



# INFORMATION REPORT

<b>TO:</b> Chair and Members Audit, Finance and Administration Committee	<b>WARD(S) AFFECTED:</b> CITY WIDE
<b>COMMITTEE DATE:</b> January 17, 2013	
<b>SUBJECT/REPORT NO:</b> Annual Follow Up of Outstanding Audit Recommendations (AUD13007) (City Wide)	
<b>SUBMITTED BY:</b> Ann Pekaruk Director, Audit Services City Manager's Office	<b>PREPARED BY:</b> Ann Pekaruk 905-546-2424 x4469
<b>SIGNATURE:</b>	

## Council Direction:

During the October 4, 2012 Audit, Finance and Administrative Committee meeting, staff were directed to provide an update, respecting the outstanding recommendations, outlined in Appendix A to Report AUD12018, regarding the Annual Follow Up of Outstanding Audit Recommendations, along with a compliance percentage target within three (3) months.

## Information:

From 2005 to March 31, 2012, 551 audit recommendations were made. After Audit's 2012 annual follow up exercise was performed in the summer of 2012, the completed implementation rate was verified as 89%. There were 62 outstanding recommendations.

A status update pertaining to the 62 outstanding recommendations was requested from Management during December 2012. Management indicated that some outstanding recommendations had subsequently been completed and provided anticipated completion dates for many of the remaining incomplete recommendations.

**SUBJECT: Annual Follow Up of Outstanding Audit Recommendations  
(AUD13007) (City Wide) – Page 2 of 2**

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Management stated that of the 62 outstanding recommendations, 24 had been subsequently completed and two alternatives had been implemented, leaving 35 still in an uncompleted state. This results in a 94% completion rate, an improvement of 5% over the rate previously reported in October, 2012. Those recommendations which management has indicated as completed will be verified as such by the City's Audit Services Division during the 2013 annual follow up exercise.

**Table 1 – Completed Recommendations**

Year	As Reported October 2012			Updated By Management		
	Rec	Completed	% Complete	Completed (Dec/12)	% Complete	Not Completed
2005	101	96	95%	97	96%	4
2006	50	45	90%	46	92%	4
2007	152	129	85%	139	91%	13
2008	123	109	89%	117	95%	6
2009	81	73	90%	77	95%	4
2010	44	37	84%	40	91%	4
<b>Total</b>	<b>551</b>	<b>489</b>	<b>89%</b>	<b>516</b>	<b>94%</b>	<b>35</b>

Attached as Appendix "A" to Report AUD13007 is a summary of the 62 recommendations and the responses provided by management.

Completion Percentage Target

The overall completion percentage target for audit recommendations is proposed at 95%. The 5% balance normally represents action plans that require longer time frames to implement (e.g. new systems applications, legislative changes). In addition, a portion of recommendations will continually be outstanding as new recommendations are added to the database each year with the standard follow up process which occurs 12 to 18 months after the issuance of the original audit report.

**2012 Annual Follow Up of Outstanding Audit Recommendations Summary - Status Report**

**COMMUNITY SERVICES  
2005**

<b>Report # &amp; Subject</b>	<b>Recommendation</b>	<b>Current Status By Department</b>	<b>Status Update - Action Taken by Department</b>	<b>Anticipated Completion Date</b>
2005-02 Recreation - Ancaster Rotary Centre - Cash Handling	2. - That management ensure that the terms of the agreement regarding rent owing are monitored by a designated staff person to ensure calculations are correct.	Completed	The District Support Clerk has been trained on how to complete the comparison. A new form has been developed to aid in the comparison of payments received and statistics. The form has been reviewed with the District Support Clerk. This process will be part of the District Support Clerk's Annual Training.	Jul. 2012

**COMMUNITY SERVICES (Continued)  
2005**

<b>Report # &amp; Subject</b>	<b>Recommendation</b>	<b>Current Status By Department</b>	<b>Status Update - Action Taken by Department</b>	<b>Anticipated Completion Date</b>
2005-10 CLASS System - Culture & Recreation	5.c - That the refund request and approval function include the provision of information to properly evaluate the appropriateness and amount of refund and documents/data bear evidence of such review.	In Progress	Supervisor of Technology met with District Operations Manager who also chairs the Cash Handling Committee. A new procedure was developed whereby refunds will flow through a three level process from request to approval. 1. Front line staff can 'request' refunds as per patron's instructions. 2. Full time District Support Clerks will review requests and 'process' refunds in Class and print the Refunds Processed Report. 3. Operations Supervisor will sign off on all refunds and submit to Finance for processing. The new procedure will be vetted through the Cash Handling Committee and implemented in Q1, 2013.	Mar. 2013

