

CA-02-21 - Appendix-1: Outstanding Management Action Plans as of Dec 8, 2021

Department	Function	Audit Report	Audit Report Date	Details of Audit Issue							Number		Owner
				Audit Finding Number	Risk Rating	Summary	Summary of Management Response	Expected Resolution Date	Revised Resolution Date	Status	Days Past Due	Times End Date Revised	
Transportation	Parking Mgmt Service	Parking By-Law Enforcement	19-Apr-18	2A	Significant improvement required (Medium)	<p>While in the Parking Management – Service Business Plan the service description notes “A public service to manage parking in Burlington”, a parking management strategy has not been documented or consistently articulated. It was also noted that a strategic direction for the desire/target outcomes for parking by-law enforcement has not been formally developed. Without desired outcomes being defined, Parking Management may not have clearly articulated what it is seeking to achieve with respect to parking by-law enforcement, nor the goals and expectations of the service delivery and how to demonstrate progress towards those objectives.</p> <p>Recommendation: Parking Management can determine whether parking by-law enforcement is meant to be a revenue generating or cost recovery service for the City. Once determined, a formalized parking by-law enforcement strategy, refreshed on a regular basis (e.g., annually) in response to parking trends and external factors, can enable Parking Management to take a focused approach to re-evaluate and prioritize its parking by-law enforcement programs and initiatives towards fulfillment of its mandate.</p> <p>Once the parking by-law enforcement strategy has been developed, Parking Management can work to define the key compliance risks as well as the performance goals and standards that can be used to measure and monitor progress against the strategy. The risks can be documented in a risk register (refer to recommendation 1C). The risks that are going to be the focus in a particular year should be referenced in the Parking Management Service Business Plan.</p> <p>The parking by-law enforcement strategy can help increase transparency and strengthen accountability around progress towards strategic priorities of Parking Management. The strategy should be communicated to City stakeholders such as staff within Parking Management and in other service areas, and the contracted Commissionaires.</p> <p>As a result of the strategy development, Parking Management may consider the opportunity to revisit the organizational structure of the service area, including out-sourcing versus in-sourcing and whether the merger of the City's enforcement officers would provide more value to the City.</p>	<p>The City agrees with this recommendation. The City will conduct a session(s) to identify and document the service strategy to clarify the goals and expectations of parking enforcement and its alignment to Transportation Services. This information will assist in updating the service business plan.</p>	31-Dec-18	30-Jun-22	<p>Dec 8, 2021: IN-PROGRESS</p> <p>We have consulted with the previous Manager on this matter and feel that the responses below are sufficient to solidify the desired outcomes/targets for the section.</p> <p>There has been quite a lot of backtracking and research involved in this. Turnover in the department has somewhat hampered our ability to bring things entirely up to speed on this matter– three levels of management involved in parking services have all been here less than 4 months.</p> <p>In terms of updated service descriptions or parking management, we propose the following. <i>Current Service Description</i> : A public service to manage parking in Burlington <i>Proposed Service Description</i> : A public service that manages parking in Burlington with the goal being compliance and cost recovery.</p> <p>Job functions and descriptions have been completed and are currently awaiting the appropriate approvals from the Rating Committee.</p> <p>We are assuming that the high level metrics proposed in the chart below are referring to the Web Focus Business Intelligence Software. This is operational and actively used.</p> <p>This system allows parking services to view areas of the city where compliance may be an issue and can help influence decisions regarding signage, the validity of more or less enforcement and use the data collected as evidence to justify developers providing adequately sized roadways and properties to accommodate vehicles in a safe manner.</p> <p>Operational policies will have to be reviewed again. This process was well underway in Q4 of 2019, but would have been put on hold to manage the Covid-19 Pandemic and the situations stemming from that in Q1 2020. Going forward, these policies and processes will be reviewed again to accommodate considerations arising out of the pandemic as well as ensuring they reflect the model of compliance and cost recovery proposed above. We will aim to have policies and procedures reviewed by the end of Q2 2022 or early Q3.</p> <p>We hope you find this update satisfactory to include in your report. Individual items pertaining to the action plan have been completed, but on the whole it is still in-progress.</p> <p>Past Management Progress Updates truncated for space purposes. Detailed information available upon request (or see report CA-02-20).</p>	1058	3	Director Transportation; Manager of Transportation Planning and Parking; Supervisor Parking Services

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Clerk's	CRM	CRM Implementation & On-Going Operations	11-Oct-19	1	Medium	<p>Governance: The governance section in the CRM project charter is not specific regarding the roles, responsibilities and authority of the steering committee members; it does not describe who can make what types of decisions and how such decisions are to be made. Also, the responsibilities and authority of the project sponsor are not defined.</p> <p>The governance section does not describe the authority for decisions.</p> <p>The members of the project steering committee were previously members of the CSSC whose TOR offered a much broader scope of responsibility for a range of initiatives (the "program") linked to the Customer Service Strategy; not just CRM. The CRM Charter reflects just the CRM implementation. At some point in time, the CSSC TOR was replaced by the CRM Charter; the CRM charter was approved by the steering committee. This change left a gap in the Customer Service Strategy program implementation.