

**APPENDIX 2- Management Action Plan Status Details as of September 30, 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 Q3 2023
<b>HR Recruitment- 2019</b> 1.4 Policies & Procedures Require Review and Update	Q1 2020	COMPLETED	COMPLETED Completed with approval of policy in August 2023.
<b>HR Recruitment- 2019</b> 1.7 Policies & Procedures Require Review and Update	Q3 2020	Q4 2023	OUTSTANDING Updates have been made to Standard Operating Procedures (SOPs) following Council approval. Input is now being sought from labour partners and from partners working on additional bias-free training to strengthen current processes. Aim to finalize and communicate by Q4 2023. SOPs include – Human Resources (HR) Managed Recruitment, Operating Department Managed Recruitment and Employment of Relatives and accompanying processes and forms such as Candidate Declaration Form, Interviewer

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			Conflict of Interest Form and Confidentiality Declaration Form.
<p><b>HR Benefits (Phase 1)-2019</b></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	<p>OUTSTANDING</p> <p>The two policies Short Terms Disability (STD) and Long Term Disability (LTD) and SOP have been combined into one document and it is now an Administrative Directive – Disability Benefits/Income Replacement. The Project Committee will now review any outstanding comments/edits coming from in-house counsel before forwarding the completed document to the Director of HR at which point it would be available for council review.</p>
<p><b>HR Benefits (Phase 1)-2019</b></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	<p>OUTSTANDING</p> <p>The start of this work is dependent on the completion of recommendation 3.1.</p>
<p><b>Transit Operations-2020</b></p>	Q1 2022	Q4 2023	<p>OUTSTANDING</p> <p>The Statement Of Work (SOW) is ready for circulation</p>

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2. Scrap Sales & Potential Exposure			and vetting with Fire and Fleet (as they will be part of the new procurement). New Procurement scheduled for Q4 23.
<b>Transit Operations-2020</b> 15. Attendance cards Mechanics and Stock Keepers	Q4 2022	Q4 2023	OUTSTANDING Corporate Project Team continues to deal with Corporate Priorities. Project Team will provide timelines as soon as possible.
<b>Cyber Security Assessment - 2020</b> 6. Presented in camera Details available upon request	Q4 2021	Q4 2023	OUTSTANDING Requirements updated with Payment Card Industry (PCI) Compliance considerations. Information Technology to initiate a procurement to acquire technology.
<b>Cyber Security Assessment - 2020</b> 11. Presented in camera Details available upon request	Q4 2021	Q4 2023	OUTSTANDING Detailed requirements documented in preparation of engaging external resources to undertake the detailed design. Project on hold due to staffing changes.
<b>Executive Expenses-2021</b> Support for converted amount of out-of-country expenses not always included	Q4 2021	Q4 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. Original recommendation from the Corporate Policy Team was that this amendment is included in the comprehensive Corporate report to Council along with all

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			<p>the other City policy amendments and additions. Subsequently, Corporate Policy Team decided to take only Obsolete Policy report to Council (October). Their recommendation now is that this amendment should be approved by the CAO. Administrative Directive is currently back with the Corporate Policy Team for final review before submission to the CAO.</p>
<p><b>Corporate Governance- 2021</b> 1.1 Implement an Enterprise Risk Management (ERM) Program</p>	Q1 2022	COMPLETED	<p>COMPLETED</p> <p>A permanent Manager, Risk &amp; Insurance has been recruited and has begun work on the implementation of Enterprise Risk Management (ERM).</p>
<p><b>Corporate Governance- 2021</b> 1.2 Implement an Enterprise Risk Management (ERM) Program</p>	Q2 2022	Q1 2024	<p>OUTSTANDING</p> <p>Insurance &amp; Risk Management has had some unexpected staffing issues and has only returned to full staffing in mid-September. The manager, Risk &amp; Insurance has begun gathering information to prepare an appropriate Request for Proposal (RFP) to procure the services of an Enterprise Risk Management Consultant, who has expertise in Municipal ERM. The RFP is expected to go out before the end of 2023. The consultant will be utilized to educate the Corporate Leadership Team (CLT) on the ERM, and</p>

