

APPENDIX 2- Management Action Plan Status Details as of March 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 Q1 2023
HR Recruitment- 2019 1.4 Policies & Procedures Require Review and Update	Q1 2020	Q2 2023	Outstanding Mandatory Training: E-Learning Recruitment and Inclusive Learning Series rolled out to hiring managers in January 2023. In-person training being sourced through Talent and Organizational Development. Policy updated and reviewed with Commissioner, CSS and submitted to CLT on April 27, 2023, for approval. Once approved, will be submitted to Council for approval. Related SOP will be approved by Director, HR after Council has approved the policy.
HR Recruitment- 2019 1.7 Policies & Procedures Require Review and Update	Q3 2020	Q2 2023	Outstanding Mandatory Training: E-Learning Recruitment and Inclusive Learning Series rolled out to hiring managers in January 2023. In-person training being sourced through Talent and Organizational Development. Policy updated and reviewed with Commissioner, CSS and submitted to CLT on April 27, 2023, for approval. Once approved, will be submitted to Council for approval. Related SOP will be approved by Director, HR after Council has approved the policy.

Audit and Finding/Issue	Original Target Completion Date	Updated Target Completion Date	Status as of Q1 2023
<p>HR Benefits (Phase 1)-2019</p> <p>3.1 Validation of Practitioners for Short Term Disability (STD)</p> <p>Update the Short Term Disability Policy and related Standard Operating Procedures (SOP)</p>	Q4 2019	Q4 2023	Outstanding: Work is underway to update the STD Policy and related SOP by the end of Q3, 2023.
<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	Q4 2023	Outstanding: The start of this work is dependent on the completion of recommendation 3.1.
<p>Transit Operations-2020</p> <p>2. Scrap Sales & Potential Exposure</p>	Q1 2022	Q3 2023	<p>Outstanding: Current citywide contract on scrap is up for re-tendering.</p> <p>Completing specifications required additional time, RFP issuance is planned for Q3 2023.</p>
<p>Transit Operations-2020</p> <p>15. Attendance cards Mechanics and Stock Keepers</p>	Q4 2022	Q4 2023	Outstanding: New requirements and Corporate priorities impacted Transit's project timelines, Project Team will provide new timelines as soon as some important milestones are achieved.

Audit and Finding/Issue	Original Target Completion Date	Updated Target Completion Date	Status as of Q1 2023
Cyber Security- 2020 6. Presented in camera Details available upon request	Q4 2021	Q4 2023	Outstanding: Activity on hold due to resource constraints. Resources assigned to new emerging threats.
Cyber Security- 2020 11. 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.
Executive Expenses- 2021 Support for converted amount of out of country expenses not always included	Q4 2021	Q3 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. As per the recommendation from Corporate Policy Team. This amendment will be included in comprehensive Corporate report to Council along with all the other City policy amendments and additions. Corporate Policy team indicated that report will be going to Council in the fall of 2023.
Corporate Governance- 2021 1.1 Implement an Enterprise Risk Management (ERM) Program	Q1 2022	Q2 2023	Outstanding: Intereviews for new recruit completed. Offer going out shortly. New recruit expected to be in place before end of Q2, as per target completion date.
Corporate Governance- 2021 1.2 Implement an Enterprise Risk Management (ERM) Program	Q2 2022	Q4 2023	

Audit and Finding/Issue	Original Target Completion Date	Updated Target Completion Date	Status as of Q1 2023
Corporate Governance-2021 1.3 Implement an Enterprise Risk Management (ERM) Program	Q4 2022	Q4 2023	
Corporate Governance-2021 1.4 Implement an Enterprise Risk Management (ERM) Program	Q4 2022	Q4 2023	
Corporate Governance-2021 1.5 Implement an Enterprise Risk Management (ERM) Program	Q4 2022	Q4 2023	
Corporate Governance-2021 1.6 Implement an Enterprise Risk Management (ERM) Program	Q4 2022	Q4 2023	
Corporate Governance-2021 4. Exercise of Delegation of Powers and Authorities	Q3 2021	Q4 2023	Outstanding: Review of Administrative Authority By-law and related policy update to start in Q2 2023 for completion by Q4 2023.