**COMMUNITY SERVICES (Continued)**  
**2007**

<b>Report # &amp; Subject</b>	<b>Recommendation</b>	<b>Current Status By Department</b>	<b>Status Update - Action Taken by Department</b>	<b>Anticipated Completion Date</b>
2007-05 Fleet Management - Part I (Central Fleet)	2. - That all long-term vehicle/equipment rentals be discussed with Central Fleet staff and approval to proceed be given only after consideration of the alternative suggestions. Documentation should be retained by the department to support the decision to rent on a long-term basis.	Completed	The Recreation Division has returned the rented pickup trucks. The Division will utilize the current inventory of pickup trucks and will consult with Central Fleet on any future long-term vehicle/equipment rentals.	Dec. 2012

<b>Report # &amp; Subject</b>	<b>Recommendation</b>	<b>Current Status By Department</b>	<b>Status Update - Action Taken by Department</b>	<b>Anticipated Completion Date</b>
2007-15 OW – Non-Active Clients & Overpayments	1. – That management work together with other municipalities to actively pursue the Province in developing reliable, standard reports for the accounting and administration of overpayments. Such reports should be readily available to be run off the system in a format that facilitates analysis and data extraction.	In Progress	Hamilton has made recommendations regarding the report design to The Ministry.	Nov. 2013

**COMMUNITY SERVICES (Continued)**  
**2008**

<b>Report # &amp; Subject</b>	<b>Recommendation</b>	<b>Current Status By Department</b>	<b>Status Update - Action Taken by Department</b>	<b>Anticipated Completion Date</b>
2008-06 Fleet Management - Part II (HES)	12.c - That a formal re-order point be set in the above-referenced system for frequently used parts in inventory.	In Progress	Flexible Data Management (FDM) is currently being populated with live data. After sufficient time has passed and the size of data is significant enough to establish re-order points, the re-order point will be set and used on a move forward basis.	Jan. 2014
	13.a - That repairs and maintenance be scheduled and tracked by electronic means including generating the forms, reports and work orders electronically.	Completed	Work orders are now capable of being generated and stored in the FDM Maintenance Repair Overhaul (MRO) module. Information is being populated as vehicles cycle through the shop for preventative maintenance. Hard copy of electronic work orders can be produced. Scheduling of preventative maintenance is linked to work order history. As vehicle assets cycle through, they will be flagged for the next maintenance interval.	
	13.b - That all invoices from outside garages be referenced to HES vehicle numbers so as to better track expenditures associated with repairs and maintenance. Once the automated system of work orders is established, as noted in the recommendation above, tracking by way of consecutively numbered sequences should be considered.	Completed	All outside work is being logged into FDM referenced by vendor and invoice number against the vehicle asset.	

**COMMUNITY SERVICES (Continued)  
2008**

<b>Report # &amp; Subject</b>	<b>Recommendation</b>	<b>Current Status By Department</b>	<b>Status Update - Action Taken by Department</b>	<b>Anticipated Completion Date</b>
2008-08 Child Care Fee Subsidies	2.b - That, once received, financial statements be reviewed and compared to submitted provider operating budgets.	Completed	All operators have received the review package and are required to submit it annually (four months following their fiscal year end).	Dec. 2012
	5. - That the Child Care Subsidy Program Office obtain repayment information from the OW Recovery Office on a regular basis. The balances owing should be updated accordingly in OCCMS.	Alternative Implemented	Staff were trained and a job aide was created. All repayments are made through Accounts Receivable rather than the OW Recovery office.	Dec. 2012
	A.1a - That, for the purpose of comparing actual expenditures to budget, child care providers be required to submit operating budgets on an annual basis, regardless of whether a rate review is being requested.	Completed	All operators have received the review package and are required to submit it annually (four months following their fiscal year end).	Dec. 2012

