Office of the CAO
Internal Audit Division
The Corporation of the City of Brampton

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

Purpose of This Table

This table provides an update on the progress of management action plans. As part of the automation of the Management Action Plan follow-up initiative in late 2024, Internal Audit integrated recommendations into the *Pentana* Audit Software. To support these enhancements, reporting metrics have been recalibrated.

Appendix 1 details the recalibration process and provides a summary of the 23 audit reports issued since 2020 that still have open management action plans. **Appendix 2** outlines the status of management action plans that remain unimplemented. The MAPs that are not yet due are not included in this table.

Internal Audit has not independently verified action plans reported as '**Fully Implemented**.' To validate their completion, two verification exercises are scheduled for 2025, with findings to be presented to the Audit Committee in Q2 2025.

Management Action Plan Status Details

Audit Name	Finding and Action	Due Date	Status Update
2020-02 - Brampton Transit (2 items)			
	15 - Attendance cards Mechanics and Stock Keepers 15 - Management will deploy the same electronic system as per drivers	2021/12/31	NOT FULLY IMPLEMENTED Q4 2024 - MyTime Project Team confirmed that implementation of digital timecards for Maintenance staff is planned for Q2 2025.
	02 - Scrap Sales & Potential Exposure 2 - Transit will request the process for scrap to be collected and segregated by metal.	2021/03/31	NOT FULLY IMPLEMENTED Q4 2024 - bid call planned for Q3 was postponed because Purchasing identified a gap in regard to the reference benchmark required to confirm market prices, the requirement is now met and bid call is planned for Q2 2025.
2020-10 - Cybersecurity Assessment (2 items)			
	Closed session report		Details are available upon request.
2021-01 - Corporate Governance (9 items)			
	01 - Enterprise risk management 01.2 - Implement an Enterprise Risk Management program.	2022/01/30	NOT FULLY IMPLEMENTED We continue to work with the draft ERM Framework that was presented to CLT on June 27, 2024, pending formal CLT approval. Presentation of the City's draft Key Risk register to CLT occurred on December 12, 2024, at which time CLT was reminded that the City's ERM Framework had not yet been formally approved. We understand that leadership requires more time to review and consider the draft framework, and we have revised our target date to Q2 2025.
	01 - Enterprise risk management 01.3 - Gap Analysis	2022/12/31	NOT FULLY IMPLEMENTED We continue to work with the draft ERM Framework that was presented to CLT on June 27, 2024, pending formal CLT approval. Presentation of the City's draft

Audit Name	Finding and Action	Due Date	Status Update
			Key Risk register to CLT occurred on December 12, 2024, at which time CLT was reminded that the City's ERM Framework had not yet been formally approved. We understand that leadership requires more time to review and consider the draft framework, and we have revised our target date to Q2 2025.
	01 - Enterprise risk management 01.4 - Analyze External Factors	2022/12/31	NOT FULLY IMPLEMENTED Draft Key Risk Register was presented to corporate leader team (CLT) for approval on December 12, 2024. CLT members had questions and wished to further review the Register with their teams and may make follow up inquiries to us. We are scheduled to have the Key register approved early in 2025 but have updated our target completion date to Q2.
	01 - Enterprise risk management 01.5 - Develop a Corporate Policy on Enterprise Risk Management	2022/06/30	NOT FULLY IMPLEMENTED Due to additional review of the City's Key Risk register, we anticipate a delay in completion of the Departmental Risk Register and have revised the target completion date. However, in the course of developing the City's Key Risk Register, considerable information was gathered on various departmental risks, and several Departmental Risk Registers have been started.
	01 - Enterprise risk management 01.6 - Conduct Benchmarking	2022/12/31	NOT FULLY IMPLEMENTED Establishment of Risk Registers for all City Departments to be completed by December 31, 2025.
	04 - Reporting on Exercise of Delegation of Powers and Authorities 04.1 - Annual confirmation delegations under Administrative Authority By-Law	2021/09/01	NOT FULLY IMPLEMENTED The draft Administrative Authority by-law is currently with Legal for review. A number of further amendments are currently being considered by Legal. A revised draft will be provided to the corporate leadership team (CLT) in Q1

