



Auditor General's Office

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January 29, 2015

Mr. Michael Foderick
Chair
Toronto Public Library Board
789 Yonge Street
Toronto, Ontario M4W 2G8

Dear Mr. Foderick:

Re: Auditor General's Risk Assessment

Every five years, the Auditor General performs a detailed risk assessment of the operations of the City and those major agencies and corporations included in the Auditor General's mandate. The purpose of the risk assessment is to ensure that all significant areas of the City are evaluated from an audit risk perspective by using uniform criteria and quantitative evaluations to identify areas that may warrant audit attention.

Based on the Auditor General's responsibility to conduct audits as specified in Toronto Municipal Code Chapter 3, Accountability Officers, Toronto Public Library was not included in our 2014 City-wide risk assessment process. However, we would like to offer the service of a risk assessment of the Toronto Public Library providing you are in agreement.

While Toronto Public Library is not within the mandate of the Auditor General, I believe an independent risk assessment process will provide significant value to the Board and Toronto Public Library. Upon completion of the risk assessment, we would discuss the potential risk areas with the Board and Toronto Public Library. Any future audit of Toronto Public Library will be a decision from the Board as specified in the Municipal Code.

I look forward to your reply and further discussion of our proposed risk assessment.

Best Regards,

Beverly Romeo-Beehler
Auditor General

c: Vickery Bowles, City Librarian, Toronto Public Library



Item

Tracking Status

- This item was considered by the Audit Committee on May 28, 2014. The Committee received the item for information only. No further action will be taken on this item.

Audit Committee consideration on May 28, 2014

AU15.5	Information	Received		Ward:All
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Auditor General's Risk Assessment of the City and its Major Agencies and Corporations

Committee Decision

The Audit Committee received this Item for information.

Origin

(May 12, 2014) Report from the Auditor General

Summary

Every five years, the Auditor General performs a detailed risk assessment of the operations of the City and those major agencies and corporations included in his mandate. The purpose of the risk assessment is to ensure that all significant areas of the City are evaluated from an audit risk perspective by using uniform criteria and quantitative evaluations to identify areas that may warrant audit attention. Determining which areas to audit and the appropriate allocation of audit resources is essential in maximizing the value of an effective audit process.

The last risk assessment was completed in 2009. There were 56 high risk areas identified during the risk assessment. The majority of these high risk areas will have been the subject of an audit by the end of 2014. We have recently started our 2014 risk assessment. The results of this process will figure prominently in the development of the Auditor General's Office annual work plans over the next five years. Given its importance, this process will involve a significant amount of audit resources over the next few months.

The results of the risk assessment process will be reported together with the 2015 Audit Work Plan to the first audit committee in 2015.

Background Information

(May 12, 2014) Report from the Auditor General - Risk Assessment of the City and its Major Agencies and Corporations
(<http://www.toronto.ca/legdocs/mmis/2014/au/bgrd/backgroundfile-69290.pdf>)

Motions

*Motion to Receive Item moved by Councillor Josh Matlow (**Carried**)*

Source: Toronto City Clerk at www.toronto.ca/council



AUDITOR GENERAL'S REPORT INFORMATION ONLY

Auditor General's Risk Assessment of the City and its Major Agencies and Corporations

Date:	May 12, 2014
To:	Audit Committee
From:	Auditor General
Wards:	All
Reference Number:	

SUMMARY

Every five years, the Auditor General performs a detailed risk assessment of the operations of the City and those major agencies and corporations included in his mandate. The purpose of the risk assessment is to ensure that all significant areas of the City are evaluated from an audit risk perspective by using uniform criteria and quantitative evaluations to identify areas that may warrant audit attention. Determining which areas to audit and the appropriate allocation of audit resources is essential in maximizing the value of an effective audit process.

The last risk assessment was completed in 2009. There were 56 high risk areas identified during the risk assessment. The majority of these high risk areas will have been the subject of an audit by the end of 2014. We have recently started our 2014 risk assessment. The results of this process will figure prominently in the development of the Auditor General's Office annual work plans over the next five years. Given its importance, this process will involve a significant amount of audit resources over the next few months.