**2009**

<b>Report # &amp; Subject</b>	<b>Recommendation</b>	<b>Current Status By Department</b>	<b>Status Update - Action Taken by Department</b>	<b>Anticipated Completion Date</b>
2009-06 Fire Prevention Division	A.2 - That management and systems support investigate the full potential functionality of FDM in regard to enhancing the efficiency of various processes through automation and database extractions.	In Progress	Since the last Audit update, Records Management System (RMS) has been fully integrated to address all incoming work which eliminated all Excel spreadsheets. Several aspects of Prevention operations (e.g. public education assignments, property information forms) use RMS. Implementation of other components continues in a planned process.	Sept. 2014

**CORPORATE SERVICES  
2005**

<b>Report # &amp; Subject</b>	<b>Recommendation</b>	<b>Current Status By Department</b>	<b>Status Update - Action Taken by Department</b>	<b>Anticipated Completion Date</b>
2005-06 Accounts Payable	2.a - That, in order to ensure accountability for invoices received and in order to have immediate accrual recognition for management decision making, management continue investigating a workflow driven process whereby invoices are entered into the PeopleSoft system at the time they are received with subsequent approval taking place.	In Progress	A capital budget request has been submitted for the implementation of PeopleSoft's automated workflow for invoice approvals.	Dec. 2013
2005-09 Procurement Card Review	6. - That Business Administrators (BA's) review procurement card clearing accounts for their departments and ensure that amounts are cleared to the appropriate expense accounts at least on a quarterly basis.		Awaiting the most recent audit findings. F&A staff clear accounts based on information supplied to them by the card holder. When the cardholder is non-compliant by submitting late, the account cannot be cleared within the prescribed time frame.	



**CORPORATE SERVICES (Continued)**  
**2006**

Report # & Subject	Recommendation	Current Status By Department	Status Update - Action Taken by Department	Anticipated Completion Date
2006-02 Accounts Receivable	1. - That management consider restricting system access to only those functions of the accounts receivable system that are within each employee’s area of responsibility. An adequate segregation of duties should be considered in this exercise.	In Progress	An Accounts Receivable process review started April 2012. Segregation of duties, restricted access and internal control will be reviewed and implemented as part of this process. Accounts Receivable has sent a request to have all current Accounts Receivable users confirmed by Finance and Admin Managers. Maintenance to remove/change access is ongoing.	Dec. 2012
	6.a - That a payment withholding system be considered for long, overdue customers with whom the City also has purchasing contracts.	In Progress	Legal Services has indicated that the City has the right under the Contract to set-off against any amounts owing by the City to the Contractor any amounts owing to the City by the Contractor under the Contract, under any other contract between the City and the Contractor, or at law or in equity. This will still need to be communicated to AP/AR and departmental staff.	

**CORPORATE SERVICES (Continued)**  
**2006**

<b>Report # &amp; Subject</b>	<b>Recommendation</b>	<b>Current Status By Department</b>	<b>Status Update - Action Taken by Department</b>	<b>Anticipated Completion Date</b>
2006-06 Metered Water - Billings & Revenue	2. - That HUC notify the City's appropriate contact in the Budget and Finance section of proposed deferred payment agreements made with water and wastewater customers whenever the amount owing exceeds a set threshold level agreed to by both the City and HUC. The Service Agreement between the City and HUC should be modified to reflect the above requirement.	In Progress	No action to be taken until a new/amended agreement will be negotiated in late 2014.	Jan. 2015
	A.1 - That the City's Water and Wastewater section of Public Works escalate a program to replace older meters so as to minimize the risk of potential revenue loss.	In Progress	A RFP has been issued for a new contract for the Supply and Supply/Install of new water meters as the current contract expires January 31, 2013. Staff is continuing discussions with Finance and Horizon Utilities on potential synergies related to leveraging their advanced meter reading infrastructure. While this initiative is under way, staff are continuing to analyze and replace meters as necessary in order to minimize revenue loss.	Aug. 2013
	A.2 - That the City co-ordinate with HUC to identify properties that are abandoned. When charges for water/wastewater services continue to be unpaid over an extended period, the City should exercise its option to turn off the water service to such properties under the provision of By-law R84-026, section 13(6)(a).	Disagreed	Further investigation into this particular item has revealed that there may be liability issues if we as the City were to shut off water to a property that has a fire protection system. Also, further consideration of the Waterworks By-Law reveals that it is the property owner's responsibility to	Not Applicable

