

Attention: Mike Bernier, Chair and Rick Glumac, Deputy Chair of the Select Standing Committee on Public Accounts

Supplier File Maintenance Audit Released [01/19]

<http://www.bcauditor.com/pubs>

PAC Meeting Plan	[09/04/2019]	Prepared by: Steven Rossander, Corporate Accounting Services, Office of the Comptroller General	Reviewed by: Carl Fischer, Comptroller General
1st APPA Update	[26/02/2020]	Prepared by: Gordon Wong, Office of the Comptroller General	Reviewed by: Carl Fischer, Comptroller General
2nd APPA Update	[20/04/2021]	Prepared by: Gordon Wong, Office of the Comptroller General	Reviewed by: Carl Fischer, Comptroller General

Rec. # Accepted? Yes / No ¹	OAG Recommendations	Actions Planned & Target Date(s) ²	Assessment of Progress to date ³ and Actions Taken ⁴ (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.	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: <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. Target Date: Completed	Progress Assessment: Fully implemented Actions Taken & Discussion: Revised CPPM to add new CPPM section on Supplier File Maintenance that: <ul style="list-style-type: none"> • Provides a clear definition of a supplier. • Clarifies roles and responsibilities for data maintenance. • Sets minimum information standards to confirm the unique identity of each supplier.

¹ 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.
² 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.
³The 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.
⁴ 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:
 Email: Comptroller General’s Office of the Government of British Columbia Comptroller.General@gov.bc.ca
 Cc email to: the Office of the Auditor General of British Columbia actionplans@bcauditor.com

Attention: Mike Bernier, Chair and Rick Glumac, Deputy Chair of the Select Standing Committee on Public Accounts

Rec. # Accepted? Yes / No ¹	OAG Recommendations	Actions Planned & Target Date(s) ²	Assessment of Progress to date ³ and Actions Taken ⁴ (APPA update)
2. Yes	Conduct periodic audits of user access to the master supplier file to ensure security of supplier records.	<p>We will institute a review process to monitor user access to the master supplier file. Actions planned:</p> <ul style="list-style-type: none"> Implement an exception report that will identify changes made to supplier data by unauthorized users. <p>Target Date: Completed</p> <ul style="list-style-type: none"> 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: Completed</p>	<p>Progress Assessment: Fully implemented</p> <p>Actions Taken & Discussion:</p> <ul style="list-style-type: none"> Created automated audit exception report on supplier information changes to ensure only authorized users have change access. Created automated audit exception report for bank account information changes. Exception reports are independently reviewed by Corporate Compliance and Controls Monitoring Branch on a regular basis. Updated test cases to ensure adequate testing of all security controls on supplier forms.

Please provide your email response to:

Email: Comptroller General's Office of the Government of British Columbia Comptroller.General@gov.bc.ca

Cc email to: the Office of the Auditor General of British Columbia actionplans@bcauditor.com

Attention: Mike Bernier, Chair and Rick Glumac, Deputy Chair of the Select Standing Committee on Public Accounts

Rec. # Accepted? Yes / No ¹	OAG Recommendations	Actions Planned & Target Date(s) ²	Assessment of Progress to date ³ and Actions Taken ⁴ (APPA update)
3. Yes	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.	<p>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:</p> <ul style="list-style-type: none"> Communicate supplier information standards to users and organizations responsible for supplier requests. <p>Target Date: Completed</p> <ul style="list-style-type: none"> Future development will be aligned with identify management strategies adopted by the Province. <p>Target Date: Completed</p>	<p>Progress Assessment: Alternative Action</p> <p>Actions Taken & Discussion:</p> <ul style="list-style-type: none"> Restrictions on the authority to collect personal information prevent the use of Social Insurance Number, Driver’s Licence, and Personal Health Number as unique identifiers. Updated procedures for Supplier Maintenance Contacts (SMC) to validate business supplier information by using Corporate Registry a business identifier. An IT solution to flag supplier records that do not have a unique identifier. <p>Update 2021</p> <ul style="list-style-type: none"> Ministry of Finance has developed a strategy for using the BC Services Card ID (BCSC / BCID) that aligns with government strategy around identify management. Implement BC Services Card Authentication For PayBC. Status: In Development with implementation date of Mar 31, 2021. Working with provincial Identity Management Program (IDIM) to optimize use of unique identifier for the broader financial environment that aligns with the government services card strategy.

Please provide your email response to:

Email: Comptroller General’s Office of the Government of British Columbia Comptroller.General@gov.bc.ca

Cc email to: the Office of the Auditor General of British Columbia actionplans@bcauditor.com

Attention: Mike Bernier, Chair and Rick Glumac, Deputy Chair of the Select Standing Committee on Public Accounts

Rec. # Accepted? Yes / No ¹	OAG Recommendations	Actions Planned & Target Date(s) ²	Assessment of Progress to date ³ and Actions Taken ⁴ (APPA update)
4. Yes	Establish a regular file maintenance schedule.	<p>We will enhance our regular system maintenance schedule with supplier specific reporting to better support ongoing integrity of the master supplier file. Actions planned:</p> <ul style="list-style-type: none"> • We will include supplier specific reporting in our regular systems maintenance processes. <p>Target Date: Completed</p> <ul style="list-style-type: none"> • We will define supplier inactivity and implement a supplier inactivation schedule. <p>Target Date: Completed</p>	<p>Progress Assessment: Fully implemented</p> <p>Actions Taken & Discussion:</p> <ul style="list-style-type: none"> • All maintenance activities performed on the supplier file are documented and include a schedule. • Defined supplier inactivity: <ul style="list-style-type: none"> ➢ Identified active files based on its “active state”. ➢ Inactivation based on a 7 year inactivity period. ➢ Identified file types that are excluded from inactivation due to business requirements. • Implemented a supplier inactivation schedule that enables: <ul style="list-style-type: none"> ➢ Automated system end dating of inactive suppliers. ➢ Automated system end dating of employee type suppliers.
5. Yes	Comply with records management policies for Office of the Comptroller General supplier records.	<p>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:</p> <ul style="list-style-type: none"> • Update records retention schedule to be consistent with business requirements. <p>Target Date: Completed</p>	<p>Progress Assessment: Fully implemented</p> <p>Actions Taken & Discussion:</p> <ul style="list-style-type: none"> • Identified business requirements for supplier file records: <ul style="list-style-type: none"> ➢ Maintenance of active supplier file records. ➢ Conditions for obsolescence and final disposition. ➢ Recommendations for updates to the records retention schedule have been approved by the government Corporate Information & Records Management Office (CIRMO) and will be updated in accordance to their change schedule.

Please provide your email response to:

Email: Comptroller General’s Office of the Government of British Columbia Comptroller.General@gov.bc.ca

Cc email to: the Office of the Auditor General of British Columbia actionplans@bcauditor.com