending conferences, seminars, training, etc. The policy helps ensure transactions are processed timely, in a consistent manner, accurately and in compliance with relevant policies and procedures.

Primary responsibility to ensure accuracy and compliance to all policies and procedures related to employee expenses rests with the employee and their supervisor (approver). The Finance department's oversight responsibilities include maintaining and updating relevant financial policies as well as overseeing the accuracy and compliance of employee expenses primarily through a periodic audit of expense reports completed.

The process followed for employee expenses reimbursed to the employee via accounts payable requires the employee to complete the 'Employee Expense Reimbursement Form' and attaching all relevant supporting documentation. This form is then submitted to their supervisor for approval. Once completed the Employee Expense Reimbursement form is sent to Accounts Payable for processing and payment is made through an EFT transfer. With respect to employee expenses charged to a Pcard, the employee is required to attach all relevant supporting documentation to the monthly statement. The statement is then approved by their supervisor and sent to Purchasing for processing.

Audit Objectives and Scope

The objective of the review is to assess the effectiveness and efficiency of management control procedures concerning; employee expenses for travel, training, business and staff meals, mileage and other miscellaneous items to ensure activities are in compliance with the City's policies and procedures. The audit focused on employee expenses processed through Accounts Payable and the corporate credit card (Pcard) performed by the Purchasing Department.

The scope of the review includes:

- Review of relevant policies and procedures;
- Review a sample of employee expenses to assess compliance with applicable policies, procedures;
- Assess adequacy of supporting documentation; and
- Provide management with recommendations.

The scope of the review excludes:

- Employee expenses processed through petty cash, cheque requisition and direct vendor invoice;
- Exclude local boards, Council members and Mayor;
- Corporate Purchasing card administrative processes;
- Although the audit included fraud tests, the audit was not designed to detect fraud;
- Corporate Purchasing Card (Pcard) policy evaluation review.

The audit coverage period includes activity between October 2018 and October 2019.

Executive Summary

Internal Audit conducted a review of employee expenses to assess the effectiveness and efficiency of its controls and processes.

Effective October 2018, the Employee Expense Reimbursement policy was updated and rolled out to staff. The policy applies to City staff only.

The employee and their direct supervisor are responsible to ensure all employee expenses are accurate and comply with the City's relevant policies and procedures.

Finance, a department of Corporate Services service area, is responsible for the maintenance of the policy and procedure referenced above and oversight over employee expenses charged to the City.

The audit identified opportunities for improvement to strengthen the employee expense process.

Key issues and opportunities for enhancement are summarized below.

Governance

Management Oversight

Management oversight helps ensure compliance with related policies and procedures and minimizes the risk of errors and misappropriation. The City requires the employee's direct supervisor to review all employee expenses of its employees to ensure the accuracy and compliance with relevant City policies and procedures.

Finance then reviews expenses as part of their oversight responsibilities for compliance and accuracy.

Internal Audit noted that the employee and their supervisor consistently approved legitimate city expenses incurred; however, the review identified a number of administrative errors in our sample selection. Non-compliant errors consisted of; amount submitted exceeded meal allowance limits, prior year mileage rates used, lack of adequate documentation to support some expenses (i.e. airfare, hotel) and general ledger coding errors. The dollar impact of these errors was not material.

Accounts Payable and Purchasing, who perform their own audits that are distributed to the Executive Team and the Corporate Management Team, reported 40% non-compliance for employee expenses reimbursed and 18% non-compliance for employee expenses charged to a Pcard for the second quarter of 2019. As noted above, these errors have not resulted in any material loss or identified any fraud-related matters.

Internal Audit noted that in some cases employees have not reimbursed the City for disallowed expenses (i.e. meal expenses in excess of the maximum allowance). The interpretation of allowable meal-related expenses by stakeholders is not consistently understood and is likely contributing to some of these errors. It is recommended that management ensures any disallowed expenses are reimbursed to the City as soon as feasible and that the policy language, specifically concerning meals, be clarified by Finance.

It is Internal Audit's recommendation that Accounts Payable quarterly audit review be increased to a monthly basis, consistent with the review methodology applied by Purchasing when reviewing Pcard statements.

Policies and Procedures

A policy identifies the guiding principles of the City and the procedures outline functional roles and responsibilities, identify steps required for a specific process to ensure tasks are completed in a consistent manner throughout the City in order to help achieve strategic goals and objectives. Formal policies and procedures help reduce the risk of error or misappropriation and also help ensure the City's values are achieved.

A formal effective training program helps employees to understand procedural requirements and achieve compliance to policies and procedures.

Finance updated the Employee Expense Reimbursement policy in late 2018. A number of significant improvements were made at the time; however, additional enhancements have been identified. Internal Audit recommends modification of the policy language to require rail or airfare costs to be reimbursed at the economy rate, unless the rate is not available at the time of booking; to record the start and end date on the mileage claim form to assess compliance with the Automotive Employee Expense policy. In addition, in order to enhance transparency and reduce

the risk of duplicate payments and non-compliance, it is recommended that staff complete a travel form per trip that identifies all expenses per trip and includes all documentation to support the employee expenses.

Accountability

Employee Expense Approval

Employee expenses reviewed as part of this audit included; travel, conferences, training, meals and miscellaneous items. The employee is responsible to ensure expenses claimed are accurate and in compliance with relevant policies and procedures. The employee's supervisor is required to approve the expenses to ensure accuracy and compliance with policies and procedures.

Based on the results of the second quarter audits performed by Accounts Payable and Purchasing and the Internal Audit review, it is recommended that the employee and their direct supervisor review relevant policies and procedures and receive additional training to ensure compliance. In addition, the Finance department enhance their training program in order to educate staff on the requirements related to employee expenses.

Supporting Documentation

Supporting documentation is documentation that supports compliance to the related employee expense policies and procedures. Each policy outlines the required documentation for that policy.

Internal Audit assessed the adequacy of the documentation submitted with the employee expense claims and noted that in many cases, adequate documentation was not attached to indicate that the economy airfare rate was expensed or that the standard rate was charged for hotels. In addition, information required to be submitted for mileage claims is not adequate to assess compliance with the Automotive Expense Reimbursement policy. It is recommended that through ongoing training from Finance, remind the departments of the required documentation needed and update the mileage log to include the necessary information to assess compliance to policies.

Financial Implications

There are no direct financial implications as a result of the audit.

Consultations

Tara Baker, General Manager Finance/City Treasurer

Strategic Plan Alignment

This report supports the Strategic Plan – Working Together for our Future Priority. The recommendations identified are designed to improve the effectiveness and/or efficiencies of the employee expense processes concerning governance, risk management and internal controls.

Attachments

Attachment-1: Summary of Recommendations

Departmental Approval

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Summary of Recommendations

Rec #	Recommendation	Management Action Plan	Implementation Due Date
1.1	Ensure Purchasing and Accounts Payable are using consistent criteria in auditing employee expenses.	Agree – Staff will review and update policies and procedures, to ensure that Purchasing and Accounts Payable use consistent criteria for auditing employee expenses.	Q2-2020
1.2	Ensure all key requirements related to employee expenses are audited and if not, note the exceptions in the Quarterly Treasurer package to enhance transparency.	Agree – Treasurer’s Quarterly Report from Q1-2020 onwards will specify if any of the key requirements (as listed out in audit SOP) that are applicable to audit samples were not audited by Finance.	Q1-2020

Rec #	Recommendation	Management Action Plan	Implementation Due Date
1.3	Accounts Payable review claims prior to processing payment and where non compliant issues are identified, return the request to the employee/supervisor for correction in order to reduce the frequency of non compliant instances occurring. However, if resources are not available to perform the review at time of processing, it is recommended Accounts Payable increase the number of requests audited subsequent to processing payment and require the employee/supervisor to make all necessary revisions to be compliant.	<p>Agree – Accounts Payable have changed their process to review claims prior to being processed for payment. It is the responsibility of employee and supervisor to ensure supporting documentation is attached to the expense reimbursement form. Staff will send the claim back to the employee and supervisor for missing documentation to be addressed before processing.</p> <p>Finance is concerned with the increased staff time required with reviewing an average of 1,700 employee expense claims a year, and will be investigating the use of an expense management module that would prevent errors at the source rather than staff intervention later in the process. This investigation will take place in 2020.</p>	Q1-2020
1.4	Accounts Payable increase the audit frequency performed to monthly rather than quarterly.	<p>Agree – Staff will increase frequency of the audit from quarterly to monthly starting January 2020. The Expenditure Reimbursement Policy will be updated to reflect this change.</p> <p>Once Finance has implemented an employee expense system module, the frequency of the audits will go back to quarterly.</p>	Q1-2020

Rec #	Recommendation	Management Action Plan	Implementation Due Date
1.5	Service area staff fully comply with all relevant employee expense policies and procedures and where a non-compliant occurrence has been identified ensure all necessary corrections are processed timely in order to comply with the policies and procedures.	Agree – Summary of the Non-compliances identified during the audit are being communicated to DCAOs through the Quarterly Treasurer’s Package. Further, all non-compliance is communicated to the employee and their direct supervisor with a recommendation to refresh their understanding with the online training.	Completed
2.1	Enhance training options available to staff to help ensure employee expenses are recorded accurately and comply with related policies and procedures.	Agree – There is already training material posted on infonet in October 2018, however it will need to be updated with the changes to the policy as an outcome of this audit. Staff will also revisit the training resources available online and update where required with a Frequently Found Issue Log based on non-compliance trends observed in the monthly audits.	Q4-2020
3.1	Develop, review and/or update policies and procedures where necessary as identified above.	Agree – Staff will review and update the policy to reflect the recommendations.	Q2-2020

Rec #	Recommendation	Management Action Plan	Implementation Due Date
3.2	<p>Finance to modify the language within the Employee Expense Reimbursement policy related to rail and airfare costs to read; that only the economy rate will be reimbursed, unless this rate is not available at the time of booking.</p> <p>The employee and their supervisor are responsible to ensure travel documentation is available for review, should it be requested.</p>	<p>Agree – Finance will update the Employee Expense Reimbursement Policy and audit procedures accordingly.</p>	Q2-2020
3.3	<p>Develop a travel form itemizing all travel related expenses for an employee per trip with adequate documentation to support accuracy and compliance to related policies and procedures. This will reduce the risk of duplicate payments and/or disallowed or fraudulent expenses. Also, this form will enhance transparency by identifying all costs related to a trip by an employee.</p>	<p>Agree – Staff will update the reimbursement claim form to contain a comment requiring employees to put all out-of-pocket expenses relating to the trip in one claim form wherever possible and provide trip details as required by the policy. The updated form contains a reminder requiring employee’s and supervisor’s confirmation that expenses paid through City’s P-Card were not being claimed as reimbursement. The form also requires original receipts to be attached supporting the claim.</p> <p>The City is investigating an automated Expense Management module that will assist with mitigating this risk in the future as well.</p>	Q1-2020

Rec #	Recommendation	Management Action Plan	Implementation Due Date
4.1	Ensure staff are made aware through enhanced communication and training that the employee and direct supervisor are responsible to ensure employee expenses are accurate, adequate documentation is provided and all expenses comply with relevant policies and procedures.	Agree - A new internal webpage has been created to better communicate the policy, frequent non-compliant issues and online training.	Completed
4.2	Return the Employee Expense Reimbursement forms to the employee/supervisor for correction in the event Finance identifies errors or non-compliance with policies and procedures prior to reimbursing the employee.	Agree - if Staff identifies any errors or non-compliances while processing a claim, they are returning the claim form back to the employee. Going forward Staff will include supervisor in the communication.	Completed
5.1	Ensure the employee and/or supervisor submits to Finance all missing support documentation, corrected journal entries, etc. as identified through the Finance review process.	Agree - Finance is following up with employees and supervisors for any non-compliances noted during the audits.	Completed

