Toronto Catholic District School Board
Appendix A - Current Status of Findings on Completed Engagements
Presented to the Audit Committee in April 2021

Note: Excludes RIAT reports that were issued in the 2020-21 fiscal year (as of March 31, 2021: Records Management and Usage of Schools Analysis)

Plan Year	Report Date	Engagement	# of Findings	Current Status of Management Action Plan						Person(s) Responsible for Response to RIAT
				Open	On Hold	In Progress	Closed - Mgmt Assertion	Closed - RIAT Validated	No Longer Relevant	
2011-12	Jun-13	Review of Human Resources	6	0	1	3	2	0	0	Adrian Della Morra, Steve Camacho, Malik Omar
2011-12	Jun-13	Repairs and Maintenance	8	0	0	1	1	6	0	Martin Farrell, Adrian Della Morra, Donna Reid/Vince Artuso
2011-12	Jun-14	BPS Procurement and Expense Compliance Review	11	0	0	0	11	0	0	Jacqueline Charles, Deborah Friesen, Dave Bilenduke, Donna Reid/Vince Artuso
2013-14	Sep-14	HR Policy and Effectiveness Review	5	0	1	3	1	0	0	Adrian Della Morra
2013-14	May-15	Budget Development and Management	5	0	0	0	1	4	0	Paul De Cock, Gerard Sequeira
2013-14	Jun-15	Special Education	10	0	0	3	7	0	0	Maria Meehan
2014-15	May-16	Construction Monitoring and Management	0	0	0	0	0	0	0	N/A
2015-16	Jul-16	HR / Payroll	2	2	0	0	0	0	0	Adrian Della Morra
2016-17	Apr-17	IT Strategy Review	18	0	0	0	3	0	15	Steve Camacho, Malik Omar
2016-17	Sep-17	Recruiting and Hiring	4	0	0	4	0	0	0	Adrian Della Morra
2016-17	Sep-17	Attendance Support Data Visualization Tool	N/A							N/A
2017-18	Mar-18	Monitoring and Reporting Student Achievement	3	0	0	1	2	0	0	Dan Koenig /Lori DiMarco
2017-18	Aug-18	Employee Health and Safety	3	0	0	1	2	0	0	Corrado Maltese
			75	2	2	16	30	10	15	

Status of Audit Findings

Report Name: Review of Human Resources
Report Date: June 2013
Follow-up? No
Issued By: RIAT

#	Rating (H,M,L)	Finding Title	Recommendation	Management Action Plan	Target Date	Position Responsible	Update Required	Current Status of Finding	Comments	Status for Report
				ORIGINAL ENGAGEMENT			**STATUS UPDATE**			**RIAT COMMENTS**
1	M	Hiring of Long Term Occasional Teachers	We recommend the following: • Management continue to investigate the feasibility of automating the hiring process for occasional teachers. • RIAT perform audit testing of occasional teacher hiring process at a suitable time agreed with the HR Superintendent.	Staff agrees that without the use of automated tools for hiring OTs efficiency is reduced. Staff supports the recommendation that RIAT perform audit testing of the occasional teacher hiring process at a suitable time agreed with the HR Superintendent. In reference to the "Overview" section above, on May 8, 2013, Regulation 148/13 was filed amending the Hiring Practices under the Education Act. The amendment broadened the applicant pool and made interviews mandatory for occasional teachers who meet the listed requirements. Management Action Plan Staff has begun the process for automating the hiring process for OTs. • Staff hopes to fully implement the automation process beginning in the fall of 2013.	31-Dec-13	Senior Coordinator, ICT Trillium/Student Services Senior Manager, Recruitment Services	Yes	Open	Sr. Staff are engaged in planning for a revised Human Resource Management System (HRMS). Trustees have approved funding and the project has been identified as one of the Board's top three IT update priorities. As a first stage, external consultants are being secured to gauge the effectiveness of workflows and identify gaps that need to be addressed. This will be a long-term project committment.	In Progress
2	M	Attendance Support Program	We recommend that management continue to investigate the feasibility to develop and implement a formal attendance support program.	Staff supports the recommendation that it continue to investigate the feasibility to develop and implement a formal attendance support program. Management Action Plan Staff enlisted the services of the consulting firm, School Boards Co-operative Inc. ("SBCI") to address and assess the TCDSB's current attendance management procedures, practices and statistics. The consultant's report included recommendations focusing on establishing structured processes and systems to monitor staff attendance on a timely and effective basis. A report created by SBCI outlining findings and recommendation regarding implementing an attendance support plan is complete. While the Board consulted with SBCI and issued an RFP, the project was put on hold due to the MOU and the required third-party adjudication process with Manulife. A regulation amending Reg. 1/13 regarding Sick Leave Credits and Gratuities was recently filed on June 19, 2013. However, Staff is still looking to future implementation of an attendance support program. The Human Resources department is assessing the need for additional staff to facilitate the implementation process. A report regarding the matter will be presented to Director's Council in the near future. • Staff plans to issue an RFP in August 2013 to re-initiate the implementation of an Attendance Support Program and bring back a progress report to the Board of Trustees in December 2013.	31-Dec-13	Superintendent of Human Resources Employee Relations Services; Benefits/Compensation Services	Yes	Open	Sr. staff are engaged in Attendance Support Program (ASP) planning after reporting to Director's Council during the 2020 - 2021 academic year. Planning has been placed on hold given COVID operational priorities and union collective bargaining. Pursuing an ASP remains a TCDSB priority and SBCI will be a consultant/partner in this process.	On Hold

Status of Audit Findings

Report Name:	Review of Human Resources
Report Date:	June 2013
Follow-up?	No
Issued By:	RIAT

				ORIGINAL ENGAGEMENT				STATUS UPDATE			RIAT COMMENTS
#	Rating (H,M,L)	Finding Title	Recommendation	Management Action Plan	Target Date	Position Responsible	Update Required	Current Status of Finding	Comments		Status for Report
3	M	Succession Planning and Leadership Development for Business and Support Staff	It is recommended that HR management, • Continue to develop a succession management program for business and support staff, • Consider obtaining staff input through surveys for professional development and succession management for business and support staff.	Staff agrees that succession planning is essential for business and support positions. While there is informal internal mentorship. Staff recognizes the need for a formal succession management program. Management Action Plan Staff will continue to focus on developing a succession management program for business and support staff and model the program based on the practices currently in place for academic staff. Staff supports the recommendation to obtain staff input through surveys for professional development and succession management for business and support staff and will consider doing so during the various stages of implementation. A Progress Report will be available for the Audit Committee in December 2013. • Staff hopes to have a succession management program in place for business and support staff by the end of the next fiscal year.	31-Aug-14	Superintendent of Human Resources Sr. Coordinator/Coordinators of their respective departments within HR	Yes	Open	Succession planning is correlated to leadership development. Sr. staff are enhancing leadership development relating to the business side of our organization which will inform/enhance the succession planning process. The implementation of strategic onboarding/issues series professional development for our business leaders in September will build leadership capacity and lay the foundation for succession planning. The eventual introduction of a HRMS system will formally address system needs (academic and business succession planning).		In Progress
4	M	Performance Measurement	It is recommended that management, • Develop a policy, procedures and programs (including training to supervisors) on formal performance management for business and support services staff, and • Provide a system wide communications on the policies and procedures requirements for timely performance measurements for business and support services staff.	Staff recognizes performance measurement as a best practice. Management Action Plan Staff will investigate the feasibility of developing and implementing performance measurement policies, procedures, programs and training. • To be determined.	Not Specified	Superintendent of Human Resources Sr. Coordinator/Coordinators of their respective departments within HR	Yes	Open	Sr. staff have implemented performance measurement practices at the senior leader levels on both the academic and business sides of the organization. This involves goal-setting practices that are aligned with the TCDSB MYSP. Personal goals inform professional development sessions and senior staff anticipate expanding this practice to more leaders on the business side of the organization on a go forward basis.		Closed - Management Assertion
5	H	Human Resources Policies - Review and Update	We recommend that management continue to develop a framework for prioritization, review and update of policies by the assigned task force.	As per the TCDSB's Multi-Year Strategic Plan ("MYSP"), Staff has developed a framework for prioritization, review and update of policies and operations as recommended by RIAT. Management Action Plan Staff will continue to review and update its policies and operation procedures under the MYSP framework and as required under relevant legislation. • Ongoing; please refer to Appendix I	Completed	Superintendent of Human Resources Sr. Coordinator/Coordinators of their respective departments within HR Various Superintendents in respect to the policy issue	Yes	Open	Sr. staff continue to prioritize the review of relevant policies and track this process monthly via the Governance and Policy Committee.		Closed - Management Assertion

Status of Audit Findings

Report Name: Review of Human Resources
Report Date: June 2013
Follow-up? No
Issued By: RIAT

				ORIGINAL ENGAGEMENT			STATUS UPDATE			RIAT COMMENTS
#	Rating (H,M,L)	Finding Title	Recommendation	Management Action Plan	Target Date	Position Responsible	Update Required	Current Status of Finding	Comments	Status for Report
6	L	Decentralized Employee Information	We recommend that management investigate the feasibility of a centralized database to manage records of employee behaviour concerns and complaints including the supports provided by the HR staff.	Staff recognizes the importance of maintaining employee data in a centralized database in order to determine if the supports provided by the Conflict Resolution department are effective. Management Action Plan Staff will investigate the feasibility of a centralized database to manage records of employee concerns and complaints, including the supports provided by the Conflict Resolution department. • As the Conflict Resolution department currently includes only two staff with no administrative support, the timing of implementing such mechanisms is to be determined.	Not Specified	Superintendent of Human Resources Coordinator, Conflict Resolution Services	Yes	Open	Staff continue to identify records management and case incidence (conflict resolution) metrics as a priority. TCDSB staff continue to pursue discussions regarding the implementation of a records management system.	In Progress

Status of Audit Findings
Report Name: Repairs & Maintenance
Report Date: June 2013
Follow-up: July 2018
Issued By: PwC (original report) / RIAT (follow-up)

