

**Appendix C - CA-01-19: Summary of Previous Audit Work**

| Ref # | Service  | Audit Unit                             | Service Owner   | 2017 Overall Inherent Risk Score | Scope of Audit  |
|-------|--|--|-----------------|----------------------------------|---|
| 1     | Financial Management   | Transactional Processing               | Joan Ford       | 72.5                             | Accounts Payable (2010); Procurement to Pay (<\$20,000) (2013); Investments (2010) (2013); Charitable Donations (2011); Grant Application Management (2011); Charitable Donations Follow Up (2015); GL Phase I and Phase III (2015); GL Phase II (2016); Corporate Payroll (2016); Investments (2017); Corporate Cash Handling (2017)   |
| 2     | Roadway and Sidewalk Maintenance (previously Winter Maintenance) | Winter Maintenance (re-aligned 2017)   | Mark Adam       | 67.5                             | Contract management, Operations Training, Monitoring & Reporting (2017)   |
| 3     | Transit  | Transit                                | Colm Lynn       | 65                               | Transit CVOR, Transit Inventory (2009); Transit Business Services (2012); Transit Business Services Follow up (2014); PRESTO User Entity Controls (2015); Corporate Inventory Management (2017)   |
| 4     | Recreation   | Aquatic Programs                       | Rob Axiak       | 65                               | Aquatics - Swimming & Skating Program (2010)  |
| 5     | Organized Sport Support  | Sport Venue Operations                 | Denise Beard    | 62.5                             | Facility Operations (2014)  |
| 6     | Fire Communications  | Fire Communications                    | Dawn Jarvis     | 61.25                            | Review of Communications Supervisory Organizational Structure (2010); Fire Emergency Response - Training (2016); Fire Emergency Communications (2018)   |
| 7     | Fire Protection  | Fire Emergency Response                | Ross Monteith   | 60                               | Fire Emergency Response - Training (2016)   |
| 8     | By-law Enforcement   | By-law Licensing                       | Grant Ziliotto  | 58.75                            | licensing and permit issuance including records management, financial controls, specifically cash handling and revenue management, lottery licensing compliance audits (2013)   |
| 9     | Halton Court Service   | Halton Court Service Administration    | Franki Evans    | 58.75                            | Bank and general ledger/sub ledger accounts; accounts payable and receivable; applications and spreadsheets (2011), cash handling and safeguarding controls including physical and logical security controls, compliance with Payment Card Industry standards relative to physical credit card records/information, and compliance with privacy laws and regulations (2010); Corporate Cash Handling (2017) |
| 10    | Parking Management   | Parking Revenue Management             | Paul Yager      | 58.75                            | Revenue collection (2010); Corporate Cash Handling (2017)   |
| 11    | Fire Protection  | Fire Training                          | Ross Monteith   | 56.4                             | Fire Emergency Response - Training (2016)   |
| 12    | Council and Citizen Committee                                    | Election                               | Danielle Manton | 56.25                            |   |
| 13    | By-Law Enforcement   | By-Law Permits (new in 2017)           | Grant Ziliotto  | 56.25                            | Licensing and permit issuance including records management, financial controls, specifically cash handling and revenue management, lottery licensing compliance audits (2013)   |
| 14    | Roadway and Sidewalk Maintenance                                 | Roadway Maintenance (name change 2017) | Mark Adam       | 55.05                            | Roads Infrastructure Mgmt (2014)  |

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|-------|--|--|---------------------|----------------------------------|---|
| 15    | Roads and Structures - Design and Construction     | Construction Inspection                                | Scott Hamilton      | 55                               | Capital Project Management (2010); Contingency Payments Follow up (2012); Construction Field Inspection (2018)                            |
| 16    | Information Technology                             | IT Support Service                                     | Christine Swenor    | 55                               | Information Security & Computer Operations (2010); SAP Segregation of Duties (2013), Enterprise Mobility (2016); Corporate Payroll (2016) |
| 17    | Human Resources                                    | Health, Safety and Wellness (name change in 2017)      | Leanne Sneddon      | 55                               | Facility Operations (2014); Health, Safety & Wellness (2018)  |
| 18    | By-law Enforcement                                 | By-law Enforcement Complaints and Inspections          | Grant Ziliotto      | 53.75                            |   |
