AUDIT REPORT

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

Second Follow-up Audit Report on the Data Processing Controls and Procedures of the Department of Homeless Services

7F04-068

April 16, 2004

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 reviewed the implementation status of 12 recommendations made in a previous follow-up audit entitled, *Follow-up Audit Report of the Data Processing Controls and Procedures of the Department of Homeless Services* (audit # 7F01-068, issued January 25, 2001).

The results of our audit, which are presented in this report, have been discussed with Department of Homeless Services officials, and their comments have been considered in preparing this report.

Audits such as this provide a means of ensuring that City agencies have adequate controls in place to protect their computer systems and equipment from inappropriate access and use.

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

Very truly yours,

William C. Thompson, Jr.

WCT/gr

Report: **7F04-068**
Filed: **April 16, 2004**

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

Second Follow-up Audit Report on the
Data Processing Controls and Procedures
Of the Department of Homeless Services

7F04-068

AUDIT REPORT IN BRIEF

This is a second follow-up audit to determine whether the New York City Department of Homeless Services (DHS) implemented the 12 recommendations made in the previous follow-up audit of data processing controls. In this report, we discuss the 12 recommendations from the prior audit in detail, as well as the implementation status of each recommendation.

In Fiscal Year 2001, the Comptroller's Office conducted a follow-up audit to evaluate the adequacy of the DHS data center's disaster recovery plans, program-change control procedures, data-security procedures, physical-security procedures, and operational procedures for protecting DHS computer assets and information. The audit also assessed DHS compliance with the Comptroller's Internal Control and Accountability, *Guidelines for the Management, Protection and Control of Agency Information and Information Processing Systems* (Directive 18).

Audit Findings and Conclusions

Of the 12 recommendations made in the previous follow-up audit, DHS implemented three, partially implemented three, and did not implement six.

In this second follow-up audit, we found that DHS made improvements. DHS now complies with Comptroller's Directive #10 because it records new equipment on the Financial Management System (FMS) Fixed Asset Inventory. Second, DHS made an improvement to keep unauthorized users from gaining access to the network by instituting a network-wide automatic time-out function. Third, the Department of Investigation approved an Internet Security Proposal.   However, we found many of the same weaknesses that emerged in the previous audit. DHS still has neither formally documented nor updated its disaster recovery plan for the Office of Information Technology (OIT) staff and does not have an alternate site that is operational. In addition, written policies and procedures are incomplete because they do not address program-change controls and the monitoring of system access. Moreover, the DHS inventory of computer hardware is incomplete, and software inventory is still not tracked.

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

<u>Audit Recommendations</u>

To address the issues that still exist, we make the following recommendations, some of which we made in our earlier audits. DHS should:

- Complete its *Baseline Procedures Manual* to include all administrative and operational policies and procedures for its computer environment, specifically those regarding network and Internet change control.

- Create, implement, and periodically test a disaster recovery plan that reflects the current environment.

- Establish an operational alternate processing and recovery site.

- Compile an up-to-date, accurate inventory for all computer equipment and software.

- Utilize the function within Microsoft 2000 to identify and disable unlicensed software.

- Establish and enforce a policy that the OIT Security Administrator match the current list of user IDs on the network to personnel records, identify inactive employees, and disable the user IDs for those individuals.

- Utilize the function within Microsoft 2000 to track system access violations.

- Establish formal procedures to document and report system access violations, and review and follow up on all reported violations.

- Establish written change-control procedures.

- Establish a special project team, reporting to the Commissioner, whose ultimate goal would be to ensure that the deficiencies noted in this report are addressed and corrected.

In conclusion, despite assurances from DHS officials that corrective action would be taken to address the issues raised in our two prior audit reports (issued on June 30, 1998, and January 25, 2001), many deficiencies still exist. Specifically, DHS still does not have: an operational alternate processing site; an updated disaster recovery plan; adequate inventory of computer hardware and software; and adequate policies and procedures for program-change controls and the monitoring of system access. Such weaknesses, if not addressed, increase the risk of unauthorized system access, business disruptions, misuse of sensitive data, and misappropriation of expensive equipment. Therefore, we also recommend that DHS establish a special project team, reporting to the Commissioner, whose ultimate goal would be to ensure that the deficiencies noted in this report are addressed and corrected.

INTRODUCTION

Background

The Department of Homeless Services (DHS), in partnership with public and private agencies, provides temporary and emergency shelter for homeless families and single adults, and assists them in obtaining permanent housing. The Department's Office of Information Technology (OIT) is responsible for providing information and technology services to the agency's administrative sites and more than 200 shelters.

The central data center supports the main local area network (LAN); applications that reside on the LAN at the agency's administrative sites, and its mission-critical applications used to track placements of homeless families as well as billings from vendors providing services to DHS clients.