Audit Name	Finding and Action	Due Date	Status Update
			2025, prior to being brought forward for Council consideration.
	05 - Council Code of Conduct for Council Acknowledgement and Review 05.1 - Review Code of Conduct for Council	2022/03/31	NOT FULLY IMPLEMENTED The review of the Code of Conduct has been completed by the Integrity Commissioner, and a draft Code has been provided. After incorporating feedback and revisions from the Integrity Commissioner and the Clerk's office, the revised Code will be presented to Council for consideration in Q1 2025.
	06 - Lack of Code of Conduct Coverage for Appointees 06.1 - Develop Code of Conduct for citizen appointees	2022/03/31	NOT FULLY IMPLEMENTED There have been no updates to date from the Integrity Commissioner regarding the development of a separate Code for citizen members of City advisory committees.
	07 - Lack of common policy to address to complaints 07.1 - Develop Complaints Policy	2022/12/31	NOT FULLY IMPLEMENTED Currently in development, with ownership being transitioned to a different department.
2021-02 - Executive Expenses Review (1 item)			
	01 - Travel & Education Expenses 01.1 - Support for Converted Amount of Out of Country Expenses	2021/12/31	NOT FULLY IMPLEMENTED As a result of Internal Audit findings resulting from the Purchasing Card 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 Administrative Directive. All required changes will then be provided to Corporate Policy Team for review and for the Chief Administrative Officer (CAO) approval.
2021-03 - Vendor Performance Audit (2 items)			
	01 - Vendor Performance Evaluation Effectiveness	2022/03/31	NOT FULLY IMPLEMENTED

Audit Name	Finding and Action	Due Date	Status Update
	01.1 - Vendor Performance Evaluation (VPE) Training Program		Due to priority of addressing backlog projects and Purchasing and Information Technology resource capacity, the targeted completion date has been amended to Q4 2025. Due to the Purchasing Manager vacancy (July 2024), Vendor Performance Evaluation (VPE) training has not advanced. A new Purchasing Manager is anticipated to be in place by end of Q1 2025 and the update of VPE standard operating procedure, Training and Program will restart. Target completion remains unchanged - Q4 2025.
	02 - Oversight and Utilization of Vendor Performance Evaluation Data 02.1 - Implementation of Electronic Vendor Performance	2022/12/31	NOT FULLY IMPLEMENTED Due to prioritizing backlog projects and Purchasing and Information Technology resource capacity, the targeted completion date has been amended to Q4 2025.
2022-01 - Procurement and Sole Source Purchasing (2 items)			
	1 - Limited Tendering Award Authority Limits 1.3 - Digitizing Limited Tendering Approval Process	2023/03/31	NOT FULLY IMPLEMENTED Purchasing is working on digitizing the Limited Tendering form, however, a different approach has been taken focused on simplification, user-friendliness, and seamless integration on all procurement methods from inception to reporting to Council. In collaboration with Information Technology, a project plan needs to be established, and potential additional funding required. We anticipate Q1 2026 for completion of the form.
	3 - Complaint and Dispute Resolution 3.1 - Formalized Complaint and Dispute Resolution Process	2023/06/30	NOT FULLY IMPLEMENTED Staff met with the Corporate Projects, Policy and Liaison team. Benchmarking has been conducted and a standard operating procedure (SOP) is being drafted for review by relevant stakeholders. Feedback has been

Audit Name	Finding and Action	Due Date	Status Update
			received by stakeholders and from departmental leadership, draft to be finalized and rolled out end of Q4 2024. Owing to management transitions and changes related to the Purchasing Manager and Purchasing Supervisor positions and subsequent vacancies, this activity has not progressed since July 2024. A new Purchasing Manager will be in place during Q1 of 2025 and finalizing the SOP and deploying it will be a key priority. Anticipated to be completed by end of Q3 2025.
2022-05 - Realty Services (3 items)			
	02 - Policies and standard operating procedures (SOP) 02.1 - Update SOP	2023/12/31	NOT FULLY IMPLEMENTED Realty had nine standard operating procedures (SOP)to be updated. All have been approved and completed. Additionally, the Real Estate Policy is being updated, with a target for council reporting by Q2 2025.
	09 - Agreements with third-party vendors 09.1 - Confidentiality Agreement	2023/03/31	NOT FULLY IMPLEMENTED Realty will consult the Procurement team to prepare RFP for property appraisers and surveyors in Q1' 2023. This will address the potential exposure by including a confidentiality agreement.
	10 - Integrated Workplace Management System (IWMS) 10.1 - File Management	2023/03/31	NOT FULLY IMPLEMENTED Realty staff worked with the Summer students for 16 weeks to complete 80% of the backlogged files/ records (electronic and physical). We are targeting to complete this item in Q1 2025.
2022-11 - IT Infrastructure & Cloud Management (4 items)			
	Closed session report		Details are available upon request.
2022-12 - User Fees Audit (17 items)			
	01 - The City does not have a comprehensive user fee	2023/06/30	NOT FULLY IMPLEMENTED