			<p>notify the City to have the water shut off and make any necessary arrangements. There is no provision in the by-law for the City to take it upon itself to shut off water to a property strictly because it is vacant. If there is increased consumption in a vacant property due to vandalism or frozen pipes the property owner is responsible for paying the charges and if they fail to do so, these can be recovered through their property taxes. This being the case staff will not be shutting off water to vacant properties unless requested to do so by the property owner. Staff will be creating a process to enhance service. Properties that have been identified as vacant will be mailed a letter making them aware of their responsibilities and risks and what actions can be taken in order to minimize those risks.</p>	
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**CORPORATE SERVICES (Continued)**  
**2008**

<b>Report # &amp; Subject</b>	<b>Recommendation</b>	<b>Current Status By Department</b>	<b>Status Update - Action Taken by Department</b>	<b>Anticipated Completion Date</b>
2008-01 Risk Management – Claims Administration	1.b - That all these procedures, once written and updated, be reviewed regularly to ensure that they remain current.	Initiated	A re-organization is now complete. Staff members have been assigned to the task.	Jan. 2013

**2009**

<b>Report # &amp; Subject</b>	<b>Recommendation</b>	<b>Current Status By Department</b>	<b>Status Update - Action Taken by Department</b>	<b>Anticipated Completion Date</b>
2009-01 Financial Requirements of Development (Security Deposits)	3.b - That written confirmations of the validity of long outstanding LCs be obtained from financial institutions from which the LCs are drawn.	Completed	There are no additional LC sources where further analysis can be reasonably performed by finance staff regarding identifying any remaining outstanding LC's. There is no additional risk to the City should any significantly aged LC remain unidentified since any cost associated with such remains the responsibility of the developer. Finance staff will continue ongoing monitoring and working with the planning department to deal with any issues as arise.	Nov. 2012
	3.c - That the Planning and Economic Development Department use the inventory listing to complete its review of LCs to determine if the LCs are still required and recommend the cancellation of LCs found to be redundant.	Completed	Refer to explanation above.	Nov. 2012

**CORPORATE SERVICES (Continued)**  
**2009**

<b>Report # &amp; Subject</b>	<b>Recommendation</b>	<b>Current Status By Department</b>	<b>Status Update - Action Taken by Department</b>	<b>Anticipated Completion Date</b>
2009-07 Rostered & Multi Vendor Contracts	4.a - That management, in conjunction with roster captains, regularly reviews expenditures in each category to ensure that work is assigned on a rotational basis that ensures an equitable distribution of the revenues. (CS-IS)	Completed	Although this recommendation refers to the IT Roster which no longer exists, we have applied this recommendation to the IS Roster categories that are part of the Public Works roster. IS management reviewed the assignments for the 2011-2012 roster. They have been assigned on a rotational basis that ensures an equitable distribution of the revenues, given the small number of engagements.	Dec. 2012

**2010**

<b>Report # &amp; Subject</b>	<b>Recommendation</b>	<b>Current Status By Department</b>	<b>Status Update - Action Taken by Department</b>	<b>Anticipated Completion Date</b>
2010-01 Real Estate Asset Management	A.1a – That all leases be invoiced through the City’s Accounts Receivable section.	Completed	Accounts Receivable Status - Leases are invoiced through Accounts Receivable with information provided by Real Estate/Facilities.	
	A.1b – That the outstanding amount of GST due be recovered from the lessee and that it be remitted to the Canada Revenue Agency (CRA).	Completed	Accounts Receivable Status – Accounts Receivable charges HST on all commercial rentals.	