In January 2001, the Comptroller's Office issued a follow-up report to an audit it conducted in 1998 on DHS data processing controls and procedures (7A98-121, issued June 30, 1998). The 2001 audit concluded that DHS still lacked a current disaster recovery plan, an alternate data-processing site, and comprehensive administrative and operational policies. The audit also noted that DHS did not have adequate procedures for change control, Internet security, and inventory of hardware and software items. Moreover, the report found that the log-on access of inactive or former employees had not been disabled, software use is not monitored to prevent the use of unlicensed products and there were no procedures to document, review, and follow-up on network-security access violations.

Objective

This follow-up audit determined whether DHS implemented the 12 recommendations made in an earlier report, *Follow-up Audit Report of the Data Processing Controls and Procedures of the Department of Homeless Services,* (Audit No. 7F01-068, issued January 25, 2001).

Scope and Methodology

The time period reviewed in this audit was August 2003 through December 2003. To determine the implementation status of the recommendations, we:

- Reviewed prior audit reports issued by the Comptroller's Office (*Audit Report of the Data Processing Controls and Procedures at the Department of Homeless Services,* Audit #7A98-121, issued June 30, 1998*; Follow-up Audit Report of the Data Processing Controls and Procedures of the Department of Homeless Services,* Audit # 7F01-068, issued January 25, 2001; *Audit Report on the Controls of the Department of Homeless Services Over its Computer Equipment,* Audit #FL03-131A, issued June 30, 2003*)*;

- Reviewed and analyzed the DHS *Baseline Procedures Manual*;

- Toured the data center and alternate processing site;

- Reviewed and analyzed DHS hardware equipment inventory procedures;

- Reviewed fixed asset documentation;

- Determined whether the Department of Investigation approved the DHS Internet Security Architecture Plan; and

- Determined whether access to the network has been disabled for inactive users by comparing a current list of individuals authorized to access DHS systems with City Payroll Management System (PMS) records.

For the audit's criteria, we used: Comptroller's Internal Control and Accountability Directive, *Guidelines for the Management, Protection and Control of Agency Information and Information Processing Systems* (Directive 18); the U. S. General Accounting Office *Federal Information Systems Control Audit Manual*; the Department of Investigation's Information Security Directives; and the Federal Information Processing Standards (FIPS).

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 City Comptroller's audit responsibilities 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 DHS officials during and at the conclusion of this audit. A preliminary draft report was sent to DHS officials and discussed at an exit conference held on February 24, 2004. On March 1, 2004, we submitted a draft report to DHS officials with a request for comments. We received a written response from DHS on March 16, 2004.

In its response, DHS stated: "In our continuing effort to fully implement all the recommendations where feasible, DHS has implemented three recommendations, partially implemented six recommendations, and will not implement one recommendation. DHS' Office of Information Technology has developed a plan in which full implementation of the agreed to recommendations will be accomplished by June 2005. OIT reports to the Deputy Commissioner of Policy and Planning who is working with the unit to facilitate the implementation of the recommendations and therefore, the establishment of a special project team is unnecessary."

The full text of the DHS response is included as an addendum to this report. However, certain sensitive information contained in the DHS response (pertaining to the location of the agency's disaster recovery site and the names of users) has been redacted.

RESULTS OF FOLLOW-UP AUDIT

Previous Finding: "DHS does not maintain documentation that sufficiently outlines all administrative and operational policies and procedures used by OIT personnel."

Previous Recommendation #1: "Update its *Baseline Procedures* to include all administrative and operational policies and procedures for its computer environment (i.e., computer inventory control and system development life-cycle methodology)."

Previous DHS Response: "While DHS/OIT agrees that these recommendations should be implemented, the priority for the staff must be the completion of certain projects that either directly or indirectly support the program areas and enables better communication of information on clients and the processing of families for permanent housing. These projects include a complete network upgrade, implementation of a Client Tracking System for both the family and adult programs to replace current old Prime application systems, automation of the functions performed by the Re-housing Bureau, completion of the connectivity of all DHS shelters to the DHS Network and supplying those shelters with personal computers to use on the network. The work on a written procedure manual will have to be scheduled to avoid impeding these projects. Producing a comprehensive manual of written procedures is a long-term goal of DHS/OIT, but given the importance of the other projects it is difficult for OIT to commit to a definite time frame at this time."

Current Status: PARTIALLY IMPLEMENTED

DHS policies now address Internet and e-mail use, installation of software, and access controls. However, the policies still do not address change controls, system development life cycle methodology, and additions/deletions of user IDs. Accordingly, we consider recommendation #1 partially implemented.

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Previous Finding: "DHS does not have an adequate disaster recovery plan."

Previous Recommendation #2: "Periodically update its Disaster Recovery Plan."

Previous Recommendation #3: "Obtain an alternative-processing site for resuming EDP operation in the event of a disaster."