Audit Name	Finding and Action	Due Date	Status Update
	framework 01.0 - Develop a user fee framework		A draft policy was developed to guide Departments in setting and administering user fees, which is scheduled for Council in Q2 2025.
	01 - The City does not have a comprehensive user fee framework 01.2 - User Fee Policy - Recreation	2024/12/31	NOT FULLY IMPLEMENTED Community Services have retained Blackline Consulting to conduct a user fee study, estimated Q1-Q2 2025 completion and will support 2026 user fee recommendations with cost recovery analysis. General recommendations have been adopted for 2025 user fees.
	01 - The City does not have a comprehensive user fee framework 01.3 - User Fee Policy - Parks	2024/12/31	NOT FULLY IMPLEMENTED Community Services has retained Blackline Consulting to conduct a user fee study, estimated Q1-Q2 2025 completion and will support 2026 user fee recommendations with cost recovery analysis. General recommendations have been adopted for 2025 user fees.
	02 - Full Cost recovery 02.1 - Review User Fee - Parks	2023/12/31	NOT FULLY IMPLEMENTED Consulting services have been retained for the Community Services User Fee Study and is in progress, estimated Q1-Q2 2025 completion and will support 2026 user fee recommendations with cost recovery analysis. Note that changes are expected to be phased in over multiple years to minimize resident impacts, where deemed to be significant.
	02 - Full Cost recovery 02.2 - Review User Fee - Recreation	2023/12/31	NOT FULLY IMPLEMENTED Consulting services have been retained for the Community Services User Fee Study and is in progress, estimated Q1-Q2 2025 completion and will support 2026 user fee recommendations with cost recovery analysis. Note that changes are expected to be phased in over multiple years to minimize resident impacts, where deemed to be significant. For 2025, Recreation is introducing a 50%

Audit Name	Finding and Action	Due Date	Status Update
			surcharge on Non-Resident program, membership and rental fees to improve cost recovery efforts.
	03 - User Fees Reviews 03.2 - Full Cost Recovery - Parks	2024/12/31	NOT FULLY IMPLEMENTED Consulting services have been retained for the Community Services User Fee Study and is in progress, estimated Q1-Q2 2025 completion and will support 2026 user fee recommendations with cost recovery analysis.
	03 - User Fees Reviews 03.3 - Full Cost Recovery - Recreation	2024/12/31	NOT FULLY IMPLEMENTED Consulting services have been retained for the Community Services User Fee Study and is in progress, estimated Q1-Q2 2025 completion and will support 2026 user fee recommendations with cost recovery analysis. Recreation is on track and expected to continue providing higher subsidies for youths, seniors, and designated community sport groups for youths. The 70+ Free Recreation memberships was launched in June 2024 as per Council direction; i) 2024: Ages 70 and above; ii) 2025: Ages 65 and above.
	04 - Conduct comprehensive user fee studies every four years 04.1 - User Fee Studies Every Four Years: Office of the Chief Administrative Officer (CAO)	2024/12/31	NOT FULLY IMPLEMENTED The Divisions retained consultants to review user fees and develop program area-specific user fee policies.
	04 - Conduct comprehensive user fee studies every four years 04.2 - User Fee Studies Every Four Years: Fire	2024/12/31	NOT FULLY IMPLEMENTED Hemson Consulting has been awarded the User Fee review contract. Review has started, with completion date of Q4 2025.
	04 - Conduct comprehensive user fee	2024/12/31	NOT FULLY IMPLEMENTED

Audit Name	Finding and Action	Due Date	Status Update
	studies every four years 04.3 - User Fee Studies Every Four Years: Parks		Consulting services have been retained for the Community Services User Fee Study and is in progress, estimated Q1-Q2 2025 completion and will support 2026 user fee recommendations with cost recovery analysis.
	04 - Conduct comprehensive user fee studies every four years 04.4 - User Fee Studies Every Four Years: Recreation	2024/12/31	NOT FULLY IMPLEMENTED Consulting services have been retained for the Community Services User Fee Study and is in progress, estimated Q1-Q2 2025 completion and will support 2026 user fee recommendations with cost recovery analysis.
	04 - Conduct comprehensive user fee studies every four years 04.5 - User Fee Studies Every Four Years: Development Services Division	2025/12/31	NOT FULLY IMPLEMENTED Staff support this recommendation but note that funding will likely be required to obtain consulting services to determine the items noted above.
	05 - Annual User Fees Update 05.1 - Annual User Fee Updates: Office of the Chief Administrative Officer (CAO)	2023/06/30	NOT FULLY IMPLEMENTED The draft policy includes a review of user fees, including a timeline.
	05 - Annual User Fees Update 05.3 - Annual User Fee Updates: Parks	2023/12/31	NOT FULLY IMPLEMENTED Consulting services have been retained for the Community Services User Fee Study and is in progress, estimated Q1-Q2 2025 completion and will support 2026 user fee recommendations with cost recovery analysis. General recommendations have been adopted for 2025 user fees.
	05 - Annual User Fees Update 05.4 - Annual User Fee Updates: Recreation	2023/12/31	NOT FULLY IMPLEMENTED On track. Update will include the impact of the 65+ Free Recreation memberships and high level recommendations from the User Fee Study by Consultants.