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			consult with them as indicated in the Management Action Plan (MAP).
<b>Corporate Governance- 2021</b> 1.3 Implement an Enterprise Risk Management (ERM) Program	Q4 2022	Q2 2024	OUTSTANDING CLT Consultation above should be completed before this step.
<b>Corporate Governance- 2021</b> 1.4 Implement an Enterprise Risk Management (ERM) Program	Q4 2022	Q2 2024	OUTSTANDING CLT Consultation above should be completed before this step.
<b>Corporate Governance- 2021</b> 1.5 Implement an Enterprise Risk Management (ERM) Program	Q4 2022	Q2 2024	OUTSTANDING CLT Consultation above should be completed before this step.
<b>Corporate Governance- 2021</b> 1.6 Implement an Enterprise Risk Management (ERM) Program	Q4 2022	Q2 2024	OUTSTANDING CLT Consultation above should be completed before this step.
<b>Corporate Governance- 2021</b> 4. Exercise of Delegation of Powers and Authorities	Q3 2021	Q4 2023	OUTSTANDING Review underway for completion Q4 2023 or Q1 2024.
<b>Corporate Governance- 2021</b> 5.2 Council Code of Conduct for Council	Q1 2022	Q3 2023	OUTSTANDING Work to be initiated in Q3 with the Integrity Commissioner.

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acknowledgement and review			
<b>Corporate Governance- 2021</b> 6. Lack of Code of Conduct coverage for Citizen Appointees	Q1 2022	Q3 2024	OUTSTANDING Work to be coordinated through the Integrity Commissioner for planned completion in Q1 2024.
<b>Corporate Governance- 2021</b> 7. Lack of common Policy to address complaints	Q4 2021	Q4 2023	OUTSTANDING Policy is still in draft form. Waiting for HR to finalize the complaints process that they are working on in collaboration with the Equity Office. Once the process is finalized policy will have another final review and will be forwarded to CLT for approval.
<b>Emergency Expenses- 2021</b> 1.1 Invoice Approval Process Needs to be Strengthened	Q4 2021	Q4 2023	OUTSTANDING The remaining departments are scheduled to go live by Q4 2023.
<b>Emergency Expenses- 2021</b> 1.2 Invoice Approval Process Needs to be Strengthened	Q3 2022	Q4 2023	OUTSTANDING The remaining departments are scheduled to go live by Q4 2023.
<b>Vendor Performance Management- 2021</b> 1a Vendor Performance Evaluation Effectiveness	Q1 2022	Q1 2024	OUTSTANDING Progress of the SOP and training continues with anticipated completion in Q1 2024 to align with the implementation of the automated process.

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<b>Vendor Performance Management- 2021</b> 2.2 Oversight and Utilization of Vendor Performance Data	Q4 2022	Q1 2024	<b>OUTSTANDING</b> In the process of implementing the automation of vendor performance evaluations through the vendor performance online module.
<b>Realty Services - 2022</b> 1. Vacant Positions and High Turnover	Q4 2022	COMPLETED	<b>COMPLETED</b> All current positions have been filled. Completed in August 2023.
<b>Realty Services - 2022</b> 3. Council report on real estate transactions	Q4 2023	COMPLETED	<b>COMPLETED</b> Realty Services is on-track and updated on this item.
<b>Realty Services - 2022</b> 4. Transitional building report to Council	Q4 2022	Q4 2023	<b>OUTSTANDING</b> Report will be presented at the Committee of Council Meeting on Nov 15, 2023; currently being drafted.
<b>Realty Services - 2022</b> 5. Maintaining up to date Inventory List	Q3 2023	Q4 2023	<b>OUTSTANDING</b> This activity will be continuing after the Transitional Building Report.
<b>Realty Services - 2022</b> 6.1 Maintaining proof of Insurance from Tenants	Q2 2022	COMPLETED	<b>COMPLETED</b> All insurance from tenants are up to date and being maintained by RS staff.
<b>Realty Services - 2022</b> 6.2 Maintaining proof of Insurance from Tenants	Q2 2022	Q4 2023	<b>OUTSTANDING</b> Targeting to complete by December 2023. There was a staff change last month and we are working with the new staff to streamline the Maintenance of Tenant