The results of the risk assessment process will be reported together with the 2015 Audit Work Plan to the first audit committee in 2015.

Financial Impact

This report has no financial impact. The audit resources necessary to complete the risk assessment of the City and its agencies and corporations was considered in developing the 2014 Audit Work Plan and 2014 Budget for the Auditor General's Office.

COMMENTS

In the most recent external quality assurance review of the Auditor General's Office, the report issued by the review team identified areas where the Auditor General's Office excels which included:

"The extensive Risk Assessment process the Office conducts to develop the five-year risk assessment and annual audit plans. The process includes: detailed analyses of the major City divisions, Agencies, Commissions, and Corporations and an extensive use of criteria and overall consideration of past audit work."

The Auditor General completes a comprehensive risk assessment every five years. The last risk assessment was completed in 2009. The risk assessment is a high level evaluation of risks associated with the operations in all City divisions, agencies and corporations included in the Auditor General's mandate, as listed in Appendix 1. The purpose of the risk assessment exercise is to prioritize the audit work in those areas where the greatest risk exists.

The assessment process evaluates the risks related to the operations/programs of each area for 10 weighted risk factors. The following factors that will be considered in the 2014 risk assessment process have been updated to reflect information gathered through prior risk assessments and audits:

- Complexity of Operations and Service Delivery
- Alignment of Strategic Planning / Business Planning / Service Planning
- Complexity of Staffing and Organizational Competence
- Financial Exposure
- Contractual Exposure
- Legal Exposure (including regulatory, environmental, litigation)
- Susceptibility to Fraud, Other Wrongdoing or Waste
- Adequacy of Policies, Procedures, Processes, and Controls
- Technological Exposure
- Public and Political Reputation

As part of the risk assessment process, the Auditor General's Office divides each City division, agency and corporation into manageable "audit units" which may be defined in a number of ways, such as by organizational unit, function or activity, or program. Audit units are each assigned risk scores based on the above risk factors and stratified as high, medium and low risk according to the assessed level of risk. Results of the risk assessment exercise are considered for both long term audit planning and the preparation of the annual Audit Work Plan.

The results of the risk assessment process will be reported together with the 2015 Audit Work Plan to the first audit committee in 2015.

CONTACT

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SIGNATURE

Jeff Griffiths, Auditor General

13-RAR-02

ATTACHMENTS

Appendix 1: Listing of City Divisions, Agencies and Corporations to be Included in
2014 Risk Assessment

APPENDIX 1

Listing of City Divisions, Agencies and Corporations to be Included in 2014 Risk Assessment

Citizen Services 'A' Community Services	Affordable Housing
	Children's Services
	Court Services
	Economic Development & Culture
	Emergency Medical Services
	Employment & Social Services
	Long-term Care Homes & Services
	Parks, Forestry & Recreation
	Shelter, Support & Housing Administration
	Social Development, Finance & Administration
Citizen Services 'B' City Structural Services	Toronto Office of Partnerships
	City Planning
	Engineering & Construction Services
	Fire Services
	Major Capital Infrastructure Coordination Office
	Municipal Licensing & Standards
	Office of Emergency Management
	Policy, Planning, Finance & Administration
	Solid Waste Management Services
	Toronto Building
	Toronto Water
	Transportation Services
Internal Services – Corporate Services	Waterfront Secretariat
	311 Toronto
	Accounting Services
	Corporate Finance
	Environment & Energy
	Facilities Management
	Finance & Administration
	Financial Planning
	Fleet Services
	Information & Technology
	Pension, Payroll & Employee Benefits
	Purchasing & Materials Management
	Real Estate Services
	Revenue Services
Other City Programs	City Clerk's Office
	City Manager's Office
	Legal Services