Audit Name	Finding and Action	Due Date	Status Update
	05 - Annual User Fees Update 05.5 - Annual User Fee Updates: Development Services Division	2025/12/31	NOT FULLY IMPLEMENTED Staff support this recommendation. The Department could grow its current annual activity reporting to include additional analysis with respect to fees to provide a comprehensive overview on the state of the Divisions operations.
	06 - Ensure staff track user fees in designated accounts and, when possible, allocate revenues for detailed fee analysis. 06.2 - Track User Fee/Accounts: Recreation	2023/12/31	NOT FULLY IMPLEMENTED On track. During annual budget process will continue to identify areas for improvement. 2024 improvements include budget tracking for Aquatic Leadership, Chinguacousy Park, Sport Leagues, and Community Engagement initiatives.

2022-13 - Workplace Health & Safety Audit (1 item)

Audit Name	Finding and Action	Due Date	Status Update
	04 - Processes for Health & Safety Activities are not consistent across the City 04.1 - Occupational Health and Safety Management System solution	2024/12/31	NOT FULLY IMPLEMENTED Workplace Inspection Form: Added a "Save" button to support Joint Health and Safety Committee inspections in areas with poor connectivity. Workplace Incident Report (WIR) Form: Enhanced the form to improve incident investigation and streamline the Manager and Director Approval process. Transit Supervisor of Service Delivery personnel received training and now have access to the WIR in preparation for their pilot program aimed at automating incident reporting and investigation. Job Hazard Assessment Form: Business requirements have been created and submitted to Information Technology.

2023-01 - Development Charges (6 items)

Audit Name	Finding and Action	Due Date	Status Update
	01 - Processing invoices where development charge rates have been frozen is manual & inefficient	2024/03/31	NOT FULLY IMPLEMENTED The Development Charges area is currently transitioning management. A

Audit Name	Finding and Action	Due Date	Status Update
	01.1 - Automate the Process		more detailed update will be provided in the next scheduled report.
	02 - System control to automatically apply current rates is not functioning when rates decrease 02.1 - Automate the Process	2024/03/31	NOT FULLY IMPLEMENTED The Development Charges area is currently transitioning management. A more detailed update will be provided in the next scheduled report.
	03 - Process for updating development charge rates in the system is incomplete 03.1 - Comparison Report	2024/03/31	NOT FULLY IMPLEMENTED The Development Charges area is currently transitioning management. A more detailed update will be provided in the next scheduled report.
	03 - Process for updating development charge rates in the system is incomplete 03.2 - Segregation of Duty	2023/12/31	NOT FULLY IMPLEMENTED The Development Charges area is currently transitioning management. A more detailed update will be provided in the next scheduled report.
	04 - Current certificates of insurance are not always on file 04.1 - Obtain Certificates of Insurance	2024/03/31	NOT FULLY IMPLEMENTED The Development Charges area is currently transitioning management. A more detailed update will be provided in the next scheduled report.
	05 - Standard Operating Procedures (SOP) are not current 05.1 - Update SOPs	2023/12/31	NOT FULLY IMPLEMENTED The Development Charges area is currently transitioning management. A more detailed update will be provided in the next scheduled report.

2023-02 - Business and Property Taxes (3 items)

Audit Name	Finding and Action	Due Date	Status Update
	01 - Lack of electronic billing and online enrolment for pre-authorized payment plans 01.3 - Budget	2023/12/31	NOT FULLY IMPLEMENTED In Process. Met numerous times with Information Technology to discuss the requirements, process and Information Technology involvement as this project is driven by Information Technology's capabilities and resources. Provided