			ORIGINAL ENGAGEMENT			
#	Rating (H,M,L)	Finding Title	Recommendation	Management Action Plan	Target Date	Position Responsible
1	H	No evidence that repair and maintenance work orders are consistently completed in accordance with the established priority timelines.	The Senior Coordinators of Maintenance and Operations should require clerical staff to include adequate notes in SAP indicating the status of an open work order, as well as, information explaining why the system completion dates would be beyond the set priority timelines. These notes should be recorded in the SAP system before the entry of actual hours worked by a given maintenance staff. Furthermore, the Senior Coordinators of Maintenance and Operations should have clerical staff update the status of work orders in the system on a timely basis. Also, as opportunities for improvement, TCDSB should consider the following in any future system upgrade: · Introduction of hand held devices in the processing of repair and maintenance work orders. For instance, hand held devices could give maintenance staff the capability to electronically close a repair ormaintenance work order in 'real time'. Information held in these devices would electronically feed into the SAP system, as well, thus, ensuring that statuses of repair and maintenance work orders are updated in the system on a timely basis. · Explore the ability in the SAP system to differentiate between the main job per the initial work order and any additional required work thereafter.	Priority 5 (Emergency) calls are responded to in accordance with the TCDSB Work Priority Timelines. Immediate response is required, even after hours and on weekends or holidays, in order to mitigate the risk of having to close the school. However, final resolution of the issue may require follow-up repairs, supply and installation new parts and/or additional equipment or systems repairs, which would occur after responding to the emergency. As such, the original work orders may remain "open" in SAP until any follow-up work is completed and/or invoices are received from external contractors or equipment suppliers. This ensures that any follow-up work is tracked back to the original work order. Management has implemented a new work tracking system through Syclo, with hand-held devices, which is linked to the work order system in SAP. This will allow maintenance staff to update work orders and the status of work from the hand-held devices directly into SAP. Four pilot schools have been tagged with bar code, to facilitate identification of equipment, warranties and repair history. Testing of the Syclo device is in process at these four pilot schools. The Board has a 24-hour monitoring service, and designated on-call facilities staff to respond to buildingemergencies that occur after hours, weekends and holidays. The monitoring centre receives automated signals in the event of low heat or no-heat at a building as well as building security status (if an alarm is not set or disconnected). Security vehicles are dispatched to respond to the emergency call and the on-call staff provides direction with regards to calling in an external contractor to deal with an emergency. In all instances proper responses are provided within the set priority timelines.	27-Jun-14	Senior Coordinators, Operations & Maintenance (East/West)
2	M	Delegation of authority for authorizing work orders in the system is not consistently documented.	We recommend that management develop documented procedures related to the delegation of authority process. These procedures should include information on when delegation of authority is needed, who can delegate approval authority, and what constitutes adequate documentation (e.g. notes) in SAP to evidence such delegation. Management should ensure that these procedures are communicated to the Dispatchers and Facilities Secretaries accordingly.	Dispatch staff may only receive verbal approval because management staff is out of the office, at a school for example, dealing with a repair job – however, following the audit; facilities staff have implemented a system of recording the instances of verbal approval on the work notification in SAP. Delegation of authority is being documented within the Notification to ensure that high and urgent repairs are properly authorized prior to commencing the work. Prior to commencement of the work, incoming work orders are reviewed and approved by the Maintenance Officers and Supervisors.	31-Oct-13	Senior Coordinators, Operations & Maintenance (East/West)
3	M	No process to monitor trade licences required by maintenance staff.	We recommend the following: · Management should establish a formal process to track trade licences. This could be accomplished through the development of a tracking spreadsheet that includes key information such as the staff member's job classification, Certification/Trade Number, the date of issue and expiration. · Maintenance Manager should designate a staff member who is responsible for follow-up on any trade licenses that are coming up for expiration and update the tracking spreadsheet accordingly.	Management has initiated a Trade license registry, and will undertake annual verification of trade licenses. In cases where the license does not show an expiration or renewal date, Management staff will request a letter of confirmation from licensing body verifying that the license is in good standing. This process will be undertaken annually. Maintenance Officers will also verify that the type of license and the work covered by the license is valid, by annually contacting the Ontario College of Skill Trades or from the OCST website. (www.collegeoftrades.ca)	31-Jul-14	Managers of Maintenance (East/West)

Status of Audit Findings
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Report Date: June 2013
Follow-up: July 2018
Issued By: PwC (original report) / RIAT (follow-up)

				ORIGINAL ENGAGEMENT		
#	Rating (H,M,L)	Finding Title	Recommendation	Management Action Plan	Target Date	Position Responsible
4	M	No tracking of vehicles used by maintenance staff.	We understand that Facilities management has plans to implement GPS tracking devices on all maintenance vehicles this year. We recommend that management move forward with these plans, to include installing a GPS tracking software.	As noted above, Management has researched and is in the process of implementing a telematics system for Board owned vehicles. Management staff has met with another GTA school Board that has recently awarded a contract to a vehicle telematics company. Management staff is in the process of developing policy and procedural guidelines for a telematics program, and will meet with the union in the fall to review and consult regarding implementation of the program. Management staff has completed the procurement process for a Fleet Management services, through a shared services agreement with Government of Ontario Services. The Fleet Management program contains a Driver Risk assessment program - Management staff is reviewing the costs associated with adding this service to the fleet management package. As well, further consultation with the union would be required to initiate the Driver Risk Assessment program.	31-Jul-14	Managers of Maintenance (East/West) and Coordinator of Materials Management
5	M	Lack of a documented process to respond to complaints and concerns related to repair and maintenance activities.	We recommend the following: · Management should formalize the process to handle complaints and concerns related to repair and maintenance activities. This should include a documented process that defines the expected response time frame for any received complaints. · Management should provide schools with guidelines regarding the mechanism of sending complaints. For example, guidelines may include instructions for a school to open a work order notification for any unsatisfactory services. Such instructions could be included in existing communication that goes out to the schools e.g. brochures, training documentation, email/intranet bulletins etc.	Schools are able to requests repairs, make complaints or request alterations through SAP. Work notifications when received in the maintenance department are prioritized according to the nature of the work. Priority 4 and 5's indicate an urgent or immediate response is required. School custodial and administration staff have received training as to how to send in a work order notification (request) in SAP and can view the notifications listed for their respective school. Custodial staff receives refresher training once a year during March break training, on how to place an SAP work notification. Custodial staff may also phone the Communication Centre (one located in the east and one in the west), to place a request with a Comm. Centre staff person. Renewal requests or work deemed to be Renewal (too large in scope or budget, requires a consultant and/or a building permit) can be identified and re-directed from Maintenance to Renewal in SAP. Management staff is also re-instating an on-line guideline to assist school administration and custodial staff to place SAP notifications and will include information regarding timeline and process based on the priority ranking.	27-Jun-13	Senior Coordinators, Operations & Maintenance (East/West)

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				ORIGINAL ENGAGEMENT			
#	Rating (H,M,L)	Finding Title	Recommendation	Management Action Plan	Target Date	Position Responsible
6	M	Lack of a formal process to review and update repair and maintenance procedures.	We understand that at the Board level, a new process was implemented last year to review all policies and that there are plans to also establish a regular policy review cycle. We recommend that all procedures pertaining to the Facilities department be reviewed against a review timeline that would be similar to the one that will be established at the Board level for policy reviews. Procedures should be reviewed, irrespective of whether there have been changes to the process or not. This will provide TCDSB the opportunity to confirm that the procedures in place are not outdated and are consistent with current practices or new legislation.	TCDSB Management has developed an overall framework and process for Policy and Operational Procedures review over the next two years. Policies and Operational Procedures have been categorized according to the appropriate Standing Committee (see attached list in appendix 1) at which they would be reviewed and prioritized according to their impact and need to be compliant with regulations and statutes of the Education Act or other relevant legislation. Internally, a new Operational Procedure to initiate repairs and maintenance jobs was established with introduction of an integrated Enterprise-wide Financial System (SAP) by TCDSB in 2000. Facilities Department staff executes and document all maintenance activities through SAP in compliance with the Board's Purchasing Policy. Management will continue to review Operational Procedures in order to ensure compliance with legislation and codes enforced by external government agencies. In particular, the Fire Emergency Operational Procedures document is created when a building is built and changes only when there is physical changes to the building such as re-configuration of interior space. Furthermore, the Fire Emergency Policy is determined by the Municipal Fire Department and can only be changed by the same Fire Department. Review of such Operational Procedure documents will continue to be reviewed and updated as prescribed by TCDSB's established Policy and Operational Procedure Review Framework.	30-Jun-14	Superintendent of Facilities Services
7	M	Lack of a formal performance appraisal process.	It is our understanding that the accountability for the implementation of this finding lies with the Human Resources Department. We recommend that TCDSB consider establishing a formal appraisal process for its facility staff. We understand that such a process, may not be implemented immediately and as such, we would recommend that Facilities & Maintenance management implement an interim process that is more formalized to document staff performance and identify gaps and remediation steps. This could include documenting the meeting held to discuss performance, and follow-up actions such as recommendation for training	Management will investigate the feasibility of developing and implementing performance measurement policies, operational procedures, programs and training. The implementation deadline is to be determined. Management recognizes performance measurement as a best practice.	TBD	TBD
8	L	No documented procedures related to vehicle accidents.	We understand that management has developed a Board vehicle procedure manual, which includes a section on drivers' safety, as part of the new GPS system implementation. As such, we recommend the following: · The Board should finalize the vehicle procedure manual including the safety procedures. · The Board should communicate the vehicle procedure manual to all Facilities drivers. In addition, the Board should consider obtaining confirmation (e.g. sign-off) from the drivers that they have read and understood the vehicle procedure manual and are aware of their overall responsibility and how they should respond in the event of an accident.	Management are in the process of implementing a Fleet Management service plan, which will provide a history and documentation of repairs for Board-owned vehicles. Please refer to Management Comments provided in Section 4.	31-Jul-14	Managers of Maintenance (East/West)

Status of Audit Findings
Report Name: Repairs & Maintenance
Report Date: June 2013
Follow-up: July 2018
Issued By: PwC (original report) / RIAT (follo

#	Rating (H,M,L)	Finding Title	Status of Recommendation	Follow Up Recommendation	Management Response and Action Plan	Person Responsible	Timing	Update Required	Current Status of Finding	Comments	Status for Report
					FOLLOW-UP				**STATUS UPDATE**		**RIAT COMMENTS**
1	H·	No evidence that repair and maintenance work orders are consistently completed in accordance with the established priority timelines.	Closed [RIAT validated]	N/A	N/A	N/A	N/A	No	Closed		Closed - RIAT Validation
2	M·	Delegation of authority for authorizing work orders in the system is not consistently documented.	Closed [RIAT validated]	N/A	N/A	N/A	N/A	No	Closed		Closed - RIAT Validation
3	M·	No process to monitor trade licences required by maintenance staff.	Closed [RIAT validated]	N/A	N/A	N/A	N/A	No	Closed		Closed - RIAT Validation