**HAMILTON ENTERTAINMENT AND CONVENTION FACILITIES INCORPORATED (HECFI)  
2008**

<b>Report # &amp; Subject</b>	<b>Recommendation</b>	<b>Current Status By Department</b>	<b>Status Update - Action Taken by Department</b>	<b>Anticipated Completion Date</b>
2008-04 HECFI - Cash Handling	2.c - That HECFI’s current policies and procedures regarding deposits and final payments be adhered to. A review of these policies and procedures may be warranted to ensure any required updates or changes are reflected in the approved practice.	Completed	The Manager of Catering & Event Services has met with his staff and emphasized that deposit policies must be followed.	July 2012

**HAMILTON PUBLIC LIBRARY (HPL)  
2007**

<b>Report # &amp; Subject</b>	<b>Recommendation</b>	<b>Current Status By Department</b>	<b>Status Update - Action Taken by Department</b>	<b>Anticipated Completion Date</b>
2007-10 Library Fines & Other Revenues	1. - That management approach Sirsi-Dynix about the feasibility of switching to user-specific usernames and passwords to access the existing version of Horizon (also known as ‘Unicorn’).  If such functionality is not available in the Unicorn version of Horizon, management should consider insisting on user-specific access when upgrading to the next version of Horizon (likely to be the ‘Symphony’ ILS).	In Progress	Staff are no longer able to change fines in Horizon. All fines must be processed through Smart Money Manager (SMM). There is a delayed implementation with Bookmobiles due to a fire.	Jan. 2013
	3.a - That system access privileges granted to circulation staff be reviewed and made consistent with the level of their responsibilities.	In Progress	Staff can no longer change fines in Horizon (except Bookmobile temporarily). All fines must be processed through Smart Money Manager (SMM). Staff have a maximum of \$10; anything over \$10 needs a Manager override.	Jan. 2013
	3.b - That a requirement to input staff identification and reasons for processing waivers be implemented.	In Progress	Through SMM, reason codes have been added to a drop down menu. Waivers are no longer allowed directly in Horizon (except Bookmobile temporarily)	Jan. 2013

**HAMILTON PUBLIC LIBRARY (HPL) (Continued)**  
**2007**

<b>Report # &amp; Subject</b>	<b>Recommendation</b>	<b>Current Status By Department</b>	<b>Status Update - Action Taken by Department</b>	<b>Anticipated Completion Date</b>
2007-10 Library Fines & Other Revenues (Continued)	<p>4. - That management consider automating the cash receipting process for locations that receive reasonably large amounts of cash in order to improve the reliability and accuracy of amounts reported. The cost of installing cash registers at these locations should be weighed against the benefits of increased security and information reliability and a possible increase in reported revenues.</p> <p>Due to fiscal constraints, a staged implementation may be considered starting with branches with the higher cash receipts.</p>	In Progress	All branches now have Smart Money Manager (SMM) (except Bookmobile which was delayed due to a fire). Bookmobile will be completed in the first week of January.	Jan. 2013
	5.a - That circulation related revenues be periodically reconciled to Horizon cash reports and that management develop dollar thresholds beyond which discrepancies are investigated.	In Progress	The reconciliation is no longer required as direct fine waiving is no longer permitted (except for Bookmobile).	Jan. 2013



**HAMILTON PUBLIC LIBRARY (HPL) (Continued)  
2007**

<b>Report # &amp; Subject</b>	<b>Recommendation</b>	<b>Current Status By Department</b>	<b>Status Update - Action Taken by Department</b>	<b>Anticipated Completion Date</b>
2007-10 Library Fines & Other Revenues (Continued)	5.b - That management implement training programs to standardize the use of the Horizon system for payment processing and that staff be made aware that cash reports from Horizon will be used for cash balancing.	Completed	Training was completed during the SMM roll out.	Dec. 2012
	6.a - That a requirement to input staff identification and reasons for waiving fines and other fees be implemented.	Completed	Reasons have been added to a drop down menu.	Sept. 2012
	10. - That a comprehensive debt collection agreement be drawn up that will ensure that: <ul style="list-style-type: none"> <li>• All services provided by the collection agency are incorporated into the agreement.</li> <li>• A rate adjustment formula that is responsive to currency fluctuations is negotiated or that the billing rate be set in US dollars.</li> </ul>	Not Completed	The Integrated Library System (ILS) provider has been recently selected as part of the RFP process.	Dec. 2013

