



## **Regional Internal Audit Team (RIAT) Engagement and Status Update**

**To:** Audit Committee

**Date:** 28 May, 2019

**Report No.:** 05-19-3645

### **Strategic Directions**

- Allocate Human and Financial Resources Strategically to Support Student Needs

### **Recommendation**

It is recommended that the Regional Internal Audit Team (RIAT) Engagement and Status Update be received.

### **Context**

The Greater Toronto and Area Regional Internal Audit Team (GTA RIAT) provides internal audit services to the six district school boards in the GTA with a focus on enterprise level activities. Updates to scheduled audits and follow up reports to date are contained in the update as of May 2019.

### **Action Plan and Associated Timeline**

For reporting purposes only.

### **Resource Implications**

Not applicable.

### **Communications Considerations**

Included in public Audit Committee minutes.

## **Board Policy and Procedure Reference(s)**

O.Reg 361/10 is applicable.

## **Appendices**

- Appendix A: GTA RIAT May 2019 Update
- Appendix B: Repairs and Maintenance Follow Up Audit

## **From**

Paula Hatt, Senior Manager, Regional Internal Audit Team at [paula.hatt@ycdsb.on.ca](mailto:paula.hatt@ycdsb.on.ca)  
or 416-937-2544.



## TDSB Regional Internal Audit Team (RIAT) Update

**Staffing:** Introduction of NEW Manager, Regional Internal Audit – **Judy Selvadurai**

Judy will be supporting regional internal audit in the six school boards within the Toronto and Area Region (Toronto DSB, Toronto Catholic DSB, Peel DSB, Dufferin-Peel Catholic DSB, York Region DSB and York Catholic DSB).

Judy is a Chartered Professional Accountant (CPA) and a Certified Internal Auditor (CIA). Judy joined York Catholic District School Board in March 2004 as the Internal Auditor and was most recently the Compliance and Financial Specialist.

Recruitment for the Regional Internal Audit Specialist position is still ongoing.

**Audit Plan Update:** The 2017-18 regional internal audit plan will be complete upon presentation of the Repairs and Maintenance Follow-up Report at this Audit Committee meeting.

The 2018-19 regional internal audit plan is also well underway.

### 2017-18 Audit Plan

Audit Report Name	Report Issuer	Status	Confirmed Fieldwork Start Date	Audit Report Date	Date Tabled at Audit Committee
Network and Application Access Management	Co-source (MNP)	Completed	Apr-18	Sept-18	Mar-19
Data Management and Back-up	Co-source (MNP)	Completed	Apr-18	Sept-18	Mar-19
Repairs and Maintenance follow-up	RIAT	Completed	June-18	Feb-19	May-19
BPS Procurement follow-up	TDSB Internal Audit	Completed	June-18	Dec-18	Dec-18

1. Network and Application Access Management
2. Data Management and Back-up
  - Complete. These two IT related engagements were performed concurrently by MNP and presented at the March 2019 Audit Committee meeting.
3. Repairs and Maintenance follow-up
  - Complete. This follow-up engagement will be presented at the May 2019 Audit Committee Meeting.
4. BPS Procurement follow-up
  - The TDSB internal audit team completed this follow-up internally.

---

**2018-19 Audit Plan**

Audit Report Name	Report Issuer	Status	Confirmed Fieldwork Start Date	Audit Report Date	Date Tabled at Audit Committee
Recruiting and Hiring	RIAT	Completed	Oct-18	Nov-18	Mar-19
Professional Development	RIAT	Not started	TBD	TBD	TBD
Review of Logical Security Access Management follow-up	RIAT	Completed	Oct-18	Nov-18	Mar-19
RIAT Risk Assessment & Audit Plan	RIAT	Reporting	Feb-18	TBD	TBD

**1. Recruiting and Hiring**

- Complete. The audit report was presented at the March 2019 Audit Committee meeting.

**2. Professional Development**

- Planning for this engagement is expected to begin in June 2019.

**3. Review of Logical Security Access Management follow-up**

- Complete. The follow-up report was presented at the March 2019 Audit Committee meeting.

