



Minutes

Audit Committee

The Corporation of the City of Brampton

Tuesday, February 23, 2021

Members Present: Regional Councillor M. Medeiros
Regional Councillor R. Santos
Regional Councillor M. Palleschi
City Councillor J. Bowman
City Councillor D. Whillans
City Councillor H. Singh
Rishi Jain
Abid Zaman

Members Absent: Regional Councillor G. Dhillon
Iqbal Ali

Staff Present: David Barrick, Chief Administrative Officer
Richard Gervais, Acting Director, Internal Audit
Sandeep Aujla, Director, Human Resources
Mark Medeiros, Acting Treasurer, Corporate Support Services
Sameer Akhtar, City Solicitor
Peter Fay, City Clerk
Charlotte Gravlev, Deputy City Clerk
Sonya Pacheco, Legislative Coordinator

1. **Call to Order**

Note: In consideration of the current COVID-19 public health orders prohibiting large public gatherings of people and requirements for physical distancing between persons, in-person attendance at this Audit Committee meeting was limited to Members of Council and essential City staff only. Physical distancing was maintained in Council Chambers at all times during the meeting.

The meeting was called to order at 9:31 a.m. and recessed at 10:25 a.m. Committee reconvened in Closed Session at 10:40 a.m., recessed at 10:57 a.m., moved back into in Open Session at 11:10 a.m. and adjourned at 11:20 a.m.

As this meeting of the Audit Committee was conducted with electronic participation by the Members, the meeting started with the City Clerk calling the roll for attendance at the meeting, as follows:

Members present during roll call: Councillor Medeiros, Councillor Santos, Councillor Palleschi, Councillor Bowman, Councillor Singh, Councillor Whillans, Abid Zaman

Members absent during roll call: Councillor Dhillon (personal), Iqbal Ali (regrets), Rishi Jain (arrived late at 9:35 a.m.)

Other Council Members present: Councillor Vicente, Councillor Fortini

2. **Approval of Agenda**

The following motion was considered.

AU001-2021

That the agenda for the Audit Committee Meeting of February 23, 2021 be approved as published and circulated.

Carried

3. **Declarations of Interest under the Municipal Conflict of Interest Act**

Nil

4. **Consent**

In keeping with Council Resolution C019-2021, the Meeting Chair reviewed the relevant agenda items during this section of the meeting and allowed Members to

identify agenda items for debate and consideration, with the balance to be approved as part of the Consent Motion given the items are generally deemed to be routine and non-controversial.

The following items listed with a caret (^) were considered to be routine and non-controversial by the Committee and were approved at one time.

(6.3, 8.1, 11.1)

The following motion was considered.

AU002-2021

That the following items to the Audit Committee Meeting of February 23, 2021 be approved as part of Consent:

(6.3, 8.1, 11.1)

Yea (8): Regional Councillor Santos, City Councillor Whillans, Regional Councillor Palleschi, Regional Councillor Medeiros, City Councillor Bowman, City Councillor Singh, Rishi Jain and Abid Zaman

Absent (2): Regional Councillor Dhillon, Iqbal Ali

Carried (8 to 0)

5. Presentations\Delegations

Nil

6. Reports - Internal Audit

6.1 Staff Report, re: Corporate Fraud Prevention Hotline Update

Committee discussion took place with respect to the following:

- Opportunity and implications, including costs and staff resources, of extending the hotline to the public
- Extension of the contract for an additional one-year term
- Impact of future considerations for an Auditor General model
- Consideration of Option 2 in Appendix 1 of the staff report

The following motion was introduced.

That Option 2 within the report be pursued, to extend the contract to include external sources of input, and for an additional one-year term.

Further Committee discussion included the following:

- Request for information on existing or potential whistle-blower policy and procedures to protect employees from reprisal for filing complaints
- Indication that a majority of complaints received from staff were related to human resources matters
- Indication that staff are reviewing the mechanisms and identifying gaps for employee complaints, including those against Members of Council
 - Suggestion to incorporate a mechanism within the Council Code of Conduct
- Process and role of the Integrity Commissioner in reviewing complaints from staff against Members of Council
- Concern regarding potential delays in addressing staff complaints against Council Members and the need to establish an appropriate mechanism for such complaints
- Discretion of the Integrity Commissioner to investigate complaints
- Process for filing complaints with the Ombudsman

An amendment to the motion was introduced and accepted by the mover to read as follows:

That Option 1 described within the report be pursued, such that the contract be extended for an additional one-year term, while further research and costing be undertaken with respect to potential expansion of the hotline to the public; and

That staff be requested to research and report with an overview of existing or potential whistle-blower policy and procedures to the May 4, 2021 Audit Committee meeting.

