

## TTC AUDIT COMMITTEE REPORT NO.

**MEETING DATE:** July 15, 2010

**SUBJECT:** INTERNAL AUDIT REPORT (JANUARY – JUNE 2010)

### INFORMATION ITEM

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#### RECOMMENDATION

It is recommended that the Audit Committee receive for information the attached Internal Audit Report covering the period January – June 2010.

#### BACKGROUND

Internal Audit provides the Toronto Transit Commission (TTC) with independent evaluations of the efficiency and effectiveness of control systems, and operations. Internal Audit is also required to provide recommendations for improvement.

#### DISCUSSION

The report discusses recent Internal Audit activities. The actual reports for completed audits, including Management responses, are presented as individual agenda items.

On a semi-annual basis outstanding recommendations are reviewed with the appropriate management representative. All actions taken to implement a recommendation are verified through standard audit procedures. Attached is our Internal Audit Report which includes all Implemented and Underway recommendations for the period of January – June 2010.

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July 15, 2010

01-23

Attachments – Internal Audit Reports

# **INTERNAL AUDIT REPORT**

**Covering Period:**

**JANUARY – JUNE 2010**

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## **FOREWORD**

The Internal Audit Department provides the Toronto Transit Commission (TTC) with independent evaluations of risk, and assessments on the effectiveness of control systems, quality of performance, and efficiency of operations.

## **SCOPE OF ACTIVITY**

Audits are planned based on the application of risk factors such as: assets at risk, prior audit results, formality and compliance, handling of cash, impact on operations, information system indicators including the complexity of computerization involved, and the systems' contribution to decision-making. The results are documented in the Audit Plan which is approved annually by the Audit Committee.

The Internal Audit Department carries out the following activities in accordance with its mandate:

- Comprehensive Audits – to assess control systems and the achievement of value-for-money in operational areas.
- Capital Audits – to review project expenditures to verify the accuracy of amounts claimed for work completed.
- Special Requests – to address areas of immediate concern or exposure as identified by Management's request.
- System Development Reviews – to provide input to system development and other technology projects.
- Assist External Auditor – in support of the annual audit of the Financial Statements of the TTC.

This report covers the main audit activities from January - June 2010.

In this period, the following audits were completed and are included as Audit Committee Agenda Items:

### **Comprehensive:**

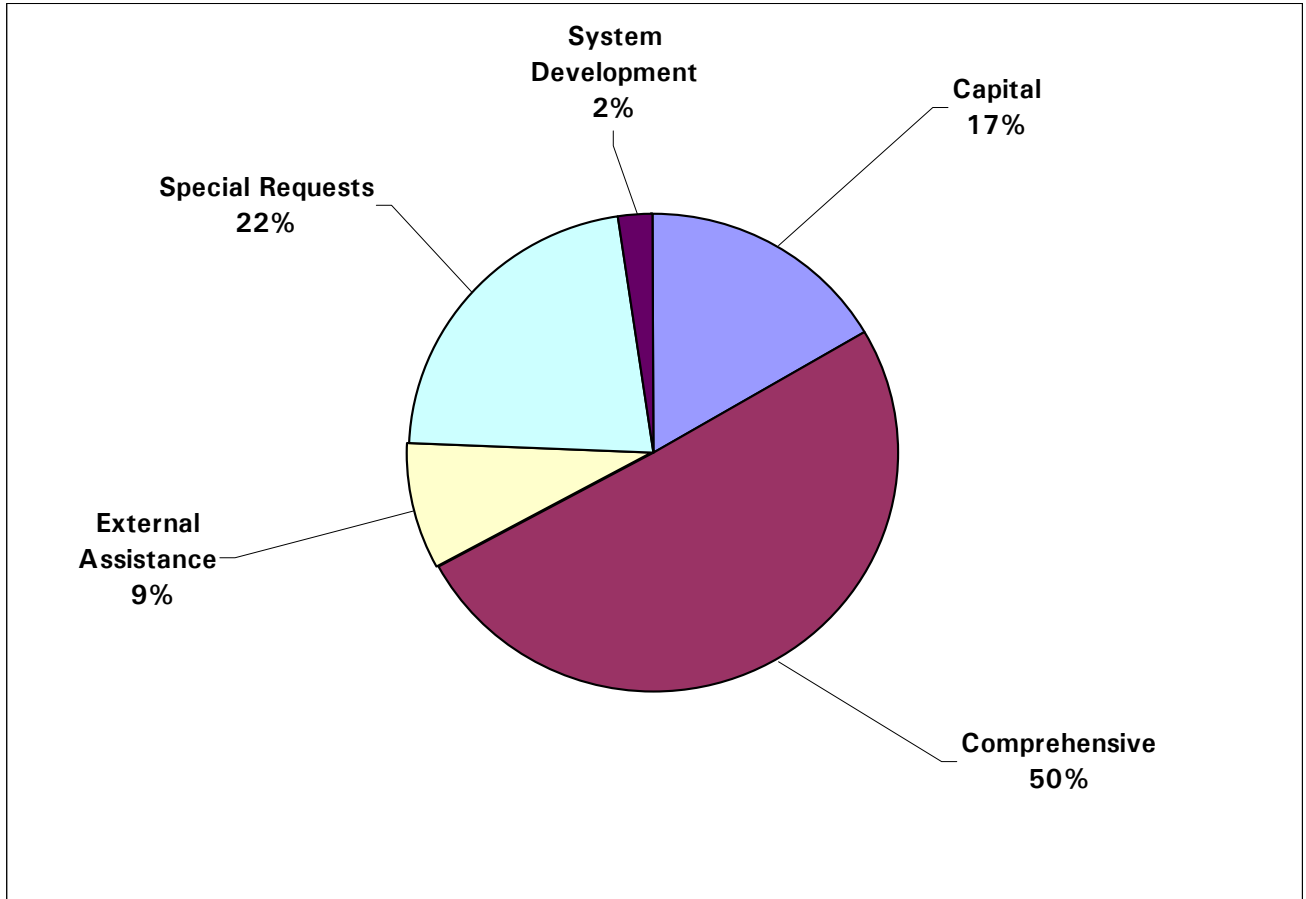
- **Bus Transportation Department**
- **Property Development**
- **Revenue Operations**

### **Capital Audits:**

- **Bus Rapid Transit (BRT) Spadina Subway to York University/Steeles Avenue Project**

## AUDIT RESOURCES

The distribution of audit resources for the current reporting period (January – June 2010) is portrayed in the chart below:



## STATUS OF COMPREHENSIVE AUDITS

|  | PLANNED | IN PROGRESS | COMPLETED |
|--|---------|-------------|-----------|
| <b>2008 AUDIT PLAN</b>   |         |             |           |
| Bus Transportation Department (Carry-Forward to 2009)                        | √       |             | √         |
| <b>2009 AUDIT PLAN</b>   |         |             |           |
| Employment Services/Administration Planning & Development                    | √       |             |           |
| Station/Tunnel/Building Equipment/Plant Maintenance Engineering              | √       |             |           |
| Harvey Shop  | √       | √           |           |
| Station Operations/Collectors  | √       | √           |           |
| S/E/C Department - Signals   | √       | √           |           |
| Duncan Shop/Fleet Management   | √       | √           |           |
| Graphic Services   | √       | √           |           |
| Property Development   | √       |             | √         |
| Revenue Operations   | √       |             | √         |
| <b>2010 AUDIT PLAN</b>   |         |             |           |
| Greenwood Shop/Equipment Control Desk/Maintenance Engineering                | √       | √           |           |
| Finance: Capital Projects  | √       |             |           |
| General Secretary's Office   | √       |             |           |
| ITS - Client Services  | √       |             |           |
| M&P - Controlled Stores  | √       |             |           |
| E&C - Construction   | √       |             |           |
| Safety - Fire Safety & Emergency Planning/Occupational Hygiene & Environment | √       |             |           |
| Rail Transportation - Station Operations/Collectors (Carry-Forward 2011)     | √       |             |           |
| S/E/C - Communications/Communications Engineering (Carry-Forward 2011)       | √       |             |           |
| ITS - Technical Services (Carry-Forward 2011)                                | √       |             |           |
| E&C - Engineering (Carry-Forward 2011)                                       | √       |             |           |

## STATUS OF CAPITAL AUDITS

| CONSTRUCTION/CONSULTANT ASSIGNMENTS                                   | PLANNED | IN PROGRESS | COMPLETED |
|---|---------|-------------|-----------|
| <b>2009 AUDIT PLAN</b>  |         |             |           |
| Roofing Rehabilitation  | √       | √           |           |
| On-Grade Paving Rehabilitation Program                                | √       | √           |           |
| Bus Rapid Transit (BRT) Spadina Subway to York University/Steels Ave. | √       |             | √         |
| Kipling Station Improvements  | √       | √           |           |
| Wilson Complex Modifications  | √       | √           |           |
| Masonry Structure Restoration   | √       | √           |           |
| Sheppard East LRT - Transit City                                      | √       | √           |           |
| Toronto-York Spadina – Management Design & Engineering                | √       | √           |           |
| Toronto-York Spadina - Construction                                   | √       | √           |           |
| <b>2010 AUDIT PLAN</b>  |         |             |           |
| Subway Asbestos Removal   | √       | √           |           |
| Eglinton LRT - Transit City   | √       | √           |           |
| Finch West LRT - Transit City   | √       | √           |           |
| Purchase of 198 Wheel-Trans Buses                                     | √       |             |           |
| Underground Storage Tank Replacements                                 | √       |             |           |
| Union Station New Platform  | √       |             |           |
| YUS ATC Resignalling (Carry-Forward 2011)                             | √       |             |           |
| Birchmount Repair Bay Modifications (Carry-Forward 2011)              | √       |             |           |
| LRT Replacement Maintenance & Storage Facility (Carry-Forward 2011)   | √       |             |           |

