



Office of the Auditor General

**AUDIT OF THE EMERGENCY MANAGEMENT
PROGRAM
2005 REPORT
Chapter 6**

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Executive Summary

Background

The City of Ottawa has been actively conducting emergency management planning since amalgamation in 2001. At that time, the Emergency and Protective Services Department (EPS) of the City undertook a strategic planning exercise (Operation Delta) to integrate emergency services across the former municipalities. This included an examination of the gaps in the City's emergency management capabilities.

In 2002, a new Emergency Response Program capital project worth \$7.1 million was approved by Council. The funding was aimed at optimizing the City's emergency response capabilities by addressing multi-departmental emergency response initiatives that could not easily be funded within a single unit's operating budget. A multi-departmental Steering Committee and Working Group was established to develop a five-year action plan to identify and prioritize key projects to significantly improve the City's capability to mitigate, prepare for, respond to and recover from emergencies.

The Working Group used measurable management and operational objectives to identify and prioritize 31 capital projects that would contribute to the reduction of the gap between the current desired level of response and the actual capabilities.

In 2002, the Ontario Provincial Legislature amended the *Emergency Management Act* (formerly the *Emergency Plans Act*) with the requirement for all municipalities in Ontario to develop and implement an emergency management program. Using a multi-departmental approach, the City of Ottawa developed a comprehensive Emergency Management Program (EMP or the Program) that was approved by Council in December 2004. The program is designed to enhance the City's ability to prevent, plan for, and respond to large-scale disasters and emergencies and to ensure the continued delivery of core services to City residents. A two-tiered governance structure has been developed to manage the Emergency Management Program.

- 1. Emergency Management Program Steering Committee (the Steering Committee).** This committee is chaired by the Deputy City Manager of Community and Protective Services and is comprised of the members of the City's Executive Management Team. It is responsible for providing overall strategic guidance and direction for the Program.
- 2. Emergency Management Program Working Group (the Working Group).** This Working Group is chaired by the Manager of the Emergency Measures Unit (EMU) and is comprised of key managers from across the City and also includes representatives from external organizations (e.g., Red Cross, local hospitals, etc.). The Working Group is responsible for executing the Emergency Management Program across the City of Ottawa. Although referred to as the EMU in this report, the EMU was renamed the "Office of Emergency Management" as of September 1, 2005.

In 2004 the list of the City's EMP capital projects was revised. Specifically, five new projects were introduced, three projects removed, and several projects merged to produce a revised list of 29 capital projects.

Subsequent to the proclamation of the *Emergency Management Act*, Emergency Management Ontario, a unit of the Ministry of Community Safety and Correctional Services, developed the Community Emergency Management Program framework which outlines standards for municipal Emergency Management Programs. The standards are divided into three levels: essential, enhanced and comprehensive. The *Emergency Management Act* requires that all municipalities in Ontario comply with the standards developed by Emergency Management Ontario. The elements of the essential standard were required to be in place by December 2004. The enhanced and comprehensive elements must be completed by December 2006 and 2007 respectively.

The City is approximately half way through its first Five Year Emergency Response Program Action Plan. This audit was intended to provide Council, the City Manager and the Executive Management Team with information to assess the Program and to take remedial action if required.

The objectives of the audit were to provide Council with an independent and objective assessment of:

1. The City's compliance to the requirements of the province of Ontario's *Emergency Management Act* and related regulations;
2. The adequacy of the management controls framework (e.g., governance, planning, reporting, etc.) used to manage the City's Emergency Management Program; and,
3. The alignment of each of the City's 29 Emergency Management Program projects to the stated goals and objectives of the Emergency Management Program.

The scope of the audit did not include:

- An assessment of the adequacy of the Emergency Management Plans of individual departments and branches;
- An assessment of the economy and efficiency of the Emergency Measures Unit; or,
- A detailed review of each of the 29 EMP capital projects.

The audit included an extensive review and analysis of Program and project related documentation, including: Emergency Operations Control Group Exercise Reports; The Five Year Emergency Response Program Action Plan and the updated 2004 plan; the confidential Emergency Management Plan; EMP capital project status reports; the 2003 Vulnerability Analysis Report; Council briefings; and, assorted Program related planning documents.

In addition, the audit conducted an array of interviews with representatives of staff and management from numerous City departments and branches.

Key Findings and Recommendations

Strengths

Since amalgamation and well before events such as the 9/11 attacks in the United States and the EMO requirements for an Emergency Management Program, the City has been proactively planning for enhancements to its emergency response capabilities. Through this audit, it was observed that emergency management planning at the City has matured from the development of a static, point-in-time emergency management plan to an active multi-departmental emergency management program that includes consultations with external stakeholders, regular training, and demonstrated commitment from the City Manager and Executive Management Team. The Audit Team observed the following key strengths of the Program.

- There is a high level of awareness and commitment to the Program by the City Manager and Executive Management Team. Specifically, at the time of the audit, the Emergency Operations Control Group (EOCG) had met six times, each for half a day, since November 2004 to conduct emergency management simulation exercises. This dedication of a half day per exercise represents a significant commitment of time for the Executive of the City. By making this commitment, the Executive is leading by example and demonstrating the high priority and importance that it places on Program.
- A detailed Emergency Plan has been developed and was incorporated into a City of Ottawa By-law in December 2004. The City of Ottawa Emergency Plan outlines the overall municipal emergency management system, the general emergency functions common to all types of emergencies and disasters as well as specific emergency functions. By Provincial Regulation, municipal Emergency Plans were due to be submitted to the Chief, Emergency Management Ontario by December 31, 2004. The City completed its plan prior to this deadline.
- The Working Group (WG) maintains active representation from across City departments and meets weekly to manage the program. The WG members show a high level of commitment and dedication to the WG and the Program as a whole. The WG meetings are held on a regular basis with formal agendas and minutes distributed for each meeting.
- The Program is one of Community and Protective Services' 12 Strategic Priority Projects, and the 2006-2009 City Corporate Plan commits to developing and implementing an Emergency Management Program that improves the City's ability to cope with a major crisis or disaster. The Program is also a corporate priority project.

Findings

The following outlines the key findings, risks and recommendations for this audit.

Objective 1 – Compliance

The Audit Team observed that the City is compliant with the requirements of the *Emergency Management Act* and associated regulations. Specifically, at December 31, 2004 the City was compliant with the relevant sections of the *Emergency Management Act* (included in Appendix B) and with the Essential standard of the Community Emergency Management Program Framework.

The Audit Team identified one area for improvement with regard to improving the City's process for ensuring compliance to provincial legislation and regulations.

Findings - Compliance Assurance

The City has been recognized by the Province of Ontario as compliant to relevant legislation and regulations; however, a formalized process does not exist to ensure compliance is regularly monitored and consequently sustained over the long term. Additionally, our review of current Program activities indicates that additional processes may be required to be compliant with the Enhanced and Comprehensive standards, as defined by Emergency Management Ontario. There is a risk that by maintaining its current portfolio of Emergency Management Program capital projects the City will possibly be non-compliant to the Enhanced and Comprehensive standards defined by Emergency Management Ontario.

Risk

There is a risk that Council and the Steering Committee will not receive timely compliance information to assist them in their decision-making processes.

Recommendation 1

That the management of the EMU develop a mapping of EMP capital projects and Program activities to the standards defined by Emergency Management Ontario and that the subsequent mapping be:

- a. annually reported to Council; and,**
- b. updated and reported to the Steering Committee on a twice yearly basis.**

Management Response

Management agrees with these recommendations.

Although the Audit Team determined that “the City is compliant with the requirements of the *Emergency Management Act* and associated regulations” as reported to Council at its meeting of December 15, 2004, the Audit Team recommended development of a process to

map Emergency Management Program (EMP) capital projects and activities to the enhanced (year 2) and comprehensive (year 3) standards.

Because the City's five (5) year, \$7.1 million EMP actually pre-dates the Emergency Management Act, tracking tailored to its requirements was not built into the original design.

Although the Province does not require it until 2007, the Office of Emergency Management is developing an annual planning cycle process as follows:

- Annual project review including a legislative program mapping process for approval by the Steering Committee;
- Semi-annual reprioritization exercise to ensure legislative compliance will be achieved with an update provided to the Steering Committee for approval ; and
- Bi-monthly formal program status updates to the Steering Committee to ensure financial accountability, mitigate risks associated with projects and ensure that information is shared appropriately.

This process will be tabled at the Steering Committee meeting in Q1 2006.

Objective 2 – Management Control Framework

We observed that the Program has an adequate management control framework. Specifically, formal and informal controls and processes were observed for all of the audit criteria supporting the control areas identified above.

While it was observed that an adequate management control framework exists, three observations were made to reduce the risks facing the Program and to strengthen existing processes. Specifically, the Audit Team identified improvement opportunities in the following areas: governance structure and processes; benefit sustainment; and, the sufficiency of resources assigned to the Program.

Findings - Governance Structure and Processes

Community and Protective Services and EMU management has increasingly developed and implemented processes and controls to effectively manage the Program. Nevertheless, three key additional processes and controls are required to mitigate the risks associated with the current Program governance model and consequently enhance the probability that the Program will achieve its long-term goals and objectives.

Risks

There is a risk that discrepancies will exist between the Emergency Measures Unit capital project summary reporting and individual capital project status reporting.

There is a risk that project teams may not have the necessary resources with the required qualifications to successfully meet project objectives.

Recommendation 2

It is recommended that the EMU develop the following key controls for approval by the Steering Committee.

- a. A detailed Terms of Reference for the Steering Committee including a description of the Steering Committee's program oversight roles and responsibilities and an approvals matrix for the Working Group, Steering Committee, and EMU.**
- b. A formal program planning framework, including strategic and annual program planning processes for the Program.**
- c. A performance measurement framework for regular reporting to the Steering Committee and Council including performance measures in the areas of legislative and regulatory compliance and Program goals and objectives.**

Management Response

Management agrees with these recommendations.

“The Audit Team observed that the Program has an adequate management control framework. Specifically, formal and informal controls and processes were observed for all of the audit criteria supporting the control areas identified above. While it was observed that an adequate management control framework exists, three observations were made to reduce the risks facing the Program and to strengthen existing processes.”

As noted under Recommendation 1, the current Terms of Reference for the Emergency Management Program were developed in 2002, prior to passage of the Emergency Management Act, and focused primarily on the project structure. Now that the City is approaching the end of its first 5-year planning cycle, it is appropriate to review the current Terms of Reference and reorient them to support the ongoing governance structure and processes required to support the ongoing Emergency Management Program.

The updated Terms of Reference will identify roles, responsibilities and approval processes. It will include an annual mapping/planning process and semi-annual self-assessment to ensure legislative compliance. It will outline program objectives and develop performance measures to ensure that the program is meeting those objectives and it will outline a strategic planning cycle for the Emergency Management Program.

A Terms of Reference will be tabled for approval by the Steering Committee in Q1 of 2006.

The existing management control framework is being strengthened departmentally and within the Branch, the reporting areas, nature of the reports and frequency have been

documented and will be actively reviewed by individual managers and collectively by the Branch Management Team.

Findings - Benefit Sustainment

The City has approved \$7.1 million in Program related capital projects; however, associated operating funding has not yet been identified to sustain the long-term benefits of these projects.

Risks

There is a risk that Emergency Management Program capital project 511-19, Municipal Evacuation Plan, will experience further project delays and consequently that the City will continue to be without a comprehensive plan for the effective and orderly evacuation of all or segments of the City.

There is a risk that the Steering Committee will not have a full understanding of the human resources and operating costs associated with the 29 Emergency Management Program capital projects and consequently that the City will not allocate sufficient future years resources to sustain the benefits of these investments over the long term.

Recommendation 3

That the Steering Committee place a priority upon the timely completion of capital project 511-19, Municipal Evacuation Plan, and regularly monitor the project's progress and adequacy of resources assigned to the Project.

Management Response

Management agrees with this recommendation.

Management recognized the Evacuation Plan as a priority and dedicated resources to support this initiative in October 2005. The project focuses on planning all elements of an evacuation, which requires multi-departmental coordination. The first phase was completed in December 2005, and described the coordination mechanisms and major procedures for all plan elements and detailed internal City of Ottawa responsibilities within the plan. The next phase, anticipated to be complete by June 2006, will address all major job aids, coordination mechanisms and responsibilities involving external partners.

Recommendation 4

That the EMU undertake a process to identify and document the anticipated operating and human resources costs for all EMP capital projects (pending, scoping, active, and completed) and that these costs be discussed and agreed to by the Steering Committee.

Management Response

Management agrees with this recommendation.

In August 2005, a revised project approval process was formally established and approved by the EMP Steering Committee. Included in this process are the identification of human resources and their time allocation, and the potential operational impact of the project. Throughout a project's development, the Steering Committee members will be kept apprised of the project's progress and its integration operationally. Staff recently conducted a historical review of the human resources allocated to the projects as well as projected human resources required to complete the projects in 2006 and 2007. The results of this analysis were used for the annual project review for 2006 and will subsequently be used in 2007.

Findings - Sufficient Resources

Through the establishment of the Emergency Measures Unit, the funding of the Emergency Management Program capital project portfolio and the ongoing operation of the Working Group, the City has dedicated comprehensive multi-year budgetary and human resources for effective emergency management planning. While an extensive array of resources have been dedicated to emergency planning by the City, issues exist regarding the adequacy of resources assigned to the Working Group and the adequacy of the Emergency Operations Centre.

Risks

As a multi-departmental program, the Program is reliant upon other departments and branches to provide staff resources to enable it to successfully deliver upon its mandate. The Program is currently at risk of not having sufficient full-time resources to successfully deliver upon the Program goals and objectives as outlined in the Five Year Emergency Response Program Action Plan.

The current location and design of the Emergency Operations Centre adds avoidable constraints and challenges to the City's capability to effectively and efficiently manage emergencies.

Recommendation 5

That the EMU develop and document a process for the selection and approval of new Working Group members and ensure that the process: documents the anticipated workload requirements of Working Group members; clearly outlines roles and responsibilities; and includes formal senior management approval of the department from which the resource belongs.

Management Response

Management agrees with the intent of this recommendation.

Further to recommendation 2, the new Terms of Reference will include a process to document requirements of Working Group membership, core competencies and a process for gaining formal approval at the Steering Committee level on Working Group membership. This formal approval will assist in ensuring workload balances are made with respect to Working Group members.

