Province of British Columbia
21st Annual Privacy and Security Conference
Privacy & Security: Bringing Digital Into Focus
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Applied Session: Implementing COBIT process governance at the BC Social Sector: A Case Study

Process binds people with machines, delivering business value such as information security. Join John Zimmermann, security architect for the BC Government Social Sector, to learn lessons they experienced while rolling out a governance framework to track the effectiveness of their information management processes. From inception to delivery, you’ll discover the challenges and opportunities encountered while adopting COBIT 5 as an ongoing transformational vehicle for their organization.

John Zimmermann
Senior Security Architect, Ministry of Social Development and Poverty Reduction, Province of BC
John Zimmermann

John Zimmermann has worked in Information Security at the BC Government for 15 years, from Analyst to MISO to Security Architect. John started at the Justice Sector and for the past few years has moved to the Social Sector. With an Honours B.A. in psychology, John has always had a special interest in the impact of technology on the human condition.

John enjoys hiking and travel, and has done several treks in the Himalayas. On April 6, 1990, John was in Kathmandu during the revolution that overthrew the King’s rule of Nepal and introduced democracy by the people. He is also a songwriter and music performer, happily a common attribute of BC Government employees.
Process governance at BC Social Sector
About 6,200,000 results (0.52 seconds)

icm.ext.gov.bc.ca

Government of British Columbia
Log in to icm.ext.gov.bc.ca. Log in with User ID. Use a Business BCeID. Password. Forgot your user ID or password? No account? Register for a BCeID ...

www2.gov.bc.ca > gov > family-and-social-supports > child-care > ic... ▼ PDF

Welcome to the ICM Service Provider Portal - Government of BC
The ability to create an invoice and submit it electronically, replacing the need to send paper invoices and increasing the speed with which payment may be ...

www.bcauditor.com > default > files > publications > Other > report ▼ PDF

integrated case management system - Auditor General of ...

former.bcgeu.ca > poisting-tags > icm ▼

ICM | BCGEU - BC Government and Service Employees' Union
"The Auditor General's report shows that the Integrated Case Management (ICM) is failing to fulfill its intended objectives, including improving information ...

www.theglobeandmail.com > british-columbia > article23709959 ▼

B.C. auditor rips performance of government's $182-million ...
Mar 31, 2015 - B.C. auditor rips performance of government's $182-million computer system "The ICM project did not fully replace legacy systems as initially ...

www.fraserhealth.ca > mental-health-and-substance-use > substance-use ▼

Intensive Case Management Teams - Fraser Health Authority
They can play a key role in helping homeless people obtain and maintain housing. ICM teams also work quite closely with our community partners, BC Housing, ...
AUDITOR GENERAL'S COMMENTS

The Integrated Case Management (ICM) system was intended to improve delivery of social programs and supports, but it has not met expectations. In partnership with the Ministry of Children and Family Development (MCFD) and the Ministry of Technology, Innovation and Citizens' Services (MTICS), the Ministry of Social Development and Social Innovation (MDSSI) spent $552 million on a system that has not fulfilled key objectives.

According to the ministers, ICM was completed in November 2017, on time and on budget. However, the ministers rejected outside third parties' advice to stop funding the ongoing work. MCFD was an ambitious and well-planned project, and we appreciate the steps taken to control costs, but ICM and the legacy systems must now run concurrently.

At the time of our review, all of the costs related to the project were not fully available. Therefore, one of the eight recommendations in the report is for MCFD to prepare the full costs for the life of the project consistent with the business case.

In this audit, we examined access to ICM and data quality. We found that personal information is not fully safeguarded, raising concerns about value and confidentiality. As a result, MCFD did not always protect confidential information by limiting access to need to know, and they did not always use the necessary security. There may have been security breaches without the ministry's knowledge. As Office identified similar issues in previous audits of the JUSTICE DMS and CORNER systems.