Previous Recommendation #4: "Periodically test its disaster recovery plan."

Previous DHS Response to #2, #3 and #4: "DHS/OIT has on-site two (2) consultants from the In-Source group at the Department of Information Technology and Communications (DoITT) who are performing this task. They had a completed plan, which was based on the old DHS site at 161 William Street. They are currently updating that plan for the new DHS

site at 33 Beaver Street. The new plan will cover all aspects of Disaster Recovery for all DHS networking and application systems. This will include DHS/OIT finding an alternative site within another agency in the City of New York, as its backup disaster site.

"After a back-up site has been established the disaster recovery plan will be tested at least twice a year. It must be noted that many aspects of the disaster recovery plan were tested as part of the move of DHS from 161 William Street to 33 Beaver Street. All computer and network equipment were moved and in operation with 24 hours at the 33 Beaver Street site, which showed that the plan worked."

Current Status of Recommendation #2: NOT IMPLEMENTED

The DHS disaster recovery plan has not been updated to reflect the agency's current network that was installed in 2001. In addition, a complete disaster recovery plan would include a functional alternate-processing site, which is not in place. Therefore, we consider Recommendation #2 not implemented.

Current Status of Recommendation #3: PARTIALLY IMPLEMENTED

An alternate processing site has been identified; however the site is not equipped with necessary equipment such as servers and routers and therefore is not operational. Accordingly, we consider Recommendation #3 partially implemented.

Current Status of Recommendation #4: NOT IMPLEMENTED

Since there is neither an updated disaster recovery plan nor an established alternate-processing site, this recommendation cannot be satisfied. Therefore, we consider Recommendation #4 not implemented.

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Previous Finding: "DHS does not maintain comprehensive, accurate, or up-to-date computer equipment inventory records . . .[and] inventory of manufacturer's software . . . and the number of licensed copies of the software installed on the DHSLAN and workstations."

Previous Recommendation #5: "Compile an up-to-date inventory for all computer equipment and software."

Previous DHS Response: "In September 2000, DHS/OIT assumed responsibility for computer inventory which includes printers and fax machines. DHS/OIT ordered and received an updated version of the computer inventory system being used called Scanventory. The database for this system is now being created and when it is completed a full inventory will be taken of all computers, printers and faxes in DHS. After the initial full OIT will then perform an annual physical inventory for all computers, printers and faxes. All equipment will have a barcode tag attached to it if there is none on it and an up-to-date inventory listing will be created. All equipment that is to be issued after the complete

inventory is performed will already be issued with inventory tags and will be placed on the Scanventory system prior to their installation.

"The updated list of software inventory that was provided for this audit will be updated to include additional recommended information, version number and date of license."

Current Status: PARTIALLY IMPLEMENTED

In March 2003, DHS installed a new software package (Asset Tracker) to track its computer inventory. However, contrary to its response to the previous follow-up audit, the agency has yet to perform a full reconciliation of computer hardware on hand to the inventory records. In addition, the software inventory records did not include critical information such as, the dates items were purchased, who is in possession of the software packages, and what versions of the software are in use. Therefore, we consider Recommendation #5 partially implemented.

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Previous Finding: "New computer equipment is not recorded on the IFMS Fixed Asset Accounting Report."

Previous Recommendation #6: "Increase their efforts to comply with Comptroller's Directive #10 to ensure that new equipment is recorded on the FMS Fixed Asset Inventory Report."

Previous DHS Response: "With the implementation of FMS, fixed asset reporting and tracking procedures have changed citywide. DHS Finance Office is working closely with the Comptroller's Office to keep track of the most current procedures. As we gain a better understanding of the new process, we will revise and strengthen our internal procedures to ensure that all capital purchases are reported in FMS. Specifically, DHS Finance Office will revise its procedures for entering fixed assets in FMS. We will do this by mid August 2001 to coincide with the year-end fixed asset inventory reporting."

Current Status: IMPLEMENTED

DHS provided us copies of its latest purchases of computer equipment and we confirmed that the items purchased were recorded in FMS. Accordingly, we consider Recommendation #6 implemented.

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Previous Finding: "DHS has not purchased or installed any software package on the network servers to monitor and to ensure that only licensed software is used at the workstations."

Previous Recommendation #7: "Purchase and install a software program that allows OIT to identify and remove or disable unlicensed software in use at the workstations."

Previous DHS Response: "DHS has put into place a procedure that mandates that all software being used by DHS must be ordered and installed by the OIT department only. A new procedure will be put into place that will centralize documenting of all software licensees to ensure they are sent to the vendor and that a copy be kept on file.

"DHS/OIT has tried in the past to implement Novell software to keep track of software on workstations. Implementation has failed due to problems with Novell software. The upgrade of the DHS network to Microsoft 2000 will provide OIT with the software needed to implement this tracking system."