**4. RIAT Risk Assessment & Audit Plan**

- The risk assessment has been completed. The RIAT is currently in the process of developing a shortlist of potential audits for inclusion in the three-year regional internal audit plan, which will be shared with management. Once agreed upon by management, this list of potential audits will be brought to the Audit Committee in September 2019 for discussion and feedback on engagements to include in the final audit plan.
-



**INTERNAL  
AUDIT TEAM**  
Toronto and Area Region

**CONFIDENTIAL**

**Toronto District School Board  
Repairs and Maintenance Follow-up**

**February 2019**

**Serving:  
Toronto District School Board**



## TABLE OF CONTENTS

<b>EXECUTIVE SUMMARY.....</b>	<b>3</b>
<b>BACKGROUND .....</b>	<b>4</b>
<b>CURRENT STATUS, FINDINGS AND RECOMMENDATIONS.....</b>	<b>5</b>
<b>APPENDIX A – ACKNOWLEDGEMENTS .....</b>	<b>11</b>
<b>APPENDIX B – REPORT DISTRIBUTION .....</b>	<b>12</b>
<b>APPENDIX C - INITIAL FINDINGS, RECOMMENDATIONS, MANAGEMENT ACTION PLANS (2013).....</b>	<b>13</b>

## EXECUTIVE SUMMARY

### Introduction

An internal audit of selected processes and controls related to repairs and maintenance at Toronto District School Board ("TDSB" or "Board") was conducted by the firm PricewaterhouseCoopers ("PwC") on behalf of the Regional Internal Audit Team ("RIAT") in fiscal year 2012/13. The audit covered the period of September 1, 2011 to August 31, 2012 and the final report was issued by PwC in 2013 ("initial audit report"). The RIAT conducted a follow-up engagement in FY2017/18 focused on assessing management's actions to address the initial audit report findings and recommendations.

### Objectives and Scope

The objective of this engagement was to assess whether adequate and effective processes and controls were implemented to mitigate the risks associated with the initial findings. The scope of this follow-up engagement was limited to findings identified in the initial audit report.

Refer to Appendix C for the findings, recommendations and management action plans from the initial audit.

### Overall Summary of Results

Management has made progress in addressing findings and recommendations from the initial audit report. From the five initial findings, there is one recommendation that is partially complete and one recommendation that is incomplete at the time of this follow-up report:

#	Finding Title	Priority	Current Status
1.1	Communication to properly record service priority	High*	Complete
1.2	Accurate and timely reporting of completion dates	High*	Complete
1.3	Explain why system completion dates are beyond set priority timelines	High*	Partially Complete
1.4	Review open work orders	High*	Complete
1.5	Introduce hand held devices	High*	Complete
2	Status of work orders not properly tracked in the system	High	Complete
3	Lack of documentation to support the confirmation of job completion	Medium	Complete
4	No tracking of vehicles used by maintenance staff	Medium	Complete
5	Lack of a formal performance appraisal process for unionized staff	Medium	Incomplete

\* Finding #1 had an overall high priority.



**BACKGROUND**

Plant Operations and Community Use, within Facility Services, manages repairs and maintenance for TDSB. Overall, there are approximately 550 maintenance trades staff. The Maintenance group has 623 facilities under its care, consisting of schools, administrative offices and rental spaces.

The maintenance group handles daily repair and maintenance service requests, while the construction area handles planned repair and maintenance projects that are more significant in cost (typically in excess of \$10,000 per project). When the maintenance staff reach capacity, work orders are delegated to one of the approximately 400 design and construction trades staff. Our follow-up procedures focused on the plant operations group, as the initial audit findings related to processes and controls therein.

To manage the high volume of repair and maintenance requests, maintenance uses the SAP work order system. This work order system allows the board to keep timelier, complete and accurate work order data and interacts with other key systems, such as the board’s financial reporting system.

**Total Volume of Work Orders by Year**

	<b>2016/17</b>	<b>2017/18</b>
<b>Total Work Orders</b>	120,135	124,700

*Source: SAP PM system*

Since the original audit engagement, management has started to roll out a mobile application solution for work order processing among trades staff. This mobile application will allow real-time status updates for work orders thereby improving work order tracking, monitoring and communication between trades staff and management.