We also found that information used to identify clients in ICM was not always accurate or complete, and duplicate records existed. Systems like ICM are only as good as the data entered into them. Deficiencies recording and finding information can reduce valuable time and spend with clients. The ministry has processes in place to manage data quality, but it needs to do more...
Processes for Governance of Enterprise IT

Evaluate, Direct and Monitor

Align, Plan and Organise

- EDM01 Ensure Governance Framework Setting and Maintenance
- EDM02 Ensure Benefits Delivery
- EDM03 Ensure Risk Optimisation
- EDM04 Ensure Resource Optimisation
- EDM05 Ensure Stakeholder Transparency

Build, Acquire and Implement

- APO01 Manage the IT Management Framework
- APO02 Manage Strategy
- APO03 Manage Enterprise Architecture
- APO04 Manage Innovation
- APO05 Manage Portfolio
- APO06 Manage Budget and Costs
- APO07 Manage Human Resources
- APO08 Manage Relationships
- APO09 Manage Service Agreements
- APO10 Manage Suppliers
- APO11 Manage Quality
- APO12 Manage Risk
- APO13 Manage Security

Deliver, Service and Support

- BA01 Manage Programmes and Projects
- BA02 Manage Requirements Definition
- BA03 Manage Solutions Identification and Build
- BA04 Manage Availability and Capacity
- BA05 Manage Organisational Change Enablement
- BA06 Manage Change Acceptance and Transitioning
- BA07 Manage Knowledge
- BA08 Manage Assets
- BA09 Manage Configuration

Monitor, Evaluate and Assess

- MEA01 Monitor, Evaluate and Assess Performance and Conformance
- MEA02 Monitor, Evaluate and Assess the System of Internal Control
- MEA03 Monitor, Evaluate and Assess Compliance With External Requirements

Processes for Management of Enterprise IT
Findings

• Champions required: market through executive

• Expect resistance: the pattern of ‘flavour of the day’ projects fizzling out

• Start small and near before going big and far

• Go modern! Keep tools and automation in mind
So what is COBIT 5?

- The fifth version of “Control Objectives for Information and related Technologies”, from ISACA, the international Information Systems Audit and Control Association

- A Business Framework for the Governance and Management of Enterprise IT

- Used as a reference model when OAG assessed that ICM processes needed governance improvement
Anatomy of an Incident

By Rayna Attwood, Jr. Information Security Analyst

In this month’s anatomy of an incident, we’re going to look back a few years ago at an incident that occurred in December where a BC Mail Plus delivery van was broken into. At the time, the van was parked and unattended while the driver was doing a delivery within a shopping mall. This is when the perpetrators took the opportunity to break the back door latch to gain access into the cargo area of the van.

It was discovered that 4 bins of ministry mail were taken in this robbery. These bins contained case load reports that were up to 280 pages in length and resulted in nearly 2000 of our clients’ personal information being breached. The personal and sensitive information contained in these reports included names, birthdates, addresses, phone numbers along with detailed information regarding ministry involvement and allocated family services. It also contained the names of the social workers assigned to these cases.

Unfortunately, these case reports were never recovered and the perpetrators were not arrested, leaving the motive and intent unconfirmed. However, it was presumed that they were looking to obtain assistance cheques.

To minimize the impact on ministry trust and out of an abundance of caution, client notification was recommended for all the nearly 2000 clients. As we can well imagine, this was an enormous task and it subsequently took the office involved over 8 weeks to compile and complete these client notifications.

You may be wondering what we can learn from this incident as it resulted from a seemingly random criminal act... While there is nothing we can do to prevent break-ins, we can minimize our risks by ensuring we only use mail when necessary to do our jobs and serve our clients. As highlighted in this incident, when the investigation began, it was determined that these printed incident reports that were mailed out to offices on a monthly basis were not needed. The receiving office would get the reports and then just shred them as per their informal process. Had this been identified up to even needed to be decommissioned the reports. You see where management, they could have decommissioned the reports. You see where

The good news is that those particular reports are no longer printed and sent out, so the associated risks and costs have been minimized and the resources have been freed up to do other meaningful work. I hope this encourages us all to report up within an information incident, which aligns us with FOIPPA’s potential to become a Public Human Rights Commission (PHRC) Protect the Privacy (section 30): “A public body must protect personal Information in its custody or under its control by making reasonable security arrangements against such risks as unauthorized access, collection, disclosure or disposal.”
EXECUTIVE SUMMARY

What is the integrated case management system?

In 2006, amid growing public demand in BC for increased government coordination to protect vulnerable individuals from violence and harm, an independent review of the province’s child protection system called for greater information sharing and collaboration among all agencies involved.

In response, the government launched the Integrated Case Management (ICM) system project in 2008 – a joint initiative of the:

♦ Ministry of Technology, Innovation and Citizens’ Services (MTICS)
♦ Ministry of Social Development and Social Innovation (MSDSI)
♦ Ministry of Children and Family Development (MCFD)1

The purpose of the project was to integrate multiple program areas and systems from MSDSI and MCFD into a single system, both to improve information sharing and case management across the social services sector, and to replace disparate, aging legacy systems no longer considered sustainable for program delivery.