Current Status: NOT IMPLEMENTED

We confirmed that DHS upgraded its network to Microsoft 2000, which is equipped with a function to track software being used on the network. However, DHS has not utilized this capability to identify unlicensed software being used on the system. Accordingly, we consider Recommendation # 7 not implemented.

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Previous Finding: "Login access for inactive employees has not been disabled."

Previous Recommendation #8: "Have the OIT Security Administrator match the current list of user IDs on the LAN to personnel records, identify inactive employees, and disable the user IDs for those individuals."

*Previous DHS Response***:** "DHS/OIT must rely on the DHS Human Resources Bureau to inform them when an employee's status changes, which would require their user id to be disabled. At the last meeting on December 20, 2000 proof was provided that the DHS Human Resources Bureau is supplying OIT with employee status changes and that OIT is disabling the ID's.

"An additional procedure dealing with network ID's and passwords was also instituted with DHS Senior Staff members that deals with Temporary or Consultants that maybe part of a departments or bureaus staff. The procedure requires that department heads inform OIT of any Temporary or Consultant staff that have been issued network ID's and passwords that their assignment is completed. This will allow OIT to remove the ID's and Passwords of these classified staffs."

Current Status: NOT IMPLEMENTED

DHS provided a list of 1,445 "active" user IDs. Our review disclosed that 121 of these IDs are assigned to individuals who are not listed on the City's Payroll Management System (PMS) as ever having been employed by DHS; 20 were listed on PMS as "ceased"; and one was listed as "terminated". Therefore, we consider Recommendation #8 not implemented.

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Previous Finding: "DHSLAN does not have a time-out feature that automatically locks workstations after an extended period of inactivity; this prevents access to the LAN."

Previous Recommendation #9: "Expedite the completion of its new operating environment to require automatic access time-outs after an extended period of user inactivity."

Previous DHS Response: "With the DHS network upgrade to Microsoft 2000 the software to secure the workstations and the LAN will be implemented. DHS is an emergency agency that must be able to service homeless clients speedily without problems or delays. A timeout feature on workstations in the DHS shelter system would cause delays in processing these clients. At this time DHS feels that it is not in the interest of those clients that this feature be utilized."

Previous Auditor Comment: "Automatic time-outs are extremely important since they prevent unauthorized access to the network. Therefore, we urge DHS to utilize this feature, which is available on its upgraded network."

Current Status: IMPLEMENTED

DHS has instituted a network-wide automatic time-out function on workstations that is initiated after 20 minutes of inactivity. Accordingly, we consider Recommendation #9 implemented.

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Previous Finding: "Security violations are not adequately monitored."

Previous Recommendation #10: "Establish formal procedures to document and report system access violations, and review and follow up on all reported access violations."

Previous DHS Response: "Currently the DHS Prime system has the ability to document and record access violations, but the DHS network does not. Attempts were made to have this feature implemented using the Novell software, but repeated attempts have failed. Microsoft 2000 has this feature as part of its software and is a proven feature used by sites that are already running it. When the DHS network is upgraded to Microsoft 2000 this feature will be activated.

"It must be noted that all DHS staff that has access to the Prime and/or the DHS network can only access those systems through the use of an authorized ID and password. Currently with the exception of some OIT staff outside access to any of these systems is not available."

Current Status: NOT IMPLEMENTED

Microsoft 2000 has a feature that can be used to monitor security access violations. However, DHS has not utilized this aspect of the program. Further, DHS still does not have formal procedures to document, report, and follow up on system access violations. Therefore, we consider Recommendation #10 not implemented.

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Previous Finding: "DHS does not have adequate program change control procedures. The procedures that DHS currently uses are not documented."

Previous Recommendation #11: "Establish written change control procedures."

Previous DHS Response: "The establishment of written and documented change control procedures will be done since it is an important part of any IT organization to keep track of all changes performed. This will be accomplished through the use of one of the many computer based software packages on the market today. As previously stated, the implementing of this type of tracking system will take some time and will have to be performed after other major computer projects currently being implemented."

Current Status: NOT IMPLEMENTED

No written procedures have been established for change control. Therefore, we consider Recommendation #11 not implemented.

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Previous Finding: "DHS has not submitted its Internet security proposal to DOI."

Previous Recommendation #12: "Submit an Internet security proposal to DOI for approval."

Previous DHS Response: "On December 18, 2000 DHS/OIT had received approval from the Department of Information Technology and Telecommunications (DoITT) on the DHS/OIT proposal to connect to the DoITT Internet network. On December 20, 200[0] DHS/OIT E-Mailed and Faxed to DOI a request to have a meeting to review the DHS/OIT proposal for Internet security. DHS/OIT is awaiting confirmation of that meeting from DOI."

Current Status: IMPLEMENTED

An Internet Security Proposal was submitted and approved by DOI. Accordingly, we consider Recommendation # 12 implemented.