Audit and Finding/Issue	Original Target Completion Date	Updated Target Completion Date	Status as of Q1 2023
Corporate Governance-2021 5.2 Council Code of Conduct for Council acknowledgement and review	Q1 2022	Q3 2023	Outstanding: Code Acknowledgement form received from some Members. New Code updates to be coordinated through new Integrity Commissioner. Anticipate draft Code of Conduct for Council by Q3 2023.
Corporate Governance-2021 6. Lack of Code of Conduct coverage for Citizen Appointees	Q1 2022	Q3 2023	Outstanding: Work to be coordinated through new Integrity Commissioner. Anticipate draft Code for Citizen Committees by Q3 2023.
Corporate Governance-2021 7. Lack of common Policy to address complaints	Q4 2021	Q4 2022	Outstanding: The policy is awaiting final approval from the main stakeholders.
Emergency Expenses-2021 1.1 Invoice Approval Process Needs to be Strengthened	Q4 2021	Q4 2023	Outstanding: Automation Software went live in November 2022 and is being deployed in stages. The remaining departments will go live by Q4 2023.
Emergency Expenses-2021 1.2 Invoice Approval Process Needs to be Strengthened	Q3 2022	Q4 2023	Outstanding: Automation Software went live in November 2022 and is being deployed in stages. The remaining departments will go live by Q4 2023.
Vendor Performance Management- 2021 1a 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.

Audit and Finding/Issue	Original Target Completion Date	Updated Target Completion Date	Status as of Q1 2023
Vendor Performance Management- 2021 2.2 Oversight and Utilization of Vendor Performance Data	Q4 2022	Q3 2023	Outstanding: Currently benchmarking with other public agencies utilizing the Vendor Performance module and engaging with the vendor to map current process vs system capability.
Realty Services - 2022 1. Vacant Positions and High Turnover	Q4 2022	Q3 2023	Outstanding: One position remaining to fill.
Realty Services - 2022 4. Transitional building report to Council	Q4 2022	Q2 2023	Outstanding: Work in progress. Report targeted for June 2023.
Realty Services - 2022 6.1 Maintaining proof of Insurance from Tenants	Q2 2022	Q2 2023	Outstanding:
Realty Services - 2022 6.2 Maintaining proof of Insurance from Tenants	Q2 2022	Q4 2023	Outstanding:
Realty Services - 2022 9. Agreements with third-party vendors	Q1 2023	Q3 2023	Outstanding: RFP will be posted in June
Realty Services - 2022 12. Charging User Fees	Q1 2023	-	Outstanding:

Audit and Finding/Issue	Original Target Completion Date	Updated Target Completion Date	Status as of Q1 2023
<p>Claims Management - 2022</p> <p>1.1 – 1.3 Certificates of Insurance are not properly recorded and tracked to ensure the vendor has adequate insurance coverage to protect the City</p>	Q1 2023	Q2 2023	<p>Outstanding: Over 2000 contracts on the Bids & Tenders system were reviewed, and numerous Certificate of Insurance corrections were made; but this was just completed in March. COI SOP has been drafted and shared with Purchasing. Purchasing requires a follow-up meeting. We should have SOP completed and underway by the end of Q2.</p>
<p>Claims Management - 2022</p> <p>2.1 Risk evaluations not completed in the last few years</p>	Q1 2023	Completed	<p>2 Stated inspections have been completed, and arrangements are underway for further inspections on an ongoing basis</p>
<p>Claims Management - 2022</p> <p>2.2 Risk evaluations not completed in the last few years</p>	Q1 2023	Completed	<p>Inspection reports have been sent to relevant stakeholders for actioning</p>
<p>Claims Management - 2022</p> <p>4.1 Key Performance Indicators (KPIs not available for prior years)</p>	Q1 2023	Completed	<p>Completed in Q1</p>
<p>Claims Management - 2022</p> <p>4.2 Key Performance Indicators (KPIs not available for prior years)</p>	Q1 2023	Completed	<p>Completed in Q1</p>

Audit and Finding/Issue	Original Target Completion Date	Updated Target Completion Date	Status as of Q1 2023
Claims Management - 2022 4.3 Key Performance Indicators (KPIs not available for prior years)	Q1 2023	Completed	Completed in Q1
Claims Management - 2022 4.4 Key Performance Indicators (KPIs not available for prior years)	Q1 2023	Q2 2023	Outstanding: Annual reports to be completed in Q2, and the KPI figures will be included in the 2022 report
Claims Management - 2022 5 Trust fund expenditure details submitted by the external adjuster as part of the trust fund reconciliation are not verified by staff for accuracy and supporting evidence	Q1 2023	Completed	Completed: Trust fund review SOP was completed in Q1 and first trust fund reviews will be taking place twice annually.
Claims Management - 2022 6.1 There is no formal quality assurance review process to ensure the accuracy and completeness of claims files	Q1 2023	Completed	Completed Q1 2023
Claims Management - 2022 6.2 There is no formal quality assurance review process to ensure the accuracy and completeness of claims files	Q1 2023	Completed	Completed Q1 2023

