

Transportation

SUMMARY

DEPARTMENT

Matters from the current audit

There are no new recommendations to the Department of Transportation in this report.

Matters from prior audits

The Department of Transportation has implemented the following prior-year recommendations:

- develop and implement an IT risk assessment framework—see below
- implement a policy for vehicle use—see below
- manage access to the computer application used to manage contracted work for maintenance of provincial highways—see page 152

FINDINGS AND RECOMMENDATIONS

Matters from prior audits

IT risk assessment—implemented

Our audit findings

The department implemented our 2009 recommendation¹ to develop and implement an IT risk assessment framework by determining a process to assess risks within IT projects, the IT group and the department.

The department is maintaining a register of information technology threats and risks that could have an impact on business activities. The department's threat and risk management team assesses risks at the department level. The team includes the information technology group and is led by the business area. The information technology group, with business area participation, assesses risk at the IT group and IT project level.

Vehicle use policy—implemented

Our audit findings

The department implemented our 2012 recommendation² to implement a policy about vehicle use, with due regard for economy.

The department implemented its policy on vehicle management and use, in October 2012. Under the policy, employees who drove 20,000 kilometres in the prior year, or who expected to drive at least 20,000 kilometres in the current year, would be provided with vehicles to use while on government business.

¹ *Report of the Auditor General of Alberta—October 2009*, page 329.

² *Report of the Auditor General of Alberta—October 2012*, no. 29, page 142.

Monitoring access and data entry to the Program Management Application—implemented

Our audit findings

The department implemented our 2012 recommendation³ to improve its processes to:

- monitor access to the program management application to ensure that staff have only the level of access they need to perform their work
- ensure that contract information entered into the application is complete, accurate and authorized

The department took the following actions to implement the recommendation:

- removed access for those not requiring the access for their jobs
- generated a report to identify where contract managers were also assigned a maintenance contractor inspector role, and removed their MCI access role
- required end dates for delegated MCI roles, not to be later than fiscal year end
- implemented a process to have operations managers and MCIs review the bid items for accuracy and completeness and confirm them with the system administrator

OUTSTANDING RECOMMENDATIONS

DEPARTMENT

The following recommendations are outstanding and not yet ready for follow-up audits:

Commercial vehicle safety: Progressive sanctions—October 2009, no. 14, p. 127

We recommend that the Department of Transportation strengthen enforcement processes relating to, or arising from, roadside inspections.

Managing structural safety of bridges: Assessing whether to contract out program delivery—October 2012, no. 5, p. 26

We recommend that the Department of Transportation regularly assess whether it should contract out inspections or do them itself.

Management has identified these recommendations as implemented—to be confirmed with follow-up audits:

Improve processes to value donated assets in the department financial statements—October 2010, p. 197

We recommend that the Department of Transportation:

- enter into agreements with donors that:
 - provide the Department of Transportation with assurance on the fair value of the donated assets
 - specify whether donation receipts will be issued
- document its support for the valuation reported in its financial statements, including the procedures performed, assumptions made and source documents reviewed

Managing structural safety of bridges: Design of level 1 visual inspections—October 2012, no. 1, p. 21

We recommend that the Department of Transportation improve its inspection processes by ensuring that it collects all the information it needs to assess the quality of inspections.

Managing structural safety of bridges: Quality of inspections—October 2012, no. 2, p. 23

We recommend that the Department of Transportation regularly assess whether contractors perform inspections following its standards and take corrective action if they do not.

³ Report of the Auditor General of Alberta—October 2012, no. 28, page 141.

Managing structural safety of bridges: Inspector certification—October 2012, no. 3, p. 24

We recommend that the Department of Transportation ensure that contractors who perform inspections are properly certified.

Managing structural safety of bridges: Timeliness and completeness of inspections—October 2012, no. 4, p. 25

We recommend that the Department of Transportation ensure that bridges are inspected as frequently as its standards require.

Managing structural safety of bridges: Contracting level 1 bridge inspections—October 2012, no. 6, p. 27

We recommend that the Department of Transportation improve its process to contract its level 1 inspections by:

- documenting how it establishes criteria for assessing candidates and awards points for each criterion
- ensuring proposal requirements do not limit qualified candidates

Managing structural safety of bridges: Controls over access to the bridge information system—October 2012, no. 7, p. 28

We recommend that the Department of Transportation improve its processes to monitor access to the computer system that manages bridge inventory and inspections.

Managing structural safety of bridges: Maintenance activities—October 2012, no. 8, p. 29

We recommend that the Department of Transportation improve the information that senior management receives on inspector activities, results, maintenance and other actions.

Managing structural safety of bridges: Capital planning—October 2012, no. 9, p. 31

We recommend that the Department of Transportation ensure that it gives decision makers the information they need to assess the impact of funding alternatives on bridge safety and protection of the province's investment.

