



# **Capital Projects Group Compliance Audit Report Master Agreement - Schedule G and G-1 Communications Protocols**

Revision 0

Approval Date: 18/12/2018

# Authorization

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Revision	Purpose of Submittal	Date (DD/MM/YYYY)	Comments
0	Approved	18/12/2018	

# Executive Summary

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## Overview

The Capital Projects Group (CPG) Quality Compliance Audit Team conducted a Compliance Audit on November 28, 2018, at the York Region Rapid Transit Corporation (YRRTC) office located at 3601 Highway 7 in Markham, Ontario as part of their Second-party Compliance Audit Program.

The purpose of this audit was to assess compliance against the Master Agreement between Metrolinx and YRRTC. The scope of the audit included Schedules G and G-1. Schedule G contains Metrolinx-YRRTC Communications Protocol, and Schedule G-1 includes Communications Protocol for the Alternative Financing and Procurement (AFP) Bundle.

The Master Agreement was executed on October 1, 2009, between Metrolinx, YRRTC, and Regional Municipality of York (York Region). Through this Master Agreement, Metrolinx grants YRRTC the limited delegated authority to oversee the management and implementation of the Program on a day-to-day basis.

The Master Agreement assigns public consultation and Program communications responsibilities to YRRTC in Section 2.2 (e) and (f), which reads as follows:

*Subject to Metrolinx's direction and oversight and, where required by Project Charters or other provisions of this Agreement, subject to Metrolinx's approval, YRRTC, as Program Manager, will be responsible for:*

*(e) public consultation and developing outreach programs during the planning and construction of each Project, subject to the Communications Protocol;*

*(f) Program communications and intergovernmental relations in accordance with the Communications Protocol...*

Schedules G and G-1 along with the other Schedules, form part of the Master Agreement. These Schedules outline protocols for communications, major announcements, media releases, and issues management.

These Communications Protocols emphasize the importance of joint communication activities and acknowledge that these activities will enhance opportunities for open, transparent, effective, and proactive communications with the public. The protocols recognize the contribution of the Parties under the Master Agreement.

The Auditors included the following activities from the Communications Protocols:

- Joint Communication Working Group
- Project Specific Communications
- Major Announcements and Events
- Media Release and Events
- Issues Management and Crisis Plan
- Communication during Exceptional Events (for example, elections)

An audit checklist was developed to cover the scope of this audit and was communicated with the Auditee Team prior to initiating the audit opening meeting. Samples of compliance evidence were

received from the YRRTC Auditee Representatives in response to the audit questions. These samples were reviewed and compared against the requirements of the Communications Protocols.

YRRTC Management and Representatives were cooperative, hospitable and supported the Audit Team. The audit was completed within the agreed time frame and in accordance with the Audit Plan. The closing meeting took place on November 28, 2018, at the same YRRTC office where the audit was initiated.

## Conclusions

Evidence samples assessed during the audit indicate that the YRRTC is generally in compliance with the Master Agreement, with the exception that the Joint Communications Working Group does not report to the Program Executive Group as required by Schedules G and G-1. As a result, the designated Co-chairs of the Joint Communications Working Group do not take turns attending the Program Executive Group. The Auditors found that the Joint Communications Working Group reports to the Senior Staff Working Group instead of the Program Executive Group.

YRRTC Representatives considered this to be a consequence of a disconnect between the Master Agreement and Schedules G and G-1, as the Master Agreement does not state such responsibilities in Section 2.5, where the Program Executive Group's responsibilities are defined. They pointed out that the Master Agreement defines such responsibilities for the Senior Staff Working Group in Section 2.6, Subsection (iii).

Upon further discussion, the Audit Team concluded that the Master Agreement states in Section 1.2 that the terms of the Schedule prevail in cases of inconsistency between the Master Agreement and any Schedule to the Agreement. Therefore, this identified audit finding has been recorded as a minor noncompliance against the requirements of Schedules G and G-1 in this Audit Report. The identified finding will also be documented in a Corrective and Preventive Action (CAPA) report (refer to CAPA-RT-VNBRT-YRRTC-2018-002 for details) in accordance with Metrolinx audit procedures (as referenced in Table 0-1). This minor noncompliance report will require corrective actions for closure.

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## Documents

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TABLE 0-1 REFERENCES

Reference	Title
3325148-v9-FINAL	<i>Master Agreement</i>
CPG-QAT-FRM-092	<i>Compliance Audit Report Template</i>
CPG-QAT-PRO-004	<i>Compliance Audit Procedure</i>
CPG-QAT-PRO-005	<i>Continual Improvement Procedure</i>

## Acronyms and Abbreviations

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TABLE 0-2 ACRONYMS AND ABBREVIATIONS

Acronym or Abbreviation	Definition
AFP	Alternative Financing and Procurement
CAPA	Corrective Action and Preventive Action
CPG	Capital Projects Group
Program	Second-party Compliance Audit Program
York Region	Regional Municipality of York
YRRTC	York Region Rapid Transit Corporation

# 1. Report Purpose

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## 1.1 Report Purpose

- 1.1.1 This report documents the Compliance Audit conducted by the Capital Projects Group (CPG) Quality Compliance Audit Team at the York Region Rapid Transit Corporation (YRRTC) office located at 3601 Highway 7 in Markham, Ontario on November 28, 2018, and communicates its results.

# 2. Audit Purpose and Scope

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## 2.1 Audit Purpose

- 2.1.1 The purpose of the audit was to assess YRRTC compliance against the Master Agreement.

