

MANAGEMENT ACTION PLAN UPDATE

Report Title	Report Issue Date	High & Medium Observations	Closed	In Progress	Past Due	On Hold	Deadline	Follow-up Action Plan
Enterprise Content Management	Feb-16	1		1			Jun-22	Niagara Region initiated Enterprise Content Management (ECM) program to ensure that all corporate information assets and artifacts are properly managed throughout their lifecycle. In answer to gaps identified in a 3 rd party audit and general concerns over document management and auditability, the Region is looking to ensure all content is secured, managed and a clear audit trail of the lifecycle of the content is available.
Project Estimating	Feb-16	1				1		Project Estimating has become the responsibility of Asset Management Office. A 5 year Asset Management Plan will be submitted in Q3 2021 which will include Project Estimating, as well as other subprojects.
Fleet Parts Inventory & Fuel Audit	Nov-17	1				1	n/a	The observation on hold pertains to research the cost and benefit associated with installation of automatic fuel pumps. The research is dependent on Council's direction on Niagara Region's role in Material Recycling Facilities (MRF)
P-Card Audit	Oct-17	10	10				n/a	Follow-up audit planned for 2021

Information Technology Security and Data Backup Controls Audit	Apr-18	16	15	1			Apr-20	The three observations in process pertain to security assessments, remote sites of infrastructure devices and investigation of CMDB tool. Internal Audit is currently scoping out plans to conduct audits next year focussing on cyber security, access and control measures and penetration testing.
Grants and Incentive Program	Jun-18	4		4			Dec-20	In September 2019 Regional Council identified four priority areas for Regional incentives (Affordable Housing, Brownfield Remediation, Employment, and Public Realm). An interdepartmental Committee, and four subcommittees for each priority area, have been meeting to work through program alignment, financial implications, administrative models, and more. Following final engagement this spring, it is anticipated a presentation and recommendation report regarding incentives will go to Regional Council in summer 2021.
Procurement Audit	Jan-20	4	1	3			Dec-20	One recommendation has been fully addressed while the remaining three are in progress and on time.
Non-competitive Procurement Audit	Jan-20	3	1	2			Jul-20	One recommendation has been fully addressed while the remaining two are in progress and on time.
Health Benefits Claims Audit	Mar-20	2	2	0			Dec-21	HR/Total Rewards has worked with the carrier to receive expanded and improved reporting which will facilitate identification of potential and support contract negotiations. In addition, the carrier has agreed to request additional documentation for vision care to ensure compliance with expected policies.
KPMG Non-Competitive Procurement Audit	Dec-20	4	2	2			Dec-21	Of the HIGH/MEDIUM risks identified by KPMG two have been completed and two are in progress and on time.
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