Audit Name	Finding and Action	Due Date	Status Update
			Information Technology with business requirements and benchmarking based on other municipal TXM, taxation system, users. Currently the Treasurer initiated discussions with Information Technology leadership to expedite. Finance will engage with the Budget and Financial Planning teams to allocate funds for the project.
	01 - Lack of electronic billing and online enrolment for pre-authorized payment plans 01.4 - Project Execution	2026/12/31	NOT FULLY IMPLEMENTED In Process. Met numerous times with Information Technology to discuss the requirements, process and Information Technology involvement as this project is driven by Information Technology's capabilities and resources. Provided Information Technology with business requirements and benchmarking based on other municipal TXM, the taxation system, users. Currently the Treasurer initiated discussions with Information Technology leadership to expedite. Finance will engage with the Budget and Financial Planning teams to allocate funds for the project.
	02 - Building permit data transmitted to Municipal Property Assessment Corporation (MPAC) is not always complete or timely. 02.1 - Implement a Balancing Process	2023/12/31	NOT FULLY IMPLEMENTED In Process - Per Information and Technology, they are in the middle of a migration project for the Building Department to move to a new platform concerning all Building Plan and Building Permit information. They advise an automated solution from the Municipal Property Assessment Corporation (MPAC) will be tested upon the completion of the migration project. Though a date that this will be done has not be provided, communication is ongoing.
2023-05 - Asset Management (Small Equipment & Operating Tools) Audit (31 items)			
	01 - Lack of policies and procedures for the management of small	2024/12/31	NOT FULLY IMPLEMENTED Policies are being formalize for the

Audit Name	Finding and Action	Due Date	Status Update
	equipment operating tools 01.1 - Review Asset Ownership and Asset Lifecyle Program Management-Fleet		acquisition, disposal and life cycle process for small equipment. Current standard operating procedures will be updated to include acquisition and disposal. Q1 2025
	01 - Lack of policies and procedures for the management of small equipment operating tools 01.2 - Review Process of Entering Fleet Special Tools in M5 -Fleet	2024/12/31	NOT FULLY IMPLEMENTED Fleet services is in the process of reviewing all small assets and finalizing the process to enter them in M5, asset management system.
	01 - Lack of policies and procedures for the management of small equipment operating tools 01.4 - Review and Develop SOP - Facility	2024/09/30	NOT FULLY IMPLEMENTED The majority of the processes are in place but require documentation, and a formal Standard Operating Procedure (SOP) needs to be developed. Collaboration with the Fleet team will occur once a central committee is established, as Fleet is a Subject Matter Expert (SME) in small equipment and their procurement.
	01 - Lack of policies and procedures for the management of small equipment operating tools 01.5 - Develop Standard Operating Procedures - Parks	2024/12/31	NOT FULLY IMPLEMENTED Parks is working with Fleet to formalize policies for the acquisition, disposal and life cycle process for small equipment. Current standard operating procedures will be updated to include acquisition and disposal. Q1 2025
	01 - Lack of policies and procedures for the management of small equipment operating tools 01.6 - Develop Standard Operating Procedures - Recreation	2024/12/31	NOT FULLY IMPLEMENTED Background information from all facilities on small tool tracking has been collected. A standard operating procedure is currently being formulated and will include information on tracking, counts, condition assessments, disposals and usage of the asset.

Audit Name	Finding and Action	Due Date	Status Update
	03 - Lack of central planning in the acquisition of commonly used small equipment 03.1 - Central Planning - Fleet	2024/12/31	NOT FULLY IMPLEMENTED Policies are being finalized in conjunction with all effected stakeholders for the acquisition, disposal and life cycle for small assets/equipment. Q1 2025
	03 - Lack of central planning in the acquisition of commonly used small equipment 03.2 - Central Planning - Facility	2024/12/31	NOT FULLY IMPLEMENTED Collaborate with Fleet/Road Operations to establish a centralized team. - Work with the team to develop effective strategies. Centralized processes are already in place for most materials through the Contract Services Team. A process exists for less frequently used materials (e.g., confined space equipment, various testers), but it still needs to be documented.
	03 - Lack of central planning in the acquisition of commonly used small equipment 03.3 - Central Planning - Parks	2024/12/31	NOT FULLY IMPLEMENTED Parks is working with Fleet to formalize policies for the acquisition, disposal and life cycle process for small equipment. Current standard operating procedures will be updated to include acquisition and disposal. Q1 2025
	03 - Lack of central planning in the acquisition of commonly used small equipment 03.4 - Central Planning - Recreation	2024/12/31	NOT FULLY IMPLEMENTED Recreation will be having central oversight of each facilities small tool tracking files, which will be housed on an internal SharePoint site. Facilities will be responsible for inputting their purchases. Recreation manages a limited number of small engine equipment such as power tools, lawn mowers, snow blowers string trimmers.
	03 - Lack of central planning in the acquisition of commonly used small equipment	2024/12/31	NOT FULLY IMPLEMENTED Policies are being finalized in conjunction with all effected stakeholders for the