A detailed human resources impact analysis was presented to the Steering Committee November 22, 2005. Subsequent to this, an implementation plan for 2006 & 2007 will be presented to the Steering Committee in Q1 of 2006. The implementation plan will identify the implementation of various projects and the financial and human resources required to successfully complete each project within the identified timeline. Each future project will also follow the project start-up process approved by the Steering Committee in August 2005. The 2006 & 2007 implementation plans, the project start-up process and bi-monthly status reporting to the Steering Committee will ensure effective benefit sustainment.

Recommendation 6

That the Steering Committee place a priority upon the timely completion of EMP capital project 511-07, Emergency Operations Centre Design.

Management Response

The current location and design of the Emergency Operation Centre (EOC) is problematic. The layout is not appropriate for the number and types of activities required by a single tier municipality of Ottawa's size, is located downtown and therefore at higher risk from a vulnerability perspective, has no permanent audio visual equipment and computer workstations and lacks an effective form of controlled access.

Accordingly, a project has been identified for the design of a new Emergency Operations Centre. A Best Practices Review has been completed and an EOC Design Concept document was developed to aid in decision-making processes and the design phase. To date, the project team has also developed detailed operating procedures for the current EOC, which addresses notification procedures for mobilizing staff and procedural processes for the effective management of the EOC. The City of Ottawa is currently seeking partnership opportunities with the Federal Government – Public Safety and Emergency Preparedness Canada to co-locate Federal and Municipal Emergency Operations Centers. Temporary modifications to the existing EOC are also being evaluated to enhance efficiencies of space and personnel.

Objective 3 – Projects

The Audit Team observed that the current Emergency Management Program capital project portfolio of 29 capital projects is aligned to the stated goals and objectives of the Program and that the capital project portfolio contains all the EMP related capital projects currently underway

at the City. Additionally, it was observed that monitoring processes exist at the branch and departmental level but not at the Steering Committee level to track capital projects schedules, costs and scope.

The Audit Team identified the following opportunity to strengthen the Program's project management processes and to increase the likelihood that the 29 Emergency Management Program capital projects will be completed prior to the deadline of December 2007.

Finding

The Program does not have a formalized process to allow for the regular review and reprioritization of the EMP capital projects portfolio.

Risk

The City is at risk of not meeting its Emergency Management Program capital projects completion schedule. Without the implementation of additional project monitoring processes at the Steering Committee level, the likelihood of this risk occurring will increase over the next two years as the City approaches the end of its first Five Year Emergency Response Program Action Plan and attempts to gain closure on the remaining Emergency Management Program capital projects.

Recommendation 7

That the management of the EMU document and implement a process to ensure the Steering Committee review and where required reprioritize/re-profile the EMP capital projects portfolio on a twice yearly basis.

Management Response

Management agrees with this recommendation.

The Audit Team "observed that the current EMP capital projects portfolio of 29 capital projects is aligned to the stated goals and objectives of the Program and ...that monitoring processes exist at the branch and departmental level but not at the Steering Committee level to track capital projects schedule, costs and scope."

A semi-annual process will ensure that projects are appropriately prioritized on an ongoing basis by the Steering Committee as well as to ensure provincial program compliance.

The Terms of Reference planned for Q1 of 2006 will include this requirement.

Management Response - Impact of 2006 Budget Reduction

Based on the Council direction emanating from the 2006 budget deliberations the request to expand the capital project 901037 (Emergency Management Plan) was not included in the approved 2006 budget. In response to this budget direction the existing \$1.34 million in the works-in-progress was reallocated to maximize progress on critical projects while minimizing impact.

A review of all projects deliverables planned for 2006 was conducted and adjustments to the budget and associated staff resourcing have been recommended based on the following considerations:

- Ensuring legislative requirements are achieved in 2007.
- Considering the impact of reducing or omitting budgets for projects currently in progress.
- Initiating projects that would provide corporate benefit to a known area of improvement.
- Delaying the implementation of projects that will benefit from the completion of projects currently in progress or other dependencies

The EMP Steering Committee will be confirming those budget and resource adjustments in Q1 of 2006. Proposed reductions will have the following impact on the audit recommendations:

- Audit Recommendation 3, respecting timely completion of the Municipal Evacuation Plan. The component of the evacuation plan that identifies protocols and decisions aids to effectively re-establish population to evacuated areas, will be delayed until 2007.
- Audit Recommendation 6, respecting the timely completion of the Emergency Operations Centre Design. The 2006 project will be limited to risk assessment of potential EOC locations with the detailed design delayed until 2007.

Conclusion

We trust that these findings and recommendations will enhance the management and control of the Emergency Management Program. Additionally, we wish to express our appreciation for the cooperation and assistance afforded the audit team by Management.

Résumé

Contexte

La Ville d'Ottawa mène activement la planification de la gestion des situations d'urgence depuis sa fusion en 2001. À l'époque, les Services de protection et d'urgence (SPU) de la Ville ont lancé une démarche de planification stratégique (Opération Delta) pour intégrer les services d'urgence de l'ensemble des anciennes municipalités. Cette démarche comprenait une étude des lacunes de la Ville en matière de gestion des situations d'urgence de la Ville.

En 2002, un nouveau projet d'immobilisations pour le Programme des interventions d'urgence, d'une valeur de 7,1 millions de dollars a été approuvé par le Conseil. Le financement était destiné à l'optimisation du potentiel de la Ville en matière de gestion des situations d'urgence par l'étude des initiatives des interventions d'urgence des services qui ne pouvaient pas être financés facilement par le budget d'une seule unité opérationnelle. On a mis en place un comité directeur et un groupe de travail multi-services pour créer un plan d'action de cinq ans dans le but de répertorier les projets importants et d'en établir la priorité pour améliorer de façon significative les capacités de la Ville à intervenir, à réduire les risques, à se préparer et à se rétablir en cas d'urgence.

Le groupe de travail a choisi des objectifs de gestion et d'exploitation mesurables pour établir la priorité des 31 projets d'immobilisations qui contribueraient à la réduction de l'écart entre le niveau d'intervention souhaité et les capacités réelles.

En 2002, l'assemblée législative provinciale de l'Ontario a modifié la *Loi sur la gestion des situations d'urgence* (anciennement la *Loi sur les mesures d'urgence*) en exigeant que toutes les municipalités de l'Ontario créent et mettent en œuvre un programme de gestion des situations d'urgence. La Ville d'Ottawa a créé, à l'aide d'une approche multi-services, un Programme de gestion des situations d'urgence (PGSU ou le Programme) complet, qui a été approuvé par le Conseil en décembre 2004. Celui-ci sert à augmenter les capacités de la Ville en ce qui a trait à la prévention, à la planification et à l'intervention lors de catastrophes et d'urgences de grande envergure, et pour assurer la prestation des services essentiels aux résidents. Un mécanisme de gestion à deux volets a été créé pour gérer le Programme de gestion des situations d'urgence.

1. **Le Comité directeur du Programme de gestion des situations d'urgence (le Comité directeur).** Le directeur municipal adjoint des Services communautaires et de protection préside ce comité qui comprend les membres de l'équipe de la haute direction de la Ville. Il est chargé de fournir une orientation et des directives stratégiques sur le programme.
2. **Le groupe de travail du Programme de gestion des situations d'urgence (le Groupe de travail).** Le gestionnaire de l'Unité des mesures d'urgence (UMU) préside ce groupe de travail. Ce dernier comprend des gestionnaires clés dans l'ensemble de la Ville, y compris des représentants d'organisations externes (par exemple, la Croix-Rouge, les

hôpitaux de la région, etc.). Le Groupe de travail se doit d'exécuter le Programme de gestion des situations d'urgence dans l'ensemble de la Ville d'Ottawa. Bien qu'on l'appelle UMU dans le présent rapport, on l'a renommé le « Bureau de gestion des situations d'urgence » le 1^{er} septembre 2005.

En 2004, la liste des projets d'immobilisations du PGSU de la Ville a été revu. On a notamment présenté cinq nouveaux projets, et on en a supprimé trois et fusionné plusieurs pour créer une liste révisée de 29 projets d'immobilisations.

Après la proclamation de la *Loi sur la gestion des situations d'urgence*, Gestion des situations d'urgence Ontario, une unité du ministère de la Sécurité communautaire et des Services correctionnels, a créé un programme de gestion des situations d'urgence de la communauté qui donnait un aperçu des normes pour les programmes de gestion des situations d'urgence. Il existe trois niveaux de normes : essentielles, améliorées et détaillées. La *Loi sur la gestion des situations d'urgence* exige que toutes les municipalités de l'Ontario se conforment aux normes créées par Gestion des situations d'urgence Ontario. Les éléments des normes essentielles devaient être mis en œuvre en décembre 2004. Les éléments améliorés et détaillés doivent être terminés d'ici décembre 2006 et 2007 respectivement.

La Ville est approximativement à mi-chemin de son premier plan d'action de cinq ans pour son programme des interventions d'urgence. Cette vérification visait à fournir au Conseil, au Directeur des services municipaux et à l'équipe de la haute direction les renseignements pour évaluer le programme et intervenir si nécessaire.

Les objectifs de la vérification était de fournir au Conseil les évaluations indépendantes et objectives de :

1. La conformité de la Ville aux exigences de la *Loi sur la gestion des situations d'urgence* et des règlements connexes de la province d'Ontario;
2. La suffisance de la structure du contrôle de la gestion (par exemple, la gouvernance, la planification, l'évaluation, etc.) qui sert à gérer le Programme de gestion des situations d'urgence de la Ville;
3. L'harmonisation de chacun des 29 projets du Programme de gestion des situations d'urgence de la Ville avec les buts énoncés du Programme de gestion des situations d'urgence.

La portée de la vérification ne comprenait pas :

- Une évaluation de la conformité des plans de gestion des situations d'urgence de chaque service et direction;
- Une évaluation de l'économie et de l'efficacité de l'Unité des mesures d'urgence;
- Une révision détaillée de chacun des 29 projets d'immobilisations du PGSU.

La vérification comprenait un examen profond et une analyse de la documentation sur le programme et le projet, notamment les rapports d'exercice du Groupe de contrôle des opérations d'urgence; le plan d'action de cinq ans du Programme des interventions d'urgence et le plan

2004 mis à jour; le plan confidentiel de gestion des situations d'urgence; l'état d'avancement du projet d'immobilisations du PGSU; le rapport de 2003 de l'analyse de vulnérabilité; les réunions préparatoires du Conseil; et les documents de planification connexes du programme.

De plus, la vérification mèna à une série d'entrevues avec des représentants d'employés et des gestionnaires de plusieurs services et directions de la Ville.

Principales constatations et recommandations

Forces

Depuis la fusion, et bien avant certains événements tels que les attentats du 11 septembre 2001 aux États-Unis et les exigences de la GSUO pour un Programme de gestion des situations d'urgence, la Ville planifie proactivement des améliorations à ses capacités d'intervention en situation d'urgence. On a constaté, grâce à cette vérification, que la planification de la gestion des situations d'urgence de la Ville a évolué, étant passée de la création d'un plan de gestion des situations d'urgence fixe et ponctuel à un programme de gestion des situations d'urgence multi-services qui comprend des consultations avec des partenaires à l'externe, de la formation et un engagement du directeur des services municipaux et de l'équipe de la haute direction. L'équipe de vérification a constaté les forces suivantes de son programme.

- Le directeur des services municipaux et l'équipe de la haute direction sont très sensibilisés au programme et y sont très engagées. De façon précise, au moment de la vérification, le Groupe de contrôle des opérations d'urgence (GCOU) s'était réuni à six reprises, chaque fois pendant une demi-journée, depuis novembre 2004 pour effectuer des exercices de simulation de gestion de situations d'urgence. Cet effort d'une demi-journée par exercice démontre un engagement significatif de la part de l'administration de la Ville. Par cet engagement, l'administration donne l'exemple et démontre le niveau élevé de priorité et d'importance du programme.
- Un plan d'urgence détaillé a été créé et ajouté au règlement municipal de la Ville d'Ottawa en décembre 2004. Le plan d'urgence de la Ville d'Ottawa donne un aperçu général du système municipal de gestion des situations d'urgence, les fonctions d'urgence générales des différentes situations d'urgence et de sinistres ainsi que les fonctions d'urgence spécifiques. Selon les règlements provinciaux, les plans d'urgence municipaux devaient être envoyés au chef de Gestion des situations d'urgence Ontario avant le 31 décembre 2004. La Ville a terminé son plan avant cette date.
- Le groupe de travail (GT) entretient couramment des représentations parmi les différents services de la Ville et se réunit toutes les semaines pour gérer le programme. Les membres du GT démontrent un haut niveau d'engagement et de dévouement au GT et au programme en entier. Les réunions du GT se déroulent régulièrement selon un ordre du jour, et un procès-verbal est distribué à chaque réunion.

- Le programme est l'un des 12 projets stratégiques prioritaires des Services communautaires et de protection, et le Plan directeur municipal 2006-2009 s'engage à créer et à mettre en œuvre un programme de gestion des situations d'urgence qui améliore la capacité de la Ville de faire face aux crises et aux catastrophes majeures. Le programme est aussi un projet d'immobilisations de l'organisme.

Constatations

Voici un sommaire des constatations, des recommandations et des risques principaux pour cette vérification.

Objectif n° 1 – Conformité

L'équipe de vérification a constaté que la Ville est conforme aux exigences de la *Loi sur la gestion des situations d'urgence* et des règlements connexes. De façon précise, au 31 décembre 2004, la Ville se conformait aux articles pertinents de la *Loi sur la gestion des situations d'urgence* et à la norme Essentielle du Cadre des programmes de gestion des situations d'urgence de la communauté.

L'équipe de la vérification a répertorié un point à améliorer relatif au processus de la Ville pour assurer la conformité aux lois et aux règlements provinciaux.

Résultat – Assurance de la conformité

La province d'Ontario reconnaît que la Ville est conforme aux lois et aux règlements pertinents. Par contre, il n'existe pas de processus officiel pour veiller à ce que la conformité soit régulièrement vérifiée et, par conséquent, maintenue à long terme. De plus, notre révision du programme d'activités actuel indique qu'il faudra peut-être des processus supplémentaires pour respecter les normes améliorées et détaillées, tel que précisé par Gestion des situations d'urgence Ontario. La Ville court le risque de devenir non conforme aux normes améliorées et détaillées définies par Gestion des situations d'urgence Ontario en conservant son portefeuille actuel de projets d'immobilisations du Programme de gestion des situations d'urgence.