**HAMILTON PUBLIC LIBRARY (HPL) (Continued)  
2007**

<b>Report # &amp; Subject</b>	<b>Recommendation</b>	<b>Current Status By Department</b>	<b>Status Update - Action Taken by Department</b>	<b>Anticipated Completion Date</b>
2007-10 Library Fines & Other Revenues (Continued)	13. - That management consider introducing the following performance measures: <ul style="list-style-type: none"> <li>• Fine waivers above certain established limits</li> <li>• Fines waived by branch (number and dollar)</li> <li>• Fine waivers by staff identification</li> <li>• Delinquent accounts handed over by branch</li> <li>• Fines waived as A percentage of billings</li> </ul>	Not Completed	The ILS provider has been recently selected as part of the RFP process.	Dec. 2013
	A.1 - That management review the incidence of cash surpluses and shortages and establish a threshold for reporting discrepancies to the branch manager.	Completed	All branches are now investigating variances in excess of \$10 and documenting their findings.	Sept. 2012
	A.4a - That Daily Cash Sheets be reconciled to cash on hand on a daily basis and that variances be reported to the Branch Manager and investigated.	Completed	All branches are now investigating variances in excess of \$10 and documenting their findings.	Sept. 2012

**PLANNING AND ECONOMIC DEVELOPMENT  
2009**

<b>Report # &amp; Subject</b>	<b>Recommendation</b>	<b>Current Status By Department</b>	<b>Status Update - Action Taken by Department</b>	<b>Anticipated Completion Date</b>
2009-01 Financial Requirements of Development (Security Deposits)	3.c - That the Planning and Economic Development Department use the inventory listing to complete its review of LCs to determine if the LCs are still required and recommend the cancellation of LCs found to be redundant.	Completed	There are no additional LC sources where further analysis can be reasonably performed by Corporate Services (Finance) staff regarding identifying any long-standing, unrecorded LCs. There is no additional risk to the City should any significantly aged LC remain unidentified since any cost associated with such remains are the responsibility of the developer. Finance staff will continue ongoing monitoring and working with the Planning and Economic Development Department to deal with any issues as they arise.	Nov. 2012

<b>Report # &amp; Subject</b>	<b>Recommendation</b>	<b>Current Status By Department</b>	<b>Status Update - Action Taken by Department</b>	<b>Anticipated Completion Date</b>
2009-11 Parking Revenues	4. – That on a quarterly basis, the Supervisor of Parking Revenues perform a reconciliation of the cash clearing account to provide a breakdown of the reconciling items.	In Progress	Reconciliation is progressing. It is currently completed until the end of September.	Dec. 2012
	5. – That the Manager of Parking Operations ensure that procedures are finalized and communicated to staff within a reasonable time.	In Progress	Currently 15 procedures are in draft form awaiting review and approval.	Ongoing and will always be undertaken with processes and technology changes.

**PLANNING AND ECONOMIC DEVELOPMENT (Continued)**  
**2010**

<b>Report # &amp; Subject</b>	<b>Recommendation</b>	<b>Current Status By Department</b>	<b>Status Update - Action Taken by Department</b>	<b>Anticipated Completion Date</b>
2010-01 Real Estate Asset Management	1.a – That the Real Estate section either implement a new system or modify one of the existing systems in order to provide accurate and up-to-date property inventory data (including identification of purchases and sales) to facilitate real estate asset management from a single source.	Not Provided.	Facilities Management and Capital Programs Section (Public Works) and the Real Estate Section (Planning and Economic Development) are undertaking a review to establish the protocol. A meeting is scheduled for January 7, 2013, to discuss a process to rectify inaccuracies.	Dec. 2013
	4.b – That a new system or a modified existing system be implemented to provide complete and accurate information regarding lease agreements for all City-owned properties from a single source. This recommendation should be considered in conjunction with the decision made for recommendation #1 above.	Not Provided.	All new lease and lease renewal agreements are input upon completion. All leases under the control of the Real Estate Section have been input into the system.	Ongoing
	A.1a – That all leases be invoiced through the City’s Accounts Receivable section.	Completed	Accounts Receivable Status - Leases are invoiced through Accounts Receivable with information provided by Real Estate/Facilities.	