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#### **EXECUTIVE:**

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## STATUS OF AUDIT RECOMMENDATIONS

|  |           |
|--|-----------|
| Total number of recommendations "Underway" at the beginning of the period. | <b>34</b> |
| Plus – Number of recommendations "Added" since beginning of period         | + 4       |
| Minus – Number of recommendations verified as "Implemented"                | – 10      |
| Total number of recommendations currently "Underway"                       | <b>28</b> |

The following table summarizes the status of the recommendations by Department:

|  | BEGINNING OF PERIOD | ADDED    | IMPLEMENTED | UNDERWAY  |
|--|---------------------|----------|-------------|-----------|
| <b><i>OPERATIONS BRANCH</i></b>  |                     |          |             |           |
| Special Constable Services Department (November 2005)                            | 1                   |          |             | 1         |
| S/E/C – Communications and Communications Engineering (May 2006)                 | 1                   |          |             | 1         |
| S/E/C – Signals and Signals Engineering (July 2006)                              | 1                   |          |             | 1         |
| Wheel-Trans - Customer Service and Planning (November 2007)                      | 1                   |          |             | 1         |
| Track & Structure (May 2008)   | 10                  |          | 3           | 7         |
| Transit Control/Analysis and Procedures (June 2008)                              | 8                   |          | 1           | 7         |
| S/E/C - Electrical/Electrical Engineering/Practices & Procedures (December 2008) | 1                   |          |             | 1         |
| Support Services (February 2009)   | 2                   |          | 2           | 0         |
| Training (April 2009)  | 4                   |          | 2           | 2         |
| Rail Transportation - YUS/BD/Subway Divisions (October 2009)                     | 0                   | 3        |             | 3         |
| <b><i>EXECUTIVE BRANCH</i></b>   |                     |          |             |           |
| Marketing and Customer Service (October 2007)                                    | 2                   |          |             | 2         |
| M&P - Purchasing & Sales (May 2008)  | 1                   |          | 1           | 0         |
| M&P - Inventory Planning (February 2009)   | 1                   |          | 1           | 0         |
| ITS - Project Management & Quality Assurance (December 2008)                     | 0                   | 1        |             | 1         |
| <b><i>ENGINEERING &amp; CONSTRUCTION BRANCH</i></b>                              |                     |          |             |           |
| Construction Department (May 2007)   | 1                   |          |             | 1         |
| <b>TOTAL</b>   | <b>34</b>           | <b>4</b> | <b>10</b>   | <b>28</b> |

# AUDIT RECOMMENDATIONS

**IMPLEMENTED**

**DEPARTMENT:** TRACK AND STRUCTURE DEPARTMENT  
**REPORT:** TRACK AND STRUCTURE – File No.: 07-30050  
**DATE:** MAY 2008

**DESCRIPTION:** As a result of a recent reorganization, the Track & Structure Department now consists of five sections: Subway & SRT Track, Streetcar Way, Structure Inspection, Structure Maintenance and Maintenance Engineering. Since Streetcar Way was audited less than a year ago, it was not included as part of this Track & Structure department audit.

These sections are responsible for the inspection, maintenance, replacement and rehabilitation of subway, streetcar and SRT track and related structures. They also provide technical engineering and construction co-ordination services, survey support, and property development design reviews, as well as, prepare designs and contract documents for both subway and surface track projects.

| RECOMMENDATIONS   | INITIAL MANAGEMENT RESPONSE/ACTION   | FOLLOW-UP MANAGEMENT RESPONSE  | STATUS             | COMPLETION DATE  |
|---|--|--|--------------------|------------------|
| <p><b>FINDING #2: SUBWAY/SRT TRACK MAINTENANCE</b><br/> Management should review its daily operational risks and business needs to ensure resources are appropriately matched. Areas to consider include:</p> <ul style="list-style-type: none"> <li>- Real-time scheduling tasks should be performed by the Production Planner, and all scheduling decisions and final work delivered should be clearly documented;</li> </ul> | <p>Agree. The Subway/SRT Track Section will review and revise the current staff organizational structure with the aim to provide an increase in senior supervisory positions on the off shifts. Consideration will be given to increasing the staff allocation dedicated to the Production Planning office given its importance to the safe and efficient operation of the TTC night shift. Consideration will also be given to minimize administrative work performed by the Forepersons and Assistant Forepersons and allocate some of the record keeping duties to the Production Planning office.</p> <p>Responsibility: Superintendent – Subway/SRT Track Maintenance</p> | <p>Management has recognized significant gaps in the department’s ability to plan and execute both short and long term work plans. Further, given the increasing workload by all Rail departments conducting work inside the subway system on a daily basis, the need for a system planning role has been identified. Track &amp; Structure management is currently reviewing, within the framework of a departmental OH&amp;S plan, all work planning processes with a view towards improving resource utilization, reducing work conflicts, and better identification of work hazards and controls. As well, system wide planning resources have been requested in the 2010 budget cycle. The planning review and implementation is expected to be completed by January 2010. System wide work planning should be implemented by the end of the second quarter 2010, contingent on receiving approval of requested resource.</p> <p>A review of the administration workload of front-line supervisors will be completed by January 2011.</p> | <p>Implemented</p> | <p>June 2010</p> |



DEPARTMENT: SUBWAY TRANSPORTATION DEPARTMENT  
 REPORT: TRANSIT CONTROL/ANALYSIS AND PROCEDURES – File No.: 08-30042  
 DATE: JUNE 2008

DESCRIPTION: Transit Control and Analysis/Procedures are two sections within the Subway Transportation Department. Transit Control maintains the optimal level of service to minimize delays and provide emergency response and co-ordinates all incidents on subway, surface requiring emergency services. The Analysis/Procedures Section collects operating data and provides management reports. The section also develops and maintains the standard operating procedures and corporate plans for the department.

| RECOMMENDATION  | INITIAL MANAGEMENT RESPONSE/ACTION  | FOLLOW-UP MANAGEMENT RESPONSE   | STATUS             | COMPLETION DATE                                |
|---|---|---|--------------------|--|
| <p><b>FINDING #4: OTHERS</b></p> <p>Management should:</p> <ul style="list-style-type: none"> <li>- Consider automating the process of transferring mainframe information to spreadsheets used for preparing subway service performance reports;</li> </ul> | <p>Discussions were held with the S/E/C Head of Communications Engineering who has committed to automating the front end of the Delay Log System information, the first stage of which was introduced and suggestions sent back by the user group.</p> <p>Responsibility: Superintendent, Analysis &amp; Procedures</p> | <p><u>June 2009</u><br/>The Rail Transportation Department has investigated the issue and is still ongoing. However, we anticipate the issue will be resolved by the end of 2009.</p> <p><u>December 2009</u><br/>Automation of the front end of the delay log system has been completed.</p> | <p>Implemented</p> | <p><del>March 2009</del><br/>December 2009</p> |

**DEPARTMENT:** TRAINING AND SUPPORT SERVICES DEPARTMENT  
**REPORT:** SUPPORT SERVICES – File No.: 08-20020  
**DATE:** FEBRUARY 2009

**DESCRIPTION:** The Support Services Section is responsible for providing centralized support to departments in the Operations Branch. The services include coordinating the preparation and presentation of the budget, preparing of period reports, attendance control, administering and controlling workforce levels, processing payroll data of the facility maintenance departments, administering the supply of Operator’s uniforms and transfer, and co-ordinating employee recognition programs.

| RECOMMENDATIONS  | INITIAL MANAGEMENT RESPONSE/ACTION   | FOLLOW-UP MANAGEMENT RESPONSE  | STATUS             | COMPLETION DATE                                    |
|--|--|--|--------------------|--|
| <p><b>FINDING #3: TRANSFERS</b></p> <p>Management should communicate to all divisions of the need for completing wastage reports on a regular basis and forward a copy to Support Services to allow them to assist in the monitoring of transfer wastage and orders;</p> | <p>Effective with the May 2009 board period requirements we will be e-mailing the divisional Superintendents, with copy to Day General Clerks, requesting that results from specific routes and dates be captured rather than leaving the request open ended, thereby, lightening the workload by not asking for routes that are at minimum order levels.</p> <p>We will meet with the General Superintendents of Bus and Rail Transportation to discuss process and reinforce the commitment</p> <p>Responsibility: Director – Support Services</p> | <p><u>December 2009</u><br/> This should be completed by February 2010. All divisions are now completing the transfer wastage reports (except 3 divisions under Bus Transportation). We are giving them one last chance in January before meeting with the General Superintendent of Bus Transportation.</p> | <p>Implemented</p> | <p><del>October 2009</del><br/> February 2010</p>  |
| <p><b>FINDING #4: EMPLOYEE AWARDS PROGRAMS</b></p> <p>Management should determine if the award dinner is meeting the program’s objective or if a different form of public acknowledgement could be designed to meet the program’s goal.</p>                              | <p>We have recognized the need to review the Safe Worker/Operator recognition program and have included it as part of our 2009 Goals and Objectives. We expect that a decision will be made by the end of 2009 for possible implementation by 2011 (due to the lead time required to coordinate these events).</p>   | <p><u>December 2009</u><br/> There have been several delays in canvassing and obtaining input from both internal and external groups. The target has been extended to February 2010..</p>  | <p>Implemented</p> | <p><del>December 2009</del><br/> February 2010</p> |

