

POSSE- DATA INTEGRITY AND SYSTEM SUSTAINABILITY AUDIT

EXECUTIVE SUMMARY

The City Auditor's Office issued the POSSE - Data Integrity and System Sustainability Audit Report to Administration on March 6, 2017. The report includes Administration's response to 10 recommendations raised by the City Auditor's Office to improve control effectiveness and overall process efficiency. Planning & Development (PD), Information Technology (IT) and Corporate Analytics & Innovation (CAI) accepted all recommendations directed to them and committed to the implementation of action plans no later than September 30, 2017. The City Auditor's Office will track the implementation of these commitments as part of our on-going follow-up process.

RECOMMENDATIONS

1. That Audit Committee receive this report for information; and
2. That Audit Committee recommend that Council receive this report for information.

RECOMMENDATION OF THE AUDIT COMMITTEE, DATED 2017 MARCH 16:

That Council receive this report for information.

PREVIOUS COUNCIL DIRECTION / POLICY

Bylaw 30M2004 (as amended) established the position of City Auditor and the powers, duties and functions of the position. Under the City Auditor's Office Charter, the City Auditor presents an annual risk-based audit plan to Audit Committee for approval. The City Auditor's Office 2016 Annual Audit Plan was approved on December 10, 2015. The City Auditor is accountable to Council and subject to the oversight of Audit Committee under Bylaw 48M2012 (as amended).

BACKGROUND

This audit was undertaken as part of the approved City Auditor's Office 2016 Annual Audit Plan. The objective of this audit was to provide assurance on the data integrity and sustainability of the Public One Stop Service (POSSE) system. The POSSE system is a business process management tool and The City of Calgary's (The City's) definitive source of parcel data. Although PD is the primary user, other Business Units (BUs) rely on the integrity of the data. POSSE integrates with 36 different systems. Responsibility for supporting POSSE is split between PD's Business Services and IT's Application Support group. In addition, the POSSE vendor provides support and on-site technical resources.

Data integrity testing focused on controls to ensure the accuracy and completeness of key elements of parcel data such as, land use designation, address, title and ownership, transferred from the Provincial Land Titles Office's (LTI) system and the City's Calgary Ownership Online (COOL) system to the POSSE. Testing also focused on controls over the accuracy of parcel and permit data transferred to the assessment business unit to support property tax assessments.

Sustainability testing focused on controls to ensure the ongoing ability to support POSSE through interface and customization documentation and effective vendor management, and system availability through PD System Support (PD Helpdesk) and change management processes.

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INVESTIGATION: ALTERNATIVES AND ANALYSIS

Based on our testing, the majority of controls to ensure the integrity of parcel data are effective. Automated and manual interface controls are operating effectively and sample testing of parcel data did not identify any errors. However, responsibility for resolving ownership data exceptions identified during the transfer of data from COOL to POSSE was assigned to a single IT resource, as opposed to a business user. We recommended the transfer of this responsibility from IT to a group within CAI, which would also mitigate the risk of reliance on a single IT resource, not connected to the business process.

Testing of sustainability controls identified areas in which further improvements should be made to enhance control effectiveness and improve overall process efficiency. Specifically our recommendations focus on improving interface documentation, formalizing processes to manage vendor performance and contract compliance, and improving the effectiveness of existing PD Helpdesk, change management and interface failure monitoring processes.

Stakeholder Engagement, Research and Communication

This audit was conducted with PD and IT acting as the principal audit contacts within Administration.

Strategic Alignment

Audit reports assist Council in its oversight of the City Manager's administration and accountability for stewardship over public funds and achievement on value for money in City operations.

Social, Environmental, Economic (External)

N/A

Financial Capacity

Current and Future Operating Budget:

N/A

Current and Future Capital Budget:

N/A

Risk Assessment

The activities of the City Auditor's Office serve to promote accountability, mitigate risk, and support an effective governance structure.

POSSE is a critical system that PD and BUs rely on to manage workflows and provide key data, such as parcel information, to support business operations.

REASONS FOR RECOMMENDATIONS:

Bylaw 48M2012 (as amended) states: "Audit Committee receives directly from the City Auditor any individual Audit Report and forwards these to Council for information."

ATTACHMENT

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