



OFFICE OF THE  
**City Auditor**

---

# **Office of the City Auditor Recommendation Follow-up Dashboard Report**

**As at October 30, 2015**

---

This page is intentionally blank.

# Office of the City Auditor Recommendation Follow-up Dashboard Report

As at October 30, 2015

As at October 30, 2015 the administration has 36 recommendations from the Office of the City Auditor that are outstanding. Based on the implementation dates provided by the administration, 25 of these recommendations are not yet due and 11 are overdue. The Administration is providing a separate report with a status update on all recommendations more than six months overdue.

In the period since our last report (July 1 to October 30) the administration has closed the following recommendations:

## Community and Recreation Facilities – Cash Control Audit

- Recommendation 2 – CRF Monitoring Procedures
- Recommendation 3 – Additional Control Review

The following tables contain the recommendations listed in the following categories:

Colour	Category	# of Recommendations
Red	More than year overdue	3
Yellow	Less than one year overdue	8
Green	Not yet due	25

## Recommendations more than one year overdue

#	Project # and Name	Department	Recommendation	Months Overdue
1.	12344   Drainage Services Branch Audit	Financial Services and Utilities	<b>Staff Training</b> The OCA recommends that the Drainage Services Branch Manager ensures that Drainage Operations staff develop a process to effectively determine and track the specific training requirements of each employee and ensure all employees are receiving their required training. As well, they should update the Drainage Operations Operational Handbook to reflect current job expectations and details of different work activities.	24
2.	13363   Building Permit and Inspection Services	Sustainable Development	<b>BPIS Service Delivery Model</b> The OCA recommends that the Current Planning Branch Manager together with the Chief Safety Codes Officers and the Building Regulations Administrator define and document an achievable Service Delivery Model which is approved by General Manager of Sustainable	15

### Recommendations more than one year overdue

#	Project # and Name	Department	Recommendation	Months Overdue
			Development Department.	
3.	13363   Building Permit and Inspection Services	Sustainable Development	<b>Risk-based Plans Examination and Inspections</b> The OCA recommends that the Current Planning Branch Manager, together with the Chief Safety Codes Officer and the Building Regulations Administrator develop and formally adopt a risk-based plans examination and inspection policy. This policy should include criteria and process descriptions, and be endorsed by General Manager, Sustainable Development Department.	15

### Recommendations less than one year overdue

#	Project # and Name	Department	Recommendation	Months Overdue
1.	13365   Social Media	Office of the City Manager	Assessment of Effectiveness	12
2.	13365   Social Media	Office of the City Manager	Use of Social Media	8
3.	13363   Building Permit and Inspection Services	Sustainable Development	Staff Supervision	7
4.	11325   Capital Construction Audit (RD&C Branch)	Transportation Services	Project quality control	6
5.	11337   Development Permit Fee Collection Review	Sustainable Development	Circulation service levels	6
6.	14369   City Streets Audit	Transportation Services	Strengthen quality assurance documentation	6
7.	14369   City Streets Audit	Transportation Services	Update Training and Procedural Manual	4
8.	14373   Transportation Contributed Assets	Transportation Services	Develop a data management/ record-keeping procedure.	1

## Recommendations not due

#	Project # and Name	Department	Recommendation	Months Until Due	Due Date
1.	13365   Social Media	Office of the City Manager	Governance structure	3	12/31/2015
2.	13366   Landscaping Securities	Sustainable Development	Changes to the landscaping securities process	3	12/31/2015
3.	13366   Landscaping Securities	Sustainable Development	Non-current landscaping securities held	3	12/31/2015
4.	14369   City Streets Audit	Transportation Services	Document operating procedures	3	12/31/2015
5.	14369   City Streets Audit	Transportation Services	Document strategies	3	12/31/2015
6.	14369   City Streets Audit	Transportation Services	Document reasons for selecting neighbourhood projects	3	12/31/2015
7.	14373   Transportation Contributed Assets	Transportation Services	Clearly define the City's role to "Monitor" vs "Inspect"	3	12/31/2015
8.	14376   Community and Recreation Facilities - Cash Controls Audit	Financial Services and Utilities	Updating of Money Handling Procedures	3	12/31/2015
9.	15384   Fleet Services Branch Audit	Corporate Services	Procurement guide	3	12/31/2015
10.	15392   Metro Line LRT Signal System	Transportation Services	Project management involvement	3	12/31/2015
11.	14373   Transportation Contributed Assets	Transportation Services	Jointly develop and establish a service level agreement	6	3/31/2016
12.	14373   Transportation Contributed Assets	Transportation Services	Standards and Specifications Document	6	3/31/2016
13.	15384   Fleet Services Branch Audit	Corporate Services	Municipal Fleet Maintenance customer feedback	6	3/31/2016
14.	15384   Fleet Services Branch Audit	Corporate Services	Procurement process controls	6	3/31/2016
15.	15392   Metro Line LRT Signal System	Transportation Services	Contract management principles	6	3/31/2016
16.	15389   Performance Measures Validation	Financial Services and Utilities	PM Owners Guide	8	5/30/2016

## Recommendations not due

#	Project # and Name	Department	Recommendation	Months Until Due	Due Date
17.	14373   Transportation Contributed Assets	Transportation Services	Develop and communicate to all inspector an Operations Manual	9	6/30/2016
18.	15384   Fleet Services Branch Audit	Corporate Services	Training process	9	6/30/2016
19.	15387   Traffic Shortcutting	Transportation Services	Traffic Management Policy	9	6/30/2016
20.	15392   Metro Line LRT Signal System	Transportation Services	Project reporting	9	6/30/2016
21.	15387   Traffic Shortcutting	Transportation Services	Centralize risk ownership	12	9/30/2016
22.	11336   2013 Municipal Election	Office of the City Clerk	Voting station logistics	15	12/31/2016
23.	11336   2013 Municipal Election	Office of the City Clerk	Ballot design	22	7/31/2017
24.	11336   2013 Municipal Election	Office of the City Clerk	Logic and accuracy testing	22	7/31/2017
25.	11336   2013 Municipal Election	Office of the City Clerk	Worker comprehension	22	7/31/2017