</p> <p>Agendas and project updates were provided. Minutes, while recorded, were not distributed or reviewed from meeting to meeting. Follow up of action items is not apparent from the agendas and minutes. Decisions of the committee are not clearly documented in minutes.</p> <p>The CRM project steering committee met 7 times in 2018 and 6 times in 2019. In these meetings, member participation was as low as 50% in 3 meetings and as high as 80% in 3 meetings.</p> <p>Recommendations: CRM Project: The current pause in the CRM project implementation provides the opportunity for the steering committee to re-group and consider its mandate and effectiveness including: - Definition of broader plans to coordinate and implement initiatives to deliver the Service Brilliance Strategy. - Clearly define the roles, responsibilities and authority of the steering committee, project sponsor, and project team members in an updated project charter (or program charter). - Conduct a self-assessment of the Steering Committee's effectiveness considering quality of information for discussions, meeting attendance and meeting frequency. - Establish a decisions document to track key decisions made. This log will also support on-boarding of new steering committee members, project team members and on-going operations.</p> <p>Corporate Project Mgmt: - Update the City Corporate Project Charter Template to include sections defining: + the roles and responsibility for the steering committee members and the project sponsor, + the authority of the steering committee, project manager, and project sponsor in decision-making, + frequency of meetings, and + steering committee members by position. - Create a list of questions to support and encourage steering committee effectiveness discussions. - Create a standard template for project managers to track key decisions made by all parties in the project. - Apply the recommendations to other corporate projects to enhance and support effective project governance.</p>	<p>CRM Project: Recommendations from the project review and consulting engagement will be considered in order to accomplish the following: - Review and refine the existing governance structure to support strategic and project customer service objectives. - Develop guidelines for governance team members' responsibilities and decision making. - Revise the project/program charter. - Decision documents to track key decisions</p> <p>Corporate Project Management: The Corporate Project Office is committed to the following actions: - Update the City Corporate Project Charter Template as outlined in the recommendation - Creating a list of questions to support and encourage steering committee effectiveness discussions. - Creating a standard template for project managers to track key decisions made by all parties in the project (i.e. project manager, project sponsor, and steering committee).</p>	31-Jan-20		<p>CRM Project - COMPLETE - July 15, 2020: - now has CS Steering committee as part of governance structure - Terms of Reference reviewed, updated and approved by BLT and CX Steering committee - created decision log to document CX Steering Committee decisions (e.g. scope changes, etc.)</p> <p>December 31, 2019: Report recently issued. Next follow-up as of April 30, 2020</p>	N/A	0	<p>CRM Project: Executive Lead Customer Experience</p> <p>Corporate Project Management: Manager Strategic Initiatives and Corporate Projects</p>

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Clerk's	CRM	CRM Implementation & On-Going Operations	11-Oct-19	2	High	<p>The CRM project charter identifies critical success factors; specifically, "Staff buy-in achieved through a robust change management strategy resulting in system acceptance, comprehensive training and end user understanding."</p> <p>From responses to the risk management practices survey, the most problematic area is that of People risks – resource, adaptation and change. Across the steering committee, working group and project team, the level of confidence is very low regarding how this risk is being managed.</p> <p>The people side of change for the CRM implementation was not sufficiently developed to realize the benefits that this system was expected to deliver. As such, more time and resources have been and will likely continue to be required to re-work the solution and re-train the staff all within an environment that will be implementing more large-scale and complex changes.</p> <p>Recommendations CRM Project: The current pause in the CRM project implementation provides the opportunity for the steering committee and project team to re-group and consider how it can effectively deliver: 1. Active and visible executive sponsorship, 2. Dedicated change management resources and funding, 3. Structured change management approach (including processes, tools and templates), 4. Employee engagement and participation, 5. Frequent and open communication about the change and the need for change, 6. Engagement and integration with project management, and 7. Engagement with and support from middle management.</p> <p>Corporate Project Management: Apply the recommendations from the CRM Project to other corporate projects (in progress) to enhance and support effective people change management</p>	<p>CRM Project: The current project review and consulting engagement will include a staffing impact assessment and further define the delivery model to determine the change impact. Project team resourcing and planning for change management activities will be addressed through a full-time change management lead position. This position will coordinate with the project manager the revision of the project change management plan to address employee engagement, open communication, and active and visible executive sponsorship</p> <p>Corporate Project Management: The Corporate Project Office is committed to applying the recommendations from the CRM Project to other corporate projects (in progress) to enhance and support effective people change management.</p>	31-Jan-20		<p>CRM Project - COMPLETED - July 15, 2020: - dedicated resource Change Management Lead for project - providing leadership, coaching to project and business - created Change Mgmt. Plan and expected to deliver to CX Steering Committee in September. Plan based on corporate template. - managing change management issues with departments as CRM rolls out - draft communication plan created</p> <p>December 31, 2019: Report recently issued. Next follow-up as of February 29, 2020</p>	N/A	0	CRM Project: Project Manager Corporate Project Management: Manager Strategic Initiatives and Corporate Projects