Status of Audit Findings
Report Name: Repairs & Maintenance
Report Date: June 2013
Follow-up: July 2018
Issued By: PwC (original report) / RIAT (follo

#	Rating (H,M,L)	Finding Title	Status of Recommendation	Follow Up Recommendation	Management Response and Action Plan	Person Responsible	Timing	Update Required	Current Status of Finding	Comments	Status for Report
					FOLLOW-UP				**STATUS UPDATE**		**RIAT COMMENTS**
4	M	No tracking of vehicles used by maintenance staff.	Closed [RIAT validated]	N/A	N/A	N/A	N/A	No	Closed		Closed - RIAT Validation
5	M	Lack of a documented process to respond to complaints and concerns related to repair and maintenance activities.	Open [RIAT validated]	Status: Implementation in progress	Management is currently working on creating a system of sending complaints for any unsatisfactory completed work orders and being able to track all the action taken to address these complaints. This system will be communicated to the schools with clear instructions on how to use it. We expect to complete this system including the trial period by March 2019.	Not Specified	31-Mar-19	Yes	Closed	The Environmental Support Services Maintenance group has implemented a configured SAP feature which triggers an automatic message when closing the work order. This process provides a prompt to the Maintenance staff and allows an opportunity to send a message to the Head Caretaker and Principal as to the status of the work order. This gives the client the opportunity to inquire further with respect to the repair or ask any questions and inquires as to an estimated completion of the work.	Closed - Management Assertion

Status of Audit Findings
Report Name: Repairs & Maintenance
Report Date: June 2013
Follow-up: July 2018
Issued By: PwC (original report) / RIAT (follo

#	Rating (H,M,L)	Finding Title	Status of Recommendation	FOLLOW-UP				STATUS UPDATE			RIAT COMMENTS
				Follow Up Recommendation	Management Response and Action Plan	Person Responsible	Timing	Update Required	Current Status of Finding	Comments	Status for Report
6	M	Lack of a formal process to review and update repair and maintenance procedures.	Closed [RIAT validated]	N/A	N/A	N/A	N/A	No	Closed		Closed - RIAT Validation
7	M	Lack of a formal performance appraisal process.	Open [RIAT validated]	In progress	Human Resources is currently in the process of building a Business Leaders Performance Model, expected to be implemented by February 2019. Through the development of system goals, area targets and personal goal setting factors with the Business Leaders, this process will drive the required discussions with our union partners for developing similar performance systems across our unionized employee groups. Human Resources is currently in the process of sourcing an e-Recruitment, On-Boarding and Performance Management software to support these three (3) key HR emerging initiatives. In the interim, we are identifying promising practices in other boards relating to this issue and we plan on meeting with union Executives before June 30, 2019 to plan the cascading of the appraisal process to other groups.	Not Specified	30-Jun-19	Yes	Open	Remains in progress	In Progress
8	L	No documented procedures related to vehicle accidents.	Closed [RIAT validated]	N/A	N/A	N/A	N/A	No	Closed		Closed - RIAT Validation

Status of Audit Findings
Report Name: Broader Public Sector Procurement and Expense Compliance Review
Report Date: June 2014
Follow-up? No
Issued By: RIAT

			ORIGINAL ENGAGEMENT				STATUS UPDATE			RIAT COMMENTS
#	Rating (H,M,L)	Finding Title	Recommendation	Management Action Plan	Target Date	Person Responsible	Update Required	Current Status of Finding	Comments	Status for Report
1	L	The Supply Chain Code of Ethics ("Code") is not included in the board policy and procedure documents.	Management should review and update the board's Purchasing Policy FP.01 and the Purchasing Procedure Manual to include the necessary changes listed in the BPS Supply Chain Code of Ethics.	Management comments: TCDSB possesses a Board approved Supply Chain Code of Ethics which is embedded in the TCDSB's Purchasing Policy. The Code requires updating to include the elements as required in the Directive.

Management action plan: The revised Purchasing Policy will incorporate the Procurement Directive's Code of Ethics language and will be brought to the Governance Committee in September for final approval by the Regular Board in October 2014 | 1-Oct-14 | M. Farrell | Yes | Closed | The Purchasing Policy (last updated June 2019) inclusive of a Purchasing Procedures Manual was updated in March 2019. | Closed - Management Assertion |
| 2 | M | Sample based testing identified two instances for which an open and competitive procurement was not performed. | Management should continue with their efforts to implement a process to ensure services from external agencies to support students in schools are competitively procured. As part of the competitive process management should ensure that, • Agreements for services include cost and resource requirements for the term of agreement, and • Purchase orders are issued based on the amounts in the service agreements. | Management comments: Materials Management identified this compliance issue previously and engaged Special Services staff to participate in and complete an RFP process to ensure compliance.

Management action plan: A competitive RFP process was completed in May 2014. | 1-May-14 | M. Farrell | Yes | Closed | The Purchasing Policy (last updated June 2019) inclusive of a Purchasing Procedures Manual was updated in March 2019. | Closed - Management Assertion |
| 3 | L | Evidence of bid postings on the electronic tendering system was not maintained. | Management should continue with the implementation of the new process to post all competitive procurement bids on Biddingo. The Purchasing Procedure Manual should be updated to reflect the use of Biddingo for postings of bids. In addition, management should assign the responsibility to purchasing staff to maintain evidence of bid postings in the procurement records | Management comments: Open competitive procurements are currently posted on an electronic tendering system. e Procurements to pre-qualified bidders are issued by invitation only. All are approved by the appropriate authority.

Management action plan: As a result of this review, awards for both open and pre-qualified procurements are being posted in Biddingo. The Purchasing Procedures Manual will be updated to reflect this practice. | 1-Jun-14 | M. Farrell | Yes | Closed | The Purchasing Procedures Manual was updated in March, 2019. In addition the Board now utilizes Bids&Tenders as an electronic posting/receiving tool. | Closed - Management Assertion |
| 4 | L | The Board's Purchasing Procedure Manual does not reference a supplier non-discrimination requirement. | The board's Purchasing Procedure Manual should be updated to include a statement indicating that discrimination and preferential treatment must not occur when awarding a contract to a supplier. | Management comments: The TCDSB's current Code of Ethics' Code of conduct makes reference to "No member shall knowingly participate in acts of discrimination or harassment towards any person that he or she has business relations with", For greater clarity, the Procedure Manual will include the directive's language with respect to discrimination or preference in procurement

Management action plan: Materials Management will revise the Purchasing Procedure Manual to prohibit any form of discrimination and preferential treatment of suppliers/vendors | 1-Aug-14 | M. Farrell | Yes | Closed | The Purchasing Policy (last updated June 2019) inclusive of a Purchasing Procedures Manual was updated in March 2019. | Closed - Management Assertion |

Report Name: Broader Public Sector Procurement and Expense Compliance Review
Report Date: June 2014
Follow-up? No
Issued By: RIAT

			ORIGINAL ENGAGEMENT				STATUS UPDATE			RIAT COMMENTS
#	Rating (H,M,L)	Finding Title	Recommendation	Management Action Plan	Target Date	Person Responsible	Update Required	Current Status of Finding	Comments	Status for Report
5	L	Construction contracts executed without signatures and authentication seal.	Management should review and approve construction contract agreements/documents prior to execution to ensure they are complete, signed off and meet the required contract documentation criteria. Appropriately signed copies should be retained in the procurement files.	Management comments: There are certain projects with very tight timelines in order to meet critical school opening deadlines (September); as a result, there may be a lag in having all project documents completed and signed off by Board authorities and contractors (CCDC 2 contracts require signatures of both). Management action plan: Develop a key project document checklist, for each capital project maintained in each project folder. Staff will refer to the checklist, to both note the required documents and when documents are completed/signed. This information will be further incorporated into the project schedule, under project documentation completion.	1-Aug-14	M. Puccetti	Yes	Closed	Document checklist is part of overall project schedule checklist that has been created; preparation and execution of construction contracts has generally been carried out in a timely manner; Architects are requested to prepare consultant contracts for Capital projects (OAA Document 600)	Closed - Management Assertion
6	L	Purchase orders not issued before start of work	Management should ensure that a purchase order based on bid/quote terms is in place prior to commencement of work or the delivery of goods and/or services. In addition, management should communicate the requirement and accountability/responsibility to issue a purchase order prior to obtaining goods and services.	Management comments: The Purchasing Policy and Procedures require that a Purchase Order is generated prior to a vendor/supplier being engaged to deliver the purchase order for supplies. Purchase Orders after the fact should be an exception. Management action plan: Materials Management monitors the financial system on a monthly basis for any Purchase Orders created after the invoice date and take corrective action as necessary.	1-Aug-14	M. Farrell	Yes	Closed	As stated, any purchase order received after the invoice date is monitored and corrective action is taken as necessary.	Closed - Management Assertion
7	L	Lack of evidence of award notification posting.	The board's Purchasing Procedure Manual should be updated to include the process of posting award notifications in the same manner as procurement documents for all advertised bids greater than $100,000. Purchasing management should assign the responsibilities to post contract award notifications and perform periodic reviews to ensure notifications are posted (e.g., on the Biddingo website) in a timely manner.	Management comments: Open competitive procurements are currently posted on an electronic tendering system. E Procurements to pre-qualified bidders are issued by invitation only. All are approved by the appropriate authority. Management action plan: As a result of this review, awards for both open and pre-qualified procurements are being posted in Biddingo. The Purchasing Procedures Manual will be updated to reflect this practice.	1-Jun-14	M. Farrell	Yes	Closed	Awards are typically electronically processed via Bids&Tenders. However, OECM is utilized there is no electronic process and 'award' letters are sent out via e/mail.	Closed - Management Assertion
8	L	Property rental agreements not listed as an exemption from competitive procurement.	Management should update the list of exemptions in the Purchasing Procedure Manual to include contracts for property rental. In addition, management should perform periodic reviews of non-competitive procurement spending (e.g., purchases which did not result in a purchase order being generated) to ensure these purchases are aligned with the exemptions listed in the Purchasing Procedure Manual.	Management comments: Property rentals are unique and do not lend themselves to a competitive procurement process. Management action plan: Purchasing Procedures Manual will be updated with required exemptions including Property Rentals.	1-Aug-14	M. Farrell	Yes	Closed	The Purchasing Policy (last updated June 2019) inclusive of a Purchasing Procedures Manual was updated in March 2019.	Closed - Management Assertion