**PUBLIC HEALTH SERVICES  
2005**

<b>Report # &amp; Subject</b>	<b>Recommendation</b>	<b>Current Status By Department</b>	<b>Status Update - Action Taken by Department</b>	<b>Anticipated Completion Date</b>
2005-01 Dental Claims Administration	6. - That all incoming mail be received by an individual independent of the claims processing duties. Any cheques received should be recorded on a register. The register should be given to the Program Manager for review on a monthly basis and initialled once the review is complete. In addition, this individual should use the register to ensure the funds have been deposited into the City's bank and reflected in the PeopleSoft financial system.	No Response	No Response	No Response

**2010**

<b>Report # &amp; Subject</b>	<b>Recommendation</b>	<b>Current Status By Department</b>	<b>Status Update - Action Taken by Department</b>	<b>Anticipated Completion Date</b>
2010-02 PHS – Food Safety Program	4.a – That management expand the current Quality Assurance (QA) process to include monitoring of information uploading, complaint follow up and enforcement actions. Further methods of monitoring Public Health Inspector productivity and tracking of the premises with significant non compliance issues should be added to the QA process.	No Response	No Response	No Response

**PUBLIC HEALTH SERVICES (Continued)  
2010**

<b>Report # &amp; Subject</b>	<b>Recommendation</b>	<b>Current Status By Department</b>	<b>Status Update - Action Taken by Department</b>	<b>Anticipated Completion Date</b>
2010-02 PHS – Food Safety Program (Continued)	A.2a – That management investigate alternative, innovative work arrangements to reduce mileage expenditures and streamline the workflows of Public Health Inspectors (PHIs). In particular, management should consider the possibility of equipping the Municipal Service Centres for uploading of information on the Inspectors’ tablet PCs. Complaint details required for inspection could be received through facilities available at the Centres or by telecommunication devices such as blackberries.	No Response	No Response	No Response

**PUBLIC WORKS  
2007**

<b>Report # &amp; Subject</b>	<b>Recommendation</b>	<b>Current Status By Department</b>	<b>Status Update - Action Taken by Department</b>	<b>Anticipated Completion Date</b>
2007-03 Pavement Cuts	1. - That the pavement cut procedures be reviewed and updated to reflect changes that have taken place. In the future, the procedures should be reviewed annually to ensure they are kept up to date.	Completed	Reviewed and compiled a procedural document to reflect current changes to the permitting system.	Nov. 2012
	9. - That procedures pertaining to the entire process of pavement cut payment, invoicing and adjustment be documented and retained in the F&A area. These procedures should be reviewed annually to ensure that they remain current and are appropriately and consistently applied.	Completed	All Finance and Admin procedures have been reviewed to ensure all updates have been processed and all required signatures secured.	

**PUBLIC WORKS (Continued)**  
**2007**

<b>Report # &amp; Subject</b>	<b>Recommendation</b>	<b>Current Status By Department</b>	<b>Status Update - Action Taken by Department</b>	<b>Anticipated Completion Date</b>
2007-08 Encroachment Agreements	1.b - That formal policies and procedures related to encroachment agreements be written and reviewed periodically (once per year).	In Progress	All procedures have been completed. This year will be the first year for review.	Apr. 2013
	4.a - That copies of the contracts with various newspaper providers pertaining to the vending box encroachment agreements be newly validated.	Initiated	Staff have developed guidelines for the coordinated street furniture program that will capture and store all agreements.	Mar. 2015
	4.e - That proof of specified insurance coverage as set out by the contract be obtained and filed with corresponding contracts.	Initiated	Staff have developed guidelines for the coordinated street furniture program that will capture and store all pertinent paperwork including proof of insurance.	Mar. 2015

**PUBLIC WORKS (Continued)**  
**2007**

<b>Report # &amp; Subject</b>	<b>Recommendation</b>	<b>Current Status By Department</b>	<b>Status Update - Action Taken by Department</b>	<b>Anticipated Completion Date</b>
2007-09 Administration of Outdoor Boulevard Cafes	2. - That a proper, secure and organized filing system be maintained. Individual application files should include adequate documentation and details concerning the status of the application.	Completed	Staff have developed a new checklist which details the documents to be found in the file.	Sept. 2012
	3. - That the policies and procedures governing the administration of agreements for Boulevard Cafés, Banners and Permanent Road Closures be formally documented.	In Progress	Boulevard Cafes policy is complete. Banners & Permanent Road Closures policy will be finalized April 2013.	Apr. 2013
	5.b - That quarterly reconciliations of applications received to funds collected and deposited be performed. Any discrepancies should be investigated.	Completed	Supervisor is performing monthly reconciliations of applications to funds received.	Sept. 2012
	A.2 - That a decision be made on whether agreements for temporary encumbrances are necessary and how they will be enforced.	Initiated	Reviewing temporary encumbrances has been added to the work plan with a decision to be made in Q1 2013.	Apr. 2013



