

# Provincial Update on the Auditor General Recommendations Service Nova Scotia and Municipal Relations November 2011

Since 2009, the Office of the Auditor General (OAG) has made 60 recommendations to Service Nova Scotia and Municipal Relations (SNSMR), in efforts to improve government for the people of Nova Scotia. SNSMR has made every effort to address these recommendations. Of the 60 recommendations made, 25 have already been completed, and SNSMR will continue to work with the OAG until all of the recommendations are addressed.

## Recommendations assigned to Service Nova Scotia and Municipal Relations:

Service Nova Scotia and Municipal Relations	Complete	Work in Progress	Action no Longer Required	Do not intend to Implement	Total Recommendations
<b>April 2009</b>					
Chapter 4: Transportation and Infrastructure Renewal and Service Nova Scotia and Municipal Relations: Truck Safety	5	1			6
<b>November 2010</b>					
Chapter 4: Registry Systems	12	9			21
<b>May 2011</b>					
Chapter 7: Registry of Motor Vehicles	5	16			21
Chapter 8: Registry of Motor Vehicles Information and Technology	4	8			12
<b>Total</b>	<b>26</b>	<b>34</b>	<b>0</b>	<b>0</b>	<b>60</b>
Percentage	43%	57%	0%	0%	100%

## Recommendations in Detail:

Month & Year	Chapter	Recommendation	Status	Brief summary of actions taken
April 2009	4	4.6	Complete	Implemented a manual evaluation process to identify highest risk carriers.
April 2009	4	4.7	Work in Progress	Additional staff resources were assigned to the data entry function and the data entry delay has been reduced.

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April 2009	4	4.8	Complete	The Department has requested any available information from external parties.
April 2009	4	4.9	Complete	CAPS scores and levels are used to determine most audit priorities, and professional judgment is used to prioritize the riskiest carriers as well as doing random audits to pick up those carriers that may have never been subject to inspection.
April 2009	4	4.10	Complete	Audit Reports have been expanded to include more detail on compliance issues and the nature of the audit by the officer.
April 2009	4	4.11	Complete	Inspectors have been transferred to TIR and a number of the TIR officers have been trained to perform bus inspections. TIR is now conducting CVSA inspections.
November 2010	4	4.1	Complete	A formal management review process has been developed and implemented to assess transaction quality.
November 2010	4	4.2	Work in Progress	A resource has been hired to revamp the current process.
November 2010	4	4.3	Complete	All corporate and departmental policies and procedures related to information security and privacy are now available electronically.
November 2010	4	4.4	Complete	The LearnNet Security and Awareness Module has been completed.
November 2010	4	4.5	Complete	An item has been added to the production checklist to confirm that a Privacy Impact Assessment has been completed.

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November 2010	4	4.6	Complete	Reports to the Minister of Justice will now identify credit card transaction information being sent outside of Canada.
November 2010	4	4.7	Complete	Registrars will be routinely advised and provided with appropriate information.
November 2010	4	4.8	Complete	SNSMR has ensured that the program owners sign-off on updates for FOIPOP or PIPA.
November 2010	4	4.9	Complete	SNSMR has ensured it receives additional required information from the company that provides the department with e-commerce services.
November 2010	4	4.11	Work in Progress	Manual processes are currently in place, and duplicate land accounts have been removed.
November 2010	4	4.13	Work in Progress	Each department has ensured that access specific to their divisions has been removed.
November 2010	4	4.14	Complete	A process to ensure proper management of user accounts is in place.
November 2010	4	4.15	Work in Progress	Actions to respond to this recommendation have been planned.
November 2010	4	4.16	Work in Progress	SNSMR has developed an application patch management process and will work closely with the CIO to ensure this process is integrated into the infrastructure patch management process.
November 2010	4	4.17	Work in Progress	Action is planned as soon as an FTE to perform this function is filled.
November 2010	4	4.18	Complete	SNSMR has implemented a full change management process.