**CURRENT STATUS, FINDINGS AND RECOMMENDATIONS**

Refer to the chart below for the RIAT’s assessment of current status (as at February 2019) based on the follow-up procedures undertaken. The findings, recommendations and management action plans from the initial audit report are included in Appendix C.

	Initial Recommendation	Current Status, Findings and Recommendations
<b>Finding #1 - Work order completion dates do not consistently agree with established service priorities</b>		
1.1	Facilities Services management should communicate to maintenance staff the importance of properly recording service priority for a given repair or maintenance notification in the SAP system. We further recommend that any changes in the service priority should be changed in the SAP system timely.	<p><b>Complete</b></p> <p>Through discussion with management and review of supporting documentation, the RIAT observed that management uses the following measures to regularly communicate to all levels of staff the importance of properly recording service priority in SAP and making any changes to service priority timely in SAP:</p> <ul style="list-style-type: none"> <li>• Established procedures capture these requirements (e.g. the Maintenance Defects Guideline and the Maintenance Notification Practices);</li> <li>• Regular meetings with maintenance staff and regional managers;</li> <li>• Weekly Plant Operations meetings attended by senior management;</li> <li>• Quarterly meetings between Family Team Leaders (FTL) and head caretakers to review proper work order practices; and</li> <li>• Emails from the Maintenance Planning Coordinator.</li> </ul>
1.2	Facility Services management should continue to coach trades staff on the importance of accurately reporting completion dates on various jobs performed. Furthermore, management should have clerical staff update the status of	<p><b>Complete</b></p> <p>We observed that management communicates to trades staff the importance of accurately reporting completion dates on various jobs performed, through means such as periodic emails from the Maintenance</p>



	Initial Recommendation	Current Status, Findings and Recommendations
	work orders in the system on a timely basis.	<p>Planning Coordinator. In addition, clerical staff update the status of work orders as timely as possible based on the current process.</p> <p>With the implementation of the mobile application that allows for real-time updating of work order status by trades staff, the risk of inaccurate recording of job completion dates due to clerical input errors will be significantly reduced. The mobile application is currently being piloted and is expected to be fully implemented by May 2019.</p>
1.3	In instances in which a work order will not be closed on a timely basis, maintenance staff should record adequate notes in SAP to explain why the system completion dates would be beyond the set priority timelines.	<p><b>Partially Complete</b></p> <p>The RIAT observed that the reason for a delay in work order completion can be recorded in SAP. However, in testing a sample of six work orders completed beyond the set priority timelines (e.g. greater than 24 hours for Priority 1 work orders), we noted that none had notes recorded in SAP to explain the delay in completion.</p> <p>Management demonstrated that the mobile application, currently being piloted, will force trades staff to select a reason for delay when pausing a work order with an option to provide additional information, photos, etc.</p> <p><u>Recommendations:</u>                      Management should continue to roll out the mobile application to all trades staff.</p> <p><u>Management Comment:</u>                      Phase 2 of the Mobile Work Order app has been implemented with the application rolled out to all trades staff on the following schedule:</p> <ul style="list-style-type: none"> <li>• Super Users and Pilot Team Live date – Jan 14, 2019</li> <li>• 200 staff go live date – March 19, 2019</li> <li>• 200 staff go live date – April 29, 2019</li> </ul>