Agencies and Corporations	Arena Boards of Management
	Association of Community Centres (AOCCs) Boards of Management
	Build Toronto Inc.
	Casa Loma Corporation
	Exhibition Place
	Heritage Toronto
	Invest Toronto Inc.
	Lakeshore Arena Corporation
	Sony Centre for the Performing Arts
	St. Lawrence Centre for the Arts
	Toronto Atmospheric Fund
	Toronto Centre for the Arts
	Toronto Community Housing Corporation
	Toronto Parking Authority
	Toronto Port Lands Company
	Toronto Transit Commission
	Toronto Zoo
	Waterfront Toronto
	Yonge-Dundas Square

The following agencies and corporations will not be included in the risk assessment process based on the Auditor General's responsibility to conduct audits as specified in Toronto Municipal Code Chapter 3, Accountability Officers:

- Toronto Police Services Board
- Toronto Public Library Board
- Toronto Board of Health
- Toronto Hydro Corporation

Attachment 1: Documentation to be provided by each division

1. Organization Chart
2. Strategic Plan, Business Plan and Service Plan (where applicable)
3. Detailed results of program reviews, service efficiency studies, core service review including recommendations, action plans, and current status of any actions taken in response to recommendations.
4. FPARS service inventory / program maps
5. Fraud Risk Assessment and Fraud Action Plan
6. From 2009 to 2014, please provide the following:
 - a) List of all complaints referred to or referred from the Fraud & Waste Hotline (please provide the Auditor General complaint number only).
 - b) Summary of any other allegations of possible fraud, other wrongdoing or conflicts of interest, identifying the source of such allegations (e.g. anonymous tip, staff identified, management identified, other operational hotline), and identifying any actions taken.

Description of possible fraud or other wrongdoing	Source of allegation	Actions taken (including any reporting to Executive Management, HR, Legal, Internal Audit, etc.)

Attachment 2: Risk Assessment Questionnaire (to be completed by each section / operational unit)

1) COMPLEXITY OF OPERATIONS AND SERVICE DELIVERY

1. Identify the major services and activities of the Unit and indicate whether they are
 - *Mandatory: mandated or required by legislation from the federal or provincial government*
 - *Essential: critical to the operation of the City. Without the service, the City would stop functioning or the health and safety of residents would be seriously impacted*
 - *Other*

	Mandatory	Essential	Other
a)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

2. Are the service delivery and operating activities centralized, decentralized, combination of centralized & decentralized, and/or outsourced (in full or in part)?

	Centralized	Decentralized	Combination	Outsourced
a)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

3. Does another Unit / Division provide a program support function for your Unit?
 YES / NO

4. Does your Unit provide a program support function for other Unit(s) / Division(s)?
 YES / NO

5. Is there any recent or planned reorganization or realignment of operations or service delivery? YES / NO

- a) If YES, please describe the nature of any recent or planned reorganization:

2) ALIGNMENT OF STRATEGIC / BUSINESS / SERVICE PLANNING

1. Do you have:

- a. a strategic plan? YES / NO / N/A
- b. a business plan? YES / NO / N/A
- c. a service plan? YES / NO / N/A

If YES,

2. Please provide copy of the plan(s).

3. When was the plan approved or updated?

2014 2013 2012 2011 2010 Prior to 2010

4. Does the unit have a method of tracking performance indicators / measures?
 YES / NO / N/A

a) If YES, please describe the performance measures that are tracked and how they are monitored, reported, and/or benchmarked:

3) COMPLEXITY OF STAFFING & ORGANIZATION COMPETENCE

1. How would you rate the complexity of the Unit's organizational structure?
 SIMPLE / MODERATE / COMPLEX

Please check all applicable statements from below example criteria:

SIMPLE	MODERATE	COMPLEX
<input type="checkbox"/> Management and exempt staff only	<input type="checkbox"/> Staff to management ratio of 5:1 or less	<input type="checkbox"/> Greater than 4 levels of management / managerial lines of authority
<input type="checkbox"/> Less than 10 staff	<input type="checkbox"/> 10 to 25 staff	<input type="checkbox"/> Greater than 25 staff

