2014 Annual Follow Up of Outstanding Audit Recommendations Summary - Status Report

CITY MANAGER'S OFFICE
2010

Report # & Subject	Recommendation	Current Status By Audit Services	Reason for Outstanding Status	Anticipated Completion Date
2010-08 HR Recruitment and Selection	3.a - That Employment Services analyze why department delays occur and anticipate the effect of such delays by providing appropriate advice or support to departments early in the recruitment and selection process.	In Progress	Data is being collected in PeopleSoft HR. However, modifications to the information being reported are required due to issues with the accuracy of the collected data. Analysis cannot be performed until accurate data is captured.	May 2015
	3.bi - That Employment Services revise the time to hire calculation to be more in line with actual performance and benchmarking sources.	In Progress	The time to hire calculation has been revised using data collected in PeopleSoft HR. Modifications to the information being reported are required due to issues with the accuracy of the collected data and its impact on the time to hire calculation.	May 2015
	3.bii - That Employment Services set a target time to hire performance measure and implement processes to monitor and analyze performance against this measure with the goal of improving the overall recruitment and selection process.	In Progress	Target time to hire performance measures have been set. Data is being collected in PeopleSoft HR. However, modifications to the information being reported are required due to issues with the accuracy of the collected data. Analysis cannot be performed until accurate data is captured.	May 2015

CITY MANAGER'S OFFICE (Continued)
2010

Report # & Subject	Recommendation	Current Status By Audit Services	Reason for Outstanding Status	Anticipated Completion Date
2010-08 HR Recruitment and Selection (Continued)	4. - That Employment Services determine what information is required in a call file to support the hiring decision. Staff should then be trained in this regard. The Table of Contents and Call File Checklist should be updated to reflect any revisions.	Initiated	No additional progress has been made on this item as HR in is the process of completing an automated workflow project. This item is dependent on the completion of #8a below.	Mar. 2015
	8.a - That Employment Services review the entire recruitment and selection process with the objective of eliminating instances where duplicate manual or electronic documents exist. Use of current technology for document storage and retention should be considered.	Not Completed	No progress has been made on this item as HR in is the process of completing an automated workflow project which is anticipated to address this recommendation.	Mar. 2015
	8.e - That once policies and procedures are brought up to date as outlined in #2, Employment Services provide training to hiring managers in regard to their responsibilities.	In Progress	A training module is currently being finalized and is expected to be delivered in 2015.	July 2015
	9.a - That Employment Services include a policy and procedure to clarify the use of acting positions as part of the recommendation noted in #2. Controls should be outlined in the policy.	In Progress	A "Policy for Acting Assignments" is in effect within the organization. A sample of acting assignments was reviewed to assess compliance with the policy and was found to be not consistently in compliance with the Policy.	Sept. 2014

CITY MANAGER'S OFFICE (Continued)
2010

Report # & Subject	Recommendation	Current Status By Audit Services	Reason for Outstanding Status	Anticipated Completion Date
2010-08 HR Recruitment and Selection (Continued)	9.b - That Employment Services prepare offer letters for employees entering into acting positions.	In Progress	Based on the sample that was reviewed during testing, temporary deployment agreements were not included consistently in employee files when an acting position was awarded. HR has created an acting offer letter for successful Non Union acting / expression of interest candidates to be used going forward.	Sept. 2014
	11.c - That departments be directed to retain documentation regarding co-op student hires to support their selections.	Not Completed	No action has been taken by management. Management considers this item to be of low priority.	Undetermined

CITY MANAGER'S OFFICE (Continued)
2011

Report # & Subject	Recommendation	Current Status By Audit Services	Reason for Outstanding Status	Anticipated Completion Date
2011-10 HR Grievance Processes	4. – That Labour Relations develop a realistically achievable action plan to roll out Essentials of Managing in a Unionized Workplace training to all non-union and unionized supervisors and managers. The action plan should outline responsibility for accomplishing tasks, related timelines and performance measures and required resources	In Progress	A training module for unionized supervisors has been developed and will be rolled out city-wide during the fall of 2014. Labour Relations will continue delivering training programs to non-union management employees.	Dec. 2014
	5.c – That Labour Relations reconcile grievance-related costs to those reported in PeopleSoft on at least a quarterly basis.	In Progress	Labour Relations has implemented a process to reconcile costs and investigate differences. However, as this is the first year, figures could not be verified against annual reported costs.	Mar. 2015
	6.a – That Labour Relations record all legal, mediation and arbitration cost information in LRIS and discontinue use of the LR Cost Spreadsheet.	In Progress	At the time of the follow up work, Labour Relations continued to record cost information in both LRIS and the LR Cost Spreadsheet.	Sept. 2014

COMMUNITY AND EMERGENCY SERVICES
2005

Report # & Subject	Recommendation	Current Status By Audit Services	Reason for Outstanding Status	Anticipated Completion Date
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	A new approval form in CLASS has been created and is in the final stage of review prior to implementation. The process requires ground staff to input refund reasons, the District Support Clerk to review the documentation and a manager or director to approve the refund on the new form.	Sept. 2013

2007

Report # & Subject	Recommendation	Current Status By Audit Services	Reason for Outstanding Status	Anticipated Completion Date
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	The Ministry of Community and Social Services has again delayed the introduction of a new system of electronic reports supporting the accounting and administration of overpayments. The new Social Assistance Management System is scheduled to be implemented in November 2014.	Nov. 2014

COMMUNITY AND EMERGENCY SERVICES (Continued)
2008

Report # & Subject	Recommendation	Current Status By Audit Services	Reason for Outstanding Status	Anticipated Completion Date
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	The re-order point has been set in FDM for frequently used parts. However, the Mechanical Section continues to order parts based on its own judgement rather than the re-order point in FDM. A process change is being planned to let mechanics input data into the system to ensure the data is updated in real-time and then the re-order point will be used as the basis for re-ordering parts.	Mar. 2016

2009

Report # & Subject	Recommendation	Current Status By Audit Services	Reason for Outstanding Status	Anticipated Completion Date
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	Management identified four outstanding initiatives regarding the FDM system automation in the previous year. The File Management Kiosk has been implemented and the remaining three initiatives are in the process of being completed.	June 2015

