Status	Recommendation	Management Action Plan	Target Completion Date (by quarter)	Current Status
Ongoing	Move the responsibility and accountability for vendor master file "V" type vendor file management, including creating new vendors, amending existing vendors, reactivating dormant vendors and vendor related approvals from Financial Services to Procurement. To effectively segregate vendor procurement and payment duties (the responsibility for the other vendor types will remain with Financial Services).	Procurement Services will be responsible for the management and maintenance of "V" type vendors, amending existing vendors, reactivating dormant vendors and vendor related approvals. Financial Services will continue to be responsible for the management and maintenance of all other vendor types in the vendor master file. Financial Services will continue to be responsible for processing payments.	Q4 2023	Financial Services set up a new vendor type "DEV" for development refunds which were previously classified as "V" type vendors – Q4 2022 Work continues on the transition of the "V" type vendors from Financial Services to Procurement – Q4 2023("V" type vendors are vendors awarded through a competitive or non-competitive procurement process). New vendor type needs to be set up to deal with exempt items in the procurement policy.
Ongoing	Perform a comprehensive review of existing system user access rights to ensure, that at minimum: • Only active employees with legitimate business requirements have access to the JDE system, including vendor master file, and their access is based on their current job duties. This includes removing access of employees who are on long term leaves of absence, such	Known, required changes will be made immediately. Procurement Services and Financial Services will perform a comprehensive review of current JDE roles with OCIO and develop the appropriate roles that provide the appropriate access.	Q4 2023	OCIO assigned staff and work has begun to implement known, required changes in Finance in Q4 2022. Changes related to the transfer from Financial Services to Procurement Services to be completed by Q4 2023.

	as medical and parental leaves. • Incompatible access rights are removed from employee/job profiles. This includes at minimum, removing the inappropriate access from the four Financial Services Management staff and the Supervisor, Accounts Payable. Financial Services Management staff should only have review and approval access. • Vendor reactivation access is restricted to only those employee(s) who need to perform the task.			
Ongoing	Ensure system access reviews are performed annually.	Financial Services, Procurement Services and OCIO will implement an annual review process with respect to the Vendor Master File.	Q4 2023	To start when system access responsibility matrix is complete.
Ongoing	Develop policies and procedures using City's Policy and Procedure templates: • Outlining roles, responsibilities, and accountability as it relates to the management of	Procurement Services and Financial Services Management will develop formalized policies and procedures to provide guidance as to the creation, management, administration, and oversight of vendor master file data for which they are respectively responsible. Elements of these documents will include, but not be limited to:	Q4 2023	Financial Services and Procurement Services drafted a Policy and Procedures document and will continue to refine as the transfer of responsibility for V type vendors is progressing.

	oversight of the vendor master file including appropriate user access • Provide guidance to the creation, management, administration and oversight of vendor master file data, Elements of these documents should include, but not be limited to: o Critical data elements that must be included for creating a vendor including standard naming conventions, vendor creation date, syntax and punctuation. o Consistent address, postal code and HST tax ID conventions. o Frequency, timing, approach and oversight over deactivating	• Critical data elements that must be included for creating a vendor, including standard naming conventions, vendor creation date, syntax, and punctuation. • Consistent address, postal code and HST tax ID conventions. • Frequency, timing, approach and oversight over deactivating dormant vendors and performing duplicate vendor checks. • Segregation of duties. Procurement Services will develop policy and update procedures which will define the roles, responsibility and accountability of all stakeholders involved in the vendor validation process and the requirements to substantiate new vendors or changes to existing vendors.		

	dormant vendors and performing duplicate vendor checks. o Segregation of duties • Define the roles, responsibility and accountability of all stakeholders involved in the vendor validation process. The requirements to substantiate new vendors or changes to existing vendors should be included in these documents			
Ongoing	Develop and implement a strategy to incorporate the IIA's Three Line Model, specifically the second line role within OCIO, that at a minimum would give OCIO staff the knowledge and responsibility to challenge and elevate concerns regarding incompatible and inappropriate system access to higher levels of management for appropriate remediation	Based on the comprehensive review of system access that we will be conducting, access rights will be linked to specific responsibilities. Management will be developing a system access responsibility matrix by position. Any changes to this matrix will need the approval of both the DCM of Legal and Administrative Services and the DCM of Corporate Services, City Treasurer and CFO. This work can be completed by OCIO submitting an ARR resource request in 2023 for a JDE Security officer who can hold these responsibilities. In addition, the Office of the Chief Human Resources Officer will be responsible for communicating changes to employee status so that OCIO can update system access accordingly. This will be completed by Q4 2023.	Q4 2023	Ongoing and to be finalized Q4 2023 provided appropriate OCIO resources are obtained.

Completed	Use the orchestration tool developed by OCIO staff to automatically deactivate vendors who have not been used (i.e., no payments processed) for the past 18 months, on the first of each month.	OCIO will implement the existing tool to automatically deactivate type "V" vendors who have not been used for the past 18 months for Procurement Services. OCIO will implement a similar tool for Financial Services for all the other vendor types. This will be scheduled automatically to run on the 1st of every month.	Q4 2022	The inactive vendor report has been put on the JDE scheduler. This allows for a vendor status to be changed to inactive if there has been no accounts payable activity in 450 days. This was completed for 6 vendor types
Completed	Ensure the duplicate vendor deactivation clean-up process is performed on an annual basis for all vendor types and all duplicate parameters.	Procurement Services and Financial Services will be responsible for performing the duplicate vendor review process for the vendor types they are responsible for. This will be incorporated into their respective policies and procedures. The duplicate vendor review will be conducted annually in Q1 as part of our year-end processes.	Q4 2022	Duplicate vendor deactivation clean-up process to be performed annually for all vendor types and duplicate parameters as part of the year-end accounting process.
Ongoing	Investigate the feasibility of developing a tool that would deactivate one-time type vendors after the payment is made.	OCIO will engage Oracle to investigate if there is existing functionality to perform this task. Most of the one-time payments are refunds for tax, recreation, and development. Currently tax and recreation have a separate type in the Vendor Master File. Management suggests creating a vendor type for development refunds to continue under Financial Services oversight. Procurement Services will update the Vendor Create and Update form for "V" type vendors to include a section for the requesting department to indicate if the vendor will be a one-time vendor.	Q4 2023	Vendor type for development refunds "DEV" created in Q4 2022 to continue under Financial Services oversight.
Ongoing	Modify incorrect and/or incomplete data structures, including filling in blank/	Critical data elements for creating or updating a vendor, including standard naming conventions, vendor creation date, syntax and punctuation, address,	Q4 2023	To be addressed in the policy and procedures.

