

CA-01-23 - Appendix-A: Outstanding Management Action Plans as of March 8, 2023

Department	Function	Audit Report	Audit Report Date	Details of Audit Issue				Expected Resolution Date	Revised Resolution Date	Status	Number		Owner
				Audit Finding Number	Risk Rating	Summary	Summary of Management Response				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	Q1 2023 Q4-2022	March 8, 2023: COMPLETED December 14, 2022: IN PROGRESS Research completed and draft application support model being developed. September 12, 2022: IN PROGRESS Continuing work on the application support models. June 8, 2022: IN PROGRESS Continuing work on the application support models. 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)	0	2	Manager, Business Applications; Manager, Information Security
HR	Health, Safety, Wellness	Health & Safety (Pandemic Controls) Audit	30-Nov-22	1	Medium	Recommendations: 1. Follow-up with City's vendor to install MERV 13 rated air filters at the City facilities noted during the audit. Reinforce the City's specifications/requirements to the contractor for MERV 13 rated air filters to be installed at all City facilities, where applicable. 2. Update the specifications/requirements in the contract of the City's HVAC vendor to either write the replacement date on the filter OR explicitly identify the service date on the invoice OR both. 3. Procure a portable air purifier for the three RPF facilities noted in the audit (and other comparable locations) and install them in the employee office/breakroom.	Management Action Plan: 1. The current vendor will be advised of the incorrect filters observed at Central, Rotary and FS#7. They will also be advised that the MERV-13 filter requirement is being maintained through to the completion of their contract in March 2023. 2. The new contract will require a continuation of MERV-13 filters in the equipment inventory that handles recycled air and is capable of accepting a MERV-13 filter. The new contract will also prescribe manually dating filters. 3. RPF will provide portable air purifiers at the locations noted and will also review similar sites where this is warranted.	1. Q1 2023 2. Q2 2023 3. Dec 9, 2022	-	March 8, 2023: Complete 1. Per Scott Buist (Analyst - Facility Maintenance Management): The current vendor is aware of the ongoing MERV-13 requirement for equipment that recycles air, and that this requirement extends to the end of the contract term. 2. Per Scott Buist (Analyst - Facility Maintenance Management): The maintenance contract covering service from April onward prescribes the same filtration standards that are currently in place, and requires filters be dated. 3. Per Nadia Blackburn (Manager, Parks Operations): I can confirm that the locations below all have air purifiers installed at the location below the first week of December 2022. We have also taken the extra step of installing these units at all of our park satellite locations as they are all similar to the locations visited during the audit.	0	0	1. Manager of Facility Assets 2. Manager of Facility Assets 3. Director of Roads, Parks, Forestry
HR	Health, Safety, Wellness	Health & Safety (Pandemic Controls) Audit	30-Nov-22	2	Low	Recommendations: 1.Health, Safety & Wellness should reinforce the requirements in the COVID-19 Safety Plan including cleaning/disinfecting common touch-points at least twice per day as well as ensuring layers of passive controls prescribed in the Safety Plan exist in all facilities. This should include corporate-wide messaging directed to all staff and supported by the Burlington Leadership Team. A dedicated 'Safety Talk' directed to staff may be considered. 2.Health, Safety & Wellness should develop and facilitate a process to safely dispose of expired COVID-19 safety supplies.	Management Action Plan: 1.The October 2022 Safety Talk package included infographics on infection prevention measures, as well as a link to the COVID-19 Safety Plan, with a request for supervisors to communicate the updated plan to staff. An email will be sent from the Manager of Health, Safety and Wellness to people leaders who have responsibility for facility operations/mgt., to reiterate the requirements to disinfect high traffic touch points 2x daily. Further, it will be strongly recommended that facility-specific checklists are created that identify the touch points as an administrative control (if the facility does not already have one). 2.An email will be sent to the Burlington Management Team, to ask their staff to check for expired hand sanitizers and disinfectants and dispose of them in accordance with Halton Region's recommendations (hazardous waste). The Manager of HS&W will investigate potential options for a city-wide hazardous waste disposal process, including a preferred/contracted vendor.	1.Target: 12/2/2022 2.Target: 12/2/2022	-	March 8, 2023: Complete 1. Corporate-wide messaging regarding Health & Safety reminders was sent in November 2022. 2. Corporate-wide messaging regarding safe disposal of expired safety materials was sent in November 2022. An interim process for dealing with waste that may be considered hazardous has been established, to ensure these products are not kept and used.	0	0	Manager of Health, Safety & Wellness