Risque

Il se peut que le Conseil et le Comité directeur ne reçoivent pas les renseignements sur la conformité à temps pour les aider lors des processus de prise de décisions.

Recommandation 1

Que la direction de l'UMU fasse correspondre les projets d'immobilisations du PGSU et les activités du Programme avec les normes définies par Gestion des situations d'urgence Ontario, et que la mise en correspondance subséquente soit :

- a. **rapportée tous les ans au Conseil municipal;**
- b. **mise à jour et rapportée tous les six mois au Comité directeur.**

Réponse de la direction

La direction accepte ces recommandations.

Même si l'équipe de vérification a déterminé que la Ville est conforme aux exigences de la *Loi sur la gestion des situations d'urgence* et des normes connexes tel qu'il a été annoncé au Conseil lors de la réunion du 15 décembre 2004, l'équipe de vérification recommande la création d'un processus pour appliquer les projets et les activités d'immobilisations du Programme de gestion des situations d'urgence aux normes améliorées (deuxième année) et détaillées (troisième année).

Étant donné que le PGSU de cinq (5) ans de la Ville, d'un coût de 7,1 millions de dollars, a été mis en place avant la promulgation de la *Loi sur la gestion des situations d'urgence*, les mesures de suivi originales du Programme ne satisfaisaient pas aux exigences de la *Loi*.

Bien que la province ne la requiert pas avant 2007, le Bureau de gestion des mesures d'urgence élabore actuellement un processus cyclique de planification annuelle comme suit :

- Réaliser un examen annuel du projet, y compris un processus de mise en correspondance législative du Programme à des fins d'approbation par le Comité directeur;
- Effectuer un exercice semestriel de reformulation des priorités afin d'assurer la conformité législative et de faire le point au Comité directeur à des fins d'approbation;
- Faire officiellement le point tous les deux mois sur les progrès du Programme à l'intention du Comité directeur afin d'assurer la responsabilisation financière, d'atténuer les risques associés aux projets et de faire en sorte que l'information soit communiquée de façon appropriée.

Ce processus sera présenté à la réunion du premier trimestre de 2006 du Comité directeur.

Objectif no 2– Cadre de contrôle de gestion

Nous avons constaté que le Programme dispose d'un cadre de contrôle de gestion adéquat. Plus particulièrement, des contrôles et des procédés officiels et officieux ont été constatés pour tous les critères de vérification à l'appui des secteurs de contrôle mentionnés ci-dessus.

Toutefois, bien qu'un cadre de contrôle de gestion adéquat existe, trois observations ont été faites pour atténuer les risques associés au Programme et pour renforcer les procédés existants. De façon précise, l'équipe de vérification a identifié les occasions d'amélioration dans les zones suivantes : la structure et les processus de gestion publique; le soutien des avantages; et la quantité suffisante de ressources affectées au Programme.

Résultats – Structure et processus de gestion publique

La gestion des Services communautaires et de protection et de l'UMU a créé et mis en œuvre davantage de processus et de contrôles pour gérer de façon efficace le Programme. Néanmoins, trois processus et contrôles supplémentaires sont nécessaires pour limiter les risques associés au modèle actuel du programme de gouvernance et, par conséquent, améliorer les chances que le Programme atteigne ses buts à long terme.

Risques

Il est possible qu'il y ait un écart entre le rapport sommaire des projets d'immobilisations de l'Unité des mesures d'urgence et les rapports d'étape de chaque projet d'immobilisations.

Il est possible que les équipes des projets n'aient pas les fonds nécessaires et les qualifications requises pour atteindre les objectifs du projet.

Recommandation 2

Il est recommandé que l'UNU établisse les contrôles clés suivants à des fins d'approbation par le Comité directeur :

- a. Un mandat détaillé pour le Comité directeur, comprenant une description du Programme, des rôles de supervision et des responsabilités du Comité directeur ainsi qu'une matrice d'approbation pour le Groupe de travail, le Comité directeur et l'UMU.**
- b. Un cadre officiel de planification pour le Programme, comprenant des processus stratégiques et annuels de planification.**
- c. Un cadre de mesure du rendement pour la présentation régulière de rapports au Comité directeur et au Conseil municipal, comprenant des mesures du rendement à l'égard de la conformité législative et réglementaire ainsi qu'aux objectifs du Programme.**

Réponse de la direction

La direction accepte ces recommandations.

L'équipe de vérification a constaté que le Programme dispose d'un cadre de contrôle de gestion adéquat. Plus particulièrement, des contrôles et des procédés officiels et officieux ont été constatés pour tous les critères de vérification à l'appui des secteurs de contrôle mentionnés ci-dessus. Toutefois, bien qu'un cadre de contrôle de gestion adéquat existe, trois observations ont été faites pour atténuer les risques associés au Programme et pour renforcer les procédés existants.

Comme il a été mentionné dans la recommandation 1, le mandat actuel du Programme des mesures d'urgence, qui se concentre principalement sur la structure des projets, a été élaboré en 2002, soit avant la promulgation de la *Loi sur la gestion des situations d'urgence*. Comme le cycle de planification de cinq ans de la Ville approche de son terme, il serait approprié d'examiner le mandat actuel et de le réorienter en fonction de la structure et des procédés de gouvernance continus nécessaires à l'appui du Programme des mesures d'urgence.

Le mandat déterminera les rôles, les responsabilités et les approbations. Il comprendra un processus de mise en correspondance et de planification annuel ainsi qu'un processus d'autoévaluation semestriel afin d'assurer la conformité à la législation. Le mandat fera état des objectifs du Programme, et il donnera lieu à l'établissement de mesures de rendement, qui feront en sorte que le Programme atteigne ses objectifs, ainsi qu'à un cycle de planification stratégique pour le Programme des mesures d'urgence.

Le Comité directeur devra approuver le mandat lors du premier trimestre de 2006.

Le cadre de contrôle de gestion actuel fait l'objet d'un renforcement au niveau du service et de la direction. Les secteurs de rapport, ainsi que la nature et la fréquence des rapports ont été documentés et seront activement examinés par chaque gestionnaire et par l'équipe de gestion de la Direction.

Résultats – Soutien des avantages

La Ville a approuvé 7,1 millions de dollars pour les projets d'immobilisations reliés au Programme. Par contre, on n'a pas encore trouvé les fonds d'exploitation connexes pour soutenir les avantages à long terme de ces projets.

Risques

Il se peut que le projet d'immobilisations 511-19 du Programme de gestion des situations d'urgence, le Plan d'évacuation municipal, soit repoussé et, par conséquent, la Ville demeurera sans plan détaillé pour l'évacuation efficace de la Ville en totalité ou en partie.

Le Comité directeur pourrait ne pas comprendre parfaitement les ressources humaines et les coûts d'exploitation associés aux 29 projets d'immobilisations du Programme de gestion des situations d'urgence et, par conséquent, la Ville ne lui allouera pas les ressources suffisantes pour les années à venir pour soutenir les avantages de ces investissements à long terme.

Recommandation 3

Que le Comité directeur accorde la priorité à l'achèvement, dans les limites de temps prescrites, du projet d'immobilisation 511-19, Plan d'évacuation municipal, et qu'il

contrôle régulièrement les progrès du projet et la pertinence des ressources affectées au projet.

Réponse de la direction

La direction accepte cette recommandation.

La direction de la Ville comprend l'importance du Plan d'évacuation et a affecté, en octobre 2005, des ressources pour appuyer cette initiative. Le Plan est centré sur la planification de tous les éléments d'une évacuation, qui requiert une coordination de plusieurs services. La première étape, qui a été achevée en décembre 2005, consistait à décrire les mécanismes de coordination et les principales procédures pour tous les éléments du Plan, et à exposer en détail les responsabilités internes de la Ville d'Ottawa. La prochaine étape, qui devrait être achevée en juin 2006, traitera de tous les principaux outils de travail, mécanismes de coordination et responsabilités faisant participer des partenaires externes.

Recommandation 4

Que l'UMU entreprenne un processus visant à déterminer et à documenter les coûts prévus liés aux opérations et aux ressources humaines pour tous les projets d'immobilisation du PMU (en instance, de délimitation, actifs et achevés) et que ces coûts soient discutés et approuvés par le Comité directeur.

Réponse de la direction

La direction accepte cette recommandation.

En août 2005, le Comité directeur du PMU a établi et approuvé officiellement un processus révisé d'approbation des projets. Ce processus comprend la détermination des ressources humaines et l'aménagement de leur temps ainsi que l'incidence opérationnelle possible du projet. Tout au long du développement d'un projet, les membres du Comité directeur seront mis au courant des progrès du projet et de son intégration opérationnelle. Le personnel a récemment réalisé un examen historique des ressources humaines affectées aux projets de même que de celles projetées pour l'achèvement des projets en 2006 et en 2007. Les résultats de cette analyse ont été utilisés pour l'examen annuel des projets de 2006 et seront de nouveau utilisés, par la suite, pour ceux de 2007.

Résultats – Ressources suffisantes

Par la création de l'Unité des mesures d'urgence, le financement du portefeuille des projets d'immobilisations du Programme de gestion des situations d'urgence et les activités continues du groupe de travail, la Ville a réservé des ressources humaines et budgétaires pluriannuelles suffisantes pour la planification efficace de la gestion des situations d'urgence. Tandis qu'un bon nombre de ressources ont été consacrées à la planification d'urgence par la Ville, le Groupe de

travail éprouve des difficultés avec la suffisance des ressources affectées et le Centre des opérations d'urgence.

Risques

En tant que programme multi-services, le Programme dépend des autres services et directions pour fournir les ressources en personnel lui permettant de bien répondre à son mandat. Le Programme risque actuellement de ne pas avoir les ressources suffisantes à temps plein pour bien atteindre les objectifs du Programme, tel qu'indiqué dans le plan d'action du Programme des interventions d'urgence d'une durée de cinq ans.

Le lieu et le concept actuels du Centre des opérations d'urgence ajoutent des obstacles à la capacité de la Ville de gérer les urgences efficacement.

Recommandation 5

Que le PMU élabore et documente un processus visant la sélection et l'approbation des nouveaux membres du Groupe de travail, et qu'il fasse en sorte que le processus consigne les besoins prévus liés à la charge de travail des membres du Groupe de travail, décrive clairement les rôles et les responsabilités, et ait obtenu l'approbation officielle de la haute direction du service d'où proviennent les ressources.

Réponse de la direction

La direction accepte les intentions de cette recommandation.

Pour faire suite à la recommandation 2, le nouveau mandat comprendra un processus qui documentera les exigences liées à l'effectif du Groupe de travail et les compétences de base ainsi qu'un processus visant à obtenir l'approbation officielle au niveau du Comité directeur. Cette approbation officielle fera en sorte que les charges de travail soient équilibrées au sein du Groupe de travail.

Le 22 novembre 2005, une analyse détaillée de l'incidence sur les ressources humaines a été remise au Comité directeur. Par la suite, un plan de mise en œuvre pour 2006 et 2007 sera présenté au Comité directeur lors du premier trimestre en février 2006. Le plan déterminera la mise en œuvre de divers projets ainsi que les ressources financières et humaines requises pour achever avec succès chacun des projets dans les limites de temps prescrites. Chaque projet futur devra également suivre un processus de démarrage approuvé par le Comité directeur en août 2005. Le plan de mise en œuvre 2006-2007, le processus de démarrage des projets et les rapports d'étape bimensuels à l'intention du Comité directeur assureront la prestation d'un soutien efficace aux avantages.

Recommandation 6

Que le Comité directeur accorde la priorité à l'achèvement, dans les limites de temps prescrites, du projet d'immobilisation 511-07, Conception du Centre des opérations d'urgence.

Réponse de la direction

La conception et l'emplacement actuels du Centre des opérations d'urgence (COU) constituent un problème. L'aménagement n'est pas approprié au nombre et aux types d'activités requis par une municipalité à palier unique de la taille d'Ottawa. En outre, le Centre est situé au centre-ville et est donc plus vulnérable, il ne dispose d'aucun matériel audiovisuel permanent ou ordinateur, et d'aucune forme efficace de contrôle des accès.

Par conséquent, la conception d'un nouveau Centre des opérations d'urgence est à l'étude. Un examen des meilleures pratiques a été réalisé, et un document conceptuel a été élaboré pour le COU afin de faciliter le processus de prise de décisions et l'étape de la conception. À ce jour, l'équipe du projet a également élaboré des procédures opérationnelles détaillées pour le COU actuel, qui traitent des avis visant la mobilisation du personnel et de la gestion efficace du COU. La Ville d'Ottawa recherche actuellement des possibilités de partenariat avec le ministère de la Sécurité publique et de la Protection civile du gouvernement fédéral en vue de partager des centres d'opérations d'urgence. La Ville évalue également des modifications temporaires au COU existant afin d'améliorer l'efficacité des bureaux et du personnel.

Objectif no 3 – Projets

L'équipe de vérification a constaté que le portefeuille des projets d'immobilisations du Programme de gestion des situations d'urgence des 29 projets d'immobilisations est aligné sur les objectifs du Programme et que le portefeuille du projet d'immobilisations comprend tous les projets d'immobilisations liés au PIU en cours à la Ville. De plus, il a été établi qu'il existe des processus de suivi à la direction dans les services, mais pas au Comité directeur pour effectuer le suivi de l'horaire, des coûts et de l'étendue du projet d'immobilisations.

L'équipe de vérification a déterminé les possibilités suivantes pour renforcer les processus de gestion de projet pour le Programme et améliorer les probabilités que les 29 projets d'immobilisations du Programme de gestion des situations d'urgence soient terminés avant la date d'échéance de décembre 2007.

Résultat

Il n'existe aucun processus officiel pour permettre la révision normale du Programme et l'établissement de nouvelles priorités du portefeuille des projets d'immobilisation PGSU.

Risque

Il se peut que la Ville n'ait pas terminé son projet d'immobilisations du Programme de gestion des situations d'urgence tel que prévu. Sans la mise en œuvre de processus de gestion de projet supplémentaires au Comité directeur, les risques que cela arrive augmenteront au cours des deux prochaines années, car la Ville arrive à la fin de son plan d'action de cinq ans pour le Programme des interventions d'urgence et tente de conclure les projets d'immobilisations du Programme de gestion des situations d'urgence qu'il reste.