**DEPARTMENT:** TRAINING AND SUPPORT SERVICES DEPARTMENT  
**REPORT:** TRAINING – File No.: 08-20030  
**DATE:** APRIL 2009

**DESCRIPTION:** Training is responsible for the delivery of training to ensure employees and contractors are properly trained, qualified, certified and licensed to perform their work.

| RECOMMENDATIONS   | INITIAL MANAGEMENT RESPONSE/ACTION   | FOLLOW-UP MANAGEMENT RESPONSE   | STATUS             | COMPLETION DATE     |
|---|--|---|--------------------|---------------------|
| <p><b>FINDING #1: TRAINING</b><br/> Management should review the effectiveness of the processes and take the necessary steps to ensure that;</p> <ul style="list-style-type: none"> <li>- Required Trainer Quality Evaluations are scheduled and conducted.</li> </ul>  | <p>Three out of four sections now have Chief Instructors who are primarily responsible for providing training for new Instructors and monitoring/supervising Instructors in the field. In those sections quality evaluations are being conducted. In the 2010 budget we will request a Chief Instructor position for the Bus Maintenance Training Section.</p>   | <p><u>December 2009</u><br/> Our proposal to establish a Chief Instructor position for the Bus Maintenance Training Section was not approved in the 2010 budget.</p> <p><u>June 2010</u><br/> A Chief Instructor has been moved for the Bus Transportation Section to the Bus Maintenance Section to assist in the monitoring/supervising Instructors in the field. The Chief Instructor will also be responsible for quality evaluations with Bus Maintenance Section.</p> | <p>Implemented</p> | <p>January 2010</p> |
| <p><b>FINDING #2: PLANNING &amp; PROGRAM DEVELOPMENT</b><br/> Management should modify the current planning process to address the program development backlog for in-house training programs, including the use of off the shelf or third party training material.</p> | <p>Development needs have consistently exceeded available resources. In conjunction with the 2010 budget process we have undertaken a major review of the curriculum to:</p> <ul style="list-style-type: none"> <li>- List all training courses currently being delivered.</li> <li>- Set a target level for documentation for each course.</li> <li>- Report on the status of existing documentation for each course.</li> <li>- Set a development priority level for each course requiring development.</li> <li>- Establish target completion date for high priority development requirements.</li> </ul> | <p><u>December 2009</u><br/> The major curriculum review was completed and documented. (See 2009 Status Report on Course Documentation.) The 2010 Planning &amp; Program Development budget was developed on the basis of the review results. Off-the-shelf training products are regularly reviewed for suitability for inclusion in courses.</p>  | <p>Implemented</p> | <p>January 2010</p> |

**BRANCH:** EXECUTIVE  
**DEPARTMENT:** MATERIALS AND PROCUREMENT  
**REPORT:** PURCHASING AND SALES – File No. 06-60052  
**DATE:** MAY 2008

**DESCRIPTION:** Purchasing and Sales Section is one of five (5) Sections within the Materials and Procurement Department. The Section provides for the procurement of goods and services to enable the day to day running of the Commission.

| RECOMMENDATION   | INITIAL MANAGEMENT RESPONSE/ACTION   | FOLLOW-UP MANAGEMENT RESPONSE  | STATUS             | COMPLETION DATE   |
|--|--|--|--------------------|---|
| <p><b>FINDING #2: ADMINISTRATION</b></p> <p>Management should review the effectiveness of the processes and take the necessary steps to:</p> <ul style="list-style-type: none"> <li>- to ensure Disaster Recovery and Business Continuity plans are reviewed, updated and communicated to staff on a regular basis.</li> </ul> | <p>A Disaster Recovery Plan for the loss of MMS has not been updated since 1999 when it was originally developed for Y2K. The Disaster Recovery and Business Continuity Plan will be updated and an annual review scheduled to ensure plans are updated and communicated to staff on a regular basis.</p> <p>In addition, while informal procedures exist regarding emergency purchases, staff will develop formal procedures and revise the Procurement Policy to reflect this process.</p> | <p><u>June 2009</u><br/> All sections within M&amp;P have updated their disaster recovery plan for the loss of MMS and we are currently working on ensuring all plans (amongst all sections) fit together and this will be completed by July 31, 2009.</p> <p>Staff will develop procedures and revise the Procurement Policy to reflect emergency purchases. The Procurement Policy is scheduled to be updated by the end of 2009 and as part of the update emergency purchases will be included.</p> <p><u>December 2009</u><br/> Disaster recovery plan was completed in October 2009 and Procurement Policy is progressing towards completion.</p> | <p>Implemented</p> | <p><del>March 2009</del><br/> <del>December 2009</del><br/> February 2010</p> |



**DEPARTMENT:** MATERIALS AND PROCUREMENT  
**REPORT:** INVENTORY PLANNING – File No. 07-60051  
**DATE:** FEBRUARY 2009

**DESCRIPTION:** Inventory Planning Section is one of five (5) Sections within the Materials and Procurement Department. The Section manages the inventory of materials to achieve an optimum level taking into account cost and service need of the users. To co-ordinate and manage the identification and disposition of surplus assets.

| RECOMMENDATION  | INITIAL MANAGEMENT RESPONSE/ACTION  | FOLLOW-UP MANAGEMENT RESPONSE   | STATUS             | COMPLETION DATE      |
|---|---|---|--------------------|----------------------|
| <p><b>FINDING #2: ADMINISTRATION</b></p> <p>Management should:</p> <ul style="list-style-type: none"> <li>- ensure that of project material requisition files contain documentation of operating department management approval,</li> <li>- implement regular monitoring and reporting to senior management the value of unused project inventory costs.</li> </ul> | <p>Management acknowledges that appropriate sign-off by Operations Management was not always documented and held in the project file. The Inventory Planning Section now have changed it's authorization procedure to include a verification by the Senior Planner that appropriate user sign off has occurred. As well, the Senior Planner will now be required to conduct periodic audits of capital programs involving inventory material to insure all appropriate sign-offs are on file.</p> <p>Although the status of project material is reported in the year-end financial reporting, management agrees that a separate report should be sent to senior management displaying the current position of project material. This will now be part of the year-end reporting process. In addition, the Project Planning Procedure has been revised to require the originator of the project to be responsible to determine the disposition of the material remaining once a project is considered complete. If the decision is to use the material through on-going maintenance the originator will provide a period of time over which the material will be used.</p> | <p><u>December 2009</u></p> <p>The authorization document to proceed to acquire project material is in place and working.</p> <p>The report to senior management showing the current position of project material will be published in February 2010.</p> | <p>Implemented</p> | <p>February 2010</p> |

# AUDIT RECOMMENDATIONS

**UNDERWAY**

**BRANCH:** OPERATIONS  
**DEPARTMENT:** SPECIAL CONSTABLE SERVICES DEPARTMENT  
**REPORT:** SPECIAL CONSTABLE SERVICES DEPARTMENT – File No.: 05-15010  
**DATE:** NOVEMBER 2005

**DESCRIPTION:** Special Constable Services Department was moved to Operations Branch as a result of a re-organization following the elimination of the Corporate Branch. The Department provides transit, industrial and protective security services, and conducts special investigations to ensure a safe and secure environment for passengers, employees, and protection of Commission’s assets, facilities and vehicles.

| RECOMMENDATIONS  | INITIAL MANAGEMENT RESPONSE/ACTION  | FOLLOW-UP MANAGEMENT RESPONSE   | STATUS          | COMPLETION DATE  |
|--|---|---|-----------------|--|
| <p><b>FINDING # 3: PARKING PROGRAM</b></p> <p>Management should review the parking program to ensure that:</p> <ul style="list-style-type: none"> <li>- The program is enforceable;</li> <li>- The Parking Violation Reporting policy is consistently applied throughout the TTC to all employees;</li> <li>- Property security is increased by having vehicles that do not have authority to park on TTC property tagged by a city parking enforcement officer and or towed.</li> </ul> | <p>Special Constable Services will review the parking program as it applies to controlled access properties (Hillcrest, Davisville, Greenwood, Wilson, McCowan) to address the identified deficiencies and make policy and program change recommendations to Senior Managers.</p> <p>Responsibility: Superintendent - System Security</p> | <p><u>June 2006</u><br/>The review of the Parking Program is ongoing and we now anticipate completion by February 2007.</p> <p><u>June 2007</u><br/>The review of the Parking Program has been completed and a presentation to the Commission has been deferred until later in the year to allow for input from the new Chief General Manager.</p> <p><u>December 2007</u><br/>Special Constable Services initiated a review of the Parking Program for the five TTC controlled access properties. Hillcrest parking issues were prioritized and a plan to have Department Managers audit departmental parking allocations was anticipated. However, Parking Program review activities were postponed pending the completion of the Hillcrest Yard Traffic Audit by the Safety Department to be completed in 2008. Subsequent to the completion of the Safety audit, the General Manager of Operations will determine status of Parking Program review activities.</p> <p><u>June 2008</u><br/>Management has revised the completion date to December 2008.</p> | <p>Underway</p> | <p><del>February 2006</del><br/> <del>February 2007</del><br/> <del>December 2007</del><br/> <del>June 2008</del><br/> <del>December 2008</del><br/> <del>December 2009</del><br/> <del>December 2010</del><br/> <del>June 2010</del><br/> December 2010</p> |