Status of Audit Findings

Report Name: Broader Public Sector Procurement and Expense Compliance Review
Report Date: June 2014
Follow-up? No
Issued By: RIAT

			ORIGINAL ENGAGEMENT				STATUS UPDATE			RIAT COMMENTS
#	Rating (H,M,L)	Finding Title	Recommendation	Management Action Plan	Target Date	Person Responsible	Update Required	Current Status of Finding	Comments	Status for Report
9	M	The Board's Purchasing Procedure Manual does not reference a supplier performance management requirement.	Management should develop and implement a formal procedure for supplier performance management. As part of the procedure, management should identify the roles, responsibilities and accountabilities of employees involved in the supplier performance management process. In addition, management should continue to develop and formalize the existing practice for vendor performance management (i.e. Facilities Services) and implement the formal process across all school board functions.	Management comments: For goods and services, the approach to conduct supplier/vendor performance management is carried out on an exception-based approach. For pre-qualified Facilities vendors, the procedures manual contains a provision for contractor evaluations which is currently being updated. Management action plan: Materials Management staff will consult other District School Boards to establish best practices and implement an appropriate system of vendor performance management	1-Dec-14	M. Farrell & M. Puccetti	Yes	Closed	The Purchasing Policy (last updated June 2019) inclusive of a Purchasing Procedures Manual was updated in March 2019.	Closed - Management Assertion
10	M	Duplication in recording and payment of vendor invoice.	Management should ensure that appropriate controls in the "SAP" system are in place and operating to prevent input and payment of duplicate vendor invoices. In addition, an analysis of all vendor payments recorded in the "SAP" system should be performed to determine if additional vendor invoices were paid in duplicate and action taken to recover overpayments.	Management comments: The original configuration of the SAP Financial system prevented the processing of duplicate invoices with the same invoice number. This feature was inadvertently disabled during a subsequent system upgrade. Management action plan: Finance and Materials Management staff engaged SAP Support staff to prevent duplicate invoice payments. In addition, Finance staff will review 2 years of historical invoice data in order to measure the incidence of duplicate invoices paid. Business Services staff have updated the existing SAP Software Upgrade Process in order to ensure this risk is tested and verified on an annual basis.	1-Jun-14	D. Bilenduke	Yes	Closed	All action plan comments implemented and are current. An Indirect Tax audit by Deloitte in 2017 included a duplicate invoice search that went back 5 years.	Closed - Management Assertion
11	M	Payment for a contract change order processed for higher amount than the approved invoice and without a purchase order.	Management should review supporting documents prior to processing to ensure the payment does not exceed the approved invoice amount. In addition, as part of the payments review management should ensure that costs for construction projects are recorded and reconciled to the original contract documents and the purchase order.	Management comments: Cheque requisitions should not be used for any aspect of Construction projects. Cheque requisitions should be approved by the issuer and amounts on the requisition and the invoice should be identical. Management action plan: The use of Purchase orders will be reinforced and the use of cheque requisitions for construction projects will be discontinued. Exceptions will be clearly defined in the Purchasing Procedures Manual.	1-Aug-14	M. Farrell & D. Bilenduke	Yes	Closed	The Purchasing Policy (last updated June 2019) inclusive of a Purchasing Procedures Manual was updated in March 2019. All Purchase Requisitions are reviewed by the Sr. Manager, Accounting prior to payment as well as the Budget Services staff.	Closed - Management Assertion

Status of Audit Findings

Report Name:	HR Policy and Effectiveness Review
Report Date:	September 2014
Follow-up?	No
Issued By:	Deloitte

	ORIGINAL ENGAGEMENT				STATUS UPDATE			RIAT COMMENTS
#	**Finding Title**	**Recommendation**	**Management Action Plan**	**Target Date**	**Update Required**	**Current Status of Finding**	**Comments**	**Status for Report**
1	Service delivery model & organizational structure	Develop a long-term Talent Management Strategy for non- teaching staff - supported by the creation of the following: - Succession plan to forecast potential departures and identify talent pools for replacement + formalized knowledge management; - Professional Development and Performance Management of administrative staff; and - Retention Strategy for key staff across all departments to increase engagement and reduce turnover in critical positions.	N/A	1-Sep-16	Yes	Open	The development of talent management strategy is ongoing. A performance management framework has been put in place for business staff.	In Progress
2	HR Policy Recruitment, hiring & promotion	Formalize Recruitment & Hiring Processes – to increase overall transparency and effectiveness in providing feedback: - Update supporting procedures to ensure that key steps, roles and responsibilities are accounted for (e.g. resolving hiring panel tie); - Ensure that mandatory policies are operationalized (e.g. minimum of two panelists for every interview or interview is rescheduled); and - Provide panelist training and refine interview tools to improve the effectiveness and efficiency of providing candidates with feedback.	N/A	15-Nov-16	Yes	Closed	Hiring processes and selection tools, including interviews, have been developed and put in place to ensure fairness and transparency. These processes are consistent with the Board's Fair Practices in Hiring and Promotion Policy.	Closed - Management Assertion
3	Succession planning and knowledge management	Leverage existing technology to help manage HR workload and improve customer service: - Post the number of open positions in addition to the status of the hiring processes daily (e.g. all interview candidates selected); - Tune the phone cue to direct/inform high volumes of inquiries from potential employee candidates during specific time periods; - Develop service level agreements between HR and other departments to establish standards of service to HR clients; and - Consider additional HRIS technology for automatically scanning and selecting top candidates from CV's submitted online.	N/A	1-Jun-16	Yes	Open	In progress.	In Progress

Status of Audit Findings
Report Name: HR Policy and Effectiveness Review
Report Date: September 2014
Follow-up?   No
Issued By: Deloitte

		ORIGINAL ENGAGEMENT			STATUS UPDATE			RIAT COMMENTS
#	Finding Title	Recommendation	Management Action Plan	Target Date	Update Required	Current Status of Finding	Comments	Status for Report
4	Employee records	Strengthen Employee Records Management – by reducing duplication of effort and improving oversight capabilities: - Reduce duplication of records handling by eliminating the rescanning of printed candidate documents that were originally electronic; - Increase HR Department access to school-based interview files / notes by mandating electronic copies sent to HR; and - Document and audit all deletions from employee files (noting time, reason, approval, etc.)	N/A	1-Oct-15	Yes	Open	In progress.	In Progress
5	Attendance support	Initiate preparations to implement Attendance Support – to understand baseline and speed-up eventual implementation: - Add a staff member dedicated to Attendance Support within Benefits (planning, reporting, supporting internal adjudication, etc.); - Develop a draft Attendance Support Strategy with supporting draft policy and procedures; - Review and refine attendance related data capture and reporting to align with a long term strategy; and - Closely and formally monitor peer boards who are implementing in order to leverage tools, lessons learned, etc.	N/A	1-Jun-16	Yes	Open	Sr staff engaged in Attendance Support Program (ASP) planning after reporting to Director's Council during the 2020-2021 academic year. Planning has been placed on hold given COVID operational priorities and union collective bargaining. Pursuing an ASP remains a TCDSB priority and SBCI will be a consultant/partner in this process.	On Hold

Status of Audit Findings
Report Name: Budget Development and Management
Report Date: May 2015
Followed-up: January 2016 / March 2016 / March 2018
Issued By: RIAT

ORIGINAL ENGAGEMENT		
Finding Title	**Recommendation**	**Management Action Plan**
1. Documentation of procedures	To support appropriate knowledge transfer and a consistent budget development and ongoing monitoring process, Management should formally document budget development and monitoring procedures. In addition, these procedures should be communicated and made available to all impacted employees (i.e., via an intranet portal) for easy reference.	Business Services staff will formally document and communicate the processes and procedures associated with Budget Services in the next six to twelve months timeframe. Augmenting and expanding the existing Financial Management Policy and Operational Procedures to encompass budget planning, development, monitoring and controlling operations will effectively mitigate the risk associated with staff turnover and succession planning.
2. Opportunity for further coordination between the Cost Centre and Finance departments	Greater collaboration between Cost Centre Management and Finance is recommended, both on an ongoing basis as well as part of the budget development process. This will allow for a better understanding of funding formulas, sources of funding, potential savings, and will also inform longer term planning. In addition, it will ensure that emerging risks to the budget have been identified.	Business Services staffs have initiated quarterly budget planning and coordination meetings with School Operations & Maintenance, Special Education Services, Curriculum & Accountability, Safe Schools, 21st Century Learning and Academic Information Communication Technology areas of responsibility in order to identify areas of risk, explore opportunities for funding collaboration and identify areas of risk exposure which create budget pressures. The frequency of meetings will be increased to a bi- monthly basis and budget reporting will be conducted and communicated on a monthly basis in order to facilitate a greater degree of variance and risk analysis across all functional areas. In addition, the meetings will facilitate a sign-off and verification process during the budget planning and monitoring activities.

Status of Audit Findings
Report Name: Budget Development and Management
Report Date: May 2015
Followed-up: January 2016 / March 2016 / March 2018
Issued By: RIAT

ORIGINAL ENGAGEMENT		
Finding Title	**Recommendation**	**Management Action Plan**
3. Structural Deficit	A comprehensive analysis of the Cost Centre needs and budget is recommended in order to form a longer term plan to address structural deficits and to address service delivery impacts. This should be a collaborative effort between Senior Management from each Cost Centre and include Finance, HR and others as appropriate. Although Cost Centre needs are constantly changing, part of this exercise can include understanding the following: • The "ideal state" and the resources required to provide optimal service delivery; • The minimum service delivery that can be provided based on Ministry funding; and • The "current state", which currently lies somewhere between those points. Linkages should be made to a formalized risk analysis, especially in the event that current sources of additional funding become at risk in the future. Accordingly, contingency plans should be in place for alternative service delivery with communication to key stakeholders.	TCDSB Senior Staff have engaged Deloitte to work together with TCDSB and the Ministry of Education to prepare a Multi-Year Recovery Plan (MYRP) which will include strategies and opportunities to eliminate the accumulated deficit over a period of three years and address some of the inherent structural deficits. Business Services staff will continue to conduct risk assessments of grant entitlements and cost pressures in order to deliver the services required by all students.