Recommandation 7

Que la direction de l'UMU documente et mette en œuvre un processus qui fera en sorte que le Comité directeur examine et, lorsque nécessaire, établisse de nouveau, tous les deux ans, les priorités et le profil du portefeuille de projets du PMU.

Réponse de la direction

La direction accepte cette recommandation.

L'équipe de vérification « a constaté que le portefeuille de 29 projets d'immobilisation du PMU est conforme aux objectifs établis pour le Programme et ... que des procédés de contrôle visant le suivi du calendrier, des coûts et de la portée des projets d'immobilisation existent au niveau de la direction et du service, mais non à celui du Comité directeur ».

Un processus semestriel fera en sorte que les priorités des projets soient établies de façon appropriée et continue par le Comité directeur et que le Programme soit conforme aux exigences provinciales.

Le mandat prévu pour le premier trimestre de 2006 tiendra compte de cette exigence.

Réponse de la direction – Effet de la réduction du budget en 2006

Selon les directives du Conseil provenant des délibérations budgétaires de 2006, la demande d'expansion du projet d'immobilisations 901037 (plan de gestion des situations d'urgence) ne faisait pas partie du budget 2006 approuvé. Par conséquent, la somme de 1,34 million de dollars consacrée aux travaux en cours a été réattribuée pour maximiser les progrès de projets critiques tout en limitant les conséquences.

Nous avons procédé à une révision des réalisations attendues des projets planifiés pour 2006 et nous avons suggéré des modifications au budget et au renouvellement du personnel associé selon les considérations suivantes :

- Veiller à ce que les prescriptions législatives soient terminées en 2007.
- Prendre en considération les répercussions de la réduction ou de l'omission des budgets pour les projets actuellement en cours.

- Amorcer des projets qui fourniraient des avantages globaux aux secteurs améliorés connus.
- Retarder la mise en œuvre de projets qui seront avantagés par l'achèvement des projets actuellement en cours ou d'autres projets qui en dépendent.

Le Comité directeur du PGSU confirmera ces budgets et ces modifications des ressources lors du premier trimestre en 2006. Les réductions proposées auront les répercussions suivantes sur les recommandations de vérification :

- Recommandation de vérification 3. Le respect de l'achèvement prévu du plan d'évacuation municipal. La composante du plan d'évacuation qui détermine les protocoles et les mécanismes d'aide à la décision pour réhabiliter efficacement la population par les endroits évacués sera repoussée jusqu'en 2007.
- Recommandation de vérification 6. Respecter l'achèvement de la conception du centre des opérations d'urgence. Le projet 2006 sera limité à l'évaluation des risques des endroits d'établissement possible des COU et la conception détaillée repoussée jusqu'en 2007.

Conclusion

Nous sommes convaincus que ces constatations et ces recommandations amélioreront la gestion et le contrôle du Programme de gestion des situations d'urgence. De plus, nous remercions la gestion pour la courtoisie et l'assistance qu'ils nous ont offertes pendant cette vérification.

1. Background

1.1 Provincial Emergency Management Requirements

In 2002, the Provincial Legislature amended the *Emergency Management Act* (formerly the *Emergency Plans Act*) with the requirement for all municipalities in Ontario to develop and implement an emergency management program that includes:

- an emergency plan;
- training programs and exercises for employees of the municipality and other persons with respect to provision of necessary services and the procedures to be followed in emergency response and recovery activities;
- public education on risks to public safety and on public preparedness for emergencies; and,
- any other standards for the development of emergency management programs established by regulation by the Solicitor General.

The *Act* also requires emergency management programs to conform to the standards set out by Emergency Management Ontario in accordance with international best practices and the four core components of emergency management: mitigation/prevention, preparedness, response and recovery. Emergency Management Ontario, a unit of the Ministry of Community Safety and Correctional Services, is responsible for the development and implementation of emergency management programs throughout Ontario.

Emergency Management Ontario has prepared a Community Emergency Management Program framework which outlines mandatory standards for municipal Emergency Management Programs. These standards are divided into three levels: essential, enhanced and comprehensive. Legislation required that all components of the essential standard be in place by December 2004. The enhanced and comprehensive elements must be completed by December 2006 and 2007 respectively.

1.2 Emergency Measures Unit

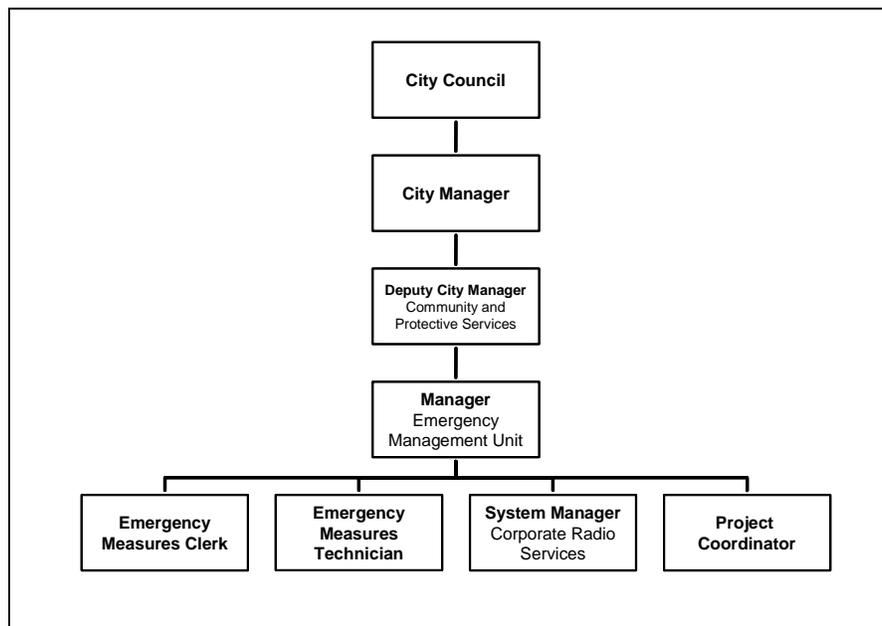
The City of Ottawa's Emergency Measures Unit (EMU) of the Community and Protective Services Department ensures the safety of residents in case of a major emergency. The EMU is responsible for executing the Emergency Management Program across the City of Ottawa. These responsibilities include:

- Emergency preparedness, 9-1-1 administration and the corporate radio communication system;
- Planning for the efficient use of the City's services, agencies and personnel during an emergency;
- Housing the City's Emergency Operation Centre and activating the Emergency Operations Centre Control Group when needed;

- Coordinating the internal business continuity planning initiative for the City;
- Maintaining and revising the City’s Emergency Plan;
- Coordination of 29 Emergency management program related capital projects; and,
- Coordination of the Emergency Management Program Working Group.

The EMU consists of five full-time staff and has annual total operating budget of approximately \$1,645,400. The following is the current organization chart for the EMU.

Figure 1 – EMU Organization Chart



Although referred to as the EMU in this report, please note that as of September 1, 2005 the EMU has been renamed the “Office of Emergency Management”.

1.3 Emergency Management Program

Led by the Manager of the EMU and using a multi-departmental approach, the City of Ottawa has developed a comprehensive Emergency Management Program. The program is designed to enhance the City’s ability to prevent, plan for, and respond to large-scale disasters and emergencies and to ensure the continued delivery of core services to City residents. A two-tiered governance structure has been developed to manage the Emergency Management Program, as follows:

1. **Emergency Management Program Steering Committee.** This Committee is chaired by the Deputy City Manager of Community and Protective Services and is comprised of the City Manager and Executive Management Team. It is responsible for providing overall direction to the Program.

2. **Emergency Management Program Working Group.** This Working Group is chaired by the Manager of the EMU, is comprised of key managers from across the city and also includes representatives from external organizations (e.g., local hospitals, Emergency management Ontario, etc.).

Currently, the following resources are committed to emergency management planning at the City.

- **Capital Budget Resources:** In 2002, a new Five Year Emergency Response Program was approved by Council. The program consisted of 31 capital projects worth a total of \$7.1 million. This total does not include the salary costs associated with the personnel who manage the individual projects.
- **Human Resources:** At a minimum, the City dedicates 14 Full Time Equivalents (FTE's) to emergency management planning.
 - Five FTEs that work full time in the EMU. The salary costs associated with these FTE's are included in the EMU's annual operating budget.
 - Nine additional FTEs from the Working Group that were initially intended to work full time on Program related activities. The salary costs associated with these FTEs are included in the annual operating budgets of the departments in which the FTEs reside. This process was agreed to by all stakeholders at the inception of the Program.
- **EMU Resources:** The EMU manages the Program as a whole and has an annual operating budget of approximately \$1,645,000. This budget includes:
 - approximately \$1,370,000 for the 9-1-1 administration and the corporate radio communication system used by the Police, Public Works, the Ottawa International Airport, Fire, and Paramedic services.); and,
 - approximately \$275,000 for the salaries of the five EMU staff and various other operating costs.

1.4 Emergency Management Five Year Action Plan

The City of Ottawa has been actively conducting emergency management planning since amalgamation in 2001. At that time, the Emergency and Protective Services Department (EPS) of the City undertook a strategic planning exercise (Operation Delta) to integrate emergency services across the former municipalities. This included an examination of the gaps in the City's emergency management capabilities.

In 2002, a new Five Year Emergency Response Program capital project worth \$7.1 million was approved by Council. (See Appendix A for the complete program spending plan). The funding

was aimed at optimizing the City’s emergency response capabilities by addressing multi-departmental emergency response initiatives that could not easily be funded within a single unit’s operating budget. A multi-departmental Steering Committee and Working Group were established to develop a five-year action plan to identify and prioritize key projects to significantly improve the City’s capability to mitigate, prepare for, respond to and recover from emergencies.

As part of the process to develop the five-year action plan, the Working Group conducted a simplified vulnerability analysis to identify the critical threats to which the City is vulnerable. The vulnerability analysis considered the probability, consequences and the City’s response capabilities for a list of potential hazards and threats. Due to timeframe and budget constraints, the Working Group selected 18 of the most challenging threats to the City from a list of 77 identified hazards. The threats were classified, according to the perceived vulnerability of the City, into three categories: high, medium and low. The Working Group then developed five scenarios that encompassed most of the possible consequences of the hazards in the high vulnerability category. These scenarios were used to develop the multi-departmental measurable management and operational objectives included in the five-year action plan.

The Working Group used the measurable management and operational objectives to identify and prioritize 31 projects that would contribute to the reduction of the gap between the current desired level of response and the actual capabilities. In 2004, five new projects were introduced, three projects removed, and several projects merged to produce a list of 29 projects, presented in the table below.

Table 1 – Approved EMP Capital Project Portfolio as of August 22, 2005	
Project #	Project Name
511-01	Chemical, Biological, Radiological, and Nuclear equipment acquisition
511-02	Comprehensive vulnerability analysis
511-03	Comprehensive emergency management plan
511-04	Public education / awareness program
511-05	Common terminology
511-06	Emergency personnel identification system
511-07	Emergency Operations Centre design
511-08	Personal protection standards
511-09	Portable Emergency Site
511-10	Vulnerable buildings/structures identification
511-11	Alert Notification System
511-12	Public notification system
511-13	Post Traumatic Stress Prevention and Response program
511-14	Multi-agency Chemical, Biological, Radiological, and Nuclear response plan
511-15	Multi agency training and exercise program
511-16	Municipal/partners joint response protocol
511-17	Municipal/hospital joint response protocol

Table 1 – Approved EMP Capital Project Portfolio as of August 22, 2005	
Project #	Project Name
511-18	Emergency Information System
511-19	Municipal evacuation plan
511-20	Mobile Emergency Site Management command post
511-21	Corporate Mitigation Program
511-22	Mobile emergency triage & treatment unit
511-23	Municipal business continuity plan
511-24	Emergency environmental response plan
511-25	Research and development program
511-26	Wilderness search and rescue
511-27	Urban search and rescue
511-28	Temporary accommodations for responders
511-29	“Next of Kin” procedures

The Emergency Management Program requires that a comprehensive vulnerability assessment be conducted every 3 years. The next assessment for the City is scheduled for 2006, at which time it is anticipated that the project prioritization and spending plan will be updated based on a revised vulnerability assessment.

2. Audit Objectives, Scope and Approach

2.1 Audit Objectives

To provide an independent and objective assessment of:

1. The City’s compliance to the requirements of the Province of Ontario’s *Emergency Management Act* and related regulations;
2. The adequacy of the management controls framework (e.g., governance, planning, reporting, etc.) used to manage the City’s Emergency Management Program; and,
3. The alignment of each of the City’s 29 EMP projects to the stated goals and objectives of the Emergency Management Program.

2.2 Audit Scope

The scope of the audit did not include:

- An assessment of the adequacy of the Emergency Management Plans of individual Departments and Branches;
- An assessment of the economy and efficiency of the Emergency Measures Unit; or,
- A detailed review of each of the 29 EMP capital projects.

2.3 Audit Approach

The audit included an extensive review and analysis of Program and project related documentation, including: Emergency Operations Control Group Exercise Reports; The Five Year Emergency Response Program Action Plan and the updated 2004 plan; the confidential Emergency Management Plan; EMP capital project status reports; the 2003 Vulnerability Analysis Report; Council briefings; and, assorted Program related planning documents.

In addition, the audit conducted an array of interviews with representatives of staff and management from numerous City departments and branches.

3. Strengths

Since amalgamation and well before events such as the 9/11 attacks in the United States and the provincial requirements for an Emergency Management Program, the City has been proactively planning for enhancements to its emergency response capabilities. Through this audit, it was observed that emergency management planning at the City has matured from the development of a static, point-in-time emergency management plan to an active multi-departmental emergency management program that includes consultations with external stakeholders, regular training, and demonstrated commitment from the City Manager and the Executive Management Team.

We observed the following key strengths of the Program.

3.1 Emergency Operations Control Group Exercises

There is a high level of awareness and commitment to the Program by the City Manager and the Executive Management Team. Specifically, the Emergency Operations Control Group has met six times, each for half a day, since November 2004 to conduct emergency management simulation exercises. This dedication of a half day per exercise represents a significant commitment of time for the Executive of the City. By making this commitment, the Executive is leading by example and demonstrating the high priority and importance that it places on Program.