## 2.2 Audit Scope

- 2.2.1 The audit covered Schedule G and Schedule G-1 of the Master Agreement and assessed the Communications Protocols.

# 3. Audit Findings

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## 3.1 Summary

- 3.1.1 The Auditors identified one minor noncompliance during this audit.

## 3.2 Sampling

- 3.2.1 This Compliance Audit was based on the assessment and evaluation of evidence collected during interviews.
- 3.2.2 Other noncompliances may exist that have not been identified within the selected evidence samples during this audit.

# 4. Detailed Report

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- 4.1.1 Appendix A - Quality Compliance Audit Report, provides the details of this audit.
- 4.1.2 Appendix B - Evidence, lists selected evidence samples.

# Appendix A - Quality Compliance Audit Report

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# Quality Compliance Audit Report

<b>Audit Number:</b>	MX-RT-VNBRT-YRRTC-2018-002
<b>Process/Service Audited:</b>	<p>The following activities from the Communications Protocols were audited:</p> <ul style="list-style-type: none"> <li>• Joint Communication Working Group (JCWG)</li> <li>• Project specific Communications</li> <li>• Major Announcements and Events</li> <li>• Media Release and Events</li> <li>• Issues Management and Crisis Plan</li> <li>• Communication during Exceptional Events (e.g., elections)</li> </ul>
<b>Audit Date(s):</b>	November 28, 2018
<b>Report Date:</b>	December 18, 2018
<b>Audited Program:</b>	vivaNext Bus Rapid Transit (BRT)
<b>Auditee:</b>	Chief Communications Officer, Project Communications Manager, Manager - Finance, Governance and Compliance, and Accounting Business Analyst
<b>Audit Report Distribution as Indicated Below:</b>	
<input checked="" type="checkbox"/> Chief Communications Officer:	Dale Albers
<input checked="" type="checkbox"/> Project Communications Manager:	Linda Filippi
<input checked="" type="checkbox"/> Manager - Finance, Governance and Compliance:	Narendra Shah
<input checked="" type="checkbox"/> Accounting Business Analyst:	Norman Chan
<input checked="" type="checkbox"/> Chief Financial Officer:	Michael Cheong
<input checked="" type="checkbox"/> Senior Manager, Bus Rapid Transit	Rakesh Shreewastav
<input checked="" type="checkbox"/> Manager, Civil Infrastructure:	Wilson Taveira
<input checked="" type="checkbox"/> Chief Communications and Public Affairs Officer:	Jamie Robinson
<input checked="" type="checkbox"/> Chief Communications and Public Affairs Officer:	Judy Pfeifer
<input checked="" type="checkbox"/> Quality Manager:	Mojtaba Yousefi
<input checked="" type="checkbox"/> Rapid Transit (RT) Program Manager:	Adrian Sheppard
<input checked="" type="checkbox"/> Compliance Manager:	Djoko Corovic
<input checked="" type="checkbox"/> Quality Compliance Manager:	Kimberly Weston-Martin
<input checked="" type="checkbox"/> Quality Compliance Professional:	Naeem Khan
<input checked="" type="checkbox"/> Quality Compliance Professional:	Laiza Wong

**Audit References:**

- Master Agreement
- Schedule G Metrolinx - YRRTC Communications Protocol
- Schedule G-1 - Communications Protocol for AFP Bundle

**Audit Team:**

Laiza Wong, Quality Compliance Professional

**Audit Team Leader:**

Naeem Khan, Quality Compliance Professional

**Key Audit Contacts:**

- Narendra Shah, Manager – Finance, Governance and Compliance
- Michael Cheong, Chief Financial Officer

**Total CAPAs:**
☐ Major  
Noncompliance

☒ 1 Minor  
Noncompliance

☐ Opportunity for  
Improvement (OFI)

**Assigned CAPA number(s):**

1. Minor Noncompliance (CAPA-RT-VNBRT-YRRTC-2018-002)

**Summary/Comments**

- The audit was initiated with an opening meeting. The Lead Auditor explained the purpose and scope of the audit.
- Questions were asked from the audit checklist, and samples of evidence were reviewed.
- The audit was completed as per the Audit Plan and concluded within the planned time frame.
- A closing meeting was convened and attended by the Auditee Team and the Auditors, and a summary of the audit findings was presented.

**Positive Observations**

- The Auditee Team was cooperative and well-prepared for the audit.
- The documents provided as samples of evidence were organized and properly labelled.
- The Auditee Team provided evidence in a timely manner.

**Areas for Improvement**

- The monthly meetings do not have a defined agenda and a consistent meeting name. Samples indicate several names, such as York Viva Mx Conference Calls, Communications Protocol, and Monthly Communications Meeting.
- The outcomes of monthly meetings are not being documented in minutes; the only evidence available for these meetings is the Microsoft Outlook meeting invite.
- The 2009 and 2010 calendar invitations do not indicate recurrence of meetings on a monthly basis. However, meeting invitations from 2016, 2017, and 2018 indicate recurring monthly meeting invitations for these meetings.
- The Issues Management Protocol (a document needed by the Master Agreement) has been named the Incident Management Protocol.
- The first version of Incident Management Protocol was issued as Version 2 of the document instead of Version 1.