Rec #	Recommendation	Management Action Plan	Implementation Due Date
5.2	Update the km log to require the start and end location address.	<p>Agree – The recommendation is valid for standalone trips. Finance will update procedures and forms to let employees include start and end location for each trip.</p> <p>For employees with high mileage, there is an opportunity for process efficiency by allowing them to receive a fixed monthly allowance and letting them settle at the end of the year based on total actual kilometers logged as approved by their supervisor.</p> <p>Finance will consult internal departments regarding this process efficiency opportunity and advise departments as to when this alternative method of claiming mileage would be beneficial. There may be a need to revise automotive expense reimbursement policy to allow monthly allowance.</p>	Q2-2020
5.3	Ensure disallowed expenses are reimbursed to the City in a timely manner and update the Employee Expense Reimbursement policy to clearly state any disallowed expenses must be reimbursed to the City by the employee.	Agree – Any non-compliant or disallowed expenses will be sought back from employees as soon as they are identified. Further, the policy will be updated to make this requirement clear.	Q2-2020

Rec #	Recommendation	Management Action Plan	Implementation Due Date
5.4	Update the general ledger training category account descriptions to clearly identify the type of costs to be charged to each object code. Also, identify where business and staff meetings are to be charged.	Agree – Staff will review the account codes relating to training and travel and streamline them wherever possible. This recommendation will lead to a larger project that is beyond just the training chart of accounts and Finance will include this as a larger efficiency project in 2021. The priority for 2020 will be the investigation and implementation of an Expense Management module.	Q4-2021

Information Report



Service Area	Office of the Chief Administrative Officer
Date	Friday, May 29, 2020
Subject	Status of Outstanding Management Action Plans- Q4-19

Executive Summary

Purpose of Report

- As part of the City of Guelph’s follow-up process, management provides regular updates on the status and progress of outstanding audit recommendations to Internal Audit.
- The objective of this report is to provide Committee of the Whole with an update on the progress of the implementation of management action plans as reported by management that were developed to address audit observations.
- Additional information related to recommendations that were due to be implemented on or before the period end date is provided as an attachment.
- Internal Audit will report to Committee of the Whole three times per year on management’s progress in implementing agreed upon audit recommendations.

Key Findings

- As of December 31, 2019, 88% of the audit recommendations with an implementation due date of December 31, 2019 or prior have been completed by management. This is an increase from June 30, 2019 that reported 77% completed.

Financial Implications

N/A

Report

Overview

As of December 31, 2019, 263 recommendations were reported by management as complete, 32 that were due to be completed are in-progress, 5 recommendations not yet started (Table 1). Of the 37 recommendations due and outstanding, there are 20 that are more than one year overdue and 17 that are overdue under one year (Table 2) based on the original implementation due dates established by management.

The completion rate reported by management is 88% after deducting the 18 recommendations that have original implementation dates after December 31, 2019 (Table 1).

Analysis

- The one recommendation remaining from the **Use of External Consulting** audit was completed.
- The **Purchasing Card** audit had one outstanding audit recommendation related to updating and finalizing the Corporate Parking policy. This was completed during this quarter.
- There was one recommendation identified in the **Driver Certification Program Compliance Audit** done at Guelph Transit. This item was completed.
- The **Project Management Process Audit** was issued in June 2019 with 30 recommendations. 18 recommendations have been completed to date.
- The **River Run Centre Cash Handling Audit** was issued in January 2019 with 47 recommendations made. To date 27 recommendation have been completed.
- The outstanding **Overtime** audit recommendation relates to recommendations identified in the Kronos Optimization report. After review by management and agreement from Internal Audit, of the 39 recommendations made, 28 were deemed completed; 3 were identified as not relevant based on current processes in place and therefore closed; 1 was included as part of the Payroll Process audit, and 7 remained and have been identified individually as part of the Overtime audit follow up. The implementation due date has been revised to the fourth quarter 2020 by management from the original due date of fourth quarter 2014.
- The **Vendor/Payment Process Audit** outstanding audit recommendation relates to establishing management oversight of approved purchase change orders. Management has decided to accept the risk associated with not implementing a manual control process pending a new procurement system decision and implementation. The implementation due date has been revised to the fourth quarter 2020 by management from the original due date of second quarter 2018.
- The **Single Source Purchase** outstanding recommendations relate to Legal Services reviewing and updating City by-laws, policies and procedures related to clarifying delegation of authority, and presenting recommended by-law changes to Council. Both of the remaining items completion dates were revised and are now scheduled to be completed by the fourth quarter 2020. The original due date was second quarter 2018 for both remaining recommendations.
- The **Payroll Process audit** report issued in May 2018 included 76 recommendations. As of December 2019, 63 of 76 (83%) recommendations due to be implemented as indicated by management were completed. 2 recommendations scheduled to be completed by December 2019 have not yet commenced.
- The **Fuel Security and Systems Audit** has 5 outstanding audit recommendations. Revised implementation dates extend to Q3 2020 for 4 of the 5 remaining recommendations due to delays in system related implementations as reported by management.

- One **Solid Waste Resource Audit** recommendation remains outstanding. The remaining recommendation deals with implementing contract management software. The revised implementation date has been changed to third quarter 2020.

Table 1

Activity Summary								
As of December 2019								
Report Issue Date	Report Name	Total	Completed Prior To Current Period	Due by December 31 2019			Due After December 31 2019	
				Complete	In Progress	Not Started	Not Started	In Progress
Corporate Services								
October 2013	Overtime	41	40		1			
February 2016	Purchasing Card	10	9	1				
June 2014	Use of External Consulting	4	3	1				
May 2017	Vendor Payment Process	52	51		1			
October 2017	Single Source Purchase	20	18		2			
May 2018	Payroll Audit	76	32	31	11	2		
Public Services								
January 2017	Fuel Security and Systems	21	13	3	5			
January 2019	River Run Centre Cash Handling	47	11	16	9	2	2	7
June 2019	Driver Certification Program Compliance Audit	1	1					
Infrastructure, Development and Enterprise Services								

Activity Summary

As of December 2019

Report Issue Date Report Name		Total	Completed Prior To Current Period	Due by December 31 2019			Due After December 31 2019	
				Complete	In Progress	Not Started	Not Started	In Progress
June 2016	Solid Waste Resource	16	15		1			
June 2019	Project Management Process	30		18	2	1	4	5
Total Count		318	193	70	32	5	6	12

Aging of the Implementation of Recommendations (due as of December 2019)				
Audit Report Name	Total Recommendations Outstanding	Overdue Less Than a Year	Overdue Between One to Two Years	Overdue Over Two Years
Overtime	1			1
Vendor Payment Process	1		1	
Single Source Purchase	2		2	
Payroll	13	3	10	
Fuel System & Security	5		4	1
Solid Waste Resource	1			1
River Run Centre Cash Handling	11	11		
Project Management Process	3	3		
Total	37	17	17	3

Summary

The overall completion rate for the fourth quarter 2019 was 88% up from June 30, 2019 that reported 77% completed. Management and staff continue to work towards the completion of outstanding audit recommendations.

Internal Audit encourages management and staff to continue striving to meet the target completion dates and Internal Audit will continue to support the departments in their efforts to implement audit actions plans timely.

Financial Implications

N/A

Consultations

Consulted with the DCAOs and Departmental Management regarding the supplemental information.

Strategic Plan Alignment

This report supports the Strategic Plan – Working Together for our Future Priority. The update demonstrates management’s implementation of recommendations identified in prior audits that improve the effectiveness and/or efficiencies of governance, risk management and internal control processes.

Attachments

Attachment 1- Supplemental Information

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SUPPLEMENTAL INFORMATION

Outstanding Recommendation Status

Audit Report: Fuel Security and Systems Audit
Date Final Report Issued: January 2017
Status Date: Q4-2019

Audit Report Management Action Plan				Management Status Update		
Rec #	Recommendation	Management Response	Original Implementation Date	Revised Implementation Date	Status (Not Started / In Progress / Complete)	Departmental Comment
4.1	Investigate the feasibility of automating the recording of individual's unique access code, asset type, odometer reading and pump number and implement if feasible in order to reduce risk of error.	Agree with recommendation, we will investigate.	Q2-2017	Q1-2020	In progress	<p>Q2-2017 - Working with Guelph Lab to explore options (on pause due to other priorities). Fleet Manager to review off the shelf options.</p> <p>Q4-2017 - Due to changes to staffing resources project completion time line extended. Extended into Q3 2018 to reflect fuel pump replacement. (Due date changed to Q3-2018)</p> <p>Q1-2018 - Q1-2018 - Fuel Vendor provided \$75,000 quote to automate Transit fuel site as a pilot. Funding not included in budget and to be added (and approved in 2019 budget. (Due date changed to Q2-2019)</p> <p>Q2-2018 - Funding approved through existing re-priorized fleet capital budgets. WinFuel (Vendor) indicated project/work can be scheduled in to their Q4 work plans.</p> <p>Q3-2018 - Pilot Project to electronically capture vehicle & odometer data on target to commence Q1 2019</p> <p>Q4-2018 - No update from previous comment</p> <p>Q1 - 2019 - New Municipal St yard fuel site project and commissioning has been delayed. Revised target to implement card reader technology at fuel site and roll out user/operator training is date Q3-2019</p> <p>Q2-2019- New fuel site at 45 Municipal Yard has been commissioned and old UG tanks removed. Hardware requiring use Access/ID card to activate pumps added to 45 Municipal. Hardware will be added to all pumps over the next 6 months. Once hardware has been added to all pump locations, requirement will be activated</p>
			see row above	see row above	see row above	<p>Q3-2019- No change from Q2-2019</p> <p>Q4-2019 - No change from Q3 2019 comments</p>

Outstanding Recommendation Status

Audit Report: Fuel Security and Systems Audit
Date Final Report Issued: January 2017
Status Date: Q4-2019

Audit Report Management Action Plan				Management Status Update		
Rec #	Recommendation	Management Response	Original Implementation Date	Revised Implementation Date	Status (Not Started / In Progress / Complete)	Departmental Comment
6.1	Request IT staff to schedule automatic daily uploads between the fuel software and WAM. If IT is unable to schedule these tasks to occur automatically, a process be developed to ensure that the transactions are manually processed at a consistent time at least weekly.	Agree with recommendation. Fleet staff will make the request of IT and if the request is not possible, Fleet staff with assistance from Finance will develop a procedure to transfer data.	Q4 2017 for review and request noting that WAM is currently being reviewed, implementation date of Q2 of 2018.	Q3-2020	In progress	<p>Q2-2017 - Currently staff are processing transactions at least weekly, when possible daily. Need to identify back up staff member to complete this task. No change in date.</p> <p>Q4-2017 - Program Manager - Fleet Planning to be back up to complete this task.</p> <p>Q1-2018 - Q1-2018 - Fuel data upload improvements tied to WAM 2.2 project which is now delayed to Q4-2018. (Due date changed to Q4-2018)</p> <p>Q2-2018 - WAM 2.2 rollout delayed due date revised Q2-2019</p> <p>Q3-2018 - No change - implementation tied to roll out and improvements of WAM 2.2.</p> <p>Q4-2018 - No update from previous comment</p> <p>Q1 - 2019 - WAM 2.2 replacement has been delayed - revised due date Q3 - 2020</p> <p>Q2-2019 - No change from Q1-2019</p> <p>Q3-2019 - no change from Q2-2019</p> <p>Q4-2019 - no change from Q3-2019</p>
6.2	Investigate why system integrity reports do not identify the orphaned files in a timely manner; or if the system was operating effectively, why the integrity errors were not followed up in a timely manner.	Agree with recommendation. Fleet staff will make the request of IT to investigate program further and correct if necessary or possible. If system is working properly, Fleet staff will develop a process to address integrity errors.	Q4-2017	Q3-2020	In progress	<p>Q2-2017 - Fleet manager working on process. Will also follow up with GPS to address errors. No change in date.</p> <p>Q4-2017 - No updates from previous comment. (Due date changed to Q4-2018)</p> <p>Q1-2018 - Fuel data integrity reports (if available) tied to WAM 2.2 upgrade project, which is now delayed to Q4-2018.</p> <p>Q2-2018 - WAM 2.2 rollout delayed due date revised Q2-2019</p> <p>Q3-2018 - No update from previous comment</p> <p>Q4-2018 - No update from previous comment</p> <p>Q1 - 2019 - WAM 2.2 replacement has been delayed - revised due date Q3 - 2020</p> <p>Q2-2019 - No change from Q1 2019</p> <p>Q3-2019 - No change from Q2-2019</p> <p>Q4-2019 - no change from Q3-2019</p>