	Initial Recommendation	Current Status, Findings and Recommendations
1.4	<p>Regional Managers and Family Team Leaders should review open work orders on a weekly basis utilizing SAP reports that show outstanding work orders. The review should be designed to validate the accuracy of open work orders, as well as to follow-up on open work orders to ensure that they are completed on a timely basis. We also recommend that the conclusion of these reviews be shared with the Senior Manager, Facility Services and Operations, on a monthly basis.</p>	<p><b>Complete</b></p> <p>We observed that there are several layers of review of open work orders by management and plant staff as follows:</p> <ul style="list-style-type: none"> <li>• Maintenance Team Leaders (MTLs) and FTLs are expected to generate SAP reports of open work orders and review/manage these.</li> <li>• Plant management and trades staff meet weekly to review outstanding work orders and monitor their progress.</li> <li>• A weekly Key Performance Indicator report is distributed to senior management, regional managers and supervisors that tracks the status of work orders.</li> </ul>
1.5	<p>Also, as opportunities for improvement, TDSB should consider the following in any future system upgrades:</p> <p>i. We recommend that the Facility Services department move forward with the plans to introduce hand held devices in the processing of repair and maintenance work orders. Hand held devices could give maintenance staff the capability to electronically close a repair or maintenance work order in 'real time'. Information held in these devices would electronically feed into the SAP system. This will ensure that statuses of repair and maintenance work orders are updated in the system on a timely basis.</p>	<p><b>Complete</b></p> <p>Hand Held Devices</p> <ul style="list-style-type: none"> <li>• Management has moved forward with plans to introduce mobile devices and is in the process of piloting these with maintenance trades staff. Full implementation and training will begin in March 2019.</li> </ul> <p>SAP Enhancement</p> <ul style="list-style-type: none"> <li>• We observed that SAP was enhanced as recommended.</li> </ul>



	Initial Recommendation	Current Status, Findings and Recommendations
	ii. Explore the ability in the SAP system to differentiate between the main job per the initial work order and any additional required work related to the same work order.	
<b>Finding #2 – Status of work orders not properly tracked in the system</b>		
2	We recommend the following: <ul style="list-style-type: none"> <li>i. Facilities Services management should develop a process to track the status of work orders in the system on a timely basis.</li> <li>ii. For the 520 work orders identified as part of our review, management should review these work orders, determine their status and update their status in the system as required.</li> </ul>	<p><b>Complete</b></p> <p>We observed that management tracks the status of work orders in SAP. However, since the work order process is currently manual, the status of work orders is not updated in real-time. With the implementation of the mobile application, managers will be able to obtain the real-time status of work orders in SAP.</p> <p>We extracted a list of open work orders from SAP and found that none of the 520 work orders identified as outstanding during the initial review were open.</p>
<b>Finding #3 – Lack of documentation to support the confirmation of job completion</b>		
3	We understand that the Facilities Services management has plans to capture trade staff signatures electronically through hand held devices. We recommend that management move forward with these plans at the earliest opportunity in order to have a documented confirmation from school Principals that jobs have been adequately and properly completed.	<p><b>Complete</b></p> <p>Through discussion with management, we noted that although mobile devices are currently being piloted, they will not have the ability to capture trade staff signatures electronically.</p> <p>However, compensating controls are in place to confirm that work orders are complete, thereby mitigating the risk of a job being inadequately or improperly completed:</p>



	Initial Recommendation	Current Status, Findings and Recommendations
		<ul style="list-style-type: none"> <li>i. MTLs conduct random inspections on a sample of completed work orders.</li> <li>ii. The principal has access to Ebase and can see the status of work orders at their location. Follow up can be made if the status is not in line with their understanding.</li> <li>iii. Principals / head caretakers can make a complaint to their FTL if work is incomplete</li> </ul> <p>We tested a sample of 13 work orders and found no evidence that the job was performed inadequately or was incomplete.</p>
<b>Finding #4 – No tracking of vehicles used by maintenance staff</b>		
4	<p>We understand that Facilities Services management has plans to implement GPS tracking devices on all maintenance vehicles this year. We recommend that management move forward with the plans to install a GPS tracking system.</p>	<p><b>Complete</b></p> <p>Through discussion with management and review of supporting documentation, we noted that a telematics system for the entire plant operations fleet was implemented in 2013.</p> <p>Since implementation, management has been able to monitor various key performance indicators, reduce avoidable idling, plan based on route optimization, right size the fleet, track staff, and respond efficiently to emergencies.</p>
<b>Finding #5 – Lack of a formal performance appraisal process for unionized staff</b>		
5	<p>It is our understanding that the accountability for the implementation of this finding lies with the Human Resources Department.</p> <p>We recommend that the Facility Services</p>	<p><b>Incomplete</b></p> <p>Through discussion with management, we noted that a performance appraisal process for unionized staff has not yet been implemented. The</p>