**Audit Details:****Background**

York Region Rapid Transit Corporation (YRRTC) and Regional Municipality of York (York Region) entered into a Master Agreement with Metrolinx on October 1, 2009. The purpose and principles of this Agreement are:

- (a) to establish the Parties' roles, relationships, responsibilities, mutual expectations and accountability mechanisms relating to the Program;*
- (b) to identify and confirm the Parties' commitment to work collaboratively and consult with each other to deliver the Program in an efficient and professional manner consistent with the unique nature of the Parties' roles in the delivery of the Program;*
- (c) to define generally the working arrangements between the Parties to ensure that each is able to carry out properly its operational roles, responsibilities and obligations relating to:*
  - (i) the selection of the Preferred Bidder, and the conclusion of a Project Agreement with the Contractor for the design and/or construction of each Project; and*
  - (ii) subject to further detail to be included in Project-specific Project Charters, the implementation of each Project; and*
- (d) to lay the foundation for the terms of Metrolinx ownership and control of Project Assets.*

The following schedules form part of the Master Agreement:

- Schedule "A" - Authorized Expenditures and Cash Flow Estimate
- Schedule "A-1" - Procurement Protocol
- Schedule "B" - Real Estate Protocol
- Schedule "C" - Description of Projects
- Schedule "D" - Administrative and Financial Protocol
- Schedule "E" - Third Party Agreements
- Schedule "F" - Excluded Assets
- Schedule "G" - Metrolinx-YRRTC Communications Protocol
- Schedule "H" - Capital Cost Eligibility Criteria
- Schedule "I" - Amended Cost Confidence Process
- Schedule "J" - Access and Operating Principles
- Schedule "K" - Project Charter Template

The parties signed the first amendment to this Master Agreement on September 18, 2015, that apply to Alternative Financing and Procurement (AFP) Bundle. The Original Master Agreement, in its unamended form, continues to apply to all Projects other than the AFP Bundle. As a result of this amendment, Schedule G was amended to Schedule G-1.

The Quality Compliance Audit Team conducted a Compliance Audit as part of their Second-party Compliance Audit Program.

The purpose of this audit was to assess compliance against the Master Agreement between Metrolinx and YRRTC. The scope of the audit included Schedules G and G-1. Schedule G covers Metrolinx-YRRTC Communications Protocol, and Schedule G-1 covers Communications Protocol for AFP Bundle.

The Auditors covered the following Communications Protocols of Schedules G and G-1:

- Joint Communication Working Group
- Project Specific Communications
- Major Announcements and Events
- Media Release and Events
- Issues Management and Crisis Plan
- Communication during Exceptional Events (for example, elections)

### **Joint Communication Working Group**

#### **Item 1: Master Agreement requirements for communication to Project Teams**

- Requirements of the Master Agreement are communicated to Project Teams through work directives and one-on-one meetings
- An email from Linda Filippi (YRRTC) to Trina Melatti (Metrolinx) on October 30, 2018, regarding communication of "Holiday, Business Support Campaign" was observed as evidence

#### **Item 2: Establishment of a JCWG**

- A JCWG has been established, and changes to delegated members are communicated to the group
- An email from Kathryn Webber (YRRTC) to the JCWG regarding new YRRTC contact Linda Filippi on March 27, 2018, was observed as evidence
- Calendar invitations for a Communications Protocol Meeting from Dale Albers to Coleen Bell and Vasie Papadopoulos (YRRTC) from October 23, 2009, and October 22, 2010, were observed as evidence

#### **Item 3: Composition of the JCWG and its reporting relationship with the Program Executive Group (PEG) and Executive Steering Committee (ESC)**

- Section 2.6 of the Master Agreement between YRRTC, Metrolinx, and York Region identified the establishment of a Senior Staff Working Group for "*...coordinating communications and approval of major announcements in accordance with the Communications Protocol...*"; while, Communications Protocol Schedules G and G-1 state that the JCWG will report to the PEG and the ESC.
- The disconnect between the Master Agreement and the Communications Protocols in Schedules G and G-1 has been noted; however, the Master Agreement clearly states in Section 1.2, second paragraph after bullet (d) on page 6 that: "*To the extent that there is an inconsistency between this Agreement and any Schedule to this Agreement, the terms of the Schedule shall prevail.*"
- Based on this statement in the Master Agreement, the Audit Team has issued a minor noncompliance against Communications Protocols in Schedules G and G-1 that stipulate that the JCWG should report to the PEG.
- A Minor Noncompliance was issued on a Corrective Action and Preventive Action (CAPA) report; please refer to CAPA-RT-VNBRT-YRRTC-2018-002 for details.
- A Meeting Agenda, dated August 17, 2016, for Metrolinx-YRRTC and the Senior Staff Working Group meeting was observed as evidence.

**Item 4: Co-chairing of the JCWG Meetings**

- The Communications Protocols state that Metrolinx and YRRTC will share alternating chairing duties for the JCWG.
- It has been observed that there has been no alternate co-chairing between YRRTC and Metrolinx, as YRRTC alone leads the monthly meetings. Since the JCWG does not report to the PEG, the co-chairs of the JCWG do not take turns attending the PEG. This deviation is part of the noncompliance recorded in the previously identified audit finding in item 3.

**Communication Templates, Project Implementation Plan, and Schedule****Item 5: Template development and approval for project-specific and broad communications**

- The JCWG is required to develop templates for project-specific and broad communications by the Communications Protocols.
- The “vivaNext Project News for Highway 7 West and Bathurst & Centre” (2016, 2017, and 2018 Newsletters) were observed as samples of campaigns and communications that were developed by the JCWG.
- Email exchanges regarding “Holiday, Business Support Campaign” from October 30, 2018, were also observed as evidence of communication between YRRTC (Linda Filippi) and Metrolinx (Trina Melatti).
- An email from Metrolinx (Jodi Ferguson) to YRRTC (Sarah Harris) on December 8, 2017, regarding logo files and the brand standards guide, as well as an email between Metrolinx (Brian Main) and YRRTC (Dale Alders) on July 20, 2010, regarding Brand Guidelines were observed as evidence.