| RECOMMENDATIONS                               | INITIAL<br>MANAGEMENT RESPONSE/ACTION | FOLLOW-UP MANAGEMENT<br>RESPONSE   | STATUS | COMPLETION<br>DATE |
|---|---------------------------------------|--|--------|--------------------|
| <p>FINDING # 3: PARKING PROGRAM (Cont'd.)</p> |                                       | <p><u>December 2008</u><br/>The Hillcrest Yard Traffic Audit was recently completed. Results will be reviewed by Senior Managers. The General Manager of Operations will assign a senior manager to determine departmental parking allocations at Hillcrest and Davisville/Chaplin/1900 basement. Management has revised the completion date to December 2009.</p> <p><u>June 2009</u><br/>Having reviewed our corporate priorities, we have determined that no action will be taken until the Fall of 2010.</p> <p><u>December 2009</u><br/>Special Constable Services is currently working with the Deputy General Manager – Rail to conduct a review of employees who are presently authorized to park at Hillcrest to determine if they meet the current criteria for parking as prescribed in the policy (employees who must regularly use their personal automobile to perform their duties and employees who must be at their workplace prior to the availability of regular transit service). It will be determined as a result of this review if changes to the current allocation of parking and the parking policy will be required. Plans to commence enforcement of the municipal No Parking Bylaw at the Hillcrest Complex to address vehicles parked without an authorization are under review.</p> |        |                    |

| RECOMMENDATIONS                        | INITIAL<br>MANAGEMENT RESPONSE/ACTION | FOLLOW-UP MANAGEMENT<br>RESPONSE   | STATUS | COMPLETION<br>DATE |
|--|---------------------------------------|--|--------|--------------------|
| FINDING # 3: PARKING PROGRAM (Cont'd.) |                                       | <p><u>June 2010</u><br/>Special Constable Services is currently working with the Deputy General Manager – Rail to conduct a review of employees who are presently authorized to park at Hillcrest to determine if they meet the current criteria for parking as prescribed in the policy (employees who must regularly use their personal automobile to perform their duties and employees who must be at their workplace prior to the availability of regular transit service). It will be determined as a result of this review if changes to the current allocation of parking and the parking policy will be required.</p> <p>Plans to commence enforcement of the municipal No Parking Bylaw at the Hillcrest Complex to address vehicles parked without an authorization were implemented in March 2010.</p> |        |                    |

**DEPARTMENT:** SIGNALS/ELECTRICAL/COMMUNICATIONS DEPARTMENT  
**REPORT:** COMMUNICATIONS AND COMMUNICATIONS ENGINEERING – File No.: 05-30031  
**DATE:** MAY 2006

**DESCRIPTION:** The Communications section is one of the four sections within the S/E/C department. The section is responsible for the maintenance and installation of all communication equipment and systems. The section is also responsible for installing and maintaining the cable infrastructure and participates in capital project implementation.

Communications Engineering is one of four areas within the S/E/C Engineering. The area is responsible for the delivery of designs, testing of equipment and circuits. The section also provides supervision/engineering support during installation of all communication systems and equipment.

| RECOMMENDATIONS   | INITIAL MANAGEMENT RESPONSE/ACTION   | FOLLOW-UP MANAGEMENT RESPONSE   | STATUS          | COMPLETION DATE   |
|---|--|---|-----------------|---|
| <p><b>FINDING #1: MAINTENANCE</b></p> <p>Management should ensure that maintenance is performed as per schedule, in accordance with the SOP and that all required documentation/forms are completed and retained.</p> | <p>The General Superintendent has assigned a Business Systems Analyst to review all MAXIMO scheduled and unscheduled maintenance procedures. A section by section review within the SEC Department commenced in late 2005.</p> <p>All future implementations of the MAXIMO work flow maintenance processes will be in accordance with the section Standard Operating Procedures. All required documentation and forms will be completed and retained electronically in MAXIMO and manually filed in hard copy format.</p> <p>The MAXIMO implementation schedule for the Communications section is as follows: Radio Shop full implementation year 2006; CIS equipment confirmation and workflow design year 2006, CIS full implementation year 2007; CABLE Shop, SCADA and Transit Control Technicians full implementation year 2007.</p> <p>The cable inspections referenced in this audit are for cable systems associated with tunnel PAX phones and dry drop phones for the fire department. There were insufficient resources available in 2005 to perform these inspections. We will inspect the cable infrastructure by December 2006.</p> <p>Responsibility: Superintendent – Communications</p> | <p><u>December 2006</u><br/> MAXIMO has been revised for the Radio Shop group. Wayside and Subway Security are presently testing MAXIMO with implementation into MAXIMO Production scheduled for January 2007.</p> <p>The Antenna and Hillcrest groups are scheduled for testing in January 2007 and full implementation with 1<sup>st</sup> quarter of 2007.</p> <p>Initial MAXIMO discussions have begun for the CIS group. The compilation of CIS Business Requirement Specifications will commence in February 2007 with full CIS implementation expected by year-end 2007.</p> <p>MAXIMO requirements for Cable Shop, SCADA, and Transit Control Technicians will be reviewed no later than 3<sup>rd</sup> quarter 2007.</p> | <p>Underway</p> | <p><del>December 2007</del><br/> <del>September 2008</del><br/> <del>December 2008</del><br/> <del>December 2009</del><br/> <del>December 2010</del><br/> December 2011</p> |

| RECOMMENDATIONS                          | INITIAL MANAGEMENT RESPONSE/ACTION | FOLLOW-UP MANAGEMENT RESPONSE  | STATUS | COMPLETION DATE |
|--|------------------------------------|--|--------|-----------------|
| <p>FINDING #1: MAINTENANCE (Cont'd.)</p> |                                    | <p><u>June 2007</u><br/> Wayside and Subway Security implementation of MAXIMO is complete and placed into production January 2007.</p> <p>MAXIMO for the Antenna and Hillcrest groups in the Radio Shop is underway with implementation planned for year-end 2007.</p> <p>MAXIMO implementation for CIS group is initiated, business requirements have been identified and full implementation is expected by year-end 2007.</p> <p>MAXIMO for Cable Shop, SCADA and Transit Control Technicians is in production, a review is still planned for 3<sup>rd</sup> quarter.</p> <p><u>December 2007</u><br/> Subway Security group to review and if necessary revise camera equipment records for enhanced maintenance reporting. MAXIMO modifications to be completed by June 2008.</p> <p>Antenna group to review and if necessary review Station Line Amplifier (SLA) and Intermediate Line Amplifier (ILA) equipment records by March 2008. Hillcrest group creating Bench Work procedures. Modifications to MAXIMO to create and track maintenance to be completed by April 2008.</p> <p>CIS is reviewing TRUMP and CIS vehicle equipment records and user screens. All other MAXIMO work for the remaining CIS equipment will be implemented on a priority basis. Full implementation scheduled by September 2008.</p> <p>MAXIMO for Cable Shop, SCADA and Transit Control Technicians is progressing. Full implementation scheduled for 2<sup>nd</sup> quarter 2008.</p> <p><u>June 2008</u><br/> Progressing to completion with revised completion date of December 2008.</p> |        |                 |

| RECOMMENDATIONS                          | INITIAL<br>MANAGEMENT RESPONSE/ACTION | FOLLOW-UP MANAGEMENT<br>RESPONSE   | STATUS | COMPLETION<br>DATE |
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| <p>FINDING #1: MAINTENANCE (Cont'd.)</p> |                                       | <p><u>December 2008</u></p> <ul style="list-style-type: none"> <li>- Hillcrest Group – Complete with all history Paging, Portable and Mobile Equipment to be moved into MAXIMO, from FoxPro, by Year End 2008</li> <li>- Wayside Group – Complete</li> <li>- Subway Security Group – Complete with Camera Equipment to be reviewed by June 2009</li> <li>- Antenna Group – Complete with PM and Work Methods to be reviewed with implementation date June 2009</li> <li>- Transit Control Technicians – Complete with scheduled review to commence January 2009</li> <li>- CIS Group – Review scheduled January 2009 with implementation June 2009</li> <li>- SCADA Group and Cable Group – Review scheduled June 2009 with completion date December 2009</li> </ul> <p><u>June 2009</u><br/>In Progress.</p> <p><u>December 2009</u><br/>Five areas remain to be completed.</p> <p><u>June 2010</u><br/>Three areas remain to be completed.</p> |        |                    |



**DEPARTMENT:** SIGNALS/ELECTRICAL/COMMUNICATIONS DEPARTMENT  
**REPORT:** SIGNALS AND SIGNALS ENGINEERING – File No.: 06-30033  
**DATE:** JULY 2006

**DESCRIPTION:** The Signals section is one of four sections within the S/E/C Department. The section is responsible for the maintenance, repair and overhaul of signals and relays for the entire subway system. Signals Engineering is one of five areas within the S/E/C Engineering section. The area is responsible for providing technical and engineering support to signals maintenance staff. Both sections are responsible for the replacement of signals, relays and systems as part of the Capital Program.