COMMUNITY AND EMERGENCY SERVICES (Continued)
2010

Report # & Subject	Recommendation	Current Status By Audit Services	Reason for Outstanding Status	Anticipated Completion Date
2010-13 Domiciliary Hostel Program (DHP)	3. - That Case Managers be required (by way of a written procedure) to update client files and the RCF database with current income information at least minimally every twelve (12) months. The Manager should monitor adherence to this timeline by performing random file checks on a regular basis.	In Progress	The procedure has been approved. However, files are not being reviewed and updated every 12 months. Required file reviews by a Supervisor / Manager have not been occurring.	Mar. 2015
	5. - That current subsidy agreement contracts be executed and copies placed in the appropriate operator files. Terms of the contract (such as proof of insurance, licenses, etc.) should then be enforced. Any non-compliance could result in non-payment of subsidies.	In Progress	Current contracts have been received back from all operators. Tracking is occurring. However, proof of licenses and insurance is not being obtained in a timely manner.	Jan. 2015
	11. - That specific details be documented as to the reasons DHP clients are receiving the transportation amounts that they are being provided. These details should be reviewed and updated every 12 months at a minimum or as client circumstances change.	In Progress	There is no evidence that the reasons DHP clients receiving the transportation amounts are reviewed and updated every 12 months or as client circumstances change. A Policy document for this area has been developed and approved.	Mar. 2015
	A2. - That the DHP consider creating the reports noted above in order to better support program workflows.	In Progress	The reports have been developed in the test version of the RCF database but are not finalized. They will not be finalized until it is determined if the DHP will move forward with a new database or modify the existing database as a result of system issues encountered.	Dec. 2014

COMMUNITY AND EMERGENCY SERVICES (Continued)
2012

Report # & Subject	Recommendation	Current Status By Audit Services	Reason for Outstanding Status	Anticipated Completion Date
2012-01 Recreation Facilities & Arenas – Cash Handling	5b. That management generate a report from the CLASS system at least quarterly showing the date, amount and description of all voided and refunded transactions. This report should bear evidence of management's review and approval of all voided and refunded transactions.	Brewster Pool In Progress	Management has changed the procedure to review and approve voided and refunded transactions. Such reports are being generated by CLASS. Proof of management's review and approval was not found due to the fact that there have been no refunds since the change in procedure.	Sept. 2014
	7b. That management reconfigure the CLASS PLU Sales Report to ensure all revenue is captured. The revised report should rolled out to all facilities using the CLASS point-of-sale system.	Brewster Pool Not Completed	The CLASS PLU Sales Report has not been modified to ensure that all revenue is captured.	Dec. 2014
	2. That all deposits be made in the bank in a timely manner, within the stated timelines per the procedures.	Mountain Arena In Progress	Bank deposits are made once every ten days instead of once per week as required by the Recreation Facility Cash Handling Procedures.	Sept. 2014
	5a. That cashiers maintain a log documenting the date, amount and description of all voided and refunded transactions. Management should reconcile the number and value of voids and refunds reported on the register transactions summary tape to the cashier's log to account for all such transactions. These documents should bear evidence of this review and approval of the voided and refunded transactions.	Mountain Arena Initiated	The cashiers track voided/refunded transactions by attaching a cash register tape showing the voided transaction along with an explanatory note to the Box Office Report. The Report is reviewed and approved by the Manager. A log documenting the date, amount and description of all voided and refunded transactions is not maintained.	Sept. 2014

COMMUNITY AND EMERGENCY SERVICES (Continued)
2012

Report # & Subject	Recommendation	Current Status By Audit Services	Reason for Outstanding Status	Anticipated Completion Date
2012-01 Recreation Facilities & Arenas – Cash Handling (Continued)	6c. That the District Support Clerk perform periodic counts of membership passes and clip cards and compare counted quantities to the inventory list. The inventory lists should bear evidence that the counts were performed.	Mountain Arena In Progress	Inventory counts are performed but the date on which the counts are performed are not noted on the supporting documentation. Clip cards are no longer used.	Sept. 2014
	1a. That management improve the security over cash and membership passes with the following: • Limit the number of people who have access to the safe and storage areas containing daily deposit envelopes, bank deposits, petty cash and membership passes.	Ancaster Aquatics Not Completed	A City-Wide Cash Handling Policy was approved by Council on June 11, 2014. Recreation management is waiting for guidance on the types of safes to be used before proceeding with the installation. There have been no changes in access since the last follow up.	Dec. 2014
	5b. That management generate a report from the CLASS system at least quarterly showing the date, amount and description of all voided and refunded transactions. This report should bear evidence of management's review and approval of all voided and refunded transactions.	Ancaster Aquatics In Progress	Management generates a report from CLASS showing the amounts and descriptions of the voided and refunded transactions. There is no evidence of management review or sign off on the report.	Sept. 2014
	7b. That management reconfigure the CLASS PLU Sales Report to ensure all revenue is captured. The revised report should be rolled out to all facilities using the CLASS point-of-sale system.	Ancaster Aquatics Not Completed	The CLASS PLU Sales Report has not been modified to ensure that all revenue is captured.	Dec. 2014

COMMUNITY AND EMERGENCY SERVICES (Continued)
2012

Report # & Subject	Recommendation	Current Status By Audit Services	Reason for Outstanding Status	Anticipated Completion Date
2012-01 Recreation Facilities & Arenas – Cash Handling (Continued)	1c. That management improve the security over cash and membership passes with the following: • Store daily cash receipt and bank deposits in a secure location with access restricted to only staff that prepare and perform the bank deposit.	Carlisle Not Completed	A City-Wide Cash Handling Policy was approved by Council on June 11, 2014. Recreation management is waiting for guidance on the types of safes to be used before proceeding with the installation of a new safe for this location. There has been no change in access since the last follow up.	Dec. 2014
	2. That all deposits be made in the bank in a timely manner, within the stated timelines per the procedures.	Carlisle In Progress	A review of six bank deposits found that only two were made weekly as required by the Recreation Facilities Cash Handling Procedures.	Oct. 2014
	5a. That cashiers maintain a log documenting the date, amount and description of all voided and refunded transactions. Management should reconcile the number and value of voids and refunds reported on the register transactions summary tape to the cashier's log to account for all such transactions. These documents should bear evidence of this review and approval of the voided and refunded transactions.	Carlisle Not Completed	A log documenting the date, amount and description of all voided and refunded transactions is not maintained.	Oct. 2014
	6ai. That management improve control over membership and clip cards by: • Reformatting the pass section of the Box Office Report to calculate the quantity of passes sold and include a sign off section for the cashier and person in charge.	Carlisle Initiated	The pass section of the Box Office Report has been changed to calculate the quantity of passes sold. This section is not regularly completed. It does not include a sign off section for the cashier and person in charge.	Oct. 2014