**Item 6: Master Project Implementation Plan and Schedule**

- There is a requirement for the JCWG to develop a Master Project Implementation Plan and Schedule.
- It has been observed that the YRRTC has developed a year-by-year communication plan and schedule updates. The auditors observed “vivaNext 2012 Communications Plan” that sets overall strategy, objectives, tactics, and communication requirements, a copy of which has been collected as evidence.
- Emails from YRRTC (Kathryn Webber) to Metrolinx (Mark McAllister) and Ontario Ministry of Transportation (MTO) (Miriam Webber) that outline media opportunities for the year (presented in table format with a schedule) were also observed as evidence. These emails were from December 1, 2016; February 16, 2017; and February 6, 2018.

**Item 7: Master Project Implementation Plan and Schedule Updates**

- Updates to the Master Project Implementation Plan are being performed through email circulation among the JCWG. Changes to files are tracked and approved during this process.
- Emails regarding the details and preparations for the “Event Scenario” for the BRT segment opening in Vaughan have been exchanged between YRRTC, MTO, and Metrolinx, and have been provided as evidence.
- An email from YRRTC (Dale Albers) to Metrolinx (Jamie Robinson) and copy to Metrolinx (Rakesh Shreewastav and Bruce Grundon), dated February 26, 2018, regarding the most recent versions of the communication plan, briefing note, and public frequently asked questions (FAQs) for 161 Davis Drive was also observed as evidence.

## **Communication Materials**

### **Items 8 and 9: Development and recommendation of communication materials and its review by the PEG**

- YRRTC releases social media posts via Instagram, Facebook, Youtube, and Twitter to communicate updates to the public; screenshots and links to posts have been provided as evidence.
- Metrolinx does not approve day-to-day updates and social media posts, as these posts get approved internally within YRRTC.
- However, members of the PEG, along with other relevant Metrolinx staff, are on YRRTC's email distribution list for the dissemination of communication materials.
- A copy of the distribution list (as of November 1, 2018) has been provided as evidence.

## **Project-specific Communications**

### **Item 10: YRRTC's role as Metrolinx Community Liaison**

- YRRTC is performing its role as community liaison for Metrolinx.
- Quarterly status reports for "Community Engagement" are being issued.
- Presentations prepared for "20/40 William Roe Residents" (June 20, 2018), "Davis Drive Update: The Roxborough" (August 26, 2013), "Richmond Hill Chamber of Commerce - Government Affairs Committee" (February 5, 2016), and "Condo Board Meeting: 50 & 60 Disera Drive, Thornhill" (February 23, 2017) were observed as evidence.
- vivaNext Project Status Reports for fourth quarter (Q4)-2017 and second quarter (Q2)-2018 were also provided as evidence.

### **Item 11: Development of joint information kits, brochures, public reports, and website materials**

- Joint information kits, brochures, public reports, and website materials have been developed to keep the private sector, contractors, and the public informed about the projects and their progress.
- Progress and status updates are posted on the vivaNext website for various projects; these show completion percentage, timeline, latest updates, and construction impacts.
- Project notices, a photo and video gallery, and a newsroom for media releases are also provided on the vivaNext website.
- Screenshots from different pages of the vivaNext website showcasing the progress and status updates, project notices, and newsroom were observed as evidence.

### **Item 12: JCWG party identification and recognition**

- The JCWG engages all parties in various communication activities. Roles are identified for events and activities, schedules are coordinated via emails, and approvals are provided accordingly.
- Email exchanges regarding "Holiday, Business Support Campaign" from October 30, 2018, were observed as evidence of communication between YRRTC (Linda Filippi) and Metrolinx (Trina Melatti).
- Emails exchanged between YRRTC, MTO, and Metrolinx, regarding the details and preparations for the "Event Scenario" for the BRT segment opening in Vaughan have been provided as evidence. The schedule, roles, and activities for the event have been outlined in this "Event Scenario" plan.

**Item 13: Use of approved templates**

- The JCWG used approved templates.
- An email from Metrolinx (Jodi Ferguson) to YRRTC (Sarah Harris) on December 8, 2017, regarding logo files and a Brand Standards Guide, as well as an email between Metrolinx (Brian Main) and YRRTC (Dale Alders) on July 20, 2010, regarding Brand Guidelines were observed as evidence.

**Item 14: Keeping Metrolinx informed and updated regarding communication activities during monthly meeting and periodic emails**

- YRRTC keeps Metrolinx informed and updated of its communication activities through emails and monthly meetings.
- A school safety email regarding "New Collateral" (April 25, 2018), with an attached School Handout and a Spring Notice Drop, as well as an email for "Upcoming Construction Work Ads" (May 7, 2018) were observed as evidence. Both were sent by YRRTC (Linda Filippi) to Metrolinx (Trina Melatti).
- Monthly meeting invites were checked for 2016 to 2018 as evidence.
- Email dated February 26, 2018, from Dale Albers (YRRTC) to Jamie Robinson (Metrolinx) regarding updates on the Ontario Ministry of Environment and Climate Change (MOECC) (now the Ontario Ministry of Environment, Conservation and Parks [MECP]) matter on Davis Drive was observed as evidence.
- The Fall Newsletter November 2012 sent via email to Metrolinx (Trina Melatti) from YRRTC (Dale Albers) was observed as evidence.