In November 2014, MSDSI and MCFD announced they had completed the project on time and on budget, at a total capital cost of $182 million.

Our scope of work

The ICM system was intended to enable the two ministries to deliver key social programs more effectively and efficiently than before.

Two aspects of this large and complex undertaking drew our attention: access and data quality management.

The new system processes and stores vast amounts of data, including personal information (in some cases, highly sensitive) for more than 2.5 million individuals. Protecting this information from inappropriate access is important for preventing loss of privacy or fraudulent use of personal information. Just as important, is establishing good data quality management practices for the system. Information that is incomplete, inaccurate or hard to find hampers the ability of workers to provide services. In many situations – but child protection cases, in particular – such delays can have serious consequences.

With these concerns in mind, we conducted our audit between November 2013 and July 2014, before full implementation of the ICM system in November 2014. We wanted to determine whether MSDSI, as project lead, had ensured that:

1. access to ICM was properly managed to protect client information from inappropriate access
2. data was managed to ensure the quality of client records in ICM

1 At the time, MTICS was the Ministry of Labour and Citizens’ Services, and MSDSI was the Ministry of Employment and Income Assistance.
We're hiring a Director of Change Management to help employees embrace strategic changes.

Or we could come up with strategies that make sense. Then employees would embrace change.

That sounds harder.
Enabler Dimension

- Stakeholders
  - Internal Stakeholders
  - External Stakeholders
- Goals
  - Intrinsic Quality
  - Contextual Quality (Relevance, Effectiveness)
  - Accessibility and Security
- Life Cycle
  - Plan
  - Design
  - Build/Acquire/Create/Implement
  - Use/Operate
  - Evaluate/Monitor
  - Update/Dispose
- Good Practices
  - Practices
  - Work Products (Inputs/Outputs)

Enabler Performance Management

- Are Stakeholders Needs Addressed?
- Are Enabler Goals Achieved?
- Is Life Cycle Managed?
- Are Good Practices Applied?

Metrics for Achievement of Goals (Lag Indicators)

- Metrics for Application of Practice (Lead Indicators)
THE CULTURE WE NEED

RISK AVERSION

PREDICTABILITY

COMPLEXITY

PROCESS CENTRIC

SILOED

EXPERIMENTATION

ADAPTABILITY

CLARITY

PEOPLE CENTRIC

COLLABORATIVE
Wider World

• Ministry of Finance used COBIT maturity model to self-assess their Information Management strategy (COBIT 4.1)

• OAG uses COBIT as assessment model

• Some program areas of Ministry of Health use COBIT

• BC Ferries
So what *IS* ISD doing with COBIT 5?

- Using COBIT 5’s process format to document our processes
- Doing this in conjunction with the EA initiative
Rollout Plan

• Survey Information Services Division Directors for viable processes to COBIT-ize

• Assign a contact for each group to document

• Proof documentation through COBIT Centre of Coordination

• Track annual review through Compliance group
Success Criteria

• Delivery of COBIT 5 template to each ISD work team and assistance as required to support each team’s process documentation

• Completion of COBIT-ized:
  - Vulnerability Scanning process
  - Service Provider Portal promotion process
  - Contact Merge remediation process
  - Do not use this employee remediation process
Activities

• ISD ‘COBIT-ized’ 11 processes to date (i.e. documented existing processes with ISD COBIT 5 template)

• ‘COBIT 5 Hub’ Share Point is currently in development:
Currently COBIT-izing

Workplace Technology:
• Service Bulletin
• Technical Information Bulletin
• Exceptional Order Pre-Approval Process
• Asset Transfer (under 9 assets)
• Workstation Break Fix
• Windows 10 Updates
• ISD Mailbox Size Review
• Priority Ticket Response and Tracking

iCollaborate: New SharePoint site Request

SPCM: Incident Handling Process

Business Alignment: Queue Management - Manage Service Requests and Incidents

Alliance Management Office: eAMO deliverables approval workflow
Challenges

• ‘COBIT 5 Hub’ development and testing is ongoing, and integration with ISD Hub is being explored

• COBIT 5 Change Communication Plan updates in progress, draft expected end of Feb. 2020

• FAQ document updates continuing as clarification points identified
Prospects

• 49 processes were identified for COBIT-ization across 11 ISD service areas

• With 19 process COBIT-izations complete or in progress, work to COBIT-ize the remaining 30 will follow

• Processes will continue to be identified for COBIT-ization

• Opportunities for tooling and automation to be explored!