COMMUNITY AND EMERGENCY SERVICES (Continued)
2012

Report # & Subject	Recommendation	Current Status By Audit Services	Reason for Outstanding Status	Anticipated Completion Date
2012-01 Recreation Facilities & Arenas – Cash Handling (Continued)	6c. That the District Support Clerk perform periodic counts of membership passes and clip cards and compare counted quantities to the inventory list. The inventory lists should bear evidence that the counts were performed.	Carlisle Not Completed	There is no evidence that periodic inventory counts of the passes are performed. Clip cards are no longer used.	Oct. 2014
	7aiii. That the following procedures be carried out to improve the reconciliation process: • Management ensure that the reconciliation procedures are being followed by signing off on reviewed reports, correcting errors and verifying the accuracy of the deposited funds.	Carlisle Not Completed	Management reports are not signed by a Supervisor.	Oct. 2014
	1c. That management improve the security over cash and membership passes with the following: • Store daily cash receipt and bank deposits in a secure location with access restricted to only staff that prepare and perform the bank deposit.	Bennetto Not Completed	A City-Wide Cash Handling Policy was approved by Council on June 11, 2014. Recreation management is waiting for guidance on the types of safes to be used before proceeding with the installation of a new safe for this location.	Dec. 2014
	5b. That management generate a report from the CLASS system at least quarterly showing the date, amount and description of all voided and refunded transactions. This report should bear evidence of management's review and approval of all voided and refunded transactions.	Bennetto In Progress	Management generates a report from CLASS showing the amount and a description of the refunded transactions. The manager responsible for this recreation centre reviews and signs off on the report. However, there is no evidence of management review of voided transactions.	Dec. 2014

COMMUNITY AND EMERGENCY SERVICES (Continued)
2012

Report # & Subject	Recommendation	Current Status By Audit Services	Reason for Outstanding Status	Anticipated Completion Date
2012-01 Recreation Facilities & Arenas – Cash Handling (Continued)	7b. That management reconfigure the CLASS PLU Sales Report to ensure all revenue is captured. The revised report should be rolled out to all facilities using the CLASS point-of-sale system.	Bennetto Not Completed	The CLASS PLU Sales Report has not been modified to ensure that all revenue is captured.	Dec. 2014
	1c. That management improve the security over cash and membership passes with the following: • Store daily cash receipt and bank deposits in a secure location with access restricted to only staff that prepare and perform the bank deposit.	Huntington Park Not Completed	A City-Wide Cash Handling Policy was approved by Council on June 11, 2014. Recreation management is waiting for guidance on the types of safes to be used before proceeding with the installation of a new safe for this location.	Dec. 2014
	5b. That management generate a report from the CLASS system at least quarterly showing the date, amount and description of all voided and refunded transactions. This report should bear evidence of management's review and approval of all voided and refunded transactions.	Huntington Park In Progress	Management has recently revised the procedure to review and approve voided and refunded transactions using a report generated by CLASS. This revised procedure is not yet followed at this location. There is evidence of management's review and approval using an alternate method.	Sept. 2014
	7b. That management reconfigure the CLASS PLU Sales Report to ensure all revenue is captured. The revised report should be rolled out to all facilities using the CLASS point-of-sale system.	Huntington Park Not Completed	The CLASS PLU Sales Report has not been modified to ensure that all revenue is captured.	Dec. 2014

COMMUNITY AND EMERGENCY SERVICES (Continued)
2012

Report # & Subject	Recommendation	Current Status By Audit Services	Reason for Outstanding Status	Anticipated Completion Date
2012-01 Recreation Facilities & Arenas – Cash Handling (Continued)	6c. That the District Support Clerk perform periodic counts of membership passes and clip cards and compare counted quantities to the inventory list. The inventory lists should bear evidence that the counts were performed.	<u>Huntington Park</u> Not Completed	There is no evidence that periodic inventory counts of the passes are performed. Clip cards are no longer used.	Dec. 2014
	8. That the Recreation Facility Cash Handling Procedures be reviewed and updated on an annual basis. The reviewer and date should be documented in the procedures as evidence that the review occurred. Revised procedures should be distributed to and followed by all staff.	<u>All Areas</u> In Progress	The Recreation Facility Cash Handling Procedures are being reviewed and updated in 2014. The updated procedures indicated the date that they were last reviewed but did not identify the reviewer responsible.	Sept. 2014

CORPORATE SERVICES
2006

Report # & Subject	Recommendation	Current Status By Audit Services	Reason for Outstanding Status	Anticipated Completion Date
2006-02 Accounts Receivable	6.a - That a payment withholding system be considered for long, overdue customers with whom the City also has purchasing contracts.	In Progress	Procurement has completed updating its template documents (with one exception) to incorporate the set-off clause. Currently, Legal Services is working on incorporating the set-off clause for the final remaining item.	Sept. 2014

Report # & Subject	Recommendation	Current Status By Audit Services	Reason for Outstanding Status	Anticipated Completion Date
2006-06 Metered Water - Billings & Revenue	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	Hamilton Water has hired a consultant to assist in the development of a formal change out program for its water meters. However, a completion date cannot be determined as the scope and type of replacement is still under consideration.	Undetermined

CORPORATE SERVICES (Continued)
2009

Report # & Subject	Recommendation	Current Status By Audit Services	Reason for Outstanding Status	Anticipated Completion Date
2009-04 Telecommunication Services	1.b - That the RFP process be initiated before existing contracts expire to ensure minimum lag time between old and new contracts.	In Progress	A Contract Renewal Schedule has been created to track contract expiry dates. However, since the renewal of the City's major telecommunications contract is still more than one year from expiry, the lag time between old and new contacts could not yet be determined.	Nov. 2015
	2.a. - That procedures pertaining to all the processes with respect to IPT, land lines, Blackberries, cellular phones and pagers be documented.	In Progress	Procedures with respect to IPT, land lines, Blackberries, cellular phones and pagers have been documented. However, most procedures are not in the appropriate format, do not include a purpose or date showing when they were developed or updated and have not been signed off by management.	Mar. 2015
	2.b - That, once completed, the above procedures (including any still relevant existing procedures) be reviewed on a regular basis to ensure that they remain current and are appropriately and consistently applied.	In Progress	Since all procedures have not been documented in the appropriate format and are not dated, it cannot be determined if they are reviewed regularly.	Mar. 2015