Audit Name	Finding and Action	Due Date	Status Update
	03.5 - Central Planning - Roads		acquisition, disposal and life cycle for small assets/equipment. Q1 2025
	04 - Lack of proper controls in the purchases of small equipment and operating tools 04.1 - Determine Asset Ownership and Proper Control - Fleet	2024/12/31	NOT FULLY IMPLEMENTED Policies are being finalized in conjunction with all effected stakeholders for the acquisition, disposal and life cycle for small assets/equipment. Q1 2025
	04 - Lack of proper controls in the purchases of small equipment and operating tools 04.2 - Develop SOP - Fleet	2024/12/31	NOT FULLY IMPLEMENTED Roads is capitalizing on Fleet services is in the process of reviewing all small assets and finalizing the process to enter them in M5, asset management system.
	04 - Lack of proper controls in the purchases of small equipment and operating tools 04.3 - Review Process - Fleet	2024/12/31	NOT FULLY IMPLEMENTED Policies are being finalized in conjunction with all affected stakeholders for the acquisition, disposal and life cycle for small assets/equipment. Q1 2025 Fleet is currently working with Information Technology to add all small assets to M5, the asset management system. Q1 2025
	04 - Lack of proper controls in the purchases of small equipment and operating tools 04.4 - Establish Standardized Procedures - Facility	2024/12/31	NOT FULLY IMPLEMENTED Purchase requests are discussed and reviewed with the supervisor or manager prior to acquisition. Accounting policies are reviewed in collaboration with the Finance team. A confirmation process needs to be developed and documented.
	04 - Lack of proper controls in the purchases of small equipment and operating tools 04.5 - Develop Standards Operating Procedure (SOP) – Parks	2024/12/31	NOT FULLY IMPLEMENTED Parks is working in conjunction with Fleet to finalize policies for the acquisition, life cycle maintenance and disposal of small engine equipment. Q1 2025

Audit Name	Finding and Action	Due Date	Status Update
	04 - Lack of proper controls in the purchases of small equipment and operating tools 04.6 - Update Standards Operating Procedure (SOP) - Recreation	2024/12/31	NOT FULLY IMPLEMENTED The new SOP will state that each purchase between $200-$1000 be recorded in an internal SharePoint file and a copy of the receipt will be uploaded, as well as where the asset is to be stored. Reasoning for purchase must be included for each purchase (i.e. replacement/new business).
	04 - Lack of proper controls in the purchases of small equipment and operating tools 04.7 - Review Process - Roads	2024/12/31	NOT FULLY IMPLEMENTED Roads is capitalizing on Fleet services is in the process of reviewing all small assets and finalizing the process to enter them in M5, the asset management system.
	05 - Lack of small equipment and tools receipt verification 05.1 - Determine Asset Ownership and Procurement Policies - Fleet	2024/12/31	NOT FULLY IMPLEMENTED Policies are being finalized in conjunction with all affected stakeholders for the acquisition, disposal and life cycle for small assets/equipment. Q1 2025
	05 - Lack of small equipment and tools receipt verification 05.2 - Review Process - Fleet	2024/12/31	NOT FULLY IMPLEMENTED Fleet is currently working with Information Technology and fleet staff to add all small assets to M5, the asset management system. Q1 2025
	05 - Lack of small equipment and tools receipt verification 05.3 - Establish Standardized Procedures - Facility	2024/12/31	NOT FULLY IMPLEMENTED - Purchases are discussed with the supervisor prior to acquisition. - Receipts are reviewed during the reconciliation of invoices and Mastercards, with clear segregation between the reviewer and approver roles. - Processes for verifying items upon receipt need to be developed, and corresponding documentation created.