Complement Management

2. Are you able to fill all positions in your approved Position Staffing Complement?
 YES / NO

a) If NO, please indicate the percentage (%) of full complement the unit is current operating at

3. Are there plans to reduce the Approved Staffing Complement? YES / NO

a) If YES, please indicate the planned percentage (%) of reduction

Staff Competency

4. How would you rate the competency requirements for staffing the unit?
 SIMPLE / MODERATE / COMPLEX

Please check all applicable statements from below example criteria:

SIMPLE	MODERATE	COMPLEX
<input type="checkbox"/> Required skill set readily available in the labour market	<input type="checkbox"/> Operations require specific qualifications or professional designations	<input type="checkbox"/> Unit requires highly specialized staff with a specific skill set
<input type="checkbox"/> Operations generally requires less than 5 years experience	<input type="checkbox"/> Operations generally requires greater than 5 years experience	<input type="checkbox"/> Continual training and currency of knowledge is required on a regular basis
<input type="checkbox"/> Requires minimal supervision and monitoring		<input type="checkbox"/> Requires close supervision and monitoring

5. Are there any concerns with management or staff ability to meet competency requirements of the Unit? YES / NO

Staff Turnover and Succession Planning

6. What would you estimate the rate of staff turnover has been for 2011-2013?

	% of staff at level	Please indicate reason (e.g. retirement, long term disability, resignation, termination, etc)
a) Executive / Senior Management		
b) Management		
c) Exempt		
d) Permanent – Union		
e) Part Time – Union		
f) Temporary / Contract		

7. Has the unit established protocols for transferring corporate knowledge for the purposes of succession planning (for retirements and other staff turnover)? YES / NO

4) FINANCIAL EXPOSURE (MATERIALITY AND IMPACT)

Operating

1. For City divisions / sections / units: Please provide SAP reports (or export to Excel) identifying the overall budget and actual for each SAP cost centre and functional areas code applicable to the unit.

(For Agencies and Corporations, please provide detailed operating budgets and actuals for 2012, 2013, and 2014)

Capital

For projects included in the 2014-2023 Capital Plan:

2. For City divisions / sections / units: Please provide an SAP report (or export to Excel) identifying overall project budget and actual life-to-date costs for each SAP WBS element and/or project code applicable to the unit.

(For Agencies and Corporations, please provide detailed capital budgets and actuals for 2012, 2013, and 2014 as well as overall project budget and actual life-to-date costs)

3. Is the state of good repair backlog unfunded (in part or in full)? YES / NO / N/A
4. Are there any projects that would meet the definition of a "major capital project" (as defined in the 2015 – 2024 Capital Budget Submission Guidelines and Instructions)?
 YES / NO / N/A

A project is considered a "major capital project" if:

- *Construction of a new facility*
- *Major renovation / revitalization / expansion projects that require environmental assessments, remediation for health and safety, and/or heritage preservation;*
- *Major SOGR projects – SOGR projects which are non-routine and may cause disruption to service while in progress;*
- *Projects which will have significant impact to City services, landscape and/or environment;*
- *Projects which are transformational and will result in significant change for the organization and/or public; and*
- *Projects that are large in scale relative to the City Program or Agency's regular Capital work.*

a) If YES, please identify all such projects (below or in a separate document).

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Reserves, Reserve Funds

5. Please provide (below or in a separate document) a list of SAP cost centres for reserves / reserve funds managed by the unit, a description of its purpose and target balance.