CORPORATE SERVICES (Continued)
2010

Report # & Subject	Recommendation	Current Status By Audit Services	Reason for Outstanding Status	Anticipated Completion Date
2010-07 IS Business Process Management	1. - That IS complete the implementation of the business processes as outlined in the IBM reports, customizing them as necessary to best meet the needs of the City.	In Progress	This item is a high level summary and does not involve any detailed action. It will be completed once all the other recommendations have been resolved.	Dec. 2015
	4.d - That a Lead Time Policy be drafted, implemented and enforced across IS. This Policy should define standard lead times that are required for non-standard work based on priority levels. This Policy should also contain documentation of CRM (Customer Relationship Manager) roles within IS including responsibility for the awareness of future departmental requests and needs on a more pro-active basis.	In Progress	The following 2 steps need to be completed as a prerequisite for the implementation of a Lead Time Policy: 1. Service level agreements (SLA) need to be created for service between the IT Division and various City departments. 2. The IT Governance review needs to be completed. However, IT is not leading the IT Governance review and has no control of the IT governance timeline. In an attempt to make progress on the audit recommendation, IT decided that the Lead Time Policy will be developed in conjunction with the SLA and is targeting draft and implementation of the SLA including the Lead Time Policy to be completed in March 2015.	Mar. 2015

CORPORATE SERVICES (Continued)
2010

Report # & Subject	Recommendation	Current Status By Audit Services	Reason for Outstanding Status	Anticipated Completion Date
2010-07 IS Business Process Management (Continued)	5. - That IS management create, regularly update and ensure staff compliance with policies and procedures for all of the business processes within IS.	In Progress	A formal process management guide has been developed and approved by the IT management team for Problem Management and Release Management. Oversight roles have not yet been implemented in all relevant areas.	Dec. 2015
	6.a - That IS make quality assurance part of the job responsibilities of a current staff member.	In Progress	A new position "Quality Assurance Analyst", has been created. The job description has been created and will be sent to HR for posting in September 2014. It is expected that the position will be filled in November 2014.	Nov. 2014
	7. - That IS draft and implement Service Level Agreements (SLAs) with other departments in the City.	In Progress	Due to resource constraints in the IT Division, service level agreement creation is still in progress. In 2013, SLAs were established for four user groups.	Mar. 2015
	11. - That IS research and implement a Knowledge Base tool for the Incident Management process.	Not Completed	Initially, IT was determined that the IT Service Management RFP could be incorporated into the RFP for Call Handling. However, the final selection for the Call Handling RFP did not include an IT Service Management component. This outcome now requires IT to develop a separate RFP. This has delayed selection of an ITSM tool.	June 2015

CORPORATE SERVICES (Continued)
2010

Report # & Subject	Recommendation	Current Status By Audit Services	Reason for Outstanding Status	Anticipated Completion Date
2010-07 IS Business Process Management (Continued)	12. - That a well-defined Problem Management process be implemented by IS.	Not Completed	A formal process management guide has been developed for the Problem Management process. The process was approved by the IT Management team. With the delay in the completion of item #11, the timeline for this item has also been delayed.	June 2015
	15.a - That the Change Management procedures be revised to address the deficiencies noted above. After these procedures have been augmented, they need to be communicated to staff in order to set expectations and ensure that they are followed by all staff.	In Progress	Separation of production and test/development environments is 60% complete.	Dec. 2015
	17.b - That IS designate staff as either developers or implementers for specific servers and applications and the access to servers and applications be restricted to only appropriate staff members by utilizing security groups. For staff that are required to provide after hours support to all areas, an after-hours support account (that is not generic) should be assigned and their support accounts should have the usage monitored on a regular basis.	In Progress	Due to the limitation in the number of IT staffs, this task requires more time and is still in progress. The Data Centre upgrade project is 60% complete.	June 2015

CORPORATE SERVICES (Continued)
2010

Report # & Subject	Recommendation	Current Status By Audit Services	Reason for Outstanding Status	Anticipated Completion Date
2010-07 IS Business Process Management (Continued)	18. - That the Change Management procedures be revised to address the deficiencies noted above. Management must ensure that the documentation and approvals as noted in the revised process are being carried out.	In Progress	Appropriate segregation of duties has not been achieved and therefore, has not been addressed in the Change Management process. This item is dependent on the completion of the Data Centre upgrade project, which is 60% complete.	Dec. 2015
	21.a - That IS investigate the various options for a Change Management database and reporting tool and implement the tools that best meet the City's needs.	In Progress	Budgetary funding has been approved for a project to investigate IT Service Management (including integration with Change Management) that is currently underway in the IT Division. As previously noted, the development of a separate RFP is now required.	Jun. 2015
	23. - That a testing methodology be drafted and implemented. It should include sign-off and approval levels depending on the risk and impact of the proposed release.	In Progress	A testing methodology has been developed. The implementation of the testing methodology is linked to item #6a. Once the Quality Assurance Analyst role has been filled, IT will provide the new staff person with training on the testing methodology. The testing methodology will be fully implemented once the newly hired Quality Assurance Analyst has been trained.	Jun. 2015

CORPORATE SERVICES (Continued)
2011

Report # & Subject	Recommendation	Current Status By Audit Services	Reason for Outstanding Status	Anticipated Completion Date
2011-09 Information Services – Software Asset Management	1. That a risk assessment of the software asset management processes be performed.	In Progress	Risk assessment has been completed for 90% of applications. The remaining 10% are applications that are not supported by IT (supported by business units themselves). The remaining 10% will be covered by the risk assessment performed by IT.	Sept. 2014
	2a. That the IS Division develop and implement a plan for the effective management of software assets that is reviewed and updated annually to reflect changes in the City's software asset management requirements. This should be done in conjunction with the risk assessment recommended in #1 above.	Initiated	This item is dependent on the completion of the risk assessment (item #1) and the IT Governance Review. Once those initiatives have been completed, work on this item can proceed. A capital budget request has not yet been made. This is a plan which includes process definition which will be leveraged by the activities related to 2b. IT governance is a multi-year initiative. The plan is to have it move forward enough to allow for completion of 2a.	Sept. 2015
	2b. That the implementation of a comprehensive asset management tool (that has automatic detection capabilities) be considered by the IS Division as part of the plan.	Initiated	This item is dependent on the completion of the risk assessment (item #1) and the IT Governance Review. Once those initiatives have been completed, work on this item can proceed.	Dec. 2015

