

CA-01-22 - Appendix-A: Outstanding Management Action Plans as of Feb 9, 2022

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>February 9, 2022: COMPLETE Parking Services Management team is pleased to provide an update on our progress in satisfying the recommendations and committed management action plan pertaining to the Parking By-Law Enforcement Value of Money Audit (2018). We note that continued staff turnover and management participation in job rotations, compounded by the impacts of the pandemic, has resulted in delayed completion of this work.</p> <p>That being said, we have completed the last outstanding recommendation of the management action plan. As such, the Service Business Plan has been updated to reflect our new strategic direction “A public service that manages parking in Burlington with the goal of compliance and cost recovery.”</p> <p>We note that the review of policies is operational in nature and not exclusive to by-law enforcement. Our operational policies have been, and will continue to be updated as a part of our normal business practice.</p> <p>Dec 8, 2021: IN-PROGRESS 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. 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. 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>	N/A	3	Director Transportation; Manager of Transportation Planning and Parking; Supervisor Parking Services

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	
Finance	Accounting & Procurement	AP & PCard	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	Feb 9, 2022: COMPLETE 1. This Management Action Plan. Vendor master has been reviewed. 2. This Management Action Plan is complete. 3. This Management Action Plan is complete. SOPs updated to include mandatory field requirements. 4. This Management Action Plan is complete. Manager will spot Audit, and fully review semi-annually moving forward. 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.	N/A	1	Manager of Procurement 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	Feb 9, 2022: IN PROGRESS • Cloud policy updates are almost complete with internal reviews to be scheduled. Internal web pages have been updated. Once cloud policy is finalized, communication strategy will be rolled out to the organization. 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.	315	1	Manager, IT Strategic Service Delivery
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	Feb 9, 2022: IN PROGRESS • Process for registering cloud applications is documented. Inventory has been captured. Planning is complete to share inventory of pre-approved applications with the business. Design for the BI dashboard has been provided to the development team. 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.	315	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	Feb 9, 2022: IN PROGRESS Management provided an update consistent with the progress update below. 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.	224	1	Manager, Information Security

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	
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	Feb 9, 2022: IN PROGRESS Management provided an update consistent with the progress update below. 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)	40	1	Manager, Business Applications; Manager, Information Security