**PUBLIC WORKS (Continued)**  
**2007**

<b>Report # &amp; Subject</b>	<b>Recommendation</b>	<b>Current Status By Department</b>	<b>Status Update - Action Taken by Department</b>	<b>Anticipated Completion Date</b>
2007-11 Overstrength & Sewer Surcharge Agreements	3. - That a chart of escalated fines and penalties for overstrength infractions be developed and approved by Council. A reference to such fines should then be incorporated into the overstrength agreements.	Alternative implemented	Process changes have occurred since 2007 that include progressive enforcement of violations of overstrength agreements, which should satisfy the original concern raised in the 2007 audit. (In addition, the draft Sewer Use By-law will introduce a permit system that will increase our ability to assess risk associated with discharge permits and allow better control/scrutiny prior to approving overstrength limit increases).	June 2013

**PUBLIC WORKS (Continued)**  
**2008**

<b>Report # &amp; Subject</b>	<b>Recommendation</b>	<b>Current Status By Department</b>	<b>Status Update - Action Taken by Department</b>	<b>Anticipated Completion Date</b>
2008-06 Fleet Management - Part II (Central Fleet)	5.a - That the work order administration process (from issuance to filing) be reviewed and formalized. The process of closing work orders in Avantis upon completion, review and signing by a foreman and systematic filing should be emphasized to all appropriate staff.	Completed	Procedure reviewed and Integrated Management System (IMS) procedure developed and rolled out to all Forepersons.	Nov. 2012
	6. - That the significance of performing PM as scheduled be communicated and stressed to user groups and additional controls and/or penalties be considered to ensure that vehicles are brought in on time for PM. (PW-CF)	Completed	A revised report will include warning text and will be sent to all Managers as notice of overdue maintenance.	Dec. 2012
	A.2 - That a cost benefit analysis be performed to evaluate the necessity of maintaining all the City's fuel sites, garages and inventory stockrooms currently in operation. (PW-CF)	In Progress	Recommendation was included in Service Delivery Review (SDR). A comprehensive approach to this issue requires input from various groups including Facilities, Energy and the Operating Sections. This is to be included as part of the Yard Review.	Dec. 2013

**PUBLIC WORKS (Continued)  
2008**

<b>Report # &amp; Subject</b>	<b>Recommendation</b>	<b>Current Status By Department</b>	<b>Status Update - Action Taken by Department</b>	<b>Anticipated Completion Date</b>
2008-07 Capital Planning & Budgeting	4. - That the City’s Senior Management Team (SMT) along with other relevant stakeholders continue to investigate alternative means of obtaining optimal funding levels that support sustainable asset management practices without adversely affecting the City’s credit rating and its ability to service the debt. The results of such work should be communicated to Council.	In Progress	Received project direction from SMT.	Sept. 2013

<b>Report # &amp; Subject</b>	<b>Recommendation</b>	<b>Current Status By Department</b>	<b>Status Update - Action Taken by Department</b>	<b>Anticipated Completion Date</b>
2008-11 Wage Payroll & Timekeeping	1.a – That a process be implemented to regularly review staff access to Hansen and to revoke such access for all staff that no longer require it.	In Progress	Access level review being performed in December 2012.	Dec. 2012
	1.b – That staff refrain from using any other employee’s access level other than their own. Such levels should also be reviewed regularly to ensure access remains compatible with the duties of individual staff members.	In Progress	Access level review being performed in December 2012.	Dec. 2012

**PUBLIC WORKS (Continued)**  
**2009**

<b>Report # &amp; Subject</b>	<b>Recommendation</b>	<b>Current Status By Department</b>	<b>Status Update - Action Taken by Department</b>	<b>Anticipated Completion Date</b>
2009-08 Cemeteries – Administrative Office	2. – That management complete the calculation for the resources required to convert the historically significant paper cemetery records into electronic format. Resources should then be temporarily assigned to complete the conversation within a reasonable time period.	In Progress	A data entry staff member has returned to work from a lengthy absence and is working on the data conversion. In addition, we have modified the job duties of the customer service staff and they will be able to assist with the data conversion as time permits.	Dec. 2017