SAP cost centre	Reserve / Reserve Fund	Description	Target balance (\$)

5) CONTRACTUAL EXPOSURE**Purchasing**

1. Summarize the total dollar (\$) value of purchases by the Unit during 2013. (If information on the total actual value is not readily available, please provide estimates of the total annual purchasing)

Method	Purchasing on a decentralized basis or by Unit	Purchasing managed centrally by Division	Purchasing through an RFP/ RFQ / Tender through PMMD
a) P-Cards			
b) Divisional Purchase Order (DPO)			
c) Purchase Order (PO)			
d) Contract Release Order (CRO)			

2. Summarize the total dollar (\$) value of contracted services that were sole sourced by the Unit during 2013.

Total of sole sourced contracts less than \$50,000	Total of sole sourced contracts between \$50,000 and \$500,000	Total of sole sourced contracts greater than \$500,000	Total of sole sourced contracts

3. Does the Unit rely on a purchasing support function in addition to PMMD? YES / NO

4. Has the Unit adopted purchasing and contracting practices and/or templates that supplement those developed centrally by PMMD? YES / NO

5. Within the last 3 years (2011- present), have there been any substantiated or alleged instances of:

- Procurement irregularities? YES / NO / N/A
- Irregularities in contract management? YES / NO / N/A
- Conflict of interest? YES / NO / N/A

6. Are you aware of any employees who have responsibilities for purchasing and/or contract management that have a close association or relationship with a vendor (e.g. family member, close friend, financial interest, recent previous employment, etc.) that could result in a perceived, potential, or actual conflict of interest? YES / NO / N/A

Contract Management

7. Has the Unit established formal written procedures for contract administration?
 YES / NO / N/A

8. Does the Unit have practices in place to monitor the performance of vendors?
 YES / NO / N/A

6) LEGAL EXPOSURE (INCL. ENVIRONMENTAL, REGULATORY, LITIGATION)

Regulatory

1. How would you rate the unit's exposure to regulatory / statutory requirements?
 LIMITED / MODERATE / SUBSTANTIAL

Please check all applicable statements from below example criteria:

LIMITED	MODERATE	SUBSTANTIAL
<input type="checkbox"/> No reporting requirements	<input type="checkbox"/> Annual reporting requirements	<input type="checkbox"/> Monthly or quarterly reporting requirements
<input type="checkbox"/> Few regulations and little risk of noncompliance.	<input type="checkbox"/> A few significant regulatory / statutory requirements	<input type="checkbox"/> Complex, voluminous, or frequently changing regulations
	<input type="checkbox"/> Some risk of penalties	<input type="checkbox"/> Heavily regulated with serious consequences for noncompliance.

2. Identify the significant regulatory / statutory requirements the unit must adhere to.

Environmental

3. How would you rate the unit's exposure to environmental liabilities?
 N/A / LIMITED / MODERATE / SUBSTANTIAL

4. Are the services or activities of the Unit subject to environmental assessments or other statutory environmental requirements?
 YES / NO

5. Does the Unit have management responsibility for land / property that is subject to environmental liabilities due to site contamination? YES / NO
6. Is the Unit responsible for environmental remediation of land or property? YES / NO
7. Does a provision / reserve exist to fund current or future costs of environmental remediation? YES (indicate the \$ value of such provision: _____) / NO / N/A

Litigation

8. Rate the Unit's exposure to legal liability for the following categories:

	LIMITED	MODERATE	SUBSTANTIAL
Contractor liability (e.g. contractors failing to perform services adequately; potential claims for costs in excess of contracted value)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Product or service liability (e.g. failure to provide adequate level of customer service)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Errors and omissions (e.g. failure to perform duties as public officials)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Premises liability (e.g. slips and falls)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Motor vehicle liability (e.g., vehicular accidents or damage to public / private property)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

9. Is the unit currently subject to (or managing) any litigation proceedings where the potential for costs or recoveries for the City could exceed \$500,000? YES / NO
10. Does the unit use outside legal counsel in addition to the City's Legal Services division? YES / NO

7) SUSCEPTIBILITY TO FRAUD, OTHER WRONGDOING, OR WASTE

When we talk about "fraud" and "wrongdoing", we are referring to a whole range of activities (e.g. misuse of IT resources for purposes unrelated to City business, theft of cash or City equipment, false benefit claims (i.e. sick leave), abuse of work hours, vendor misconduct or conflict of interest, misstated or misleading information to decision maker, false claims and submissions by program recipients / public).

