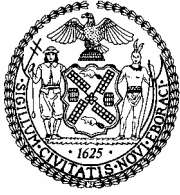# AUDIT REPORT

CITY OF NEW YORK
OFFICE OF THE COMPTROLLER
BUREAU OF FINANCIAL AUDIT
WILLIAM C. THOMPSON, JR., COMPTROLLER

Audit Report on the Development and Implementation of the Legal Tracking System by the Administration for Children's Services

7A05-085

May 23, 2006

THE CITY OF NEW YORK
OFFICE OF THE COMPTROLLER
1 CENTRE STREET
NEW YORK, N.Y. 10007-2341
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WILLIAM C. THOMPSON, JR.
COMPTROLLER

To the Citizens of the City of New York

Ladies and Gentlemen:

In accordance with the responsibilities of the Comptroller contained in Chapter 5, §93, of the New York City Charter, my office has audited the development and implementation of the Legal Tracking System by the Administration for Children's Services (ACS).

The goal of the Legal Tracking System is to better protect and help children who require ACS services by creating a comprehensive, integrated system for the Division of Legal Services, with one shared database and separate modules for each ACS unit. We audit systems and technological resources of City agencies such as this to ensure that they are cost-effective, efficient, and operate in the best interest of the public.

The results of our audit, which are presented in this report, have been discussed with a ACS officials, and their comments have been considered in preparing this report. Their complete written responses are attached to this report.

I trust that this report contains information that is of interest to you. If you have any questions concerning this report, please e-mail my audit bureau at audit@Comptroller.nyc.gov or telephone my office at 212-669-3747.

Very truly yours,

William C. Thompson, Jr.

WCT/fh

Report: **7A05-085**
Filed: **May 23, 2006**

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The City of New York
Office of the Comptroller
Bureau of Financial Audit
IT Audit Division

Audit Report on
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Of the Legal Tracking System by the
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7A05-085

AUDIT REPORT IN BRIEF

This office performed an audit on the development and implementation of the Legal Tracking System (LTS) by the Division of Legal Services (DLS) of the Administration for Children's Services (ACS). The goal of the system is to create a comprehensive, integrated system for DLS, with one shared database and separate modules for each unit.

Audit Findings and Conclusions

The procurement process for LTS generally complied with the existing practices in effect at that time, and its design allows for future enhancement and upgrades. However, because the system is not complete we could not determine whether LTS, as a finished product, meets the initial business and operating requirements or the overall goals as stated in the system justification description. ACS has spent $9.2 million and LTS should have been operational by April 2005, nevertheless, ACS has completed only Phase 1 and 2 of a three-phase development. Although some components of Phase 3 are in process, other components have been put on hold—specifically those dealing with how ACS (and other, similar agencies) makes decisions about a child's permanent placement in compliance with the Adoption and Safe Families Act and the New York State Legislation, Chapter 3 of the Laws of 2005, commonly known as the Permanency Law.

In addition, although LTS was designed and developed according to a formal systems development methodology, deficiencies in following that methodology led to delays in development and to increased project costs—the cost increased from an estimated $5.6 million to $9.2 million as of March 2005. ACS indicated that in Fiscal Year 2006 it needs to spend an additional $718,853 on LTS Phase 3 development, although it could not provide us with an estimate of the amount needed to fully complete Phase 3 since, as previously stated, some Phase 3 components have been indefinitely put on hold.

LTS generally functions reliably and contains accurate current information; however, access controls need improvement, and data converted from a prior system were often found to be inaccurate and lacking certain data. ACS has also not incorporated LTS into its disaster recovery plan. Finally, our survey of LTS users disclosed that 33 percent of the users who responded to the survey were happy with LTS, while 67 percent were somewhat satisfied with LTS but would like to see changes made to the system, to enhance user screens, and to improve the accuracy of the data.

Audit Recommendations

To address these issues, we recommend that the ACS:

- Ensure that business and system requirements are adequately defined for the remaining LTS development.