CORPORATE SERVICES (Continued)
2011

Report # & Subject	Recommendation	Current Status By Audit Services	Reason for Outstanding Status	Anticipated Completion Date
2011-09 Information Services – Software Asset Management (Continued)	3. That business policies and procedures be written, implemented and distributed to staff in order to address and define key processes in the management of software assets.	Initiated	This item is dependent on the completion of the risk assessment (item #1). Once that initiative has been completed, work on this item can proceed. This plan only covers software under the jurisdiction of Corporate IT; departmental software will be addressed through the IT Governance Review.	Sept. 2015
	4a. That the responsibility and accountability for the management software assets be centralized in the IS Division.	Not Competed	An IT Governance Review is underway in the organization. The initial investigation has been completed and the consultant is to provide recommendations for how to proceed with the review in September 2014. The IT Governance Review has an expected completion date of March 2015, at which time work can begin for this recommendation.	Undetermined
	4d. That IS staff currently working in other departments report directly to management in the IS Division.	Not Completed	An IT Governance Review is underway in the organization. The initial investigation has been completed and the consultant is to provide recommendations for how to proceed with the review in September 2014. The IT Governance Review has an expected completion date of March 2015, at which time work can begin for this recommendation.	Undetermined

CORPORATE SERVICES (Continued)
2011

Report # & Subject	Recommendation	Current Status By Audit Services	Reason for Outstanding Status	Anticipated Completion Date
2011-09 Information Services – Software Asset Management (Continued)	6. That the IS Division verify and continue to monitor the compliance of software on City computers with the respective licence agreements. Any non-compliance should be rectified to ensure software complies with licence agreements and with PCI Standards.	In Progress	This item is dependent on the completion of the IT Governance Review is currently underway, and is expected to be completed in March 2015. The process to lock down the desktop environment has been completed but a capital budget submission for a comprehensive asset monitoring tool has not yet been made. The comprehensive monitoring tool is used to track the licence agreement compliance.	Undetermined
	7. That a process for reconciling software licence purchases against actual computer deployment be developed and implemented by the IS Division. Any issues with over or under purchasing that are identified in the reconciliation process should be resolved by the IS Division.	Initiated	This item is dependent on the completion of the risk assessment (item #1). Some progress has been made for purchases of Microsoft desktop software.	Sept. 2015
	8. That software assets be tracked by hardware (asset tags) instead of by user, where applicable.	In Progress	This item is dependent on the completion of the risk assessment (item #1). Once that initiative has been completed, work on this item can continue.	Sept. 2015

CORPORATE SERVICES (Continued)
2011

Report # & Subject	Recommendation	Current Status By Audit Services	Reason for Outstanding Status	Anticipated Completion Date
2011-09 Information Services – Software Asset Management (Continued)	9. That the IS Division develop a complete and accurate inventory of all software on City computers and keep it up to date.	In Progress	This item is dependent on the completion of the IT Governance Review. Once that initiative has been completed, work for this item can proceed further. Some progress has been made by the IT Division. A web-based system to track software in the organization is now being used.	Undetermined
	10. That, going forward, contract management staff in the IS Division manage all corporate contracts for the software installed on City computers. Annual maintenance fees should also be included in order to take advantage of possible cost efficiencies.	Initiated	This item is dependent on the completion of the IT Governance Review. Once that initiative has been completed, work for this item can proceed further. It is not within the IT Division's mandate to manage all IT contracts at the City.	Undetermined
	11. That key performance measures (metrics) for the management of software assets be defined. These performance measures should be reported to the Senior Management Team (SMT) and Council on a regular basis.	Initiated	This item is dependent on the completion of the IT Governance Review. Once that initiative has been completed, work for this item can proceed. Metrics have been defined but data collection has not yet begun.	Dec. 2015

HAMILTON PUBLIC LIBRARY (HPL)
2007

Report # & Subject	Recommendation	Current Status By Audit Services	Reason for Outstanding Status	Anticipated Completion Date
2007-10 Library Fines & Other Revenues	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	Horizon is not being used. Cash transactions are only completed through SMM. However, circulation revenues are not reconciled between SMM and Virtua (Integrated Library System). Therefore, discrepancies cannot be investigated.	July 2015
	10. - That a comprehensive debt collection agreement be drawn up that will ensure that: - All services provided by the collection agency are incorporated into the agreement. - A rate adjustment formula that is responsive to currency fluctuations is negotiated or that the billing rate be set in US dollars.	Not Completed	The debt collection agreement is from 2004 and has not been updated. Management plans to review the agreement. Management has decided not to incorporate rate adjustment formulas into any future agreements due to the low level risk.	Dec. 2014
	13. - That management consider introducing the following performance measures: - Fine waivers above certain established limits - Fines waived by branch (number and dollar) - Fine waivers by staff identification Delinquent accounts handed over by branch - Fines waived as A percentage of billings	In Progress	Although no specific metrics have been set, management has been reviewing monthly reports of fine waivers by location and above a $10 threshold. Further possible metrics will be examined with the new Virtua system.	July 2015

HAMILTON PUBLIC LIBRARY (HPL) (Continued)
2007

2007-10 Library Fines & Other Revenues (Continued)	A.1 - That management review the incidence of cash surpluses and shortages and establish a threshold for reporting discrepancies to the branch manager.	In Progress	Cash variances in excess of $10 are not consistently being reported to management and investigated as necessary.	July 2015
	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.	In Progress	Daily Cash Sheets have been integrated into the SMM and are reconciled daily. However, not all branches are reporting variances to management for investigation.	July 2015

PLANNNING AND ECONOMIC DEVELOPMENT
2009

Report # & Subject	Recommendation	Current Status By Audit Services	Reason for Outstanding Status	Anticipated Completion Date
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	The Supervisor performs a monthly reconciliation of the cash clearing account which includes breakdown and follow up of reconciling items. However, reconciliations have only been performed to March 2014 and there are still items being investigated from the January 2014 reconciliation.	Jan. 2015
	5. – That the Manager of Parking Operations ensure that procedures are finalized and communicated to staff within a reasonable time.	In Progress	Procedures are currently being developed.	Dec. 2014