	Initial Recommendation	Current Status, Findings and Recommendations
	<p>department consider establishing a formal appraisal process for its unionized facility staff in coordination with the Human Resources Department.</p> <p>We understand that such a process, may not be implemented immediately and as such, we would recommend that Facilities Services management implement an interim process that is more formalized to document staff performance and identify gaps and remediation steps. This could include documenting the meeting held to discuss performance and follow-up actions such as recommendation for training.</p>	<p>RIAT acknowledges that there are challenges in developing a performance appraisal process.</p> <p>To mitigate the risk, management has implemented the following measures:</p> <ul style="list-style-type: none"> <li>• Appraisal of performance during the new hire probation period in order to determine eligibility to become permanent.</li> <li>• A progressive discipline process to resolve performance issues.</li> <li>• Ensuring that trades staff have taken any compulsory training required to undertake assigned duties.</li> </ul> <p><u>Recommendation:</u>                      Management should continue to work jointly with Human Resources to establish a performance appraisal process for unionized staff.</p> <p><u>Management Response:</u>                      Performance appraisals for Apprentices has been initiated and is an on-going process. For permanent maintenance employees, the current collective agreements will be followed.</p>



## **APPENDIX A – ACKNOWLEDGEMENTS**

We would like to take this opportunity to thank the management and staff of the TDSB for their support and assistance during this engagement.

### **Conducted by:**

Shelley Ramessar, CPA, CMA  
Regional Internal Audit Specialist

### **Reviewed by:**

Paula Hatt, CPA, CA, CIA  
Senior Manager, Regional Internal Audit



## **APPENDIX B – REPORT DISTRIBUTION**

This report is intended primarily for the information and use of the individuals on the distribution list and should not be provided to any other individuals without the consent of the Senior Manager, Regional Internal Audit, Toronto and Area.

This report has been distributed to the following individuals:

- Toronto District School Board Audit Committee
- Dr. John Malloy, Director of Education
- Carlene Jackson, Associate Director, Business Operations and Service Excellence
- Craig Snider, Acting Associate Director, Business Operations and Service Excellence
- Steve Shaw, Executive Officer, Facility Services



**APPENDIX C - INITIAL FINDINGS, RECOMMENDATIONS, MANAGEMENT ACTION PLANS (2013)**

The following chart contains the initial findings, recommendations and management action plans from the TDSB Repairs and Maintenance Audit Report (2013).

#	FINDING	RECOMMENDATION	MANAGEMENT ACTION PLAN (2013)
1	<p><b>Work order completion dates do not consistently agree with established service priorities</b></p> <ul style="list-style-type: none"> <li>In some instances, the completion status of the work orders was not consistently updated in the SAP system on a timely basis.</li> <li>In some instances, work order completion dates do not consistently agree with the Board's established service priorities.</li> </ul> <p>A. Specifically, we randomly selected a sample of 19 work orders and noted the following:</p> <ul style="list-style-type: none"> <li>4 of the 19 (21%) work orders selected for testing had an urgent priority. Per the Maintenance Service Priorities outlined in the Caretaking Handbook, service for urgent work should be completed within 5 days. In the SAP system, these work orders had completion dates that were between 2 - 5 months; this was based</li> </ul>	<p>i. Facilities Services management should communicate to maintenance staff the importance of properly recording service priority for a given repair or maintenance notification in the SAP system. We further recommend that any changes in the service priority should be changed in the SAP system timely.</p>	<ul style="list-style-type: none"> <li>The department has already adopted a number of the recommendations and is in the process of reinforcing them with staff. An initial meeting was held on May 23, 2013 with Maintenance Team Leaders ("MTL") to reinforce the importance of ensuring that trades staff understand the implications of the priority field and the timelines associated with them. They are now in the process of following up with trades staff. In addition, we will be communicating with trades staff and team leaders that any changes to Priority must be updated immediately.</li> <li>Head Caretakers will be instructed not to create duplicate Notifications for requests previously submitted.</li> <li>Team Leaders have been reminded to monitor duplicated requests.</li> <li>MTL's have been reminded to change the work order completion date to reflect the estimated finish date.</li> <li>Periodic Audit reports will be run to monitor estimated completion date vs. actual completion date.</li> </ul> <p>Position(s) Responsible: Senior Manager, Operations Implementation Deadline: December 31, 2013 – for work order related issues; December 31, 2014 for</p>