Audit and Finding/Issue	Original Target Completion Date	Updated Target Completion Date	Status as of Q1 2023
<p>Health and Safety</p> <p>1.2 Monthly Joint Health and Safety Committee inspections are not always complete</p>	Q1 2023	Completed	Completed: In Q1 2023, completed via email to those JHSCs requesting workplace inspection schedule be completed where it was shown that JHSC members had not scheduled
<p>Health and Safety</p> <p>3.0 Required Health & Safety Training is not always complete</p>	Q2 2023	Completed	Completed: All the actions were completed as outlined on February 22, 2023 . Essential Learning information was compiled by active employee including reporting relationships. This information was shared with Department Heads for action and follow up. The due dates for all the essential learning courses were updated. The email communication included links to job aids to support. A sample email sent to a Department Head is included as reference.
<p>Health and Safety</p> <p>6.0 Incident data is not always entered into Parklane in a timely manner.</p>	Q4 2023	Completed	Completed: The process review for entering SREA information into the Parklane system was completed by March 1, 2023. The review included the incident reporting process, as well as a refresher for staff on how to enter data into the system. This ensures that staff are aware of and understand the requirements of the process.
<p>IT Cloud Infrastructure and Cloud Management - 2022</p> <p>1.0 Presented in camera</p>	2023/12/31	Completed	Completed Presented in camera. Details available upon request

Audit and Finding/Issue	Original Target Completion Date	Updated Target Completion Date	Status as of Q1 2023
IT Cloud Infrastructure and Cloud Management - 2022 4.1 Presented in camera Details available upon request	2022/12/31	2023/12/31	Outstanding Presented in camera. Details available upon request
IT Cloud Infrastructure and Cloud Management - 2022 4.2 Presented in camera Details available upon request	2022/12/31	2023/12/31	Outstanding Presented in camera. Details available upon request
IT Cloud Infrastructure and Cloud Management - 2022 4.3 Presented in camera Details available upon request	2022/12/31	2023/12/31	Outstanding Presented in camera. Details available upon request
IT Cloud Infrastructure and Cloud Management - 2022 4.4 Presented in camera Details available upon request	2022/12/31	2023/12/31	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	2023/12/31	Outstanding Presented in camera. Details available upon request

Audit and Finding/Issue	Original Target Completion Date	Updated Target Completion Date	Status as of Q1 2023
IT Cloud Infrastructure and Cloud Management - 2022 5.1 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 5.2 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 5.3 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 5.4 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 5.5 Presented in camera Details available upon request	2023/12/31	Completed	Completed Presented in camera. Details available upon request

Audit and Finding/Issue	Original Target Completion Date	Updated Target Completion Date	Status as of Q1 2023
IT Cloud Infrastructure and Cloud Management - 2022 7.1 Presented in camera Details available upon request	Completed during the Audit	Completed	Completed Presented in camera. Details available upon request
IT Cloud Infrastructure and Cloud Management - 2022 7.2 Presented in camera Details available upon request	2022/12/31	Completed	Completed Presented in camera. Details available upon request
IT Cloud Infrastructure and Cloud Management - 2022 8.1 Presented in camera Details available upon request	Completed during the Audit	Completed	Completed Presented in camera. Details available upon request
IT Cloud Infrastructure and Cloud Management - 2022 8.2 Presented in camera Details available upon request	2022/12/31	2023/08/30	Outstanding Presented in camera. Details available upon request
IT Cloud Infrastructure and Cloud Management - 2022 8.3 Presented in camera Details available upon request	2022/12/31	2023/08/30	Outstanding Presented in camera. Details available upon request

Audit and Finding/Issue	Original Target Completion Date	Updated Target Completion Date	Status as of Q1 2023
IT Cloud Infrastructure and Cloud Management - 2022 8.4 Presented in camera Details available upon request	Completed during the Audit	Completed	Completed Presented in camera. Details available upon request
IT Cloud Infrastructure and Cloud Management - 2022 9.1 Presented in camera Details available upon request	2022/12/31	Completed	Completed Presented in camera. Details available upon request
IT Cloud Infrastructure and Cloud Management - 2022 9.2 Presented in camera Details available upon request	2022/12/31	Completed	Completed Presented in camera. Details available upon request
IT Cloud Infrastructure and Cloud Management - 2022 10.1 Presented in camera Details available upon request	2022/12/31	-	Outstanding Presented in camera. Details available upon request
IT Cloud Infrastructure and Cloud Management - 2022 11.1 Presented in camera Details available upon request	2022/12/31	2023/12/31	Outstanding Presented in camera. Details available upon request