

Date January 16, 2019
To Members of York Region Rapid Transit Corporation Board of Directors
Copy Bruce Macgregor, Lina Bigioni, Christopher Raynor
Paul May, Dale Albers, Antoinette Bozac, Michael Cheong, Noeline Chipun, Narendra Shah
From Mary-Frances Turner, President, York Region Rapid Transit Corporation
Subject **Metrolinx Master Agreement & Key Protocols Quality Compliance Audit – Schedule “G” and “G1” Communications Protocols**
Ref: YORK-#9084833

The purpose of this memorandum is to inform the YRRTC Board of the results of the 2018 Quality Compliance Audit conducted by the Metrolinx Capital Projects Group on the current Metrolinx Master Agreement – Schedule “G” and “G1” Communications Protocols.

Background

In 2017, Quality Compliance Audits were conducted by Metrolinx without any findings, on the following three key protocols of the Metrolinx Master Agreement:

- Procurement Protocol – completed on April 18, 2017
- Administrative and Financial Protocol – completed on September 12, 2017
- Real Estate Protocol – completed on November 15, 2017

Summary of the results of the Quality Compliance Audits on the Metrolinx Master Agreement and Key Protocols conducted to date are outlined in Appendix A below.

On September 19, 2018, Metrolinx notified YRRTC that Quality Compliance Audits were to be conducted on an additional two protocols of the Metrolinx Master Agreement, as part of their ongoing audit work plan.

The following two audits were identified:

1. Schedule “I” Amended Cost Confidence Process – completed on November 27, 2018
2. Schedule “G” and “G1” Communications Protocols – completed on November 28, 2018

Schedule “G” and “G1” Communications Protocols

The scope of the audit focused on:

- YRRTC’s compliance with the procedures and processes as outlined in the protocols; and
- YRRTC’s compliance with the MX-YRRTC Joint Communications Working Group, project specific communications, major announcements/events including media releases and events, incident management/crisis plans, communications during exceptional events.

Results – Schedule “G” and “G1” Communications Protocols

The Quality Compliance Audit was carried out with one minor finding in auditing areas, as per the audit scope, observations and samples:

- 0 Major Corrective Action and Preventive Action (CAPA) issues for non-conformance
- 1 Minor Corrective Action and Preventive Action (CAPA) issues for non-conformance
 - There was a minor non-compliance identified – Schedule “G” and “G1”, Communications Protocols require that the MX-YRRTC Joint Communications Working Group report to the Program Executive Group and the designated co-chairs of the MX-YRRTC Joint Communications Working Group take turns attending the Program Executive Group.
- 0 Opportunity for Improvement

Additional Comments from the Metrolinx auditors

- The YRRTC team was cooperative and well prepared for the audit
- The YRRTC team provided evidence in a timely manner
- The documents provided were organized and properly labelled

YRRTC Management Response

YRRTC has corresponded with Metrolinx that Schedule “G” and “G1”, Communications Protocols, are not part of the Program Executive Group’s scope in Section 2.5 of the Master Agreement, but instead part of the scope of the Senior Staff Working Group’s scope in Paragraph (iii) of the Section 2.6(a) of the Master Agreement, with which YRRTC currently complies.

For your reference, outlined in Attachment 1 are the results of the 2018 Metrolinx Quality Compliance Audit – Schedule “G” and “G1” Communications Protocols contained in the auditors’ report dated December 18, 2018. The report has been signed off by Metrolinx Senior Staff, and a copy has been provided to YRRTC for its records and information management. On January 7, 2019, YRRTC has provided an acknowledgment of this audit report to Metrolinx Senior Staff, as outlined in Attachment 2.

For more information on this memo and related attachments, please contact Michael Cheong, Chief Financial Officer, York Region Rapid Transit Corporation at 905-886-6767, Ext. 71015.

Mary-Frances Turner, President

Attachments: (2)

- 1. Metrolinx Compliance Audit Report to YRRTC, December 18, 2018
- 2. YRRTC Acknowledgment Memo to Metrolinx, January 7, 2019

Appendix A: Summary of the results of the Quality Compliance Audits on the Metrolinx Master Agreement and Key Protocols conducted to-date

Metrolinx Master Agreement – Key Protocols	Completed	Results	Date of Audit
Schedule A-1 – Procurement Protocol	✓	No findings	Apr. 18, 2017
Schedule B – Real Estate Protocol	✓	No findings	Nov. 15, 2017
Schedule C – Description of Projects			
Schedule D – Administrative and Financial Protocol	✓	No findings	Sep. 12, 2017
Schedule E – Third Party Agreements			
Schedule F – Excluded Assets			
Schedule G and G1 – Communications Protocols	✓	Minor finding	Nov. 28, 2018
Schedule H – Capital Cost Eligibility Criteria			
Schedule I – Amended Cost Confidence Process	✓	No findings	Nov. 27, 2018
Schedule J – Access and Operating Principles			
Schedule K – Project Charter Template			