

**AUDIT OF INFORMATION TECHNOLOGY  
Management (Action Plan) Responses  
February 2005**

#	PRIORITY	DESCRIPTION	MANAGEMENT RESPONSE
<b>Ref: Chapter 3.1 GOVERNANCE FRAMEWORK – Information Technology Steering Committee</b>			
1.1	HIGH	An Information Technology Steering Committee (ITSC) should be established to connect end-users and senior management with the ISD organisation, oversee the strategic orientation and vision for IT by approving the IT plan, vision, and policies, appraise the viability and worth of IT projects to be undertaken, and recommend priorities and funding to the Management Committees.	<p>ISD agrees that a governing body to oversee the strategic orientation and vision of ISD is a good idea; however, the suggestion that an additional committee is required to do so is questioned.</p> <p>The need to create an Information Technology Steering Committee (ITSC) for the purpose of approving the information technology plan, vision and policies may speak more to deficiencies and commensurate opportunities within the existing committee structures. ISD proposes to explore the idea of expanding the terms of reference and mandates of the SSHRC Electronic Services Delivery and the NSERC eBusiness Steering Committees to fulfill the requirements identified for an ITSC.</p> <p>To be completed by the end June 2005.</p>
1.2	HIGH	Formal terms of reference (TOR) should be developed for the ITSC and describe the ITSC's goal, objectives and scope, deliverables, membership, responsibility, accountability and authority, reporting relationship, and frequency of meetings. Without TOR, our experience has shown that committees lack focus and are doomed to fail.	<p>Agreed.</p> <p>This will be pursued in conjunction with the response scribed for 1.1.</p> <p>To be completed by the end June 2005.</p>

#	PRIORITY	DESCRIPTION	MANAGEMENT RESPONSE
<b>Ref: Chapter 3.2 GOVERNANCE FRAMEWORK – The IT plan and the IT vision</b>			
2.1	HIGH	Produce an IT technological vision covering the next two to three years.	<p>Agreed.</p> <p>This is currently being drafted.</p> <p>ISD will also plan to revisit its technological vision on an annual basis as part of its fiscal planning activities to ensure relevance and accuracy to the strategic visions and directions of both Councils.</p> <p>To be completed by April 1<sup>st</sup>, 2005.</p>
2.2	HIGH	ISD should produce a more comprehensive IT plan that will include all core business projects, ISD special projects (where applicable), office automation and infrastructure projects.	<p>Agreed.</p> <p>This work is underway. Based on information and requirements known at the time of writing all projects for 05/06 have been itemized in the ISD 05/06 project plan. The plan is currently being expanded to include additional project detail for each initiative.</p> <p>This work is scheduled to be completed by March 2005.</p>
<b>Ref: Chapter 3.3 GOVERNANCE FRAMEWORK – Risk management</b>			
3.1	MEDIUM	ISD should conduct a comprehensive TRA of its IT infrastructure environment.	<p>Agreed.</p> <p>A technical architecture Threat and Risk Assessment will be conducted during the course of 05/06.</p>

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			Completed by end 05/06.
3.2	MEDIUM	ISD should develop the necessary guidelines and control measures ensuring that TRAs are systematically and rigorously completed for every System Development initiative, including the development of non-core application projects.	<p>Agreed.</p> <p>This recommendation is expected to be supported by the ISD security plan (see 4.1).</p> <p>ISD will assess the need to establish in-house TRA expertise that will permit a consistent and rigorous follow-up for “every” system development initiative. This will be inclusive of non-core IT application projects including those that are not developed in-house. ISD believes that a TRA resource should not be considered in isolation of a like skill-set in conducting PIAs (Privacy Impact Assessments). Depending on the nature and complexity of the application it is often necessary to conduct both a TRA and PIA in parallel.</p> <p>The degree to which ISD can fully comply with this recommendation will depend on the approach supported by senior management. Outsourced TRAs are often subject to resource availability and commensurate funding; however, until senior management commitment in support of the need to acquire or develop in-house expertise has been given, ISD will ensure that TRAs are systematically and rigorously completed for all system development initiatives by investing in external consulting expertise as required.</p>