RECOMMENDATIONS

DHS should:

1. Complete its Baseline Procedures Manual to include all administrative and operational policies and procedures for its computer environment, specifically those regarding network and Internet change control.

DHS Response: "The Department of Homeless Services Office of Information Technology has established a number of procedures and request forms that are placed on a shared disk for all DHS staff to access.

"The Department of Homeless must take all procedures, request forms and any policy dealing with Information Technology areas and centralize them to create an electronic Baseline Procedures Manual that can be accessed by all Department of Homeless staff. All entries will have to be reviewed on a yearly basis and updated and/or changed as needed."

2. Create, implement, and periodically test a disaster recovery plan that reflects the current environment.

DHS Response: "The Department of Homeless Services Office of Information Technology does have a disaster recovery plan and has had to perform recovery to all of its systems on a number of occasions including 2 days after the 911 tragedy and a day following the total blackout due to loss of electric service through the eastern sections of the country which occurred on August 14, 2003. In both instances the procedures used recovered both the server based and mid-range Prime systems without any problems or loss of data.

"DHS has to update its disaster recovery plan to reflect to date running systems. DHS has requested assistance from the Department of Information Technology and Telecommunications (DoITT) InSource consulting department to provide a consultant that will assist the DHS/OIT department to update its Disaster Recovery Plan.

"A formal testing schedule will have to [be] created to insure continued full and quick recovery of all systems."

3. Establish an operational alternate processing and recovery site.

DHS Response: "DHS has established a Disaster Recovery (DR) site. . . . It will serve the agency as an alternate processing site. The DR site does have operational a Voice over IP telephone system, a Communication router and some servers that can provide employees with emergency phone service, access to email (after email services will be restored from the tape). OIT cannot provide redundant services for SCIMS and CTS because of budgetary constraints. When funding is established OIT will be able to have a complete redundant DR site that will make all DHS applications and services available to all DHS applications and services available to all DHS employees, shelters and contracted sites.

"Creating redundant WAN connectivity from existing sites to new . . . DR site (currently working with DoITT to implement this). Create Web portal for non-mayoral agencies and contracted sites to access DHS critical CTS data. Purchase Servers and move old ones . . . to DR site. Synchronize SAN data between primary and DR locations as recommended by DoITT."

4. Compile an up-to-date, accurate inventory for all computer equipment and software.

DHS Response: "DHS maintains an up-to-date accurate computer inventory. All new equipment is inventoried when received. Movement of new equipment and equipment already in use is tracked and entered into the computer inventory tracking system (Asset Tracker) on a daily basis. Old equipment that is to be salvage is flagged in Asset Tracker and reports are generated to submit with the required paperwork to DCAS for permission to remove and destroy. The last full reconciliation of all computer equipment was done in June 2003.

"The inventory of computer equipment at DHS administrative and directly run shelter sites is ongoing. Asset Tracker will be used to record the purchases of software licenses."

5. Utilize the function within Microsoft 2000 to identify and disable unlicensed software.

DHS Response: "Phase 1 of the Windows 2000 initiative DHS implemented Windows 2000 policy based rules that prohibit any unauthorized software installation by users at workstations. Because of this operating system restriction network administrators are the only authorized personnel that perform all software installations. OIT has also implemented SMS management tool that allows OIT to scan the DHS network to ensure this policy and procedure is followed. We requested from DOI to test our policy and give OIT recommendations in case these policies need to be improved.

"In Phase 2 of the Windows 2000 SMS implementation, OIT must install add-on option for SMS. This option is Software Metering. It will not only allow the blocking of unauthorized applications but also will help maintain up to date licensing information on all applications used by DHS now done separately. When this additional SMS feature is implemented, OIT will request confirmation from DOI on configuration."

6. Establish and enforce a policy that the OIT Security Administrator match the current list of user IDs on the network to personnel records, identify inactive employees, and disable the user IDs for those individuals.

DHS Response: "A long established policy to remove the network ID's is being followed by the DHS/OIT department. Each week DHS Personnel Department sends (through E-mail) to the OIT Director of LAN/WAN Services and the OIT Network Administrator a report indicating those employees that are no longer active employees (see attachment). This report is then used to delete IDs. This procedure follows DOI citywide CISAFE directives."

Auditor Comment: The attachment DHS provided is a copy of an e-mail sent after the release of the draft version of this report. Further, DHS did not provide the written policies that it refers to in its response. Also, copies of these weekly e-mails, which DHS suggests it produces in accordance with a long-established policy, were not provided to us. Finally, as our audit indicates, there were 20 user IDs assigned to individuals who were not current employees of DHS. Obviously, DHS does not have an effective method of deleting inactive user IDs. Therefore, we suggest that DHS reconsider its position on this recommendation.