Outstanding Recommendation Status

Audit Report: Fuel Security and Systems Audit
Date Final Report Issued: January 2017
Status Date: Q4-2019

Audit Report Management Action Plan				Management Status Update		
Rec #	Recommendation	Management Response	Original Implementation Date	Revised Implementation Date	Status (Not Started / In Progress / Complete)	Departmental Comment
6.3	Report fuel transactions on a line by line basis throughout all systems so that analysis can be performed in any of the software systems instead of all data being grouped together in blocked summaries.	Agree with recommendation. Will look at ability to create this process and if possible we will implement in 2018 as part of our review of Fleet charges.	Q4 2017 for review, implementation if possible Q3 2018	Q3-2020	In progress	<p>Q2-2017 - Implementation progressing/will progress as indicated. No change in date.</p> <p>Q4-2017 - No updates from previous comment.</p> <p>Q1-2018 - No change (due Date changed to Q4 2018)</p> <p>Q2-2018 - WAM 2.2 roll out delayed due date now Q2-2019</p> <p>Q3-2018 - No update from previous comment</p> <p>Q4-2018 - No update from previous comment</p> <p>Q1 - 2019 - WAM 2.2 replacement has been delayed - revised due date Q2/Q3 - 2020</p> <p>Q2-2019- No change from Q1 2019 comments</p> <p>Q3-2019-No change from Q2 2019</p> <p>Q4-2019 - No change from Q3 2019</p>
7.2	<p>Review monthly fuel transactions by asset and by individual to verify the legitimacy of transactions to assess reasonableness of fuel costs. Specific review be conducted in the following areas:</p> <ul style="list-style-type: none"> • Consecutive fuel transactions by individual or asset to ensure all transactions are legitimate and are charged to the appropriate business units • Abnormal fuel amounts for the assets • Vehicles with low KM/L • Disbursements made after hours. 	Agree with recommendations. Staff will consider during Fleet charge Review.	Q4-2018	Q3-2020	In progress	<p>Q2-2017 - See item 7.1. No change in date.</p> <p>Q4-2017 - No updates from previous comment.</p> <p>Q1-2018 - No updates from previous comment.</p> <p>Q2-2018 - WAM 2.2 rollout delayed, due date revised Q2-2019</p> <p>Q3-2018 - No update from previous comment</p> <p>Q4-2018 - No update from previous comment</p> <p>Q1 - 2019 - WAM 2.2 replacement has been delayed - revised due date Q3 - 2020</p> <p>Q2-2019- No change from Q1 2019 comments</p> <p>Q3-2019- No change from Q2 2019 comments</p> <p>Q4-2019 - no change from Q3-2019</p>

Outstanding Recommendation Status

Audit Report: Overtime
Date Final Report Issued: October 2013 (Updated June 2016) and 2016
Status Date: Q4-2019

Audit Report Management Action Plan				Management Status Update		
Rec #	Recommendation	Management Response	Original Implementation Date	Revised Due Date	Status (Not Started/In Progress/Complete)	Departmental Comment
25	Implement the recommendations found in the KRONOS Optimization Report.	Agreed. A payroll audit will be done; It is a requirement for this recommendation to be implemented.	Q3-2014	see below	See below Rec # 25.1 to 25.7	<p>March 2014: A separate implementation plan is being developed as part of the Corporate Technology Strategic Plan and will be reported back to Audit Committee and Service Area Standing Committees.</p> <p>Q2 - 2017 Kronos - new version upgrade has been delayed by the vendor a number of times. We are scheduled to implement in Q1 of 2018. Many of the improvements will be addressed in phase one of the implementation. Some changes will be pushed back to the balance of 2018. There are significant capacity issues corporately to do all during the upgrade.</p> <p>Q4-2017 - No updates from previous comment.</p> <p>Q1-2018 - In light of the recent payroll audit staff will be revisiting the management plan and will address areas identified by the Internal Auditor for Q2 reporting.</p> <p>Q2-Q2-2018 - recommendation to be incorporated and implemented as part of the Internal Payroll Audit</p> <p>Q3-2018 -Some items contained in the KRONOS optimization report will be included in the payroll audit. The remaining items will be assessed in the KRONOS upgrade scheduled in 2019. Originally upgrade was scheduled for 2018, however, due to lack of funds and resources, unable to implement this year.</p> <p>Q4-2018 - KRONOS upgrade scheduled for Q4 2019 to address remaining items outlined in the Audit</p>
						<p>Q1-2019 - HR has reviewed and assessed the KRONOS Optimization Report. Most of the recommendations in the KRONOS Optimization Report related to the Overtime Audit have been completed/implemented. It is expected that the remaining recommendations will be completed or will be noted as recommendations that the City will not be proceeding with in light of current corporate operational requirements.</p>
25.1	Automate the time keeping process, eliminating the need for paper based input of time	Not provided at time audit was completed.	Q4-2014	Q2-2020	In Progress	<p>Q2-2019- Staff who currently enter their hours via timecards into WAM will now have their schedule included in Kronos for exception reporting. This recommendation is being completed in conjunction with work on Payroll Audit recommendation 25.3. The new Manager, Total Compensation & HR Systems started June 24 and will oversee the remainder of the outstanding items with support from the Compensation & Data Analysts.</p> <p>Q3-2019 - An external consultant is providing a report on the current state of time keeping processes throughout the City, with recommendations on how to streamline processes by focusing on eliminating paper based time tracking. HR is in discussions with IT to expand the online, workflow enabled time off request form that has been successfully trialed in IT and HR.</p> <p>Q4-2019 - Time, Attendance and Scheduling (TAS) review has been completed and recommendations provided, which include utilizing more paper-free functionality in Kronos such as self-service and time-off requests with workflow to leaders. Implementation of these recommendations are underway in Q1 and Q2 2020.</p>

Outstanding Recommendation Status

Audit Report: Overtime
 Date Final Report Issued: October 2013 (Updated June 2016) and 2016
 Status Date: Q4-2019

Audit Report Management Action Plan				Management Status Update		
Rec #	Recommendation	Management Response	Original Implementation Date	Revised Due Date	Status (Not Started/In Progress/Complete)	Departmental Comment
25.2	Utilize alerts for supervisors for exception review only to facilitate accurate and efficient sign off.	Not provided at time audit was completed.	Q4-2014	Q2-2020	In Progress	<p>Q2-2019- IT and HR working to interface @guelph.ca email addresses from JDE to Kronos to facilitate workflow notifications and exception only approval in Kronos. Additional Kronos licenses have been purchased, role based access profiles have been updated, and hyperfinds have been created to allow for exception review. Kronos upgrade is not proceeding in Q4-2019; however, a 2020 capital budget request will be submitted for a new HCM system, which will include a scheduling and timekeeping system. In addition, we submitted an application to Ontario Government Audit and Accountability Fund to receive funding to hire a 3rd party consultant to review and audit the timekeeping and scheduling operational practices with the goal to identify efficiencies and potential savings.</p> <p>Q3-2019 - Katalogics has been asked to assist with implementing this configuration change in Kronos. Payroll staff have already confirmed that email addresses can be interfaced from JDE to Kronos for this project.</p> <p>Q4-2019 - Katalogics is working on configuring and testing this functionality in December 2019 and January 2020 as a limited interim functionality prior to the Kronos upgrade this year. The Kronos upgrade (either version 8 or the cloud based Dimensions version) will include this functionality as a core feature.</p>
25.3	Utilize the delegation of authority feature	Not provided at time audit was completed.	Q4-2014	Q1-2020	In Progress	<p>Q2-2019- IT and HR working to interface @guelph.ca email addresses from JDE to Kronos to facilitate delegation of sign off authority functionality in Kronos. Additional Kronos licences have been purchased to accommodate the delegation of authority feature.</p> <p>Q3-2019 - Katalogics will also be assisting with this project.</p> <p>Q4-2019 - Preliminary configuration and testing of this functionality completed by Katalogics and roll out into production expected in early Q1-2020.</p>
25.4	Adopt basic scheduler across the organization	Not provided at time audit was completed.	Q4-2014	Q2-2020	In Progress	<p>Q2-2019- Have increased use of this function throughout the City, but more will be done as we migrate WAM staff to Kronos timekeeping.</p> <p>Further rollout will occur now that the Kronos upgrade is officially on hold for 2019, as is the WAM upgrade (many employees throughout the City record their time in WAM where it then interfaces into Kronos). Kronos upgrade is not proceeding in Q4-2019; however, a 2020 capital budget request will be submitted for a new HCM system, which will include a scheduling and timekeeping system. In addition, we submitted an application to Ontario Government Audit and Accountability Fund to receive funding to hire a 3rd party consultant to review and audit the timekeeping and scheduling operational practices with the goal to identify efficiencies and potential savings.</p> <p>Q3-2019 - Changes to the City's scheduling and timekeeping processes will be rolled out following the final report from Blackline Consulting regarding the results of their time and attendance analysis.</p> <p>Q4-2019 - All staff that can be on a schedule have been added. Those that can't currently be added to a schedule due to a delay in the CMMS project will be added as soon as it is determined how their hours/wages can be allocated to specific projects for budgeting and invoicing purposes. Concurrently, Compensation staff are exploring options for tracking that information in Kronos to facilitate adoption of basic scheduler across the organization.</p>

Outstanding Recommendation Status

Audit Report: Overtime
Date Final Report Issued: October 2013 (Updated June 2016) and 2016
Status Date: Q4-2019

Audit Report Management Action Plan				Management Status Update		
Rec #	Recommendation	Management Response	Original Implementation Date	Revised Due Date	Status (Not Started/In Progress/Complete)	Departmental Comment
25.5	Implement schedules to set the foundation to allow for a thorough managing of absences and tardiness	Not provided at time audit was completed.	Q4-2014	Q2-2020	In Progress	<p>Q2-2019- All staff who can be put on schedules at this time have been done so. Remaining WAM users should be transitioned by early summer 2019 once a process to allocate the cost of labour is finalized. This item is being completed in conjunction with work being done on Payroll Audit recommendation 25.3. Kronos upgrade is not proceeding in Q4-2019; however, a 2020 capital budget request will be submitted for a new HCM system, which will include a scheduling and timekeeping system. In addition, we submitted an application to Ontario Government Audit and Accountability Fund to receive funding to hire a 3rd party consultant to review and audit the timekeeping and scheduling operational practices with the goal to identify efficiencies and potential savings.</p> <p>Q3-2019 - Further work will be completed on this recommendation once the Blackline time and attendance analysis is completed and Katalogics is able to work with Payroll staff to configure Kronos to allow for workflow notifications and delegation of authority. Claim Management staff within HR will be working on updating the City's attendance support policy which will be integrated into Kronos functionality.</p> <p>Q4-2019 - Time and Attendance (TAS) review completed and recommendations provided, which include utilizing more paper-free functionality in Kronos such as self-service and time off requests with workflow to leaders. Implementation of these recommendations are underway in Q1 and Q2 2020.</p>
25.6	Use Delegation of authority feature to ensure continuity of authorization process	Not provided at time audit was completed.	Q4-2014	Q1-2020	In Progress	<p>Q2-2019- Additional Kronos licences have been purchased and distributed to ensure continuity of the authorization process. Further work on the delegation of authority feature is being completed as part of the Payroll Audit recommendation 25.2</p> <p>Q3-2019 - An inventory of Kronos Approver licences has been conducted. SBAs will be working with their groups to ensure appropriate leaders have access to Kronos to approve their own staff. This will facilitate adequate coverage is available to implement the delegation of authority feature once configured by Katalogics and Payroll staff.</p> <p>Q4-2019 - Katalogics has tested this functionality in the Kronos test environment. It is expected to roll out in Kronos production by February 2020.</p>
25.7	Adopt workflow notification to manage processes	Not provided at time audit was completed.	Q4-2014	Q1-2020	In Progress	<p>Q2-2019- May be addressed via a Kronos upgrade (possibly 2020) or a new compensation and timekeeping system (RFI went out May 2019). Recommend proceeding with functionality within the Kronos upgrade review or new HRIS system RFI and this recommendation is being addressed via Payroll Audit recommendation 25.2. In addition, we submitted an application to Ontario Government Audit and Accountability Fund to receive funding to hire a 3rd party consultant to review and audit the timekeeping and scheduling operational practices with the goal to identify efficiencies and potential savings.</p> <p>Q3-2019 - Payroll has confirmed email addresses can be interfaced into Kronos from JDE and will be working with Katalogics to configure and implement.</p> <p>Q4-2019 - Katalogics will be working on configuring and testing this functionality in January 2020 as a limited interim functionality prior to the Kronos upgrade this year. The Kronos upgrade (either version 8 or the cloud based Dimensions version) will include this functionality as a core feature.</p>