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Clerk's	CRM	CRM Implementation & On-Going Operations	11-Oct-19	3	Medium	<p>There is a risk management plan established by the vendor and not updated since September 2018. There is a risk register (established through a workshop); however, the risks are often described as the controls that are missing or may not be working properly; not the event that could occur to disrupt or challenge the implementation. The working group responses to the risk management practices survey indicated these members are not as familiar with where to find information about the risks as the project team or steering committee. This situation may be problematic as the working group is responsible for analyzing problems and making recommendations. Through discussions with and survey of steering committee and working group members, regular reference and referral to the risk register to review and update risks is not evident. While specific project issues are taken to the steering committee through status updates, the agendas or minutes contained no indication of the Steering Committee's review, discussion, and/or approval of the risk management plans and risk registers. Authority to accept, avoid, mitigate or transfer risks is not defined.</p> <p>Recommendations</p> <p>CRM Project:</p> <ul style="list-style-type: none">- Establish an effective risk management plan including but not limited to: responsibility for risk identification and assessment, how changes through the phased project will be considered in the context of risk, frequency of review of risks, authority to determine risk response and reporting of risks to steering committee.- Review and update the risk register.- Establish a central repository for risk information ensuring all stakeholders have the necessary access. <p>Corporate Project Management:</p> <p>Establish an effective risk management plan template including but not limited to: responsibility for risk identification and assessment, how changes through the phased project will be considered in the context of risk, frequency of review of risks, authority to determine risk response and reporting of risks to steering committee.</p>	<p>CRM Project:</p> <p>Project Manager will consider the project governance model and the enterprise risk model to ensure</p> <ul style="list-style-type: none">- Development of a risk management plan- Regular updates to the risk register and to stakeholders ensuring appropriate access to risk documents- Establishing a central repository for risk information for all stakeholders <p>Corporate Project Management:</p> <p>The Corporate Project Office is committed to establishing an effective risk management plan template as outlined in the recommendation.</p>	31-Mar-20		<p>CRM Project - COMPLETE - July 15, 2020:</p> <ul style="list-style-type: none">- worked with other PM to develop risk management plan template- approved by CX Steering Committee- created risk log and reviewed with CX Steering Committee- project status report has a section on risk <p>December 31, 2019:</p> <p>Report recently issued. Next follow-up as of April 30, 2020</p>	N/A	0	<p>CRM Project: Project Manager</p> <p>Corporate Project Management: Manager Strategic Initiatives and Corporate Projects</p>

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Clerk's	CRM	CRM Implementation & On-Going Operations	11-Oct-19	4	Low	<p>Data is encrypted during transmission from the City to Rock Solid Technology.</p> <p>As per Rock Solid Technology, Microsoft Dynamics 365 uses standard Microsoft SQL Server cell level encryption for a set of default entity attributes that contain sensitive information stored in a SQL database, such as user names and email passwords. As per MS Dynamic 365 website, the client has to specify what data needs to be encrypted as this will impact response time. There is no reference about City of Burlington customer data being encrypted in storage.</p> <p>The city engaged external expertise to conduct a privacy impact assessment (PIA). Through discussion, it was disclosed that at the completion of the privacy impact assessment, the business determined there is no sensitive data requiring encryption in storage. This business decision is not documented nor are challenges outlined in the PIA included in the risk register for monitoring.</p> <p>Recommendations: CRM Project: - Review the privacy impact assessment in view of the current phase of the project to confirm the business decision to not encrypt information in storage remains valid.</p> <p>- Fully document the business decision in the appropriate decisions log</p>	Project Manager will escalate the ratification of the decision to not encrypt information in storage to the Steering Committee and document the decision accordingly.	31-Dec-19		<p>February 10, 2020: COMPLETE - The Customer Service Steering Committee approved the Decision Document and accepted the decision that encryption of data in storage is not required and that the Risk is acceptable.</p> <p>December 31, 2019: Report recently issued. Next follow-up as of June 30, 2020</p>	N/A	0	Project Manager
Clerk's	CRM	CRM Implementation & On-Going Operations	11-Oct-19	5	Low	<p>As part of the preliminary assessment and contractual arrangements with the vendor, a third-party audit report was reviewed for security control issues that may affect the vendor's environment. The report was not reviewed for operational issues. This review was the only review performed; a formal process to have the external third-party audit report requested and reviewed on a regular basis has not been implemented.</p> <p>The CRM project is using a phased implementation meaning on-going operations and implementation are concurrent activities. With on-going operations in place since March 2019, the vendor has not been requested to provide a service level agreement report indicating their operational activities are following contractual obligations. There is no process to request and review the report on a regular basis.</p> <p>Recommendations: CRM Project: Establish processes to request, on a regular basis when available, the third-party audit report and service level agreement from the vendor. In defining the processes, identify the roles and responsibilities of technical and operational City staff to review the report and the escalation processes required for issue resolution.</p>	Implement procedures to ensure the third-party audit and SLA report is requested and reviewed on a regular basis. Procedures will identify roles and responsibilities and escalation processes for issue resolution.	31-Mar-20		<p>July 15, 2020 - COMPLETE: - SOP developed for request of report every 12 months for review by the Manager Corp Security. - SLA is being received annually - made recommendation for more regular frequency</p> <p>December 31, 2019: Report recently issued. Next follow-up as of June 30, 2020</p>	N/A	0	Project Manager and Manager of Customer Experience