Status of Audit Findings
Report Name: Budget Development and Management
Report Date: May 2015
Followed-up: January 2016 / March 2016 / March 2018
Issued By: RIAT

ORIGINAL ENGAGEMENT		
Finding Title	**Recommendation**	**Management Action Plan**
4. Financial reporting	Management should ensure that all financial reporting is reviewed and approved, prior to submission to the Board. Review should ensure reporting is consistent, detailed and accurately supported (including detailed root cause analysis for all significant variances). Evidence of review should be retained (i.e., sign-off). While we assessed the controls surrounding the budget development, monitoring and management reporting processes, our assessment did not include verifying the accuracy and completeness of financial statement information, including those used to prepare the budget. That said, Management should explore the possibility of formalizing a formal certification of internal controls over financial reporting. This would include, ensuring that the financial report review and approval process is in line with the substance and intent of practices in both the public and private sector. As an example in the private sector, the Canadian CEO/CFO certification requirements (Ontario Securities Commission 52-109). A formal certification process would provide additional assurance to the Board that internal controls over financial reporting are in place and operating effectively. This increased accountability also supports strengthened governance and oversight of the financial reporting process.	Formal sign-off of financial and internal controls for completeness, accuracy and effectiveness occurs formally both during the interim and year-end audits as verified by TCDSB's external auditors. Ongoing certification on a monthly basis can occur as part of the internal process to verify and validate financial reporting when financial status reports are reviewed by Education Council and Director's Council. In addition, there is a newly established process to sign-off reports before any report is added to a Board and/or Committee agenda.

Status of Audit Findings
Report Name: Budget Development and Management
Report Date: May 2015
Followed-up: January 2016 / March 2016 / March 2018
Issued By: RIAT

ORIGINAL ENGAGEMENT		
Finding Title	**Recommendation**	**Management Action Plan**
5. The need for identification of risks to achieving financial budget objectives	Formally identifying and documenting key operational and financial risks to achieving budget objectives is an important first step in establishing a risk management process. This will also assist with longer term planning and decisions related to resource allocation and service delivery. As an example, the following would be included as part of a risk assessment process: • Identification of all risks (i.e. create a risk universe) to achieving budget objectives, across all cost centres (i.e. the price of fuel may increase, impacting the transportation department's ability to operate within its allocated budget). • For each risk, document the current risk environment (i.e. what factors impact this risk, what controls are currently in place) • Quantify each risk by both likelihood and impact to the objectives, should the risk become realised. • Quantify how effective are the current controls in place This information can then be used not only to monitor risks moving forward, but to determine, where controls are over/under effective, and what mitigation strategies should be implemented.	TCDSB Business Services staff will continue to work collaboratively with the Regional Internal Audit Team (RIAT) to monitor and update TCDSB's Risk Universe. This Risk Universe will continue to measure inherent and residual risks associated with the major areas of concern for TCDSB in its Risk Universe. This risk universe will guide and inform future audits into areas designated as medium to high risk. In addition to reporting to the Audit Committee, the process to monitor TCDSB's risk universe more frequently for legal, operational and financial risks occurs on a weekly basis at Director's Council as a standing agenda item.

Status of Audit Findings
Report Name: Budget Developn
Report Date: May 2015
Followed-up: January 2016 / Ma
Issued By: RIAT

Finding Title	Status of Recommendation	FOLLOW-UP Status Update	Timing	STATUS UPDATE Update Required	Current Status of Finding	Comments	RIAT COMMENTS Status for Report
1. Documentation of procedures	Closed [RIAT validated]	N/A	N/A	No	Closed		Closed - RIAT Validation
2. Opportunity for further coordination between the Cost Centre and Finance departments	Closed [RIAT validated]	N/A	N/A	No	Closed		Closed - RIAT Validation

Status of Audit Findings
Report Name: Budget Developn
Report Date: May 2015
Followed-up: January 2016 / Ma
Issued By: RIAT

Finding Title	Status of Recommendation	FOLLOW-UP			STATUS UPDATE			RIAT COMMENTS
		Status Update	Timing	Update Required	Current Status of Finding	Comments		Status for Report
3. Structural Deficit	Closed [RIAT validated]	N/A	N/A	No	Closed			Closed - RIAT Validation

Status of Audit Findings
Report Name: Budget Developn
Report Date: May 2015
Followed-up: January 2016 / Ma
Issued By: RIAT

Finding Title	Status of Recommendation	FOLLOW-UP			STATUS UPDATE			RIAT COMMENTS
		Status Update	Timing	Update Required	Current Status of Finding	Comments		Status for Report
4. Financial reporting	Open [RIAT validated]	Partially Implemented: Detailed Variance Analysis In 2015, Budget Services and Computer Services began to develop a detailed monthly variance analysis report to support the Financial Update reports. The objective of this new reporting mechanism is to provide a detailed variance analysis of budget to actual, taking into account historical seasonal spending trends. Specifically, utilizing pre–defined queries, the report will extract current and historical financial data (budget and actual) from SAP. The queries are being released in stages, with each stage providing more refinement across various cost centres. The variance analysis tool, intended to allow for line by line variance analysis, is still in development. The tool is scheduled to be implemented by the end of 2018. It will allow the department to monitor the budget in greater detail. It will compare current data to historical data using a 5 year average of spends.	31-Dec-18	Yes	Closed	These reports are ready for production and we have been using them already for analytical purposes.		Closed - Management Assertion

Status of Audit Findings
Report Name: Budget Developn
Report Date: May 2015
Followed-up: January 2016 / Ma
Issued By: RIAT

Finding Title	Status of Recommendation	FOLLOW-UP			STATUS UPDATE			RIAT COMMENTS
		Status Update	Timing	Update Required	Current Status of Finding	Comments		Status for Report
5. The need for identification of risks to achieving financial budget objectives	Closed [RIAT validated]	N/A	N/A	No	Closed			Closed - RIAT Validation

Report Name:	Special Education Audit
Report Date:	June 2015
Follow-up?	No
Issued By:	RIAT

	ORIGINAL ENGAGEMENT			STATUS UPDATE			RIAT COMMENTS
#	**Finding Title**	**Recommendation**	**Management Action Plan**	**Update Required**	**Current Status of Finding**	**Comments**	**Status for Report**
A1	The need for identification of operational and financial objectives and formalized risk assessments	Formally identifying and documenting key operational and financial risks is an important first step in establishing a risk management process. This will also assist with longer term planning and decisions around resource allocation and service delivery (see Observation #B1). As risks are identified, management should continue to monitor them and identify potential strategies to mitigate the identified risks.	The following operational and financial risks have been identified and documented by special education department staff as a result of its plenary meeting held on April 2, 2015: • Incorrectly identified and placed students resulting in: o Unnecessary/Increases in Teacher ISP Staffing o Additional Case Conferences with SBSLT Staff and Parents o IPRC Appeal Costs, Litigation, Human Rights Tribunal • Poorly created and documented IEPs result in unnecessary resource commitment and use: o Teachers o Education Assistants o CYWs o Contract Support Staff o SEA Equipment (Computer and Furniture)Equipment • Sub-optimal school organization (LSAC and LSSSAC) with respect to students with special education needs resulting in: o Supervision gaps requiring additional support staff o Instructional gaps as per IEPs requiring additional education assistants and/or teachers • Contract constraints which prohibit assigning support staff based on individual student need as outlined in the IEP due to seniority surplus rules results in the over assignment of redundant support staff. • Political process with respect to service level expectations and entitlements • The use of incompatible and/or different databases and files among HR and Special Services resulting in duplication of effort and inefficiencies. • Non-comprehensive Crises Prevention and Intervention in-services and tracking exposing the Board to work refusals, litigation, special education appeals.	Yes	Closed	While it is clearly noted that risks have been identified, Special Services staff continue to follow-up on the monitoring and management of risk. Senior staff participated in the Commit to Kids training during 2019-2020. Communication and facilitation of these issues has been improved, further mitigating risk to student safety and more thorough follow-up. In addition, Business Services staff developed an Enterprise Risk Management database to document system-wide risks and develop risk mitigation strategies for review and consideration by the Audit Committee.	Closed - Management Assertion

Status of Audit Findings

Report Name: Special Education Audit
Report Date: June 2015
Follow-up? No
Issued By: RIAT

		ORIGINAL ENGAGEMENT		STATUS UPDATE			RIAT COMMENTS
#	Finding Title	Recommendation	Management Action Plan	Update Required	Current Status of Finding	Comments	Status for Report
A2	More formalized reporting from the school level to the board level	Given that schools are largely responsible for managing the delivery of special education programs and services, staffing, and other operational matters, more formalized reporting in these areas should be established so that schools are accountable and senior management is able to maintain appropriate oversight. Management should identify ways in which more formalized reporting can be established, without being too onerous for schools to complete. The focus should be on the two key operational areas – resource allocation and service delivery. This could include IEP trend data, year over year comparisons and commentary, special education staffing utilization etc.	Currently teacher staffing is determined by panel and is based on the number of special education identifications and placements. The Education Act holds school principals responsible for the timely development and delivery of the Individual Education Plans (IEP) for the students in their schools. Special education staff will deliver annual, mandatory principal in-services around the development and delivery of the IEP and its best practices as they evolve and are communicated by the Ministry of Education, Special Education Branch. As the curriculum leader in the school, principals would be expected to train and retrain teachers with respect to the IEP as needed. Special education staff will ensure that principals collect and deliver local teacher special education timetables to their field supervisory officer and the TSU/TECT Joint Special Education Committees twice per year by October 31st and March 31st respectively. The Support Staff for Student Needs (SSSN) database be recreated annually and audited on a spot-check basis throughout the year for currency and accuracy.	Yes	Closed	Special Education staff provide workshops for elementary and secondary administrators. Most recent workshops were held on February 17 2021 for Secondary administrators and February 24 2021 for elementary administrators. Webinars have been made available to elementary and secondary teachers, as have small group and individual support sessions as requested. Scheduled meetings with the Joint Special Education committees allow for exchange of information throughout the school year. TECT has access to the Form 100 to review special education timetables. TSU is provided allocations of special education staff to all secondary schools. Through the SSN data base, two data captures are completed in the spring and an additional capture is completed in the fall. Data is collected on the number of students with IEP across the system organized by their placements and identification, through the research department. This information is reviewed annually and shared with SEAC. An annual staffing review of all special education allocations takes place.	Closed - Management Assertion
B1	Special education spending in excess of ministry funding allocations	A comprehensive analysis of the special education needs and budget is recommended in order to form a longer term plan to address funding shortfalls and service delivery impacts. This should be a collaborative effort between senior management from multiple departments, including Finance, Special Services, HR and others as appropriate. Although special service needs are constantly changing based on student demand and exceptionality, an important first step is to use trend data to form longer term planning decisions. Part of this exercise can include understanding the "ideal state" and the resources required to provide optimal service delivery, the minimum service delivery that can be provided based on Ministry funding, and the "current state", which currently lies somewhere between those points. Linkages should be made to a formalized risk analysis (see Observation #A1 above), especially in the event that current sources of additional funding become at risk in the future. Accordingly, contingency plans should be in place for alternative service delivery with communication to key stakeholders.	Special education staff will investigate the formal establishment of a system level Special Education Allocation and Planning Staff Committee (SEAP) to oversee the allocation of Special Education Support Staff, i.e. Educational Assistants and Child & Youth Workers, with the following membership: • Superintendent of Special Education • Superintendent of Finance • Superintendent of Human Resources • Superintendents of Schools (2) • Elementary School Principals (2) • Secondary School Principals (2) • Associate Director of Academic Affairs	Yes	Closed	Superintendent in the finance department provides budget for support staff. Superintendent of Human Resources oversees contractual obligations. SSSN data base allows for principal input into the process. Special Services Chiefs under the supervision of the Superintendent of Special Services, review the data captured through the SSSN. Recommendations are then made and shared with the field superintendents. Field superintendents then share the information with the principals for feedback. Committee has not been formed to date but all noted are involved in the process.	Closed - Management Assertion