**Item 15: Acknowledged participation of all parties in approved signage**

- Posted signage and billboards show the logos of all parties: Metrolinx, York Region, YRRTC, vivaNext, and the Province of Ontario.
- Photos of signage and billboards were observed as evidence.
- Emails exchanged between YRRTC (Dale Albers) and Metrolinx (Trina Melatti) beginning August 1, 2013, regarding the development of a plaque to be installed at a project were also observed. A photo of the plaque that has the approved Metrolinx branding was provided, as well, and was observed as evidence.

**Item 16: Approved signage installation**

- Per item 15, photos of approved signage, billboards, and plaques were observed and confirmed as being installed at prominent locations with appropriate visibility.

**Item 17: Advertising or public information campaigns**

- JCWG organized project advertising and public information campaigns on various occasions.
- There are news releases regarding Event Scenarios when project milestones are reached. A copy of the New Release for Bus Rapid Transit Segment Opening in Vaughan (December 11, 2017) was observed as evidence.
- Likewise, for item 11, the public is kept informed regarding project status and progress, completion, and other news through the vivaNext website and through social media posts.
- An email dated October 30, 2018, from Linda Filippi (YRRTC) to Trina Melatti (Metrolinx) regarding the Holiday Business Support Campaign where various advertising strategies, such as print, billboards, digital (online), bus advertising, and radio were suggested and was observed as evidence.

**Major Announcements and Events, and Issues Management and Crisis Plan - Social Media****Item 18: Collaboration with Metrolinx in coordinating major announcements and media events**

- YRRTC collaborates with Metrolinx and coordinates major announcements and media events.
- An email from YRRTC (Dale Albers) to MTO (Dina Bolognone) regarding the "Enterprise News Release" (November 2009) for Construction of Viva Rapid Transit Lanes Underway in Markham was observed as evidence.
- An email from GoTransit (Vasie Papadopoulos) to YRRTC (Dale Albers) on June 3, 2010, regarding a Media Alert - Photo Opportunity - *vivaNext advances in Newmarket - launches retrieval project with Habitat for Humanity York Region* was also observed as evidence,
- An email from YRRTC (Dale Albers) to MTO (Dina Bolognone) and Metrolinx (Trina Melatti) on February 23, 2011, regarding the Warden Station Opening Event, with an attached Event Plan was observed as evidence.
- Email exchanges regarding "Holiday, Business Support Campaign" from October 30, 2018, were observed as evidence of communication between YRRTC (Linda Filippi) and Metrolinx (Trina Melatti).
- Email dated December 8, 2017, from Sarah Harris (YRRTC) to Miriam Wiegers (MTO), Mark McAllister (Metrolinx), and others regarding a news release about the H2 Vaughan Metropolitan Center (VMC) opening was observed as evidence.

**Items 19 to 23: JCWG communications with the public, roles and responsibilities, collaboration, and review**

- Per the previous evidence noted, it was observed that joint communications and major announcements to the public have been executed on approved templates and letterhead. Standard messaging on the roles and responsibilities of all parties has been included and was used consistently. The JCWG collaborated in organizing media conferences, announcements, and official ceremonies; and the announcement schedule was also being reviewed regularly.
- Similarly, for items 7 and 12, the collaboration in preparing and distributing the Event Scenario for the BRT segment opening in Vaughan were provided as evidence. The schedule, roles, and activities for the event have been outlined in this Event Scenario plan, which was shared for input in draft form before it was finalized and approved.
- Another sample provided of an Event Scenario that was prepared and collaborated on is for the Warden Station opening on March 7, 2011, and this has been observed as evidence, as well.
- As mentioned in items 11 and 17, the public is regularly kept informed regarding project progress and milestones achieved through the vivaNext website and through social media posts.

**Item 24: Provision of advice and recommendations to the PEG and ESC**

- As noted in item 3, that the JCWG does not report to the PEG and ESC; rather, it provides advice to the Senior Staff Working Group.
- Calendar invitations for the "MTO/MX Communications Monthly Update" for June 21, 2018; October 12, 2017; October 24, 2016; and August 17, 2016 were observed as evidence of the reporting relationship between YRRTC and the Senior Staff Working Group.

**Item 25: Use of quotes from designated representatives of Metrolinx, YRRTC, MTO, and York Region**

- An email, dated December 06, 2017, indicated communication of approved quotes from Phil Verster (Metrolinx) and Gerry Chaput (Metrolinx) were observed,

**Item 26: Issues Management Protocol**

- The JCWG established an Incident Management Protocol that outlines the procedure on how to respond to and communicate unplanned incidents that occur on or near YRRTC projects, which affect or can potentially affect projects. It is shared internally with Metrolinx, Contractors, and Subcontractors, but not with the public.
- A copy of the Incident Management Protocol (Version 7), dated November 5, 2018; (Version 5), dated March 13, 2014; and first release (Version 2), dated August 14, 2013, have been observed as evidence.
- The Auditors noted that the protocol name “incident management” is not in line with the name “issues management” as required by Schedules G and G-1.

