

Building Standards Audit – Phase 2

Audit Committee – April 25, 2022



Today's Presentation

- Audit Objective
- Scope and Methodology
- Audit Conclusion
- Management Action Plans
- Next Steps
- Questions

Audit Objective

To evaluate the adequacy and effectiveness of the internal controls, processes and procedures in place to mitigate the business risks associated with the management and administration of the Inspection and Compliance related processes.

Audit Scope & Methodology

- Review of strategic goals, objectives, policies and procedures and management oversight
- On-site observations
- Use of technology
- Staff interviews
- The scope of the audit covered department activities for the period of January 2020 to September 2021.

Audit Conclusion

While Building Standards has made significant progress on several initiatives over the past number of years, further improvements will be required to ensure risks related to the inspection and compliance processes are mitigated.

Issues and Observations

The following opportunities were identified:

- Improve oversight and the controls over outstanding violations and investigations.
- Develop a policy for prosecution files process.
- Develop inspection documentation standards and leverage technology to improve inspection records.
- Develop an action plan to monitor and resolve inactive building permits.

Management Action Plans

Oversight and Controls over Outstanding Violations and Investigations

- SOP #IS-003-20, “Managing Orders for Compliance”
- SOP #IS-004-20, “Managing Investigations / Complaint Files”
- Risk-based approach to resolve older Orders, Investigations / Complaints

Management Action Plans

Preparation, Documentation, Supervision and Follow-up of Prosecution Files

- AMANDA LPRO folders
- New SOP in Q2, 2022

Management Action Plans

Inspection Results Documentation SOP

- Develop new SOP in consultation with the City's Legal Services and Access and Privacy Officer for inspection documentation

Management Action Plans

Monitor and Resolve Inactive Building Permits

- Dashboard reporting system for inactive permits
- SOP #IS-006-21, “Managing Building Permits to Maintain and Active Status”
- Review 2008 Outstanding Building Permits Policy

Next Steps

- Action plans have been developed
- Implementation is underway or completed
- Internal Audit will follow up and report on the status of these action plans



Questions?





Thank You

