

Appendix 2- Management Action Plan Status Details as of March 31, 2024

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 Q1 2024
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	Q2 2024	OUTSTANDING The Disability Management Income Replacement Admin Directive draft was finalized in December 2023 for the Corporate Leadership Team (CLT) consultation. Consultation feedback resulted in a further review of the Administrative Directive and associated standard operating procedures (SOPs), which was completed on May 13, 2024. The Director of Human Resources (HR) will resubmit the directive and SOPs for approval in June 2024.
HR Benefits (Phase 1)- 2019 3.2 Validation of Practitioners for Short-Term Disability (STD) Implement a process to validate that the	Q4 2019	Q2 2024	OUTSTANDING The Short-Term Disability (STD) SOP was finalized in December 2023 for CLT consultation. Consultation feedback resulted in further review of the SOP, which was completed on May 13, 2024. The SOP will be

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individual authorizing the Short-Term Disability is a licensed medical practitioner as determined by the Short-Term Disability policy.			approved when the related Administrative Directive is approved by CLT in June 2024. The newly created Disability Management Team will review 10% of the APFs. The reviews will start in July 2024.
Transit Operations-2020 2. Scrap Sales & Potential Exposure	Q1 2022	Q2 2024	OUTSTANDING Purchasing and Transit completed a draft SOW, Internal Audit provided feedback on the SOW's alignment with audit findings and recommendations. NEXT STEPS: (1) Confirm F&ES and Fleet agreement on SOW and (2) Award a new contract in Q2 2024.
Transit Operations-2020 15. Attendance cards Mechanics and Stock Keepers	Q4 2022	Q2 2025	OUTSTANDING The project is on track for implementation in Q2 2025. The MyTime Project is focused on implementing the Corporate priorities and the planned implementation for the TRN Pay group in Q2 2025. The TRN Pay Group refers to Transit maintenance mechanics, parts clerks, and general service persons.
Cyber Security Assessment - 2020 6. Presented in camera.	Q4 2021	Q1 2024	OUTSTANDING Details are available upon request.

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<p>Cyber Security Assessment - 2020</p> <p>11. Presented in camera.</p> <p>Details are available upon request</p>	Q4 2021	Q2 2024	<p>OUTSTANDING</p> <p>Details are available upon request.</p>
<p>Executive Expenses- 2021</p> <p>Support for converted amount of out-of-country expenses not always included</p>	Q4 2021	Q2 2024	<p>OUTSTANDING</p> <p>As a result of Internal Audit findings resulting from Pcard audit further review and revision of Administrative Directive for Employee Business Expenses (FIN-160) will be required. In addition, benchmarking analysis will be conducted to inform any additional updates to this AD. All required changes will then be provided to the Corporate Policy Team for review and for the CAO's approval.</p>
<p>Corporate Governance- 2021</p> <p>1.2 Implement an Enterprise Risk Management (ERM) Program</p>	Q2 2022	Q2 2024	<p>OUTSTANDING</p> <p>The Enterprize Risk Management (ERM) Program Presentation to CLT was conducted on April 11, 2024. CLT has confirmed commitment to ERM and directed the Risk Manager and consultant to forgo the pilot risk register and proceed to develop the framework. The framework is currently in development and will be submitted to CLT in mid-June for approval.</p>
<p>Corporate Governance- 2021</p>	Q4 2022	Q2 2024	<p>OUTSTANDING</p>

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1.3 Implement an Enterprise Risk Management (ERM) Program			Based on CLT feedback from the April 11th meeting, the pilot will not be conducted. Instead, the framework will be developed for CLT approval. Feedback on the framework is currently being sought from corporate leaders. The next step will now be to develop the corporation's Key Risk Register.
Corporate Governance- 2021 1.4 Implement an Enterprise Risk Management (ERM) Program	Q4 2022	Q4 2024	OUTSTANDING Establishing the Key Risk Register to be completed with assistance from the consultant by December 31, 2024
Corporate Governance- 2021 1.5 Implement an Enterprise Risk Management (ERM) Program	Q4 2022	Q1 2025	OUTSTANDING Revised based on CLT feedback. After completion of the Key Risk Register, at least one Departmental Risk Register is to be developed by the end of Q1 2025.
Corporate Governance- 2021 1.6 Implement an Enterprise Risk Management (ERM) Program	Q4 2022	Q4 2025	OUTSTANDING Establishment of Risk Registers for all City Departments to be completed by December 31, 2025.
Corporate Governance- 2021 4. Exercise of Delegation of Powers and Authorities	Q3 2021	Q3 2024	OUTSTANDING A review had been initiated by the former Clerk and will be reinitiated once a new Clerk is appointed. Departments will be contacted regarding the review of the By-law and any amendments to be made. Due Q3 2024