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Clerk's	CRM	CRM Implementation & On-Going Operations	11-Oct-19	6	Low	<p>As the project works through implementation, employee access to the system (including role security) is determined in consultation with the department director. In areas where implementation is complete (i.e. areas considered as on-going operations), there is no guidance in place to describe how access to systems is to be granted; i.e. who has authority to grant/deny access requests and what permissions should be granted. Also, consideration has not been given to periodic review of userids and access privileges to determine if access levels are still appropriate based on business need.</p> <p>At the present time, the creation of the employee id within the CRM application is completed by the vendor on behalf of the City until such time as the City's system administrator is trained on the process.</p> <p>Recommendation: CRM Project: Establish a process to approve/deny access to and permissions within the CRM application including who (what position) has such authority, and how the approval/denial is to be documented.</p>	Establish procedures for granting license and access to the CRM application, including position of authority and documentation of approval/denial.	31-Mar-20		<p>July 15, 2020 - COMPLETE: - established SOP for licensing and cancelling - contained in operations folder.</p> <p>December 31, 2019: Report recently issued. Next follow-up as of June 30, 2020</p>	N/A	0	Project Manager and Manager of Customer Experience
Clerk's	CRM	CRM Implementation & On-Going Operations	11-Oct-19	7	Medium	<p>The call centre setup is a physical location in City Hall. The current plan for continuity of operations is to revert to pen and paper to record transactions and contacts and then enter the information into the system upon its recovery. This approach may work in the event of a very short window of service interruption; yet will not likely work in the event of a prolonged service interruption.</p> <p>As part of the implementation, the City has requested the vendor to make customizations of its product to suit the City's needs. The vendor has agreed to provide this information to the City when requested; the City has not requested this information from the vendor.</p> <p>Recommendation: CRM Project: The current pause in the CRM project implementation provides the opportunity for the project team to define a business continuity plan (BCP) to address the on-going operations including considering how the BCP will accommodate future implementations and how customizations made to the product are documented and obtained by the City.</p>	Develop a Business Continuity Plan for the CRM application, including vendor support of customized code.	31-Mar-20	30-Sep-20	<p>Dec 8, 2021: - Custom Code (COMPLETE as per Project Manager). In the unlikely event of insolvency, Rock Solid Technologies will provide the City a database with the necessary content to restore the Dynamics CRM system along with the existing features. The database will also include guidelines that will provide instructions on how to restore the system with the procedures needed at that moment in time. Any Rock Solid Intellectual Property will not be disclosed nor transferred to the City, but the City will be given usage rights of the final version of the Rock Solid software. A replacement vendor will be required to assist with restoring and sustaining the application.</p> <p>- BCP (COMPLETE, UPDATES IN PROGRESS as per Manager of Customer Experience). Revisions of the BCP document developed in July 2020 to account for changes in CRM deployment. BCP is updated as new services are implemented.</p> <p>July 15, 2020: - targeting end of July for completion</p> <p>December 31, 2019: Report recently issued. Next follow-up as of April 30, 2020</p>	N/A	0	Project Manager and Manager of Customer Experience

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Fire	Communications	Fire Emergency Communications	1-Mar-19	1	Low	<p>Physical and Logical Access</p> <p>The current access permissions allow 24/7 access to two persons not included in the SOG; yet determined to require authorized access.</p> <p>There is no guidance in place to describe how access to systems is to be granted; i.e. who has authority to grant/deny access requests and what permissions should be granted.</p> <p>System permissions and access are not deactivated and/or changed when positions/responsibilities change.</p> <p>Recommendation:</p> <p>Restrict access to the communications center to those positions identified in the SOG AND/OR amend the SOG to allow these two positions access AND/OR amend the SOG to provide an authorized person(s) with the ability to grant physical access to the communications center and such access is documented in writing by the authorized person(s).</p> <p>Establish business guidelines within Burlington Fire Department to approve/deny access to and permissions within systems including how the approval/denial is to be documented and coordinate with Information Technology to ensure these guidelines are followed when granting access to systems.</p> <p>Coordinate with IT to establish a process to deactivate or change system access and/or permissions when staff in positions and/or responsibilities change. Implement the process with a review of current FDM/RMS users.</p>	<p>Working with ITS, look at improving the current process to change system access and/or permissions when staff positions or responsibilities change. The Change an Employee's Account and Conclusion of Employment IT forms will be reviewed and may be altered pending IT approval, supporting this audit recommendation.</p> <p>Update the existing Security Access (1100-065) operating guideline as follows;</p> <ol style="list-style-type: none"> 1. include HR representative and Fire Department Chaplain. 2. Outline who has the authority to grant system and physical access to the communications centre. 	