**Item 27: Issues Management Protocol Review**

- The Issues Management Protocol is reviewed and updated as projects progress or as applicable.
- Copies of Version 1 (officially labeled as Version 2), dated August 14, 2013; and Version 5, dated March 13, 2014, of the Incident Management Protocol were observed as evidence.
- An email from Metrolinx (Corey Bennet) to YRRTC (Liza Sheppard) on October 9, 2018, regarding review and feedback about the Incident Management Protocol was also observed as evidence.

**Item 28: Designated Spokespersons**

- Designated spokespersons are identified for major announcements, issues management, and social media.
- Spokespersons are assigned based on seniority and position.
- There is a staff assigned to social media posts by YRRTC.
- The Event Scenario plan for the BRT segment opening in Vaughan and the Warden Station opening previously noted show the roles each party is fulfilling for the said events.

**Item 29: Communications, Community, and Consultative work carried out during elections**

- A News Release regarding “Construction Gearing Up on Rapid Transit Projects in York Region,” dated April 13, 2017, was issued and posted on the vivaNext website during elections; and a copy of this release was observed as evidence, along with the email correspondence between YRRTC, Metrolinx, MTO, Toronto Transit Commission (TTC), and the City of Toronto regarding the review and approval process of the News Release.
- An email from YRRTC (Dale Albers) to the Communications Team on February 7, 2018, indicating protocol during elections was observed as evidence.
- Funding announcements were deferred until after the elections were concluded as evidenced in an email from YRRTC (Linda Filippi) to Metrolinx (Trina Melatti) on May 3, 2018. This email outlines the deferral of certain in-market tactics during the election period and was observed as evidence.

**Attachments:**

- Audit Plan
- Attendance Form
- Minor Noncompliance (CAPA-RT-VNBRT-YRRTC-2018-002)

**Lead Auditor Sign-off:** *Naeem Khan*

## Appendix B - Evidence

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# Evidence Form - Compliance Quality Audit

<b>Location:</b>	YRRTC Office located at 3601 Highway 7, Markham Ontario	<b>Date:</b>	28-11-2018
<b>Contract Number:</b>	Master Agreement, dated October 1, 2009		
<b>Scope and Objectives:</b> <p>The objective of the audit was to assess York Region Rapid Transit Corporation (YRRTC) compliance against the Master Agreement, with the scope covering the Schedule G - YRRTC Communications Protocol (Schedule G) and the amended Schedule G-1 - Communications Protocol for AFP Bundle (Schedule G-1).</p>			
<b>Audited Processes:</b> <p>Communications Protocols and activities:</p> <ul style="list-style-type: none"> <li>• Joint Communication Working Group (JCWG)</li> <li>• Project-specific Communications</li> <li>• Major Announcements and Events</li> <li>• Media Release and Events</li> <li>• Issues Management and Crisis Plan</li> <li>• Communication during Exceptional Events (for example, elections)</li> </ul>			
<b>Auditee's Management Representative Involved:</b> <p>Dale Albers, Chief Communications Officer  Linda Filippi, Project Communications Manager  Narendra Shah, Manager - Finance, Governance and Compliance  Norman Chan, Accounting Business Analyst</p>			
<b>List of Reference Documents/Evidence:</b> <b>Item 1</b> <ul style="list-style-type: none"> <li>• An email from Linda Filippi (YRRTC) to Trina Melatti (Metrolinx) on October 30, 2018, regarding the "Holiday, Business Support Campaign"</li> </ul> <b>Item 2</b> <ul style="list-style-type: none"> <li>• An email from Kathryn Webber (YRRTC) to the JCWG regarding new YRRTC contact Linda Filippi on March 27, 2018</li> <li>• Calendar invitations for a Communications Protocol Meeting from Dale Albers to Coleen Bell and Vasie Papadopoulos (YRRTC) from October 23, 2009, and October 22, 2010</li> </ul> <b>Item 3</b> <ul style="list-style-type: none"> <li>• Meeting Agenda, dated August 17, 2016, for the Metrolinx-YRRTC and the Senior Staff Working Group Meeting</li> </ul>			

**Item 5**

- The "vivaNext Project News for Highway 7 West and Bathurst & Centre" (2016, 2017, and 2018 Newsletters)
- Emails regarding "Holiday, Business Support Campaign" from October 30, 2018, between YRRTC (Linda Filippi) and Metrolinx (Trina Melatti)
- Email from Metrolinx (Jodi Ferguson) to YRRTC (Sarah Harris) on December 8, 2017, regarding logo files and the Brand Standards Guide, as well as an email between Metrolinx (Brian Main) and YRRTC (Dale Alders) on July 20, 2010, regarding Brand Guidelines

**Item 6**

- The *vivaNext 2012 Communications Plan* that sets overall strategy, objectives, tactics, and communication requirements
- Emails from December 1, 2016; February 16, 2017; and February 6, 2018 between YRRTC (Kathryn Webber) to Metrolinx (Mark McAllister) and Ontario Ministry of Transportation (MTO) (Miriam Webber) that outline media opportunities for the year (presented in table format with a schedule)

**Item 7**

- Emails for the "Event Scenario" for the Bus Rapid Transit (BRT) segment opening in Vaughan
- An email from YRRTC (Dale Albers) to Metrolinx (Jamie Robinson) and copy to Metrolinx (Rakesh Shreewastav and Bruce Grundon), dated February 26, 2018, regarding the most recent versions of the communication plan, briefing note, and public frequently asked questions (FAQs) for 161 Davis Drive

**Items 8 and 9**

- Screenshots of social media posts via Instagram, Facebook, Youtube, and Twitter
- A copy of the email distribution list (as of November 1, 2018) for the dissemination of communication materials

