



SUBJECT: Summary of audit results - health, safety & wellness

TO: Audit Committee

FROM: City Auditor's Office

Report Number: CA-04-19

Wards Affected: Not applicable

File Numbers: 430-03-Human Resources

Date to Committee: April 3, 2019

Date to Council: April 23, 2019

Recommendation:

Receive and file City Auditor's report CA-04-19 providing summary of audit results – health safety and wellness audit in Appendix A.

Purpose:

Provide information and consider reports from the City Manager and/or City Auditor about the recent audit issues identified and the steps documented to resolve them, including management's response to these audit concerns.

An Engaging City

- Good Governance
-

Background and Discussion:

The city is required to comply with the Occupational Health and Safety Act R.S.O. 1990, Chapter O.1 and supplementary regulations. Health, Safety and Wellness is a sub-service with the primary objectives of conformity with legislative requirements (compliance) and safe and effective operations (prevention). This audit was included in the work plan based on the results of the inherent risk assessment, last updated in the fall of 2017.

Strategy/process

Overall Audit Rating – **GOOD** (details of the overall audit ratings are located on page 23 of Appendix A to this report).

Summary of Audit Findings & Severity (Measure of Residual Risk)

Category	High	Medium	Low
Management Leadership & Employee Participation	-	2	2
Corporate Health & Safety Standards	-	-	-
Job Hazard Analysis/Safe Job Procedures	-	-	1

Details of Audit Finding Severity Scale are located on page 23 of Appendix A to this report.

The audit report is as follows:

- Summary of Audit Results begins on page 1 of Appendix A to this report.
- Detailed Audit Report begins on page 6 of Appendix A to this report.
- Detailed Findings, Recommendations & Management Action Plans begin on page 14 of Appendix A to this report.

The preliminary findings and recommendations were discussed with the Health & Safety Coordinator on November 22, 2018 and the final audit closing meeting was conducted with the Director, Human Resources and the Health & Safety Coordinator on January 7, 2018. The final report was issued on February 7, 2019 as of December 3, 2018. The final closing meeting was postponed from December 10 to January 7 to allow the Director Human Resources to deal with urgent matters. The final report issuance was delayed until February given vacation schedules.

Financial Matters:

City Auditor Involvement

- Estimated audit hours for completion: 200 - 250 hours
- Actual hours required to complete: 241 hours

Estimated audit hours were based on general guidelines.

Other Resource Impacts

This audit required direct interaction with a management and staff in Human Resources and other departments totaling approximately 78 hours including:

- participation in planning meetings requiring approximately 17 hours,

- discussion (interviews, review of information/process, etc.) with 53 members of management and staff requiring approximately 57 hours, and
- participation in report review meetings requiring approximately 4 hours.

All full- and part-time employees were invited to participate in the Health, Safety & Wellness Climate and Culture survey delivered on-line and in paper formats. Each of the 487 respondents needed approximately 10-12 minutes to complete the survey resulting in a total of approximately 81 hours expended.

Management and staff will have spent additional time reviewing planning documents and draft reports, as well as, preparing management action plans. The amount of time required for these activities is not tracked by the City Auditor.

Connections:

Not applicable.

Public Engagement Matters:

Not applicable.

Conclusion:

Processes and activities are in place to support health, safety, and wellness in the City and to achieve conformity with legislative requirements and safe and effective operations. There is opportunity to enhance and improve the management system to continue the integration of policies and programs into all management activities. Full integration is a foundation for success and reinforces that management of health and safety is not an optional extra to existing management and supervisory activities.

Respectfully submitted,

Sheila M. Jones, CIA, CFE, CGAP, CRMA, CCSA

City Auditor

905-335-7600 ext. 7872

Appendices:

- A. CA-04-19 Health Safety and Wellness Audit Report

Report Approval:

All reports are reviewed and/or approved by Department Director, Director of Finance and Director of Legal. Final approval is by the City Manager.