30-Jun-19		<p>Dec 8, 2021: COMPLETE</p> <p>Fire Communication Centre(s) Security Access – SOG completed and provided.</p> <p><i>Auditor's Note:</i> evidence of SOG's signed and dated by Fire Chief was provided. This matter is complete.</p> <p>December 31, 2019:</p> <p>Complete. OG updated for staff. By default, Deputy Chief authorized to permit/deny access.</p> <p><i>Auditor's Note:</i> issue will not be closed until evidence is provided the SOG's have been signed off by the Fire Chief and posted to the internal website for staff's reference.</p> <p>October 9, 2019:</p> <ul style="list-style-type: none"> • Kulbir maintains a list of those staff that have authorized access to Communications. Personnel who attempt to gain access to this secure area will be directed to my office. • Staff will adhere to the Corporate IT service desk for the conclusion of employment process. • Requests for changes in authority will be directed to ITS directly. <p>August 2, 2019:</p> <p>Kulbir and ITS Wendy Hough have been actively working on the list that will identify the level of access for CAD, RMS and Jeff-net for authorized users. This document will be provided to you no later than the end of September 2019.</p> <p>Updates regarding a change to an employee account and conclusion of employment will be added the Security Access OG (1100-065) which is in the process of being re-written to include the process for changes to an employee's account (deactivation) and conclusion of employment processes. This will be provided to you by the end of August 2019.</p> <p>Next follow up: December 31, 2019</p> <p>April 2019: report recently issued</p>	N/A	0	Fire Chief
Fire	Communications	Fire Emergency Communications	1-Mar-19	2	Low	<p>Standard Operating Guidelines:</p> <p>Standard operating guidelines (SOG) exist to support fire emergency communications; yet some are dated and contain information that is no longer relevant or does not reflect current situation/practice.</p> <p>Recommendations:</p> <p>Establish a review schedule for SOGs based on priority of information to support regular review of SOGs for accuracy and relevancy of information.</p>	<p>This work had already started prior to the audit being conducted. SOGs have already been updated or created in 2018, and this work continues into 2019. Some SOG reviews/updates were decidedly put on hold pending the recent changes in systems and personnel and service provided. Many SOG's take time to update and review due to multi-agency input and coordination to standardize a process. Of the 20 SOGs currently in distribution for fire communications, two (2) are pending review of other fire departments, eight (8) required review/update, and 10 are current to the existing procedure within the Centre.</p>	31-Dec-19		<p>December 8, 2021: COMPLETE</p> <p>Fire Department is continuously reviewing and updating SOG's.</p> <p><i>Auditor's Note:</i> evidence of SOG's signed by Fire Chief and uploaded to intranet was provided. This matter is complete.</p> <p>December 31, 2019:</p> <p>Complete. New OG for SOG development and review created.</p> <p><i>Auditor's Note:</i> issue will not be closed until evidence is provided the SOG's have been signed off by the Fire Chief and posted to the internal website for staff's reference.</p> <p>October 9, 2019:</p> <p>The process of reviewing OG for Communications had been established prior to Peggy's departure from the City of Burlington</p> <ul style="list-style-type: none"> • Shannon Doornik commences her new role on Monday, October 14th as which time we will schedule weekly meetings to discuss progress, issues and or concerns. • Communications OG reviews will be scheduled to take place on a monthly basis. 	N/A	0	Fire Chief

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Fire	Communications	Fire Emergency Communications	1-Mar-19	4	High	<p>Quality Assurance of Call Taking and Dispatch:</p> <p>Technically, Fire 911 Communications is compliant with Section 7.7 of NFPA 1221 (Standard for the Installation, Maintenance, and Use of Emergency Services Communications Systems) because a standard operating guideline (SOG) exists and QA is performed on requested calls. The intent of the standard is not met because the SOG is dated with a last revision date of May 15, 2013, contains guidance or actions no longer relevant or that have changed, and is silent on parameters for the QA process (e.g. the percentage of calls to review, the frequency of the review, etc.).</p> <p>The SOG requires the supervisor to maintain a list of QA work performed including the category of incident reviewed, the telecommunicator's name and a grading of: Met Standards or Did Not Meet Standards - Coaching Provided. This list is not being maintained and it can not be determined if the Supervisor has performed QA on calls handled by each Telecommunicator.</p> <p>Fourteen calls were sampled for call taking and call dispatch to assess compliance with quality assurance standards.</p> <p>Recommendations:</p> <p>Update the quality assurance process with activities and parameters (e.g. frequency, number of calls to review, expected completion timelines, reporting requirements, etc.) required.</p> <p>If adopting the APCO/NENA ANS 1.107.1.2015 Standard for the Establishment of a Quality Assurance and Quality Improvement Program for Public Safety Answering Points, then determine the capacity needed to complete the QA as designed and work with the Supervisor to ensure this time is built into schedules.</p>	<p>Comments: Somewhat agree, non-emergency lines are answered "fire department", while emergency lines are answer "fire emergency". In November 2018, there was change made to how PSTs answer the fire emergency lines to ask for what city, due to the requirements of the new CAD system. The CAD system populates with the ANI/ALI information the majority of the time; however, the city/location is verified when the call is answered. As with any change in procedure, there is a time of adjustment for personnel. The Centre will continue to answer the non-emergency line with "fire department", the Centre does not recommend that a non-emergency line be answered as an emergency line.