


























































































## APPENDIX 2- Management Action Plan Status Details as of December 31, 2020

Legend			
In progress		Completed	
Completed		In progress- deferred/delayed	
Deferred		In progress- on time	
In progress- delayed			
Expected completion			

Audit and Finding/Issue	Q4 2020	Q1 2021	Q2-Q4 2021
<b>Building Permits</b> Permit Review and Issuance Process			
<b>Building Inspections</b> Performance Metrics			
<b>Corporate Security</b> Physical Access Controls (employee access)		x	x
<b>IT Service Desk</b> Out of Hours System Issues are not Recorded			x
<b>Mobile Phone Management</b> The current mobile device technology management processes do not reflect the changing environment		x	x
<b>Mobile Phone Management</b> The current mobile device technology management processes do not reflect the changing environment		x	x
<b>Mobile Phone Management</b> Personal usage reporting is a manual process and is unsustainable		x	x
<b>Mobile Phone Management</b> Personal usage reporting is a manual process and is unsustainable		x	x
<b>Payroll</b> Decentralized Ownership of Employee Data that Supports the Payroll Processing		x	x
<b>Payroll</b> Decentralized Ownership of Employee Data that Supports the Payroll Processing		x	x

Audit and Finding/Issue	Q4 2020	Q1 2021	Q2-Q4 2021
<b>Payroll</b> Awareness of accountability for Time and Attendance Data Entry	 ↑	x	x
<b>Payroll</b> Awareness of accountability for Time and Attendance Data Entry	 ↑	x	x
<b>Payroll</b> Awareness of accountability for Time and Attendance Data Entry	 ↑	x	x
<b>Payroll</b> Vacation and Leave Balances Calculation	 ↑	x	x
<b>Payroll</b> Vacation and Leave Balances Calculation	 ↑	x	x
<b>Payroll</b> Vacation and Leave Balances Calculation	 ↑	x	x
<b>Payroll</b> Use of KPIs to Track Performance and Address Root Causes	 ↑	x	x
<b>Payroll</b> Use of KPIs to Track Performance and Address Root Causes	 ↑	x	x
<b>Construction</b> Monthly Reporting to Senior Management	 ↓	 ↓	
<b>HR Recruitment</b> Policies & Procedures Require Review and Update	 ↓		x
<b>HR Recruitment</b> Policies & Procedures Require Review and Update	 ↓		x
<b>Review of Councillor Budget and Staffing Model</b> Process & Policy: Expense Claims	 ↑	x	x
<b>Review of Councillor Budget and Staffing Model</b> Inconsistent Documentation: Expenses	 ↑	x	x
<b>Fleet Services</b> Frozen Vehicle Data Units	 ↓		x
<b>HR Benefits (Phase 1)</b> Policies & Procedures are not current	 ↓	 ↓	
<b>HR Benefits (Phase 1)</b> Validation of Practitioners for STD	 ↓	 ↓	
<b>HR Benefits (Phase 1)</b> Validation of Practitioners for STD	 ↓	 ↓	
<b>Rose Theatre Operations</b> Rental deposit and outstanding amounts are not consistently collected from rental clients	 ↑	x	x

<b>Audit and Finding/Issue</b>	<b>Q4 2020</b>	<b>Q1 2021</b>	<b>Q2-Q4 2021</b>
<b>Rose Theatre Operations</b> Standard Operating Procedures (SOPs) are not complete or current			<b>x</b>
<b>Contract Management</b> Standard Operating Procedures (SOPs) are not current		<b>x</b>	<b>x</b>
<b>Contracted Cleaning</b> Contract Terms & Conditions			<b>x</b>
<b>Asset Management</b> Ineffective automated asset discovery and management tool			<b>x</b>
<b>Asset Management</b> Key person dependency risk			
<b>Asset Management</b> Lack of oversight over electronic card access and physical door keys			<b>x</b>
<b>Segregation of Duties</b> Employees suspended in April on a temporary basis still retained their access to sub-systems in addition to only network and email			<b>x</b>
<b>Transit Operations</b> Scrap Sales & Potential Exposure			<b>x</b>
<b>Transit Operations</b> Inventory Parts Identification Process			<b>x</b>
<b>Transit Operations</b> Physical Inventory Management			
<b>Transit Operations</b> Inventory management systems are not integrated			2022
<b>Transit Operations</b> Standard operating procedures are not current		<b>x</b>	<b>x</b>
<b>Transit Operations</b> Monitoring fuel inventory volumes and fuel usage reconciliation		<b>x</b>	<b>x</b>
<b>Transit Operations</b> Fare Collection and Enforcement			
<b>Transit Operations</b> Transit Accident Claims Process		<b>x</b>	<b>x</b>
<b>Transit Operations</b> Attendance cards Mechanics and Stock Keepers			
<b>Cyber Security</b> Patch management deficiencies			
<b>Cyber Security</b> Password strength			

Audit and Finding/Issue	Q4 2020	Q1 2021	Q2-Q4 2021
<b>Cyber Security</b> Limited security awareness training and testing	● →	● →	○
<b>Cyber Security</b> No reporting on spoofing mail services	● →	○	x
<b>Cyber Security</b> Limited network segregation	● →	● →	○
<b>Cyber Security</b> Limited network traffic decryption/ inspection	● →	● →	2022
<b>Cyber Security</b> An ongoing vulnerability assessment program is not in place	● ↑	x	x
<b>Cyber Security</b> Phishing tests are not performed across the organization	● →	● →	x
<b>Cyber Security</b> Segregation of cybersecurity duties	● ↑	x	x
<b>Cyber Security</b> IT Service Continuity Management Planning is in its early stages of development	● →	● →	○
<b>Building Design &amp; Constructions</b> SOP Development & Identification of Mandatory Documentation	● →	● →	○
<b>Building Design &amp; Construction</b> Compliance Review & Training	● →	● →	○