**Item 10**

- Presentations prepared for "20/40 William Roe Residents" (June 20, 2018), "Davis Drive Update: The Roxborough" (August 26, 2013), "Richmond Hill Chamber of Commerce - Government Affairs Committee" (February 5, 2016), and "Condo Board Meeting: 50 & 60 Disera Drive, Thornhill (February 23, 2017)
- vivaNext Project Status Reports for fourth quarter (Q4)-2017 and second quarter (Q2)-2018

**Item 11**

- Screenshots from different pages of the vivaNext website showcasing the progress and status updates, project notices, and newsroom

**Item 12**

- Email exchanges regarding "Holiday, Business Support Campaign," from October 30, 2018, between YRRTC (Linda Filippi) and Metrolinx (Trina Melatti)
- Emails exchanges between YRRTC, MTO, and Metrolinx, regarding the details and preparations for the "Event Scenario" for the BRT segment opening in Vaughan

**Item 13**

- An email from Metrolinx (Jodi Ferguson) to YRRTC (Sarah Harris) on December 8, 2017, regarding logo files and the Brand Standards Guide, as well as an email between Metrolinx (Brian Main) and YRRTC (Dale Alders) on July 20, 2010, regarding Brand Guidelines

**Item 14**

- A school safety email regarding "New Collateral" (April 25, 2018) with an attached School Handout and a Spring Notice Drop, as well as an email for "Upcoming Construction Work Ads" (May 7, 2018) sent by YRRTC (Linda Filippi) to Metrolinx (Trina Melatti)
- Monthly meeting invitations for 2016 to 2018
- Email dated February 26, 2018, from Dale Albers (YRRTC) to Jamie Robinson (Metrolinx) regarding updates on the Ontario Ministry of Environment and Climate Change (MOECC) (now the Ontario Ministry of Environment, Conservation and Parks [MECP]) matter on Davis Drive
- Fall Newsletter November 2012 sent via email to Metrolinx (Trina Melatti) from YRRTC (Dale Albers)

**Item 15**

- Photos of posted signage and billboards that show the logos of all parties
- Email exchanges between YRRTC (Dale Albers) and Metrolinx (Trina Melatti) from August 1, 2013, regarding the development of a plaque to be installed at a project
- A photo of the plaque that has the approved Metrolinx branding

**Item 17**

- A copy of the New Release for the BRT segment opening in Vaughan (December 11, 2017)
- An email dated October 30, 2018, from Linda Filippi (YRRTC) to Trina Melatti (Metrolinx) regarding the Holiday Business Support Campaign

**Item 18**

- An email from YRRTC (Dale Albers) to MTO (Dina Bolognone) regarding the "Enterprise News Release" (November 2009) for Construction of Viva Rapid Transit Lanes Underway in Markham
- An email from Go Transit (Vasie Papadopoulos) to YRRTC (Dale Albers) on June 3, 2010, regarding a Media Alert - Photo Opportunity - *vivaNext advances in Newmarket - launches retrieval project with Habitat for Humanity York Region*
- An email from YRRTC (Dale Albers) to MTO (Dina Bolognone) and Metrolinx (Trina Melatti) on February 23, 2011, regarding the Warden Station Opening Event with an attached Event Plan
- Email exchanges regarding "Holiday, Business Support Campaign" from October 30, 2018
- An email dated December 08, 2017, from Sarah Harris (YRRTC) to Miriam Wieggers (MTO), Mark McAllister (Metrolinx), and others regarding a News Release about the H2 Vaughan Metropolitan Center (VMC) opening

**Items 19 to 23**

- The Event Scenario for the BRT segment opening in Vaughan
- The Event Scenario for the Warden Station opening on March 7, 2011
- The vivaNext website and social media posts

**Item 24**

- Calendar invitations for the MTO/MX Communications Monthly Update for June 21, 2018; October 12, 2017; October 24, 2016; and August 17, 2016

**Item 25**

- An email, dated December 06, 2017, that indicates communication of approved quotes from Phil Verster (Metrolinx) and Gerry Chaput (Metrolinx).

**Item 26**

- A copy of the Incident Management Protocol (Version 7), dated November 5, 2018; (Version 5), dated March 13, 2014; and first release (Version 2), dated August 14, 2013

**Item 27**

- Copies of Version 1 (officially labeled as Version 2), dated August 14, 2013; and Version 5, dated March 13, 2014, of the Incident Management Protocol
- An email from Metrolinx (Corey Bennet) to YRRTC (Liza Sheppard) on October 9, 2018, regarding review and feedback about the Incident Management Protocol

**Item 28**

- The Event Scenario plan for the BRT segment opening in Vaughan and the Warden Station opening

**Item 29**

- A News Release regarding "Construction Gearing Up on Rapid Transit Projects in York Region," dated April 13, 2017
- An email correspondence between YRRTC, Metrolinx, MTO, Toronto Transit Commission (TTC), and the City of Toronto regarding the review and approval process of a news release
- An email from YRRTC (Dale Albers) to the Communications Team on February 7, 2018, indicating protocol during elections
- An email from YRRTC (Linda Filippi) to Metrolinx (Trina Melatti) on May 3, 2018, outlining the deferral of certain in-market tactics during the election period

**List of Legislation, Regulations, Certificates, and Standards:**

- Master Agreement Among Metrolinx, YRRTC, and York Region dated October 1, 2009
- Schedules G and G-1