Audit Name	Finding and Action	Due Date	Status Update
	05 - Lack of small equipment and tools receipt verification 05.4 - Determine Asset ownership and Procurement Policies	2024/12/31	NOT FULLY IMPLEMENTED Parks is working in conjunction with Fleet to finalize policies for the acquisition, life cycle maintenance and disposal of small engine equipment. Q1 2025
	05 - Lack of small equipment and tools receipt verification 05.5 - Update Standards Operating Procedure (SOP) - Recreation	2024/12/31	NOT FULLY IMPLEMENTED As segregation of these duties is not practical in several scenarios, there will be central oversight on what small tools are purchased at the facilities. The facilities will be responsible for inputting their own purchases.
	05 - Lack of small equipment and tools receipt verification 05.6 - Review Process - Roads	2024/12/31	NOT FULLY IMPLEMENTED Roads is capitalizing on Fleet services is in the process of reviewing all small assets and finalizing the process to enter them in M5, the asset management system.
	06 - Lack of asset inventorying, periodic counts and usage tracking 06.4 - Develop Guidelines - Facility	2024/12/31	NOT FULLY IMPLEMENTED Guidelines for tracking of smaller assets need to be documented. Guidelines for maintaining inventory of smaller assets need to be documented.
	06 - Lack of asset inventorying, periodic counts and usage tracking 06.6 - Annual Inventory Count - Recreation	2024/12/31	NOT FULLY IMPLEMENTED Recreation has developed a dollar value threshold from $200-$1000. As mentioned, the new standards operating procedure (SOP) will include information on tracking, counts, condition assessments, disposals, recording documentation and usage of the asset.
	07 - Lack of safe storage for some small equipment and operating tools 07.3 - Improve Storage Safe - Facility	2024/09/30	NOT FULLY IMPLEMENTED Access to storage areas is already controlled.

Audit Name	Finding and Action	Due Date	Status Update
			Many storage entrances are monitored by cameras; will collaborate with security to assess options for remaining locations.

High-value equipment is stored centrally and not in remote areas.

Labeling processes need to be standardized.

Will collaborate with the working group to establish a formal protocol. |
| | 07 - Lack of safe storage for some small equipment and operating tools

07.5 - Determine Proper Storage and Access Process - Recreation | 2024/12/31 | NOT FULLY IMPLEMENTED

Facilities will do their best to ensure small tools are properly stored, were space available. Storage space at the facilities is limited, but staff will ensure tools are kept in an appropriate area. |
| | 08 - Lack of formalized processes for small asset maintenance, repair, and disposal

08.3 - Update Standard Operating Procedure (SOP) - Fleet | 2024/12/31 | NOT FULLY IMPLEMENTED

Standard Operating Procedures and Policies are being finalized in conjunction with all affected stakeholders for the acquisition, disposal and life cycle for small assets/equipment. Q1 2025 |
| | 08 - Lack of formalized processes for small asset maintenance, repair, and disposal

08.4 - Establish Internal System - Facility | 2024/12/31 | NOT FULLY IMPLEMENTED

A process for equipment repairs is in place but needs to be documented.

Inventory management and related processes still need to be developed.

Collaboration with the working group is planned to create a standardized disposal procedure. |
| | 08 - Lack of formalized processes for small asset maintenance, repair, and disposal

08.5 - Determine Asset Ownership - Parks | 2024/12/31 | NOT FULLY IMPLEMENTED

Parks is working in conjunction with Fleet to finalize policies for the acquisition, life cycle maintenance and disposal of small engine equipment. Q1 2025 |

Audit Name	Finding and Action	Due Date	Status Update
	08 - Lack of formalized processes for small asset maintenance, repair, and disposal 08.6 - Update Standard Operating Procedure - Recreation	2024/12/31	NOT FULLY IMPLEMENTED Processes will be established in the newly developed standard operating procedure, which will be enforced throughout the recreation division.

2023-06 - Cyber Security Audit (4 items)

	Closed session report		Details are available upon request.

2023-07 - Data Security and Privacy (6 items)

	Closed session report		Details are available upon request.

2023-08 - Bovaird Barn Audit (3 items)

	01 - Friends of the Historic Bovaird House (FHBH) Reporting Relationship with the City 01.1 - Develop Terms of Reference for An Expression of Interest	2024/03/31	NOT FULLY IMPLEMENTED The agreement was completed and approved by Council on March 27, 2024, and shared with the Friends of the Historic Bovaird House.
	03 - The City's Conflict of Interest Policies 03.1 - Explore Appropriate Method to Address the Conflict of Interest of Volunteers	2024/06/30	NOT FULLY IMPLEMENTED The Employee Code of Conduct is being updated to include volunteers. Updated draft is currently with external legal for review. Target Completion Date is 2025/03/31.
	04 - The City's Conflict of Interest Policies 04.1 – Education	2024/06/30	NOT FULLY IMPLEMENTED The update of the Council Handbook, in relation to pecuniary and non-pecuniary disclosures, will be completed following the adoption of the revised Code of Conduct, as both are pursuant to the Municipal Conflict of Interest Act. The review of the Code of Conduct has been completed by the Integrity Commissioner, and a draft Code has been provided. After incorporating feedback and revisions from the Integrity Commissioner and the