Status of Audit Findings

Report Name: Special Education Audit
Report Date: June 2015
Follow-up? No
Issued By: RIAT

		ORIGINAL ENGAGEMENT			STATUS UPDATE		RIAT COMMENTS
#	Finding Title	Recommendation	Management Action Plan	Update Required	Current Status of Finding	Comments	Status for Report
B2	Greater insight into the budget and planning process	Greater collaboration between Special Services management and Finance is recommended, both on an ongoing basis as well and as part of the annual budgeting process. This will allow for a better understanding of funding formulas, sources of funding and potential savings and will inform longer term planning.	Special Education and Business Services staff will work collaboratively to ensure that budget lines related to special education revenue and expenses be created, monitored and controlled jointly and that each line accurately describes specific operational expenses. Special Education and Business Services staff will ensure that any in-year line item changes be co-signed by the superintendents of special education and finance. Business Services staff will investigate the provision of more detailed reporting on a quarterly basis for the functional areas contained within Special Education Programs & Services.	Yes	Closed	Detailed reporting for Special Education Programs and Services occurs as part of the Program Budget Update to Education Council. Distributions and reallocations within the Special Education program envelope is authorized by the Superintendent of Special Services and the Comptroller of Business Services & Finance.	Closed - Management Assertion
B3	EA Staffing Allocation Model	Although the SSSN database is a good starting point, Management should explore other ways in which demand can be more accurately measured in order to ensure equitable allocation of EA resources to schools that require the most support. Additionally, it is recommended that the SSSN database records are reset annually in order to reflect current needs.	Special Education staff plan to continue to base September support staff allocations on the Support Staff for Student Needs (SSSN) database and to reset it yearly, audit at mid-year and incorporate into the Form 100/106/107 staffing reporting and control process. Special Education staff will continue to ensure that principals, special education teachers and special education department heads are in-serviced on the SSSN database's continuous improvement and completion each year.	Yes	Closed	SSSN database is used and updated during the spring and fall, with a memo and a training slide presentation provided to Special Services staff. Student needs are identified by three sub-categories of highest, moderate and lowest. Efforts are made to assign the finite number of staff to support the highest needs in the system as captured in the SIP process as well as the SSN data capture process.	Closed - Management Assertion
B4	Staff Resource Allocation (SET's and EA's)	It is recommended that Special Services department communicate guidance to schools for the format of efficient allocation and scheduling of SET's and EA's time and determine whether a consistent scheduling process could be established with the goal of increasing EA utilization and effectiveness.	Special Education staff will develop and deliver in-services for special education teachers and educational assistants around best practices as they relate to school organization, the need for flexible scheduling and the nature of special education placements. Special Education teacher timetables will be requested from school principals and local staff allocation committees to be delivered to field superintendents for review. Special Education staff will create and maintain a pool of 201 itinerant educational assistants to be maintained by Area Field Superintendents for use throughout the year. Special Education staff recommends that CYW allocations are prioritized as follows: 1. Students with Special Incidence Portions (SIP) 2. Autism, Behaviour, Programs to Assist Social Training (PAST) & Secondary Programs 3. APPLE 4. Safe Schools	Yes	Closed	Scheduled meetings with the Joint Special Education committees allow for exchange of information throughout the school year. TECT has access to the Form 100 to review special education timetables. TSU is provided Special Education staff allocations to all secondary schools. At this time, recruitment of support staff is ongoing to fill specific assignments in schools, and the itinerant model is not being used. There is not a pool of 201 itinerant educational assistants. Prioritization of CYW is consistent with the plan noted.	Closed - Management Assertion

Status of Audit Findings

Report Name:	Special Education Audit
Report Date:	June 2015
Follow-up?	No
Issued By:	RIAT

		ORIGINAL ENGAGEMENT		STATUS UPDATE			RIAT COMMENTS
#	Finding Title	Recommendation	Management Action Plan	Update Required	Current Status of Finding	Comments	Status for Report
C1	Assessment Times and Waitlists	It is recommended that the Chief of Psychology, in conjunction with key stakeholders in Special Services, review the system for tracking and managing referrals and determine the most efficient and optimal frequency for back log reporting and the key data required to help triage and manage referrals in a fair and equitable manner. This could include exploring case management software tools (see section D below).	Special education staff agrees and support the recommendation and will investigate the purchase and/or development in-house of a case management software system and process to be used by all special education departments: • Psychology • Social Work • Speech and Language • Autism Special education staff will prepare a report for Board recommending the need for case- management software. The tool will have both quantitative and qualitative measures and be student focussed. Psychologists will review their referral backlogs with each of their principals in September and January and report student needs to the Chief of Psychology, the Superintendent of Special Education and the Special Education Advisory Committee I Board.	Yes	Open	Special Services is working with the IT department to review the Case Management options that are available through the new SIS project. Special Services staff is informing the Case Management design and has been at vendor presentations to learn more about options available for monitoring. There is active engagement in this work. Psychology staff reviews the list of assessment referrals with Principals in order to prioritize these assessments. SEAC has been updated with information related to pending assessments.	In Progress
C2	Assessment Times and Waitlists	It is our understanding that Psychology staff are required to review their waitlist students with the Principal and SET at the beginning of each school year to prioritize or remove from the list as required. It is recommended that the Chief of Psychology and staff psychologists review their referral lists at least once more during the school year (i.e. midway through the school year) to make a determination as to whether the need for psychological services remain for the student, ensure backlogged referrals are properly prioritized, and an active IEP exists allowing the student access to special education and support services. This would minimize instances where students are no longer in need of an assessment appearing on the list, allow for more accurate backlog reporting which in turn results in better allocation of psychologists during the school year based on caseloads.	See C1 Management Action Plan	Yes	Closed	The Chief of Psychology is monitoring the list of assessment referrals for accuracy, completion and prioritization. Prioritization of cases considers both those that have been waiting longest for assessments and those that have the highest urgency due to safety factors. The list is reviewed regularly with school psychology providers to ensure the list and prioritization is up-to-date.	Closed - Management Assertion

Status of Audit Findings

Report Name:	Special Education Audit
Report Date:	June 2015
Follow-up?	No
Issued By:	RIAT

		ORIGINAL ENGAGEMENT				STATUS UPDATE	RIAT COMMENTS
#	**Finding Title**	**Recommendation**	**Management Action Plan**	**Update Required**	**Current Status of Finding**	**Comments**	**Status for Report**
D.1	The need for enhanced information systems and reporting	- Program Coordinators are notified of escalated issues for resolution through phone calls and emails from schools regarding students with special education needs. These issues and associated correspondence are not logged and past emails regarding the student are relied upon to inform Program Coordinators' discussions with teachers, principals or parents. This makes it difficult to keep track of information regarding the student, both for the school and other support staff; - Student referrals for (psychology and speech and language) services are manually tracked by the area secretary and staff member but are not centrally logged electronically. This makes it difficult to determine current status and levels of demand, manage case loads, and make timely resource allocation decisions. - It was noted that in 2014 a quote was obtained by the psychology and speech pathologist groups from a software vendor for a case management tool to maintain and manage case files. It is our understanding that the Social Work department has a separate case management system already in place.	D.1.1 Special Services management staff will investigate methods for collecting data on issues escalated to them for resolution in order to direct attention to persistent areas of concern on a board-wide basis, allow for performance measurement and enable further organization. D.1.2 Special Services management staff will conduct a thorough analysis of existing information systems to identify information gaps and areas for potential improvement. This includes identifying ways in which current systems can be used to address some of the issues noted above. In addition, depending on the results of the system review, if additional tools are identified as necessary (i.e. case management software), department wide needs should be considered (not just those of individual teams). All requests or needs should be supported by a detailed business case with approval from the Superintendent and others as required.	Yes	Open	Special Services is working with the IT department to review the Case Management options that are available through the new SIS project. Special Services staff is informing the Case Management design and has been at vendor presentations to learn more about the possible options available to support the workflow.	In Progress
D.2	Records management and privacy	It is recommended that the Superintendent of Education, Chief of Psychology and other key stakeholders work collaboratively to investigate options and implement a method for file management and storage that alleviates pressures on resources, space and privacy.	Special education staff will investigate the recommendations in both D.1 and D.2 With respect to file and records management, Special Education staff will investigate and identify an individual to co-ordinate and operationalize the process.	Yes	Open	Region office secretaries file all IPRC documentation and Assessments are filed by the staff completing the assessments. Case Management input will consider this workflow and potential improvements to the filing of documentation in the region offices.	In Progress

Status of Audit Findings
Report Name: Human Resources & Payroll
Report Date: July 2016
Follow-up: December 2019
Issued By: RIAT

The follow-up report was presented at the June 2020 Audit Committee meeting. No further status update required at present, update to be obtained in 2022.