2010

Report # & Subject	Recommendation	Current Status By Audit Services	Reason for Outstanding Status	Anticipated Completion Date
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.	In Progress	Real Estate staff continue to update their in-house system. This information is not being imported, maintained or reconciled to ARCHIBUS.	Undetermined
	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.	Initiated	Community and Emergency Services has recently hired a Licence & Lease Coordinator who will be responsible for inputting all of Community Services' lease agreements into ARCHIBUS.	Dec. 2014

PLANNNING AND ECONOMIC DEVELOPMENT
2010 (Continued)

Report # & Subject	Recommendation	Current Status By Audit Services	Reason for Outstanding Status	Anticipated Completion Date
2010-10 Development Charges	1. - That written procedures be developed for the collection of development charges in Building Services and the allocation of fees to the reserve accounts in Financial Planning and Policy.	In Progress	Written procedures for the collection of development charges have been created but they are in draft form only. These procedures are expected to be adopted after the new Building Services software is implemented.	July 2015

2011

Report # & Subject	Recommendation	Current Status By Audit Services	Reason for Outstanding Status	Anticipated Completion Date
2011-01 Culture Facilities – Cash Handling	1ii. - That cashiers maintain a log documenting the date, amount, nature and payment with respect to all voided and refunded transactions. Management should use this log to reconcile and approve voided or refunded transactions reported on the register transaction summary tape. The log and register transaction summary tape should bear evidence of this review and indicate resolution of questionable items. (CM)	<u>Children's Museum</u> Undetermined	No testing was performed as the facility is closed for construction with an anticipated re-opening date of March 2015.	Undetermined
2011-01 Culture Facilities – Cash Handling (Continued)	7bii. - Management reviews the box office report to ensure balances reconcile to the register transaction summary tape, the Moneris batch total tape, the deposit slip and the cash receipts on hand to be deposited. The box office report should bear evidence of this review and indicate why discrepancies are accepted. (FC)	<u>Fieldcote Museum</u> In Progress	Deposit totals are being reviewed and signed off. However, gift shop sales are being incorrectly recorded as HST on the box office report.	Aug. 2014

PLANNNING AND ECONOMIC DEVELOPMENT (Continued)
2011

Report # & Subject	Recommendation	Current Status By Audit Services	Reason for Outstanding Status	Anticipated Completion Date
	10. - That management build upon the extensive procedures documented for Dundurn Castle to create standard cash handling processes for all museums and ensure compliance. (All Sites)	<u>All</u> In Progress	Standardized procedures have been established and are implemented across the Division. However, not all sites have fully implemented these standardized cash handling processes.	Aug. 2015

PUBLIC HEALTH SERVICES
2005

Report # & Subject	Recommendation	Current Status By Audit Services	Reason for Outstanding Status	Anticipated Completion Date
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.	In Progress	All incoming mail is received by a Supervisor who is independent of the claims processing duties or by two staff with claims processing duties. Returned cheques are not recorded in a register when received. It cannot be confirmed that all funds have been deposited into the City's bank and reflected in the PeopleSoft financial system.	July 2014

2011

Report # & Subject	Recommendation	Current Status By Audit Services	Reason for Outstanding Status	Anticipated Completion Date
2011-06 Infectious Diseases Programs	4. - That management finalize, approve and implement the "Protocol for the Investigation of Infectious Disease Outbreaks" policy and procedure document. This document should be reviewed on a regular basis (annually) and be revised as required.	In Progress	The "Protocol for the Investigation of Infectious Disease Outbreaks" policy and procedure are currently being redeveloped and have not yet been finalized for review and approval.	Sept. 2014

PUBLIC HEALTH SERVICES (Continued)
2012

Report # & Subject	Recommendation	Current Status By Audit Services	Reason for Outstanding Status	Anticipated Completion Date
2012-10 Tobacco Control Program	2.b – That an alternate procedure for use in times of data uploading issues be developed to ensure all inspection information is reported in TIS on a daily basis as specified in the agreement.	Initiated	A draft procedure has been written. PHS is awaiting a response from the Ministry for a request to amend the information upload frequency at which time the procedure will be finalized.	Dec. 2014

PUBLIC WORKS
2007

Report # & Subject	Recommendation	Current Status By Audit Services	Reason for Outstanding Status	Anticipated Completion Date
2007-05 Fleet Management	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.	In Progress	All current long-term vehicle/equipment rentals were discussed with Central Fleet and approval to proceed was given after considering the use of City vehicles. However, the Department renting the vehicles has not retained documentation to support this decision.	Jan. 2015
2007-08 Encroachment Agreements	4.a - That copies of the contracts with various newspaper providers pertaining to the vending box encroachment agreements be newly validated.	In Progress	Staff are currently implementing the Council approved policy to obtain validated agreements / permits.	Mar. 2015
	4.e - That proof of specified insurance coverage as set out by the contract be obtained and filed with corresponding contracts.	Initiated	The proof of specified insurance coverage has not been obtained for bicycle racks and benches. However, management has started to address the need for insurance coverage for newspaper boxes.	Mar. 2015

PUBLIC WORKS (Continued)
2007

Report # & Subject	Recommendation	Current Status By Audit Services	Reason for Outstanding Status	Anticipated Completion Date
2007-09 Administration of Outdoor Boulevard Cafes	3. - That the policies and procedures governing the administration of agreements for Boulevard Cafés, Banners and Permanent Road Closures be formally documented.	In Progress	The policies and procedures for Encroachments were approved in 2011 and included Boulevard Cafes. Policies and procedures for Permanent Road Closures and Banners have been drafted and circulated to City departments for review.	June 2015
	A.2 - That a decision be made on whether agreements for temporary encumbrances are necessary and how they will be enforced.	In Progress	The appropriate treatment of temporary encumbrances is currently under review but a decision will be deferred to the development of the new Streets Use By-Law.	June 2015

2008

Report # & Subject	Recommendation	Current Status By Audit Services	Reason for Outstanding Status	Anticipated Completion Date
2008-06 Fleet Management - Part II (Central Fleet)	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)	Not Completed	The overall cost benefit analysis is being handled by the Service Delivery Review which is pending approval from Council. This overall cost benefit analysis has not been performed yet.	Dec. 2015
			A fuel sites cost benefit analysis is tied to Yards Review which is still in progress. Thus fuel site cost benefit analysis has not been performed yet.	Dec. 2015