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			Insurance. The majority of the work has been done.
<b>Realty Services - 2022</b> 7.1 Oversight over the appraisal process	Q4 2023	COMPLETED	COMPLETED Multiple Appraisal reports and/or peer reviews are being conducted for high-value acquisitions.
<b>Realty Services - 2022</b> 7.2 Oversight over the appraisal process	Q4 2023	COMPLETED	COMPLETED Any acquisition over \$10M will require multiple property appraisals/ peer review.
<b>Realty Services - 2022</b> 8.1 Integrated Workplace Management System (IWMS)	Q3 2023	2024	OUTSTANDING This will happen as we transition to a new platform that will replace IWMS next year.
<b>Realty Services - 2022</b> 8.2 Integrated Workplace Management System (IWMS)	Q3 2023	2024	OUTSTANDING This will happen as we transition to a new platform that will replace IWMS next year.
<b>Realty Services - 2022</b> 9. Agreements with third-party vendors	Q1 2023	Q4 2024	OUTSTANDING RFP will be posted in Oct 2023. RE Brokers will be on board by the end of January 2024. A similar process will be followed for Appraisers and Surveyors.
<b>Realty Services - 2022</b> 10. Physical and Electronic records/ files	Q3 2023	Q2 2024	OUTSTANDING On course. There was a summer student to support the team. Work in progress.
<b>Realty Services - 2022</b> 11. Access to Encroachment records	Q2 2023	Q4 2023	OUTSTANDING On course.



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<b>Realty Services - 2022</b> 12. Charging User Fees	Q1 2023	COMPLETED	COMPLETED User Fee By-law has been updated and the revised fees have been charged.
<b>Claims Management - 2022</b> 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	Q1 2023	COMPLETED	COMPLETED Completed in Q3 2023. Collection and Management of Supplier SOP was developed by Insurance and Risk Management. After being presented to CLT, the SOP was published effective July 18, 2023.
<b>Claims Management - 2022</b> 3.0 Annual reports have not been prepared since 2018	Q2 2023	COMPLETED	COMPLETED Annual Report to Council was prepared and presented to the Committee of Council on September 20, 2023. Council deferred the report for questions. Council's questions were answered at the October 11 Committee of Council meeting, and the report was accepted on that date.
<b>Claims Management - 2022</b> 4.4 Key Performance Indicators (KPIs not available for prior years)	Q1 2023	COMPLETED	COMPLETED Completed in Q3 2023. Annual Report to Council was prepared and presented to the Committee of Council on September 20, 2023. Council deferred the report for questions. Council's questions were answered at the October 11 Committee of Council meeting, and the report was accepted on that date.
<b>Health and Safety</b>	Q2 2023	COMPLETED	COMPLETED

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1.1 Monthly Joint Health and Safety Committee inspections are not always complete			On June 19, 2023, the Joint Health and Safety Committee Inspections (JHSCs), for those identified as having missed inspections, were provided with a summary of consolidated challenges and respective resolutions as derived by the JHSCs for missed inspections. The JHSCs were requested to select the action items that best addressed their JHSC and note the completion status. Action items selected were to be noted in their minutes. For Brampton Fire and Emergency Services (BFES) JHSC, updating the inspection calendar has been assigned centrally along with reminders to those performing inspections to update the calendar once inspections are completed. A review of inspection completion is a standing item on the meeting agenda.
<b>Health and Safety</b> 1.2 Monthly Joint Health and Safety Committee inspections are not always complete	Q1 2023	COMPLETED	<b>COMPLETED</b> 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.
<b>Health and Safety</b> 1.3 Monthly Joint Health and Safety Committee	Q2 2023	COMPLETED	<b>COMPLETED</b> On June 19, 2023, the JHSCs, were identified as having incomplete planned