| 19    | Community Design and Development Review            | Official Plan Amendments and Zoning By-law Amendments  | TBD                 | 53.75                            |   |
| 20    | Fleet Management                                   | Vehicle and Equipment Maintenance                      | Jessica Wesolowski  | 53.75                            | Transit CVOR (2009), Corporate Inventory Management (2017)  |
| 21    | Animal Control                                     | Dog Licensing  | Grant Ziliotto      | 52.55                            | call response process, revenue management (including cash handling procedures) and Animal Control Officers response activities (2011)     |
| 22    | Recreation   | General Recreation Programs (new in 2017)              | Rob Axiak           | 52.5                             |   |
| 23    | Facilities And Buildings - Design and Construction | Facilities And Buildings - Design and Construction     | David Taggart       | 51.25                            | Facility Operations (2014)  |
| 24    | Recreation   | Golf Course and Program (minor name change 2017)       | Rob Axiak           | 51.25                            |   |
| 25    | Roadway and Sidewalk Maintenance                   | Road Patrol and Sidewalk Inspection (name change 2017) | Mark Adam           | 50.05                            |   |
| 26    | Information Technology                             | IT Solution Delivery                                   | Christine Swenor    | 50                               |   |
| 27    | Parking Management                                 | Parking Space Management                               | Paul Yager          | 48.8                             |   |
| 28    | Traffic Operations Management                      | Traffic Operations                                     | Jeff Black          | 48.75                            |   |
| 29    | Traffic Operations Management                      | Traffic Signals  | Jeff Black          | 48.75                            |   |
| 30    | Building Code Permits and Inspection               | Building Inspections                                   | Nick Anastasopoulos | 48.75                            | Building Inspections (2016)   |
| 31    | Asset Management                                   | Asset Management Oversight                             | Paul Rohoman        | 48.75                            |   |
| 32    | Financial Management                               | Procurement Process                                    | Joan Ford           | 47.5                             | Procurement to Payment Cycle (<\$20,000) (2013); Procurement >\$25,000 (2014)   |
| 33    | Financial Management                               | Financial Reporting and Business Planning              | Joan Ford           | 47.5                             | Corporate Current & Capital Budget Monitoring (2009)  |
| 34    | Fleet Management                                   | Vehicle and Equipment Training                         | Jessica Wesolowski  | 47.5                             | MOT - Driver Certification Training (2014)  |
| 35    | Recreation   | Food and Beverage Services (name change 2017)          | Rob Axiak           | 47.5                             |   |
| 36    | Fire Prevention & Public Education                 | Fire Prevention  | Karen Roche         | 46.3                             |   |
| 37    | Animal Control                                     | Animal By-law Enforcement & Education                  | Grant Ziliotto      | 45.05                            | call response process, revenue management (including cash handling procedures) and Animal Control Officers response activities (2011)     |
| 38    | Recreation   | Ice Programs   | Rob Axiak           | 45.05                            |   |
| 39    | Government Relations & Strategic Communications    | Strategic Communications                               | Kwab Ako-Adjei      | 45.05                            |   |
| 40    | Fire Prevention & Public Education                 | Fire Public Education                                  | Karen Roche         | 45                               |   |
| 41    | Parks and Open Space Maintenance                   | Parks and Open Space Maintenance                       | Murray Cameron      | 45                               |   |
| 42    | Human Resources                                    | Compensation and Benefits                              | Leanne Sneddon      | 45                               | Corporate Payroll (2016)  |
| 43    | Parking Management                                 | Parking By-law Enforcement                             | Paul Yager          | 44                               | Parking By-Law Enforcement (2017)   |
| 44    | Roads and Structures - Design and Construction     | Design   | Scott Hamilton      | 43.95                            | Capital Project Management (2010); Contingency Payments Follow up (2012); Procurement > \$25,000  |