- Continue to serve as project manager for the final phase of the development; however, ACS must implement our recommendation, which follows, to employ an independent quality-assurance consultant.

- Ensure that all information recorded in LTS is thorough and accurate.

To ensure that the problems identified in this report do not beset future development projects, ACS should:

- Employ an independent quality-assurance consultant to oversee and monitor the entire development process from its inception.

- Develop written policies and procedures for tracking system users and terminating inactive User IDs. In addition, ACS should periodically review the status of inactive user accounts and terminate access, when appropriate.

- Terminate inactive accounts identified in this audit.

- Update the disaster recovery plan to include LTS, conduct a comprehensive test of the plan, and schedule annual tests, as required by Comptroller's Directive #18.

- Ensure that the user concerns identified in the report are addressed. In this regard, ACS should work towards shortening system-response times, increasing application availability, standardizing screens and modes of completing action, isolating errors, improving handling of reported problems by the help desk, and providing more frequent training.

- Conduct periodic surveys of users to ensure that their concerns are addressed.

Office of New York City Comptroller William C. Thompson, Jr.

INTRODUCTION

Background

      The Administration for Children's Services (ACS) provides protection to children subjected to abuse and neglect; preventive services to families to maintain the safety of children; and, when necessary, provides safe foster care or adoptive homes to children. ACS also administers child care and early childhood education.

      The ACS Division of Legal Services (DLS) provides legal representation and advice to the agency and consists of two divisions.[1] Prior to 2000, many of these units had their own computer systems to handle daily operations.[2] The populations and cases served by the various systems often overlapped, resulting in complications and redundancies. Consequently, ACS decided to create the Legal Tracking System (LTS)—a comprehensive, integrated system for DLS, with one shared database and separate modules for each unit. Although the original estimate submitted by TMS Consulting contained a $5.6 million cost estimate, since the beginning of 2000, ACS issued more than $6.5 million of purchase orders for LTS development. In addition, on August 20, 2003, ACS entered into a $3,213,145 contract (covering the period January 1, 2003, to April 30, 2005) with TMS to complete LTS by the end of April 2005 bringing the total cost to $9.2 million.

Objectives

      The audit's objectives were to determine whether LTS:

- was designed and developed by following a formal systems development methodology;
- meets ACS's initial business and operating requirements;
- as a finished product, meets the overall goals stated in the system's justification description;
- was designed to allow for future enhancements and upgrades;
- functions reliably, is secure from unauthorized access, and contains accurate information in the database;
- was procured in accordance with applicable procurement rules;
- has been incorporated into the ACS disaster recovery plan.

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[1]Division of Family Court Legal Services (FCLS) consists of the Family Court Abuse and Neglect Unit, the Training Unit, the Court Document Dissemination Unit, and Management and Administration. FCLS is the prime user of the LTS system. The Office of the General Counsel consists of the Legal Counsel Unit, the Business Law Unit, the Administrative Litigation Unit, the Fair Hearing Compliance Unit, the Employment Law Unit, the Accountability Review Unit, and the Office of Labor Relations.

[2]The most widely used computer system was the Child Abuse Case Tracking System (CACTS).

Scope and Methodology

Our audit covered LTS system development through April 2005. To achieve our audit objectives, we interviewed ACS officials, conducted a system walk-through, reviewed system specification documents, project plans, data migration plans, user manuals, contracts, and purchase orders. Using these documents we evaluated whether the LTS business and system requirements were adequately defined. We reviewed the most recent ACS filing pursuant to Comptroller's Directive #1, "Principles of Internal Control," and other system-related documentation, policies, standards, and procedures. We attended LTS training classes to gain an understanding of user needs and how LTS is used to perform daily operations. We also reviewed ACS compliance with applicable Procurement Policy Board rules and tested the accuracy of the LTS user list by comparing it to the list of ACS employees on the City's Payroll Management System.