#	FINDING	RECOMMENDATION	MANAGEMENT ACTION PLAN (2013)
	<p>on a comparison of the dates shown in the Action Log (The "Outstanding Notification" date &amp; "Date for Notification Completion").</p> <p>- For these 4 work orders, we also traced the dates of actual work performed by the maintenance staff based on a review of the "Act Finish" field in the SAP "Display Confirmations" screen and noted that the work orders were completed between 24 days and 3 months.</p> <p>B. We randomly selected a sample of 15 inspection reports for testing noting the following:</p> <ul style="list-style-type: none"> <li>3 of the 15 (20%) inspection reports selected for testing had deficiencies noted and therefore subsequent work orders were opened to remediate these deficiencies. These work orders had an urgent priority. Per the Maintenance Service Priorities outlined in the Caretaking Handbook, service for Urgent Work should be completed within 5 days. Based on a review of the "Act Finish" field in the SAP "Display Confirmations" screen, we noted that the work orders had completion dates that were between 6 and 11 days after they were opened.</li> </ul>	<p>ii. Facility Services management should continue to coach trades staff on the importance of accurately reporting completion dates on various jobs performed. Furthermore, management should have clerical staff update the status of work orders in the system on a timely basis.</p> <p>iii. In instances in which a work order will not be closed on a timely basis, maintenance staff should record adequate notes in SAP to explain why the system completion dates would be beyond the set priority timelines.</p>	<p>recommendations re: Telematics, Phase II</p> <ul style="list-style-type: none"> <li>As part of the May 23, 2013 MTL meeting, the issue of accuracy of information was raised. We will be putting into place a number of initiatives such as daily updating of timesheets in order to ensure that information is captured accurately in SAP. This has also been identified as a major issue in our Telematics program and we are looking at a process to capture this data in real time during the phase II process.</li> <li>Facilities Services will review all training requirements to ensure that current training meets the needs of our end users in SAP.</li> </ul> <p>Position(s) Responsible: Senior Manager, Operations                      Implementation Deadline: December 31, 2013 – for work order related issues; December 31, 2014 for recommendations re: Telematics, Phase II</p> <ul style="list-style-type: none"> <li>As part of the May 23, 2013 MTL meeting, the issue of completion dates was also addressed. In most instances, work goes beyond the stated completion times as a result of parts availability or other delays beyond our control. The work order stamp was developed to keep stakeholders informed as to the status of work, and it was believed that this would adequately meet this requirement. In light of this recommendation, we will take steps to ensure that this information is recorded in SAP.</li> <li>All staff will be required to use the "Activities" in a Notification for communicating "Intent" and "what was done" back to the requestor.</li> </ul>



#	FINDING	RECOMMENDATION	MANAGEMENT ACTION PLAN (2013)
	<ul style="list-style-type: none"> <li>1 of the 15 (7%) inspections reports selected for testing was missing and as such, we were not able to determine if the inspection was completed (Play Area Equipment Inspection - Non-Regulatory).</li> </ul>		<ul style="list-style-type: none"> <li>Each Team Leader will be required to generate various weekly reports for his/her Planner Group.</li> </ul> <p>Position(s) Responsible: Senior Manager, Operations                      Implementation Deadline: December 31, 2013 – for work order related issues; December 31, 2014 for recommendations re: Telematics, Phase II</p>
		<p>iv. Regional Managers and Family Team Leaders should review open work orders on a weekly basis utilizing SAP reports that show outstanding work orders. The review should be designed to validate the accuracy of open work orders, as well as to follow-up on open work orders to ensure that they are completed on a timely basis.</p> <p>We also recommend that the conclusion of these reviews be shared with the Senior Manager, Facility Services and Operations,</p>	<ul style="list-style-type: none"> <li>Currently, all Facility Services (“FS”) Managers are provided with a report of all open work orders on a monthly basis. It was felt that this was an optimal time period due to the length of time it takes for the work flow to occur. We will investigate increasing the frequency to weekly.</li> </ul> <p>Position(s) Responsible: Senior Manager, Operations                      Implementation Deadline: December 31, 2013 – for work order related issues; December 31, 2014 for recommendations re: Telematics, Phase II</p>