1. Have you ever conducted a fraud risk assessment for the Unit? YES / NO
 - a) If YES, when was it last conducted or updated?
 2014 2013 2012 2011 2010 Prior to 2010

2. Have you developed a fraud action plan for your Unit? YES / NO

a) If YES, how often is it updated? Never / Annually / On an Ad-Hoc basis

3. Do you have a mechanism to track or log allegations of possible fraud or other wrongdoing including conflicts of interest related to this unit? YES / NO

a) If YES, please provide a copy of the log.

4. Is a complaint or customer service reporting mechanism in place with respect to the operations of the unit (e.g., customer service hotline, etc.), whether by employees or external parties? YES / NO / N/A

a) If YES, has this complaint reporting mechanism received any allegations of possible, fraud, other wrongdoing, or waste? YES / NO

5. Have appropriate staff received any training on how to address or investigate allegations of possible fraud, other wrongdoing or waste? YES / NO

6. Does your unit have specific processes in place to address or investigate allegations of possible fraud, other wrongdoing, or waste? YES / NO

a) If YES, How would you rate the processes in place:
 NEEDS IMPROVEMENT / ADEQUATE

7. Are you aware of any allegations of whistleblower retribution in this unit (or division)?
 YES / NO

8. How would you rate the unit's exposure to theft or misuse of assets?
 LIMITED / MODERATE / SUBSTANTIAL

Please check all applicable statements from below example criteria:

LIMITED	MODERATE	SUBSTANTIAL
<input type="checkbox"/> The unit only handles a very limited supply of cash (e.g., petty cash) / cheque / credit / debit transactions	<input type="checkbox"/> The unit handles under \$100,000 cash / cheque / credit / debit transactions annually	<input type="checkbox"/> The unit handles over \$100,000 cash / cheque / credit / debit transactions annually
<input type="checkbox"/> The unit holds or handles a limited supply of readily marketable assets (e.g. laptops, cell phones or cameras) which are assigned to specific individuals.	<input type="checkbox"/> The unit holds or handles readily marketable assets which are individually tracked and used in support of unit staff's specific job responsibilities.	<input type="checkbox"/> The unit holds or handles a supply of inventory or readily marketable assets in support of the unit or other units operations.
<input type="checkbox"/> Unit staff only take assets (laptops, fleet vehicles, etc.) home in exceptional circumstances.	<input type="checkbox"/> Unit staff regularly take assets home on a regular basis for approved business purposes.	<input type="checkbox"/> Unit staff regularly take assets home without processes in place for pre-approval.

8) **ADEQUACY OF POLICIES, PROCEDURES, PROCESSES AND CONTROLS**

1. Does the unit have a risk assessment process? FORMAL / INFORMAL / NONE
2. Does the unit maintain a system that effectively measures and monitors risks? YES / NO / N/A

Operating Principles, Policies, and Procedures

3. Does the division / unit have documented policies & procedures which address the following areas:

	CORPORATE	DIVISION / UNIT		
		YES	NO	N/A
a) all significant operational processes and control procedures	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b) management reporting requirements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c) environmental issues / requirements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d) human resources	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e) safety / health requirements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
f) legislation, regulation, by-law requirements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
g) financial / accounting related requirements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
h) controlling of expenditures	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
i) safeguarding of assets	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
j) security requirements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

4. How would you rate the completeness, relevance, and overall value of policies and procedures drafted for your operation?
 NEEDS IMPROVEMENT / ACCEPTABLE / ABOVE AVERAGE

Please check all applicable statements from below example criteria:

Needs Improvement	Acceptable	Above Average
<input type="checkbox"/> Policies are communicated informally or not easily accessible to all staff	<input type="checkbox"/> Policies are communicated in writing and available with research or upon request	<input type="checkbox"/> Policies are readily available to staff (in a central repository accessible to all staff)
<input type="checkbox"/> Staff are somewhat familiar with policies and procedures / training and refreshers not provided	<input type="checkbox"/> Staff are reasonably familiar with policies and procedures / training and refreshers are provided as required	<input type="checkbox"/> Staff are very familiar with and access policies and procedures regularly / training and refreshers are provided at least annually
<input type="checkbox"/> Operational procedures are not regularly reviewed and updated	<input type="checkbox"/> Operational procedures are reviewed and updated on as required	<input type="checkbox"/> Operational procedures are reviewed for relevancy and updated at least annually