7. Utilize the function within Microsoft 2000 to track system access violations.

DHS Response: "DHS OIT has been following citywide DOI CISAFE Security Initiative Directive for reporting access violations and follow up on all reported violations as stated in the directive. DHS OIT staff on a daily basis monitors Windows 2000 security logs and other tools that allow OIT to successfully monitor DHS network security infrastructure. As a result, any violations with alerts higher than a level 3 are reported to OIT management and reviewed. All level 1 alerts are considered critical and after confirmation OIT notifies DOI and/or FBI."

8. Establish formal procedures to document and report system access violations, and review and follow up on all reported violations.

DHS Response: "DHS OIT has been following citywide DOI CISAFE Security Initiative Directive for reporting access violations and follow up on all reported violations as stated in the directive."

Auditor Comment to DHS Response to Recommendations 7 and 8: DHS has not provided any documentation to support its claim that it follows the DOI CISAFE Security Initiative Directive. DOI CISAFE Security Directive §2.8 states that such documentation should include agency procedures that address the following areas: incident detection; incident containment; incident resolution; incident prevention; how to handle incident information; and incident logging. Therefore, we reiterate our recommendation, which will help ensure that violations are adequately reported and investigated.

9. Establish written change control procedures.

DHS Response: "The Department of Homeless Services Office of Information Technology has established a procedure (see attachments) for requests for changes to existing production computer systems, databases, reports created by those systems and any other changes needed to these systems. The procedure requires that a request form be completed giving detailed information as to what system the request is being made on, what is being requested, justification for the requests and Director level or above sign-off. A report (see attachments) is produced that shows the date requests were made, by whom, what was requested, what OIT group is responsible for competition, what work was required and when completed the date it was completed. The report is broken down into 3 segments; it shows open, pending and completed.

"Although this procedure does indicate what changes were done to what systems the establishment of actual line programming coding changes must also be done. This will be accomplished through the use of a software package specifically designed for this purpose."

Finally, because DHS has not taken corrective action to address the issues raised in our two prior audit reports (issued June 30, 1998, and January 25, 2001), which pose the risk of unauthorized system access, business disruptions, misuse of sensitive data, and misappropriation of expensive equipment, we also recommend that DHS:

10. Establish a special project team, reporting to the Commissioner, whose ultimate goal would be to ensure that the deficiencies noted in this report are addressed and corrected.

DHS Response: "The Department of Homeless Services Office of Information Technology reports to the Deputy Commissioner of Policy Planning. The Deputy Commissioner of Policy and Planning will work with the DHS/OIT department to ensure the implementation of the audit's recommendations. My office will be kept updated on the progress being made and the oversight will remain under my office."

Auditor Comment: The Commissioner has ultimate responsibility for all DHS programs, procedures, and operations. As we have indicated in the audit, despite assurances from DHS officials that corrective actions would be taken to address the issues in the two prior audit reports, many deficiencies still exist. These issues, if not addressed, leave DHS systems and equipment open to fraud and abuse. Thus, it would behoove the Commissioner to be an integral part of correcting the system.

DHS

NYC Department of Homeless Services

Linda Gibbs
Commissioner

Steve Pock
Deputy Commissioner
Fiscal Operations

March 15, 2004

Greg Brooks
Deputy Comptroller
Policy, Audits, Accountancy & Contracts
Office of the Comptroller
1 Centre Street, Room 530
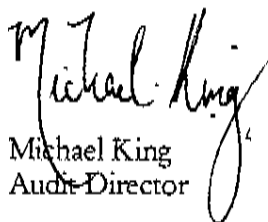New York, New York 10007

Dear Mr. Brooks:

Enclosed are the Department of Homeless Services (DHS) responses to the ten audit recommendations made in your office's audit of Data Processing Controls and Procedures.

In our continuing effort to fully implement all the recommendations where feasible, DHS has implemented three recommendations, partially implemented six recommendations, and will not implement one recommendation.

DHS' Office of Information Technology has developed a plan in which full implementation of the agreed to recommendations will be accomplished by June 2005. OIT reports to the Deputy Commissioner of Policy and Planning who is working with the unit to facilitate the implementation of the recommendations and therefore, the establishment of a special project team is unnecessary.

DHS remains committed to ensuring that its technology department complies with all applicable rules and regulations and maintains the integrity of its systems.

Sincerely,

Michael King
Audit Director

Attachments
cc: Linda Gibbs   Pat Nestor   Robert Bernstein
        Maryanne Schretzman   Jim Anderson   Vincent Liquori
        Steve Pock   Angeles Pai   Bernard Schwartz

New York City Department of Homeless Services

Page _1_ of _10_

Response Date: _____

AUDIT TITLE: _ Second Follow-up Audit Report of Data Processing Controls and Procedures at the Department of Homeless Services _____

AUDITING AGENCY: NYC Comptrollers Office

DRAFT REPORT DATE: March 01, 2004_____

AUDIT NUMBER: 7F04-068_____

Audit Recommendation

Complete Baseline Procedures Manual to include all administration and operational policies and procedures for it's computer environment, specifically those regarding Network and Internet change control.

