

Attachment 1 – Status of Outstanding Management Action Plans

List of Completed Audit Projects and Status of Management Action Plans (MAPs)

Agenda Date	Audit Report	Outstanding Recommendations	# of Recommendations in the Audit Report	# of Recommendations Completed	# of Recommendations In Progress	Implementation Due Dates
09-Mar-15	Recreation & Culture Revenue	Accounts Receivable - Collections & Write-offs	12	11	1	Q1 2022
08-Sep-15	Road Operations	Occupational Health and Safety Training	7	2	5	Q1 2022
		Implementation of the Route Patrol Manager System				Q3 2022
		Work Order Administration				Q4 2021
		Vehicles, Motorized Equipment and Inventory Use				Q4 2022
		Policies & Procedures				Q2 2022
01-Feb-16	Corporate Overtime	Automate the Time and Labour Management Process	5	2	3	Q4 2022
		Understand What Drives Overtime Costs & Impact on Service Delivery				Q4 2022
		Examine the Impact of Overtime on Employee Wellness				Q4 2022
30-May-16	Anonymous Reporting System Annual Report	Enhance the City's corporate governance, accountability and transparency framework by developing a comprehensive ethics and compliance program designed to prevent, detect and respond to fraud and misconduct.	3	1	2	Q3 2022
		Internal Audit be tasked with doing further research into the possibility of expanding the Anonymous Reporting System to the general public and, in consultation with senior management, report back to Council on the best practices in other jurisdictions and a recommended approach.				2024
06-Mar-17	Social Media Audit	Develop a Comprehensive Social Media Governance Framework	4	3	1	Q4 2021/Q1 2022
06-Jun-17	Event Management Audit	Develop a Formal Event Strategy for the City	9	8	1	Q4 2022
		Develop a Clearly Defined Special Events Permit Process and Mechanism to Monitor Compliance with Permits Issued				Complete
06-Jun-18	Construction Audit of Fire Station 7-4: Phase 1	Establish a Standardized Project Management Framework	7	5	2	Complete
		Enhance the Budgeting and Estimation Process for Capital Projects				Q4 2022
		Develop General Design and Construction Standards for Reoccurring Projects				Q4 2021
06-Jun-18	Forestry & Horticulture Operations Audit	Develop a Formal Strategic Plan to Manage Existing and Future Activities and Service Levels	6	2	4	Q3 2021
		Provide Greater Oversight over Contract Administration				Q4 2021
		Enhance Monitoring and Oversight Over Work Order Administration				Q4 2021
		Improve the Private Tree Permit Inspection Process				Q1 2022
06-Jun-18	Winter Maintenance Audit	Reevaluate the City's Winter Maintenance Strategy and Service Standards	7	6	1	Q2 2022
14-Mar-19	Legal Services Audit	Determine the Optimal Level of Resources, Staff Complement and Composition of the Legal Services Department	7	6	1	Complete
		Acquire the Appropriate Tools and Resources to Improve Department Planning, Business Processes and Service Delivery				Q4 2021
		Establish Department Policy and Procedures and Update Job Descriptions				Complete

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05-Jun-19	Water, Wastewater and Stormwater Operations Audit	Implement a Risk Based Preventative Maintenance Program	14	11	3	Complete
		Implement the Recommendations for Improving the Maintenance Conditions of Water and Wastewater Facilities				Q4 2021
		Ensure the Recommendations for Improving the City's Emergency Response Plan are Implemented				Complete
		Perform an Operational Health and Safety and Public Hazard Risk Assessment				Q3 2021
		Update Development Agreements to Clarify Timing of Payment Requirements for New Watermain Connections				Q4 2021
12-Nov-19	Facility Management Audit	Develop and Implement a Risk Based Preventative and Predictive Maintenance Program	5	2	3	Q4 2023
		Improving the Management and Administration of Lease and License Agreements at City Owned Facilities				Q4 2023
		Enhance Oversight Over Contract Administration				Q2 2024
21-Jan-20	Construction Audit of Fire Station 7-4: Phase 2	Ensure the Construction Schedule and Recovery Schedule are Realistic, Complete and Timely	4	3	1	Complete
		Implement a Formal Project Quality Review Program				Q4 2023
20-May-20	Consulting Services Audit	Establish a City-wide Contract Management and Administration Framework	6	4	2	Q4 2021
		Standardize Procurement Templates				Q2 2022
22-Sep-20	By-Law & Compliance, Licensing & Permit Services Audit: Phase 1	Reevaluate and Update the By-law Strategic Framework, Principles and Deliverables to Ensure They Remain Realistic and Achievable	6	0	6	Q4 2021
		Ensure Parking Permit Processes Comply with the City's Parking By-Law 064-2019				Q4 2021
		Continue to Integrate Licensing, Permit and Enforcement Systems and Enable Automated Data Sharing				Q1 2022
		Improve Oversight Over the Administrative Monetary Penalty Process				Q1 2023
		Develop Key Performance Indicators (KPIs)				Q1 2022
		Ensure SOP's Remain Relevant and Current				Q4 2021
10-Nov-20	Vaughan Business Enterprise Centre Audit	Develop Contingency Plans for Continued Operation in the Event that Funding for the SBEC Program is Reduced	2	0	2	Q4 2021
		Develop SOPs To Provide More Clarity To Staff On How To Execute Program Guidelines and Requirements				Q4 2021
31-May-21	IT Security Audit	Commercial Off the Shelf Software	11	0	11	Q1 2022
		Hardening				Q4 2021
		Multi-Factor Authentication				Q4 2021
		Network Segmentation				Q4 2022
		Physical Security				Q4 2022
		Reducing Attack Surface				Q1 2022
		Social Engineering				Q1 2022
		Vulnerabilities				Q4 2021
		Vaughan Public Libraries				Q1 2023
		Miscellaneous				Q2 2023
		Resourcing				Q4 2021
31-May-21	Water Sampling Follow-up Audit	Leverage Technology	1	1	0	Complete
27-Apr-21	Construction Audit of Fire Station #7-4: Phase 3	Extend the Payment Holdback Requirements to Encompass the Warranty Period	4	3	1	Complete
		Engage All Stakeholders at Key Milestones in the Project				Complete
		Request Construction Documents and Manuals Earlier in the Process				Complete
		Expand the Vendor Performance Evaluation Process to Include Vendor Suspension				Q3 2021
Total	19 Reports		120	70	50	