

Action Plan and Progress Assessment (APPA) for the implementation of audit recommendations from the OAG- Prepared for the Select Standing Committee of Public Accounts
Attention: Shirley Bond, Chair and Mitzi Dean, Deputy Chair of the Select Standing Committee on Public Accounts

Supplier File Maintenance Audit Released [01/19]

<http://www.bcauditor.com/pubs/2019/master-supplier-file-maintenance>

PAC Meeting Plan¹ [09/04/2019] Prepared by: Steven Rossander, Corporate Accounting Services, Office of the Comptroller General Reviewed by: Carl Fischer, Comptroller General

1st APPA Update [DD/MM/YY] Prepared by: [Name], [Organization Name] Reviewed by: [Name of Deputy Minister or Assistant Deputy Minister]

2nd APPA Update [DD/MM/YY] Prepared by: [Name], [Organization Name] Reviewed by: [Name of Deputy Minister or Assistant Deputy Minister]

Rec. # Accepted? Yes / No ²	OAG Recommendations	Actions Planned & Target Date(s) ³	Assessment of Progress to date ⁴ and Actions Taken ⁵ (APPA update)
1. Yes	Update the Core Policy and Procedures Manual to include a clear definition of a supplier, roles and responsibilities for maintenance of the data, and minimum information standards to confirm the unique identity of each supplier.	<p>We will align policy direction in this area to provide clear and unambiguous direction to ministry officials responsible for adding and validating supplier information. Actions planned:</p> <ul style="list-style-type: none"> • Provide a clear definition of a 'Supplier' and provide additional clarity to ministries on their responsibilities regarding the maintenance and accuracy of supplier data. • Ensure that supplier information standards are clearly defined within the policy framework. <p>Target Date: 31/03/2020</p>	<p>Progress Assessment:</p> <p>Actions Taken & Discussion:</p>

¹ The audited organization will be required to present their initial action plan at this meeting (i.e. First three columns completed for each OAG recommendation included in the audit report)

² For each recommendation, the audited organization should state whether or not they have accepted the recommendation and plan to implement it fully by typing either "Yes" or "No" under the number of the recommendation.

³ Target date is the date that audited organization expects to have "fully or substantially implemented" the recommendation. If several actions are planned to implement one recommendation, indicate target dates for each if they are different.

⁴ The Select Standing Committee on Public Accounts (PAC) will request that the audited organization provide a yearly update (i.e. completed "Assessment of Progress and Actions Taken" column) until all recommendations are fully implemented or otherwise addressed to the satisfaction of the PAC. This is for the APPA update.

⁵ This action plan and the subsequent updates have not been audited by the OAG. However, at a future date that Office may undertake work to determine whether the entity has implemented the recommendations. The results of that work will be reported in a separate report prepared by the OAG.

Please provide your email response to:

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Rec. # Accepted? Yes / No ²	OAG Recommendations	Actions Planned & Target Date(s) ³	Assessment of Progress to date ⁴ and Actions Taken ⁵ (APPA update)
2. Yes	<i>Conduct periodic audits of user access to the master supplier file to ensure security of supplier records.</i>	<p><i>We will institute a review process to monitor user access to the master supplier file. Actions planned:</i></p> <ul style="list-style-type: none"> • Implement an exception report that will identify changes made to supplier data by unauthorized users. • Enhance testing of the supplier maintenance form by adding a test case that checks to see if unauthorized users can access the form. <p>Target Date: 31/03/2020</p>	<p>Progress Assessment:</p> <p>Actions Taken & Discussion:</p>
3. Yes	<i>Update procedures so that a unique personal or business identifier is part of all supplier records and ensure all changes to the master supplier file are confirmed as accurate before they are finalized.</i>	<p><i>We will reinforce the requirement to have one unique identifier included in supplier requests, if a unique identifier is unavailable, an exception report will be raised to support record integrity. Actions planned:</i></p> <ul style="list-style-type: none"> • Communicate supplier information standards to users and organizations responsible for supplier requests. • Future development will be aligned with identify management strategies adopted by the Province. <p>Target Date: 31/03/2020</p>	<p>Progress Assessment:</p> <p>Actions Taken & Discussion:</p>

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Rec. # Accepted? Yes / No ²	OAG Recommendations	Actions Planned & Target Date(s) ³	Assessment of Progress to date ⁴ and Actions Taken ⁵ (APPA update)
4. Yes	<i>Establish a regular file maintenance schedule.</i>	<p><i>We will enhance our regular system maintenance schedule with supplier specific reporting to better support ongoing integrity of the master supplier file. Actions planned:</i></p> <ul style="list-style-type: none"> • We will include supplier specific reporting in our regular systems maintenance processes. • We will define supplier inactivity and implement a supplier inactivation schedule. <p>Target Date: 31/03/2020</p>	<p>Progress Assessment:</p> <p>Actions Taken & Discussion:</p>
5. Yes	<i>Comply with records management policies for Office of the Comptroller General supplier records.</i>	<p><i>We will engage government Records Management Office to reassess the retention requirement for supplier records and make recommendations for changes where necessary to support government business requirements. Actions planned:</i></p> <ul style="list-style-type: none"> • Update records retention schedule to be consistent with business requirements. <p>Target Date: 31/03/2020</p>	<p>Progress Assessment:</p> <p>Actions Taken & Discussion:</p>

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