

OFFICE OF THE AUDITOR GENERAL - REPORTS ON AUDIT FOLLOW-UPS

ACS2021-OAG-BVG-004

CITY WIDE

That the Audit Committee recommend Council receive the Report on Audit Follow-up Procedures and detailed audit follow-up reports.

At the outset, the Committee considered the following motion:

AC MOTION No. 2021 1/11

Moved by: Vice-Chair Meehan

WHEREAS the Supporting Documentation titled:

“Office of the Auditor General – Report on Audit Follow-Ups – Portions of the Follow-Up to the 2015 Audit of Information Technology Security Incident Handling and Response Included in this report was not circulated with the agenda package;

THEREFORE BE IT RESOLVED that the Audit Committee approve the addition of this document for consideration by the Committee at today’s meeting, pursuant to Section 89(3) of the Procedure By-law (being By-law no. 2021-24).

CARRIED

Nathalie Gougeon, Auditor General and Ed Miner, Deputy Auditor General spoke to a PowerPoint presentation which served to provide an overview of the following follow-up audits: *[A copy of the PowerPoint presentation is held on file with the City Clerk]*

- Follow-up to the 2011 Audit of the Human Resources Master Plan (Previous follow-up completed in 2015)

- Follow-up to the 2015 Audit of IT Risk Management (Previous follow-up completed in 2019)
- Follow-up to the 2015 Audit of Information Technology Security Incident Handling and Response (Previous follow-up completed in 2019, result on completion only – follow-up to be presented *In Camera*)
- Follow-up to the 2015 Follow-up Audit of IT Governance (Previous follow-up completed in 2019)
- Follow-up to the 2017 Audit of Information Technology (IT) Remote Access
- Follow-up to the 2017 Audit of the Regulatory Framework for Light Rail Transit
- Follow-up to the 2017 Audit of Social Housing Registry
- Follow-up to the 2018 Review of the City's Practices for the Procurement of Commercial Vehicles

The following staff were in attendance to respond to questions:

- Steve Kanellakos, City Manager
- Elizabeth Marland, Director, Human Resources Services, Innovative Client Services Department
- Will McDonald, Chief Procurement Officer, Supply Services, Innovative Client Services Department
- Lisa Goodfellow, Manager, Social Housing, Community and Social Services Department

Questions and responses pertained to the following audits:

- 2011 Audit of the Human Resources Master Plan

The underlying reasons why only four of the seven recommendations were implemented were in part due to organizational changes and delays due to the pandemic. In terms of tracking and equity, staff have been reviewing policies and practices to address systemic barriers in order to have an equitable and diverse workforce in place.

- 2018 Review of the City's Practices for the Procurement of Commercial Vehicles

The safeguard measures currently in place include both Canadian free trade agreement and the Procurement By-law. The compliance definition not only speaks to corporations but also to directors, therefore could track companies that change their corporate names.

- 2017 Audit of Social Housing Registry

A number of questions were raised with respect to the list and if there were any discrepancies, omission of names or any incidents. The OAG confirmed that these issues were part of the original audit and not covered in this follow up audit. Staff explained the processes involved in adding and removing people on the list as regulated by Bill 184.

General questions and comments touched on other municipalities compliance rates and how the City of Ottawa has a 96 per cent completion rate since 2005.

After discussion, the Committee voted on the following motion to move *In Camera*:

AC MOTION No. 2021 2/11

Moved by: Vice-Chair Meehan

THEREFORE BE IT RESOLVED THAT, in accordance with Procedure By-law 2021-24, the Audit Committee resolve In Camera pursuant to Subsections 13(1)(a), the security of the property of the city, and 13(1)(b) personal matters about an identifiable individual, including staff, based upon the rationale set out in the Legal Implications section of the report titled “Office of the Auditor General – Report on Audit Follow-ups” in order to receive from the Auditor General the Follow-up to the 2015 Audit of Information Technology Security Incident Handling and Response.

CARRIED

IN CAMERA ITEMS*

THAT, IN ACCORDANCE WITH PROCEDURE BY-LAW 2021-24, THE AUDIT COMMITTEE RESOLVE IN CAMERA PURSUANT TO SUBSECTION 13(1)(A), THE SECURITY OF THE PROPERTY OF THE CITY, AND 13(1)(B) PERSONAL MATTERS ABOUT AN IDENTIFIABLE INDIVIDUAL, INCLUDING STAFF, AND BASED UPON

THE RATIONALE SET OUT IN THE LEGAL IMPLICATIONS SECTION OF THE REPORT, PORTIONS OF THE REPORT TITLED “FOLLOW-UP TO THE 2015 AUDIT OF INFORMATION TECHNOLOGY SECURITY INCIDENT HANDLING AND RESPONSE” WILL NOT BE REPORTED OUT.

OFFICE OF THE AUDITOR GENERAL – REPORT ON AUDIT FOLLOW-UPS – PORTIONS OF THE FOLLOW-UP TO THE 2015 AUDIT OF INFORMATION TECHNOLOGY SECURITY INCIDENT HANDLING AND RESPONSE INCLUDED IN THIS REPORT WILL NOT BE REPORTED OUT

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CITY WIDE

Upon resuming in open session, Chair Cloutier advised that the Audit Committee met *In Camera* to consider the Auditor General the Follow-up to the 2015 Audit of Information Technology Security Incident Handling and Response.

The Chair noted that during the *In Camera* session, the Auditor General provided a Presentation and answered questions from the Committee. No votes were taken except for the Procedural motion to rise from the *In Camera* session.

This confidential audit report will not be reported out based on the legal opinion set out in the Legal Implications section of the report titled “Follow-up to the 2015 Audit of IT Security Incident Handling and Response Report”.

The report set out in Item 4 and listed as an *In-Camera* item of the Audit Committee Agenda was CARRIED as presented.