Detailed Action Plan - Prepared for the Select Standing Committee of Public Accounts

SDPR

Integrated Case Management System Released 03/15

http://www.bcauditor.com/pubs

Initial PAC Meeting- June/04/15

1st Action Plan Update May/2016

2nd Action Plan Update November/2017

¹The Select Standing Committee on Public Accounts (PAC) will request an update (i.e Assessment of Progress and Actions Taken column completed) on a yearly basis from the audited organization until all recommendations are fully implemented or otherwise addressed to the satisfaction of the PAC.

Please provide your email response to:

² This action plan and their 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 accurately represented their progress in addressing the recommendations. The results of that work will be reported in a separate report prepared by the OAG.

Rec. #	OAG Recommendations	Action Planned	Target Date	Assessment of Progress by Entity ¹	Action Taken ²
1.	Ensure that access to ICM is based on defined business and security requirements.	Progress reported to OAG: As part of ICM Phase 4, security profiles were reviewed in detail and updated to reflect current program area and security requirements. Job titles were standardized and approval processes were updated and improved. 18/19 Actions Planned:	Fiscal Year 16/17	Partially Implemented	As part of ICM Phase 4, security profiles were reviewed in detail and updated to reflect current program area and security requirements. Job titles were standardized and approval processes were updated and improved. Business and security requirements have been incorporated in to the release and change processes.
		ICM system release December 2017 (4.3.2) will further enhance access through improved business profiles.	Fiscal year 18/19		2016: Business and security requirements have been incorporated into the release and change processes. 2017: Access is limited to staff based on reporting structure and program area. System enhancements in December will reduce human error in updating access profiles.

Rec. #	OAG Recommendations	Action Planned	Target Date	Assessment of Progress by Entity ¹	Action Taken ²
2.	Ensure that access to ICM is updated promptly and regularly reviewed.	Progress reported to OAG: User account management processes were updated. Implemented regular review schedule using new user access monitoring capabilities. 18/19 Actions Planned: Enhance reporting by expanding spot checks across the sector and further segregation of duties between Access and Security and Privacy teams.	Fiscal Year 16/17 Fiscal year 18/19	Partially Implemented	User account management processes were updated. Implemented regular review schedule using new user access monitoring capabilities. 2016 Developed compliance reviews and reporting to ensure system access can be promptly updated to reflect staff and agency role changes. 2017 Monthly compliance reviews and reporting are in place to ensure user accounts are updated to reflect staff and Delegated Aboriginal Agency role changes. Access process improved through new service desk system.

Rec. #	OAG Recommendations	Action Planned	Target Date	Assessment of Progress by Entity ¹	Action Taken ²
3.	Ensure that access to restricted client records in ICM is appropriately assigned only to those with a defined need.	Progress reported to OAG: Security staff continues to work with the SDSI/CFD program areas to ensure policy and/or service delivery changes that affect access requirements are updated promptly. 18/19 Actions Planned: Investigating options for enhanced reporting on all restricted file access.	Fiscal Year 16/17 Fiscal Year 18/19	Partially Implemented	Security staff continues to work with the SDSI/CFD program areas to ensure policy and/or service delivery changes that affect access requirements are updated promptly. 2016 Implemented reporting on user access levels to enable ongoing systems access monitoring. Access management staff continue to work with SDSI/CFD program areas to ensure policy and/or service delivery changes that affect access requirements are updated promptly. 2017 Continuous improvement activities include development of a plan to produce proactive reporting for system staff with restricted access.

Rec. #	OAG Recommendations	Action Planned	Target Date	Assessment of Progress by Entity ¹	Action Taken ²
4.	Ensure that ICM system administration accounts are properly managed.	Progress reported to OAG: User account management processes and related security procedures were updated. All user accounts were reviewed as part of ICM Phase 4. Privileged access accounts have been segregated and a process is in place to review on a quarterly basis. 18/19 Actions Planned: Strengthen process to promptly disable privileged accounts when access is no longer required.	Fiscal Year 16/17 Fiscal year 18/19	Partially Implemented	User account management processes, and related security procedures were updated. All user accounts were reviewed as part of ICM Phase 4. Privileged access accounts have been segregated and a process is in place to review on a quarterly basis. 2016 Privileged accounts that were no longer needed have been disabled and removed. 2017 Reporting on privileged accounts continues. Working with our vendors to make enhancements to on and off boarding procedures.