</p> <p>Action Plan: As previously mentioned, QA work has already started and was put on hold due to other time sensitive priorities and workload capacity in 2018. QA is done on an ongoing basis for major emergency calls and fire telecommunicator performance call handling times. The fire department was involved with phase one of the Business Intelligence (BI) dashboard build project, and telecommunicator performance measures dashboard was built as part of this initiative, which allows for individual or group performance times review on an ongoing basis. The QA/QI model being created supports best practice recommendations provided from APCO 1.107.1.2015 Standard (as outlined above). Performance times are also reviewed as part of a telecommunicators annual performance evaluation. NFPA 1221 is used to measure the Centre's performance and is built into the dashboard as the establish performance target, screen capture of dashboard provided below for reference. In 2019, the focus of the work will be to align Burlington fire dispatch centre quality assurance to APCO best practice recommendations and to formalize the processes to ensure QA supports continuous improvement within the Centre.</p>	29-Nov-19		<p>Dec 8, 2021: COMPLETE</p> <p>Quality Assurance Fire Communications Centre – SOG completed and provided. The SOG for Quality Assurance is based on the APCO standard which Burlington Fire adopted as it's measurable QA program. It also meets the National Fire Protection Standard (NFPA) 1061; which is the standard for Public Safety Telecommunicators.</p> <p>December 31, 2019:</p> <p>New supervisor has completed APCO supervisor program.</p> <p><i>Auditor's Comment:</i> Follow up will continue until evidence new QA process reflecting APCO standards is in place.</p> <p>October 9, 2019: New communications supervisor to be enrolled in APCO supervisor program</p> <p><i>Auditor's Comment:</i> Follow up will continue until evidence new QA process reflecting APCO standards is in place.</p> <p>August 2, 2019:</p> <p>1100-049 – Quality Assurance Fire Communications Centre Issued (July 18, 2019)</p> <p>Next follow up: August 30, 2019</p> <p>April 2019: report recently issued. Regular follow-up scheduled for end of June.</p>	N/A	0	Fire Chief

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Fire	Communications	Fire Emergency Communications	1-Mar-19	5	High	<p>Business Continuity: In 2017, Fire 911 Communications identified the lack of a permanent secondary location for public safety communications as a risk. Throughout 2018, work was underway to create an alternate site to support service continuity in the event the primary site is deemed inoperable. The pace of development has slowed considerably during 2018 given other priorities including focus on new CAD implementation and providing fire dispatch service delivery to another municipality within the Region of Halton.</p> <p>An evacuation box is prepared and maintained with the necessary materials needed for manual dispatching of calls from another location. The current arrangement with another public safety agency for use of space and systems/equipment is no longer feasible as systems/equipment are significantly different.</p> <p>Evacuation of the center is a critical risk.</p> <p>Recommendations: Burlington Fire Department re-prioritize projects to put completion of the alternate site as the primary focus including updating the business continuity plan and establishing regular testing of the processes and systems (i.e. on-going operations).</p> <p>Strong coordination with IT to ensure resources are available to support the technology work necessary to complete the alternate site and maintain the technology through its life cycle.</p>	Establish a permanent alternate location to provide fire dispatch service delivery with the least amount of disruption time. The alternate location will be established to support both long-term and short-term disruptions in service. This is the highest priority project for the fire department and has the support of IT services. The IT Workplan Roadmap also lists this as a priority project. Fire has two (2) IT personnel that will provide key support of this project through completion. Capital Works is also involved with the project to build out additional space and fit ups of room, excluding IT technology requirements. Funding has been approved for this project.	31-Dec-19		<p>Dec 8, 2021: COMPLETE Alternate Dispatch location completed, and commissioned. This was completed on October 29, 2019.</p> <p><i>Auditor's comments:</i> A copy of the updated Public Safety Answering Point (PSAP) Contingency Plan with the alternate location was provided to evidence the completion of the Management Response. In addition, the City Auditor noted other documents were updated to reflect the alternate location including the 'Burlington Fire Dispatch - Evacuation Checklist' (dated Nov 2019) and 'Supervisor Training Bulletin-1100' (dated April 2020). This will be marked completed.</p> <p>December 31, 2019: Phase 1 which consisted of the CAD only testing was a success. Phase 2 will consists of adding station alerting and NICE recordings to this center over the next few months</p> <p><i>Auditor's Comment:</i> Follow up will continue until scale, scope and frequency of testing of the alternate dispatch equipment, location and personnel staffing are documented and implemented.</p> <p>October 9, 2019 • The alternate dispatch location is completed and is going through active CAD testing. • The development of an ITS workplan will identify technology and software updates and or replacement. This includes NEXT GEN 911.</p> <p><i>Auditor's Comment:</i> Follow up will continue until scale, scope and frequency of testing of the alternate dispatch equipment, location and personnel staffing are documented and implemented.</p> <p>August 2, 2019: The alternate dispatch location has been renovated and is ready to receive equipment. • CAD computers (4) have arrived and are going through CAD testing. • dispatch consoles have been ordered, and are expected to be delivered by the end of August 2019 • cables, network drops, Bell phone lines have been installed and are insitu. • Back up dispatch testing September 17, 2019.</p> <p>Next follow up: August 31, 2019</p> <p>April 2019: report recently issued. Regular follow-up scheduled for end of June.</p>	N/A	0	Fire Chief
