

**APPENDIX 2- Management Action Plan Status Details as at June 30, 2022**

Please note that:

- Management Action Plans marked as completed in this report will be omitted from future reports.
- 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 at Q2 2022
<b>HR Recruitment- 2019</b> Policies & Procedures Require Review and Update	Q1 2020	Q3 2022	Outstanding: Policy and Standard Operating Procedures have been reviewed by the policy team, and feedback was provided. HR meeting with the Policy team in mid-August to finalize the policy and Standard Operating Procedures for HR Director and additional approvals
<b>HR Recruitment- 2019</b> Policies & Procedures Require Review and Update	Q3 2020	Q3 2022	
<b>HR Benefits (Phase 1)- 2019</b> Policies & Procedures are not current	Q4 2019	Q4 2022	Completed
<b>HR Benefits (Phase 1)- 2019</b> Validation of Practitioners for Short Term Disability (STD)  Update the Short Term Disability Policy and related Standard Operating Procedures (SOP)	Q4 2019	Q4 2022	Outstanding: Work is underway to update the STD Policy and related SOP by the end of Q4.

Audit and Finding/Issue	Original Target Completion Date	Updated Target Completion Date	Status at Q2 2022
<b>HR Benefits (Phase 1)- 2019</b> Validation of Practitioners for Short Term Disability (STD) 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.	Q4 2019	Q4 2022	Outstanding: The work is yet to start. A contract position for Disability Management Specialist has been approved in August. Once this position is filled, the STD process will be reviewed. Position to be filled before the end of 2022.
<b>IT Asset Management- 2020</b> Key person dependency risk	Q1 2022	Q2 2022	Completed
<b>Transit Operations- 2020</b> Scrap Sales & Potential Exposure	Q1 2022	Q4 2022	Outstanding: Current citywide contract on scrap is up for re-tendering. Guided by City Purchasing, Transit, Public Works, and Fire are reviewing requirements and processes to develop the specifications for a new procurement with the plan to have a new contract by Q4 2022. Market information is required to assess the implementation of Internal Audit recommendations, outcomes will be reported in Q3.
<b>Transit Operations- 2020</b> Inventory Management systems are not integrated	Q2 2022	-	Completed
<b>Transit Operations- 2020</b> Fare Collection and Enforcement	Q4 2021	Q2 2022	Completed

Audit and Finding/Issue	Original Target Completion Date	Updated Target Completion Date	Status at Q2 2022
<b>Transit Operations- 2020</b> Attendance cards Mechanics and Stock Keepers	Q4 2022	-	Not yet due
<b>Cyber Security- 2020</b> Presented in camera Details available upon request	Q4 2021	Q4 2022	Outstanding: Activity on hold due to resource constraints. Resources assigned to new emerging threats.
<b>Cyber Security- 2020</b> Presented in camera Details available upon request	Q4 2021	Q4 2023	Outstanding: Work being undertaken to get cost and effort estimates and identify a suitable solution to pursue.
<b>Executive Expenses- 2021</b> Support for converted amount of out of country expenses not always included	Q4 2021	Q1 2023	Outstanding: Administrative Directive for Employee Business Expenses (FIN-160) has been reviewed and updated by Finance as well as reviewed by Corporate Policy Team. This amendment is to be included in a comprehensive report to Council along with all the other Finance policy amendments and additions. Due to the upcoming Municipal election, the target completion date has been moved to Q1 2023.
<b>Corporate Governance- 2021</b> Implement an Enterprise Risk Management (ERM) Program	Q1 2022	Q4 2022	Outstanding: <ul style="list-style-type: none"> <li>The new Legislative Services commissioner was hired in Q2.</li> <li>The commissioner will be recruiting a permanent Risk manager. ERM work cannot start until the Risk manager is hired.</li> <li>The target completion dates are likely to change once the</li> </ul>
<b>Corporate Governance- 2021</b> Implement an Enterprise Risk Management (ERM) Program	Q2 2022	Q1 2023	

Audit and Finding/Issue	Original Target Completion Date	Updated Target Completion Date	Status at Q2 2022
<b>Corporate Governance-2021</b> Implement an Enterprise Risk Management (ERM) Program	Q4 2022	Q3 2023	full scope of implementing an ERM Program is reviewed.
<b>Corporate Governance-2021</b> Implement an Enterprise Risk Management (ERM) Program	Q4 2022	Q1 2023	
<b>Corporate Governance-2021</b> Implement an Enterprise Risk Management (ERM) Program	Q4 2022	Q1 2023	
<b>Corporate Governance-2021</b> Implement an Enterprise Risk Management (ERM) Program	Q4 2022	Q1 2023	
<b>Corporate Governance-2021</b> Records Management Retention and Disposal	Q2 2022	-	Completed
<b>Corporate Governance-2021</b> Records Management Retention and Disposal	Q4 2022	-	Not yet due
<b>Corporate Governance-2021</b> Records Management Retention and Disposal	Q2 2022	-	Completed