		ORIGINAL ENGAGEMENT			
#	Finding Title	Recommendation	Management Action Plan	Target Date	Person Responsible
A1.1	Changes to employee master file records review process	HR should assess the current review process for employee master file inputs in relation to the risks identified for each type of change. Management should determine the most appropriate level of review that helps support accurate and authorized changes. Efficient use of HR staff resources should also be considered. For example, a 100% review of all changes may not be necessary if the risk of inaccurate or invalid entry is mitigated through other controls. These could include spot audits, review and sign-offs of master file change logs, electronic authorizations, independent review by Payroll of key employee actions etc.	Human Resources (HR) staff has implemented an on-line authorization tool effective May 2016 in order to assist management staff in the review and audit process of HR data entry tasks. This tool which summarizes multiple screens of data into one summary screen also date-stamps the authorized date entry including the user-id of the person authorizing the data entry, and enables report generation for annual review by auditors.	31-Dec-16	Superintendent of Human Resources
A2.1	Employee self service module	Human Resources should develop policy and guidance documentation and formally communicate the banking and address change functionality in ESS to key stakeholders to enable greater use by employees. A target date should be established for the development of a user guide.	In October 2016, Human Resources staff will communicate the implementation of a new feature in the Employee Self Service module to enable TCDSB staff to input their respective demographic changes, i.e. Address, Phone Numbers, Emergency Contacts and Bank changes. A User Guide will be made available to support this initiative in order to create Human Resource staff data input efficiencies.	31-Dec-16	Superintendent of Human Resources

Status of Audit Findings
Report Name: Human Resources & F
Report Date: July 2016
Follow-up: December 2019
Issued By: RIAT

The follow-up report was presented

			FOLLOW-UP ENGAGEMENT				**STATUS UPDATE**			**RIAT COMMENTS**
#	**Finding Title**	**Status of Recommendation**	**Status Update**	**Management Response and Action Plan**	**Person Responsible**	**Timing**	**Update Required**	**Current Status of Finding**	**Comments**	**Status for Report**
A1.1	Changes to employee master file records review process	Complete with additional observations	Additional recommendations: • As noted in the original recommendation, the efficient use of staff time should be considered as there are many manual entries being input and reviewed. Although the process document is a positive step forward, Management should continue reviewing HR workflows and exploring additional process improvements to reduce the amount of staff time spent on manual data entry and review. • HR should continue work to remove the extraneous information in the online authorization tool.	• Management will continue to review workflows. • The Human Resources department will continue to revise the online authorization tool in order to remove extraneous information. • In the coming fiscal years, management will focus on the implementation of the e-recruitment software that will reduce extraneous information through streamlining business workflow processes that will remove duplication of effort in many areas of the employee life cycle processes.	Superintendent of Human Resources	Ongoing	No	Open	Follow-up recently completed. Will look to follow-up on further recommendations in approximately one year.	Open
A2.1	Employee self service module	Complete with additional observations	Additional recommendation: • Since the ESS User Guide and Employee Change Forms were only released/revised in March 2019, more time is needed to assess whether increased communication efforts have resulted in increased usage of ESS by employees (and resulting savings in HR staff time by not having to make these inputs). HR Management should monitor ESS usage for FY2019/20.	• Management will continue to advertise the scope of opportunities available via Employee Self Service on a more regular basis and will request various union partners to also communicate to their members through their various forms of communication. • Management will prepare quarterly statistics on employee ESS usage rates.	Superintendent of Human Resources	Ongoing	No	Open	Follow-up recently completed. Will look to follow-up on further recommendations in approximately one year.	Open

Status of Audit Findings

Report Name:	IT Strategy Review
Report Date:	April 2017
Follow-up?	No
Issued By:	Deloitte

		ORIGINAL ENGAGEMENT				STATUS UPDATE			RIAT COMMENTS
#	**Finding Title**	**Recommendation**	**Management Action Plan**	**Target Date**	**Person Responsible**	**Update Required**	**Current Status of Finding**	**Comments**	**Status for Report**
A	Establish the governance structure	• Establish a federated + distributed governance structure that is best suited to TCDSB ITS given its size, products and services provided, and Future Role of ITS • Establish decision-making authority and accountability through governing committees / councils • In doing this, ITS will be positioned to: oEnable the delivery of unified ITS strategy and roadmap oDrive standardization and consistency of its technology processes oOffer greater potential for skills growth and specialization among ITS staff	N/A	31-Jul-17	Superintendent, ICT	Yes	Closed	The Technology Council was established and now in its second year meeting monthly.	Closed - Management Assertion
B	Introduce a tech representative at the Director's council	• The Tech Representative role will be a part of the Director's council for TCDSB and will be responsible for bringing strategic guidance for all IT planning and decision making purposes • The Tech Representative will be responsible for executing the Board's IT Vision and Strategic Roadmap as well as being an advisor to the Board with regards to IT/technology matters • The role would be cross-functional to act as an advisor and a bridge to different academic and strategic units to ensure a strong uptake of technology as well as to ensure funding and utilization of current solutions	N/A	31-Oct-17	Superintendent, ICT	Yes	Closed	The Chief Information Officer role had been established to lead the ICT Division and also fills the Technical Representative role at Director Council meetings.	Closed - Management Assertion
C	Develop the Project Portfolio Strategy	• Develop the project portfolio strategy based on the ITS strategy and have specific objectives and quantifiable targets for the project portfolio • Develop the value and risk criteria used in the project prioritization process and establish thresholds and constraints	N/A	31-Dec-17	Project Management Office	Yes	Closed	The project portfolio management (PPM) was established including project intake and business case forms that are reviewed and scored and brought forward to the ICT senior leadership team before taking forward to the Technology Council.	Closed - Management Assertion
D	Develop a cloud first strategy	• Develop the tools and methodologies to support the development of a cloud first strategy for new and current solutions, while becoming the single stop shop for all Cloud solutions • The TCDSB needs to look at the cloud as a possible solution to many of its data storage and sharing problems. Utilizing the cloud will be able to solve most of the IT Infrastructure Management issues the board faces	N/A	30-Jun-18	Enterprise architecture	Yes	Other - Please Comment	This item is no longer relevant as a new Information & Technology Strategic Plan was built and approved by the Board in December 2019.	No Longer Relevant
E	Develop an employee resourcing strategy and plan	• Develop an employee resourcing strategy and plan that highlights current and future resource / succession needs to best achieve the Board and ITS goals • Establish the succession planning process that ensures that knowledge and expertise are transferred to others in the organization	N/A	31-Oct-17	Superintendent, ICT Superintendent, HR	Yes	Other - Please Comment	This item is no longer relevant as a new Information & Technology Strategic Plan was built and approved by the Board in December 2019.	No Longer Relevant

Status of Audit Findings

Report Name:	IT Strategy Review
Report Date:	April 2017
Follow-up?	No
Issued By:	Deloitte

		ORIGINAL ENGAGEMENT					STATUS UPDATE			RIAT COMMENTS
#	**Finding Title**	**Recommendation**	**Management Action Plan**	**Target Date**	**Person Responsible**	**Update Required**	**Current Status of Finding**	**Comments**		**Status for Report**
F	Establish an IT project management office (PMO)	• Establish an IT Project Management Office (PMO) that initiate projects, monitor progress, measure performance, and facilitate decision making • Introduce Quality Assurance (QA) and Change Management (CM) capabilities within the Project Management Office to ensure Quality Assurance and Change Management are a core part of any program or project delivery	N/A	31-Oct-17	Superintendent, ICT	Yes	Other - Please Comment	This item is no longer relevant as a new Information & Technology Strategic Plan was built and approved by the Board in December 2019.		No Longer Relevant
G	Establish an enterprise architecture structure	• Establish an Enterprise Architecture function that will provide the foundational framework to logically organize applications, infrastructure, and data into a standardized set of directives and process which enables ITS service delivery	N/A	31-Dec-17	Superintendent, ICT	Yes	Other - Please Comment	This item is no longer relevant as a new Information & Technology Strategic Plan was built and approved by the Board in December 2019.		No Longer Relevant
H	Establish an ITS support model	• Establish an enhanced ITS support model that ensures support is provided efficiently and as per expectations • Develop support plans for business v/s academic staff, and provide trainings to staff on new hardware and software technologies	N/A	31-Jul-17	Senior Coordinators, ICT	Yes	Other - Please Comment	This item is no longer relevant as a new Information & Technology Strategic Plan was built and approved by the Board in December 2019.		No Longer Relevant
I	Review the current software strategy	• Review the current applications for rationalization and enhancement to newer versions of the same solution or different solutions to add additional functionality and capabilities • Review should include SAP, eScribe, Web Portal, HCM, Trillium	N/A	31-Dec-18	Superintendent, ICT	Yes	Other - Please Comment	This item is no longer relevant as a new Information & Technology Strategic Plan was built and approved by the Board in December 2019.		No Longer Relevant
J	Develop a document and record management strategy	• Establish a document storage and governance process, identify relevant tools to be used for document storage and retrieval	N/A	1-Apr-20	Enterprise architecture	Yes	Other - Please Comment	This item is no longer relevant as a new Information & Technology Strategic Plan was built and approved by the Board in December 2019.		No Longer Relevant
K	Enable a digital mobility / access anywhere strategy	• Enhance the current mobility capabilities to beyond mobile phone and Wi-Fi delivery by enhancing applications to work on the multiple platforms and browsers (Digital Workplace), and look at enhancing network access, VOIP	N/A	1-Jan-21	Superintendent, ICT	No	Other - Please Comment	This item is no longer relevant as a new Information & Technology Strategic Plan was built and approved by the Board in December 2019.		No Longer Relevant
L	Develop an enterprise data analytics culture	• Increase the data collection from the different board applications, to be used as an input towards the implementation of a Business Intelligence solution for analytics and predictive modeling	N/A	1-Jul-21	Superintendent, ICT	No	Other - Please Comment	This item is no longer relevant as a new Information & Technology Strategic Plan was built and approved by the Board in December 2019.		No Longer Relevant
M	Introduce an enterprise service management system	• Introduce a Board wide system to log and track cases for the delivery of different services to the Board's various stakeholders • Heat is an old system with limited functionality that should be upgraded so that it tracks all IT tickets • Currently the IT ticketing system is not used across the board and is therefore not able to accurately track all issues throughout the organization • Optimize the IT Service Desk	N/A	1-Jan-21	Superintendent, ICT Governance Council	No	Other - Please Comment	This item is no longer relevant as a new Information & Technology Strategic Plan was built and approved by the Board in December 2019.		No Longer Relevant