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| 45    | Service Burlington                              | Cashiering & Inquiries                                    | Andrea Holland      | 43.95                            | Corporate Cash Handling (2017)   |
| 46    | Halton Court Service                            | Halton Court Services Courtroom Support                   | Franki Evans        | 43.75                            |  |
| 47    | Parks and Open Space Maintenance                | Horticulture  | Murray Cameron      | 43.75                            | Performance audit of horticulture activities for flowerbeds located within the road allowance of Burlington streets (2012) |
| 48    | Tree Management                                 | Tree Maintenance  | Barbara Rabicki     | 43.75                            |  |
| 49    | Surface Water Drainage                          | Surface Water Drainage Maintenance                        | Cary Clark          | 43.75                            |  |
| 50    | Arts and Culture                                | Festivals and Events                                      | Angela Paparizo     | 43.75                            |  |
| 51    | Planning Policy                                 | Policy and Research                                       | Leah Smith          | 43.75                            |  |
| 52    | Council and Citizen Committee                   | Council and Committee                                     | Danielle Manton     | 43.75                            |  |
| 53    | Roads and Structures - Design and Construction  | Construction Administration                               | Scott Hamilton      | 42.7                             | Capital Project Management (2010); Contingency Payments Follow up (2012); Procurement > \$25,000                           |
| 54    | Geographic Information and Mapping              | Data Management   | Ann Evans           | 41.3                             | Roads Infrastructure Mgmt (limited involvement) (2014)   |
| 55    | Building Code Permits and Inspection            | Plans Review  | Nick Anastasopoulos | 41.25                            | Plans Review (2014); Plans Review Follow up (2018)   |
| 56    | Arts and Culture                                | Arts & Cultural Programs & Services (name change in 2017) | Angela Paparizo     | 40.25                            |  |
| 57    | Building Code Permits and Inspection            | Application Process                                       | Nick Anastasopoulos | 40.05                            | Plans Review (2014)  |
| 58    | Financial Management                            | Property Tax Billing, Collection and Payment Processing   | Joan Ford           | 40                               | Cash Handling - Tax Counter (City Hall) (2009)   |
| 59    | Corporate Legal                                 | Insurance Claims Management                               | Nancy Shea-Nicol    | 39.1                             |  |
| 60    | Corporate Management                            | Corporate and Strategic Planning                          | TBD                 | 39.05                            |  |
| 61    | Parks and Open Space Maintenance                | Playground and Irrigation Maintenance                     | Murray Cameron      | 38.95                            |  |
| 62    | Geographic Information and Mapping              | Property/Land Information                                 | Ann Evans           | 38.75                            |  |
| 63    | Asset Management                                | Long-Range Financial and Operational Planning             | Paul Rohoman        | 38.75                            |  |
| 64    | Traffic Operations Management                   | Streetlighting (new sub-service 2017)                     | Jeff Black          | 38.75                            |  |
| 65    | Organized Sport Support                         | Sport Organization Allocation of Space                    | Denise Beard        | 37.55                            | CLASS Receivables (2009)   |
| 66    | Government Relations & Strategic Communications | Government Relations (new 2017)                           | Kwab Ako-Adjei      | 37.55                            |  |
| 67    | Community Design and Development Review         | Subdivision/Condo/Part Lot Control                        | TBD/Jamie Tellier   | 37.5                             |  |
| 68    | Community Design and Development Review         | Site Plan/Minor Development/Zoning Certificates           | TBD/Jamie Tellier   | 36.3                             |  |
| 69    | Community Design and Development Review         | Variances, Consent and Other City Tribunals               | TBD                 | 36.3                             | Committee of Adjustment application and administration (2014)  |
| 70    | Parks and Open Space - Design and Development   | Parks and Open Space Planning                             | Rob Peachey         | 36.3                             | Purchasing Practices (2009)  |
| 71    | Community Design and Development Review         | Property Standards Committee (new in 2017)                | TBD/Jamie Tellier   | 36.3                             |  |
