



OFFICE OF THE  
City Auditor

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

As at February 4, 2016

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

As at February 4, 2016

As at February 4, 2016 the administration has 34 recommendations from the Office of the City Auditor that are outstanding. Based on the implementation dates provided by the administration, 24 of these recommendations are not yet due and 10 are overdue. The Administration is providing a separate report with a status update on all recommendations more than 6 months overdue.

In the period since our last report (November 1, 2015 to February 4, 2016) the administration has closed the following 13 recommendations.

Project # and Name	Department	Recommendation
15394 - Concrete Crushing Investigation	Financial Services and Utilities	Contract Monitoring Oversight
15384 - Fleet Services Branch Audit	Corporate Services	Municipal Fleet Maintenance Customer Feedback
15384 - Fleet Services Branch Audit	Corporate Services	Procurement Guide
14376 - Community and Recreation Facilities - Cash Controls Audit	Community Services	Updating of Money Handling Procedures
14373 - Transportation Contributed Assets	Transportation Services	Develop a data management/record-keeping procedure.
14369 - City Streets Audit	Transportation Services	Strengthen quality assurance documentation
14369 - City Streets Audit	Transportation Services	Update Training and Procedural Manual
13366 - Landscaping Securities	Sustainable Development	Changes to the landscaping securities process
13366 - Landscaping Securities	Sustainable Development	Non-current landscaping securities held
13365 - Social Media	Office of the City Manager	Governance Structure
13365 - Social Media	Office of the City Manager	Use of Social Media
13365 - Social Media	Office of the City Manager	Assessment of Effectiveness
13363 - Building Permit and Inspection Services	Sustainable Development	Risk-based Plans Examination and Inspections

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

Colour	Category	# of Recommendations
Red	More than one year overdue	2
Yellow	Less than one year overdue	8
Green	Not yet due	24

**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.	28
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 Development Department.	19

**Recommendations less than one year overdue**

#	Project # and Name	Department	Recommendation	Months Overdue
1.	13363 - Building Permit and Inspection Services	Sustainable Development	Recommendation 3 - Staff Supervision	10
2.	11325 - Capital Construction Audit (RD&C Branch)	Integrated Infrastructure Services	Recommendation 6 - Project quality control	9
3.	11337 - Development Permit Fee Collection Review	Sustainable Development	Recommendation 3 - Circulation Service Levels	9
4.	14369 - City Streets Audit	Transportation Services	Recommendation 2 - Document operating procedures	1

### Recommendations less than one year overdue

#	Project # and Name	Department	Recommendation	Months Overdue
5.	14369 - City Streets Audit	Transportation Services	Recommendation 1 - Document Strategies	1
6.	14369 - City Streets Audit	Transportation Services	Recommendation 3 - Document reasons for selecting neighbourhood projects	1
7.	14373 - Transportation Contributed Assets	Sustainable Development	Recommendation 3 - Clearly define the City's role to "Monitor" vs "Inspect"	1
8.	15392 - Metro Line LRT Signal System	Transportation Services	Recommendation 2 - Project Management Improvement	1

### Recommendations not due

#	Project # and Name	Department	Recommendation	Months Until Due	Due Date
1.	14371 - Corporate Procurement Card Controls	Financial Services & Utilities	Recommendation 5 – Active and inactive employee testing	1	2/29/2016
2.	14373 - Transportation Contributed Assets	Transportation Services	Recommendation 2 - Jointly develop and establish a service level agreement	2	3/31/2016
3.	14373 - Transportation Contributed Assets	Transportation Services	Recommendation 1 - Standards and Specifications Document	2	3/31/2016
4.	15384 - Fleet Services Branch Audit	Corporate Services	Recommendation 4 - Procurement Process Controls	2	3/31/2016
5.	15392 - Metro Line LRT Signal System	Transportation Services	Recommendation 1 - Contract Management Principles	2	3/31/2016
6.	14371 - Corporate Procurement Card Controls	Financial Services & Utilities	Recommendation 1 – Supervisory Review	2	3/31/2016

## Recommendations not due

#	Project # and Name	Department	Recommendation	Months Until Due	Due Date
7.	14371 - Corporate Procurement Card Controls	Financial Services & Utilities	Recommendation 4 – Update Procedures	2	3/31/2016
8.	15397 - Coin Processing Audit	Financial Services & Utilities	Recommendation 1 - Additional Review of Risks	3	4/30/2016
9.	15397 - Coin Processing Audit	Financial Services & Utilities	Recommendation 2 - Assessing Performance Measures	3	4/30/2016
10.	15389 - Performance Measures Validation	Financial Services & Utilities	Recommendation 1 - Procedure Manual for Performance Measure Owners	4	5/30/2016
11.	14371 - Corporate Procurement Card Controls	Financial Services & Utilities	Recommendation 2 – Improve Restricted Purchases Guidelines	4	5/31/2016
12.	14373 - Transportation Contributed Assets	Transportation Services	Recommendation 4 - Develop and communicate to all inspector an Operations Manual	5	6/30/2016
13.	15384 - Fleet Services Branch Audit	Corporate Services	Recommendation 2 - Training Process	5	6/30/2016
14.	15387 - Traffic Shortcutting	Transportation Services	Recommendation 1 - Traffic Management Policy	5	6/30/2016
15.	15392 - Metro Line LRT Signal System	Transportation Services	Recommendation 3 - Project Reporting	5	6/30/2016
16.	15387 - Traffic Shortcutting	Transportation Services	Recommendation 2 - Centralize Risk Ownership	8	9/30/2016
17.	14371 - Corporate Procurement Card Controls	Financial Services & Utilities	Recommendation 3 – Corporate Guidelines for Gift Cards	8	9/30/2016
18.	11336 - 2013 Municipal Election	Corporate Services	Recommendation 4 - Voting Station Logistics	11	12/31/2016

### Recommendations not due

#	Project # and Name	Department	Recommendation	Months Until Due	Due Date
19.	15391 - ETS, Bus and Light Rail Transit Review	Transportation Services	Recommendation 2 - Service Delivery Performance	11	12/31/2016
20.	15391 - ETS, Bus and Light Rail Transit Review	Transportation Services	Recommendation 1 - Transit Strategic Plan	17	6/30/2017
21.	11336 - 2013 Municipal Election	Corporate Services	Recommendation 5 - Ballot Design	18	7/31/2017
22.	11336 - 2013 Municipal Election	Corporate Services	Recommendation 2 - Logic and Accuracy Testing	18	7/31/2017
23.	11336 - 2013 Municipal Election	Corporate Services	Recommendation 3 - Worker Comprehension	18	7/31/2017
24.	15391 - ETS, Bus and Light Rail Transit Review	Transportation Services	Recommendation 3 - Transit Funding and Fares	23	12/31/2017