Status of Audit Findings

Report Name:	IT Strategy Review
Report Date:	April 2017
Follow-up?	No
Issued By:	Deloitte

	ORIGINAL ENGAGEMENT						STATUS UPDATE			RIAT COMMENTS
#	Finding Title	Recommendation	Management Action Plan	Target Date	Person Responsible	Update Required	Current Status of Finding	Comments		Status for Report
N	Implement a hardware lifecycle management policy	• Implement a policy for the renewal of hardware assets owned by the board and deployed with the various schools, teachers and staff • A standardized refresh process to replace end-of-life devices and infrastructure on a 3-5 year cycle should be developed • A standard IT device catalogue should also be implemented	N/A	31-Oct-18	Superintendent, ICT	Yes	Other - Please Comment	This item is no longer relevant as a new Information & Technology Strategic Plan was built and approved by the Board in December 2019.		No Longer Relevant
O	Implement a disaster recover / business continuity strategy	• Disaster Recovery plans provide a step-by-step process for responding to disruptive events. Procedures should be easy-to-use in an effort to recover damaged IT assets.	N/A	1-Oct-19	Superintendent, ICT	Yes	Other - Please Comment	This item is no longer relevant as a new Information & Technology Strategic Plan was built and approved by the Board in December 2019.		No Longer Relevant
P	Implement a software / hardware vitality plan	• Hardware and software vitality is an important part of the regular maintenance of the Boards infrastructure and software • Maintaining vitality helps ensure the latest versions of software and firmware are deployed, and helps reduce the Board's overall risk and increase security • Review the hardware and software vitality to ensure the Board is either at the latest or latest −1 version of the software and firmware	N/A	30-Jun-18	Superintendent, ICT	Yes	Other - Please Comment	This item is no longer relevant as a new Information & Technology Strategic Plan was built and approved by the Board in December 2019.		No Longer Relevant
Q	Implement an IT asset management solution	• The Board has a number of physical and software assets which are used to complete all its day to day activities • Currently there is no software solution used to manage the assets in the lifecycles as well as track their usage across the organization • Investigate and implement an IT Asset Management solution to manage the Board's assets	N/A	1-Jul-21	Superintendent, ICT	No	Other - Please Comment	This item is no longer relevant as a new Information & Technology Strategic Plan was built and approved by the Board in December 2019.		No Longer Relevant
R	Implement a communication policy	• Current communication processes both internally and externally are leading to challenges that result in increased costs and impaired service performance. Better communication processes need to be put in place to drive productivity	N/A	31-Oct-17	Superintendent, ICT	Yes	Other - Please Comment	This item is no longer relevant as a new Information & Technology Strategic Plan was built and approved by the Board in December 2019.		No Longer Relevant

Status of Audit Findings
Report Name: Recruiting and Hiring
Report Date: September 2017
Follow-up? No
Issued By: RIAT

		ORIGINAL ENGAGEMENT				STATUS UPDATE			RIAT COMMENTS
#	Finding Title	Recommendation	Management Action Plan	Target Date	Person Responsible	Update Required	Current Status of Finding	Comments	Status for Report
1	Interview Panellist Process	Management should consider providing all interview panels with a representative from HR with formal HR training, to ensure that legislative requirements and best practices related to the interview process are incorporated.	The Human Resources department is committed to adopting human resources management best practices in general as well as in specific areas such Recruitment and Selection. As such, the Recruitment section, will take steps to acquire additional staff with the appropriate expertise in Recruitment in order to ensure that interview panels have the requisite human resources expertise. In addition, the Department will continue to provide professional development sessions such as Conducting Structured Interviews to existing administrative (principals & vice principals) and Business management staff at the Board.	Not Specified	Not Specified	Yes	Open	The acqusition of additional permanent staff is ongoing. In the interim, a number of temporary staff have been acquired. A Recruitment presentation took place at the Large Business Council. Professional development sessions for business leaders are planned for the near future.	In Progress
2	Candidate Qualification Screening	Management should continue to explore the feasibility (cost/benefit) of implementing further automation within existing or external systems, to review applicant qualifications. In addition, HR should ensure that evidence of qualifications is retained on file, to ensure compliance with Regulation 274/12.	The Human Resources department has begun to explore the feasibility of implementing additional automation into the staffing process including the applicant screening process. To date we have had several meetings to review off-the-shelf software packages. The addition of further functionality to our existing in-house platform is also being explored.	Not Specified	Not Specified	Yes	Open	The plan to acquire human and financial resources to address this issue is ongoing. The challenges associated with the COVID-19 pandemic have adversely impacted this plan.	In Progress
3	Succession Management Program	It is recommended that HR management develop a formal succession management program for business and support staff and consider obtaining staff input through surveys for professional development and succession management for business and support staff.	The Human Resources department will explore the feasibility, including the acquisition of the appropriate human and financial resources, of developing a formal succession management program for business and support staff. Timely succession-focused discussions (quarterly) and the documentation of best practices with senior Business and Support staff will allow the Human Resources team to explore opportunities to facilitate both professional growth and capacity development. These exercises will enhance strategic and succession planning respectively.	Not Specified	Not Specified	Yes	Open	The exploration of this program is ongoing.	In Progress
4	Client Support	It is recommended that HR management develop a formal client support program to be provided to the client, which includes guidance on the hiring process, key milestones for communication (e.g. Developing the posting, identifying required skill set and qualifications, offer letter details) and a formalized feedback process (i.e. survey) to identify further opportunities for improvement.	The pursuit of an effective client support program complements the principles that are articulated in our board's Multi-Year Strategic Plan. The Human Resources department continues to explore high value-added human and financial resources required to implement an effective client support program. These include client support features such as guidance on the hiring process and the communication of key milestones to all stakeholders.	Not Specified	Not Specified	Yes	Open	The development of this program is ongoing.	In Progress

Status of Audit Findings

Report Name: Monitoring and Reporting of Student Achievement
Report Date: March 2018
Follow-up? No
Issued By: RIAT

		ORIGINAL ENGAGEMENT					STATUS UPDATE			RIAT COMMENTS
#	Finding Title	Recommendation	Management Action Plan	Target Date	Person Responsible	Update Required	Current Status of Finding	Comments		Status for Report
1	BLIP annual report	Additional narrative information such as root causes/justifying comments where the BLIP areas of focus are not met should be considered as part of the BLIP annual report to enhance its content and usefulness as well as action plans	Management agrees that additional information could be provided to better inform stakeholders as to reasons why a BLIP goal is not being met. The Board BLIP report can be used as a method for highlighting this narrative. Timeline: To be included in the 2018-2019 BLIP Annual Report.	31-Aug-19	Not Specified	Yes	Closed	The BLIP report has included greater information as to the achievement of goals and the rationale for why goals have not been achieved. Next steps are now included in the report to highlight strategies to address ways to attain those goals.		Closed - Management Assertion
2	Professional learning forms	Urgent critical needs and measures or evidence should be based on specific and measurable goals.	As we create a new BLIP for the 2018-2021 school years, we will be revising our PLFs to ensure that SMART goals are included within these plans. Timeline: To be initiated in the 2018-2019 school year.	31-Aug-19	Not Specified	Yes	Closed	SMART goals are now part of the schools professional learning form and all plans have been tracked to ensure that all plans have been completed and posted.		Closed - Management Assertion
3	Professional development tracking	The Board should prepare a business case, implementation plan and target date for a new professional development software tool.	The Board is exploring options for a PD tracking tool and will develop a business case and implementation plan as part of the project planning process. Approval has been received for this project as part of the new student information software purchase. The potential vendor the Board has been working with was recently acquired by another company and this may impact the timing and implementation of a PD tracking tool. Timeline: Timing for project implementation is to be determined. Management will provide an update on this project to Directors council in the fall of 2018.	31-Dec-18	Not Specified	Yes	Open	The new SIS project is just beginning during the 2020-2021 school year. We have been tracking feedback on all PD opportunities that are offered and provide a report back to board based on this PD feedback from staff.		In Progress

Status of Audit Findings

Report Name:	Employee Health & Safety
Report Date:	August 2018
Follow-up?	No
Issued By:	RIAT

						ORIGINAL ENGAGEMENT			STATUS UPDATE			RIAT COMMENTS
#	**Finding Title**	**Recommendation**	**Management Action Plan**	**Target Date**	**Person Responsible**	**Update Required**	**Current Status of Finding**	**Comments**	**Status for Report**
1	Oversight and monitoring of the site inspection/risk assessment process	Working with the JHSC, management should establish a centralized tracking process to ensure that all sites have been inspected completely and follow up actions are identified and tracked. Management has previously identified a system which would allow for inspections to be done electronically, and would include reporting functions. Management should consider continuing to explore the implementation of an inspection monitoring system.	The OHS Department will implement an inspection spreadsheet in September 2018 to track inspections. Monthly reports listing any outstanding inspections will be provided to the three JHSCs. The OHS Department will also consult with the JHSCs to implement an electronic inspection system using a tablet rather that paper inspection forms (implementation date: September 2019).	30-Sep-19	Not Specified	Yes	Open	Ongoing discussions with the worker members of the JHSCs. Consensus has not been reached over the specifications of an electronic inspection system	In Progress
2	Structure of the JHSC should be addressed to ensure compliance with the OHSA	Working with the JHSC, management should ensure that the structure of the JHSC is composed of equal parts management and non-management roles.	The OHS Department will work with the new Management Co-Chair of the JHSC to ensure that the JHSC membership complies with the Terms of Reference (timeline: September 2018).	30-Sep-18	Not Specified	Yes	Closed	JHSC membership complies with the Occupational Health and Safety Act and Terms of Reference	Closed - Management Assertion
3	Accident forms are not consistently filled out.	To ensure that all incidents are documented completely, including preventative action, management should ensure that all accident reporting forms are reviewed to ensure they are filled out completely and accurately, including sign off.	The Occupational Health and Safety Department will attend K-12 Principals' meetings to review accident reporting procedures (timeline September 2018)	30-Sep-18	Not Specified	Yes	Closed	Online Accident Reporting System implemented	Closed - Management Assertion