Outstanding Recommendation Status

Audit Report: Project Management Process Audit

Date Final Report Issued: June 2019

Status Date: Q4-2019

Audit Report Management Action Plan				Management Status Update		
Rec #	Recommendation	Management Response	Original Implementation Due Date	Revised Implementation Due Date	Status (Not Started / In Progress / Complete)	Departmental Comment
5.1	Establish guidelines that ensure Project Managers are submitting capital project budgets in the financial system at a expenditure type level of detail;	Agree - Management will update guidelines to connect detailed budgeting requirements with the capital project Tier methodology. Management will communicate these requirements to project managers through the 2020 Capital Budget process.	Q4 2019	Q4 - 2020	Not started	Q3-2019 - revised deadline Dec 2020 – this is a large scale change that requires a number of people outside of Finance to support Q4-2019 – This is part of the Capital plan deliverables for 2021 Capital Budget, still expecting Dec 2020
6.2	Finalize the Draft Capital Account Management Policy using the corporate policy template and post it on the infonet.	Agree	Q3 2019	Q1 2020	In Progress	Q3-2019 - In progress for completion in Q1 2020 Q4-2019 – Will be finalized by end of Q1 2020
6.3	Ensure costs necessary to complete a capital project are captured consistently for all projects.	Agree - Management is developing a policy and procedure to guide the budgeting and accounting of permanent staff time vs. contract staff time.	Q3 2019	Q4 2021	In Progress	Q3 - 2019 - already doing our best. Q4-2019 – Part of multi year strategy to better capture staff/internal costs related to projects, still expected to be Q4 2021

Outstanding Recommendation Status

Audit Report: River Run Centre Cash Handling Audit

Date Final Report Issued: January 2019

Status Date: Q4-2019

Audit Report Management Action Plan				Management Status Update		
Rec #	Recommendation	Management Response	Original Implementation Date	Revised Implementation Due Date	Status (Not Started / In Progress / Complete)	Departmental Comment
1.2	Develop, document and implement procedures to manage box office and FOH safes. The procedure should include but not be limited to: oversight activities, roles and responsibilities and any relevant recommendations from this report.	Agree – Linked to 1.3, 1.4, 1.5, expand and collate after completion of other recommendations, include Finance in development	Complete by December 2019	Complete by Q4 2020	In Progress	Q2-2019- planned summer 2019. Q3-2019- draft procedure complete for box office. Q4-2019 - Combinations changed once a year or when staff have left a FOH position. Annual change done October 10, 2019
2.4	Eliminate the use of generic keys. Keys need to be issued to individuals based on the need of their role. Where this is not feasible due to a business reason document and implement a compensating control by developing a tracking log with all the components mentioned in recommendation 2.3.	Agree – adjust to assign keys, explore by position (and institute compensating controls as required)	Complete by Q4 2019	Complete by Q4 2020	In Progress	Q3-2019- In conjunction with 2.3 under review Q4-2019 - This is connected to 2.1, 2.2, and 2.3, which all have a completion date of Q4 2020. Completion date changed to Q4 2020 to align with these recommendations
3.1	In conjunction with Operations department, perform a security risk assessment of the River Run Centre and determine the appropriate security measures required to mitigate risks identified to an acceptable level.	Agree – work with Bylaw (Operations) to complete and document, identify budget impacts	Complete by Q4 2019	Complete by Q4 2020	In Progress	Q1-2019- Reached out to Operations Department to request assistance with security audit at River Run Centre. Q2-2019 - agreed by Operations, timeline of Operations work plan to be confirmed Q3-2019- Awaiting timeline of Operations work plan Q4-2019 - Full security audit or risk assessment identified with Operations, Corporate Security began regular patrols and monitoring in 2019.
6.3	Develop and implement formal procedures related to the granting of system access that includes but not limited to relevant findings within this report as well as defining roles and responsibilities.	Agree – research and develop, linked to FOH keys and codes, adding additional unique system access (in Q3 2019), where linked to Tixhub document roles	Start Q3 2019 Complete by Q4 2019 Complete by Q4 of 2019	Start Q3 2019 Complete by Q4 2020 Complete by Q4 of 2020	Not Started	Q3-2019- not yet started Q4-2019 - not yet started. Completion date revised to Q4 2020
7.1	All cheques received at the River Run Centre including ones received through the mail should be received by the on duty box office seller and be included in the daily deposit process. Investigate the ability to use TixHub to record receipt of the payment immediately.	Agree – investigate and research, connect with supplier on possibilities, identify additional costs, consider compensating controls	Complete by December 2019	Complete by Q3 2020	In Progress	Q2-2019- reviewing reporting and accounting implications to determine what changes need to be made in order to accomplish this. Q3-2019- continued review underway Q4-2019 - Continued review underway. Completion date revised to Q3 2020

Outstanding Recommendation Status

Audit Report: River Run Centre Cash Handling Audit

Date Final Report Issued: January 2019

Status Date: Q4-2019

Audit Report Management Action Plan				Management Status Update		
Rec #	Recommendation	Management Response	Original Implementation Date	Revised Implementation Due Date	Status (Not Started / In Progress / Complete)	Departmental Comment
7.2	A stamp with "for deposit only" to the correct City of Guelph deposit account be used to endorse all cheques at time of receipt.	Agree – secure necessary equipment from Finance	Complete by Q3 2019	Complete by Q1 2020	In Progress	Q1-2019- Stamp ordered and process reviewed with Finance, staff training on procedure to be given when equipment (stamp) arrives. Q2-2019- process under review with Finance Q3-2019- process under review with Finance Q4-2019 - process under review with Finance. Completion date revised to Q1 2020
8.3	Implement a process for volunteers that is similar to the requirement for all City of Guelph employees regarding formal acknowledgement of the City of Guelph's Code of Conduct at time of onboarding and on an annual basis. This could be achieved by including volunteers in the current City employee process, or by creating a volunteer specific Code of Conduct.	Agree - work with Corporate Volunteer staff to create code of conduct training for volunteers, add to onboarding training, consider alignment to staff renewal of retraining every 3 years	Launch Q1 of 2019 and complete July 2019	Q1 2020	In Progress	Q1-2019- 80% of current volunteers have signed off on the current City of Guelph Code of Conduct. Further follow up with HR. Q2-2019- Training and sign offs required for a few remaining volunteers who have been unable to attend training sessions. Additional volunteers to be added in September, training to be completed then. Q3-2019- Code of Conduct needed to be revised allowing for appropriateness to River Run volunteers. Volunteer Co-ordinator is working with HR to revise the C of G presentaion. Delivery of revised Code should be completed by January 2020. Q4-2019 - Delievery of revised code underway in Q1 2020.
8.4	Ensure the Legal department review and update the Volunteer Waiver form if necessary.	Agree – work with to Legal for review	Complete by Q4 2019	Complete by Q3 2020	Not Started	Q3-2019- not yet started Q4-2019 - to be started Q1 2020. Completion date revised to Q3 2020
8.6	In conjunction with Human Resources update the City of Guelph Code of Conduct policy to include volunteers, or create one specifically for volunteers.	Agree - work closely with HR, linked to 8.3, adjust staff code of conduct to include Volunteer relevant content, volunteer policy to be added to the corporate volunteer manual, track HR progress	Begin in Q1 of 2019 Complete by Q4 2019	Begin in Q1 of 2019 Complete by Q3 2020	In Progress	Q1-2019- Reviewed current code of conduct with in City of Guelph Volunteer Manual. Follow up on any Volunteers who have not signed off on current documents. Shared current document with HR for further support. Q2-2019- no additional update at this time Q3-2019- no additional update at this time Q4-2019 - no additional update at this time. Completion date revised to Q3 2020

Outstanding Recommendation Status

Audit Report: River Run Centre Cash Handling Audit

Date Final Report Issued: January 2019

Status Date: Q4-2019

Audit Report Management Action Plan				Management Status Update		
Rec #	Recommendation	Management Response	Original Implementation Date	Revised Implementation Due Date	Status (Not Started / In Progress / Complete)	Departmental Comment
10.5	Ensure inventory is reconciled to product sold (especially for alcoholic beverages) to identify potential issues related to sales and cash;	Agree - create inventory control system, include reconciliation per event, documents variances (issues)	Complete by September 2019	Complete by end of Q2 2020	In Progress	<p>Q1-2019 - Draft departmental documentation being tested</p> <p>Q2-2019- Draft revised and under further review</p> <p>Q3-2019- proces of reconciling with POS/ Maitre'd system has not been looked at, larger time involvement than anticipated</p> <p>Q4-2019 - Reviewing upcoming software upgrade. Completion date revised to Q2 2020</p>
12.2	Front of House Supervisor should review and approve completed event journal entries;	Agree – have system access be added for Supervisor, complete necessary training	Complete by September 2019	Q1 2020	In Progress	<p>Q1-2019 - System access added, ongoing training in progress</p> <p>Q2-2019- on track for completion by Sept 2019</p> <p>Q3-2019-Access has been grant to Supervisor. Will start to approve FOH related JE in Q4</p> <p>Q4-2019 - review and approval not started, will look to complete in Q1 2020</p>

Outstanding Recommendation Status

Audit Report: Single Source Purchase
Date Final Report Issued: October 2017
Status Date: Q4-2019

Audit Report Management Action Plan				Management Status Update		
Rec #	Recommendation	Management Response	Original Implementation Date	Revised implementation Due Date	Status (Not Started / In Progress / Complete)	Departmental Comment
8.1	In conjunction with Legal Services and other key stakeholders review the City's by-laws, policies and procedures related to delegation of authority to ensure clarity.	Agree: (1) Form a working group, consisting of key stakeholders, to review the City's by-laws, policies and procedures related to delegation of authority. (2) Present review findings to ET.	End of Q2-2018	Q3-2020	In Progress	Q3-2018 - On schedule to complete by Q4-2018 Q4-2018 - On schedule to complete by end of Q2-2019 Q1-2019 - On schedule to complete by end of Q3-2019 Q2-2019 - On schedule to complete by end of Q3-2019 Q3-2019 - As advised by Legal Team, due date revised to Q1-2020 Q4-2019 - As advised by Legal Team, due date revised to Q3-2020
8.2	Based on the review recommended in item 8.1, present any recommended By-law changes to Council for consideration.	Agree: Present recommended by-law changes to ET for approval, prior to laying a report and recommendation(s) before Council for consideration.	End of Q2-2018	Q4-2020	In Progress	Q3-2018 - On schedule to complete by Q2-2019 Q4-2018 - On schedule to complete by end of Q4-2019 Q1-2019 - No change from previous update Q2-2019 - No change from previous update Q3-2019 - As advised by Legal Team, due date revised to Q2-2020 Q4-2019 - As advised by Legal Team, due date revised to Q4-2020