It is significant to note that the Audit Team reviewed the reports generated after each exercise and made the following observations:

- Attendance for required departmental and branch representatives was close to 100% for the exercises conducted over the past 10 months.
- A detailed analysis is conducted after each exercise to determine best practices and areas for improvement. While a formal log of recommendations and follow-up actions does not exist, it would appear from consecutive exercise reports that remedial action has been taken between exercises to address the identified areas for improvement.

3.2 Emergency Plan and By-law

A detailed Emergency Plan has been developed and was incorporated into a City of Ottawa by-law in December 2004. The City of Ottawa Emergency Plan outlines the overall municipal emergency management system, the general emergency functions common to all types of emergencies and disasters as well as specific emergency functions. By Provincial Regulation, municipal Emergency Plans were due to be submitted to the Chief, Emergency Management Ontario by December 31, 2004. The City completed its plan prior to this deadline.

In June 2005, the EMU received a Letter of Achievement from Emergency Management Ontario in recognition of the City being a leader in emergency preparedness and for surpassing the 2004 legislative requirements identified by Emergency Management Ontario. During 2004 the City adopted a comprehensive City Emergency Plan, began a training program for senior City staff and emergency services personnel, and initiated *Are You Ready?*, an awareness and education campaign aimed at preparing residents and businesses for emergency situations. The City was also recognized for proactively implementing its own Emergency Management Program prior to the requirement of the *Emergency Management Act*.

3.3 EMP Working Group

The Working Group maintains active representation from across all City departments and meets weekly to manage the Program. The Working Group members show a high level of commitment and dedication to the Working Group and the Program as a whole. The Working Group meetings are held on a regular basis with formal agendas and minutes distributed for each meeting. The Working Group includes representatives from the following departments and branches: Emergency Management Unit; Public Health; Public Works and Services; Corporate Services; Paramedic Services; Fire Services Branch; Planning and Growth Management; and, Corporate Communications. External representatives from the Ottawa Police Service, Hospital Disaster Planning Committee of Ottawa, and Emergency Management Ontario also regularly attend the Working Group meetings.

Additionally, many members of the Working Group have specifically sought and gained training in different emergency management disciplines. Specifically, many members of the Working Group have completed Emergency Management Ontario's Basic Emergency Management training course.

3.4 EMP is a Corporate Priority Project

The EMP is one of Community and Protective Services' 12 Strategic Priority Projects, and the 2006-2009 City Corporate Plan commits to developing and implementing an Emergency Management Program that improves the City's ability to cope with a major crisis or disaster. The EMP is a corporate priority project and is actively supported by the City Manager and the Executive Management Team.

4. Findings and Recommendations

4.1 Introduction

The Audit Team observed that the City has conducted and continues to conduct detailed planning activities for the Program. Specifically, we observed that the key foundation elements for effective emergency management are in place in the City, including:

- The completion of a vulnerability assessment to identify the hazards and consequences the City is exposed to and assess its response capabilities;
- The completion of a comprehensive Emergency Management Plan to outline the overall municipal emergency management systems, general common emergency functions as well as specific emergency functions;
- The adoption, by Council, of a By-law to formalize the Program and the Emergency Management Plan;
- The approval and ongoing execution of 29 capital projects designed to mitigate identified hazards and consequences; and,
- Committed EMU and Working Group resources to implement the Program and complete the 29 capital projects.

The findings and recommendations identified in this section represent areas for improvement for the management of the Program. A sub-section has been provided for each of the audit objectives. Each sub-section is structured as follows.

- **Audit Criteria:** This sub-section outlines the criteria that was used to assess the Program for the given audit objectives.
- **Audit Objective - Overall Conclusion:** This sub-section states the Audit Team's conclusion against the given audit objective. Audit conclusions are brief, high level statements that answer the question posed by the audit objective.
- **Findings:** For each audit objective, the audit team identified up to three areas for improvement. The first part of this sub-section is a brief sentence or two that describes problem or challenge observed by the Audit Team. The remainder of this sub-section includes supporting facts and information to provide the reader with contextual information regarding the issue.
- **Risk/Impact:** This sub-section provides the risk and/or impacts of the issue identified. This section helps the reader to understand the relative importance of the issue identified and recommendation(s) brought forward by the Audit Team.
- **Recommendation(s):** This sub-section provides high level recommendation(s) to remedy the issue identified. Recommendations are high level by design as it is the role of the Audit Team to identify and quantify/qualify issues and areas for improvement and it is management's role to develop appropriate remedies and interventions.
- **Management Response(s):** This sub-section includes management's responses to the issues identified.

4.2 Audit Objective 1: Compliance to the *Emergency Management Act* and Related Regulations

4.2.1 Audit Criteria

The criteria used to assess the City's compliance to the requirements of the *Emergency Management Act* and associated regulations, were as follows:

- The plan has all required elements as defined in s.2.1(1) & (2) and s.9 of the Act;
- The City has conducted a hazard and risk assessment and infrastructure identification process, pursuant to s.3;
- Training programs and exercises have been conducted, pursuant to s.5.
- The plan is reviewed and, if necessary, revised annually; and,
- The original plan was submitted to Council and the Chief, Emergency Management Ontario and that the most current plan has been submitted.

4.2.2 Audit Objective 1: Overall Conclusion

The Audit Team observed that the City is compliant with the requirements of the *Emergency Management Act* and associated regulations as outlined above (i.e. the audit criteria). Specifically, at December 31, 2004 the City was compliant with the relevant sections of the *Emergency Management Act* (included in Appendix B) and with the Essential standard of the Community Emergency Management Program Framework.

We identified one area for improvement with regard to improving the City's process for ensuring compliance to provincial legislation and regulations.

4.2.3 Compliance Assurance

Findings

The City has been recognized by the Province of Ontario as compliant to relevant legislation and regulations; however, a formalized process does not exist to ensure compliance is regularly monitored and consequently sustained over the long term. Additionally, our review of current Program activities indicates that additional processes may be required to be compliant with the Enhanced and Comprehensive standards, as defined by Emergency Management Ontario.

As previously outlined in this report, the requirements for municipal emergency management planning is governed by both legislation and regulation in the Province of Ontario. The following table describes the governing legislation and regulation.

Table 3 – EMP Governing Legislation and Regulations

Name	Authority	Description
<i>Emergency Management Act, 2002</i>	Provincial Statute	<ul style="list-style-type: none"> • Prescribes emergency management planning requirements for municipalities, crown corporations and the provincial government.
Community Emergency Management Program Framework	Emergency Measures Ontario (a unit of the Ministry of Community Safety and Correctional Services)	<ul style="list-style-type: none"> • Is given authority by s.14.(3) of the <i>Emergency Management Act</i>. • Prescribes an increasingly sophisticated level of emergency management requirements for municipalities. Three levels (standards) of emergency management planning are defined: Essential, Enhanced; and, Comprehensive. • Municipalities are required to meet the requirements of these levels (standards) as follows: Essential by December 2004; Enhanced by December 2006; and, Comprehensive by December 2007.*

*At the time of the development of this report, indications existed that these deadlines may be adjusted by the Province to provide municipalities more time to meet the Enhanced standards. Notwithstanding these indications, changes have not yet been officially made to the Community Emergency Management Program Framework.

Through Council's adoption of the Emergency Management Program on December 15, 2004, the City achieved compliance with the *Emergency Management Act, 2002* and the Essential standards outlined in the Community Emergency Management Program Framework

We observed, however, that the Program does not currently maintain a documented and communicated process to ensure that the City will meet its compliance requirements for the Enhanced and Comprehensive standards of the Community Emergency Management Program Framework. Specifically, the City has not undertaken a process to map the EMP capital projects and activities to Enhanced and Comprehensive standards.

While the City is making progress towards numerous elements of Emergency Management Ontario's Enhanced and Comprehensive standards, our review of the EMP Capital projects and Program activities indicates that compliance gaps may exist in the following areas.

Table 4 – Potential Emergency Management Ontario Future Years Compliance Gaps	
Emergency Management Ontario Enhanced Standard	Potential Gap
Development and implementation of an annual self-assessment process to determine the quality and effectiveness of the Emergency Management Program.	<p>Currently, an annual self-assessment process for the Program as a whole does not exist.</p> <p>EMP capital project 511-25 may partially but not fully address this requirement by researching best practices to ensure future projects in emergency management are developed and implemented according to best practices. Currently, documented plans do not exist to introduce an annual self-assessment process.</p> <p>This project is currently pending and has not yet been initiated.</p>
Emergency Management Ontario Comprehensive Standard	Potential Gap
Development and implementation of an external assessment process to determine the quality and effectiveness of the Emergency Management Program.	Currently, a regular external assessment process for the Program does not exist.

The requirement for a mapping of Program activities and EMP capital projects to Emergency Management Ontario standards is further required due to the current financial pressures facing the City. As per the 2006 Budget Directions Report of June 27, 2005, the City is facing an unfunded operating budget shortfall of between \$35M and \$51M for 2006. For Council to make effective decisions regarding Program funding requirements, it is anticipated that, at a minimum, Council would require information regarding the cost of ensuring the City's compliance to legislative and regulatory requirements. Consequently, a mapping of EMP projects and activities to Emergency Management Ontario requirements would:

- Ensure the optimal use of capital resources by linking the current EMP capital project portfolio to current legislative and regulatory requirements; and,
- Provide Council and senior management with an enhanced level of assurance that all regulatory requirements will be met by the prescribed due dates.

Risk/Impact

There are two primary risks associated with this issue.

- There is a risk that by maintaining its current portfolio of EMP capital projects the City will possibly be non-compliant to the Enhanced and Comprehensive standards defined by Emergency Management Ontario.
- There is a risk that Council and the Steering Committee will not receive timely compliance information to assist them in their decision-making processes.

Recommendation 1

That the management of the EMU develop a mapping of EMP capital projects and Program activities to the standards defined by Emergency Management Ontario and that the subsequent mapping be:

- a. annually reported to Council; and,**
- b. updated and reported to the Steering Committee on a twice yearly basis.**

Management Response

Management agrees with these recommendations.

Although the Audit Team determined that “the City is compliant with the requirements of the Emergency Management Act and associated regulations” as reported to Council at its meeting of December 15, 2004, the Audit Team recommended development of a process to map Emergency Management Program (EMP) capital projects and activities to the enhanced (year 2) and comprehensive (year 3) standards.

Because the City’s Five (5) Year, \$7.1 Million EMP actually pre-dates the Emergency Management Act, tracking tailored to its requirements was not built into the original design.

Although the Province does not require it until 2007, the Office of Emergency Management is developing an annual planning cycle process as follows:

- Annual project review including a legislative program mapping process for approval by the Steering Committee
- Semi-annual reprioritization exercise to ensure legislative compliance will be achieved with an update provided to the Steering Committee for approval
- Bi-monthly formal program status updates to the Steering Committee to ensure financial accountability, mitigate risks associated with projects and ensure that information is shared appropriately.

This process will be tabled at the Steering Committee meeting in Q1 2006.

4.3 Audit Objective 2: Adequacy of Management Control Framework for EMP

4.3.1 Audit Criteria

The Audit Team used the Canadian Institute of Chartered Accountants' Criteria for Control (CoCo) management control framework as the basis for the assessment of the adequacy of the Program's management control framework. CoCo is a collection of management best practices/controls that, if implemented, provide management with a level of assurance that an organization's stated goals and objectives will be met. The following is a list of the control areas that were assessed as part of this audit objective (see Appendix C for detailed audit criteria).

- Risk management;
- Policies and procedures;
- Planning;
- Measurable performance targets and indicators;
- Governance: Authority, Responsibility and Accountability;
- Knowledge, Skills and Tools;
- Sufficient and Relevant Information; and,
- The decisions and actions of different parts of the organization should be coordinated.

4.3.2 Audit Objective 2: Overall Conclusion

The Audit Team observed that the Program has an adequate management control framework. Specifically, formal and informal controls and processes were observed for all of the audit criteria supporting the control areas identified above.

While it was observed that an adequate management control framework exists, three observations were made to reduce the risks facing the Program and to strengthen existing processes. Specifically, we identified improvement opportunities in the following areas: governance structure and processes; benefit sustainment; and, the sufficiency of resources assigned to the Program.

4.3.3 Governance Structures and Processes

Community and Protective Services and EMU management has increasingly developed and implemented processes and controls to effectively manage the Program. Nevertheless, three key additional processes and controls are required to mitigate the risks associated with the current Program governance model and consequently enhance the probability that the Program will achieve its long-term goals and objectives.

The EMP is a city-wide program that is actively managed by a unit within Community and Protective Services, the EMU. Overall stakeholder coordination and strategic guidance is provided by the Steering Committee and day-to-day program coordination is managed through the Working Group. Accountability for program results rests with the Deputy City Manager of

Community and Protective Services and by delegation with the Manager of the EMU. Responsibility for the management and delivery of individual EMP capital projects rests with the individual Working Group members from different City departments and branches.

The use of this type of a governance structure is typical for the delivery of enterprise-wide programs in large organizations with hierarchical organizational structures; however, programs that are managed by this type of governance model are also inherently at higher risk of experiencing challenges related to the division of authority, accountability and responsibility across multiple business units and involving various managers.

Currently, the EMU is accountable for the successful completion of the EMP capital project portfolio but does not maintain authority over the management or reporting of the individual capital projects. The following impacts were observed as a consequence of the division of Program authority, accountability and responsibility.

- **Project Start-up:** One of the critical factors in the success of any project is the early involvement of project personnel with the appropriate skills and knowledge. The Program process for developing project teams is based upon soliciting volunteers from the Working Group and requesting subject matter experts from outside the Working Group (e.g., Corporate Communications, Information Technology Services, etc). In the past, the lack of authority to direct participation in specific project teams has contributed to project difficulties. For example, EMP Project 511-08, Personal Protection Standards, is developing a CD for first responders and city stakeholders to promote personal protective equipment awareness. This CD was close to completion before it was observed that it did not meet City corporate communication standards. Due to a Working Group member from Corporate Communications not being involved in the early stages of this project, and in part to the City reorganization during this time, the CD required rework to be compliant with City communication standards and new departmental and branch names and contacts.
- **Project Reporting:** All EMP capital projects are required to follow the Community and Protective Services project reporting standards that require the submission of twice monthly status reports to Community and Protective Services management; however, the majority of Working Group members and consequently EMP capital project leads are not staff of Community and Protective Services and consequently are not bound by its reporting requirements. While evidence suggests that Working Group members principally adhere to the Community and Protective Services reporting standards, the accuracy of some of the status reporting is questionable. Specifically, a comparison of the information contained in the individual capital project status reports for May 27, 2005 against the capital project summary spreadsheet presented to the Steering Committee on August 9, 2005 revealed EMP capital project 511-10, Vulnerable Buildings/Structures Identification, reported greater accumulated expenditures in the May 27, 2005 capital project status report than those reported in the capital project summary spreadsheet compiled two months later. Approximately \$40,000 less in capital project expenditures

was reported in the August 9, 2005 capital project summary spreadsheet than was reported in the May 27, 2005 capital project status report. While evidence was not discovered to suggest any financial mismanagement has occurred, this example does highlight the difficulty of ensuring the integrity of status reporting information in a decentralized program environment.