Audit and Finding/Issue	Original Target Completion Date	Updated Target Completion Date	Status at Q2 2022
<b>Corporate Governance-2021</b> Exercise of Delegation of Powers and Authorities	Q3 2021	Q1 2023	Outstanding: By-law review work started with projected reporting to Council adjusted to Q1 2023 with proposed by-law amendments.
<b>Corporate Governance-2021</b> Council Code of Conduct for Council acknowledgement and review	Q1 2022	Q3 2022	Outstanding: Temporary Integrity Commissioner in place until July 2023. Code review work to continue with a temporary Integrity Commissioner. Housekeeping amendments for Code compliance within an election year were approved by Council in Q2 2022. Further Code review work to continue by Integrity Commissioner during the election hiatus period in Q3 2022.
<b>Corporate Governance-2021</b> Lack of Code of Conduct coverage for Citizen Appointees	Q1 2022	Q3 2022	Outstanding: Further Code review work to continue by Integrity Commissioner during the election hiatus period in Q3 2022 for a version for advisory committees, local boards and tribunals.
<b>Corporate Governance-2021</b> Lack of common Policy to address complaints	Q4 2021	Q4 2022	Outstanding: The policy is awaiting final approval from the main stakeholders.
<b>Emergency Expenses-2021</b> Invoice Approval Process Needs to be Strengthened	Q4 2021	Q1 2023	Outstanding: Automation Software went live in November 2022 and is being deployed in stages. The remaining departments will go live by Q1 2023.

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<b>Emergency Expenses- 2021</b> Invoice Approval Process Needs to be Strengthened	Q3 2022	Q1 2023	Outstanding: Automation Software went live in November 2022 and is being deployed in stages. The remaining departments will go live by Q1 2023.
<b>Vendor Performance Management- 2021</b> Vendor Performance Evaluation Effectiveness	Q1 2022	Q4 2022	Outstanding: Changes to the SOP were requested. Upon receipt of the input, the SOP and training material will be finalized.
<b>Vendor Performance Management- 2021</b> Oversight and Utilization of Vendor Performance Data	Q4 2022	-	Not yet due
<b>Realty Services - 2022</b> Vacant Positions and High Turnover	Q4 2022	-	Not yet due
<b>Realty Services - 2022</b> Policies and Standard Operating Procedures	Q4 2023	-	Not yet due
<b>Realty Services - 2022</b> Council report on real estate transactions	Q4 2023	-	Not yet due
<b>Realty Services - 2022</b> Transitional building report to Council	Q4 2022	-	Not yet due
<b>Realty Services - 2022</b> Maintaining up to date Inventory List	Q3 2023	-	Not yet due
<b>Realty Services - 2022</b> Maintaining proof of Insurance from Tenants	Q2 2022	-	Completed

Audit and Finding/Issue	Original Target Completion Date	Updated Target Completion Date	Status at Q2 2022
<b>Realty Services - 2022</b> Maintaining proof of Insurance from Tenants	Q2 2022	Q4 2022	Outstanding: Process implementation still in progress.
<b>Realty Services - 2022</b> Maintaining proof of Insurance from Tenants	Q4 2023	-	Not yet due
<b>Realty Services - 2022</b> Oversight over the appraisal process	Q4 2023	-	Not yet due
<b>Realty Services - 2022</b> Oversight over the appraisal process	Q4 2023	-	Not yet due
<b>Realty Services - 2022</b> Integrated Workplace Management System (IWMS)	Q3 2023	-	Not yet due
<b>Realty Services - 2022</b> Integrated Workplace Management System (IWMS)	Q3 2023	-	Not yet due
<b>Realty Services - 2022</b> Agreements with third-party vendors	Q1 2023	-	Not yet due
<b>Realty Services - 2022</b> Physical and Electronic records/ files	Q3 2023	-	Not yet due
<b>Realty Services - 2022</b> Access to Encroachment records	Q2 2023	-	Not yet due
<b>Realty Services - 2022</b> Charging User Fees	Q1 2023	-	Not yet due