Outstanding Recommendation Status

Audit Report: Solid Waste Resource
Date Final Report Issued: Closed Session - March 2016
Status Date: Q4-2019

Audit Report Management Action Plan				Management Status Update		
Rec #	Recommendation	Management Response	Original Implementation Date	Revised Implementation Due Date	Status (Not Started / In Progress / Complete)	Departmental Comment
5	The City Solicitor should: a) implement a formal policy requiring legal staff to bring any agreements that are or become high risk to the attention of the City Solicitor for any action deemed necessary; b) Monitor open files assigned to legal staff on a regular basis and implement a system for notifying the applicable General Manager when lengthy delays in completing are observed; c) implement a policy that requires Legal approval on all contracts prior to execution, with evidence of approval to be provided on the relevant document; require departments to provide Legal Services with a copy of all executed contracts; and d) Purchase and maintain contract management software that will be a repository for all contracts to which the City is party, to monitor and alert staff to contract expiration dates and other "trigger" dates or events; this software could also be used in complying with b) c) and d) noted above.	Recommendations #2,3,4, 5 & 6 will be addressed together. ET will direct a review of how corporate contracts are negotiated and approved to ensure that the correct accountabilities, communications, business cases, risk assessments, internal review timelines and staff capacity is properly assigned and understood. Issues related to the proactive involvement of Legal services will be resolved by ET and then rolled out by CAO, ET and CMT.	Q4-2016	Q3 2020	In Progress	<p>Q2-2017 - The City Solicitor shall implement the formal policy required pursuant to (a) and the system required pursuant to (b) by no later than the end of Q1-2018. The policy required pursuant to (c) and the requirement pursuant to (d) are now in place under the Legal, Realty and Risk Services - Request for Service Policy (June 22, 2016) and the LRRS Execution Memo, in conjunction with the Document Execution Record and the Document Execution By-law. Pursuant to the requirement under (e), the contract management software will be purchased, maintained and pilot tested by no later than the end of Q1-2018.</p> <p>Q4-2017 - No Update from previous comment. (Due date changed to Feb-2018)</p> <p>Q1-2018 - On May 3, 2018, the City Solicitor will be providing ET with a status update in respect of item (e) above. (Due date changed to Q1-2019)</p> <p>Q2-2018 - Items 5(a) to (c) to be implemented in Q4-2018, and item 5(d) remains in process.</p> <p>Q3-2018 - Completion subject to approval of the Legal, Realty and Risk Services - Request for Service Policy</p> <p>Q4-2018 - 5(a), (b) and (c) are complete, given that the Legal, Realty and Risk Services - Request for Service Policy has now been approved, communicated to the Corporate Management Team and posted on the Infonet. 5(d) remains in process</p> <p>Q1 - 2019 - Item 5(d) remains in process and is currently forecast to be implemented by the end of Q3-2019.</p>
			see row above	see row above	see row above	<p>Q2-2019 - Item 5(d) remains in process and is currently forecast to be implemented by the end of Q4-2019</p> <p>Q3-2019 - Item 5(d) remains in process and is currently forecast to be implemented by the end of Q3-2020. Owing to staffing transitions in the Legal and IT departments and the currently deployed workforce, staff cannot, at this time, advise that the contract management review process has been operationalized. For this reason, and in consultation with the affected departments, the implementation date of the contract management software has been extended.</p> <p>Q4-2019 - Item 5(d) remains currently forecast to be implemented by the end of Q3-2020.</p>

Outstanding Recommendation Status

Audit Report: Payroll Process Audit
Date Final Report Issued: May 2018
Status Date: Q4-2019

Audit Report Management Action Plan				Management Status Update		
Rec #	Recommendation	Management Response	Original Implementation Date	Revised Implementation Due Date	Status (Not Started / In Progress / Complete)	Departmental Comment
1.1	Update the non-union compensation policy, obtain appropriate approval where needed, communicate policy to staff and post on Infonet.	Agreed - At the conclusion of the Payroll Audit findings implementation, the approved non-union compensation policy will be communicated and accessible to staff on the Infonet site.	Q3-2018	Q1-2020	In progress	<p>Q3 - 2018 - Currently reviewing policy. Policy will be finalized once the CAO by-law is revised and approved by Council targeted for Q1-2019.</p> <p>Q4-2018 - Currently reviewing policy. Policy will be finalized once the CAO by-law is revised and approved by Council targeted for Q1-2019.</p> <p>Q1-2019 - Compensation & Data Analyst has been assigned to complete a NUME benefits review and comparison by Q2-2019 and policy will be updated</p> <p>Q2-2019- The new Manager, Total Compensation & HR Systems started on June 24th and will update the non-union compensation policy for review by GM, HR and approval by the Executive Team and Council</p> <p>Q3-2019- Updates are underway and a draft for review should be available by the end of 2019.</p> <p>Q4-2019 - Draft policy was completed in Q4-2019 and will be provided to senior leadership for review, approval, and distribution in Q1-2020.</p>
1.2	Develop, implement and communicate procedures for City and Payroll staff to ensure activities are processed in a consistent and accurate manner.	Agreed – The proper training of all parties involved in payroll processing from departmental initiation through the payroll processing itself will be completed.	Q3-2018	Q1-2020	In progress	<p>Q3-2018 - Training will be offered to all parties involved in payroll process once policies and procedures are formalized.</p> <p>Q4-2018 - Training will be offered to all parties involved in payroll process once policies and procedures are formalized</p> <p>Q1-2019 - Compensation staff have identified priority areas for timekeeping and payroll processing requiring formal, documented procedures. SOPs are being created and training tools and sessions to be rolled out corporate wide Q3-2019.</p> <p>Q2-2019- The new Manager, Total Compensation & HR Systems started on June 24th and will oversee the ongoing development, implementation, and communication/training of documented timekeeping and payroll procedures for City and Payroll staff</p> <p>Q3-2019- Development, implementation, and communication of procedures for City and Payroll staff are underway despite a slight delay in completion due to vacancy in Compensation Associate position, onboarding of new Manager, Total Compensation & HR Systems, and TAS (Time & Attendance System) review underway concurrently. A large increase in the number of documented procedures to ensure activities are processed consistently and accurately has been completed, but formal implementation and communication on hold until Compensation team vacancy is filled (expected in Q4).</p>
			see above row	see above row	see above row	<p>Q4-2019 - Time, Attendance and Sceduling (TAS) review completed. Standard operating procedures and instructions have been created for Payroll staff processing the payroll. Standardization of timekeeping activities will be the focus of Q1-2020 by the consultant that completed the TAS review and Payroll staff. DCAO Lee is overseeing a departmental review to better align with the Strategic Plan and stakeholder expectations.</p>

Outstanding Recommendation Status

Audit Report: Payroll Process Audit
Date Final Report Issued: May 2018
Status Date: Q4-2019

Audit Report Management Action Plan				Management Status Update		
Rec #	Recommendation	Management Response	Original Implementation Date	Revised implementation Due Date	Status (Not Started / In Progress / Complete)	Departmental Comment
2.1	Develop and formalize a performance monitoring program in order to assess payroll processing efficiency and effectiveness, identify potential customer service enhancements and identify potential efficiencies.	Agreed – This will likely take a great deal of effort to construct following the completion of the payroll processing improvements. Consequently, the performance monitoring piece will be at the end of the overhaul timeline.	Q1-2019	Q1-2020	In progress	<p>Q4-2018 - To be included in consultation with key stakeholders to be initiated with new Compensation and Data Analyst</p> <p>Q1-2019 - Payroll processes are still being reviewed and improved with recommendations from the Payroll Audit. A performance monitoring program will not be initiated until the recommendations are all complete.</p> <p>Q2-2019- Payroll processes are still being reviewed and improved with recommendations from the Payroll Audit. A performance monitoring program will not be initiated until the recommendations are all complete</p> <p>Q3-2019- Current state analysis is underway (HR compensation systems and TAS review) and expected to be presented in Q4. Decision in 2020 on how to proceed with the HRIS may impact development of this performance monitoring program.</p> <p>Q4-2019 - Evaluation of the City's payroll and timekeeping platforms are underway to determine upgrade plan for 2020. Performance monitoring is a key focus of the upgrade considerations.</p>
10.1	Ensure there is a back-up to the HRIS Specialist to avoid potential disruption in system performance/service.	Agreed – The HRIS Specialist will need to document the system configuration and have a back-up staff member trained.	Q4-2018	Q1-2020	In progress	<p>Q4-2018 - HR and IT are documenting both the system configuration and processes. HR currently in the process of recruiting a Compensation and Data Analyst to replace the HRIS Specialist.</p> <p>Q1-2019 - Training has begun, but more is required. HR in discussion with IT to address.</p> <p>Q2-2019- Training is ongoing, but more is required. HR in discussion with IT to address</p> <p>Q3-2019- Training is ongoing, but more is required. HR is arranging for an external consultant with expertise in Kronos to inventory and document the City's current Kronos configurations.</p> <p>Q4-2019 - Self-learning is ongoing, but more formal training would be ideal. An absence in one of the Compensation & Data Analyst roles has prevented any significant progress in cross-training a back-up for the HRIS Specialist role, but process and procedure documentation is being created as the current HRIS Specialist continues learning the role. Recruitment is underway to fill the vacant Compensation & Data Analyst role.</p>

Outstanding Recommendation Status

Audit Report: Payroll Process Audit
Date Final Report Issued: May 2018
Status Date: Q4-2019

Audit Report Management Action Plan				Management Status Update		
Rec #	Recommendation	Management Response	Original Implementation Date	Revised implementation Due Date	Status (Not Started / In Progress / Complete)	Departmental Comment
12.1	Determine the appropriate level of authorization required to add/modify grade levels.	Agreed – The GM, HR in addition to the DCAO Corporate Services should annually review the master grade level strategy. Any adjustments to the modelling should be approved by the GM, HR. In regard to modifications to the non-union grade level, the modification should be reviewed/approved by the CAO, or designate as required, guided by the authorities within the CAO Delegation of Authority By-law.	Q4-2018	Q1-2020	In progress	<p>Q4-2018 - Currently reviewing policy. Policy will be finalized once the CAO by-law is revised and approved by Council targeted for Q1-2019</p> <p>Q1-2019 - Compensation staff are compiling a list of situations when a grade may need to be added/modified and will provide this list to HR leaders for their consideration when drafting policy/guideline to determine the appropriate authorization for these modifications.</p> <p>Q2-2019- The new Manager, Total Compensation & HR Systems started on June 24th and will review staff findings and recommendations with the GM, HR to help inform this section of the CAO bylaw revisions scheduled to go to Council in the Fall 2019.</p> <p>Q3-2019- This will be included in the updated Non-union compensation policy, a draft of which is expected to be completed in Q4-2019 and is informed by the passing of the CAO Bylaw.</p> <p>Q4-2019 - The Non-union compensation policy draft is currently under review and authorization is addressed within the policy.</p>
12.2	Develop and implement a procedure to provide guidance and responsibilities regarding the management of non-union grade levels for full time, contract and temporary employees.	Agreed – Covered in 12.1 above.	Q4-2018	Q4-2019	In progress	<p>Q4-2018 - Currently reviewing policy. Policy will be finalized once the CAO by-law is revised and approved by Council targeted for Q1-2019</p> <p>Q1-2019 - Compensation staff are compiling a list of situations when a grade may need to be added/modified and will provide this list to HR leaders for their consideration when drafting policy/guidelines to determine the appropriate authorization for these modifications.</p> <p>Q2-2019- The new Manager, Total Compensation & HR Systems started on June 24th and will review staff findings and coordinate communication to HR staff and City leaders</p> <p>Q3-2019- This will be part of the updated Non-union compensation policy, expected to be completed in Q4-2019.</p> <p>Q4-2019 - The Non-union compensation policy draft is currently under review and management of non-union grades is addressed within the policy.</p>