Recognizing the challenges associated with this governance model, Community and Protective Services management and the EMU have taken steps to mitigate the above risks. Specifically:

- The manager of the EMU has recently designed and implemented enhanced controls over the reporting of financial results for EMP capital projects. Working with a representative from the Financial Services Unit, the EMU is configuring the coding of EMP capital projects in SAP (the City's financial system) to allow for expenditure tracking and reporting on an individual project basis and by cost allocation unit. Prior to this change, Program reporting was limited only to the EMP capital budget as a whole.
- The Deputy City Manager of Community and Protective Services includes the Manager of the EMU in the regularly scheduled Community and Protective Services Senior Management Team meetings and informally communicates with stakeholders of other City departments and branches at the regularly scheduled Emergency Operations Control Group training exercises. Since most of the critical emergency services groups within the City report directly to the Deputy City Manager of Community and Protective Services, many of the Program related governance issues can be resolved through the existing Community and Protective Services management structures and processes.

Given that the Community and Protective Services management has taken mitigation measures to reduce governance risks and that other City enterprise-wide programs are managed in a similar manner, the level of risk associated with the current governance model does not justify a change to the current Program governance model; however, the addition of a few key processes is still warranted. Specifically,

- Regular and formal program oversight by the Steering Committee. Currently, this happens informally at the monthly Emergency Operations Control Group training exercises; however, these exercises are planned to come to an end this year and hence will not continue to provide an informal forum for the communication and resolution of Program issues. Additionally, we did not find an updated, documented set of Terms of Reference for the Steering Committee.
- A formal program planning framework, including strategic and annual program planning processes. Currently, the Working Group conducts informal annual planning activities and is planning to revise the Five Year Emergency Response Program Action Plan in 2006. Funding for the development of the next Five Year Emergency Response Program

Action Plan, however, has not been secured and a formal planning cycle has not been developed, documented and agreed upon with the Steering Committee.

- Development of a performance measurement framework. Currently, limited performance measures exist for the EMU and the Program. Specifically, performance measures are not collected and reported to allow Council and the Steering Committee to assess progress towards legislative and regulatory compliance and progress toward meeting the Program goals and objectives.

While indirectly linked to the governance impacts defined in this sub-section of the report, the three controls described above are important components of an effective governance framework and will allow the Steering Committee to formally provide strategic direction to the Program and to receive regular information from which to assess Program success and the need for corrective action. Consequently, project related governance risks will be mitigated.

Risk/Impact

- There is a risk that discrepancies will exist between the EMU capital project summary reporting and individual capital project status reporting.
- There is a risk that project teams may not have the necessary resources with the required qualifications to successfully meet project objectives.

Recommendation 2

It is recommended that the EMU develop the following key controls for approval by the Steering Committee:

- a. A detailed Terms of Reference for the Steering Committee including a description of the Steering Committee's program oversight roles and responsibilities and an approvals matrix for the Working Group, Steering Committee, and EMU.**
- b. A formal program planning framework, including strategic and annual program planning processes for the Program.**
- c. A performance measurement framework for regular reporting to the Steering Committee and Council including performance measures in the areas of legislative and regulatory compliance and Program goals and objectives.**

Management Response

Management agrees with these recommendations.

“The Audit Team observed that the Program has an adequate management control framework. Specifically, formal and informal controls and processes were observed for all of the audit criteria supporting the control areas identified above. While it was observed

that an adequate management control framework exists, three observations were made to reduce the risks facing the Program and to strengthen existing processes.”

As noted under Recommendation 1, the current Terms of Reference for the Emergency Management Program were developed in 2002, prior to passage of the Emergency Management Act, and focused primarily on the project structure. Now that the City is approaching the end of its first 5-year planning cycle, it is appropriate to review the current Terms of Reference and reorient them to support the ongoing governance structure and processes required to support the ongoing Emergency Management Program.

The updated Terms of Reference will identify roles, responsibilities and approval processes. It will include an annual mapping/planning process and semi-annual self-assessment to ensure legislative compliance. It will outline program objectives and develop performance measures to ensure that the program is meeting those objectives and it will outline a strategic planning cycle for the Emergency Management Program.

A Terms of Reference will be tabled for approval by the Steering Committee in Q1 of 2006.

The existing management control framework is being strengthened departmentally and within the branch, the reporting areas, nature of the reports and frequency have been documented and will be actively reviewed by individual managers and collectively by the Branch Management Team.

4.3.4 Benefit Sustainment

The City has approved \$7.1 million in Program related capital projects; however, associated operating funding has not yet been identified to sustain the long-term benefits of these projects.

At the Steering Committee meeting of August 9th, 2005, discussions began regarding a process to ensure that the benefits of the EMP capital project investments were sustained once the capital projects were completed. Further work will be required to fully address this issue in the future. Specifically, during the first two years of the Program it was assumed that any operating and maintenance costs associated with the EMP capital projects would be absorbed by the department or branch assuming custody of the asset or responsibility for the new capacity. Additionally, project planning documents did not require the identification of ongoing operating and maintenance costs. Consequently, the full ongoing cost impacts of the EMP capital project portfolio were not clearly identified and reported to the departments and branches that are designated to assume these costs. Given the budget pressures facing the City, the lack of identification of future years operating budget requirements is a weakness of the Program.

We reviewed the EMP capital project portfolio in an attempt to quantify the potential impacts of the EMP capital projects upon future years operating budgets. Two scenarios were developed

for analysis: a minimal case scenario and a greater impact case scenario. All but two of the capital projects (511-02 Comprehensive Vulnerability Assessment and 511-03 Comprehensive Emergency Management Plan) were determined to have potential future years operating budget impacts.

- **Minimal Impact:** Assuming that an average of 2% of the total capital project cost would be required to support the new asset or capacity annually, approximately \$130,000 in operating budget pressures would be added to the City's overall operating budget.¹
- **Greater Impact:** Assuming that an average of 5% of the total capital project cost would be required to support the new asset or capacity annually, approximately \$320,000 in operating budget pressures would be added to the City's overall operating budget.

In addition to potentially increasing operating costs, the EMP capital projects will also place pressures on the City's human resources. Specifically, many of the EMP capital projects will introduce new processes and responsibilities to individual departments and branches. While it is more difficult to definitively quantify these impacts, it is generally agreed that the EMP capital projects will generate additional workload pressures on City staff and management.

The following is a sample of EMP capital projects and the potential operating budget and human resources impacts associated with these projects. It should be noted that the following is not an all-inclusive list. Other EMP projects may also have budget and human resource issues associated with them.

- **511-04: Public Education/Awareness Program:** The *Are You Ready?* program is an important part of the City's capability to train its staff and raise emergency planning awareness amongst residents. The value of this project was approximately \$500,000. The EMP capital project included funds to develop the training program and materials and to train an initial group of four master trainers. Not included or identified in the EMP capital project were the resource requirements for the sustainment of this ongoing program. Currently, only one part-time EMU resource and five voluntary staff trainers are available to provide training to both City staff and public groups. Due to other job related duties and responsibilities, the voluntary staff trainers are not consistently available to conduct training. To-date, over 60 people from over 20 different community groups and agencies have been trained. A further 70 groups have expressed interest in receiving the training. Due to a lack of available master trainers, it is unclear when the remainder of these community groups will receive the training.

¹ Industry best practices are that organizations should invest 2% of the value of their real property capital assets into recapitalization of those assets. In the absence of a similar best practice for the introduction of new programs and processes, this number was used as a proxy to determine the potential operating budget impacts of the EMP projects.

- **511-09: Portable Emergency Shelters:** Through this capital project the City has purchased four large shelters for use during emergencies. The budget for this project (excluding any operating costs subsequently identified) is approximately \$330,000. These shelters are equipped with HVAC systems, lighting, etc. The shelters will be dispersed amongst City services as follows: two will go to the Paramedic Service and one each to the Police Service and the Fire Service. Operating funding for the storage and annual maintenance of the shelters was not identified in the original project plans. The Working Group is currently undertaking a process to determine the operating and maintenance requirements and to develop performance standards of the new shelters.
- **511-10: Vulnerable Buildings/Structures Identification:** This is a three phased capital project designed to begin identifying vulnerabilities to facilities, buildings and structures in the City of Ottawa. The budget for this project is approximately \$700,000. The first phase of the project will begin to identify the resource and other needs (accessibility/structural) of emergency facilities in the City of Ottawa. The second phase of the project will seek to assess all City owned buildings. The third phase of this project will begin to identify vulnerabilities in City owned structures. Once completed (currently scheduled for 2007), a process will be required to regularly update the vulnerability assessment of City owned buildings and structures. Currently, future year's salary or operating budget resources have not been identified to sustain this new process after December 2007.
- **511-14: Chemical Biological Radiological and Nuclear Response Plan:** Working in partnership with the National Capital Chemical, Biological, Radiological, and Nuclear Responders Advisory Committee, this project is designed to develop a multi-agency plan and response capacity that integrates with the City of Ottawa Emergency Plan for managing the crisis and mitigating the consequences of chemical, biological, radiological and nuclear incidents. The budget for this project is approximately \$600,000 over three years. The project milestones include developing inter-agency policy and procedure protocols for CBRN response, identifying procedures that will need to be created to meet objectives, documenting and reviewing best practices, and planning common exercises and training activities. Ongoing operating funding has not been identified for the continued operation of this new capability.
- **511-27: Urban Search & Rescue Capabilities:** The purpose of this project is to develop a locally deployable, multi-disciplined Urban Search and Rescue team. Sixty-five to seventy team members comprised of Firefighters, Police Officers, Paramedics, and other expertise, as required will be coordinated for this purpose. Ongoing operating funding has not been identified for the continued operation of this new capability.
- **511-19: Municipal Evacuation Plan:** The goal of this capital project is to develop a comprehensive Evacuation Plan for the City of Ottawa. The budget for this project is approximately \$75,000. This plan will reflect the response mechanism of all pertinent municipal and external resources in response to the need to move the affected population

safely from hazardous areas to areas where their safety and wellbeing will not be at risk. The project plan for this project was developed in April 2003. The project was placed on hold by the Working Group in April of 2004 and will be reinitiated in the fall of 2005. The project was placed on hold due to dependencies on the Emergency Management Plan and the availability of project team resources. Currently, future year's salary or operating budget resources have not been identified to regularly review and maintain the evacuation plan.

- **511-20: Mobile Emergency Site Management Command Post:** The City is currently in the process of identifying and acquiring a mobile emergency site management command post which will facilitate unified command communication for effective emergency scene management. The budget for this capital project is approximately \$350,000. Operating funding has not been identified for the storage and ongoing maintenance of the mobile ESM command post.

At the August 9th, 2005 Steering Committee, the issue of benefit sustainment was discussed. The following project start up process was recommended for all EMP capital projects.

1. Project leads will complete a project plan template.
2. Project plans will need to clearly identify and specify information within the new sections of the template: technology requirements, operational impacts and resource requirements.
3. Project plans will be reviewed and approved by the Working Group membership.
4. Project plans will then be presented to Steering Committee for final approval.
5. Upon approval from Steering Committee, Program resource allocations will need to be designated according to a specific position and time frame (e.g. will it be a secondment or from a specific department for a designated time frame or an ongoing full-time resource requirement?)

The above process will in part mitigate the risks associated with the program's previous lack of planning for future years operating and human resources impacts associated with the EMP capital projects. This will be achieved through the identification of operational impacts and resource requirements in step 2 of the process described above. Nevertheless, a summary of human resources and operating impacts for all EMP capital projects would enhance reporting to the Steering Committee and Council.

Risk/Impact

- There is a risk that EMP capital project 511-19, Municipal Evacuation Plan, will experience further project delays and consequently that the City will continue to be without a comprehensive plan for the effective and orderly evacuation of all or segments of the City.

- There is a risk that the Steering Committee will not have a full understanding of the human resources and operating costs associated with the 29 EMP capital projects and consequently that the City will not allocate sufficient future years resources to sustain the benefits of these investments over the long term.

Recommendation 3

That the Steering Committee place a priority upon the timely completion of capital project 511-19, Municipal Evacuation Plan, and regularly monitor the project's progress and adequacy of resources assigned to the project.

Management Response

Management agrees with this recommendation.

Management recognized the Evacuation Plan as a priority and dedicated resources to support this initiative in October 2005. The project focuses on planning all elements of an evacuation, which requires multi-departmental coordination. The first phase was completed in December 2005, and described the coordination mechanisms and major procedures for all plan elements and detailed internal City of Ottawa responsibilities within the plan. The next phase, anticipated to be complete by June 2006, will address all major job aids, coordination mechanisms and responsibilities involving external partners.

Recommendation 4

That the EMU undertake a process to identify and document the anticipated operating and human resources costs for all EMP capital projects (pending, scoping, active, and completed) and that these costs be discussed and agreed to by the Steering Committee.

Management Response

Management agrees with this recommendation.

In August 2005, a revised project approval process was formally established and approved by the EMP Steering Committee. Included in this process are the identification of human resources and their time allocation, and the potential operational impact of the project. Throughout a project's development, the Steering Committee members will be kept apprised of the project's progress and its integration operationally. Staff recently conducted a historical review of the human resources allocated to the projects as well as projected human resources required to complete the projects in 2006 and 2007. The results of this analysis were used for the annual project review for 2006 and will subsequently be used in 2007.