| 72    | Corporate Legal                                 | Legal Services  | Nancy Shea-Nicol    | 35.25                            |  |
| 73    | Information Technology                          | IT Consulting Service                                     | Christine Swenor    | 35.15                            |  |
| 74    | Transportation Planning (name change in 2017)   | Active Transportation                                     | Kaylan Edgcumbe     | 35.1                             |  |
| 75    | Tree Management                                 | Tree Planting   | Barbara Rabicki     | 35.05                            |  |
| 76    | Sign Production (new in 2017)                   | Sign Design (new in 2017)                                 | Emilie Cote         | 35.05                            |  |

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| 77    | Tree Management                                | Urban Forest Health and Pest Management         | Barbara Rabicki              | 35                               |   |
| 78    | Roadway and Sidewalk Maintenance               | Sidewalk Maintenance (name change 2017)         | Mark Adam                    | 34                               |   |
| 79    | Surface Water Drainage                         | Site Alteration Permitting and Administration   | Cary Clark                   | 33.9                             |   |
| 80    | Halton Court Service                           | Halton Court Service Collection of Unpaid Fines | Franki Evans                 | 33.8                             |   |
| 81    | Cemetery                                       | Customer Service and Sales                      | Emilie Cote                  | 33.75                            |   |
| 82    | Parks and Open Space - Design and Development  | Parks and Open Space Asset Management           | Rob Peachey                  | 32.75                            | Purchasing Practices (2009)   |
| 83    | Transportation Planning (name change in 2017)  | Long Range Transportation Planning              | Kaylan Edgcumbe              | 32.7                             |   |
| 84    | Halton Court Service                           | Halton Court Services Prosecution               | Franki Evans (Audrey Senkus) | 32.5                             |   |
| 85    | Traffic Operations Management                  | Crossing Guard Program                          | Jeff Black                   | 31.3                             |   |
| 86    | Fleet Management                               | Vehicle Procurement                             | Jessica Wesolowski           | 30                               | Planning & Monitoring, Acquisition and Disposal (2010)  |
| 87    | Human Resources                                | Recruitment                                     | Leanne Sneddon               | 28.95                            |   |
| 88    | Planning Policy                                | Data Management                                 | Leah Smith                   | 28.8                             |   |
| 89    | Animal Control                                 | Adoption and Care                               | Grant Ziliotto               | 28.75                            | call response process, revenue management (including cash handling procedures) and Animal Control Officers response activities (2011) |
| 90    | Organized Sport Support                        | Sport Venue Renovations                         | Denise Beard                 | 27.85                            |   |
| 91    | Parks and Open Space - Design and Development  | Parks and Open Space Design and Construction    | Rob Peachey                  | 27.55                            | Purchasing Practices (2009)   |
| 92    | Sign Production (new in 2017)                  | Sign Installation (new in 2017)                 | Emilie Cote                  | 27.55                            |   |
| 93    | Sign Production (new in 2017)                  | Sign Production (new in 2017)                   | Emilie Cote                  | 27.55                            |   |
| 94    | Organized Sport Support                        | Sport Organization Granting                     | Denise Beard                 | 26.6                             |   |
| 95    | Surface Water Drainage                         | Resident Drainage Customer Service              | Cary Clark                   | 26.5                             |   |
| 96    | Surface Water Drainage                         | Storm Water Management Design and Review        | Cary Clark                   | 26.5                             |   |
| 97    | Roads and Structures - Design and Construction | Survey  | Scott Hamilton               | 26.5                             | Capital Project Management (2010); Contingency Payments Follow up (2012)  |
| 98    | Surface Water Drainage                         | Surface Water Drainage Project Management       | Cary Clark                   | 26.45                            |   |
| 99    | Transportation Planning (name change in 2017)  | Developer Application Review                    | Kaylan Edgcumbe              | 26.45                            |   |
| 100   | Cemetery                                       | Interment Services                              | Emilie Cote                  | 26.3                             |   |
| 101   | Fire Protection                                | Fire Maintenance                                | Ross Monteith                | 25.35                            | Fire Vehicle Equipment & Maintenance (2010 & 2013), Corporate Inventory Management (2017)   |
| 102   | Environment and Energy                         | Sustainability Initiatives                      | Lynn Robichaud               | 25.3                             |   |
| 103   | Arts and Culture                               | Public Art Collection Management                | Angela Paparizo              | 25.3                             |   |
| 104   | Organized Sport Support                        | Sport Joint Venture Contract Management         | Denise Beard                 | 25.2                             |   |
| 105   | Recreation                                     | Parks and Trails (new sub-service 2017)         | Rob Axiak                    | 25.05                            |   |
| 106   | Council and Citizen Committee                  | Citizen Advisory Committee                      | Danielle Manton              | 24.1                             |   |
| 107   | Service Burlington                             | Vital Statistics                                | Andrea Holland               | 24                               |   |
| 108   | Cemetery                                       | Grounds Maintenance                             | Emilie Cote                  | 23.8                             |   |
| 109   | Parks and Open Space - Design and Development  | Landscape Architecture                          | Rob Peachey                  | 22.75                            | Purchasing Practices (2009)   |
| 110   | Human Resources                                | Corporate Learning and Development              | Leanne Sneddon               | 22.65                            |   |
| 111   | Geographic Information and Mapping             | Map Production                                  | Ann Evans                    | 22.6                             |   |

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| 112   | Internal Audit                                | Internal Audit   | Sheila Jones     | 22.6                             | Independent validation of City of Burlington Internal Audit (IA) Quality Assessment Review (QAR) self-assessment (2013); Independent validation of City of Burlington Internal Audit (IA) Quality Assessment Review (QAR) self-assessment (2018) |
| 113   | Corporate Management                          | Board Liaison  | TBD              | 21.55                            |  |
| 114   | Transportation Planning (name change in 2017) | Active and Sustainable School Travel (ASST)              | Kaylan Edgcumbe  | 20.4                             |  |
| 115   | Corporate Legal                               | Real Estate Service (Property & Land)                    | Nancy Shea-Nicol | 20.25                            |  |
| 116   | Environment and Energy                        | Community Energy Plan                                    | Lynn Robichaud   | 19.3                             |  |
| 117   | Arts and Culture                              | Relationship Liaison                                     | Angela Papparizo | 16.8                             |  |
| 118   | Emergency Management                          | Whole of Government (new name in 2017)                   | Amber Rushton    | 16.6                             | BCP/DRP/CERP (2012)  |
| 119   | Organized Sport Support                       | Sport Organization Relationships                         | Denise Beard     | 16.6                             |  |
| 120   | Emergency Management                          | Whole Community Emergency Management (new in 2017)       | Amber Rushton    | 14.4                             |  |
| 121   | Service Burlington                            | Records Management                                       | Andrea Holland   | 14.2                             | Records Management Policy and Process (2010)   |
| 122   | Arts and Culture                              | Cultural Mapping and Community Liaison                   | Angela Papparizo | 13                               |  |
| 123   | Environment and Energy                        | Energy Management Plan (City Operations)                 | Lynn Robichaud   | 11.8                             |  |
| 124   | Emergency Management                          | Continuity of Operations Planning (name changed in 2017) | Amber Rushton    | 10.6                             | BCP/DRP/CERP (2012)  |
| 125   | Corporate Management                          | Enterprise Risk Management (new in 2017)                 | TBD              | 10.6                             |  |