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Corporate Governance- 2021 5.2 Council Code of Conduct for Council acknowledgement and review	Q1 2022	Q3 2024	OUTSTANDING On Target. Work is being completed by the Integrity Commissioner. Due Q3 2024
Corporate Governance- 2021 6. Lack of Code of Conduct coverage for Citizen Appointees	Q1 2022	Q3 2024	OUTSTANDING On Target. Work is being completed by the Integrity Commissioner. Due Q3 2024
Corporate Governance- 2021 7. Lack of common Policy to address complaints	Q4 2021	Q4 2024	OUTSTANDING HR and the Equity office are working to finalize the process, and once finalized, the 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.
Emergency Expenses- 2021 1.1 Invoice Approval Process Needs to be Strengthened	Q4 2021	Q4 2024	OUTSTANDING <u>Phase 1:</u> Accounts Payable Automation Software (WebCenter) went live on November 1, 2022, and included the following departments: Digital Innovation and IT, Fire and Emergency Management, Strategic Communications, Clerks, By-law and Enforcement <u>Phase 2,</u> comprising Parks Operations, Facility Services and Security Services, went live on March 31, 2022.
Emergency Expenses- 2021 1.2 Invoice Approval Process Needs to be Strengthened	Q3 2022	Q4 2024	

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			<p><u>Phase 3</u>, comprising Building Design and Construction, Road Operations, Traffic, Parking and Capital Works, went live on June 5, 2023.</p> <p><u>Phase 4</u>, comprising Fleet, went live on June 26, 2023.</p> <p><u>Phase 5</u>, comprising the Call Centre, Theatre, and Community Safety and Well-Being, went live on July 24, 2023.</p> <p><u>Phase 6</u>, comprising Transit, went live on September 1, 2023.</p> <p><u>Phase 7</u>, comprising Recreation, went live on October 23, 2023.</p> <p>Due to technical issues with the development/test environment, the remaining department will go live by Q4 2024.</p>
<p>Vendor Performance Management- 2021</p> <p>1a Vendor Performance Evaluation Effectiveness</p>	Q1 2022	Q4 2024	<p>OUTSTANDING</p> <p>Due to the priority of addressing backlog projects and Purchasing and IT resource capacity, the targeted completion date has been amended to Q4 2024.</p>
<p>Vendor Performance Management- 2021</p> <p>2.2 Oversight and Utilization of Vendor Performance Data</p>	Q4 2022	Q4 2024	
<p>Realty Services - 2022</p>	Q4 2023	Q3 2024	<p>OUTSTANDING</p> <p>We have nine SOPs in total. One SOP was finalized last</p>

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2. Policies and Standard Operating Procedures			year. Three staff-completed SOPs are with the CAO for review/ approval. The remaining five SOPs are at various stages of drafting/ review to meet the Q3 2024 deadline. The SOPs' progress is being tracked weekly. Additionally, the real estate policy is also being updated with a target for council reporting by September 2024.
Realty Services - 2022 4. Transitional building report to Council	Q4 2022	Q1 2024	COMPLETED Completion Note: The Briefing Note was circulated to the Council Members on February 22, 2024. In the future, Realty will circulate the Transitional Building's Briefing Note in January every year.
Realty Services - 2022 5. Maintaining up to date Inventory List	Q3 2023	Q4 2023	COMPLETED Completion Note: We have identified a Realty Staff member to update and manage the city-owned properties layer in the internal Geographic Information System (GIS). All information on new properties that transition into the City's ownership received from Legal Services is updated.
Realty Services - 2022 6.3 Maintaining proof of Insurance from Tenants	Q4 2023	Q3 2024	OUTSTANDING Realty Staff, along with a Summer Student, are reviewing all the active agreements to ensure that all the insurance certificates are updated in our system. This exercise will be completed in the next 12 weeks. We are also working with IT on

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			replacing the Workplace Management System (IWMS) so that this process can be automated in the future.
Realty Services - 2022 8.1 Integrated Workplace Management System (IWMS)	Q3 2023	Q3 2024	OUTSTANDING Realty Staff is working with a Summer Student to update the status of active agreements on the Integrated Workplace Management System (IWMS). This will be completed in 16 weeks.
Realty Services - 2022 8.2 Integrated Workplace Management System (IWMS)	Q3 2023	Q3 2024	OUTSTANDING The suggestion regarding system controls has been noted and we will be ensuring this as we transition to a new Workplace Management System in 2025.
Realty Services - 2022 9. Agreements with third-party vendors	Q1 2023	Q4 2024	OUTSTANDING Rosters of Brokers RFP completed, and agreements executed in April 2024. Also, the Council approved Procurement to select contracts for Real Estate Appraisers and Surveyors on February 21, 2024. Realty is drafting the Scope of Work and Procurement Plan for the RFP with Purchasing for Appraiser and Surveyors. Legal to draft Professional Services Agreement. We aim to post the RFP by September 2024 and complete it within Q4 2024.
Realty Services - 2022	Q3 2023	Q3 2024	OUTSTANDING