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inspections are not always complete			inspection schedules and were provided with a summary of consolidated challenges and respective resolutions for incomplete planned inspection schedules. The JHSC was requested to select the solutions that best addressed their JHSC and note the completion status. Solutions selected were to be noted in their minutes. For BFES JHSC, technology solutions and shared devices are investigated to address this matter.
<b>Health and Safety</b> 2.1 Key Health & Safety Data is not being reported	Q2 2023	COMPLETED	COMPLETED  On June 15, 2023, a briefing note titled: Corporate Health and Safety Activity Report for 2020 to 2022 was presented to the Corporate Leadership Team. The report provided 2020 - 2022 key performance indicators including: <ul style="list-style-type: none"> <li>• Health care counts</li> <li>• Health care frequency</li> <li>• Lost time injury counts</li> <li>• Lost time injury frequency</li> <li>• Lost time days</li> <li>• Critical injuries</li> <li>• Work refusal</li> <li>• Ministries Ministry of Labour, Immigration, Training and Skills Development (MLITSD) orders</li> </ul>
<b>Health and Safety</b>	Q2 2023	COMPLETED	COMPLETED

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3.0 Required Health & Safety Training is not always complete			All the actions were completed as outlined on February 22, 2023. Essential Learning information was compiled by active employees including reporting relationships. This information was shared with Department Heads for action and follow-up. Prior to the due dates, 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 a reference.
<b>IT Cloud Infrastructure and Cloud Management - 2022</b> 1.1 Presented in camera Details available upon request	2023/12/31	COMPLETED	COMPLETED Presented in camera.  Details available upon request.
<b>IT Cloud Infrastructure and Cloud Management - 2022</b> 2.2 Presented in camera Details available upon request	2023/12/31	COMPLETED	COMPLETED Presented in camera.  Details available upon request.
<b>IT Cloud Infrastructure and Cloud Management - 2022</b> 2.4 Presented in camera	2023/12/31	COMPLETED	COMPLETED Presented in camera.  Details available upon request.

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Details available upon request			
<b>IT Cloud Infrastructure and Cloud Management - 2022</b> 2.5 Presented in camera Details available upon request	2023/12/31	COMPLETED	COMPLETED Presented in camera.  Details available upon request.
<b>IT Cloud Infrastructure and Cloud Management - 2022</b> 3.1 Presented in camera Details available upon request	2023/12/31	COMPLETED	COMPLETED Presented in camera.  Details available upon request.
<b>IT Cloud Infrastructure and Cloud Management - 2022</b> 3.4 Presented in camera Details available upon request	2023/12/31	COMPLETED	COMPLETED Presented in camera.  Details available upon request.
<b>IT Cloud Infrastructure and Cloud Management - 2022</b> 8.3 Presented in camera Details available upon request	2023/12/31	COMPLETED	COMPLETED Presented in camera.  Details available upon request.
<b>IT Cloud Infrastructure and Cloud Management - 2022</b> 10.1 Presented in camera	2023/12/31	COMPLETED	COMPLETED Presented in camera.

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Details available upon request			Details available upon request.
<b>IT Cloud Infrastructure and Cloud Management - 2022</b> 10.2 Presented in camera Details available upon request	2023/12/31	COMPLETED	COMPLETED Presented in camera.  Details available upon request.
<b>IT Cloud Infrastructure and Cloud Management - 2022</b> 11.1 Presented in camera Details available upon request	2022/12/31	COMPLETED	COMPLETED Presented in camera.  Details available upon request.
<b>IT Cloud Infrastructure and Cloud Management - 2022</b> 11.2 Presented in camera Details available upon request	2023/12/31	COMPLETED	COMPLETED Presented in camera.  Details available upon request.
<b>Parks Maintenance</b> 1.0 Standard Operating Procedures	Q3 2023	Q4 2023	OUTSTANDING SOPs are currently being reviewed and are expected to be completed by Q4 2023. Approximately 75% of SOPs have been completed.
<b>Parks Maintenance</b> 2.0 Grass Cutting Inspections - Contractors	Q2 2023	COMPLETED	COMPLETED Based on the inventories of flower beds and parks, and how these are managed in CityWorks and GIS, staff can