Outstanding Recommendation Status

Audit Report: Payroll Process Audit
Date Final Report Issued: May 2018
Status Date: Q4-2019

Audit Report Management Action Plan				Management Status Update		
Rec #	Recommendation	Management Response	Original Implementation Date	Revised Implementation Due Date	Status (Not Started / In Progress / Complete)	Departmental Comment
13.1	Ensure the business continuity plan is updated, tested and finalized and implemented.	Agreed – system critical processes like Payroll should have a full business continuity plan which is approved / updated annually by the DCAO Corporate Services.	Q1-2019	Q1-2020	Not started	<p>Q1-2019 - Will need to finalize work on payroll process reviews and SOPs prior to updating the business continuity plan.</p> <p>Q2-2019- The new Manager, Total Compensation & HR Systems started on June 24th and will address</p> <p>Q3-2019- This will be a priority following completion of the Time and Attendance review by an external consultant and documentation of Kronos configuration by a different external consultant. IT Services and Finance staff will be consulted to ensure that their business continuity plans align with Payroll.</p> <p>Q4-2019 - This will be a priority following completion of the Time and Attendance review by an external consultant and will be a key focus in the upgrade of both JDE and Kronos this year. IT Services and Finance staff will be consulted to ensure that their business continuity plans align with Payroll.</p>
13.2	Develop, document, test and implement a disaster recovery plan for payroll critical services.	Agreed – the testing of the disaster recovery model should be completed annually and resulting improvements addressed/updated into both the business continuity plan as well as the disaster recovery plan as necessary.	Q1-2019	Q1-2020	Not started	<p>Q1-2019 - Will need to finalize work on payroll process reviews and SOPs prior to updating a disaster recovery plan.</p> <p>Q2-2019- The new Manager, Total Compensation & HR Systems started on June 24th and will address</p> <p>Q3-2019- This will be a priority following completion of the Time and Attendance review by an external consultant and documentation of Kronos configuration by a different external consultant. IT Services and Finance staff will be consulted to ensure that their disaster recovery plans align with Payroll.</p> <p>Q4-2019 - This will be a priority following completion of the Time and Attendance review by an external consultant and will be a key focus in the upgrade of both JDE and Kronos this year. IT Services and Finance staff will be consulted to ensure that their business continuity plans align with Payroll.</p>
19.3	Communicate to staff the retention period for documentation that supports time recorded in Kronos.	Agreed – The new Manager will further develop the system of onboarding and off boarding to include the audit of assembled documents in employee files. The retention period for documentation will be communicated to departmental points of contact.	Q4-2018	Q2-2020	In progress	<p>Q4-2018 - Working with Clerk's to review and update compliance with privacy obligations</p> <p>Q1-2019 - HR Mgr, Talent & Organizational Development is drafting a Human Resources employee file retention policy that is expected to be completed in Q2. This will be communicated to City leaders regarding retention periods and methods for timekeeping supporting documentation.</p> <p>Q2-2019- HR Mgr, Talent & Organizational Development is drafting an HR filing policy that is expected to be completed in Q3. It will incorporate legislated (ESA, CRA, MFIPPA, OMERS requirements, etc.) retention, privacy, and access parameters, as well as City Bylaws and best practices</p> <p>Q3-2019- The HR filing and retention policy, the City of Guelph retention bylaw, and compensation industry best practices will inform the communication that will be sent out corporate-wide to staff regarding retention of time and attendance supporting documentation. There will be a strong focus on digital retention and scheduled document purging dates. A communication plan is expected early in Q4.</p>

Outstanding Recommendation Status

Audit Report: Payroll Process Audit
Date Final Report Issued: May 2018
Status Date: Q4-2019

Audit Report Management Action Plan				Management Status Update		
Rec #	Recommendation	Management Response	Original Implementation Date	Revised implementation Due Date	Status (Not Started / In Progress / Complete)	Departmental Comment
			see above row	see above row	see above row	Q4-2019 - Documentation and retention best practices and timelines will be included in the training information that will go out to staff as the Time, Attendance and Scheduling (TAS) recommendations are rolled out, and as the JDE and Kronos training plans are created. TAS recommendations and system upgrades are being designed to eliminate paper time keeping documentation and move to an online submission/approval of time.
19.5	Develop and implement a standard form for use by the departments to communicate new hire data as well as other changes to the employees profile to enhance efficiency and effectiveness. This form would be used by Human Resources to enter data into the system and therefore must include all key information.	Agreed – Standard forms for all determined process will be developed, implemented and audited for completeness. There will be a discontinuance of information being received by email, telephone, or other generic and non-specific means.	Q4-2018	Q1-2020	In progress	Q3-2018 - Developed draft form currently be reviewed by HR team. Q4-2018 - Developed draft form currently being reviewed by HR team Q1-2019 - HR leadership has directed the creation of a standard employee record change form with escalating approvals (i.e. employee, direct leader, GM, DCAO, CAO, as appropriate for the requested change). This would replace the current draft forms to consolidate change requests into one form. This project will commence shortly and be completed in Q2. Q2-2019 - Draft form created, further review by the Manager, Total Compensation & HR Systems will be undertaken prior to release corporate wide Q3-2019 - HR and IT exploring digital delivery methods and processes to avoid the need for a paper form, prior to rolling out the form. Ideally, this would assist with further segregation of duties as it may be possible for an employee to complete a digital form, which then generates an excel spreadsheet that can be uploaded. This would significantly reduce the need for manual data entry by Payroll staff.
			see above row	see above row	see above row	Q4-2019 - HR has submitted a 2499 ticket for assistance in creating an online submission portal for new hire/employee change request forms. A contract employee has been hired for 2020 by IT to work on digitizing/automating City forms and HR has been identified as a priority customer. As such, we hope IT is able to implement these online forms/submissions by the end of Q1-2020. In the interim, paper forms have been created and information is no longer accepted by email, phone, etc.
20.1	Review the annual increase process and identify options of automating the calculation to enhance efficiency and effectiveness.	Agreed – Ideally, HR would like to have this systems process automated before the next PDP cycle. However, it may require an additional cycle given the workload of the department to respond to and implement the breadth and depth of change management.	Q4-2018	Q1-2020	In progress	Q4-2018 - We will be developing a multi-phased HR tech plan this year with IT which will include this recommendation. Q1-2019 - No automation is currently possible based on our current systems and current expertise levels amongst IT or HR staff in our current pay related systems. Automation of this (and other HR) processes is a key factor for consideration in the RFI that is going out to HRIS vendors in Q2. Q2-2019 - Manager, Total Rewards & HR Systems will lead this review with the support of the Compensation & Data Analysts Q3-2019 - This will be incorporated in the NUME compensation policy, expected to be completed by the end of Q4-2019. Q4-2019 - Underway as part of the non-union compensation policy review that is expected to be completed by the end of Q1-2020.

Outstanding Recommendation Status

Audit Report: Payroll Process Audit
Date Final Report Issued: May 2018
Status Date: Q4-2019

Audit Report Management Action Plan				Management Status Update		
Rec #	Recommendation	Management Response	Original Implementation Date	Revised Implementation Due Date	Status (Not Started / In Progress / Complete)	Departmental Comment
22.1	Develop and implement a formal non-union vacation policy and procedure to clearly document vacation payout policy and process to provide guidance to staff.	Agreed – This is a major focus for the DCAO Corporate Services; to restore equity on hire and separation with respect to vacation entitlements and pay-outs. Q4 of 2018 will be a heavy communication period to the corporation for systems development/refinement to restore equity. This action will be supported by the development and education on the related policy and procedural application of that policy. The new Manager will oversee this policy's application and any deviation will require approval by the CAO, or designate as required.	Q4-2018	Q1-2020	In progress	<p>Q4-2018- Currently reviewing policy. Policy will be finalized once the CAO by-law is revised and approved by Council targeted for Q1-2019. Processed was implemented includes a proration when employees are hired and leave the organization. Any carryover of vacation is now signed off by the DCAO</p> <p>Q1-2019 - NUME staff received communication from HR in Q4-2018 regarding the change to the NUME vacation policy regarding pro-rating vacation when leaving the City (i.e. resigning, retiring, etc.). Policy will be drafted for consideration and review, in alignment with the forthcoming CAO Bylaw.</p> <p>Q2-2019- Possible process has been identified and will be reviewed and implemented following the start of the new Manager, Total Compensation & HR Systems. Accrual calculators for all unions and NUME staff have been created to ensure a consistent approach when new/transferring staff start a new role or when an employee is leaving the City.</p> <p>Q3-2019- This will be formalized in the updated Non-union compensation policy that is expected to be completed by the end of Q4. Informal direction (and SOPs) has been provided to staff in anticipation of the forthcoming NUME compensation policy.</p> <p>Q4-2019 - Draft non-union compensation policy was completed in Q4 2019 and will be provided to senior leadership for review, approval, and distribution in Q1-2020. Process documentation has been created and will be provided to the appropriate employees once the non-union compensation policy has been approved by the Executive Team.</p>
23.1	Develop, document and implement a change management process for Kronos.	Agreed – A Register source document needs to be established relating to the evolution of the Kronos configuration. A mapping of the current configuration identifying baseline and then progression from there.	Q4-2018	Q3-2020	In progress	<p>Q4-2018 - We are developing a multi-phased HR tech plan this year with IT which will include this recommendation.</p> <p>Q1-2019 - This will require expertise that is not currently available within the City.</p> <p>Q2-2019- The new Manager, Total Compensation & HR Systems started on June 24th and will lead this change management process for review by GM, HR</p> <p>Q3-2019- An external consultant has been contacted to undertake a review and documentation of Kronos configuration, including training of Compensation staff responsible for Kronos configurations.</p> <p>Q4-2019 - The Compensation & Data Analyst has begun documenting Kronos configuration procedures. However, a more fulsome change management process and related documentation is a key focus for the Kronos upgrade team.</p>

Outstanding Recommendation Status

Audit Report: Vendor / Payment Process Audit
Date Final Report Issued: May 2017
Status Date: Q4-2019

Audit Report Management Action Plan				Management Status Update		
Rec #	Recommendation	Management Response	Original Implementation Date	Revised Implementation Due Date	Status (Not Started / In Progress / Complete)	Departmental Comment
13.3	Ensure all approved change orders are sent to the vendor related to timing, scope and dollar value.	Agree – Due to system limitations this improvement/control recommendation is not available at this time. As part of the WAM/JDE evaluation IT staff will ensure this functionality is a requirement of the new system.	Q2-2018	Q4-2020	In progress	<p>Q4-2017 - Continues to be part of JDE/WAM re-implementation which is scheduled for Q3-2018.</p> <p>Q1-2018 - Status remains the same from the last update</p> <p>Q2-2018 - Status remains the same from the last update. Due date revised to Q1-2019 due to project timeline changes related to CMMS.</p> <p>Q3-2018 - System review still in progress. No further updates.</p> <p>Q4-2018 - Due to CMMS pause we cannot provide an accurate timeline update at this time.</p> <p>Q1-2019 - Finance communicated this requirement to the IT team and the JDE Implementation Consultant. JDE has the capability to set thresholds and restrictions about what information will be sent to the vendor and what will be considered internal changes such as changes to account numbers, etc. Given the timeline associated with the implementation of JDE we do not feel the value proposition is there to configure these changes in WAM. In the interim, we will investigate the possibility of implementing additional mitigating controls.</p> <p>Q2-2019 - This system functionality will be implemented with the JDE Procurement project expected to be completed by Q4 2020. Management has reviewed mitigating controls and other stop gap measures but the cost of reconfiguring a system that will be retired in the next year is not prudent. Further, management does not consider this a priority, high risk concern, and as a result is willing to accept the risk associated with waiting until the JDE Procurement project is completed.</p>
				see row above	see row above	<p>Q3-2019 - No change from previous update</p> <p>Q4-2019 - No change from previous update</p>

Provincial and Federal Consultation Alert



Proposed Amendment to A Place to Grow: Growth Plan for the Greater Golden Horseshoe

Ministry

Municipal Affairs and Housing

Consultation Deadline

July 31, 2020

Summary

The Ontario government is consulting on a proposed amendment to A Place to Grow: Growth Plan for the Greater Golden Horseshoe. This update includes changes to the population and employment forecasts, the horizon year for planning, and other policies with the stated goals of increasing housing supply, creating jobs, attracting business investment, and better aligning with infrastructure.

The government is also consulting on a new Land Needs Assessment Methodology, which municipalities would use to ascertain the amount of land required to accommodate housing and jobs.

Proposed Form of Input

Submit staff comments on the Environmental Registry of Ontario posting at the links below.

Rationale

The proposed amendment and land needs assessment methodology are technical in nature and an interdepartmental team response with consultant support are appropriate for this review.

Lead

[Melissa Aldunate](#), Manager, Policy Planning and Urban Design

Links to Ministry Website

<https://ero.ontario.ca/notice/019-1680>

<https://ero.ontario.ca/notice/019-1679>

Contact Information

Intergovernmental Services

Chief Administrative Office

519-837-5602

City Hall, 1 Carden Street, Guelph ON N1H 3A1

TTY: 519-826-9771

Provincial and Federal Consultation Alert



Updating Ontario's Water Quantity Management Framework

Ministry

Ministry of the Environment, Conservation and Parks (MECP)

Consultation Deadline

2 August 2020

Summary

MECP has posted proposed regulatory changes on the Environmental Registry for public comment on the management of water takings to protect the long-term sustainability of surface water and ground water.

Proposed Form of Input

That the City of Guelph submit its comments on the province's regulatory proposals via the Environmental Registry.

Rationale

The City of Guelph is committed to protecting the local environment and ensuring the long-term sustainability of surface and ground water.

Lead

Environmental Services

Link to Ministry Website

<https://ero.ontario.ca/notice/019-1340>

Contact Information

Intergovernmental Services

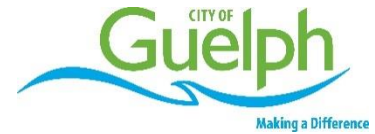
Chief Administrative Office

City Hall, 1 Carden Street, Guelph ON N1H 3A1

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Provincial and Federal Consultation Alert



Impacts of the COVID-19 Crisis on Municipalities, Construction and Building Sectors

Ministry

Ontario Legislature's Standing Committee on Finance and Economic Affairs

Consultation Deadline

22 July 2020

Summary

The Standing Committee on Finance and Economic Affairs is convening public hearings to study recommendations relating to the *Economic and Fiscal Update Act, 2020* and on the impacts of the COVID-19 crisis on certain sectors of the economy. This round of public hearings is focused specifically on municipal governments and the construction and building sectors.

Proposed Form of Input

The City of Guelph will prepare a written submission for the Standing Committee.

Rationale

City finances and operations have been deeply impacted by the COVID-19 crisis as have construction and building activities within the municipality. Public hearings held by the Standing Committee on Finance and Economic Affairs provide an opportunity for the City to advocate for emergency relief funding, stimulus supports and other provincial actions to advance local economic recovery.

Lead

Intergovernmental Services

Link to Ministry Website

<https://www.ola.org/en/legislative-business/committees/finance-economic-affairs/parliament-42/notice-hearings/2020-jun-29-notice-hearings-standing-committee-finance-economic-affairs>

Contact Information

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Provincial and Federal Consultation Alert



Consultation on Immigration Levels and Municipal Nominee Program

Ministry

Immigration, Refugees and Citizenship Canada (IRCC)

Consultation Deadline

20 July 2020

Summary

IRCC is hosting an online survey consultation on the role of immigration during the COVID19 economic recovery period, proposed immigration levels to Canada in years to come and a proposed municipal nominee program.

Proposed Form of Input

The City of Guelph will respond to IRCC's survey.

Rationale

Immigration contributes to economic development and enriches the character of our local community. As the host of the Guelph-Wellington Local Immigration Partnership, the City has an interest in providing input on the development of new immigration programs geared towards municipal governments.

Lead

Public Services – Culture, Tourism and Community Investment

Link to Ministry Website

None.

Contact Information

Intergovernmental Services

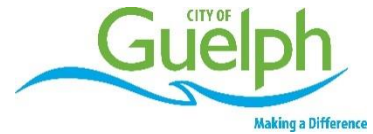
Chief Administrative Office

City Hall, 1 Carden Street, Guelph ON N1H 3A1

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Provincial and Federal Consultation Alert



Proposed Changes to Environmental Approvals for Municipal Sewage Collection Works

Ministry

Ministry of Environment, Conservation and Parks (MECP)

Consultation Deadline

22 August 2020

Summary

MECP is proposing changes to the environmental approval process for low-risk municipal sewage works by implementing a Consolidated Linear Infrastructure Permissions Approach.

Proposed Form of Input

The City of Guelph will provide a submission on the Environmental Registry of Ontario.

Rationale

As a provider of municipal wastewater services the City of Guelph has an interest in providing input on proposals impacting sewage collection. Protecting the local environment for the benefit of the community is also a key priority for the City.

Lead

Engineering and Transportation Services & Environmental Services

Link to Ministry Website

<https://ero.ontario.ca/notice/019-1080>

Contact Information

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Tuesday, July 7, 2020

The Honourable Steve Clark
Minister of Municipal Affairs and Housing
College Park 17th Flr, 777 Bay St
Toronto, Ontario M7A 2J3

Dear Minister Clark,

RE: Misuse of Development Charge Deferral Eligibility in Market Rental Developments

The City of Guelph welcomes the Government of Ontario's interest in increasing the supply of affordable housing in local communities. As a fast growing urban centre with low vacancy rates, encouraging affordable housing developments and other developments across the housing continuum are a priority for Guelph and for our residents.

A mechanism put in place by the province to increase affordable housing supply is the ability to defer the payment of development charges (DC) for new housing developed by non-profits for up to 20 years. The City remains concerned about the cumulative negative fiscal and administrative impacts that this and other changes to development charges and the new community benefit charge framework may have for local governments. Development charges are critical in funding key municipal services that residents depend on every day. For this reason, eligibility for any supports meant to facilitate affordable housing projects should be exclusively designed for affordable housing.

One of the unintended consequences of the province's DC deferral eligibility policy is that it enables non-profit organizations to defer DC payments on market housing developments. The City of Guelph recommends that market housing projects, including market rental developments, be ineligible to qualify for the 20 year deferral window, even if the proponent is a non-profit organization. Similar care should be taken to ensure that market rental housing developments are ineligible for any supports meant to increase affordable housing supply under the province's CBC framework.

Solution: Amend Section 26.1 (2) of the *Development Charges Act* to clarify that DC deferrals for non-profit housing developments do not include market rental developments proposed by non-profit organizations.

Regulations under the yet to be proclaimed Section 37(4) of the *Planning Act* should also prevent market-rental developments from being eligible for CBC deferrals regardless of the organization type.

I hope that you will consider this input from the City of Guelph as you move forward implementing Ontario's Housing Supply Action Plan.

If you have any questions or comments, I encourage you to contact Leslie Muñoz, Manager, Policy and Intergovernmental Relations, for the City of Guelph at leslie.munoz@guelph.ca.

Sincerely,



Scott Stewart, Chief Administrative Officer
City of Guelph

T 519-822-1260 extension 2221

TTY 519-826-9771

E scott.stewart@guelph.ca

CC Mayor Jamie McGarvey, Town of Parry Sound, AMO President;
Trevor Lee, Deputy Chief Administrative Officer, Corporate Services, City of Guelph; and
Jodie Sales, General Manager, Strategy, Innovation and Intergovernmental Services, City of Guelph.



Committee of Adjustment Minutes

**Thursday, June 11, 2020, 4:00 p.m.
Remote meeting live streamed
on guelph.ca/live**

Members Present	K. Ash, Chair D. Kendrick, Vice Chair S. Dykstra D. Gundrum L. Janis K. Meads J. Smith
Staff Present	B. Bond, Zoning Inspector L. Cline, Council and Committee Coordinator J. da Silva, Council and Committee Assistant S. Daniel, Engineering Technologist T. Di Lullo, Secretary-Treasurer K. Patzer, Planner L. Sulatycki, Planner

Call to Order

Chair K. Ash called the meeting to order (4:00 p.m.)

Opening Remarks

Chair K. Ash explained the hearing procedures and Secretary-Treasurer T. Di Lullo conducted attendance by roll call and confirmed quorum.

Disclosure of Pecuniary Interest and General Nature Thereof

There were no disclosures.

Approval of Minutes

Moved by D. Kendrick

Seconded by D. Gundrum

That the minutes from the May 28, 2020 Regular Hearing of the Committee of Adjustment, be approved as circulated.

Carried

Requests for Withdrawal or Deferral

A-10/20 739 Woolwich Street

Owner: 2448254 Ontario Inc.

Agent: Drew Gillingham, 536357 Ontario Ltd.

Location: 739 Woolwich Street

Secretary-Treasurer T. Di Lullo noted that D. Gillingham, agent for the application, had submitted a request that the application be deferred. The agent noted that the reason for the deferral is to continue discussions with the abutting property owners and the Executive Director of the Canadian Mental Health Association (CMHA) Waterloo Wellington.

Moved by J. Smith

Seconded by D. Gundrum

That application A-10/20 for 739 Woolwich Street, be **deferred** sine die, and in accordance with the Committee's policy on applications deferred sine die, that the application will be considered to be withdrawn if not dealt with within 12 months of deferral and that the deferral fee be paid prior to reconsideration of the application.

Reasons:

This application is deferred at the request of the applicant to allow for additional time to complete consultations.

Carried

Current Applications

A-24/20 96 Oakdale Drive

Owner: University of Guelph

Agent: Scott Hannah, Reid's Heritage Homes Ltd.

Location: 96 Oakdale Drive

In Attendance: S. Hannah

Chair K. Ash questioned if the sign had been posted in accordance with Planning Act requirements and if the staff comments were received. S. Hannah, agent, responded that the sign was posted and comments were received.

S. Hannah indicated agreement with the condition recommended by staff as well as the condition recommended by member S. Dykstra.

After a brief break to allow members of the public to express interest in speaking to the application, no members of the public spoke via electronic participation.

Having considered whether or not the variance(s) requested are minor and desirable for the appropriate development and use of the land and that the general intent and purpose of the Zoning By-law and the Official Plan will be maintained, and that this application has met the requirements of Section 45(1) of the Planning Act, R.S.O. 1990, Chapter P.13 as amended,

Moved by D. Kendrick

Seconded by S. Dykstra

That in the matter of an application under Section 45(1) of the Planning Act, R.S.O. 1990, c.P13, as amended, variances from the requirements of Sections 4.5.2.1. and 4.5.1.4 of Zoning By-law (1995)-14864, as amended, for 96 Oakdale Drive, to permit a maximum building height of 6.4 metres for the proposed accessory building, when the By-law requires that an accessory building or structure shall not exceed 3.6 metres in height; and a maximum gross floor area of 200 square metres for a proposed accessory building, when the By-law requires that the total ground floor area of all accessory buildings or structures shall not exceed 70 square metres, be **approved**, subject to the following conditions:

1. That prior to the issuance of a building permit, the owner(s) agrees to provide and obtain approval from the City's Engineering Department to the satisfaction of the General Manager/City Engineer on the following documents:
 - a. Stormwater Management Report (Brief);
 - b. Grading Plan; and
 - c. Erosion and Sediment Control Plan.

2. That the accessory building use be limited to maintenance and storage of landscaping equipment and staff day use.

Reasons:

This application is approved, as it is the opinion of the Committee that, with the above noted conditions of approval, this application meets all four tests under Section 45(1) of the Planning Act.

Any and all written submissions relating to this application that were made to the committee of Adjustment before its decision and any and all oral submissions related to this application that were made at a public hearing, held under the Planning Act, have been, on balance, taken into consideration by the Committee of Adjustment as part of its deliberations and final decision on this matter.

Carried

A-25/20 67 Kirkby Court

Owner: MacKinnon Holdings Ltd.

Agent: Vivian Patel, Jones Lang LaSalle

Location: 67 Kirkby Court

In Attendance: V. Patel, P. McKenna

Secretary-Treasurer T. Di Lullo noted that correspondence was received after the comment deadline from M. Cotroneo, with concerns about the application, and from A. Ben Daya, in support of the application. Copies of this correspondence was provided to the members, the applicant and staff.

Chair K. Ash questioned if the sign had been posted in accordance with Planning Act requirements and if the staff comments were received. V. Patel, agent, responded that the sign was posted and comments were received. V. Patel also explained the general purpose of the application and the economic impacts surrounding this application.

P. McKenna, representative from Jones Lang LaSalle, provided comments regarding the history of the property and the need for a building size as requested on the application.

After a brief break to allow members of the public to express interest in speaking to the application, no members of the public spoke via electronic participation.

Having considered whether or not the variance(s) requested are minor and desirable for the appropriate development and use of the land and that the general

intent and purpose of the Zoning By-law and the Official Plan will be maintained, and that this application has met the requirements of Section 45(1) of the Planning Act, R.S.O. 1990, Chapter P.13 as amended,

Moved by D. Kendrick

Seconded by L. Janis

That in the matter of an application under Section 45(1) of the Planning Act, R.S.O. 1990, c.P13, as amended, a variance from the requirements of Section 7.3.5.1 of Zoning By-law (1995)-14864, as amended, for 67 Kirkby Court, to permit a a minimum building size of 0.61 percent of the lot area, when the By-law requires a minimum building size of 15 percent of the lot area for lots between 3 to 10 acres, be **refused**.

Reasons:

This application is refused, as it is the opinion of the Committee that this application does not meet all four tests under Section 45(1) of the Planning Act, specifically being that the requested variance does not meet the general intent and purpose of the Zoning By-law, and it is not minor in nature.

Carried

A-26/20 49 Lynwood Avenue

Owner: Vahid Tabatabaei-Khorasgani

Agent: S. Hamid Tabatabaei-Khorasgani

Location: 49 Lynwood Avenue

In Attendance: V. Tabatabaei-Khorasgan

Secretary-Treasurer T. Di Lullo noted that correspondence was received after the comment deadline from M. Stone, with concerns about the application. A copy of this correspondence was provided to the members, the applicant and staff.

Chair K. Ash questioned if the sign had been posted in accordance with Planning Act requirements and if the staff comments were received. V. Tabatabaei-Khorasgan, owner, responded that the sign was posted and comments were received.

After a brief break to allow members of the public to express interest in speaking to the application, no members of the public spoke via electronic participation.

Having considered whether or not the variance(s) requested are minor and desirable for the appropriate development and use of the land and that the general intent and purpose of the Zoning By-law and the Official Plan will be maintained,

and that this application has met the requirements of Section 45(1) of the Planning Act, R.S.O. 1990, Chapter P.13 as amended,

Moved by D. Gundrum

Seconded by J. Smith

That in the matter of an application under Section 45(1) of the Planning Act, R.S.O. 1990, c.P13, as amended, a variance from the requirements of Section 4.15.1.5 of Zoning By-law (1995)-14864, as amended, for 49 Lynwood Avenue, to permit a an accessory apartment size of 86 square metres, or 39 percent of the total floor area of the existing detached dwelling, when the By-law requires that an accessory apartment shall not exceed 45 percent of the total floor area of the building and shall not exceed a maximum of 80 square metres in floor area, whichever is lesser, be **approved**.

Reasons:

This application is approved, as it is the opinion of the Committee that, this application meets all four tests under Section 45(1) of the Planning Act.

Any and all written submissions relating to this application that were made to the committee of Adjustment before its decision and any and all oral submissions related to this application that were made at a public hearing, held under the Planning Act, have been, on balance, taken into consideration by the Committee of Adjustment as part of its deliberations and final decision on this matter.

Carried

A-27/20 120 Kathleen Street

Owner: Robert William Green

Agent: Nicolas Spaling

Location: 120 Kathleen Avenue

In Attendance: N. Spaling

Chair K. Ash questioned if the sign had been posted in accordance with Planning Act requirements and if the staff comments were received. N. Spaling, agent for the application, responded that the sign was posted and comments were received.

After a brief break to allow members of the public to express interest in speaking to the application, no members of the public spoke via electronic participation.

Having considered whether or not the variance(s) requested are minor and desirable for the appropriate development and use of the land and that the general

intent and purpose of the Zoning By-law and the Official Plan will be maintained, and that this application has met the requirements of Section 45(1) of the Planning Act, R.S.O. 1990, Chapter P.13 as amended,

Moved by J. Smith

Seconded by D. Kendrick

That in the matter of an application under Section 45(1) of the Planning Act, R.S.O. 1990, c.P13, as amended, a variance from the requirements of Table 5.1.2 Row 7 of Zoning By-law (1995)-14864, as amended, for 120 Kathleen Street, to permit a to permit a minimum left side yard setback of 0.65 metres for the proposed attached garage and addition to the existing dwelling, when the By-law requires a minimum side yard setback of 1.5 metres, be **approved**, subject to the following condition:

1. That the side yard setback of 0.65 metres apply only to the proposed garage addition on the left (south-east) side of the property as shown on the revised sketch dated June 4, 2020.

Reasons:

This application is approved, as it is the opinion of the Committee that, with the above noted condition of approval, this application meets all four tests under Section 45(1) of the Planning Act.

Any and all written submissions relating to this application that were made to the committee of Adjustment before its decision and any and all oral submissions related to this application that were made at a public hearing, held under the Planning Act, have been, on balance, taken into consideration by the Committee of Adjustment as part of its deliberations and final decision on this matter.

Carried

B-5/20 and A-23/20 14 Winston Crescent

Owner: Marie-Jose van der Zande and Alberdina Bouwmeester

Agent: Jeff Buisman, Van Harten Surveying Inc.

Location: 14 Winston Crescent

In Attendance: J. Buisman

Chair K. Ash questioned if the sign had been posted in accordance with Planning Act requirements and if the staff comments were received. J. Buisman, agent, responded that the sign was posted and comments were received.

J. Busiman explained the purpose of the consent application and the need for a minor variance.

After a brief break to allow members of the public to express interest in speaking to the application, no members of the public spoke via electronic participation.

B-5/20 14 Winston Crescent

Having had regard to the matters under Section 51(24) of the Planning Act, R.S.O. 1990, Chapter P.13 as amended, and having considered whether a plan of subdivision of the land in accordance with Section 51 of the said Act is necessary for the proper and orderly development of the land,

Moved by L. Janis

Seconded by D. Kendrick

That in the matter of an application under Section 53(1) of the Planning Act, R.S.O. 1990, c.P13, as amended, consent for severance of the rear of Part of Block B, Part of Lot 15, Registered Plan 405, currently known as 14 Winston Crescent, a parcel with an area of 97 square metres, as a lot addition to 75 Metcalfe Street, Division F, Part of Lot 1 E/S Eramosa Road, Registered Plan 405, Part of Block B, Part 3 of Reference Plan 61R-5520, substantially in accordance with a sketch prepared by Van Harten Surveying Inc. dated March 31, 2020, project number 27937-20, be **approved**, subject to the following conditions:

1. That Minor Variance application A-23/20 is approved at the same time as the consent application and become final and binding.
2. That all required fees and charges in respect of the registration of all documents required in respect of this approval and administration fee be paid, prior to the issuance of the Certificate of Official.
3. That the Secretary-Treasurer of the Committee of Adjustment be provided with a written undertaking from the applicant's solicitor, prior to the issuance of the Certificate of Official, that he/she will provide a copy of the registered instrument as registered in the Land Registry Office within two years of issuance of the Certificate of Official, or prior to the issuance of a building permit (if applicable), whichever occurs first.
4. That prior to the issuance of the Certificate of Official, a Reference Plan be prepared, deposited and filed with the Secretary-Treasurer which shall indicate the boundaries of the severed parcel, any easements/rights-of-way and building locations. The submission must also include a digital copy of the deposited Reference Plan

(version ACAD 2010) which can be forwarded by email (cofa@guelph.ca).

5. That upon fulfilling and complying with all of the above-noted conditions, the documents to finalize and register the transaction be presented to the Secretary-Treasurer of the Committee of Adjustment along with the administration fee required for the issuance of the Certificate of Official.
6. That the Owner shall consolidate the severed parcel with the abutting lands to which the severed parcel is to be added as a single parcel ("the consolidation") and that the Owner's solicitor shall provide a firm undertaking in writing to the Secretary-Treasurer of the Committee of Adjustment for the City of Guelph that the solicitor will attend to the consolidation and will provide within 30 days of the date of registration in the Land Registry Office for Wellington (No. 61), or prior to the issuance of a building permit [if applicable], whichever occurs first, a copy of the registered electronic Transfer document including the Certificate of Official and the registered application Consolidation Parcels document.
7. That the Transferee take title of the severed lands in the same manner and capacity as he or she holds his or her abutting lands; and that Section 50(3) or Section 50(5) of the Planning Act, R.S.O. 1990, as amended, shall apply to any subsequent conveyance or any transaction involving the parcel of land that is subject of this consent.

Reasons:

This application is approved, as it is the opinion of the Committee that, with the above noted conditions of approval, this application meets the criteria of section 51(24) of the Planning Act to which all consent applications must adhere.

Any and all written submissions relating to this application that were made to the Committee of Adjustment before its decision and any and all oral submissions related to this application that were made at a public hearing, held under the Planning Act, have been, on balance, taken into consideration by the Committee of Adjustment as part of its deliberations and final decision on this matter.

Carried

A-23/20 14 Winston Crescent

Having considered whether or not the variance(s) requested are minor and desirable for the appropriate development and use of the land and that the general intent and purpose of the Zoning By-law and the Official Plan will be maintained, and that this application has met the requirements of Section 45(1) of the Planning Act, R.S.O. 1990, Chapter P.13 as amended,

Moved by L. Janis

Seconded by D. Kendrick

That in the matter of an application under Section 45(1) of the Planning Act, R.S.O. 1990, c.P13, as amended, a variance from the requirements of Table 5.1.2 Row 3 of Zoning By-law (1995)-14864, as amended, for 14 Winston Crescent, to permit a a minimum lot area of 300 square metres, when the By-law requires that the minimum lot area in a Residential Single Detached (R.1B) Zone be 460 square metres, be **approved**, subject to the following condition:

1. That Consent Application B-5/20 receives final certification of the Secretary-Treasurer and be registered on title.

Reasons:

This application is approved, as it is the opinion of the Committee that, with the above noted condition of approval, this application meets all four tests under Section 45(1) of the Planning Act.

Any and all written submissions relating to this application that were made to the committee of Adjustment before its decision and any and all oral submissions related to this application that were made at a public hearing, held under the Planning Act, have been, on balance, taken into consideration by the Committee of Adjustment as part of its deliberations and final decision on this matter.

Carried

Staff Announcements

There were no announcements.

Adjournment

Moved by J. Smith

Seconded by D. Gundrum

That this hearing of the Committee of Adjustment be adjourned at 5:40 p.m.

Carried

K. Ash, Chair

T. Di Lullo, Secretary-Treasurer