In addition, data-integrity tests were performed to determine whether the data recorded in the LTS database is reliable and accurate. These tests included evaluating data relationships, assessing completeness of information, and determining overall reliability. Records were examined for valid dates and codes in each record to determine whether the information recorded and complied with the required attributes as designated by the system specifications. We received LTS data from ACS in February 2005. We analyzed and examined tables containing the most current case status and filing information. These tables were the Active Cases file (25,470 records and 14 variables), ACS Case file (52,444 records and 24 variables), Filing file (77,465 records and 14 variables), Court Hearing file (266,364 records and 10 variables), and Service of Process file (16,476 records and 13 variables).

Finally, a user satisfaction survey was conducted, the purpose of which was to determine whether users are satisfied with LTS, whether they have been appropriately trained in its use, and what changes they would like made to the system. We sent our survey to a random selection of 160 of the 688 users on a list provided by ACS; 80 users responded. While we did not statistically project the results of the survey to all LTS users, the results provide a reasonable basis to assess user satisfaction. In addition, interviews with several users were held in each borough office to augment our survey.

We used Comptroller's Internal Control and Accountability Directive #18, "Guidelines for the Management, Protection and Control of Agency Information and Information Processing Systems" (Directive #18), and applicable procurement rules as criteria for this audit. Since the City has no stated formal system-development methodology, the National Institute of Standards and Technology Special Publication 500-223, *A Framework for the Development and Assurance of High Integrity Software* was consulted to assess whether ACS followed a formal methodology.

This audit was conducted in accordance with generally accepted government auditing standards (GAGAS) and included tests of the records and other auditing procedures considered necessary. This audit was performed in accordance with the audit responsibilities of the City Comptroller, as set forth in Chapter 5, §93, of the New York City Charter.

Discussion of Audit Results

The matters covered in this report were discussed with ACS officials during and at the conclusion of this audit. A preliminary draft report was sent to ACS officials and discussed at an exit conference held on March 1, 2006. On March 27, 2006, we submitted a draft report to ACS officials with a request for comments. We received a written response from ACS on April 10, 2006. ACS generally agreed with our recommendations and indicated that it is currently in the process of implementing them. The full text of the ACS response is included as an addendum to this report.

FINDINGS AND RECOMMENDATIONS

The procurement process for LTS generally complied with the existing practices in effect at that time, and its design allows for future enhancement and upgrades. However, because the system is not complete we could not determine whether LTS, as a finished product, meets the initial business and operating requirements or the overall goals as stated in the system justification description. ACS has spent $9.2 million and LTS should have been operational by April 2005, however, ACS has completed only Phase 1 and 2 of a three-phase development. Although some components of Phase 3 are in process, LTS is not completed, because those components specifically dealing with how ACS (and other similar agencies) makes decisions about a child's permanent placement in compliance with the Adoption and Safe Families Act and New York State Legislation, Chapter 3 of the Laws of 2005, commonly known as the Permanency Law, have been put on hold until ACS can determine how the changes in the law will impact these components.

In addition, LTS was designed and developed according to a formal systems development methodology,[3] however deficiencies in following that methodology appropriately led to delays in development and to increased project costs—the cost increased from an estimated $5.6 million to $9.2 million as of March 2005. ACS indicated that in Fiscal Year 2006 it needs to spend an additional $718,853 on LTS development, although it could not provide us with an estimate of the amount needed to complete Phase 3, since as previously stated, some Phase 3 components have been indefinitely put on hold.

LTS generally functions reliably and contains accurate current information; however, access controls need improvement, and data converted from a prior system were often found to be inaccurate and lacking certain data. ACS has also not incorporated LTS into its disaster recovery plan. Finally, our survey of LTS users disclosed that 33 percent of the users who responded to the survey were happy with LTS, while 67 percent were somewhat satisfied with LTS, but would like to see changes made to the system, to enhance user screens, and to improve the accuracy of the data.

These matters are discussed in the following sections of this report.