Committee requested that further discussion on this matter be dealt with in Closed Session, as it relates to the security of the property of the municipality or local board.

Later in the meeting Committee considered this matter in Closed Session (Item 11.2). Following consideration of this matter in Closed Session, discussion took place with respect to the following:

- Request that staff research and report back on a policy to protect staff from reprisal for filing complaints
- Confirmation from staff that a report regarding the potential expansion of the hotline to the public will be provided at a later date to be determined

An amendment to the motion was introduced to add the following clause:

That staff be requested to research and report with an overview of existing or potential whistle-blower policy and procedures to the May 4, 2021 Audit Committee meeting.

The motion, as amended, was considered as follows.

AU003-2021

1. That the report titled: **Corporate Fraud Prevention Hotline Update**, to the Audit Committee Meeting of February 23, 2021, be received.
2. That Option 1 described within the report be pursued, such that the contract be extended for an additional one-year term, while further research and costing be undertaken with respect to potential expansion of the hotline to the public; and
3. That staff be requested to research and report with an overview of existing or potential whistle-blower policy and procedures to the May 4, 2021 Audit Committee meeting.

Yea (8): Regional Councillor Santos, City Councillor Whillans, Regional Councillor Palleschi, Regional Councillor Medeiros, City Councillor Bowman, City Councillor Singh, Rishi Jain and Abid Zaman

Absent (2): Regional Councillor Dhillon, Iqbal Ali

Carried (8 to 0)

6.2 Staff Report, re: Status of Management Action Plans (MAPs) – December 31, 2020

Regional Councillor Santos outlined the need to review the Respectful Workplace Policy and identify gaps as it relates to the Council Code of Conduct and the process for staff complaints against Members of Council.

P. Fay, City Clerk, advised that this matter could be raised at the next Governance and Council Operations Committee meeting scheduled to take place on March 1, 2021 and/or with the Integrity Commissioner at the March 24, 2021 Council Meeting.

In addition, Mr. Fay advised that the City Clerk's Office will work with staff to identify gaps and linkages between the Council Code of Conduct and the Respectful Workplace Policy.

Regional Councillor Santos requested that the matter of the Council Code of Conduct and Human Resource Policies be added as a discussion item on the next Governance and Council Operations Committee meeting.

The following motion was considered.

AU004-2021

That the report titled: **Status of Management Actions Plans-December 31, 2020**, to the Audit Committee Meeting of February 23, 2021, be received.

Carried

- 6.3 ^ Staff Report, re: Building Design and Construction - Diagnostic Review

AU005-2021

That the report titled: **Building Design and Construction – Diagnostic Review**, to the Audit Committee Meeting of February 23, 2021, be received.

Carried

7. Reports - Finance

Nil

8. Other/New Business

- 8.1 ^ Staff Report re: Data and Analytics Strategy Implementation Update

AU006-2021

That the report titled: **Data and Analytics Strategy Implementation Update**, to the Audit Committee Meeting of February 23, 2021, be received.

Carried

9. Question Period

Nil

10. Public Question Period

Nil

11. Closed Session

Item 11.1 was approved under Consent. See Recommendation AU002-2021.

Note: During consideration of Item 6.1, Committee requested that further discussion on the matter be dealt with in Closed Session, as it relates to the security of the property of the municipality or local board.

The following motion was considered.

AU007-2021

That Committee proceed into Closed Session to address matters pertaining to:

11.2. Open Meeting exception under Section 239 (2) (a) of the Municipal Act, 2001:

The security of the property of the municipality or local board (re. Item 6.1)

Carried

In Open Session, the Chair reported on the status of matters considered in Closed Session, as follows:

11.2 – This item was considered by Committee in Closed Session and no direction was given to staff

12. Adjournment

The following motion was considered.

AU008-2021

That the Audit Committee do now adjourn to meet again on Tuesday, May 4, 2021 at 9:30 a.m. or at the call of the Chair.

Carried

Regional Councillor M. Medeiros, Chair