Finance	Accounting & Procurement	AP & P'Card	23-Dec-19	1	Medium	<p>Recommendations: 1. Establish the necessary borrowing by-law to acknowledge the short-term financing related to the extension of credit through the purchase card program.</p> <p>2. Ensure agreement extensions and confirmation of services continuing are formally acknowledged.</p>	<p>Comments: Agree</p> <p>Action Plan: 1. Establish the necessary borrowing by-law to acknowledge the short-term financing related to the extension of credit through the purchase card program.</p> <p>2. Follow-up communication request exercised.</p>	1. April 30, 2020 2. Completed	N/A	<p>Dec 8, 2021: COMPLETE Action Plan #1 was complete with Council's approval of Bylaw #100-2020 on Dec 14, 2020 (A by-law to authorize the temporary borrowings of monies from the Royal Bank of Canada) accompanied by report #F-43-20.</p>	N/A	0	1. Controller and Manager of Financial Services 2. Manager of Procurement Services
Finance	Accounting & Procurement	AP & P'Card	23-Dec-19	2	Medium	<p>Recommendations: Include the use of purchase card services in renegotiated operating agreements.</p> <p>While work on agreements is underway, an interim solution may be to obtain board resolutions supporting the use of purchase card services, the extension of credit by the City on behalf of the agency, and the indemnification for any loss or liability arising from the use of the purchase card program implemented by the City.</p>	<p>Comments: Agree</p> <p>Action Plan: Request agencies obtain board resolutions agreeing to use of City's purchase card services and the indemnification for any loss or liability arising from the use of the purchase card program implemented by the City. Resolutions will be provided to City staff responsible for revising operating agreements so that they can be incorporated into the new operating agreements.</p>	End of Q2 2020	N/A	<p>Dec 8, 2021: COMPLETE The Management Action Plan is complete. The AGB, Tourism, Burlington EcDev and BPAC passed Board resolution supporting the use of purchase card services in Q2 of 2020.</p>	N/A	0	Coordinator Accounting Services

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Finance	Accounting & Procurement	AP & P'Card	23-Dec-19	3	Medium	Recommendations: Work with staff in both the City and agencies to: - review operating procedures for comprehensive understanding of responsibilities - establish appropriate supervisor review of spending in affected agency, - include purchase card on City's Conclusion of Employment form to automate notification to Payroll for card cancellation, - review card cancellation procedures with agencies, and - determine appropriate card issuance and limits to support operations.	Comments: Agree Action Plan: Reinforce the responsibilities of cardholders and supervisors and assist the boards in establishing and documenting appropriate review procedures. Liaise with HR & IT to include purchase card on City's Conclusion of Employment form to automate notification to Payroll for card cancellation	End of Q2 2020	N/A	Dec 8, 2021: COMPLETE The Management Action Plan is complete. Staff have added a question to the City's Conclusion of Employment form which will notify managers/supervisor for P-Card cancellation.	N/A	0	Coordinator Accounting Services
Finance	Accounting & Procurement	AP & P'Card	23-Dec-19	4	Low	Recommendations: Connect with Department Payment Card Coordinators to use only the Statement of Account report for the monthly reconciliation of cardholder charges for review by supervisors. Include in the AP Clerk audit procedures to confirm use of appropriate statement type.	Comments: Agree Action Plan: Send email communication to Payment Card Coordinators to advise their card holders to use only the Statement of Account report for the monthly reconciliation of cardholder charges for review by supervisors. Also communicate their responsibility for tracking receipt of signed and reconciled statements going forward. Include in the AP Clerk audit procedures to confirm use of appropriate statement type.	28-Feb-20	N/A	Dec 8, 2021: COMPLETE The Management Action Plan is complete. An email communication was sent to Payment Card Coordinators in March 2020 advising them of the procedures identified in the audit recommendations.	N/A	0	Coordinator Accounting Services
Finance	Accounting & Procurement	AP & P'Card	23-Dec-19	5	High	Recommendations: 1. Within Procurement, undertake a project to clean up the current Vendor Master File including removal of duplicate vendors, completion and accuracy checks of fields, correction of file structures, and blocking of inactive or dormant vendors and former employees. 2. Update and communicate the standard operating procedures and ensure a cycle of regular review is established. 3. Establish and enforce procedures for data entry formats (e.g., naming conventions, record structure, physical address required, direct communication information required). 4. Implement the monitoring required to ensure the vendor master information and updates are legitimate and input correctly and accurately.	Comments: Agree Action Plan: 1. Perform a review of the vendor master report with a goal of both culling redundant vendors as well as looking for any suspect situations and investigating accordingly. 2. Update SOPs including vendor master report process. 3. Identify mandatory fields required for vendor setup (both external and internal vendors) and incorporate into the existing SOPs. 4. Establish the processes to implement the Quality Control of the Vendor Master File SOP. With the review of the vendor master report being performed by end of June 2020, the processes for quality assurance will begin at the end of 2020.	1. June 30, 2020 2. Completed 3. June 30, 2020 4. December 31, 2020	31-Dec-21	Dec 8, 2021: IN PROGRESS 1. In progress. Vendor master cleanser is currently occurring in order to prepare for new ERP system. Redundant vendors blocked, now reviewing for anything that appears suspicious or in duplication. 2. This Management Action Plan is complete. 3. In progress. Currently updated SOPs. 4. In progress. Reports have been run, quality control has not begun. Process and specific timelines being added to SOP for quality control actions.	161	1	Manager of Procurement Services
Finance	Accounting & Procurement	AP & P'Card	23-Dec-19	6	Medium	Recommendations: Where possible, control the permissions to add, delete or change vendor master information within SAP. Where not possible, a compensating monitoring/detective control is needed to ensure changes made to the vendor master information, including banking information, are legitimate and authorized.	Comments: Agree Action Plan: Remove inappropriate access for vendor changes	Completed			N/A	0	Controller and Manager of Financial Services