Deficiencies in System Development

Despite having established an acceptable system development methodology, the project was delayed because ACS did not: fully define system requirements, changed project managers several times, experienced data conversion problems, and did not employ an independent quality-assurance consultant. As a result, development costs for LTS escalated to more than $9

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[3] This methodology proposes the major objective(s) and a detailed list of activities for each software development and software assurance process. The system development process includes the software requirements process, software design process, code process, software integration process, software installation process, and software operation and maintenance process.

million from the initial $5.6 million cost estimate, and the system, which was to have been completed in April 2005, is still in development.

System Requirements Not Completely Defined

ACS did not adequately define the business and system requirements for LTS development. NIST Publication #500-223, §2.1, states that the software requirement process should "describe each software requirement giving enough information to design each component . . . [and] analyze each system requirement allocated to software for understandability, correctness, testability, consistency, and completeness." This deficiency likely contributed to the delays in LTS development, contributed to the cost increases, and is one of the reasons that the development is still not complete. Although some of the problems occurred because of changes in federal and state law and regulations (i.e., Title IV-E compliance), ACS did not adequately define certain existing requirements that needed to be altered after development had commenced (i.e., biographical information), nor did ACS define additional requirements found to be necessary (i.e., making response times faster, document generation, and scanning of court documents), and finally ACS defined requirements that were found to be unnecessary (i.e., 1034 motions and show cause motions with reminders of case milestones).

Multiple Project Management Changes

The ACS Management Information Systems unit changed the vendor's project manager on three different occasions. ACS is now serving as project manager. As a result of changing project managers, 50 of 167 Phase-1 system requirements were not completed before the start of Phase 2. Although all Phase 1 system requirements were subsequently completed and all Phase 2 requirements have been delivered, as stated above, we believe, as does ACS, that the change of project managers contributed to the delays in LTS development, contributed to the cost increases, and is one of the reasons that the development is still not complete. In a letter dated January 21, 2005, the current project manager indicated that the first project manager "left because [of personal problems] and, thus . . . was unable to successfully get the job as project manager done adequately." Further, the statement continues "[the second project manager] was let go by ACS because the project was consistently behind schedule; our rollout date was constantly being delayed without sufficiently documented reasons." Directive #18 states that using "an experienced project manager to oversee and coordinate the process" can help agencies ensure that their system development projects are successfully completed.

Data Conversion Problems

During the testing phase of LTS, ACS discovered that data converted from Child Abuse Case Tracking System (CACTS) was often inaccurate and lacked certain information. The vendor's monthly status report stated that "CACTS data migration and conversion is taking a long time due to data inconstancies in the CACTS data." However, ACS's solution to this problem was to convert only biographical data, even though the vendor's rollout plan specifically stated that "LTS should have a plan for what to do with the exceptions." As stated later in this report, we believe that this deficiency caused users to complain that data are occasionally inaccurate.

Inadequate Quality Assurance

ACS did not employ a quality-assurance consultant at the start of the project. Directive #18 recommends that engaging "an independent quality-assurance consultant to assist the agency monitor and review the work of the development and integration team" can help "insure the success of system development projects." Had ACS engaged a quality-assurance consultant, the consultant could have served as a project manager during the frequent personnel changes while addressing the previously mentioned problems and ensuring smooth system development. Again, as stated previously, we believe that the lack of a quality-assurance consultant contributed to the cost increases and is one of the reasons that the development is still not complete.

Recommendations

To ensure that LTS development is completed so that the system will meet its overall goals, ACS should:

1. Ensure that business and system requirements are adequately defined for the remaining LTS development.

   ACS Response: ACS stated that it will "conduct bi-weekly meetings with FCLS [Division of Family Court Legal Services] management and Borough Supervisors to define requirements for remaining LTS development. Document the meeting results, disseminate to participants for comments and archive in the LTS Requirements folder for permanent documentation and reference."

2. Continue to serve as project manager for the final phase of the development; however, ACS must implement our recommendation, which follows, to employ an independent quality assurance consultant.

   ACS Response: ACS stated that it will "maintain the ACS project manager as the active operational project manager for LTS."