PUBLIC WORKS (Continued)
2008

Report # & Subject	Recommendation	Current Status By Audit Services	Reason for Outstanding Status	Anticipated Completion Date
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	The scope was changed by Council from a public engagement on infrastructure project to a public engagement project for all City services (including the City's infrastructure). The project is being led by the Community and Emergency Services Department. Reports regarding project initialization efforts have been presented to Council.	Undetermined

2009

Report # & Subject	Recommendation	Current Status By Audit Services	Reason for Outstanding Status	Anticipated Completion Date
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	Data entry staff continue to convert paper records into electronic format. However, staff turnover and a lack of complete records have delayed progress and the anticipated completion date has been revised accordingly.	Dec. 2017

PUBLIC WORKS (Continued)
2010

Report # & Subject	Recommendation	Current Status By Audit Services	Reason for Outstanding Status	Anticipated Completion Date
2010-06 Tools (Hamilton Water)	4.ciii - That yearly inventory counts be taken to verify that the information in the ledgers is correct.	In Progress	Inventory counts of tools assigned to staff are performed by the different Supervisors. Enough time has not lapsed to verify that the count is taken each year.	May 2015
2010-06 Tools (Forestry)	4.eiii - That yearly inventory counts be taken to verify that the information in the ledgers is correct.	In Progress	Inventory counts are taken twice per year. However, some recently purchased tools were not included in the latest inventory count.	Sept. 2014
2010-06 Tools (Roads)	4.dii - That these ledgers be updated periodically (monthly or quarterly) depending on the turnover of tools in inventory.	Initiated	Tools ledgers for only one of the three districts are updated regularly.	Dec. 2014
	4.diii - That yearly inventory counts be taken to verify that the information in the ledgers is correct.	In Progress	Annual inventory counts cannot be verified in some locations because evidence of such a count is not being retained.	Dec. 2014

PUBLIC WORKS (Continued)
2010

Report # & Subject	Recommendation	Current Status By Audit Services	Reason for Outstanding Status	Anticipated Completion Date
2010-06 Tools (Roads) (Continued)	7.b - That management develop a control to track the issuance and return of the tools whose value exceeds a predetermined limit.	In Progress	Some form of control sheets tracking the use of tools is being used in all three districts. However, the return section of the control sheets used by the Wentworth yard is not utilized. Control sheets for West District do not show the name of the person taking the tools and control forms are only used for some tools in East District.	Sept. 2014
2010-06 Tools (Central)	4.bii - That yearly inventory counts be taken to verify that the information in the ledgers is correct.	In Progress	The initial tool count inventory for tools at all locations was completed on June 9, 2014. Enough time has not lapsed to verify that the count is repeated each year.	June 2015
2010-06 Tools (Facilities)	4.hii - That these ledgers be updated periodically (monthly or quarterly) depending on the turnover of tools in inventory.	In Progress	Evidence was found that the ledger was not updated for all recently purchased tools.	Jan. 2015
	4.hiii - That yearly inventory counts be taken to verify that the information in the ledgers is correct.	Initiated	Documentation is not retained showing that a yearly inventory of tools has been completed. A process for completing such a count had been distributed to staff.	June 2015

PUBLIC WORKS (Continued)
2010

Report # & Subject	Recommendation	Current Status By Audit Services	Reason for Outstanding Status	Anticipated Completion Date
2010-09 Facilities Maintenance and Administrative Controls	1.a - That management in the Recreation Division enforce the requirement for all work requests to be directed to the Facilities Helpdesk. (Rec)	In Progress	Demand work requests are directed to the Facilities Help Desk but Preventative Maintenance (PM) work orders are not directed to the Help Desk and generated through ARCHIBUS.	Dec. 2015
	2.a - That the Superintendent of Preventative Maintenance in Recreation Division develop and document PM programs for all equipment and facilities managed by the Division. (Rec)	In Progress	Management is in the process of updating PM programs for equipment in Recreation buildings.	Dec. 2015
	2.bi - That, once the programs have been developed, they be uploaded into ARCHIBUS and linked to the work order system to enable work orders to be automatically generated at pre-set times. (CF)	In Progress.	Preventative maintenance schedules have been uploaded into ARCHIBUS to enable work orders to be automatically generated at pre-set times for some equipment. Additional schedules are being added as equipment is documented in ARCHIBUS for all facilities. Management estimates that this task is approximately 73% complete.	Dec. 2015

PUBLIC WORKS (Continued)
2010

Report # & Subject	Recommendation	Current Status By Audit Services	Reason for Outstanding Status	Anticipated Completion Date
2010-09 Facilities Maintenance and Administrative Controls (Continued)	2.bii - That, once the programs have been developed, they be uploaded into ARCHIBUS and linked to the work order system to enable work orders to be automatically generated at pre-set times. (Rec)	In Progress	Preventative maintenance schedules have been uploaded into ARCHIBUS to enable work orders to be automatically generated at pre-set times for some equipment. Additional schedules are being added as equipment is documented in ARCHIBUS for all facilities. Management estimates that this task is approximately 45% complete.	Dec. 2015
	2.ci - That management in Corporate Facilities and the Recreation Division work collaboratively to ensure that a corporate standard for the maintenance of the City's facilities is developed and adhered to. (CF)	Initiated	Management has set up a Standards Sub-Committee involving representation from both the former Corporate Facilities and Recreation Divisions. The purpose of the Sub-Committee is to provide standardized procedures applicable to facilities operations for all staff to follow. One meeting has been held.	Dec. 2015
	2.d - That the Superintendent of Preventative Maintenance in the Culture and Recreation Divisions ensure that an electronic copy of HVAC PM programs are obtained from the vendor and integrated into the ARCHIBUS system. (Rec)	In Progress	Work on this project has been delayed due to concerns about data security. Management is working to facilitate data transfer with the company that was awarded the HVAC preventative maintenance work.	Dec. 2015