| RECOMMENDATIONS   | INITIAL MANAGEMENT RESPONSE/ACTION  | FOLLOW-UP MANAGEMENT RESPONSE   | STATUS          | COMPLETION DATE  |
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| <p><b>FINDING #1: TRACK LEVEL ACCESS</b><br/> Management should:</p> <ul style="list-style-type: none"> <li>- Investigate discrepancies noted between various departmental track level access records to determine whether records are incomplete or incidents of unauthorized access have actually occurred; and</li> <li>- Review procedures and processes surrounding the granting/denying of track level access by Transit Control, and the impact thereof, on maintenance windows, patron/employee safety and productivity.</li> </ul> | <p>Signals management will review the feasibility of having the MAXIMO work order process automatically generate the Signal Maintainers log. This will result in one set of Signals records having to be reconciled against one set of Transit Control records</p> <p>Status: This review will be complete by September 30, 2006. If implementation is feasible it will be complete by March 31, 2007</p> <p>Responsibility: General Superintendent SEC</p> | <p><u>June 2007</u><br/> The feasibility of automatic generation of the Signal Maintainers log has been assessed. While feasible, related labour issues were identified that still need to be addressed.</p> <p><u>December 2007</u><br/> Labour issues will not be addressed until June 2008.</p> <p><u>June 2008</u><br/> Staffing issues have delayed progress.</p> <p><u>December 2008</u><br/> Staffing issues have delayed progress.</p> <p><u>June 2009</u><br/> Automatic generation of Signal Maintainer Logs for the Sheppard Line was test piloted in 2008. Technical difficulties and resource issues rendered the test unsuccessful. Management intends to pilot implement the use of hand-held devices on the Sheppard Line in 2010. If successful, devices will be rolled out in 2011.</p> <p><u>December 2009</u><br/> Progressing as planned.</p> <p><u>June 2010</u><br/> Progressing as planned.</p> | <p>Underway</p> | <p><del>March 31, 2007</del><br/> <del>December 2007</del><br/> <del>June 2008</del><br/> <del>December 2008</del><br/> <del>June 2009</del><br/> September 2011</p> |

**DEPARTMENT:** WHEEL-TRANS OPERATIONS  
**REPORT:** WHEEL-TRANS – CUSTOMER SERVICE AND PLANNING – File No.: 07-20041  
**DATE:** NOVEMBER 2007

**DESCRIPTION:** Wheel-Trans Operations provides a specialized public transportation service within the City of Toronto for people with physical functional mobility limitations. Customer Service and Planning is one of three sections within this Department, and is responsible for planning and scheduling dispatch and reservations, and community service liaison.

| RECOMMENDATIONS  | INITIAL MANAGEMENT RESPONSE/ACTION  | FOLLOW-UP MANAGEMENT RESPONSE   | STATUS          | COMPLETION DATE  |
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| <p><b>FINDING #3: OPERATIONAL CONTROL REPORTING</b><br/> Management needs to ensure:</p> <ul style="list-style-type: none"> <li>- The timely implementation of technology and system upgrades to minimize persistent inefficiencies and improve functionality; and</li> <li>- Operational performance measures are meaningful, achievable, and accurately reported in an efficient and timely manner.</li> </ul> | <p>Agree that the delay in the Wheel-Trans Information System State of Good Repair (WTIS SOGR) Project has a significant impact on delivering an efficient service while accommodating the 6-7% increase in demand. Interim actions have been implemented, including: vehicle productivity targets were adjusted; technology options for trip booking, cancellations and confirmations were being promoted to customers; manual daily scheduling processes were developed and put in place to obtain the most efficient trip schedules; and operational reports by shift supervisors were reviewed and modified to improve efficiency.</p> <p>The following longer term actions are underway:</p> <ul style="list-style-type: none"> <li>- In coordination with the Information Technology Services Department we are committing on completing the WTIS SOGR upgrade by December 2008.</li> <li>- To improve On-Time Service, the WTIS upgrade includes replacing the scheduling system with an updated travel time distance matrix with the ability update and re-schedule with timely and with more accurate parameters. Further, AVL and GPS capabilities are being actively pursued with a pilot program in 2008 with full implementation and integration scheduled for end 2009.</li> <li>- Daily Scheduling Procedures related to the new scheduling system and AVL/GPS data that will be available will be prepared.</li> <li>- Enhanced management reports will be available with the WTIS SOGR project using the additional data available.</li> <li>- Touch Tone booking system and telephone management system with one number will be implemented as part of telecommunications upgrade.</li> </ul> | <p><u>December 2008</u><br/> A review of this project has determined that the requirements could not be achieved without upgrading the current scheduling system. Wheel-Trans and IT are currently working with the supplier to upgrade the scheduling system over the next 2 years.</p> <p>All projects associated with WTIS State of Good Repair have been placed on hold and will be incorporated in the upgrade of the system.</p> <p><u>June 2009</u><br/> In progress.</p> <p><u>December 2009</u><br/> Working with the TTC Information Technology Services Department, an electronic Dispatch Communications system was implemented in March 2008, and the internet trip booking, cancellations, and online customer communications system was put in place on June 1, 2008. The WTIS SOGR project to replace the scheduling system will now be completed by the end of 2010 and the AVL/GPS system will be partially implemented in 2010 and fully integrated with the scheduling system by the end of 2011.</p> | <p>Underway</p> | <p><del>December 2008</del><br/> <del>December 2010</del><br/> December 2011</p> |



| RECOMMENDATIONS  | INITIAL MANAGEMENT RESPONSE/ACTION   | FOLLOW-UP MANAGEMENT RESPONSE   | STATUS  | COMPLETION DATE   |
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| <p><b>FINDING #2: SUBWAY/SRT TRACK MAINTENANCE</b></p> <p>Management should review its daily operational risks and business needs to ensure resources are appropriately matched. Areas to consider include:</p> <ul style="list-style-type: none"> <li>- Staff supervision should be active and visible across all shifts;</li> <li>- The administrative workload of front-line supervisors needs to be reviewed.</li> </ul>                                       | <p>Agree. The Subway/SRT Track Section will review and revise the current staff organizational structure with the aim to provide an increase in senior supervisory positions on the off shifts. Consideration will be given to increasing the staff allocation dedicated to the Production Planning office given its importance to the safe and efficient operation of the TTC night shift. Consideration will also be given to minimize administrative work performed by the Forepersons and Assistant Forepersons and allocate some of the record keeping duties to the Production Planning office.</p> <p>Responsibility: Superintendent – Subway/SRT Track Maintenance</p> | <p><u>June 2010</u><br/>Staff have been approved through budget, but given other urgent staffing needs no hires to date. End date has been revised to June 2011.</p> <p><u>June 2009</u><br/>A reorganization of the cost-centre is currently underway. The reorganization is aimed at a strengthening of functional responsibilities and establishment of single point accountability for departmental objectives. Supervisory staff and hourly resources will be aligned by task and specific business activities, to ensure specialization and ownership over key outcomes. Senior staff will be provided with written expectations of business outcomes leaving them to choose the management and supervisory model they feel best suited to achieve stated expectations.</p> <p><u>December 2009</u><br/>Progressing as planned.</p> <p><u>June 2010</u><br/>Progressing as planned.</p> <p><u>December 2009</u><br/>Progressing as planned.</p> <p><u>June 2010</u><br/>Progressing as planned.</p> | <p>Underway</p> <p>Underway</p> <p>Underway</p> | <p><del>January 2010</del><br/>January 2011</p> <p>January 2011</p> |
| <p><b>FINDING #3: SUBWAY/SRT TRACK INSPECTIONS</b></p> <p>Management needs to streamline and improve the coordination and monitoring of its track inspection program to ensure it is comprehensive and consistently adhered to by all staff. This should involve:</p> <ul style="list-style-type: none"> <li>- Reviewing all track inspection operating procedures and clarifying frequency standards, responsibilities and documentation requirements;</li> </ul> | <p>Agree. To address this concern the Subway/SRT Track Section has a created and filled a new position - Track QA Engineer. The QA Engineer will review all existing standards, safety recommendations, directives, etc. to identify required safety and quality inspections together with a responsibility matrix. Once identified, inspection schedules will be created for distribution, complete with copies of the appropriate standardized inspection documentation.</p> <p>Responsibility: Superintendent – Subway/SRT Track Maintenance</p>  | <p><u>June 2009</u><br/>A review of all current inspection procedures is underway by staff to ensure compliance and due diligence, however, a peer review involving experts from academia coupled with industry leading transit experts has also been commissioned. This review will include all facets of inspection and testing including the department’s non-destructive testing regimen, track geometry, and clearance surveys. Our</p>  | <p>Underway</p> <p>Underway</p>                 | <p>December 2010</p>  |

| RECOMMENDATIONS   | INITIAL MANAGEMENT RESPONSE/ACTION   | FOLLOW-UP MANAGEMENT RESPONSE  | STATUS                          | COMPLETION DATE  |
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| <p>- Management needs to review its use and control over MOWIS defect information. In particular, the status of security upgrades and implementation of other functionalities needs to be confirmed and completed. A formal operating procedure describing the departmental quality assurance process should be developed, including the planning process, review methodologies, documentation requirements, and progress reporting.</p> <p><b>FINDING #4: STRUCTURE MAINTENANCE</b></p> <p>Management should improve communication processes within the Department, as well as, with other critical parties, and strengthen controls over the planning, scheduling and monitoring of Structure Maintenance activities. Specifically:</p> <p>- Operational control measures should be reviewed to ensure they are accurately calculated and meaningful.</p> | <p>Agree. A MOWIS upgrade project is on-going. The software supplier is working under the direction of the Senior Track Inspection Engineer. Some aspects of the work have taken longer than expected but some segments of the updated program are expected by fall, with full roll-out of the upgraded program before the end of 2008.</p> <p>Responsibility: Superintendent – Subway/SRT Track Maintenance</p> | <p>objective is to set the standard for the North American transit industry with a renewed focus and implementation of state-of the art technology in the areas of rail testing and condition based assessments.</p> <p>Given the above peer review, staff will solicit the advice of the peer experts on the continuing use and role of MOWIS within the T&amp;S Department. Much of the rudimentary functionality of a basic Computerized Maintenance Management System does not exist within the current MOWIS architecture, limiting staffs use of this critical tool. Given these seemingly chronic shortfalls of both the software and its supplier, a decision must be made on its future use.</p> <p><u>December 2009</u><br/>Progressing as planned</p> <p><u>June 2010</u><br/>A consultant has been hired to review track standards as the starting point. Early work suggest significant work needs to be completed prior to advancing to other stages of the peer review.</p> <p>While the cited metrics are an important part of the management control process, the underlying project management and implementation processes must be reviewed to ensure alignment with departmental and corporate objectives. A review of these processes including the cited metrics will be conducted prior to the next budget cycle.</p> <p><u>December 2009</u><br/>Progressing as planned.</p> <p><u>June 2010</u><br/>Several important processes continue to be reviewed. Current work focuses on process with E&amp;C Branch. Work under this item was significantly underestimated in terms of time and effort required.</p> | <p>Underway</p> <p>Underway</p> | <p><del>December 2010</del><br/>January 2012</p> <p><del>January 2010</del><br/>January 2011</p> |