Category of Response:

B – Partially implemented

Response To Recommendation

The Department of Homeless Services Office of Information Technology has established a number of procedures and request forms that are placed on a shared disk for all DHS staff to access.

What Has To Be Implemented

The Department of Homeless must take all procedures, request forms and any policy dealing with Information Technology areas and centralize them to create an electronic Baseline Procedures Manual that can be accessed by all Department of Homeless staff. All entries will have to be reviewed on a yearly basis and updated and/or changed as needed.

Implementation Date

June 2005

RESPONSIBILITY CENTER

Office of Information Technology

Signature:

Print Name: Patrick J. Nestor

Print Title: CIO

02/10/07
Date

New York City Department of Homeless Services

Page _2_ of 10___

Response Date: _____

AUDIT TITLE: _ Second Follow-up Audit Report of Data Processing Controls and Procedures at the Department of Homeless Services _____

AUDITING AGENCY: NYC Comptrollers Office

DRAFT REPORT DATE: March 01, 2004_____

AUDIT NUMBER: 7F04-068_____

Audit Recommendation

Create, implement and periodically test a disaster recovery plan that reflects the current environment

Category of Response:

B – Partially implemented

Response To Recommendation

The Department of Homeless Services Office of Information Technology does have a disaster recovery plan and has had to perform recovery to all of it's systems on a number of occasions including 2 days after the 911 tragedy and a day following the total blackout due to loss of electric service through the eastern sections of the country which occurred on August 14, 2003. In both instances the procedures used recovered both the server based and mid-range Prime systems without any problems or loss of data.

What Has To Be Implemented

DHS has to update its disaster recovery plan to reflect to date running systems. DHS has requested assistance from the Department of Information Technology and Telecommunications (DoITT) InSource consulting department to provide a consultant that will assist the DHS/OIT department to update its Disaster Recovery Plan.

A formal testing schedule will have to created to insure continued full and quick recovery of all systems.
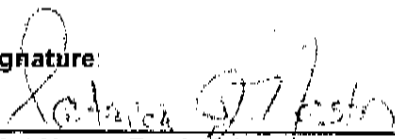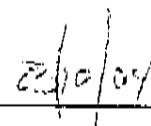
Implementation Date

July 2004

RESPONSIBILITY CENTER

Office of Information Technology

Signature: _____

Print Name: Patrick J. Nestor

2/10/04
_____
Date

Print Title: CIO

Audit Implementation Plan Category B

New York City Department of Homeless Services

Page _3_ of __10__

Response Date: __

AUDIT TITLE: Second Follow-up Audit Report of the Data Processing Controls and Procedures at the Department of Homeless Services

AUDITING AGENCY: NYC Comptrollers Office

DRAFT REPORT DATE: March 01, 2004

AUDIT NUMBER: 7F04-68

Audit Recommendation

Establish an operational alternate processing and recover site

Category of Response:

B – Partially implemented

Response To Recommendation

DHS has established a Disaster Recover (DR) site located at ███████████████████ It will serve the agency as an alternate processing site. The DR site does have operational a Voice over IP telephone system, a Communication router and some servers that can provide employees with emergency phone service, access to email (after email services will be restored from the tape). OIT cannot provide redundant services for SCIMS and CTS because of the budgetary constraints. When funding is established OIT will be able to have a complete redundant DR site that will make all DHS applications and services available to all DHS employees, shelters and contracted sites.

What Has To Be Implemented

Creating redundant WAN connectivity from existing sites to new ██████ DR site (currently working with DoITT to implement this). Create Web portal for non-mayoral agencies and contracted sites to access DHS critical CTS data. Purchase Servers and move old ones from ████████ to DR site. Synchronize SAN data between primary and DR locations as recommended by DoITT.

Implementation Date

FY04-05

RESPONSIBILITY CENTER

Office of Information Technology

Signature: _____

Print Name: Patrick J. Nestor

Print Title: CIO

_____
Date

New York City Department of Homeless Services   Page _4_ of 10__

Response Date: _____

AUDIT TITLE: Second Follow-up Audit Report of the Data Processing Controls and Procedures at the Department of Homeless Services

AUDITING AGENCY: NYC Comptrollers Office

DRAFT REPORT DATE: March 1, 2004

AUDIT NUMBER: 7F04-068

Audit Recommendation

Compile an up-to-date accurate inventory of all computer equipment and software.

Category of Response:

B – Partially implemented

Response To Recommendation

DHS maintains an up-to-date accurate computer equipment inventory. All new equipment is inventoried when received. Movement of new equipment and equipment already in use is tracked and entered into the computer inventory tracking system (Asset Tracker) on a daily basis. Old equipment that is to be salvage is flagged in Asset Tracker and reports are generated to submit with the required paperwork to DCAS for permission to remove and destroy. The last full reconciliation of all computer equipment was done in June 2003.

