

APPENDIX 2- Management Action Plan Status Details as of December 31, 2023

Please note that:

- Management Action Plans marked as completed in this report will be omitted from future reports.
- This table excludes Management Action Plans that are not yet due.
- Dates under the “Updated Target Completion Date” column were provided by the client.

Audit and Finding/Issue	Original Target Completion Date	Updated Target Completion Date	Status as of Q4 2023
HR Recruitment- 2019 1.7 Policies & Procedures Require Review and Update	Q3 2020	COMPLETED	COMPLETED Completed with approval of Standard Operating Procedures (SOP), Candidate Disclosure Form (CDF) and Conflict of Interest (COI) Form in November 2023
HR Benefits (Phase 1)- 2019 3.1 Validation of Practitioners for Short-Term Disability (STD) Update the Short-Term Disability Policy and related Standard Operating Procedures (SOP)	Q4 2019	Q1 2024	OUTSTANDING The Disability Management Income Replacement Benefits Administrative Directive has been completed and presented to the Corporate Leadership Team (CLT) for feedback. There are two SOPs with the Admin Directive - one for Short-Term Disability (STD) and the other for Long-Term Disability (LTD) cases. The Admin Directive includes an adjudicative process for non-union

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			employees. Validation of medical supplied by treatment health professional will occur on these Attending Physician Forms (APF) submitted by non-union employees. For Unionized employees, validation of medical supplied has been requested as a bargaining item for consideration in 2024. CLT feedback is due January 26, 2024, with approval expected on February 1, 2024. The effective date of the Admin Directive and SOPs will be February 5, 2024.
<p>HR Benefits (Phase 1)-2019</p> <p>3.2 Validation of Practitioners for Short-Term Disability (STD)</p> <p>Implement a process to validate that the individual authorizing the Short-Term Disability is a licensed medical practitioner as determined by the Short-Term Disability policy.</p>	Q4 2019	Q1 2024	<p>OUTSTANDING</p> <p>The Disability Management Income Replacement Benefits Admin Directive has been completed and presented to CLT for feedback. There are 2 SOPs with the Admin Directive - one for STD and the other for LTD cases. The STD SOP has been updated to refer to the Regulated Health Professionals Act, 1991 (RHPA) along with the link to the website. CLT feedback is due January 26, 2024 with approval expected on February 1, 2024. The effective date of the Admin Directive and SOPs will be February 5,</p>

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			2024. The Admin Directive and SOPs include as adjudicative process and the scope is regular full-time non-unionized employees and contract non-union employees as approved by Council. It was agreed that due to ongoing collective agreement discussions, this process was not being implemented with the unionized employees at this time. However, validation of medical supplied by treatment health professional will occur on these APF's submitted by non-union employees. For Unionized employees, validation of medical supplied has been requested as a bargaining item for consideration in 2024.
Transit Operations-2020 2. Scrap Sales & Potential Exposure	Q1 2022	Q1 2024	OUTSTANDING Updated requirements for the new procurement, after reviewing Transit's findings on practices by peer agencies, the limitations of available regional infrastructure, and the low return on original requirements, particularly after considering impact on staffing levels.
Transit Operations-2020	Q4 2022	Q2 2025	OUTSTANDING

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15. Attendance cards Mechanics and Stock Keepers			<p>The MyTime Project is focused on undertaking the Corporate priorities and the planned and scheduled implementation for the TRN Pay group at this point in time, which is Q2 2025.</p> <p>The TRN Pay Group refers specifically to Transit maintenance mechanics, parts clerks, and general service persons.</p>
Cyber Security Assessment - 2020 6. Presented in camera Details available upon request	Q4 2021	Q1 2024	OUTSTANDING Details available upon request.
Cyber Security Assessment - 2020 11. Presented in camera Details available upon request	Q4 2021	Q2 2024	OUTSTANDING Details available upon request.
Executive Expenses- 2021 Support for converted amount of out-of-country expenses not always included	Q4 2021	Q2 2024	OUTSTANDING Administrative Directive (AD) for Employee Business Expenses (FIN-160) has been reviewed and updated by Finance as well as reviewed by Corporate Policy Team. Original recommendation from the Corporate Policy Team was that this amendment is included in the comprehensive Corporate report to Council

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			along with all the other City policy amendments and additions. Subsequently, Corporate Policy Team decided to take only Obsolete Policy report to Council (October). Their recommendation now is that this amendment should be approved by the CAO. Finance to forward AD for CAO approval.
Corporate Governance- 2021 1.2 Implement an Enterprise Risk Management (ERM) Program	Q2 2022	Q2 2024	OUTSTANDING The Enterprize Risk Management (ERM) Consultant is now procured and will start work in April 2024. Consultant educational presentation to CLT is scheduled to be completed before the end of April 2023. Corporate commitment to ERM should also be secured by this time
Corporate Governance- 2021 1.3 Implement an Enterprise Risk Management (ERM) Program	Q4 2022	Q2 2024	OUTSTANDING ERM Consultant now procured and will start work in April 2024. Revised step two, Proof of Concept, establish one Departmental Risk Register, with consultant assistance; to be completed by May 31, 2024.
Corporate Governance- 2021	Q4 2022	Q4 2024	OUTSTANDING

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1.4 Implement an Enterprise Risk Management (ERM) Program			<p>ERM Consultant now procured and will start work in April 2024.</p> <p>Development of ERM Framework and establishing Key Risk Register to be completed with assistance from consultant by December 31, 2024.</p>
Corporate Governance- 2021 1.5 Implement an Enterprise Risk Management (ERM) Program	Q4 2022	Q1 2025	<p>OUTSTANDING</p> <p>ERM Consultant now procured-will start work in April 2024.</p> <p>Establishment of a sustainable Risk Review and Reporting process with consultant assistance. To be completed by February 28, 2025.</p>
Corporate Governance- 2021 1.6 Implement an Enterprise Risk Management (ERM) Program	Q4 2022	Q4 2025	<p>OUTSTANDING</p> <p>ERM Consultant now procured and will start work in April 2024.</p> <p>Establishment of Risk Registers for all City Departments to be completed by December 31, 2025</p>
Corporate Governance- 2021 4. Exercise of Delegation of Powers and Authorities	Q3 2021	Q1 2024	<p>OUTSTANDING</p> <p>Review had been initiated by former Clerk, and will be reinitiated once new Clerk is appointed. Departments will be contacted re review of By-law and any amendments to by made.</p>

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Corporate Governance- 2021 5.2 Council Code of Conduct for Council acknowledgement and review	Q1 2022	Q2 2024	OUTSTANDING On Target. Benchmarking of Council Codes of Conduct underway and review with Integrity Commissioner to be scheduled.
Corporate Governance- 2021 6. Lack of Code of Conduct coverage for Citizen Appointees	Q1 2022	Q3 2024	OUTSTANDING On Target. Benchmarking of Council Codes of Conduct underway and review with Integrity Commissioner to be scheduled.
Corporate Governance- 2021 7. Lack of common Policy to address complaints	Q4 2021	Q4 2024	OUTSTANDING HR and Equity office working to finalize process and once finalized draft policy will need to be reviewed. Discussed with management the possibility of changing ownership as the Policy team does not own any of the policies. Will be having a discussion on this with the CAO in Feb 2024.
Emergency Expenses- 2021 1.1 Invoice Approval Process Needs to be Strengthened	Q4 2021	Q2 2024	OUTSTANDING * Phase 1 of Accounts Payable Automation Software (WebCenter) went live on November 1, 2022. Following departments were part of Phase 1:

Audit and Finding/Issue	Original Target Completion Date	Updated Target Completion Date	Status as of Q4 2023
			<ul style="list-style-type: none"> - Digital Innovation and Information Technology - Fire and Emergency Management - Strategic Communications - Clerks - By-law and Enforcement * Phase 2 comprising of Parks Operations, Facility Services and Security Services went live on March 31, 2022. * Phase 3 comprising Building Design and Construction, Road Operations, Traffic, Parking and Capital Works went live on June 5, 2023. * Phase 4 comprising of Fleet went live on June 26, 2023. * Phase 5 comprising of Call Centre, Theatre and Community Safety and Well Being went live on July 24, 2023. * Phase 6 comprising of Transit went live on September 1, 2023. * Phase 7 comprising of Recreation went live on October 23, 2023. <p>Due to technical issues with development/test environment remaining departments were not able</p>

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			to go live by Q4 2023. City's IT department is working on stabilizing this environment and if that is achieved remaining department will go live by Q2 2024.
Emergency Expenses-2021 1.2 Invoice Approval Process Needs to be Strengthened	Q3 2022	Q2 2024	OUTSTANDING * Phase 1 of Accounts Payable Automation Software (WebCenter) went live on November 1, 2022. Following departments were part of Phase 1: Digital Innovation and Information Technology, Fire and Emergency Management, Strategic Communications, Clerks, and By-law and Enforcement. * Phase 2 comprising of Parks Operations, Facility Services and Security Services went live on March 31, 2022. * Phase 3 comprising Building Design and Construction, Road Operations, Traffic, Parking and Capital Works went live on June 5, 2023. * Phase 4 comprising of Fleet went live on June 26, 2023. * Phase 5 comprising of Call Centre, Theatre and Community Safety and

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			<p>Well Being went live on July 24, 2023.</p> <p>* Phase 6 comprising of Transit went live on September 1, 2023.</p> <p>* Phase 7 comprising of Recreation went live on October 23, 2023.</p> <p>Due to technical issues with development/test environment remaining departments were not able to go live by Q4 2023.</p> <p>City's IT department is working on stabilizing this environment and if that is achieved remaining department will go live by Q2 2024.</p>
<p>Vendor Performance Management- 2021</p> <p>1a Vendor Performance Evaluation Effectiveness</p>	Q1 2022	Q3 2024	<p>OUTSTANDING</p> <p>Due to priority of addressing backlog projects and Purchasing and IT resource capacity, the targeted completion date has been amended to Q3 2024.</p>
<p>Vendor Performance Management- 2021</p> <p>2.2 Oversight and Utilization of Vendor Performance Data</p>	Q4 2022	Q3 2024	<p>OUTSTANDING</p> <p>Due to priority of addressing backlog projects and Purchasing and IT resource capacity, the targeted completion date has been amended to Q3 2024.</p>
<p>Realty Services - 2022</p>	Q4 2022	Q1 2024	<p>OUTSTANDING</p>

Audit and Finding/Issue	Original Target Completion Date	Updated Target Completion Date	Status as of Q4 2023
4. Transitional building report to Council			Based on discussions with the Commissioner of Legislative Services and the CAO in November 2023, they agreed to replace the report with a Briefing Note to City Council. It is currently being circulated for review.
Realty Services - 2022 5. Maintaining up to date Inventory List	Q3 2023	Q4 2023	OUTSTANDING This activity will be continuing after the Transitional Building Report.
Realty Services - 2022 6.2 Maintaining proof of Insurance from Tenants	Q2 2022	COMPLETED	COMPLETED Tenant Insurances are up to date and uploaded into the system regularly. Given that it's the beginning of the year, there are currently eight tenant insurance that need to be updated. We have contacted the tenants and they will send the certificates within this month. We continue to monitor the proof of insurance from the tenants on a regular basis.
Realty Services - 2022 8.1 Integrated Workplace Management System (IWMS)	Q3 2023	Q3 2024	OUTSTANDING This will happen as we transition to a new platform that will replace IWMS next year.
Realty Services - 2022 8.2 Integrated Workplace	Q3 2023	Q4 2024	OUTSTANDING This will happen as we transition to a new platform

Audit and Finding/Issue	Original Target Completion Date	Updated Target Completion Date	Status as of Q4 2023
Management System (IWMS)			that will replace IWMS next year.
Realty Services - 2022 9. Agreements with third-party vendors	Q1 2023	Q4 2024	OUTSTANDING RFP will be posted in October 2023. RE Brokers will be on board by the end of January 2024. A similar process will be followed for Appraisers and Surveyors.
Realty Services - 2022 10. Physical and Electronic records/ files	Q3 2023	Q2 2024	OUTSTANDING On course. There was a summer student to support the team. Work in progress.
Realty Services - 2022 11. Access to Encroachment records	Q2 2023	Q1 2024	OUTSTANDING On course and should have access granted to Bylaw by the end of February 2024.
Health and Safety 1.4 Monthly Joint Health and Safety Committee inspections are not always complete	Q2 2023	COMPLETED	COMPLETED In Q4 2023, department reports were created to list outstanding items from JHSC workplace inspections. The reports were provided to the department leadership teams by January 11, 2024, with a request to include the reports on their agenda to review open items and take action.

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IT Cloud Infrastructure and Cloud Management - 2022 2.1 Presented in camera Details available upon request	2023/12/31	COMPLETED	COMPLETED Presented in camera. Details available upon request.
IT Cloud Infrastructure and Cloud Management - 2022 2.2 Presented in camera Details available upon request	2023/12/31	COMPLETED	COMPLETED Presented in camera. Details available upon request.
IT Cloud Infrastructure and Cloud Management - 2022 2.6 Presented in camera Details available upon request	2023/12/31	Q3 2024	OUTSTANDING Presented in camera. Details available upon request.
IT Cloud Infrastructure and Cloud Management - 2022 2.7 Presented in camera Details available upon request	2023/12/31	Q3 2024	OUTSTANDING Presented in camera. Details available upon request.

Audit and Finding/Issue	Original Target Completion Date	Updated Target Completion Date	Status as of Q4 2023
IT Cloud Infrastructure and Cloud Management - 2022 3.2 Presented in camera Details available upon request	2023/12/31	Q1 2024	OUTSTANDING Presented in camera. Details available upon request.
IT Cloud Infrastructure and Cloud Management - 2022 3.3 Presented in camera Details available upon request	2023/12/31	COMPLETED	COMPLETED Presented in camera. Details available upon request.
IT Cloud Infrastructure and Cloud Management - 2022 4.1 Presented in camera Details available upon request	2023/12/31	Q3 2024	OUTSTANDING Presented in camera. Details available upon request.
IT Cloud Infrastructure and Cloud Management - 2022 4.2 Presented in camera Details available upon request	2023/12/31	2024	OUTSTANDING Presented in camera. Details available upon request.
IT Cloud Infrastructure and Cloud Management - 2022	2023/12/31	Q3 2024	OUTSTANDING Presented in camera.

Audit and Finding/Issue	Original Target Completion Date	Updated Target Completion Date	Status as of Q4 2023
4.3 Presented in camera Details available upon request			Details available upon request.
IT Cloud Infrastructure and Cloud Management - 2022 4.4 Presented in camera Details available upon request	2023/12/31	Q3 2024	OUTSTANDING Presented in camera. Details available upon request.
IT Cloud Infrastructure and Cloud Management - 2022 4.5 Presented in camera Details available upon request	2022/12/31	Q3 2024	OUTSTANDING Presented in camera. Details available upon request.
IT Cloud Infrastructure and Cloud Management - 2022 6.1 Presented in camera Details available upon request	2023/12/31	Q3 2024	OUTSTANDING Presented in camera. Details available upon request.
IT Cloud Infrastructure and Cloud Management - 2022 6.2 Presented in camera	2023/12/31	Q3 2024	OUTSTANDING Presented in camera. Details available upon request.