**DEPARTMENT:** SUBWAY TRANSPORTATION DEPARTMENT  
**REPORT:** TRANSIT CONTROL/ANALYSIS AND PROCEDURES – File No.: 08-30042  
**DATE:** JUNE 2008

**DESCRIPTION:** Transit Control and Analysis/Procedures are two sections within the Subway Transportation Department. Transit Control maintains the optimal level of service to minimize delays and provide emergency response and co-ordinates all incidents on subway, surface requiring emergency services. The Analysis/Procedures Section collects operating data and provides management reports. The section also develops and maintains the standard operating procedures and corporate plans for the department.

| RECOMMENDATION  | INITIAL MANAGEMENT RESPONSE/ACTION   | FOLLOW-UP MANAGEMENT RESPONSE   | STATUS          | COMPLETION DATE  |
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| <p><b>PREVIOUS AUDIT ISSUE: MANAGEMENT INFORMATION SYSTEMS</b></p> <p>Management should ensure that:</p> <ul style="list-style-type: none"> <li>- Service Level Agreements are established with S/E/C;</li> <li>- S/E/C confirms sufficient resources are available and that maintenance and support agreements will be in place when the warranty period expires;</li> <li>- Security over remote access is established by implementing dial back security;</li> <li>- The required network and communication monitoring tools are identified and implemented;</li> <li>- Disaster Recovery and Business Continuity Plans are developed and implemented; and</li> <li>- Consider the creation of a self contained off site backup facility.</li> </ul> | <p>SEC had developed a Maintenance Resource Plan as early as June 2001. This plan established the basis for the maintenance support for the Transit Control Centre (TCC). The plan includes hardware and software maintenance for Central Signal System (CSS), Supervisory Control and Data Administration (SCADA) and Integrated Communication System (ICS). This plan resulted with TCC staffing presently applied for maintenance. The plan requires review, update and an expansion to include maintenance planning following warranty expiry. Then it can be presented to Transportation for agreement. Interim procedures to be provided November 30, 2005. Procedures to be finalized by December 2006 prior to the warranty expiration in June 2007.</p> <p>Responsibility: General Superintendent – Rail Transportation, Superintendent – Transit Control, and General Superintendent - S/E/C</p> | <p><u>June 2006</u><br/>All areas remain underway and are on target for completion as originally indicated.</p> <p><u>June 2007</u><br/>A Maintenance Plan is developed. The resources needed have been identified and interim procedures are in place. The plan and procedures will be formalized into an SOP once an industry standard is identified and adopted.</p> <p><u>December 2007</u><br/>The completion date has been extended to December 2008.</p> <p><u>June 2008</u><br/>- Maintenance Plan SOP is in progress.<br/>- CSS service agreement is in place.<br/>- SCADA service agreement will be in place before year-end.<br/>- Waiting for Backup Control Centre.</p> <p><u>December 2008</u><br/>Maintenance Plan SOP is in progress. Waiting for Backup Control Centre.</p> <p><u>June 2009</u><br/>No change in status.</p> | <p>Underway</p> | <p><del>December 2006</del><br/><del>June 2007</del><br/><del>December 2007</del><br/><del>December 2008</del><br/>December 2010</p> |

| RECOMMENDATION   | INITIAL MANAGEMENT RESPONSE/ACTION  | FOLLOW-UP MANAGEMENT RESPONSE   | STATUS          | COMPLETION DATE   |
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| <p><b>PREVIOUS AUDIT ISSUE: MANAGEMENT INFORMATION SYSTEMS (Cont'd.)</b></p> | <p>The TCC LANs have network and communications monitoring tools in place such as HP Openview, Router diagnostics, Simple Network Management Protocol (SNMP) monitoring, Alchemy. Additionally, SEC is improving these tools as the systems continue evolving and this will continue during the life of the TCC due to product upgrades, obsolescence and replaced software/hardware. Two (2) Fluke Network Analyzers were procured and training was provided for the Technicians who will use them. Interim procedures to be provided November 30, 2005.</p> <p>Procedures to be finalized by December 2006 prior to the warranty expiration in June 2007.</p> <p>Responsibility: General Superintendent – Rail Transportation, Superintendent – Transit Control, and General Superintendent - S/E/C</p> | <p><u>January 2010</u><br/>New network equipment and basic monitoring tools were installed in 2009. More advanced monitoring tools to be installed and configured in 2010.</p> <p><u>June 2007</u><br/>The Network Maintenance Plan and Procedures are in place; however they have not been documented into an SOP.</p> <p><u>December 2007</u><br/>The completion date has been extended to December 2008.</p> <p><u>June 2008</u><br/>Progressing towards completion.</p> <p><u>December 2008</u><br/>Network re-design and equipment replacement is in progress. Existing equipment is no longer supported by manufacturer.</p> <p><u>June 2009</u><br/>No change in status.</p> <p><u>December 2009</u><br/>No change in status.</p> <p><u>January 2010</u><br/>New network equipment and basic monitoring tools were installed in 2009. More advanced monitoring tools to be installed and configured in 2010.</p> | <p>Underway</p> | <p><del>December 2006</del><br/><del>June 2007</del><br/><del>December 2007</del><br/><del>December 2008</del><br/><del>December 2009</del><br/>December 2010</p> |

| RECOMMENDATION   | INITIAL MANAGEMENT RESPONSE/ACTION  | FOLLOW-UP MANAGEMENT RESPONSE  | STATUS                          | COMPLETION DATE  |
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| <p><b>FINDING #2: SECURITY – TRANSIT CONTROL CENTRE</b></p> <p>Management should implement procedures and controls to ensure that access to the Transit Control Centre premises is appropriately restricted and the security pod is manned by employees trained and able to handle security-related incidents.</p> | <p>Although not formally documented, SEC has provided for disaster recovery by means of back-up software and spare hardware, and having existing procedures from TCC contractors and/or subcontractors for reloading, installing and checking it. It remains for these procedures to be documented as Standard Operating Procedures and this is planned to be completed before warranty expiry. Interim procedures to be provided November 30, 2005. Procedures to be finalized by December 2006 prior to the warranty expiration in June 2007.</p> <p>Responsibility: General Superintendent – Rail Transportation, Superintendent – Transit Control, and General Superintendent - S/E/C</p> | <p><u>June 2007</u><br/>An interim back-up site has been identified for St. George Station.</p> <p>The final Disaster Recovery Procedure will not be in a proper format until a proper back-up control centre is constructed.</p> <p><u>December 2007</u><br/>There is budget approval at this time. Process to start in 2008.</p> <p><u>June 2008</u><br/>The Transit Backup Control Centre project begins in 2009 but is not planned to be operational until 2011.</p> <p><u>December 2008</u><br/>No change in status.</p> <p><u>June 2009</u><br/>No change in status.</p> <p><u>December 2010</u><br/>No change in status.</p> <p><u>June 2010</u><br/>No change in status.</p> | <p>Underway</p> <p>Underway</p> | <p><del>December 2006</del><br/><del>June 2007</del><br/><del>December 2007</del><br/><del>July 2008</del><br/>December 2011</p> <p><del>December 2009</del><br/>December 2011</p> |
|  | <p>Transitional Work Program employees have been advised to announce visitors to the respective Gunn Building employee being visited. They have also been reminded of a notice posted in the Pod stating that the door must be closed at all times. They are not considered Security Personnel but rather reception personnel who check identification and provide information and directions.</p> <p>A work order has been issued by the S/E/C Department on October 1, 2008 to have a Mag Lock and electronic fob pad installed on the door to the first floor from the north stairwell.</p> <p>Responsibility: Superintendent, Analysis &amp; Procedures</p>                               | <p><u>June 2009</u><br/>The Rail Transportation Department has investigated the issue and is still ongoing. However, we anticipate the issue will be resolved by the end of 2009.</p> <p><u>December 2009</u><br/>Transit Control Protocol PD-11 has been completed. Procedures are in place with all TWP workers in the security "POD".</p> <p><u>December 2009</u><br/>Dave Trimble advises that the security system is in need of an update prior to the "MAG" lock installation on the north stairwell door. He anticipates closure on this issue by June of 2010.</p>   | <p>Underway</p>                 | <p><del>March 2009</del><br/><del>December 2009</del><br/><del>June 2010</del><br/>December 2010</p>   |



| RECOMMENDATION  | INITIAL MANAGEMENT RESPONSE/ACTION  | FOLLOW-UP MANAGEMENT RESPONSE  | STATUS                          | COMPLETION DATE   |
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| <p><b>FINDING #3: COMPUTER SOFTWARE AND HARDWARE SECURITY</b></p> <p>Management should establish appropriate system access procedures that include password rules requiring minimum length, construction, complexity and periodic changes.</p> <p><b>FINDING #4: OTHERS</b></p> <p>Management should:</p> <ul style="list-style-type: none"> <li>- Ensure that the requirement for ICS sign-in by subway operators and guards are complied with.</li> </ul> | <p>Transit Control discussed with S/E/C systems employees as to the feasibility of this recommendation for both sides. S/E/C is in the process of implementing the recommendation.</p> <p>Responsibility: Superintendent, Transit Control and Head – Special Projects, Signal &amp; Train Control Engineering</p> <p>Investigation into the Log-On procedures for the Operators by Management and Union has revealed a few inconsistencies that required discussions with S/E/C. Discussions have taken place with Rail Transportation, Rail Cars and Shops and S/E/C and it was decided to wait for arrival of the new trains where a new process and procedure will be developed to address this issue.</p> <p>Responsibility: General Superintendent – Rail Transportation, Superintendent – Transit Control, Divisional Superintendents and S/E/C</p> | <p><u>June 2010</u><br/>Dave Trimble advises that Installation is behind schedule due to resource limitations. A work order through M&amp;P has been completed and out for tender; anticipate having the system upgraded by December of 2010</p> <p><u>December 2009</u><br/>Rules to inform minimum password links have been implemented on the SCADA, the CSS and ICS systems. A policy on password administration is being developed.</p> <p><u>June 2010</u><br/>Progressing towards completion.</p> <p><u>June 2010</u><br/>Progressing towards completion.</p> | <p>Underway</p> <p>Underway</p> | <p><del>September 2009</del><br/>December 2010</p> <p>December 2010</p> |