4.3.5 Sufficient Resources

Through the establishment of the EMU, the funding of the EMP capital project portfolio and the ongoing operation of the Working Group, the City has dedicated comprehensive multi-year budgetary and human resources for effective emergency management planning. While an extensive array of resources have been dedicated to emergency planning by the City, issues exist regarding the adequacy of resources assigned to the Working Group and the adequacy of the Emergency Operations Centre (EOC).

The following is a brief overview of the resources dedicated to emergency management planning and response at the City.

Resource	Description
Human Resources	<ul style="list-style-type: none"> • Currently, the City dedicates 14 Full Time Equivalents (FTE's) to emergency management planning. This includes: <ul style="list-style-type: none"> - Five FTE's that work full time in the EMU; and, - Nine additional FTE's from the Working Group that were initially intended to work full time on Program related activities.
EMU Operating Budget	<ul style="list-style-type: none"> • The EMU maintains an annual operating budget of approximately \$1,645,000. This budget includes approximately: <ul style="list-style-type: none"> - \$1,370,000 for the 9-1-1 administration and the corporate radio communication system used by the Police, Public Works, the Ottawa International Airport, Fire, and Paramedic services; and, - \$275,000 for the salaries of the five EMU staff and various other operating costs.
Capital Budgets	<ul style="list-style-type: none"> • Through the Five Year Emergency Response Program approved by Council in 2002, the City allocated \$7,100,000 over five years for EMP capital projects.
Facilities	<ul style="list-style-type: none"> • Office space has been provided in City Hall for the EMU and the EOC. This space is comprised of: <ul style="list-style-type: none"> - One enclosed office; - Open office space for two staff; - One medium sized boardroom (the EOC); and, - One small boardroom (10 to 12 workstations for staff to support Emergency Operations Control Group members in the event of an emergency).

Through the course of this audit it was observed that ambiguity exists regarding the appropriate role of the Working Group members. Specifically, at the creation of the Working Group in 2002

it was generally agreed by the Steering Committee members that each department and select branches would contribute one full time FTE to the Working Group. It was additionally agreed that each Working Group member would split their time roughly 50/50 between conducting Program activities for the Working Group (primarily managing EMP capital projects) and promoting and conducting departmental/branch related Program activities. Since the creation of the Working Group, this understanding has evolved. Working Group members now participate on a voluntary basis and often have additional responsibilities in their own departments or branches. Consequently, many Working Group members now divide their time between Program activities and their other non- Program activities.

We also observed that a formal and documented process does not exist for the selection and approval of Working Group members. Specifically, it was observed that a process does not exist to:

- Assess the appropriateness and qualifications of proposed Working Group members;
- Clearly document and communicate the requirements of Working Group membership; or,
- Gain the formal approval of senior departmental management from which proposed Working Group originated.

The lack of dedicated full time Working Group resources reduces the overall resources assigned to preparing the City for effectively managing future emergencies and has had an impact on the ability of the Program to deliver the capital projects within the original schedules. Specifically, for fiscal years 2002, 2003 and 2004 the Program budgeted to spend approximately \$2.2M in capital projects. A review of actual expenditures reveals that only \$1.6M of this amount was spent during this same period. It is important to note that the above schedule slippages are not solely due to a lack of full-time Working group resources. During 2002 and 2003, the Program was in the early stages of initiation and was undertaking the process of staffing the EMU and the Working Group. There has also been frequent turnover in the EMU Manager position, resulting in three different managers between January 2003 and June 2004. Nevertheless, it is reasonable to assume that a portion of these slippages can be attributed to the lack of dedicated full time Working Group resources.

Most audit interviewees acknowledged that the current location and design of the EOC is problematic. Specifically, it was observed that:

- The EOC is located on the main floor of 110 Laurier (City Hall). The existing layout was initially designed to serve as the EOC for the former upper tier regional government of Ottawa Carleton and was not designed for the requirements of a single tier municipality of Ottawa's current size or for a municipality with the range and complexity of services currently provided by the City;
- The EOC is located at City Hall and is close to numerous locations considered to be high risk from a vulnerability perspective;

- The EOC does not have permanent audio/visual equipment and computer workstation facilities to assist Emergency Operations Control Group members and staff to access their computer systems and monitor events. Audio/visual equipment and computer workstations are temporarily installed on an as-and-when required basis; and,
- There is not an effective form of controlled access to and from the EOC.

Currently, the EMP portfolio of capital projects includes a project (511-07 Emergency Operations Centre Design) for the design of a new EOC. A decision document related to this project was submitted to the Steering Committee on August 9, 2005. The decision requested was as follows: “In effort to move forward, a decision is required to determine if City Hall is an appropriate location for the primary EOC. If it is determined that City hall is not the primary location, further analysis will be conducted to guide next steps.” The document also identified \$3,456,591 (not including costs for window reinforcement and radio relocation) in anticipated renovation costs should the Steering Committee decide to renovate and expand the existing EOC in City Hall.

While the City is actively managing the risks associated with the current EOC, this issue has been included in the audit report because of the schedule challenges that have been experienced by EMP capital project 511-07 Emergency Operations Centre Design. Specifically, the design of a new EOC was originally planned to be completed by the end of 2003. As of August 2005, this project was still active and a decision regarding the appropriate location of the EOC had not been formally taken. Additionally, while a budget has been allocated for the design of a new EOC (through EMP capital project 511-07 Emergency Operations Centre Design), a budget has not been allocated for the renovation of the existing EOC or the creation of a new EOC. Consequently, due to the criticality of maintaining a fully capable EOC to effective emergency management and communications during an emergency event, closer monitoring of this project is warranted by the Steering Committee.

Regarding long-term resource allocations, it should be noted that the City has identified approximately \$1,500,000 in annual EMP capital funding in the Long Range Financial Plan; however, without the conduct of an updated vulnerability assessment, the development of another the Five Year Emergency Response Program Action Plan, and the mapping of Emergency Management Ontario requirements to EMP capital projects and program activities it is not possible to make an accurate forecast of future years EMP capital requirements.

Risk/Impact

- As a multi-departmental program, the Program is reliant upon other departments and branches to provide staff resources to enable it to successfully deliver upon its mandate. The Program is currently at risk of not having sufficient full-time resources to successfully deliver upon the Program goals and objectives as outlined in the Five Year Emergency Response Program Action Plan.

- The current location and design of the EOC adds avoidable constraints and challenges to the City's capability to effectively and efficiently manage emergencies.

Recommendation 5

That the EMU develop and document a process for the selection and approval of new Working Group members and ensure that the process: documents the anticipated workload requirements of Working Group members; clearly outlines roles and responsibilities; and includes formal senior management approval of the department from which the resource belongs.

Management Response

Management agrees with the intent of this recommendation.

Further to recommendation 2, the new Terms of Reference will include a process to document requirements of Working Group membership, core competencies and a process for gaining formal approval at the Steering Committee level on Working Group membership. This formal approval will assist in ensuring workload balances are made with respect to Working Group members.

A detailed human resources impact analysis was presented to the Steering Committee November 22, 2005. Subsequent to this, an implementation plan for 2006 & 2007 will be presented to the Steering Committee in Q1 of 2006. The implementation plan will identify the implementation of various projects and the financial and human resources required to successfully complete each project within the identified timeline. Each future project will also follow the project start-up process approved by the Steering Committee in August 2005 (identified on page 44 of audit report). The 2006 & 2007 implementation plan, the project start-up process and bi-monthly status reporting to the Steering Committee will ensure effective benefit sustainment.

Recommendation 6

That the Steering Committee place a priority upon the timely completion of EMP capital project 511-07, Emergency Operations Centre Design.

Management Response

The current location and design of the Emergency Operation Centre (EOC) is problematic. The layout is not appropriate for the number and types of activities required by a single tier municipality of Ottawa's size, is located downtown and therefore at higher risk from a vulnerability perspective, has no permanent audio visual equipment and computer workstations and lacks an effective form of controlled access.

Accordingly, a project has been identified for the design of a new Emergency Operations Centre. A Best Practices Review has been completed and an EOC Design Concept document was developed to aid in decision-making processes and the design phase. To

date, the project team has also developed detailed operating procedures for the current EOC, which addresses notification procedures for mobilizing staff and procedural processes for the effective management of the EOC. The City of Ottawa is currently seeking partnership opportunities with the Federal Government – Public Safety and Emergency Preparedness Canada to co-locate Federal and Municipal- Emergency Operations Centers. Temporary modifications to the existing EOC are also being evaluated to enhance efficiencies of space and personnel

4.4 Audit Objective 3: Alignment of the 29 EMP Projects with EMP Goals

4.4.1 Audit Criteria

The criteria used to assess the relevance and alignment of each of the 29 EMP capital projects to the goals and objectives of the Program were as follows.

Relevance

- That all of the EMP capital projects are aligned with stated goals and objectives of the Program.

Completeness

- That all EMP related capital projects currently underway at the City are included in Program.

Project Risks

- That there is a monitoring process to track capital project schedule, costs and scope.

4.4.2 Audit Objective 3: Overall Conclusion

The Audit Team observed that the current EMP capital project portfolio of 29 capital projects is aligned to the stated goals and objectives of the Program and that the capital project portfolio contains all the EMP related capital projects currently underway at the City. Additionally, it was observed that monitoring processes exist at the branch and departmental level but not at the Steering Committee level to track capital project schedule, costs and scope.

We identified the following opportunity to strengthen the Program’s project management processes and to increase the likelihood that the 29 capital projects will be completed prior to the deadline of December 2007.

4.4.3 Regular Project Portfolio Monitoring

The Program does not have a formalized process to allow for the regular review and reprioritization of the EMP capital project portfolio. This process will become increasingly important over the next two years as the City approaches the end of its first Five Year Emergency Response Program Action Plan and attempts to gain closure on the remaining 24 EMP capital projects that are not yet completed (5 of the 29 projects have been completed).

Schedule related risks are common to most capital programs and are typically mitigated in large organizations by robust project management processes and practices. We observed that the following formal project related processes exist:

- **Community and Protective Services Project Reporting:** Every two weeks, the EMU submits individual project status reports to Community and Protective Services Deputy City Manager's office. These reports are created by the individual project leads and are reviewed by the Manager, Strategic Initiatives & Business Planning. On a monthly basis, these reports are rolled up into a summary report and are presented to the Community and Protective Services Senior Management Team.
- **Working Group Project Status Reporting:** On a rotational basis, Working Group members are asked to provide the Working Group with project status updates at their weekly Working Group meetings.

While the above processes are important for managing the EMP capital projects on a tactical level, we did not observe a formal process for the Steering Committee's regular review and reprioritization of the EMP capital project portfolio. Specifically, most large organizations that manage capital programs implement a structured annual or twice annual process to allow executive decision makers with the opportunity to review and challenge project progress and to reprioritize funding based on emerging needs. Since 2002, the capital project portfolio has been reviewed only twice for completeness and relevance, by the Working Group and Steering Committee. These reviews were conducted as follows:

- **Fall/Winter 2004/05:** As part of the process to adopt the new Emergency Management Program by-law, the cluster of 31 EMP capital projects was reviewed by the Working Group and Steering Committee for completeness and relevance. This review resulted in five new projects being introduced, three projects being removed, and several projects merged to produce a revised list of 29 capital projects. An explanation of these changes and decisions was included in the documentation presented to Council on December 15, 2004.
- **Summer 2005:** As part of the EMU's ongoing planning processes, the manager of the EMU conducted a review of the revised list of 29 capital projects for accuracy of the

project schedule and budget information. As a consequence of this review, the following changes were proposed to the Steering Committee.

- Eight projects receive a decrease in their budgets.
- Eleven projects receive an increase in their budgets.
- The budgets of ten projects remain unchanged.

This type of process will be especially important to the Program over the next two years given that a large portion of the projects (24 projects representing approximately \$4.2M in expenditures) are yet to be successfully completed. Reviewing the 24 capital projects in more detail, as of the beginning of August, 2005:

- Five capital projects representing \$330,000 in capital expenditures had not been initiated. These included: 511-24 Municipal Emergency Environmental Response Capability; 511-25 Research and Development Program; 511-26 Wilderness Search and Rescue; 511-28 Temporary Accommodations / Shelters for Responders and Their Families; and, 511-29 “Next Of Kin” Procedures. With the exception of 511-25, these projects will not impact upon the City’s compliance to provincial legislation and regulations.
- Eleven capital projects representing approximately \$2.1M are planned to be completed in 2006 or 2007. In addition to the five projects listed above, the following projects are included in this category: 511-23 Municipal Business Continuity Plan; 511-27 Urban Search and Rescue; 511-02 Comprehensive Vulnerability Analysis; 511-19 Municipal Evacuation Plan; 511-13 - Post Traumatic Stress Prevention and Response Program; and, 511-14 - Multi-agency CBRNE Response Plan. Projects 511-23 and 511-19 will contribute to the City’s compliance to Emergency Management Ontario’s Comprehensive standard.

Risk/Impact

The City is at risk of not meeting its EMP capital project completion schedule. Without the implementation of additional project monitoring processes at the Steering Committee level, the likelihood of this risk occurring will increase over the next two years as the City approaches the end of its first Five Year Emergency Response Program Action Plan and attempts to gain closure on the remaining 24 EMP capital projects.

Recommendation 7

That the management of the EMU document and implement a process to ensure the Steering Committee review and where required reprioritize/re-profile the EMP project portfolio on a twice yearly basis.

Management Response

Management agrees with this recommendation.

The Audit Team “observed that the current EMP capital project portfolio of 29 capital projects is aligned to the stated goals and objectives of the Program and ...that monitoring processes exist at the branch and departmental level but not at the Steering Committee level to track capital project schedule, costs and scope.”

A semi-annual process will ensure that projects are appropriately prioritized on an ongoing basis by the Steering Committee as well as to ensure provincial program compliance.

The Terms of Reference planned for Q1 of 2006 will include this requirement.

Management Response - Impact of 2006 Budget Reduction

Based on the Council direction emanating from the 2006 budget deliberations the request to expand the capital project 901037 (Emergency Management Plan) was not included in the approved 2006 budget. In response to this budget direction the existing 1.34 million in the works in progress was reallocated to maximize progress on critical projects while minimizing impact.

