

INFORMATION TECHNOLOGY AUDITS

Ten Open Audit Issues - Status as of Jan 31, 2016

Issue Name / No.	Rating	Target Completion Date	Months Open	Functional Area	Status of Management Action Plans
Data Warehouse (Audit Report - May 2014)					
Source Data Extract, Transformation and Loading (#380)	Med	Sept 2016	21	Enterprise Information Management	Testing of Policy Inforce Balance and Reconciliation procedures is complete and the next milestone, Claims Balance and Reconciliation, is in progress. This issue is on target for completion by Sept 2016.
Service Desk and Problem Mgt (Audit Report - Nov 2014)					
Configuration Mgt Database (#405)	Low	Dec 2015	15	Operations	A Configuration Management Database was implemented and is currently being used to support a number of asset related activities and reports. OIA is reviewing for closure.
General Computer Controls (Audit Report - Apr 2015)					
Administrative Access and Security Controls (#418)	Med	Dec 2016	10	Infrastructure	The AD Access and Security Controls project will improve controls and processes for managing administration accounts. The project is on schedule for completion by December 2016.
Citizens Insurance Suite - Job Scheduler Access (#423)	Med	Apr 2016	10	Operations	The Flux Security Improvements project will implement additional functionality in the Flux Security module. This issue is on target for completion by April 2016.
Rate Accuracy (Audit Report - Aug 2015)					
Administrative Access - Production Database (#444)	High	Oct 2015	6	Operations and Security	The risks identified in the audit have been addressed through additional password management functionality and implementation of access credentials standards. OIA is reviewing for closure.
Administrative Access – Production Servers (#445)	Med	Nov 2015	6	Operations and Security	The risks identified in the audit have been reduced through additional password management functionality and implementation of access credentials standards. Additional controls will be implemented through an application upgrade, which is currently scheduled for June 2016.
Administrative Access – Insbridge Framework (#446)	Med	Nov 2015	6	Application Delivery	The risks identified in the audit have been addressed through additional password management functionality and implementation of access credentials standards. OIA is reviewing for closure.

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Auditor General (Audit Report - Aug 2015)					
Property Controls (#453)	Med	Sept 2016	6	Asset Management	The consolidation of technology asset inventories and refinement of IT Asset Management controls have been addressed. This issue is on target for completion prior to Sept 2016.
Citizens Authentication Gateway (Audit Report - Dec 2015)					
Security Administrator Role (#459)	Med	June 2016	2	I&O / Application Delivery	An interim process has been established to monitor user roles until a system enhancement is implemented in June 2016. This issue is on target for completion by June 2016.
User Records In CAG (#460)	Low	June 2016	2	Application Delivery	To address the issues identified in the audit, a process was established with respective business units for the review and correction of records as needed. This issue is on target for completion by June 2016.

INFORMATION TECHNOLOGY AUDITS

Nine Audit Issues Recently Closed

Issue Name / No.	Rating	Target Date	Date Closed	Functional Area	Corrective Action
General Computer Controls (Audit Report - Apr 2015)					
Change Management Process Shared Account (#419)	Med	Dec 2015	Jan 2016	Operations	To address the access issues identified in the audit, IT created a more secure process integrated with Citizens' Active Directory. All users and processes are now required to use their individual accounts to access the repository.
Database Access Processes (#422)	Med	Sept 2015	Jan 2016	Operations	To address the access issues identified in the audit, IT removed all accounts that did not have direct functional business need. Also, IT and the Accounting department defined requirements for security events and implemented monitoring.
Server Virtualization - VMware (Audit Report - Aug 2015)					
Non-Standard Server Configurations (#436)	Low	Dec 2015	Jan 2016	Infrastructure	IT created the Server Provision Workflow procedures to address non-standard configuration requests. The process includes steps for SDLC requirements and approval by Enterprise Architecture.
vSphere Host Software Not Hardened (#439)	Med	Sept 2015	Nov 2015	Infrastructure	Baseline Configuration standards for VMWare systems were approved by the IT Enterprise Architecture Committee in November 2015. Adoption of the new standards completes the action plan for addressing this audit issue.
Monitoring of Activities in vCenter (#440)	Med	Dec 2015	Dec 2015	Infrastructure	Enhanced monitoring capabilities have been implemented through the use of dashboards, event alerts and other application functionality.
Management of Accounts (#442)	Med	Dec 2015	Jan 2016	Infrastructure and Security	Enhanced password management functionality and standards for management of operational access credentials were implemented to address the access issues identified in the audit.
vSphere Software On Servers Within A Cluster (#443)	Low	Dec 2015	Jan 2016	Infrastructure	To address the issue identified in the audit, the IT Patch Management policy was updated and additional monitoring processes were implemented.
Citizens Authentication Gateway (Audit Report - Dec 2015)					
Administrator Account (#458)	Med	Dec 2015	Dec 2015	Application Delivery	Enhanced password management functionality and standards for management of operational access credentials were implemented to address the access issues identified in the audit.
A Data Dictionary For CAG Did Not Exist (#461)	Low	Dec 2015	Dec 2015	Application Delivery	A data dictionary was created in August 2015 to address this issue.