**DEPARTMENT:** SIGNALS/ELECTRICAL/COMMUNICATIONS  
**REPORT:** ELECTRICAL/ELECTRICAL ENGINEERING/PRACTICE & PROCEDURES – File No.: 07-30032  
**DATE:** DECEMBER 2008

**DESCRIPTION:** The audit covered the electrical activities within the Signals/Electrical/Communications Department (SEC), particularly four of the department’s seven major responsibility areas namely: Traction Power, Wiring & Service, Electrical Engineering and Practices & Procedures. These sections collectively are responsible for the maintenance, repair and Capital Works Program of the electrical systems for the subway trains and streetcars and the subway and surface facilities.

| RECOMMENDATION   | INITIAL MANAGEMENT RESPONSE/ACTION   | FOLLOW-UP MANAGEMENT RESPONSE  | STATUS          | COMPLETION DATE                                   |
|--|--|--|-----------------|---|
| <p><b>FINDING #1: PREVIOUS AUDIT ISSUES</b></p> <p>Management should ensure that:</p> <ul style="list-style-type: none"> <li>- effective controls are implemented for the monitoring of Fuel Credit Card purchases.</li> </ul> | <p>Employees will be reminded at monthly safety meetings about the importance of ensuring all required information is provided on the fuel receipts. Staff will monitor receipts and, as part of the reconciliation process, will notify the appropriate foreperson or supervisor of any noncompliance for follow-up.</p> <p>To improve controls over fuel purchases by Wiring and Service, a request will be made to the Materials and Procurement Department (M&amp;P) to extend the FOB system used in Overhead to them. This should result in better monitoring of purchases and accuracy in recording in required information.</p> <p>Responsibility: Superintendent, Electrical – Wiring &amp; Service and Superintendent, Electrical – Traction Power</p> | <p><u>December 2009</u><br/>M&amp;P has been requested to expand the FOB system to Surface and Subway Wiring. They are investigating the feasibility of doing this in 2010 and will advise us of the timeline for implementation.</p> <p><u>June 2010</u><br/>M&amp;P have advised that the fuel FOB system for SEC is scheduled to be rolled out in 2010.</p> | <p>Underway</p> | <p><del>December 2009</del><br/>December 2010</p> |

**DEPARTMENT:** TRAINING AND SUPPORT SERVICES DEPARTMENT  
**REPORT:** TRAINING – File No.: 08-20030  
**DATE:** APRIL 2009

**DESCRIPTION:** Training is responsible for the delivery of training to ensure employees and contractors are properly trained, qualified, certified and licensed to perform their work.

| RECOMMENDATIONS  | INITIAL MANAGEMENT RESPONSE/ACTION  | FOLLOW-UP MANAGEMENT RESPONSE  | STATUS                          | COMPLETION DATE  |
|--|---|--|---------------------------------|--|
| <p><b>FINDING #1: TRAINING</b><br/> Management should review the effectiveness of the processes and take the necessary steps to ensure that;</p> <ul style="list-style-type: none"> <li>- The trainers maintain their recertification requirements;</li> </ul> <p><b>FINDING #2: PLANNING &amp; PROGRAM DEVELOPMENT</b><br/> Management should modify the current planning process to address the program development backlog for in-house training programs, including the use of off the shelf or third party training material.</p> | <p>We agree that Instructors should recertify on the courses they conduct, however, no provision was made for this in the calculation of Instructor availability we use for budget purposes. For 2010 we will reduce Instructor availability from 1600 hours per Instructor per year to 1560 hours per Instructor per year to ensure sufficient time in our training schedule to allow Instructors to attend recertification training.</p> <p>Also in conjunction with the 2010 budget, the Department will request the creation of a Program Documentation Specialist position to support the development process.</p> | <p><u>December 2009</u><br/> Our proposal to reduce Instructor availability from 1600 to 1560 hours per year in order to allow sufficient time in the schedule for them to participate in required recertification training was not approved during the 2010 budget process. While we will attempt to make every effort to ensure Instructors attend recertification training the actual delivery of scheduled training courses will take precedence.</p> <p><u>June 2010</u><br/> Status remains the same.</p> <p>The Program Documentation Specialist position to support the development process was approved in the 2010 budget.</p> <p><u>June 2010</u><br/> Budgetary constraints delayed the hiring of the Program Documentation Specialist. The selection process, however, is now underway.</p> | <p>Underway</p> <p>Underway</p> | <p><del>TBD</del><br/> December 2010</p> <p><del>January 2010</del><br/> December 2010</p> |

**DEPARTMENT:** RAIL TRANSPORTATION DEPARTMENT  
**REPORT:** RAIL TRANSPORTATION DEPARTMENT – YONGE-UNIVERSITY-SPADINA-SHEPPARD LINE/BLOOR-DANFORTH/SRT LINE – File No.: 09-30031  
**DATE:** OCTOBER 2009

**DESCRIPTION:** The Yonge-University-Spadina/Sheppard (YUSS) Subway Line and the Bloor-Danforth (BD) Subway/Scarborough Rapid Transit (SRT) Line are two of six responsibility sections within the Rail Transportation Department. The sections are responsible for providing train crews (i.e., Operators and Guards) for each of the respective subway and SRT lines to meet service requirements that is cost-effective while ensuring courteous, safe and reliable rail service.

| RECOMMENDATIONS   | INITIAL MANAGEMENT RESPONSE/ACTION   | FOLLOW-UP MANAGEMENT RESPONSE                               | STATUS          | COMPLETION DATE       |
|---|--|---|-----------------|-----------------------|
| <p><b>FINDING #1: CREWING – SCHEDULE MONITORING</b></p> <p>Management should ensure that:</p> <ul style="list-style-type: none"> <li>- communication channels are in place between Service Planning, Transit Control and the YUSS and BD/SRT areas to provide clear and timely information for developing achievable service schedules and reduce Operator late-in time;</li> <li>- a process is in place to effectively monitor and verify the late-in times to the reported times.</li> </ul> | <p>A meeting was held on Wednesday September 2<sup>nd</sup> (2009) between the Rail Divisions, Service Planning and Transit Control to review the escalating late-in problem. Service Planning agreed to review the run times to optimize the performance on the lines. Transit Control and the Divisions are looking at other methods of reducing late-ins such as running in east bound at Greenwood, managing station dwells, dealing with trains that can not maintain headways, etc. There has been progress in minimizing late-ins, however further work is required.</p> <p>Divisions will audit the run-in times against the late in times to ensure confirm compliance on a weekly basis.</p> <p>Responsibility: Superintendent YUS</p> | <p><u>June 2010</u><br/>Progressing towards completion.</p> | <p>Underway</p> | <p>September 2010</p> |
| <p><b>FINDING #2: SUPERVISION</b></p> <p>Management should:</p> <ul style="list-style-type: none"> <li>- evaluate the purpose and value of information collected through the ride slip process to ensure meaningful information is obtained to improve Operator performance</li> <li>- update the current status of Operators' licence information, and implement a process which ensures on-going verification for expired licences</li> </ul>   | <p>Ride slips currently achieve two goals, one the observation of the operator's performance and two, the timely dissemination of information to operators. We will change the scope of the program to focus on information dissemination.</p> <p>Operator licenses will be reviewed on a quarterly basis.</p>   | <p><u>June 2010</u><br/>Progressing towards completion.</p> | <p>Underway</p> | <p>September 2010</p> |

| RECOMMENDATIONS   | INITIAL<br>MANAGEMENT RESPONSE/ACTION   | FOLLOW-UP MANAGEMENT<br>RESPONSE                            | STATUS          | COMPLETION<br>DATE    |
|---|---|---|-----------------|-----------------------|
| <p>- complete Occurrence Investigation Reports, as required</p> <p><b>FINDING #3: ASSET CONTROL AND SECURITY</b></p> <p>Management should ensure that the verification and update of the keys inventory is reviewed with the Special Constable Services Department on a regular basis to protect TTC property and equipment from unauthorized access.</p> | <p>Divisions have reviewed the current Occurrence Investigation Report process. Tracking of all Reports is being initiated. A monthly audit will be done to ensure all Reports are complete.</p> <p>Responsibility: Superintendent BD/SRT</p> <p>While waiting for SCS' key audit Rail Transportation has committed to conduct checks on specific elements of our current key holdings. The checks will primarily be focused on ensuring that employees who have left the Commission have turned in their keys and for any variances within specific group such as operators, supervisors, etc. This check will be carried out once a year.</p> | <p><u>June 2010</u><br/>Progressing towards completion.</p> | <p>Underway</p> | <p>September 2010</p> |

