

## INTERNAL AUDIT MEMO

**Date:** November 3, 2020  
**To:** Kumanan Gopalasamy, Chief Information Officer (CIO), Corporate Support Services  
**From:** Sunny Kalkat, Director, Internal Audit  
**Re:** Data Architecture and Management Audit

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The purpose of this memo is to communicate the Internal Audit (IA) decision to postpone the Data Architecture and Management audit.

IA was to review Digital Innovation and Information Technology's (DIIT) progress on implementing an external consultant's 'Data and Analytics Strategy Report' created for DIIT in 2019. While planning for the audit, IA became aware that the implementation had been delayed due to resource constraints and COVID-19 related priorities and concluded that performing an audit at this time would not add value. IA will monitor the implementation and schedule an audit at a future date.

### Background

Data governance and architecture was ranked as high risk in IA's 2018 IT Risk Assessment. DIIT subsequently engaged an external consulting firm to develop a strategy and the 'City of Brampton Data and Analytics Strategy Report' was released on August 20<sup>th</sup>, 2019. The consultant's report ranked the City's data and analytics strategy at a low maturity level.

The implementation of the three-year strategy was assigned to a DIIT senior manager for implementation.

The implementation of strong data and analytics capabilities is a significant undertaking that will drive cultural change and requires corporate commitment. Lack of adequate data management practices and controls increases data security and data availability risk; limits the City's ability to leverage data to plan and manage municipal services; and limits data transparency.

## **Audit Planning Meeting**

IA held a preliminary audit-planning meeting with DIIT on August 9, 2020 and discovered that the work had not progressed beyond the delivery of the 2019 external consultant's strategy report. No project leader was appointed after the responsible DIIT senior manager became unavailable. There is a knowledge gap as well due to many members of the senior leadership group who are no longer with the City. An actual project plan to implement the strategy was not in place.

## **Data and Analytics Strategy Report Review**

IA reviewed the contents of the external consultant's strategy report. IA concluded that the consultant's report provided management with the information needed to create action plans, and conducting an audit at this time would not provide any new information.

## **Management Action Plan**

1. Management is in the process of updating the strategy dates.
2. A senior manager responsible for the strategy implementation is being hired. The job posting closed on September 23<sup>rd</sup>.
3. IA will report on management actions during the quarterly management action plan (MAP) updates.

## **IA Conclusion**

IA concludes that performing an audit at this time will not add value. The actions needed to be taken by management to address data risk have been identified and mapped out in a three-year strategy. Management recognizes the importance of strong data management and analytics capability and has taken steps to move the initiative forward.

Regards,

Sunny Kalkat  
Director, Internal Audit