	missing fields of all existing active vendors	postal code, phone #'s and HST tax ID conventions will be documented in our policies and procedures. The vendor master file cleanup efforts will reflect these standards. If there are fields that are intentionally left blank, our policy and procedures will clearly identify these instances and the oversight processes management will be performing to validate the blanks.		
Ongoing	Procurement Services work with client departments to permanently transition LDM procurements to a more efficient and effective procurement method. LDM's may only be used for non-recurring operational requirements where the good/service is required immediately and could not have otherwise been obtained via a competitive process or paid using a P-Card.	Management agrees with these recommendations. Procurement Services agrees with working with client departments to transition recurring LDM expenditures to a more efficient and effective procurement method. We will seek continuous improvement of reporting standards for LDM's to enable transparency and accountability to lead client departments to a root cause analysis, with the functionality to take corrective actions where appropriate. Specific areas of development will include: 1. Governance Framework and New Policy • A Governance Framework and Policy will be developed that will provide oversight of LDM purchases and determine a path of escalation for accountability measures. 2. Reporting, Tools & Training • Web-based interactive dashboard reporting that offers easy access to information which can be summarized at a high level or used to "drill down" into more detail. This level of control enables both high-level strategic views of the LDM's, with the ability to rapidly focus in on areas of concern for more detailed analysis.	Q4 2023	Ongoing. Dashboard has been developed. Procurement working on developing an LDM policy, governance framework, and formal reporting procedure. Staff will need training.

		• Once information is collated, the reporting team will leverage this capability into building high-level executive dashboards to facilitate quick understanding of the LDM's, and areas which require a more detailed review. Interactive web-based reports will be built and available for key stakeholders to use on a regular basis.		
Ongoing	We recommend that management investigate the feasibility of automating the new vendor setup and vendor change request processes. This may include developing an integrated online authorization workflow either directly in JDE or via an existing Microsoft platform.	In discussions with a JDE vendor of record, they advised that there is no pre-built functionality in JDE to accommodate this. Should this functionality become available, staff will investigate the possibility of implementing it. Other options such as Microsoft will be investigated. This work can be completed by OCIO submitting an ARR resource request in 2023 for appropriate IT resources including Web, Integration and JDE professional skillsets. The timelines will depend on defining the roles, responsibility and accountability of all stakeholders involved in the vendor validation process. The requirements to substantiate new vendors or changes to existing vendors should be included in these documents.	Q4 2023	To be finalized Q4 2023 provided appropriate OCIO resources are obtained
Ongoing	Formally define a list of requirements that are required to support and substantiate a new vendor request (through a competitive or non-competitive	Procurement Services will formally communicate what departments are required to submit in order to process a new vendor request or change to an existing vendor. This information, along with the associated forms will be made available on VOL.	Q4 2023	Ongoing and will include as part of Policy and Procedures.

	procurement process) or changes to an existing vendor and ensure that this information is validated prior to approving the addition or change.			
Ongoing	Investigate the feasibility of developing a report which flags vendor reactivations and have a member of the Procurement Services Management team review the appropriateness of reactivated vendors.	Management will investigate the feasibility of developing a report which flags vendor reactivations and have a member of the Procurement Services Management team review the appropriateness of reactivated vendors.	Q4 2023	Under discussion. May decide to require reactivation to go through the same process as a new vendor.
Ongoing	Determine which employee(s) require the vendor reactivation functionality, based on their job requirements and ensure only those employees have the system user rights to use the functionality.	Management will review access rights with respect to ensure that only appropriately authorized individuals have the ability to reactivate a vendor. There will be no reactivation for the vendor types that Financial Services has oversight.	Q4 2023	To be included in review of access rights currently ongoing.
Completed	Reimburse all employee expenses, including medical notes and footwear reimbursements, through Payroll.	Accounts Payable can process medical notes and footwear for payment through Payroll provided they have the proper approved backup in the same manner that expenses are processed. Medical note approval and backup originates in Human Resources and the footwear reimbursement request and backup originates in the department with review by Financial Planning and Development Finance.	Q4 2022	Completed in Q4 2022. Accounts payable began to process refunds for medical notes and footwear through Payroll.

Ongoing	Develop an enhanced boot reimbursement tracking sheet to better facilitate the determination and tracking of how many employees across the City are eligible for the boot reimbursement, how many are actively using the reimbursement, and how much of the eligible reimbursement employees are using every 2 years. This report should also be formatted to present the total boot reimbursements paid to all eligible employees during the collective bargaining period versus the total eligible boot reimbursement.	Management and staff will review and enhance the current boot reimbursement tracking sheet. The recommended data fields will be tracked based on the best information available.	Q4 2024 if ARR approved	To be finalized Q4 2023 provided appropriate OCIO resources are obtained