3. Ensure that all information recorded in LTS is thorough and accurate.

   ACS Response: ACS stated that it will "set up quality assurance process for LTS."

To ensure that the problems identified in this report do not beset future development projects, ACS should:

4. Employ an independent quality-assurance consultant to oversee and monitor the entire development process from its inception.

ACS Response: "ACS hired a consultant for a Quality Assurance/Strategic Plan Implementation Initiative which included LTS. ACS has tried to address this problem for future development through the hiring of a consultant, Visionary Integration Professionals, Inc. (VIP), who developed a strategic plan for ACS/MIS systems and applications."

User Accounts Not Adequately Controlled

ACS does not have written policies and procedures to ensure that user accounts are adequately controlled. As of April 2005, the ACS User ID list contained eight User IDs that were not uniquely identified; 145 employees that have active LTS access although they were listed as deceased or on leave on the PMS database; and 328 User IDs that did not logon to LTS for the past six months (these IDs were locked but should have been deleted). Moreover, password changes are not required.

Directive #18, §8.1.2, states that "user identifications and passwords are among the most widely used and visible forms of access controls. The user identification identifies the individual to the system." In addition, Directive #18, §8.1.2, states that "active password management includes deactivation of inactive user accounts and accounts for employees whose services have terminated." Neglecting to delete duplicate and inactive User IDs and allowing "general purpose" IDs burdens the system with excess information, reduces the system's response time, and increases the vulnerability of the system to misuse and abuse.

Recommendations

ACS should:

5. Develop written policies and procedures for tracking system users and terminating inactive User IDs. In addition, ACS should periodically review the status of inactive user accounts and terminate access, when appropriate.

ACS Response: ACS stated that it will "coordinate LTS within ACS' written policies and procedures for tracking system users and terminating inactive IDs."

6. Terminate inactive accounts identified in this audit.

ACS Response: ACS stated that it will "terminate inactive LTS accounts identified in Audit."

Incomplete Disaster Recovery Plan

LTS has not been incorporated into the ACS disaster recovery plan. In fact, ACS has not updated its disaster recovery plan since February 2000, nor did it provide evidence that it has performed an annual test of its plan. Directive #18 states that "periodic reviews and updates are

necessary to insure that the business recovery plan remains current. A comprehensive test should be conducted annually."

Recommendation

ACS should:

7. Update the disaster recovery plan to include LTS, conduct a comprehensive test of the plan, and schedule annual tests, as required by Comptroller's Directive #18.

ACS Response: "LTS is to be included in the ACS MIS Disaster Recovery Plan."

Other Issues
User Satisfaction Survey

Our survey found that 33 percent of the users who responded to the survey were happy with LTS, while 67 percent were somewhat satisfied with LTS, but would like to see changes made to the system, to enhance user screens, and to improve the accuracy of the data. In addition, 77 percent of users who responded felt that the data were not always accurate. The suggested changes include: making response times faster, making the system easier to use, improving reporting features, and standardizing screens and modes of completing action. Problems reported by users as needing change and their effects on users are shown in Table I below.

Table I

System Problems and Their Effects on Users Revealed by
User Satisfaction Survey

Percent	Reported Problem	Effect
27	Not easy to use, but manageable	Hinders productivity.
33	Reporting features	Reports do not easily reflect desired information.
65	Problems entering data	User must resubmit transactions.
65	Screens need enhancements	Would improve work flow.
67	Somewhat satisfied; would like to see changes	Users are not satisfied.
77	Data occasionally incorrect	Inaccurate information affects cases.

In addition, LTS users who were interviewed expressed the following concerns:

- Problems opening a document after it had been scanned.
- Involuntary logoffs while using LTS; however, this occurred when the users did not use the system for extended periods of time while logged on.
- Need to enter repetitive data into the system.
- Insufficient drop-down options for hearing outcomes.

- Inability to find a person if person's name is entered incorrectly on the system. If possible, provide a list of names with similar spellings for users to use in name searches.
- Need for equipment upgrade.
- Unavailability of pre-2002 data.
- Difficulty in navigating through LTS.

Recommendations

ACS should:

8. Ensure that the user concerns identified in the report are addressed. In this regard, ACS should work towards shortening system-response times, increasing application availability, standardizing screens and modes of completing action, isolating errors, improving handling of reported problems by the help desk, and providing more frequent training.

ACS Response: ACS stated that it will "address concerns cited above in LTS code enhancement: shortening system-response times, standardizing screens and modes of completing action. ACS has gradually been increasing application availability to other divisions outside of the legal department. Agencies now use a portion of LTS as well. We will continue to expand the use of LTS as needed. [We will] isolate errors as part of troubleshooting and problem resolution. [We] will work to integrate LTS into Help Desk."

9. Conduct periodic surveys of users to ensure that their concerns are addressed.

ACS Response: ACS stated that it will "conduct bi-weekly meetings with FCLS management and Borough Supervisors to define requirements for remaining LTS development. Document the meeting results, disseminate to participants for comments and archive in the LTS Requirements folder for permanent documentation and reference."

ADMINISTRATION FOR CHILDREN'S SERVICES
FINANCIAL SERVICES
150 William Street - 10th Floor
New York, NY 10038

JOHN B. MATTINGLY
Commissioner

SUSAN NUCCIO
Deputy Commissioner

MELANIE HARTZOG
Associate Commissioner

April 10, 2006

Mr. John Graham
Deputy Comptroller
Policy, Audits, Accountancy & Contracts
The City of New York Office of the Comptroller
Executive Offices
1 Centre Street, Room 1100
New York, New York 10007-2341

Re: NYC Comptroller's Draft Report 7A05-085 Audit Report on the
         Development and Implementation of the Legal Tracking System
         By the Administration for Children's Services

Dear Mr. Graham:

Thank you for sharing with us the Draft Report for the above captioned audit.

Attached is our response to your recommendations and appropriate Audit Implementation Plans
(AIPs). ACS looks forward to working with your office to improve the delivery of services to
the children of the City of New York.

If you have any questions, please do not hesitate to contact me.

Sincerely,

Susan Nuccio

Attachments

City of New York Office of the Comptroller
New York City Administration for Children's Services
Development and Implementation of the Legal Tracking System (LTS)
Audit Number 7A05-085

Administration for Children's Services
Response to Recommendations
April 10, 2006

ACS is pleased to learn that the procurement process for LTS generally complied with the existing practices in effect at this time, and its design allows for future enhancement and upgrades; that LTS was designed and developed according to formal system development methodology; and that LTS generally functions reliably and contains accurate current information. However, there are some improvements to the system that need to be done in order to comply with these audit recommendations.

RECOMMENDATION 1 & 9
Conduct bi-weekly meetings with FCLS management and Borough Supervisors to define requirements for remaining LTS development. Document the meeting results, disseminate to participants for comments and archive in the LTS Requirements folder for permanent documentation and reference.

RECOMMENDATION 2
Maintain the ACS project manager as the active operational project manager for LTS.

RECOMMENDATION 3
Set up quality assurance process for LTS.

RECOMMENDATION 4
ACS hired a consultant for a Quality Assurance/Strategic Plan Implementation Initiative which included LTS.

ACS has tried to address this problem for future development through the hiring of a consultant, Visionary Integration Professionals, Inc. (VIP), who developed a strategic plan for ACS/MIS systems and applications.

RECOMMENDATION 5
Coordinate LTS within ACS' current written policies and procedures for tracking system users and terminating inactive IDs.

RECOMMENDATION 6
Terminate Inactive LTS accounts identified in Audit.

RECOMMENDATION 7
LTS is to be included in the ACS MIS Disaster Recovery Plan.

City of New York Office of the Comptroller
New York City Administration for Children's Services
Development and Implementation of the Legal Tracking System (LTS)
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Administration for Children's Services
Response to Recommendations
April 10, 2006

RECOMMENDATION 8
Address concerns cited above in LTS code enhancement: shortening system-response times, standardizing screens and modes of completing action.

ACS has gradually been increasing application availability to other divisions outside of the legal department. Agencies now use a portion of LTS as well. We will continue to expand the use of LTS as needed.

Isolate errors as part of troubleshooting and problem resolution.

Will work to integrate LTS into Help Desk.

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NEW YORK CITY COMPTROLLER'S AUDIT ON DEVELOPMENT AND IMPLEMENTATION
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RECOMMENDATION # 1: ACS should ensure that business and system requirements are adequately defined for the remaining LTS development.

RESPONSIBLE MANAGER'S NAME: Henry Wells, Asst. Comm., Soc. Svc. Sys., MIS, Nancy Thomson, Assoc. Comm., FCLS

CORRECTIVE ACTIONS TO BE TAKEN	RESPONSIBLE PERSON	DATES		COMMENTS
		START	END	
Conduct bi-weekly meetings with FCLS management and Borough Supervisors to define requirements for remaining LTS development. Document the meeting results, disseminate to participants for comments and archive in the LTS Requirements folder for permanent documentation and reference.	LTS Project Manager/ FCLS Management	Jan 2006	Ongoing	Currently implemented as part of the bi-weekly LTS Production / Status meeting

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RECOMMENDATION # 2: ACS should continue to serve as project manager for the final phase of the development; however, ACS must implement the recommendation, which follows, to employ an independent quality assurance consultant.

RESPONSIBLE MANAGER'S NAME: Henry Wells, Asst. Comm., Soc. Svc. Sys., MIS, Nancy Thomson, Assoc. Comm., FCLS

CORRECTIVE ACTIONS TO BE TAKEN	RESPONSIBLE PERSON	DATES START	DATES END	COMMENTS
Maintain the ACS project manager as the active operational project manager for LTS.	Henry Wells, Asst.Comm., MIS	Oct. 2005	On-going	Implemented

ADMINISTRATION FOR CHILDREN'S SERVICES AUDIT IMPLEMENTATION PLAN
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RECOMMENDATION # 3: ACS should ensure that all information recorded in LTS is thorough and accurate.

RESPONSIBLE MANAGER'S NAME: Nancy Thomson, Assoc. Comm., FCLS, Dianne Connolly, Office of Quality Assur.

CORRECTIVE ACTIONS TO BE TAKEN	RESPONSIBLE PERSON	DATES START	END	COMMENTS
Set up quality assurance process for LTS.	Nancy Thomson, Assoc. Comm, FCLS	April 2006	Ongoing	Will work with LTS management and Quality Assurance to put a process in place.

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RECOMMENDATION # 4: ACS should employ an independent quality-assurance consultant to oversee and monitor the entire development process from its inception.

RESPONSIBLE MANAGER'S NAME: Dan Sedlis, Associate Commissioner, MIS

CORRECTIVE ACTIONS TO BE TAKEN	RESPONSIBLE PERSON	DATES		DOCUMENTATION
		START	END	
ACS hired a consultant for a Quality Assurance/Strategic Plan Implementation Initiative which included LTS. ACS has tried to address this problem for future development through the hiring of a consultant, Visionary Integration Professionals, Inc. (VIP), who developed a strategic plan for ACS/MIS systems and applications.	MIS/Policy and Planning	March 2005	October 2005	Quality Assurance/Strategic Plan Implementation Initiative submitted by Visionary Integration Professionals, Inc. (VIP)

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RECOMMENDATION # 5: ACS should develop written policies and procedures for tracking system users and terminating inactive
User IDs. In addition, ACS should periodically review the status of inactive user accounts and terminate
access, when appropriate.

RESPONSIBLE MANAGER'S NAME: Aryeh Norensberg, Asst.Comm., Network Svcs, MIS

CORRECTIVE ACTIONS TO BE TAKEN	RESPONSIBLE PERSON	DATES		DOCUMENTATION
		START	END	
Coordinate LTS within ACS' current written policies and procedures for tracking system users and terminating inactive IDs.	Aryeh Norensberg, Asst. Comm, Network Svcs, LTS Project Team	April 2006	Ongoing	ACS runs a report which tracks system users and terminates inactive User IDs.

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RECOMMENDATION # 6: ACS should terminate inactive accounts identified in this audit.

RESPONSIBLE MANAGER'S NAME: Henry Wells, Asst. Comm., Soc. Svc. Sys., MIS, Nancy Thomson, Assoc. Comm., FCLS

CORRECTIVE ACTIONS TO BE TAKEN	RESPONSIBLE PERSON	DATES		COMMENTS
		START	END	
Terminate Inactive LTS accounts identified in Audit.	LTS Team	Jan 2006	Mar 2006	Completed

ADMINISTRATION FOR CHILDREN'S SERVICES AUDIT IMPLEMENTATION PLAN
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OF THE LEGAL TRACKING SYSTEM
BY THE ADMINISTRATION FOR CHILDREN'S SERVICES
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RECOMMENDATION # 7: ACS should update the disaster recovery plan to include LTS, conduct a comprehensive test of the plan, and schedule annual tests, as required by Comptroller's Directive #18.

RESPONSIBLE MANAGER'S NAME: Aryeh Norensberg, Asst. Comm., Network Svcs, MIS, Zamir Hassan, Director, QA. MIS

CORRECTIVE ACTIONS TO BE TAKEN	RESPONSIBLE PERSON	DATES START	END	COMMENTS
LTS is to be included in the ACS MIS Disaster Recovery Plan.	MIS, Network Services/Quality Assurance	Mar. 2006	Ongoing	ACS has prepared a disaster recovery plan which includes LTS. It is in the process of being tested. ACS Disaster Recovery plan calls for scheduled tests in March and September. Preliminary testing occurred in March 2006.

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RECOMMENDATION # 8: ACS should ensure that the user concerns identified in the report are addressed. In this regard, ACS should work toward shortening system-response times, increasing application availability, standardizing screens and modes of completing action, isolating errors, improving handling of reported problems by the help desk, and providing more frequent training.

RESPONSIBLE MANAGER'S NAME: Henry Wells, Asst. Comm., Soc. Svc. Sys., MIS, Nancy Thomson, Assoc. Comm., FCLS

CORRECTIVE ACTIONS TO BE TAKEN	RESPONSIBLE PERSON	DATES START	END	COMMENTS
Address concerns cited above in LTS code enhancement: shortening system-response times, standardizing screens and modes of completing action.	LTS Team	Jan 2005	Ongoing	Completed various releases of LTS which have addressed individual screen response times, standardizing screens, etc.
ACS has gradually been increasing application availability to other divisions outside of the legal department. Agencies now use a portion of LTS as well. We will continue to expand the use of LTS as needed.	LTS Team/MIS/FCLS	Dec 2005	Ongoing	Will also address problems through additional training and support.
Isolate errors as part of troubleshooting and problem resolution.	LTS Team	Ongoing	Ongoing	
Will work to integrate LTS into Help Desk.	MIS	Ongoing	Ongoing	

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RECOMMENDATION #9: ACS should conduct periodic surveys of users to ensure that their concerns are addressed.

RESPONSIBLE MANAGER'S NAME: Henry Wells, Asst. Comm., Soc. Svc. Sys., MIS, Nancy Thomson, Assoc. Comm., FCLS

CORRECTIVE ACTIONS TO BE TAKEN	RESPONSIBLE PERSON	DATES		DOCUMENTATION
		START	END	
Conduct bi-weekly meetings with FCLS management and Borough Supervisors to define requirements for remaining LTS development. Document the meeting results, disseminate to participants for comments and archive in the LTS Requirements folder for permanent documentation and reference.	LTS Project Manager/ FCLS Management	Jan 2006	Ongoing	Implemented as part of the bi-weekly LTS Production / Status meeting