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November 2010	4	4.19	Complete	Security vulnerability assessments were conducted on recent web application implementations.
November 2010	4	4.20	Complete	Processes are in place to ensure all required documentation has been produced or obtained for system development projects.
November 2010	4	4.21	Work in Progress	SNSMR has had incident management processes in place since 2007.
November 2010	4	4.22	Work in Progress	SNSMR developed and implemented a specific Business Continuity Plan that responded to the Canada Post rotating strikes and eventual lockout. Training was provided to appropriate staff, and essential services were delivered to clients during the postal disruption. A specific business continuity plan was also developed in response to construction planned for the provincial data centre during 2011-12.
November 2010	4	4.23	Work in Progress	There is an interim Disaster Recovery Plan in place.
May 2011	7	7.1	Complete	A process has been implemented to verify that driver examiners meet and continue to meet the position requirements of a valid driver's licence and safe driving record.
May 2011	7	7.2	Work in Progress	The work required to satisfy the requirements of this recommendation has been identified.
May 2011	7	7.3	Work in Progress	Action is planned to develop and implement a formal process to follow up on complaints and action items resulting from the review of driving schools.

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May 2011	7	7.4	Complete	SNSMR has been able to reduce the backlog from ten to eight months.
May 2011	7	7.5	Work in Progress	SNSMR has had preliminary discussions with police agencies around the province to consider options for automated data entry.
May 2011	7	7.6	Work in Progress	A tracking process being developed.
May 2011	7	7.7	Complete	A staff vacancy in this area has been filled and the backlog has been eliminated.
May 2011	7	7.8	Complete	SNSMR has adopted a 3-5 day turnaround time which is currently being met. Adherence will be monitored on an ongoing basis.
May 2011	7	7.9	Complete	The Department is now enforcing standards for submission. Adherence will be monitored on an ongoing basis.
May 2011	7	7.10	Work in Progress	Action will be taken once recommendation 7.12 is complete.
May 2011	7	7.11	Work in Progress	Action is planned in December 2011 to review the current process and identify program improvements.
May 2011	7	7.12	Work in Progress	Jurisdictional research has been conducted to determine the criteria used in assessing high-risk driver records.
May 2011	7	7.13	Work in Progress	Action is planned to update the Inspection Station and Dealer Licensing package. The current process will also be reviewed.
May 2011	7	7.14	Work in Progress	Action is planned to streamline this process for stations and testers.

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May 2011	7	7.15	Work in Progress	Action is planned to review processes and policies associated with sticker books.
May 2011	7	7.16	Work in Progress	Action is planned to review this policy and our current practices, consider any gaps, and work to resolve any issues.
May 2011	7	7.17	Work in Progress	Action is planned to initiate a review of this process.
May 2011	7	7.18	Work in Progress	Action is planned to ensure uniform coverage across Nova Scotia.
May 2011	7	7.19	Work in Progress	Action is planned for the Internal Audit Centre to review investigation procedures and management oversight.
May 2011	7	7.20	Work in Progress	Action is planned to develop guidelines that will not conflict with the discretion of the officers.
May 2011	7	7.21	Work in Progress	SNSMR has updated the inspector's manual and policies to provide clear and appropriate guidance to motor vehicle safety inspectors.
May 2011	8	8.1	Work in Progress	Action is planned to expand the transactional review process to include 100% of users.
May 2011	8	8.2	Work in Progress	Action is planned to improve the current user account lifecycle management process.
May 2011	8	8.3	Complete	Processes were developed for verifying information received from customers.
May 2011	8	8.4	Complete	SNSMR met with Internal Audit staff from the Department of Finance to develop and deliver fraud awareness materials and training to several front line staff.

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May 2011	8	8.5	Work in Progress	Action is planned to implement this recommendation by 2013.
May 2011	8	8.6	Complete	Processes were developed to prevent the retention of personal information that is not required to complete a transaction.
May 2011	8	8.7	Work in Progress	Action is planned to determine the most efficient approach to address this recommendation.
May 2011	8	8.8	Work in Progress	The required changes to privacy statements have been identified and are in the process of being updated.
May 2011	8	8.9	Complete	A review of all agreements has been completed.
May 2011	8	8.10	Work in Progress	A review of all existing information sharing agreements has been completed. A draft comprehensive policy has been developed.
May 2011	8	8.11	Work in Progress	SNSMR is evaluating data masking technologies that will replace sensitive information with realistic but not real data.
May 2011	8	8.12	Work in Progress	Action is planned to include this in the comprehensive practice and protocols established in support of recommendation 8.2.