#	PRIORITY	DESCRIPTION	MANAGEMENT RESPONSE
			Complete – ongoing.
<b>Ref: Chapter 3.4 GOVERNANCE FRAMEWORK – IT security plan</b>			
4.1	LOW	ISD should articulate its IT security plan using the information contained in the Security Compendium document and the ISD-wide TRA exercise recommended in chapter 3.3 – Risk Management	<p>Agreed.</p> <p>As part of its project objectives for 05/06 ISD plans to compile a comprehensive ISD security policy.</p> <p>This will be completed prior to the end of 05/06.</p>
<b>Ref: Chapter 3.5 GOVERNANCE FRAMEWORK – IT policies and standards</b>			
5.1	MEDIUM	In collaboration with the Administration Division, ISD should identify the IT areas to be covered by IT policies, assign a priority and a development schedule to each new policy, develop each one according to the established timeline, present them to the IT steering committee for approval, and develop a roll out strategy to cover the communication to staff and posting on the Intranet.	<p>Agreed.</p> <p>Policy development and review is an ongoing activity within ISD; however, policies are only developed “as needed” or in response to legislative requirements.</p> <p>Currently, consultation with the Administration Division does not make up part of this existing process. ISD will adjust the process to include collaboration with the Administration Division. Following this consultation process, policy priorities will be identified and the respective development plans will be compiled in a schedule to be communicated to the IT governing bodies (See 1.1).</p> <p>Ongoing activity. Initial meeting with the</p>

#	PRIORITY	DESCRIPTION	MANAGEMENT RESPONSE
			Administration Division will take place before the end March 2005.
<b>Ref: Chapter 3.6 GOVERNANCE FRAMEWORK – The service level agreement (SLA)</b>			
6.1	HIGH	ISD should review its SLA and identify performance targets for Network Administration, System Development, Helpdesk Services, Internet and Intranet. These performance targets need to be negotiated with the clients, included in a revised SLA, monitored for compliance, reported on a regular basis, and communicated to the IT Steering Committee.	<p>Agreed.</p> <p>Although ISD currently identifies service response times within its Service Level Agreement (SLA) it does not include specific performance targets as negotiated with the clients. As part of its annual review of its SLA, ISD will pursue the establishment and inclusion of performance standards. ISD does not believe that this recommendation warrants a “HIGH” priority but instead is more conducive to a “LOW” rating; especially, given the fact that recommendation 8.5 lists the need to monitor performance targets as “LOW”. Given acceptance of a “LOW” rating, ISD will revise its SLA to comply with the recommendations as part of its annual SLA review cycle; this occurs each Fall.</p> <p>Additionally, ISD will poll all directors and VPs in order to determine their informational needs when reporting on ISD performance. This activity is already underway. These results will be incorporated into the SLA.</p> <p>Updates to the SLA will be completed in the Fall 2005.</p>

#	PRIORITY	DESCRIPTION	MANAGEMENT RESPONSE
<b>Ref: Chapter 3.7 GOVERNANCE FRAMEWORK – Disaster recovery plan (DRP)</b>			
7.1	HIGH	The Security Steering Committee should assign a timetable to update the DRP.	<p>Agreed.</p> <p>Currently the Management Security Steering Committee (MSSC) is overseeing the development of a Business Continuity Plan (BCP); it is understood that an up to date ISD Disaster Recovery Plan (DRP) will serve as an essential component of the more comprehensive BCP. ISD acknowledges that much of the work required to compile a BCP and a complementary IT DRP can be pursued in parallel.</p> <p>Given the required expertise to develop a more comprehensive DRP, ISD plans to seek consulting assistance to complete this work. It is estimated that the initial DRP will cost approximately 50K. Following completion of this initial work ISD will subsequently budget approximately 10-15K on an annual basis in order to ensure the baseline DRP is continually updated to reflect any changes within the IT environment.</p> <p>It is anticipated that the initial DRP will be completed in 3 to 5 months time.</p>
7.2	MEDIUM	The Director ISD should formally assign the responsibility to review the existing DRP document to one of his managers.	<p>Agreed.</p> <p>The ISD Manager of Technical Services, in his capacity as the Councils Information Technology</p>