Rec. #	OAG Recommendations	Action Planned	Target Date	Assessment of Progress by Entity ¹	Action Taken ²
5.	Conduct regular monitoring of ICM for inappropriate access and activity.	Progress reported to OAG: Implemented user access monitoring capabilities as part of ICM Phase 4. Reviewed and updated system settings for audit logging. Completed security testing with ICM Phase 4 and prior phases. Updated procedural documentation. 18/19 Actions Planned: Enhance audit log retention procedures and evaluating options for log monitoring. Further strengthen the security operating model.	Fiscal Year 16/17 Fiscal year 18/19	Partially Implemented	Implemented user access monitoring capabilities as part of ICM Phase 4. Reviewed and updated system settings for audit logging. Completed security testing with ICM Phase 4 and prior phases. Now incorporated in to our release and change management processes. Updated procedural documentation. 2016 Updating audit log retention procedures and evaluating options for log monitoring. Security testing is now incorporated into our release and change management processes. 2017 Audit Log screen provided visibility to all staff that have access to client files. Implement the approved retention policy for the audit log.

Rec. #	OAG Recommendations	Action Planned	Target Date	Assessment of Progress by Entity ¹	Action Taken ²
6.	Improve system and review processes to enhance the quality of client records in ICM.	Progress reported to OAG: As part of ICM Phase 4, significant system improvements were made to the data quality and search functionality through implementation of a new data quality tool. Improved awareness and business procedures with ministry program areas to ensure quality of client records. 18/19 Actions Planned: Enhance strategy for data conversion, migration and decommission.	Fiscal Year 16/17 Fiscal Year 18/19	Partially Implemented	As part of ICM Phase 4, significant system improvements were made to the data quality and search functionality through implementation of a new data quality tool. Improved awareness and business procedures with ministry program areas to ensure quality of client records. 2016 Director hired to focus on data quality and training staff to optimize tools and implement monitoring processes. 2017 Director and team now in place and focus is on data quality and training staff to optimize tools and reporting. Standard operating procedures in place to actively manage data quality in ICM.

Rec. #	OAG Recommendations	Action Planned	Target Date	Assessment of Progress by Entity ¹	Action Taken ²
7.	Implement a regular compliance program to assess, monitor and improve data quality in ICM on an ongoing basis.	Progress reported to OAG: As part of ICM Phase 4, data quality was improved by conducting a clean-up of data to remove duplicate records. Data quality management activities were augmented as part of ICM Phase 4, and a compliance program was established and implemented.	Fiscal Year 16/17	Partially Implemented	As part of ICM Phase 4, data quality was improved by conducting a clean-up of data to remove duplicate records. Data quality management activities were augmented as part of ICM Phase 4, and a compliance program was established and implemented.
		18/19 Actions Planned: Continue to grow awareness of data quality and compliance programs with front line business areas.	Fiscal year 18/19		An ongoing data quality management and awareness program has been implemented. 2017 Director and team are focused on data quality and training staff to optimize tools and reporting. Data Quality team reviews reconciliation reports on a scheduled basis to ensure data management.

Rec. #	OAG Recommendations	Action Planned	Target Date	Assessment of Progress by Entity ¹	Action Taken ²
8.	Prepare a full accounting of ICM capital and operating costs for the life of the project, consistent with details provided in the business case.	Full accounting of project capital costs Project capital costs were \$181.6 million or \$0.2 million under budget Project operating costs compiled for 2014/2015 as part of fiscal year-end audit	Fiscal Year 16/17	Partially Implemented	Full accounting of project capital costs is complete. Operating costs for 2014/15 were provided to the Public Accounts Committee in June 2015. We presented the most conservative interpretation of operating costs. ICM was completed in 2014, with a total capital cost of about \$181.6 million. 2016 - 2017 The Ministry has taken significant steps to ensure regular reporting is in place to record and report on project activity in compliance with GAAP and the Auditor General recommendations. Specifically, accountability for accurate distinction between capital and operating expenses reconciled with planned and actual expenditure activity on a regular basis.

Prepared by: Information Services Division, SDPR

Please provide your email response to: