



Service Alberta

November 2018

Summary

- 7 Total Recommendations
- 3 New Recommendations
- 4 Outstanding Recommendations
- 3 Outstanding Recommendations Older than 3 Years
- 2 **READY** for Follow-up Audit
- 5 **NOT READY** for Follow-up Audit

We issued an unqualified independent auditor's report on the 2017–2018 financial statements for the Ministry of Service Alberta.

In our *Contract Management Processes* audit (see "Performance Audit Reports"), there are three new recommendations for the department.

The department has four outstanding recommendations, three of which have been outstanding for more than three years.

The department implemented our 2008 recommendation related to access and security monitoring of the revenue systems.

Findings

Department

Access and security monitoring of the revenue application systems—recommendation implemented

Context

In 2008¹, we recommended that the Department of Service Alberta ensure that adequate logging and monitoring processes are in place in all application systems that host or support financial information and Albertans' personal information.

Our audit findings

We examined the department's risk assessment and actions related to the five IT systems that host or support financial information as well as Albertans' personal information. These are registry systems for motor vehicles and operators' licenses, vital statistics, land titles, personal property, and corporate registries.

The department has implemented our recommendation to ensure adequate access and security monitoring processes for all application systems by:

- completing a risk assessment of the registry systems and the financial and personal information contained in them
- implementing appropriate processes for systems it identified as high risk to ensure users only have the access they need and are using that access appropriately

We tested user-access controls and sampled system monitoring exception reports. We identified no deviations in our testing.

¹ Report of the Auditor General of Alberta—October 2008, page 346.

Recommendations

WHAT	WHEN	STATUS
<p>DEPARTMENT CONTRACT MANAGEMENT PROCESSES: Improve performance measurement processes</p> <p>We recommend that the Department of Service Alberta develop processes to improve its measuring, monitoring, and reporting of the performance of its large and complex contracts.</p>	November 2018, Performance Auditing, p. 5	NEW
<p>DEPARTMENT CONTRACT MANAGEMENT PROCESSES: Improve compliance processes</p> <p>We recommend that the Department of Service Alberta develop processes to improve its monitoring and enforcement of contract compliance to ensure that the desired results of the contract are achieved.</p>	November 2018, Performance Auditing, p. 10	NEW
<p>DEPARTMENT SYSTEMS CONTRACT MANAGEMENT PROCESSES: Incorporate lessons learned</p> <p>We recommend that the Department of Service Alberta develop processes to improve its evaluation of contracts and implement risk mitigation strategies and lessons learned where required.</p>	November 2018, Performance Auditing, p. 13	NEW
<p>DEPARTMENT SYSTEMS TO MANAGE A COMPREHENSIVE INVENTORY OF INFORMATION TECHNOLOGY APPLICATIONS: Establish a comprehensive inventory system for information technology applications used across government</p> <p>We recommend that the Department of Service Alberta complete its plans to implement a comprehensive inventory system of all IT applications used across government, with supporting processes to maintain the inventory. If required, Service Alberta should seek the necessary authority to complete the project.</p>	May 2017, no. 3, p. 51	NOT READY
<p>DEPARTMENT IT DISASTER RECOVERY PROGRAM: Improve recovery of critical information technology applications</p> <p>We recommend that the Department of Service Alberta, with support from the Deputy Ministers' Council:</p> <ul style="list-style-type: none"> • identify the most critical IT applications throughout all government entities • identify the times, after a disaster, that critical IT applications must be recovered • ensure that there are tested plans and adequate resources to recover critical IT applications within those times 	October 2014, no. 5, p. 45	READY

WHAT	WHEN	STATUS
<p>DEPARTMENT PROTECTING INFORMATION ASSETS FOLLOW-UP: Assess risk and improve oversight</p> <p>We recommend that the Department of Service Alberta:</p> <ul style="list-style-type: none"> • assess the risks to public information assets throughout the government • determine if the government has adequate IT security policies, standards and controls to mitigate risks • determine who is responsible and accountable to ensure that public information assets are adequately protected. Specifically: <ul style="list-style-type: none"> - who is responsible for monitoring compliance with IT security requirements - who is responsible for ensuring or enforcing compliance with security requirements - what actions should be taken when non-compliance is identified - how is compliance to security requirements demonstrated 	<p>October 2012, no. 11, p. 62</p>	<p>NOT READY</p>
<p>DEPARTMENT REPORT OF THE AUDITOR GENERAL OF ALBERTA—OCTOBER 2008: System conversion process</p> <p>We recommend that the Department of Service Alberta document its review of actual system conversion activities to ensure that they comply with the approved test plan for system conversion and data migration.</p>	<p>October 2008, p. 349</p>	<p>READY</p>