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10. Physical and Electronic records/ files			Realty Staff is working with a Summer Student for the next 16 weeks to bring all files/ records (electronic and physical) up to date. For Non-Union Staff, we are including this as part of their annual goals.
Realty Services - 2022 11. Access to Encroachment records	Q2 2023	Q3 2024	OUTSTANDING Realty should have access granted to By-law by the end of Q3 2024.
IT Cloud Infrastructure and Cloud Management - 2022 2.6 Presented in camera. Details are available upon request	Q4 2023	Q3 2024	OUTSTANDING Presented in camera. Details are available upon request.
IT Cloud Infrastructure and Cloud Management - 2022 2.7 Presented in camera. Details are available upon request	Q4 2023	Q3 2024	OUTSTANDING Presented in camera. Details are available upon request.
IT Cloud Infrastructure and Cloud Management - 2022 3.2 Presented in camera.	Q4 2023	Q1 2024	OUTSTANDING Presented in camera. Details are available upon request.

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<p>IT Cloud Infrastructure and Cloud Management - 2022</p> <p>4.1 Presented in camera.</p> <p>Details are available upon request</p>	Q4 2023	Q3 2024	<p>OUTSTANDING</p> <p>Presented in camera.</p> <p>Details are available upon request.</p>
<p>IT Cloud Infrastructure and Cloud Management - 2022</p> <p>4.2 Presented in camera.</p> <p>Details are available upon request</p>	Q4 2023	Q3 2024	
<p>IT Cloud Infrastructure and Cloud Management - 2022</p> <p>4.3 Presented in camera.</p> <p>Details are available upon request</p>	Q4 2023	Q3 2024	
<p>IT Cloud Infrastructure and Cloud Management - 2022</p> <p>4.4 Presented in camera.</p> <p>Details are available upon request</p>	Q4 2023	Q3 2024	
<p>IT Cloud Infrastructure and</p>	Q4 2023	Q3 2024	

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<p>Cloud Management - 2022</p> <p>4.5 Presented in camera.</p> <p>Details are available upon request</p>			
<p>IT Cloud Infrastructure and Cloud Management - 2022</p> <p>6.1 Presented in camera.</p> <p>Details are available upon request</p>	Q4 2023	Q3 2024	<p>OUTSTANDING</p> <p>Presented in camera.</p> <p>Details are available upon request.</p>
<p>IT Cloud Infrastructure and Cloud Management - 2022</p> <p>6.2 Presented in camera.</p> <p>Details are available upon request</p>	Q4 2023	Q3 2024	
<p>IT Cloud Infrastructure and Cloud Management - 2022</p> <p>6.3 Presented in camera.</p> <p>Details are available upon request</p>	Q4 2023	Q3 2024	
<p>Parks Maintenance - 2022</p> <p>5.0 Assets - Fleet & Small Engine</p>	Q2 2023	Q1 2024	

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			inventory is now managed by the Parks Asset Management team, including any additions/changes/deletions to the small engine inventory.
<p>Limited Tendering</p> <p>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</p>	Q1 2023	Q4 2024	<p>OUTSTANDING</p> <p>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.</p>
<p>Limited Tendering</p> <p>1.3 3) System workflow should be defined for all LT procurement approvals</p>	Q1 2023	Q1 2025	<p>OUTSTANDING</p> <p>Due to limited resources and competing priorities, the Limited Tendering form is forecasted to be automated in 2025.</p>
<p>Limited Tendering</p>	Q2 2023	Q4 2024	OUTSTANDING

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<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>			<p>The Purchasing Director has been hired. Benchmarking is currently being conducted (Q3 2024) and will be presented to departmental leadership for review and the next steps. The Purchasing By-law is anticipated to be completed in Q4 2024.</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	Q4 2024	
<p>Limited Tendering</p> <p>3.1</p>	Q2 2023	Q3 2024	<p>OUTSTANDING</p> <p>Staff met with the corporate projects, policy and liaison team.</p>

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7) Formal complaint procedures should be implemented as required by the Purchasing By-law and communicated to potential bidders for all future procurements			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.