**BRANCH:** EXECUTIVE  
**DEPARTMENT:** MARKETING & CUSTOMER SERVICE  
**MEMO:** MARKETING & CUSTOMER SERVICE – File No.: 07-60100  
**DATE:** OCTOBER 2007

**DESCRIPTION:** The Marketing & Customer Service Department is one of ten departments within the Executive Branch and is made up of four sections: Marketing, Public Affairs, Customer Information/Service, and Marketing Research. The Department is responsible for planning, development, implementation and evaluation of marketing programs designed to maximize TTC awareness and encourage ridership; expanding and improving communications with the general public, government, employees, residents, transit industry and media; ensuring effective customer information by maximizing customers’ ability to access information; and providing Senior Management with ridership economic and statistical data and policy analysis relating to fare, financial and social issues and its effect on TTC.

| RECOMMENDATIONS  | INITIAL MANAGEMENT RESPONSE/ACTION  | FOLLOW-UP MANAGEMENT RESPONSE   | STATUS          | COMPLETION DATE   |
|--|---|---|-----------------|---|
| <p><b>FINDING #1: ADMINISTRATION CONTROLS</b></p> <p>Management should:</p> <ul style="list-style-type: none"> <li>- Develop a project file for each project and a file/change management system to assist in tracking changes to electronic files.</li> </ul> | <p>Agreed. Current working processes and control mechanisms will be reviewed and a maintenance process will be established with the development of a project worksheet to ensure that customer information project files are maintained. We will consult with Graphic Services who have such a control document for their work requests. To be completed by August 2008</p> <p>Assistance from ITS has been requested to determine the requirements, recommendation and cost of a file management system to assist with finding and identifying the most current file changes and updates. To be completed by December 2008.</p> <p>Responsibility: Supervisor - Prints Electronics<br/>Information/Marketing Director/<br/>Chief Marketing Officer</p> | <p><u>December 2008</u><br/>Consulting with ITS and Graphics Services.</p> <p><u>June 2009</u><br/>IT is pursuing a corporate wide electronic file management system, (SharePoint).</p> <p><u>December 2009</u><br/>No change in status.</p> <p><u>June 2010</u><br/>No change in status.</p> | <p>Underway</p> | <p><del>December 2008</del><br/><del>March 2009</del><br/>December 2010</p> |

| RECOMMENDATIONS  | INITIAL MANAGEMENT RESPONSE/ACTION   | FOLLOW-UP MANAGEMENT RESPONSE  | STATUS          | COMPLETION DATE  |
|--|--|--|-----------------|--|
| <p><b>FINDING #1: ADMINISTRATION CONTROLS</b><br/>(Cont'd.)</p> <ul style="list-style-type: none"> <li>- Review the Ridership/Revenue models still running on Lotus, which is an application no longer supported by the ITS Department.</li> </ul> | <p>Agreed. We will work with ITS to review this issue and determine next steps for an appropriate resolution. We will reach agreement with ITS on the approach to be taken by December 2008. Implementation dates to be finalized at that time..</p> <p>Responsibility: Market Research Director</p> | <p><u>December 2008</u><br/>Working with ITS to convert files from Lotus to Excel.</p> <p><u>June 2009</u><br/>Progressing toward completion.</p> <p><u>December 2009</u><br/>File conversion is 85-90% complete. The remaining files will be converted in 2010 through the completion of a full budget cycle.</p> <p><u>June 2010</u><br/>File conversion is approximately 95% complete. The remaining files will be converted in 2010 through the completion of a full budget cycle.</p> | <p>Underway</p> | <p><del>December 2008</del><br/><del>March 2009</del><br/><del>December 2009</del><br/>December 2010</p> |

**DEPARTMENT:** INFORMATION TECHNOLOGY SERVICES  
**REPORT:** PROJECT MANAGEMENT & QUALITY ASSURANCE – File No.: 09-50033  
**DATE:** DECEMBER 2006

**DESCRIPTION:** The Project Management section is responsible for managing, coordinating and controlling the activities in the delivery of IT Services Capital projects. The Quality Assurance section is responsible for ensuring that Quality Reviews are planned, scheduled and performed on the basis of the status and importance of the processes and projects.

| RECOMMENDATIONS  | INITIAL MANAGEMENT RESPONSE/ACTION  | FOLLOW-UP MANAGEMENT RESPONSE                      | STATUS          | COMPLETION DATE      |
|--|---|--|-----------------|----------------------|
| <p><b>FINDING #1: INCONSISTENCIES</b></p> <p>Management should ensure:</p> <ul style="list-style-type: none"> <li>- Project plans are developed, reviewed, approved and regularly updated;</li> <li>- Project Change Requests are documented &amp; approved before the changes are implemented;</li> <li>- Project costs are reported timely and accurately.</li> <li>- There is consistency between the various policies and procedures documentation comprising the methodology and that these policies and procedures are regularly reviewed, verified for consistent application and updated accordingly.</li> </ul> | <p>All departmental documentation including the Project Management Methodology is scheduled for regular recurring reviews. In addition, commencing in 2004 the department undertook an extensive initiative to consolidate the Project Management Methodology with System Development Life Cycle.</p> <p>This ongoing initiative (ARCI) has resulted in a dramatic reduction in project templates as well as other changes to project delivery methods. The Project Management Methodology was updated to reflect the new template requirements.</p> <p>A further update is scheduled for December 2010 to address the full changes resulting from this project delivery consolidation exercise.</p> <p>Responsibility: Director – Project Management</p> | <p><u>June 2010</u><br/>Progressing on target.</p> | <p>Underway</p> | <p>December 2010</p> |



**BRANCH:** ENGINEERING AND CONSTRUCTION  
**DEPARTMENT:** CONSTRUCTION DEPARTMENT  
**REPORT:** CONSTRUCTION – File No.: 06-50020  
**DATE:** MAY 2007

**DESCRIPTION:** The Construction Department has two divisions – Project Management and Construction Management. Project Management is responsible for implementing and co-ordinating the initiation, budget requirements and funding for approval of projects. The section also co-ordinates the delivery of designs and the tendering and award of contracts. It is also responsible for project delivery to the requesting department and management of the contract budget, scope and schedule. Construction Management is responsible for administering and managing construction contracts on schedule and on budget with the designed quality in adherence to safety procedures.

| RECOMMENDATIONS   | INITIAL MANAGEMENT RESPONSE/ACTION   | FOLLOW-UP MANAGEMENT RESPONSE  | STATUS          | COMPLETION DATE   |
|---|--|--|-----------------|---|
| <p><b>FINDING #1: PROJECT MANAGEMENT</b></p> <p>Management should implement improvements to the project management process to ensure that:</p> <ul style="list-style-type: none"> <li>- All project plans are consistently prepared in accordance with the Project Management Manual; and</li> <li>- The centralized project files contain all the key project documents and correspondence.</li> </ul> | <p>Departmental Instructions for the preparation of project plans has been updated. Information review sessions with all project management staff are scheduled later this year to review the new processes and instructions to ensure consistency and enforcement of same.</p> <p>Management agrees with Audit that the established processes for centralized project files are not consistently followed. Document Control staff held information sessions with each project management team to review their current processes and stress the need for maintaining centralized project files, in particular, the continuing reliance on electronic media (e-mail) to exchange documentation. Management instructed Document Control staff to conduct a snapshot assessment in six months to evaluate adherence to the established processes.</p> | <p><u>December 2007</u><br/>Review sessions to be scheduled for 2008. A snapshot assessment will be conducted in January 2009.</p> <p><u>June 2008</u><br/>Management time is focused on Spadina Subway and Transit City Projects. Review sessions will ideally be conducted at that time when work force reaches its peak to allow for full participation.</p> <p>A snapshot assessment was completed and some improvement was noted. Another snapshot assessment is planned for year-end.</p> <p><u>December 2008</u><br/>The review sessions will be held in the first half of 2009 and a follow-up assessment will be conducted in the second half of 2009.</p> <p>Snapshot assessment was conducted and identified deficiencies. Further training sessions will be conducted in the first half of 2009 with follow-up assessment to be done in the second half of 2009.</p> | <p>Underway</p> | <p><del>July 2008</del><br/> <del>July 2009</del><br/> <del>December 2009</del><br/> <del>September 2010</del><br/> December 2010</p> |

| RECOMMENDATIONS                                     | INITIAL<br>MANAGEMENT RESPONSE/ACTION | FOLLOW-UP MANAGEMENT<br>RESPONSE   | STATUS | COMPLETION<br>DATE |
|---|---------------------------------------|--|--------|--------------------|
| <p>FINDING #1: PROJECT MANAGEMENT<br/>(Cont'd.)</p> |                                       | <p><u>June 2009</u><br/>Review of Departmental Instructions on preparation of project plans will be scheduled in the 3<sup>rd</sup> Quarter of 2009. Review sessions will ideally be conducted at that time when the workforce reaches its peak to allow for full participation.</p> <p>A snapshot assessment was completed and some improvement was noted. Another snapshot assessment is planned for year-end.</p> <p><u>December 2009</u><br/>Planned review of the Departmental Instruction on preparation of project plan is deferred to the 1st Quarter of 2010 along with a snapshot assessment to 3rd Quarter of 2010.</p> <p><u>June 2010</u><br/>Central file snap shot assessment is on schedule for 3<sup>rd</sup> Quarter of 2010. Ongoing awareness training is being conducted to all staff on the department's filing process.</p> |        |                    |