

SUMMARY OF AUDIT FINDINGS & RISKS

The Toronto Area Regional Internal Audit Team (RIAT) has completed and reported on 3 internal audits for TCDSB in 2017-18. For all audits performed, the following is a summary of the risks and audit findings discovered during the audits:

Audits	Findings	Risks	Management Response
RIAT – Employee Health and Safety Audit Report	1. Tracking of site inspections is not performed by TCDSB to validate completion across all sites on a monthly basis; Without a centralized tracking process in place on the follow-up agreed upon by site Supervisors or Managers, it will be difficult to ensure all remediation steps are sufficiently addressed; Occupational Health and Safety Inspection Reports used by Designated Worker Members during monthly inspections are not comprehensive enough to evidence sufficient and consistent inspections across all sites; and currently, the process for tracking risk assessments is done informally.	1. Without sufficient oversight over the inspection process, there is an increased risk that health and safety risks at school board locations may go unidentified. 2. There is an increased risk that TCDSB will not be compliant with Ontario Health and Safety Act (OHSA) requirements.	1. The Ontario Health and Safety (OHS) Department will implement an inspection spreadsheet in September 2018 to track inspections. Monthly reports listing any outstanding inspections will be provided to the three Joint Health and Safety Committees (JHSCs) to implement an electronic inspection system using a tablet rather than paper inspection forms in September 2019.

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	<p>1. Structure of the JHSC should be addressed to ensure compliance with the OHSA; TCDSB Management accounts for more than half (6 out of 10) of the Elementary School Teacher Committee composition; this is in violation of the OHSA, which states that at least half the members of a committee must be in non-management roles.</p> <p>2. Through our assessment of accident forms, we found that 8 of the 25 samples selected had not been completely filled out; missing information included preventative action descriptions, and sign-off by the Supervisor.</p>	<p>1. Without ensuring that the JHSC is comprised in accordance with the OHSA, there is a risk that TCDSB will be in violation of the OHSA.</p> <p>2. Without ensuring that all forms are filled out completely (including sign-off by the Supervisor), there is a risk that pertinent information (including preventative actions) may not be documented and implemented moving forward.</p>	<p>1. The OHS Department will work with the new Management Co-Chair of the JHSC to ensure that the JHSC membership complies with the Terms of Reference by September 2018.</p> <p>2. The Occupational Health and Safety Department will attend K-12 Principals' meetings to review accident reporting procedures by September 2018.</p>
RIAT – Repairs and Maintenance Follow-up Audit Report	1. Management has made progress in addressing the findings and recommendations from the initial audit report. Enhanced processes and controls continue to be implemented to mitigate the risks previously identified. Internal Audit noted that 6	1. Two Internal Audit recommendations remain works-in-progress.	1. Updated Management Responses appear below beside each recommendation remaining as a work-in-progress.

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	<p>recommendations completed and 2 remain in progress.</p> <p>2. Lack of a documented process to respond to complaints and concerns related to repair and maintenance activities.</p>	<p>2. Although management has not documented a formal process to handle complaints, an informal process is understood and communicated periodically to schools. The department has a Service Quality Supervisor for each area and two Service Quality Officers that are responsible for attending to school concerns and complaints. In addition, notifications are sent to the school when each work order is closed. Finally, twice a year, a review of all open work orders is performed in collaboration with each school. We reviewed two recent communications to schools providing instruction on how to handle complaints for a specific service (i.e. snow removal).</p>	<p>2. Management is currently working on creating a system of sending complaints for any unsatisfactory completed work orders and being able to track all the action taken to address these complaints. This system will be communicated to the schools with clear instructions on how to use it. We expect to complete this system including the trial period by March 2019.</p>

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	3. Lack of a formal performance appraisal process.	3. Currently, there is no formal performance appraisal process established for facility staff. Human Resources is in the process of evaluating a recruitment tool that will allow for performance appraisals to be maintained. Management working in conjunction with unions will continue to work on formalizing this process.	3. Human Resources is currently in the process of building a Business Leaders Performance Model, expected to be implemented by February 2019. Through the development of system goals, area targets and personal goal setting factors with the Business Leaders, this process will drive the required discussions with our union partners for developing similar systems across our unionized employee groups. Human Resources is currently in the process of sourcing an e-Recruitment, On-Boarding and Performance Management software to support these three key Human Resource emerging initiatives. In the interim, we are identifying promising practices in other boards relating to this issue and we plan on meeting with Union Executives before June 30 th 2019 to plan the cascading of the appraisal process to other groups.