



City Of Greater Sudbury Quarterly Report

Follow Up On The Status Of Action Plans

September 13, 2013

Protocol For Audit Follow Up



Status Of Action Plans - Follow Up Approach	Past Approach	Updated Approach
1. Self-Assessment Follow Up <ul style="list-style-type: none"> A self assessment by program managers. The Auditor General's Office will send a self-assessment form to program managers The Auditor General will allow divisional staff two weeks to provide comments on the self assessment form. Management will be able to describe the progress that they have made in implementing the Auditor General's Office recommendations and their plans going forward. Management's self assessment will then be published unedited and in their entirety. 		5
2. Subsequent Self-Assessment Follow up <ul style="list-style-type: none"> Published within one year of the initial follow-up Subsequent follow-ups will also be unedited self-assessments provided by management. The Auditor General will allow divisional staff two weeks to provide comments on the self assessment form. 		3
3. Progress Assessments <ul style="list-style-type: none"> The Auditor General's Office will assess the organization's self-assessment of all or selected recommendations to confirm their reliability. The results of progress assessments will be published in the next follow up report. 	2	2
4. Progress Audits <ul style="list-style-type: none"> Audit level assurance will be provided as to the validity of the entity's self-assessments. This will involve conducting the entire audit again. Given the resources required to complete this form of assessment, the Office has yet to conduct work of this nature and would do so only when prudent. 		0

Change To Audit Protocol For Audit Follow Up Reporting



Roads - Impact Of Changes To Road

Audit Report Released	August 2012
Original # Of Recommendations	13
# Of Action Plans Now Closed	10
# Of Action Plans On Next Followup	3
Status As Of June 30, 2013	On Track

STATUS OF OVERALL RESPONSE

- Completed
- On Track
- Some Delays
- Not Addressed

Recommendation and Summary Of Progress

(Note: Self assessment conducted by Roads Division)

Self-assessed
Status

Recommendation 1

The City should improve policies, procedures and reports supporting accountability for rejection of inferior products and enhanced follow-up on warranty issues.

Partially
Implemented

Original Management Response

Will formulate reporting procedure for test results. This can be completed within six months (March 2013).

Actions Taken, Results and /or Actions Planned

All test results are repoted to the Chief Field Inspector for distribution. As a result of discussions at the annual contractor's meeting there was subsequent committees comprised of staff and contractors formed to address a variety of issues, including developing a formal procedure for warranty issues.

STATUS OF SPECIFIC ACTION PLAN

- Fully or Substantially Implemented
- Alternative Action Taken
- Partially Implemented
- No Substantial Action Taken

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Q3 2013 – Follow Up On The Status Of Action Plans



Audit Name	Year Report Issued	Completed	On Track	Some Delays	Not Addressed	Management's Self Assessment Of The Status Of Their Action Plans And Accomplishments				
						Total # Of Action Plans	Fully or Substantially Implemented	Alternative Action Taken	Action Plan Partially Implemented	No Substantial Action Taken
Roads Miscellaneous Winter Maintenance	2010		●			32	29	0	3	0
Cash Handling - Transit & Parking	2010	●				44	44	0	0	0
Shift Trading – Transit, Fire , EMS	2011	●				8	8	0	0	0
Accounts Payable	2011		●			19	17	1	1	0
Conventional Transit	2011		●			16	9	6	1	0
Handi Transit	2011	●				6	3	3	0	0
Transit Kiosk	2011		●			21	16	3	2	0
Water Main Emergency Repairs	2012	●				11	10	1	0	0
Roads – Impact Of Changes To Road Design	2012		●			13	10	0	3	0
User Fees – Sports Fields	2012		●			9	3	0	2	4
Total						179	149	14	12	4
% By Status						100%	83%	8%	7%	2%
% Partially, Substantially, or Fully Completed							98%			

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Q3 2013 – Follow Up On The Status Of Action Plans



Value of This Report

- Management Ownership Accountability For Action Plans Demonstrated (and Supplier Accountability)
- 179 Action Plans 98% Partially, Substantially, or Fully Completed
- 98% of Action Plans Partially, Substantially, or Fully Completed
- Management Responses From Transit
- Progress Assessment Reviews For Asphalt Quality and Water Main Repairs

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Q3 2013 – Follow Up On The Status Of Action Plans



Progress Assessment Reviews

- Water Main Repair
 - Crew size reduction from 4 to 3
 - Three sets of trench boxes purchased and in use
 - 80% of excavation repairs in month prior to our review
 - Significant reduction of “collateral damage” / remediation costs due to reduced dimensions of excavation
- Changes To Road Design
 - Message delivered and received. Suppliers’ quality control and City’s quality assurance processes now working as expected.
 - Reviewed asphalt laid in four projects during 2013 construction season
 - 100% of asphalt tests reviewed, passed within OPSS standards
(22 of 22 tests representing approximately 11,000 tonnes of asphalt)