#	FINDING	RECOMMENDATION	MANAGEMENT ACTION PLAN (2013)
		<p>on a monthly basis.</p> <p>Also, as opportunities for improvement, TDSB should consider the following in any future system upgrades:</p> <p>i. We recommend that the Facility Services department move forward with the plans to introduce hand held devices in the processing of repair and maintenance work orders. Hand held devices could give maintenance staff the capability to electronically close a repair or maintenance work order in 'real time'. Information held in these devices would electronically feed into the SAP system. This will ensure that statuses of repair and maintenance work orders are updated in the system on a timely basis.</p> <p>ii. Explore the ability in the SAP system to differentiate between the main job per the initial work order and any additional required work related to the same</p>	<p>Response to Improve Opportunity (i)</p> <ul style="list-style-type: none"> <li>This work is already underway as part of the Telematics project, Phase II.</li> </ul> <p>Response to Improve Opportunity (ii)</p> <ul style="list-style-type: none"> <li>We are investigating the best way to address this issue. Currently we have the option of closing the work order for the emergency response portion and then creating a second work order for the ancillary work required to fully address the situation, but this is not an optimal solution. SAP has the capability of creating sub work orders and that may prove to be a better approach. Staff will evaluate both approaches to determine the optimal solution.</li> </ul> <p>Position(s) Responsible: Senior Manager, Operations                      Implementation Deadline: December 31, 2013 – for work order related issues; December 31, 2014 for recommendations re: Telematics, Phase II</p>



#	FINDING	RECOMMENDATION	MANAGEMENT ACTION PLAN (2013)
		work order.	
2	<p><b>Status of work orders not properly tracked in the system</b></p> <p>Through our review of an electronic file of SAP work orders that were processed during the audit period of September 1 2011 and August 31, 2012, we noted some instances where the statuses of the work orders are not properly tracked in the system.</p> <p>Specifically, we noted that the following:</p> <ul style="list-style-type: none"> <li>• There were 520 work orders with Service Priorities of 1 &amp; 2 that had been opened during the audit period, and that still showed a status of 'REL' (Released) as of the start of the audit fieldwork date of March 2013. Management did not provide any additional information as to why the work orders were not closed in the system as of March 2013.</li> </ul> <p>- Through our discussion with the Facilities management, we were advised that these work orders had been completed during the audit period but were not properly closed in the system. Management did not have any supporting documentation in the system to evidence that these work orders have been closed.</p>	<p>We recommend the following:</p> <ol style="list-style-type: none"> <li>Facilities Services management should develop a process to track the status of work orders in the system on a timely basis.</li> <li>For the 520 work orders identified as part of our review, management should review these work orders, determine their status and update their status in the system as required.</li> </ol>	<p>Responses to Recommendation (i)</p> <ul style="list-style-type: none"> <li>• MTL's will be required to review all work orders weekly, based on status and basic finish date. The CMMS Team is working with the SAP Team to investigate automated solutions to the issue such as a visual reminder that clearly identifies status. Previously we had a 3 color system "traffic light" that changed from green to yellow to red as the work order progressed beyond timelines. We will be requesting that this feature be reinstated.</li> <li>• Default dates in SAP have been changed, forcing users to remove the date to view all work orders in process.</li> <li>• CMMS Team is investigating changing the basic start date on a work order to default to the date the work order was created. This will create a more accurate depiction of the required timelines.</li> </ul> <p>Response to Recommendation (ii)</p> <ul style="list-style-type: none"> <li>• Staff is reviewing each of these work orders to determine the status. Those that are still required will be acted on.</li> </ul> <p>Person(s) Responsible: Senior Manager, Operations                      Implementation Deadline: December 31, 2013</p>