ITS	Information Technology Services	Corporate Cloud Computing Management	7-Feb-20	1	Medium	Recommendations: Communication strategy should be developed and implemented that will serve to improve initial awareness and that will reinforce simple and clear requirements supported with the purpose they serve.	Comments: Agree Action Plan: The existing cloud policy and framework will be updated and will be followed by the development of a communication strategy with the goal of informing and educating on the cloud policy and framework including details on: • Purpose of the policy and framework • Roles and responsibility • How it will be monitored, managed, and enforced	Q1 2021	Q2 2022	Dec 8, 2021: IN PROGRESS • Cloud policy updates are underway with internal reviews to be scheduled. Once cloud policy is finalized, communication strategy will be rolled out to the organization.	252	1	Manager, IT Strategic Service Delivery

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ITS	Information Technology Services	Corporate Cloud Computing Management	7-Feb-20	2	Medium	Recommendations: - Enforce the requirement to have cloud services registered with ITS. - Based on registered services, maintain an inventory of cloud services used. At a minimum the inventory of registered services should indicate its use, the type of data stored and the business owner. - Review the cloud services offered periodically to identify opportunities to consolidate services, identify where services provided internally do not meet users' needs or where training in existing services are required.	Comments: Agree Action Plan: The following actions will be taken in response to the recommendation: • A process for registering cloud applications will be implemented and will form the basis for updating the existing application inventory. • The application inventory will include but not be limited to a description of the system, any confidential/private data stored, security assessments or PIA's performed, key contacts in IT Services and the business. • The inventory will be shared with the business on an annual basis to confirm the solution is still in use and the information on file is accurate • Opportunities to consolidate cloud services may be considered within the scope of larger software implementations and/or within regular planning discussions between ITS and the business • The inventory will form the basis for defining acceptable cloud applications and will be published as such	Q1 2021	Q1 2022	Dec 8, 2021: IN PROGRESS • Process for registering cloud applications is documented. Inventory has been captured. Planning is underway to share inventory of pre-approved applications with the business.	252	1	Manager, Business Applications; Manager, IT Strategic Service Delivery
ITS	Information Technology Services	Corporate Cloud Computing Management	7-Feb-20	3	Medium	Recommendations: - A standardized risk assessment methodology should be created that includes a list of typical risk factors and used to help identify the level of risk that needs to be managed and help classify cloud services accordingly. Risk factors could be based on factors such as: the level of dependence on the services for business critical processes, whether the service will be customer facing, the number of users using the service, data classification or level of reliance on the data. - As part of the defined risk methodology, prescribed minimum controls and standards should be linked to risks. For example, if personally identifiable data is present, a Privacy Impact Assessment must be conducted.	Comments: Agree Action Plan: A risk assessment methodology will be developed and will be used to classify cloud services. It will include relevant risk factors and will prescribe new controls to mitigate the risks. Additional follow-up work including conducting Security and Privacy Impact Assessments will require additional time and resources from IT Services and the City Clerks Office.	Q2 2021	Q2 2022	Dec 8, 2021: IN PROGRESS • Creation of a system to enhance and centrally manage current risk analysis practices is underway resulting in an automated decision process based on information security and business risk. • Cloud services will be classified based on the risk analysis practices resulting in an inventory that documents risk decisions as well as implemented mitigation techniques.	161	1	Manager, Information Security
ITS	Information Technology Services	Corporate Cloud Computing Management	7-Feb-20	4	Medium	Recommendations: - Define prescribed cloud control activities and who needs to perform them for each cloud service. Develop an application support model that includes specific process areas such as user access management, vendor management, terms and conditions, requests and incidents handling, and who is responsible for controls review over the duration. The level of detail can be determined using the classification system above, e.g. predefined activities. - Monitoring controls are needed to determine whether the processes that are in place are working and are effective. - Enforcement of policies and procedures, mechanisms to follow-up and enforce. Requirements should be clear, and it should also be clear that compliance is enforced. - Monitor and review existing applications that may evolve over time (e.g. where the uses of the app are expanded, or where new information/data is introduced or linked within the app) as changes may necessitate introduction of new or modification of existing controls/practices.	Comments: Agree Action Plan: IT Services will develop and update existing application support models identifying cloud control activities that need to be performed. The support models will initially focus on cloud services that are classified as high risk followed by medium risk services. The application support model will identify the specific responsibilities that reside within the business and those that reside within IT Services for cloud control activities that need to be performed. Given the number of cloud services in place and the current operational workload in IT Services this work will take several months and may require additional staff resources to maintain and enforce the operating model and/or require assistance from 3rd party resources. Addressing the recommendations in this finding will require new or updated operational processes that will impact the responsibilities of both IT Services and business staff.	Q4 2021	Q4 2022	Dec 8, 2021: IN PROGRESS • Work is underway on formalizing an application support model. • Yearly review of existing cloud apps based on classification of cloud services (based on high risk/low risk)	0	1	Manager, Business Applications; Manager, Information Security