A review of all projects deliverables planned for 2006 was conducted and adjustments to the budget and associated staff resourcing have been recommended based on the following considerations:

- Ensuring legislative requirements are achieved in 2007.
- Considering the impact of reducing or omitting budgets for projects currently in progress.
- Initiating projects that would provide corporate benefit to a known area of improvement.
- Delaying the implementation of projects that will benefit from the completion of projects currently in progress or other dependencies

The EMP Steering Committee will be confirming those budget and resource adjustments in Q1 of 2006. Proposed reductions will have the following impact on the audit recommendations:

- Audit Recommendation 3, respecting timely completion of the Municipal Evacuation Plan. The component of the evacuation plan that identifies protocols and decisions aids to effectively re-establish population to evacuated areas, will be delayed until 2007.
- Audit Recommendation 6, respecting the timely completion of the Emergency Operations Centre Design. The 2006 project will be limited to risk assessment of potential EOC locations with the detailed design delayed until 2007.

5. Conclusion

The City of Ottawa has been actively conducting emergency management planning since amalgamation in June 2001. Led by the Deputy City Manager of Community and Protective Services and the Manager of the EMU and using a multi-departmental approach, the City of Ottawa has developed a comprehensive Emergency Management Program and has been recognized for its efforts by Emergency Management Ontario. At a high level, the audit team made the following observations.

1. The City is compliant with the requirements of the *Emergency Management Act* and associated regulations. The Audit Team identified one area for improvement with regard to strengthening the City's process for ensuring ongoing compliance to provincial legislation and regulations.
2. The Program has an adequate management control framework. Specifically, formal and informal controls and processes were observed for all of the audit criteria. While it was observed that an adequate management control framework exists, three observations were made to reduce the risks facing the Program and to strengthen existing processes. Specifically, the Audit Team identified improvement opportunities in the following areas: governance structure and processes; benefit sustainment; and, the sufficiency of resources assigned to the Program.
3. The current EMP capital project portfolio of 29 capital projects is aligned to the stated goals and objectives of the Program and that the capital project portfolio contains all the EMP related capital projects currently underway at the City. Additionally, it was observed that monitoring processes exist at the branch and departmental level to track capital project schedule, costs and scope but not at the Steering Committee. The Audit Team identified an opportunity to strengthen the Program's project management processes and to increase the likelihood that the 29 capital projects will be completed prior to the deadline of December 2007.

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Appendix A –Project Spending Plan

Number	Project	Project Status May 27, 2005	Final Deliverable Due Date	Original Budget Dec. 17, 2002	Revised Budget Aug. 19, 2005	Net Project Budget Change	External Funding Required	2002 Actual	2003 Budget	2003 Actual	2004 Budget	2004 Actual	2005 Budget
511-01	CBRN equipment	On Target	30-Nov-04	\$300,000	\$400,000	\$100,000	\$900,000	\$112,498	\$322,898	\$210,400	\$77,102	\$75,368	
511-02	Comprehensive vulnerability analysis	On Target	15-Dec-06	\$200,000	\$90,000	-\$110,000			\$45,000	\$45,288	\$15,000	\$15,000	
511-03	Comprehensive municipal emergency management plan	On Target	15-Dec-04	\$300,000	\$80,000	-\$220,000			\$40,000	\$39,398	\$30,000	\$28,000	\$10,000
511-04	Public education / awareness program	On Target	3-Feb-05	\$520,000	\$585,000	\$65,000			\$85,000	\$63,345	\$350,000	\$345,754	\$150,000
511-05	Common terminology	On Target	10-Jun-05	\$10,000	\$5,000	-\$5,000			\$5,000	\$2,500			
511-06	Emergency personnel identification system	On Target	15-Dec-05	\$25,000	\$150,000	\$125,000	\$3,000		\$10,000	\$2,972	\$135,000	\$134,991	\$5,000
511-07	Design an Emergency Operations Centre	On Target	3-Jun-05	\$50,000	\$180,000	\$130,000			\$40,000	\$30,000	\$50,000	\$39,881	\$40,000
511-08	Personal protection standards for emergency personnel	On Target	30-Jun-05	\$50,000	\$135,000	\$85,000	\$36,000		\$15,000	\$14,708	\$90,000	\$87,705	\$30,000
511-09	Portable emergency site facilities	On Target	27-Jun-05	N/A	\$330,000	\$330,000					\$330,000		
511-10	Vulnerable buildings / structures	On Target	30-Jun-05	\$700,000	\$700,000	\$0					\$140,000	\$132,506	\$260,000
511-11	Alert system equipment	On Target	31-Oct-05	N/A	\$40,000	\$40,000					\$15,000	\$10,496	\$5,000
511-12	Public notification system for emergencies	On Target	15-Dec-05	\$100,000	\$100,000	\$0							
511-13	Post Traumatic Stress Prevention and Response Program	On Target	30-Jun-06	\$200,000	\$200,000	\$0			\$10,000	\$4,000	\$10,000	\$9,373	\$60,000
511-14	Multi-agency CBRNE Response Plan	On Target	13-Apr-06	\$600,000	\$575,000	-\$25,000	\$100,000						\$225,000
511-15	Multi agency emergency management training and exercise program	On Target	17-Sep-05	\$500,000	\$420,000	-\$80,000					\$20,000	\$18,521	\$100,000
511-16	Municipal/partners joint response protocol & performance objectives	On Target	15-Jul-05	\$80,000	\$80,000	\$0							\$40,000
511-17	Municipal/hospital joint response protocol & performance objectives	On Target	30-Sep-05	\$50,000	\$50,000	\$0							
511-18	Development of an Emergency Information System	On Target	7-Nov-05	\$250,000	\$285,000	\$35,000							\$100,000
511-19	Municipal evacuation plan	On Target	8-Dec-06	\$100,000	\$75,000	-\$25,000			\$5,000	\$3,000	\$5,000	\$5,000	
511-20	Mobile emergency site management command platform	On Target	8-Sep-05	\$385,000	\$350,000	-\$35,000							\$350,000
511-21	Mitigation program	On Target	1-Nov-05	N/A	\$200,000	\$200,000							\$50,000
511-22	Mobile emergency treatment rehab unit	On Target	30-Jul-05	\$320,000	\$300,000	-\$20,000							\$300,000
511-23	Municipal business continuity plan	On Target	15-Dec-07	\$200,000	\$285,000	\$85,000							\$140,000
511-24	Municipal emergency environmental response capability	Not Started	15-Feb-07	\$400,000	\$200,000	-\$200,000							
511-25	Research and development program	Not Started	15-Feb-07	\$100,000	\$40,000	-\$60,000							\$10,000
511-26	Wilderness search and rescue	Not Started	15-Feb-07	\$50,000	\$40,000	-\$10,000							
511-27	Urban search and rescue	On Target	15-Feb-07	\$850,000	\$600,000	-\$250,000	\$850,000						\$200,000
511-28	Temporary accommodations / shelters for responders and their families	Not Started	15-Feb-07	\$50,000	\$40,000	-\$10,000	\$50,000						
511-29	"Next of Kin" procedures	Not Started	15-Feb-07	\$10,000	\$10,000	\$0							
	Inter Agency Communication Protocol	Removed	2003	\$10,000	\$0	-\$10,000							
DPW20	Emergency Potable Water Supply Plan	Removed	2005	\$250,000	N/A	-\$250,000							
WRC29	Multi Agency Water Response	Removed	2007	\$400,000	N/A	-\$400,000							
MDR08	Mutually Depending Response Identification	Removed	2003	\$40,000	N/A	-\$40,000							
	5 year Plan				\$45,558	\$45,558		\$45,320	\$45,558	\$238			
	Administrative				\$15,245	\$15,245		\$1,929	\$7,006	\$5,077	\$4,737	\$4,736	\$3,502
	Professional Services				\$248,803	\$248,803		\$10	\$78,803	\$78,813	\$70,000	\$70,000	\$100,000
	Shelter Coordination				\$10,394	\$10,394					\$10,394	\$10,394	
	Contingencies				\$235,000	\$235,000			\$120,000		\$25,000		\$25,000
Total				\$7,100,000	\$7,100,000	\$0	\$1,939,000	\$159,757	\$829,265	\$499,739	\$1,377,233	\$987,725	\$2,203,502

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Table Notes		
New projects added as of Jan. 2004		Budget
511-09	Portable emergency site facilities	\$145,000
511-11	Alert system equipment	\$50,000
511-21	Mitigation program	\$200,000
Projects removed as of Jan. 2004		
DPW20	Emergency Potable Water Supply Plan	\$250,000
WRC29	Multi Agency Water Response	\$400,000
MDR08	Mutually Depending Response Identification	\$40,000

Appendix B – Compliance

<i>Emergency Management Act</i>	Compliance
s.2.1 (1): Every municipality shall develop and implement an emergency management program and the council of the municipality shall by by-law adopt the emergency management program	Compliant
s.2.1 (2): The emergency management program shall consist of:	
(a) an emergency plan as required by section 3;	Compliant
(b) Training programs and exercises for employees of the municipality and other persons with respect to the provision of necessary services and the procedures to be followed in emergency response and recovery activities;	Compliant
(c) public education on risks to public safety and on public preparedness for emergencies; and	Compliant
(d) any other element required by the standards for emergency management programs set under section 14. 2002, c.14, s.4	
S2.1 (3) In developing its emergency management program, every municipality shall identify and assess the various hazards and risks to public safety that could give rise to emergencies and identify the facilities and other elements of the infrastructure that are at risk of being affected by emergencies	Compliant
S3. (1) Every municipality shall formulate an emergency plan governing the provision of necessary services during an emergency and the procedures under and the manner in which employees of the municipality and other persons will respond to the emergency and the council of the municipality shall by by-law adopt the emergency plan	Compliant
3 (5) Every municipality shall conduct training programs and exercises to ensure the readiness of employees of the municipality and other persons to act under the emergency plan	Compliant
3 (6) Every municipality shall review and, if necessary, revise its emergency plan every year	Compliant
6.2(1) Every municipality, minister of the Crown and designated agency, board, commission and other branch of government shall submit a copy of their emergency plans and of any revisions to their emergency plans to the Chief, Emergency Management Ontario, and shall ensure that the Chief, Emergency Management Ontario has, at any time, the most current version of their emergency plans	Compliant
The plan has all required elements as defined in s.9: An emergency plan formulated under section 3, 6 or 8 shall:	
(a) in the case of a municipality, authorize employees of the municipality or, in the case of a plan formulated under section 6 or 8, authorize Crown employees to take action under the emergency plan where an emergency exists but has not yet been declared to exist;	Compliant

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<i>Emergency Management Act</i>	Compliance
(b) specify procedures to be taken for the safety or evacuation of persons in an emergency area;	Compliant
(c) in the case of a municipality, designate one or more member of council who may exercise the powers and perform the duties of the head of council under this Act or the emergency plan during the absence of the head of council or during his or her inability to act;	Compliant
(d) establish committees and designate employees to be responsible for reviewing the emergency plan, training employees in their functions and implementing the emergency plan during an emergency;	Compliant
(e) provide for obtaining and distributing materials, equipment and supplies during an emergency	Compliant

Community Emergency Management Program Framework	Compliance
Publication of an enhanced emergency response plan to include supporting plans for high risks (e.g. hazardous facility, flood, severe weather, transportation accidents, critical infrastructure etc.)	Compliant
Publication of a support plan for the dissemination of emergency information including the designation and arrangement for a local information centre	Compliant
Development of an enhanced emergency operations centre to include detailed operating procedures, arrangements, and provision for appropriate specialist and auxiliary staff during an emergency	Compliant
Development and implementation of an annual emergency management training program involving appropriate staff, volunteer organizations, auxiliary staff and emergency services	Compliant
Development and implementation of an annual emergency management exercise program involving appropriate staff, volunteer organizations, auxiliary staff and emergency services	Compliant
Development and implementation of a public education program based on identified high risks	Compliant
Development and implementation of an annual self-assessment process to determine the quality and effectiveness of the emergency management program	Compliant
Development and implementation of an Incident Management System	Compliant

Appendix C – Detailed Management Control Framework Audit Criteria

Control Domain	Controls
A2 - Risk Management	Are all significant program risks being captured and assessed?
	Are follow-up procedures in place and being actioned for the program?
	How are significant internal risks faced by the EMU identified and assessed?
	How are significant external risks faced by the EMU identified and assessed?
A3 - Policies & Procedures	Is there an approved EMP policy and supporting guidance documents?
	Does the policy include a clear policy statement and the definition of key stakeholders at the Department and Branch level?
	Does the policy clear outline roles and responsibilities of all stakeholders?
A4 - Planning	What is the long-term strategic planning process for the EMU?
	How is the annual business planning conducted for the EMU? How is the budget determined?
	Has the WG conducted a comprehensive and thorough vulnerability analysis?
	Has the SC introduced a process to produce, improve and maintain an integrated and comprehensive municipal emergency plan?
A5 - Measurable Performance Targets and Indicators	Do the EMP and EMU have measurable performance targets for each of its key objectives?
B3 - Governance: Authority, Responsibility and Accountability	Are responsibilities, accountabilities and authorities clearly and appropriately defined at the Departmental and Branch level?
	Does the EMU's organizational structure support the objectives of the program?
	Does the EMP governance structure support the objectives of the program?
	Have the composition of the SC and WG been revisited? Do they represent the full scope of the City's emergency management responsibilities?
	Is the CBRN initiative a component of the City's EM structure? Does it report to the SC?
C1 - Knowledge, Skills and Tools	Does EMU have the necessary people, skills, tools and resources to achieve its objectives?
	Is the EMU fully staffed? Does the EMU have qualified staff with the required skills? Is back-up staff available? Is the EMU dependent on consultants/contractors?
	Has senior management ensured appropriate HR allocation to support implementation of the EMU 5-Year action plan?
	Are emergency management best practices sought and used?
	Does the EMU have the required IT tools to meet its objectives?
C3 - Sufficient and Relevant Information	Is there adequate information to allow EMU staff to perform their tasks? Is adequate project information provided? Is insight provided into all city operations?

Control Domain	Controls
C4 - The decisions and actions of different parts of the organization should be coordinated.	Who are the key Departmental and Branch level stakeholders and are they being adequately consulted?
	Who are the key non-City stakeholders and how are they being consulted?
	What other City initiatives need to be coordinated with the EMP? How are these initiatives currently coordinated?
	What other non-City initiatives need to be coordinated with EMP? How are these initiatives currently coordinated?
D2 - Performance/ Reporting	Are program activities and performance (milestones, accomplishments) regularly tracked and reported?
	Are project objectives (milestones, accomplishments) on track for project completion?
	How are project costs vetted, tracked and reported? How is this information used?