# Audit Planning Form

<b>Organization name:</b>	YRRTC			
<b>Contract number:</b>	095703			
<b>Audit number:</b>	MX-RT-VNBRT-YRRTC-2018-002	<b>Audit date:</b>	28/11/2018	
<b>Management standard:</b>	Master Agreement			
<b>Audit scope:</b>	Schedule "G" YRRTC Communications Protocol Schedule "G-1" Communications Protocol For AFP Bundle			
<b>Audit references:</b>	Master Agreement, Schedule "G" YRRTC Communications Protocol and amended Schedule "G-1" Communications Protocol For AFP Bundle			
<b>Auditee's Management Representative:</b>	Michael Cheong			
<b>Previous audit report number:</b>	MX-RT-VNBRT-YRRTC-2018-001, Master Agreement, Schedule "I" YRRTC Amended Cost Confidence Process			
<b>Previous audit date:</b>	27/11/2018			
<b>Additional information:</b>	Please participate in the audit by providing all relevant records and evidence to the audit team as per the audit scope and the following plan			
<b>Audit Team Leader:</b>	Kimberly Weston-Martin			
<b>Audit Team:</b>	Naeem Khan Laiza Wong (Auditor-In-Training)			
<b>Opening meeting:</b>	<b>Date:</b>	28/11/2018	<b>Time:</b>	10:30 am
<b>Closing meeting:</b>	<b>Date:</b>	28/11/2018	<b>Time:</b>	2:30 pm
<b>Date</b>	<b>Time</b>	<b>Auditor</b>	<b>Audit area</b>	<b>Description</b>
28/11/2018	10:30 - 11:00	Kimberly Weston-Martin	Opening Meeting	
28/11/2018	11:00 - 11:15	Auditee's Management Representative	Brief introduction of, Schedule "G" YRRTC Communication Protocol and Schedule "G-1" Communications Protocol For AFP Bundle	
28/11/2018	11:15 - 11:30	Naeem Khan	Joint Communication Working Group	
28/11/2018	11:30 - 12:00	Naeem Khan	Project Specific Communications	
28/11/2018	12:00 - 12:30	Naeem Khan	Major Announcements/ Events	

28/11/2018	12:30 - 1:00	Naeem Khan	Media Releases and Events	
28/11/2018	1:00 - 1:30		Lunch Break	
28/11/2018	1:30 - 1:45	Laiza Wong	Issues Management/Crisis Plan	
28/11/2018	1:45 - 2:00	Laiza Wong	Communications during Exceptional Events	
28/11/2018	2:00 - 2:30	Naeem Khan Laiza Wong	Auditor's team meeting	Auditors to meet and summarize the audit findings for closing meeting

**Audit Team Leader:**


Naeem Khan

28/09/2018

Signature

Name

Date







**Auditee's Management Representative:**

Signature

Name

Date

# Attendance Form

Subject: Master Agreement, Schedule G & G-1 YRRTC Communications Protocol				
Project: vivaNext BRT			Date: November 28, 2018	
No.	Name	Organization	Designation	Signature
1	Norman Chan	YRRTC	Accounting & Business Analyst	
2	Linda Filipp	YRRTC	Proj Comm, Mgr.	
3	DALE ALBERS	YRRTC	CCO	
4	NARENDRA SHAN	YRRTC	MANAGER - FINANCE - GOVERNANCE + COMPLIANCE	
5	LAIZA WONG	MetroLinx	Quality Coordinator	
6	NAEEM KHAN	MetroLinx	Quality Compliance Lead	
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# Corrective Action (CAPA) Form

<b>Issue date:</b>	18-12-2018	<b>Category:</b>	<input type="radio"/> Major <input checked="" type="radio"/> Minor <input type="radio"/> Opportunity for Improvement	<b>CAPA no.:</b>	CAPA-RT-VNBRT-YRRTC-2018-002
<b>Project name:</b>	vivaNEXT BRT				
<b>Organization:</b>	Attention to: <b>Michael Cheong, Chief Financial Officer</b> <b>Narendra Shah, Manager - Finance, Governance and Compliance</b> York Region Rapid Transit Corporation (YRRTC) 3601 Highway 7 in Markham, Ontario				
<b>Description of issue:</b> The Joint Communications Working Group does not report to the Program Executive Group as required by the Schedules G and G-1. As a result, the designated co-chairs of the Joint Communications Working Group do not take turns attending the Program Executive Group. The auditors found that the Joint Communications Working Group reports to the Senior Staff Working Group instead of the Program Executive Group.					
<b>Process or service affected:</b> Joint Communications Working Group					
<b>Additional comments:</b> YRRTC representatives considered the above stated deviation to be the consequence of a disconnect between the Master Agreement and the Schedules G and G-1 as the Master Agreement does not state such responsibilities in section 2.5 where Program Executive Group's responsibilities are defined. They pointed out that the Master Agreement defines such responsibilities for the Senior Staff Working Group in section 2.6 subsection (iii). However, upon further discussions, the audit team concluded and pointed out that the Master Agreement states in section 1.2 that the terms of the Schedule shall prevail in cases of inconsistency between the Master Agreement and any Schedule to the Agreement.					
<b>Due date:</b>	18-12-2018				

<b>Root cause:</b>		
<b>Correction actions:</b>		
<b>Responsible individual:</b>		
Signature	Name	Date

<b>Verifications and acceptance:</b>		
<b>Closure due date:</b>		
<b>Verifier:</b>		
Signature	Name	Date