Compliance Monitoring

5. Does the Unit have an internal compliance or quality review process to monitor adherence to policies and procedures? YES / NO / N/A

Internal and/or External Reviews

6. Do any third parties, such as the external auditors or regulatory auditors, regularly review your area for adequacy of and/or compliance with policies, procedures, processes or controls? YES / NO / N/A

7. In addition to the core service review, service efficiency studies, and user fee review, have any other internal or external program reviews or compliance audits of the Unit been performed within the last 5 years? YES / NO / N/A

9) INFORMATION AND TECHNOLOGY EXPOSURE

Information

1. What volume of confidential information does your unit handle and/or retain on a regular basis? LOW / MEDIUM / HIGH
2. Has there been a Privacy Impact Assessment conducted on your unit? YES / NO
3. Is confidential or sensitive information (including contractual and legal documents, employee records, etc.) stored on a network drive? YES / NO / N/A
4. Has there been unauthorized access, use, or disclosure of City information, intellectual property or personal information that may result in law suits, negative press and/or reputation impairment? YES / NO / N/A

Technology

5. Identify the IT systems and applications used by your Unit. End-user systems such as Excel or Microsoft Access should be excluded.

System / Application	Description of operational use and/or significant processes (tasks, activities, duties) supported by the system
a)	
b)	
c)	
d)	

6. For each IT system, describe the extent of use and the impact on divisional operations, business, staff & clients in the event the system becomes unavailable for an extended period of time.

7. Who is responsible for maintaining the systems the Unit uses to support operations and activities?
 Corporate I&T
 Cluster Level I&T Group
 Division
 Other: _____
8. Within the past five years have any of the following occurred?
 Replaced an existing business system
 Made a major enhancement to an existing system
 Implemented a new system to automate processes that were performed manually
 Deferral of planned system implementation or upgrade
9. Within the next two years are there plans to:
 Replace an existing business system
 Make a major enhancement to an existing system
 Implement a new system to automate processes that are currently performed manually

10) PUBLIC AND POLITICAL INTEREST (INCL. ADVERSE PUBLICITY)

1. Are there any aspects of the Unit's operations where a Councillor is directly involved in providing input into the decision making process? YES / NO

- a) If YES, please describe the nature of the Councillor's involvement:

2. Are there any aspects of the Unit's operations which have been subject to concerns raised by / to the Mayor and/or local Ward Councillors? YES / NO

- a) If YES, please describe the nature of these concerns:

3. Have any staff reports (agenda items) considered by Council, Standing Committee, or Board in the past 2 years (related to the Unit's services and activities) garnered significant attention, questions, and/or debate? YES / NO / N/A

a) If YES, please describe the nature of the Councillor's concerns / issues:

4. Describe the nature and topics of "negative" media coverage given to your operations in the past 2 years.

11) CORE SERVICE REVIEWS AND SERVICE EFFICIENCY STUDIES

1. Did the 2011 Core Service Review identify any key opportunities that impact the Unit?
 YES / NO

If YES, describe the key opportunity:

Was it implemented?

•		
•		
•		
•		
•		

2. Did the 2011 Service Efficiency Studies identify any issues and opportunities for change that impact the Unit? YES / NO / N/A

If YES, describe the key issues and opportunities:

Has the issue been addressed?

	YES	NO
•	<input type="checkbox"/>	<input type="checkbox"/>
•	<input type="checkbox"/>	<input type="checkbox"/>
•	<input type="checkbox"/>	<input type="checkbox"/>
•	<input type="checkbox"/>	<input type="checkbox"/>
•	<input type="checkbox"/>	<input type="checkbox"/>