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			<p>determine which flower beds fall into which parks.</p> <p>Staff can perform an overlay to determine this. Literally, a map of the flower beds overlaid with a map of the parks.</p>
<p><b>Parks Maintenance - 2022</b></p> <p>3.0 Grass Cutting Additions - Contractors</p>	Q2 2023	COMPLETED	<p>COMPLETED</p> <p>A reconciliation of added hectares vs assignment sheets is already being conducted. This exercise is done at the completion of the current year's grass-cutting operations.</p>
<p><b>Parks Maintenance - 2022</b></p> <p>4.0 Assets - Park Equipment</p>	Q2 2023	Q4 2023	<p>OUTSTANDING</p> <p>Staff are working to ensure the inventory of non-park flower beds is appropriately captured and have made significant progress. The majority of flower beds are now inventoried. New processes have been established to properly capture flower beds, including when new ones are added. Based on the inventories of flower beds and parks, and how these are managed in CityWorks and GIS, staff can determine which flower beds fall into which parks.</p> <p>Staff can perform an overlay to determine this. Literally, a map of the flower beds overlaid with a map of the parks.</p>

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<b>Parks Maintenance - 2022</b> 5.0 Assets - Fleet & Small Engine	Q2 2023	Q4 2023	<b>OUTSTANDING</b> Physical counts of small engine equipment have been completed in Q2 2023. Staff will be meeting with Fleet to input and maintain a database. M5 component will be completed by the end of Q4 2023.
<b>Parks Maintenance - 2022</b> 6.0 Service Requests - Status Review	Q2 2023	<b>COMPLETED</b>	<b>COMPLETED</b> Info is no longer in use, transition to CityWorks is ongoing. In the interim, Maintenance and Operations' Supervisors continually review opened and closed SRs with the assistance of clerks ensuring details are updated in SRs to assist dispatch with providing more accurate feedback to residents and Council.
<b>Parks Maintenance - 2022</b> 7.0 Vendor Performance Evaluations	Q4 2022	<b>COMPLETED</b>	<b>COMPLETED</b> Info is no longer in use, transition to CityWorks is ongoing. In the interim, Maintenance and Operations Supervisors continually review opened and closed SRs with the assistance of clerks ensuring details are updated in SRs to assist dispatch with providing more accurate feedback to residents and Council.
<b>Limited Tendering</b>	Q1 2023	<b>COMPLETED</b>	<b>COMPLETED</b> The Limited Tendering process continues to be



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<p>1.1 Limited Tendering Award Authority Limits</p> <p>1) Initial procurement approvals should include the estimated amount for contract renewals in addition to the initial contract amount.</p>			<p>paper-based. The Limited Tendering form was updated in March 2023 to include the estimated amount of contract renewals in addition to the initial contract amount. This update was communicated to City staff on March 1, 2023 and the LT form will include the total procurement value.</p>
<p><b>Limited Tendering</b></p> <p>1.1 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>	<p>Q1 2023</p>	<p>Q4 2024</p>	<p><b>OUTSTANDING</b></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>

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<p><b>Limited Tendering</b></p> <p>1.1 3) System workflow should be defined for all LT procurement approvals.</p>	Q1 2023	Q4 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><b>Limited Tendering</b></p> <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>	Q2 2023	Q1 2024	<p>OUTSTANDING</p> <p>The hiring of a Purchasing Director is underway. This recommendation requires a complete review with an update to the Purchasing By-law. The new Director will undertake this responsibility.</p>
<p><b>Limited Tendering</b></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	Q1 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><b>Limited Tendering</b></p> <p>2.3</p> <p>6) Purchasing should define Key Performance Indicators (KPIs)</p>	Q2 2023	Q1 2024	<p>Refer to the above response.</p>

<b>Audit and Finding/Issue</b>	<b>Original Target Completion Date</b>	<b>Updated Target Completion Date</b>	<b>Status as of Q3 2023</b>
including Non-Competitive to Total Procurement and report to City Council.			