#	FINDING	RECOMMENDATION	MANAGEMENT ACTION PLAN (2013)
	<ul style="list-style-type: none"> <li>There were 272 work orders with Service Priorities of 1 &amp; 2 that showed a status of 'TECO' (Technically Completed) as of March 2013. Through our business process interviews, we understood the 'TECO' system status as being used to denote work orders that remain open for 60 days after the actual completion date pending receipt of invoices. We did not have any additional information as to why the work orders remained in this status even after the 60-day timeframe had passed.</li> </ul>		
3	<p><b>Lack of documentation to support the confirmation of job completion</b></p> <p>We noted that the signed 'work order stamp' documents are not retained on file to support the school Principals or Head Caretaker's confirmation that a given job was completed.</p> <p>Specifically we noted the following:</p> <ul style="list-style-type: none"> <li>19 out of 19 (100%) repair and maintenance work order samples selected for testing had no signed work order stamp documents to support confirmation that the job was completed.</li> </ul>	<p>We understand that the Facilities Services management has plans to capture trade staff signatures electronically through hand held devices. We recommend that management move forward with these plans at the earliest opportunity in order to have a documented confirmation from school Principals that jobs have been adequately and properly completed.</p>	<p>Staff within the department is already working on an electronic version of the work order stamp as part of Phase II of the Telematics Project. Part of a much larger initiative, it is anticipated that we will be able to record customer confirmation using electronic signature capture on a smart phone. This revised work order stamp will then be uploaded to SAP and stored with the work order.</p> <p>Management Action Plan                      Person(s) Responsible: Senior Manager, Operations                      Implementation Deadline: December 31, 2014</p>



#	FINDING	RECOMMENDATION	MANAGEMENT ACTION PLAN (2013)
	<ul style="list-style-type: none"> <li>• 10 out of 10 (100%) emergency repairs work order samples selected for testing had no signed work order stamp documents to support confirmation that the job was completed.</li> <li>• 15 out of the 15 (100%) inspection reports completed by internal staff selected for testing had no signed work order stamp documents to support confirmation that the job was completed.</li> </ul>		
4	<p><b>No tracking of vehicles used by maintenance staff</b></p> <p>We noted that TDSB does not have a tracking mechanism in place to track the location of the maintenance vehicles in use by maintenance staff. As such, management cannot accurately monitor travel time.</p>	<p>We understand that Facilities Services management has plans to implement GPS tracking devices on all maintenance vehicles this year. We recommend that management move forward with the plans to install a GPS tracking system.</p>	<p>Facility Services has received approval to purchase and implement a Telematics system, has gone through an RFP and selection process and has identified a proponent. In addition, staff developed extensive set of guidelines and procedures related to the operation of the system. Installation and testing of the system has begun in a limited number of vehicles, with full implementation expected by mid-August.</p> <p>Person(s) Responsible: Senior Manager, Operations                      Implementation Deadline: Phase I Telematics, September 1, 2013</p>
5	<p><b>Lack of a formal performance appraisal process for unionized staff</b></p> <p>We noted that the Facility Services department does not have a formal performance appraisal review process for unionized staff.</p>	<p>It is our understanding that the accountability for the implementation of this finding lies with the Human Resources Department.</p> <p>We recommend that the Facility Services department consider</p>	<ul style="list-style-type: none"> <li>• Development and Implementation of a formal performance appraisal system is not within the purview of the FS Department. The department anticipates that a formal performance appraisal process will be developed shortly and commits to working with staff from Employee Services to develop and implement it.</li> <li>• It is not possible to unilaterally implement a performance</li> </ul>



#	FINDING	RECOMMENDATION	MANAGEMENT ACTION PLAN (2013)
		<p>establishing a formal appraisal process for its unionized facility staff in coordination with the Human Resources Department.</p> <p>We understand that such a process, may not be implemented immediately and as such, we would recommend that Facilities Services management implement an interim process that is more formalized to document staff performance and identify gaps and remediation steps. This could include documenting the meeting held to discuss performance and follow-up actions such as recommendation for training.</p>	<p>management system in isolation of the rest of the TDSB.</p> <p>Management Action Plan                      Person(s) Responsible: Employee Services                      Implementation Deadline: TBD</p>