Audit and Finding/Issue	Original Target Completion Date	Updated Target Completion Date	Status as of Q4 2023
Details available upon request			
IT Cloud Infrastructure and Cloud Management - 2022 6.3 Presented in camera Details available upon request	2023/12/31	Q3 2024	OUTSTANDING Presented in camera. Details available upon request.
IT Cloud Infrastructure and Cloud Management - 2022 8.2 Presented in camera Details available upon request	2023/12/31	Q1 2024	OUTSTANDING Presented in camera. Details available upon request.
Parks Maintenance 1.0 Standard Operating Procedures	Q3 2023	COMPLETED	COMPLETED SOPs have been completed, and reviewed. Staff will now be completing reviews of SOPs after the required three years.
Parks Maintenance - 2022 4.0 Assets - Park Equipment	Q2 2023	COMPLETED	COMPLETED Completed December 2023 - flowerbed layers are up to date. Collaborated with horticulture staff.
Parks Maintenance - 2022 5.0 Assets - Fleet & Small Engine	Q2 2023	Q1 2024	OUTSTANDING Q4 2023 - Import template for M5 is completed (what is active and verified) Meeting with Fleet 2nd

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			week of January to start the process.
Limited Tendering 1.2 2) A process should be put in place to ensure approvals are obtained for the cumulative value, including original contract value and any future extensions or renewals	Q1 2023	Q4 2024	OUTSTANDING This recommendation is being considered for all procurement processes, in addition to Limited Tendering. This recommendation, along with its impacts and other proposed options was presented and endorsed by CLT in Q3 2023. As a result, the Delegation of Department Head Purchasing Authority Administrative Directive was updated and will be presented to CLT in Q4 2023. The paper-based Contract Extension form is anticipated to be updated in Q2 2024. In addition, automation of the PO Amendment process is essential to ensure a streamlined and efficient process. The Updated Target Completion reflects the estimated time to develop and implement the automated process.
Limited Tendering 1.3 3) System workflow should be defined for all LT procurement approvals	Q1 2023	Q1 2025	OUTSTANDING Due to limited resources and competing priorities, the Limited Tendering form is forecasted to be automated in 2025.

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<p>Limited Tendering</p> <p>2.1 Council Report on Limited Tendering Transactions</p> <p>4) As a best practice, the City should consider lowering the threshold for reporting LT procurements to Council.</p>	Q2 2023	Q3 2024	<p>OUTSTANDING</p> <p>The hiring of a Purchasing Director is underway. This recommendation requires a complete review with an update to the Purchasing By-law. The new Director will undertake this responsibility.</p>
<p>Limited Tendering</p> <p>2.2</p> <p>5) Given the significant financial values, LT contract extensions and renewals should be clearly identified, categorized, summarized, and included in the quarterly LT reports to City Council</p>	Q1 2023	Q3 2024	<p>OUTSTANDING</p> <p>Benchmarking has been conducted and options for consideration have been identified. It's appropriate and best practice for the new Purchasing Director to review and approve any changes. Effective March 2022, all Limited Tendering procurements have a procurement number identifier (i.e. LT2023-000) which is included in the quarterly activity report to Council.</p>
<p>Limited Tendering</p> <p>2.3</p> <p>6) Purchasing should define Key Performance Indicators (KPIs) including Non-Competitive to Total Procurement and report to City Council</p>	Q2 2023	Q3 2024	<p>OUTSTANDING</p> <p>Refer to the above response for 2.2.</p>

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Limited Tendering 3.1 7) Formal complaint procedures should be implemented as required by the Purchasing By-law and communicated to potential bidders for all future procurements	Q2 2023	Q1 2024	OUTSTANDING Staff met with the corporate projects, policy and liaison team. Benchmarking has been conducted and an SOP is being drafted for review by relevant stakeholders. Feedback has been received by stakeholders and is currently with purchasing management for review and approval.