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			<p>Security Coordinator (ITSC), has been assigned as the lead on this initiative.</p> <p>Complete.</p>
<p><b>Ref: Chapter 4</b> <span style="float: right;"><b>END USERS SUPPORT MANAGEMENT</b></span></p>			
8.1	LOW	<p>ISD should investigate the advantages of creating a central focal point for all ISD support requests.</p>	<p>Agreed.</p> <p>ISD will analyse the possibility of consolidating the 2 ISD Helpdesks (Support Centre and eBusiness/ESD Helpdesks) in order to create a single point of user contact. Being that each Helpdesk serves different client communities (external vs. internal) the rational and corresponding recommendation to “create a central focal point” is unclear.</p> <p>Given the nature of the other ISD service areas the business rational to consider consolidating these within a central point of entry is unclear. However, ISD agrees to investigate whether or not there would be any advantage to the client communities in doing so.</p> <p>The results of the analysis will be tabled with the IT governing bodies (See 1.1).</p> <p>This analysis will be completed in late Fall 2005.</p>

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8.2	MEDIUM	ISD should investigate the advantages of endorsing a more comprehensive incident tracking system and maintaining a single database for all service requests.	<p>Agreed.</p> <p>Evaluation of more comprehensive products for incident tracking and maintaining a single database is already underway.</p> <p>A product that supports a more comprehensive tracking of user requests is expected to be made by March 2005.</p>
8.3	MEDIUM	ISD should institute a formal escalation process to solve more complex problems.	<p>Agreed.</p> <p>This requirement has already been identified as part of the analysis of a new tracking system (See 8.2). A more comprehensive tracking system will permit greater access for Council staff; thereby, permitting escalation and tracking of incidents outside of the Helpdesk teams.</p> <p>The new system is expected to be implemented by June 2005.</p>
8.4	MEDIUM	ISD should review the accountability of the ISD HD and the eBusiness – ESD HD groups to ensure that each group becomes accountable to track and monitor the escalated problems until full resolution.	<p>Agreed.</p> <p>Again a more comprehensive incident tracking software solution that accommodates this business requirement will address this problem (See 8.3).</p> <p>The new system is expected to be implemented by June 2005.</p>



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8.5	LOW	ISD should monitor the performance targets specified in the SLA.	<p>Agreed.</p> <p>Once targets have been included in the SLA (See recommendation 6.1) they will be accordingly monitored.</p> <p>Updates to the SLA will be completed in the Fall 2005.</p>
8.6	LOW	ISD should ensure that performance reports are produced to measure the attainments of objectives stated in the SLA.	<p>Agreed.</p> <p>Currently, numerous performance reports are generated in a systematic manner; however, they are not directly associated with the SLA. Instead they are produced based on user requests and personal preference.</p> <p>Once the SLA performance targets have been established and in place, ISD will ensure that reports are created to specifically measure performance objectives as documented.</p> <p>Updates to the SLA will be completed in the Fall 2005. (See additional comments in 6.1)</p>
<b>Ref: Chapter 5.3 MANAGEMENT OF INFRASTRUCTURE – Change Management and Release Management</b>			
9.1	MEDIUM	Technical Support group should implement more rigorous change management and release management processes to document changes to the infrastructure, and	<p>Agreed.</p> <p>ISD has already implemented a shared centralized</p>



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			<p>This is currently the case for ISD initiated projects; this was not the case upon initial creation of the Special Projects Service within ISD.</p> <p>Complete.</p>