

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>

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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>

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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	Q2-2017 - Implementation progressing/will progress as indicated. No change in date. Q4-2017 - No updates from previous comment. Q1-2018 - No change (due Date changed to Q4 2018) Q2-2018 - WAM 2.2 roll out delayed due date now Q2-2019 Q3-2018 - No update from previous comment Q4-2018 - No update from previous comment Q1 - 2019 - WAM 2.2 replacement has been delayed - revised due date Q2/Q3 - 2020 Q2-2019 - No change from Q1 2019 comments Q3-2019 -No change from Q2 2019 Q4-2019 - No change from Q3 2019
7.2	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: • 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	Q2-2017 - See item 7.1. No change in date. Q4-2017 - No updates from previous comment. Q1-2018 - No updates from previous comment. Q2-2018 - WAM 2.2 rollout delayed, due date revised Q2-2019 Q3-2018 - No update from previous comment Q4-2018 - No update from previous comment Q1 - 2019 - WAM 2.2 replacement has been delayed - revised due date Q3 - 2020 Q2-2019 - No change from Q1 2019 comments Q3-2019 - No change from Q2 2019 comments Q4-2019 - no change from Q3-2019

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

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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>

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Audit Report: Overtime

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Status Date: Q4-2019

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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

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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

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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	Q1-2019 - Draft departmental documentation being tested Q2-2019 - Draft revised and under further review Q3-2019 - proces of reconciling with POS/ Maitre'd system has not been looked at, larger time involvement than anticipated Q4-2019 - Reviewing upcoming software upgrade. Completion date revised to Q2 2020
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	Q1-2019 - System access added, ongoing training in progress Q2-2019 - on track for completion by Sept 2019 Q3-2019 -Access has been grant to Supervisor. Will start to approve FOH related JE in Q4 Q4-2019 - review and approval not started, will look to complete in Q1 2020

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 Scheduling (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

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Audit Report Management Action Plan				Management Status Update		
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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

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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	<p>Q3-2018 - Developed draft form currently be reviewed by HR team.</p> <p>Q4-2018 - Developed draft form currently being reviewed by HR team</p> <p>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.</p> <p>Q2-2019- Draft form created, further review by the Manager, Total Compensation & HR Systems will be undertaken prior to release corporate wide</p> <p>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.</p>
			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	<p>Q4-2018 - We will be developing a multi-phased HR tech plan this year with IT which will include this recommendation.</p> <p>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.</p> <p>Q2-2019- Manager, Total Rewards & HR Systems will lead this review with the support of the Compensation & Data Analysts</p> <p>Q3-2019 - This will be incorporated in the NUME compensation policy, expected to be completed by the end of Q4-2019.</p> <p>Q4-2019 - Underway as part of the non-union compensation policy review that is expected to be completed by the end of Q1-2020.</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
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 prorating 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>