PUBLIC WORKS (Continued)
2010

Report # & Subject	Recommendation	Current Status By Audit Services	Reason for Outstanding Status	Anticipated Completion Date
2010-09 Facilities Maintenance and Administrative Controls (Continued)	3i. - That a complete inventory of all equipment, furniture and fixtures be developed, uploaded into ARCHIBUS and regularly updated to ensure that it remains current. (CF)	In Progress	Equipment inventories have been completed or partially completed at 133 of 174 buildings. A complete inventory of furniture and fixtures has not been compiled.	Dec. 2017
	3ii. - That a complete inventory of all equipment, furniture and fixtures be developed, uploaded into ARCHIBUS and regularly updated to ensure that it remains current. (Rec)	In Progress	Equipment inventories have been completed or partially completed at 52 of 340 buildings. A complete inventory of furniture and fixtures has not been compiled.	Dec. 2017
	4i. - That management of Corporate Facilities and the Culture & Recreation Divisions work with the Application & Systems Analyst to ensure that the City fully utilizes the ARCHIBUS modules covered by the existing license. (CF)	Initiated	The Condition Assessment module has been fully implemented and two other modules are no longer applicable. There have been no changes to the implementation status of the other modules from the prior year.	Undetermined
	5. - That the General Managers of Public Works and Community Services review the existing governance structures with respect to facility management and ensure that responsibilities are aligned in a way that ensures that: • A corporate standard for the management of the City's facilities is developed and implemented. • Staff and other resources are deployed in a way that ensures the best use of skills and avoids a duplication of roles and responsibilities. (CF)	In Progress	Corporate and Recreation facilities were merged under one section (Facilities Management & Capital Programs) in the Public Works Department. The Corporate Facilities Standards Sub-Committee was created in 2014 and has started to review standards.	Dec. 2015

PUBLIC WORKS (Continued)
2010

Report # & Subject	Recommendation	Current Status By Audit Services	Reason for Outstanding Status	Anticipated Completion Date
2010-09 Facilities Maintenance and Administrative Controls (Continued)	6.bi - That, upon completing the repair work, staff update the ReCAPP system by completing the ReCAPP Facility Update Form. (CF)	Alternative Initiated	The ReCAPP system is no longer being used. New capital management software has been purchased and is in the process of being implemented. This new system may not require the use of a Facility Update Form.	Dec. 2015
	6.bii. - That, upon completing the repair work, staff update the ReCAPP system by completing the ReCAPP Facility Update Form. (Rec)	Alternative Initiated	The ReCAPP system is no longer being used. New capital management software has been purchased and is in the process of being implemented. This new system may not require the use of a Facility Update Form.	Dec. 2015
	7. - That the Manager, Corporate Buildings & Technical Services finalize service level agreements with client departments for implementation by January 2011. Service levels should be mutually agreed upon and each party's responsibilities and the basis of cost allocations should be clearly defined. (CF)	In Progress	Service Level Agreements (SLA) have been negotiated with some client departments. Negotiations for other SLAs are either in progress or have not started.	Dec. 2015

PUBLIC WORKS (Continued)
2010

Report # & Subject	Recommendation	Current Status By Audit Services	Reason for Outstanding Status	Anticipated Completion Date
2010-09 Facilities Maintenance and Administrative Controls (Continued)	8i. - That the Application & Systems Analyst investigate and resolve technical problems being experienced with the PeopleSoft/ARCHIBUS interface to ensure that the ARCHIBUS system captures the cost of all external work completed. (CF)	In Progress	The PeopleSoft/ARCHIBUS interface is working. Technical problems noted with the interface are noted, investigated and corrected. However, the number of outstanding errors continues to be high.	Dec. 2014
	8.a - That the management of Corporate Facilities and the Recreation Division regularly communicate to their staff the requirement to have all facility maintenance work orders processed through the ARCHIBUS system. (Rec)	In Progress	Staff cannot process all maintenance work orders in ARCHIBUS until all preventative maintenance schedules have all been entered into the system. The entering of preventative maintenance schedules into ARCHIBUS is in progress.	Dec. 2015
	8.c - That trades people be regularly reminded to close work orders once the work has been completed and to include the numbers of hours worked.	In Progress	Tradespeople are still not closing work orders once the work has been completed. However, management now has a new tool to help them ensure that work orders do not remain open for extended periods of time without a solid reason.	Dec. 2015
	8.e - That the ARCHIBUS internal work order system be linked to the PeopleSoft Payroll system to ensure that actual hours worked by internal trades people are billed to facilities.	Alternative Initiated	ARCHIBUS is not being linked to the PeopleSoft Payroll System. Management is investigating an alternative to ensure that actual hours worked are billed to appropriate facilities.	Dec. 2017

PUBLIC WORKS (Continued)
2010

Report # & Subject	Recommendation	Current Status By Audit Services	Reason for Outstanding Status	Anticipated Completion Date
2010-09 Facilities Maintenance and Administrative Controls (Continued)	8.f - That the Application & Systems Analyst continues to investigate ways of updating the ARCHIBUS system with the details of actual work carried out.	In Progress	As noted in point 8i above, ARCHIBUS is updated automatically with cost and vendor information for the work performed which is obtained from PeopleSoft. However, the number of outstanding errors in the PeopleSoft/ARCHIBUS interface remains high.	Dec. 2014
	A.1 - That before implementing the activity based costing system, management develop a comprehensive and consistent methodology for allocating costs to user departments. Such methodology must be directly linked to the amount of staff time spent on the individual projects and facilities and must be mutually agreed upon with user departments.	Initiated	Management has started to track the available staff time spent on work requests that have been booked in ARCHIBUS. This is the first step in the development of a methodology to allocating costs to user departments.	Dec. 2016

PUBLIC WORKS (Continued)
2011

Report # & Subject	Recommendation	Current Status By Audit Services	Reason for Outstanding Status	Anticipated Completion Date
2011-11 PRESTO – Financial Controls	1. - That HSR management work with PRESTO to reduce the number of individual transactions made to one withdrawal and one deposit per day. PRESTO should then provide reports detailing the transactions.	Not Completed	The number of individual transactions has not been reduced to one withdrawal and one deposit per day. While addressing this recommendation is desired by Transit, PRESTO ultimately decides on the enhancements and the timing of their implementation and this item is not currently a priority for them.	Undetermined

2012

Report # & Subject	Recommendation	Current Status By Audit Services	Reason for Outstanding Status	Anticipated Completion Date
2012-02 Bridge Maintenance	2b. – That management finalize and approve the procedures for inspections of the bridges at the golf courses, trails and parks. Once issued, these documents should be reviewed on a regular basis (annually) and revised, as required.	Initiated	While bridge inspection procedures for the golf courses have been developed, they have not yet been finalized	Dec. 2015
	3b. – That the Operations and Maintenance section develop and implement a detailed procedure that includes the process for prioritizing the bridge projects requiring maintenance.	Initiated	A system to prioritize bridge maintenance projects has been developed. Management expects to have prioritized the components of all City bridges and have a formal written procedure completed by the summer of 2015.	July 2015