Audit Name	Finding and Action	Due Date	Status Update
			Clerk's office, the revised Code will be presented to Council for consideration in Q1 2025.
2024-01 - By-Law Enforcement (8 items)			
	01 - Service requests added onto existing requests are not being actioned 01.4 - Alternative Solutions to Email Notifications for Open Files with Additional Information	2024/06/30	NOT FULLY IMPLEMENTED Continue with the email notification, reiterated to staff the importance of actioning all files, the report and new standard operating procedure (SOP) will address.
	02 - A consistent process for reviewing open service requests is not in place 02.5 - Review of All Open Driveway Files	2024/06/30	NOT FULLY IMPLEMENTED As noted in the audit, changes coming to the zoning by-law for driveway allowances for mature neighbourhoods, next scheduled meeting with Planning January 23rd, 2025.
	02 - A consistent process for reviewing open service requests is not in place 02.6 - Automated Process	2024/09/30	NOT FULLY IMPLEMENTED For 2025, we are creating a development opportunity for an officer to be upgraded to acting supervisor of our summer inspector team. It was identified there is currently no standard operating procedure (SOP) for any summer inspector function, the acting supervisor in conjunction with full time supervisors and the managers will be creating an SOP, the transferring of files once the summer team leaves will be captured in this SOP. Acting Supervisor discussion scheduled with Director Higgs Feb 18th, 2025. Student posting currently out, start date of May 5th. SOP deadline for approval April 1st, 2025.
	04 - Staff does not track service request response time against the targeted time line. 04.1 - Review of Response Times	2024/09/30	NOT FULLY IMPLEMENTED 1. Service Delivery Committees established, priority function was reviewing current standard operating procedures (SOP)to ensure accuracy and adjust keeping service delivery in mind.

Audit Name	Finding and Action	Due Date	Status Update
			Bimonthly metrics reviews have started with our Analyst, yesterday being the kick off meeting looking at all Property Standards (PS) metrics. Established response time not yet identified, conversation ongoing. 2. PS18- Property Standards. Service Delivery Standards standard operating procedure (SOP) approved and to be rolled out to PS supervisors during our Enforcement Management training day January 21, 2025. A report is not required for this request, our analyst is able to generate a live pivot table showing unactioned files. This will be apart of our ongoing metrics meetings and will be discussed at the supervisors 1 on 1's with their staff. 3. Staff stabilization model currently underway, 6 new Property Standards Officers have joined, active recruitment for 2 vacant positions as well active recruitment for (3) 12-month contract positions. Prioritization of by-law complaints files under review to aid will service delivery. Status - on track
	06 - Service requests that have been cancelled do not always contain complete information in Amanda 06.1 - Standardize A Process for Cancelling Files	2024/09/30	NOT FULLY IMPLEMENTED This finding has not yet been actioned. 311 working group meeting scheduled for this afternoon, will table with Service Brampton. Preliminary review shows it is being utilized for duplicate calls, will review the Knowledge Base Articles (KBAs) for when to cancel a call.
	06 - Service requests that have been cancelled do not always contain complete information in Amanda 06.2 - Standardize A Process for Referring Files	2024/09/30	NOT FULLY IMPLEMENTED 311 working group established, new Amanda call referred attempt results added indicating what department the file is being referred to. 14 new attempt results added to Amanda to better capture what department the file is being referred to. Training provided to staff October 3rd, 2024, and table of new

Audit Name	Finding and Action	Due Date	Status Update
			attempts shared following the training. Our service delivery standard operating procedure (SOP) speaks to utilizing the appropriate attempt results, all other Property Standards (PS) SOPs under review and will touch on this as well. Supervisors are to review officers' files and will ensure a consistent approach to closing files call referred.
	07 - Service requests for exterior offences are not always assigned to the correct offence category 07.1 - Review Internal Knowledge Base Articles to Assist 311 Staff with Call Intake Processes	2024/09/30	NOT FULLY IMPLEMENTED Most Knowledge Base Articles (KBAs) have been reviewed, changes have been made, further review and potential for more changes required. Service Brampton staff held this as a discussion item for working group meeting January 20, 2025.
	07 - Service requests for exterior offences are not always assigned to the correct offence category 07.3 - Streamline Process	2024/12/31	NOT FULLY IMPLEMENTED No action initiated yet with the breakdown of Property Standards (PS) exterior offences. Internal staff training for this will ensure the appropriate sub type is used. Online submissions are a different challenge, online under the property concern tab, there are different categories for weeds, refuse and then poorly maintained property. Weeds and Refuse are purposely before the poorly maintained property. Discussions about exploring how to review for correct sub types ongoing.

2024-02 - Purchasing Card Management Audit (1 item)

	Closed session report		Details are available upon request.

2024-07 - Red Team Engagement (1 item)

	Closed session report		Details are available upon request.