What Has To Be Implemented

The inventory of computer equipment at DHS administrative and directly run shelter sites is ongoing. Asset Tracker will be used to record the purchases of software licenses.
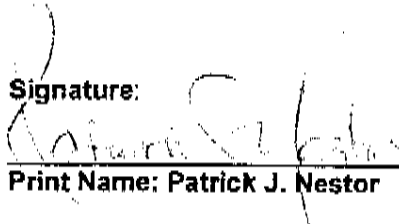
Implementation Date

Full reconciliation of computer equipment and software inventory – October 2004

RESPONSIBILITY CENTER

Office of Information Technology

Signature:

Print Name: Patrick J. Nestor

Print Title: CIO

Date

New York City Department of Homeless Services   Page _5_ of _10_

Response Date: _____

AUDIT TITLE: <u>Second Follow-up Audit Report of the Data Processing Controls and Procedures at the Department of Homeless Services</u>

AUDITING AGENCY:<u>NYC Comptrollers Office</u>

DRAFT REPORT DATE: <u>March 1, 2004</u>

AUDIT NUMBER: <u>7F04-68</u>

Audit Recommendation

Utilize the function within Microsoft Windows 2000 to identifies and disable unlicensed software

Category of Response:

B – Partially implemented

Response To Recommendation

Phase 1 of the Windows 2000 initiative DHS implemented Windows 2000 policy based rules that prohibit any unauthorized software installation by users at workstations. Because of this operating system restriction network administrators are the only authorized personnel that perform all software installations. OIT has also implemented SMS management tool that allows OIT to scan the DHS network to ensure this policy and procedure is followed. We requested from DOI to test our policy and give OIT recommendations in case these policies need to be improved.

What Has To Be Implemented

In Phase 2 of the Windows 2000 SMS implementation, OIT must install add-on option for SMS. This option is Software Metering. It will not only allow the blocking of unauthorized applications but also will help maintain up to date licensing information on all applications used by DHS now done separately. When this additional SMS feature is implemented, OIT will request conformation from DOI on configuration.

Implementation Date

Will be completed by end of FY-05

RESPONSIBILITY CENTER

Signature:

Print Name: Patrick J. Nestor

Print Title: CIO

Date

Audit Implementation Plan Category A

New York City Department of Homeless Services

Page __6__ of __10____

Response Date: _____

AUDIT TITLE: Second Follow-up Audit Report of the Data Processing Controls and Procedures at the Department of Homeless Services

AUDITING AGENCY: NYC Comptrollers Office

DRAFT REPORT DATE: March 1, 2004

AUDIT NUMBER: 7F04-68

Audit Recommendation

Establish and enforce a policy that the OIT Security Administrator match the current list of user IDs on the network to personal records, identify inactive employees, and disable the User IDs for those individuals.

Category of Response:

A - Implemented

Response To Recommendation

A long established policy to remove network ID's is being followed by the DHS/OIT department. Each week DHS Personnel Department sends (through E-Mail) to the OIT Director of LAN/WAN Services and the OIT Network Administrator a report indicating those employees that are no longer active employees (see attachment). This report is then used to delete IDs. This procedure follows the DOI citywide CISAFE directives.

Implementation Date

RESPONSIBILITY CENTER

Signature: _____

Print Name: Patrick J. Nestor

Print Title: CIO

3/10/04

Date

Yvette Mitchell

From: Ciliana Joseph
Sent: Thursday, March 04, 2004 3:03 PM
To: Yvette Mitchell; Michael Gagliardi
Cc: Walter Ellis; Phil Crowe
Subject: Weekly Attrition Report

Please see attached.

Last	First	Soc Sec No.	Title	TermInEffDate	Division	Unit
▓	▓	▓	Special Officer P/D	22-Feb-04	Security	EAU Uniformed Security
▓	▓	▓	Community Liaison Worker	25-Feb-04	Family	Case Management Field Team
▓	▓	▓	Fraud Investigator P/D	22-Feb-04	Family	EIU
▓	▓	▓	Clerical Associate	22-Feb-04	Family	Auburn Family

Audit Implementation Plan Category A

New York City Department of Homeless Services   Page __7__ of __10__

Response Date: _____

AUDIT TITLE: Second Follow-up Audit Report of the Data Processing Controls and Procedures at the Department of Homeless Services

AUDITING AGENCY: NYC Comptrollers Office

DRAFT REPORT DATE: March 1, 2004

AUDIT NUMBER: 7F04-68

Audit Recommendation

Utilize the function within Microsoft Windows 2000 to track system access violations

Category of Response:

A - Implemented

Response To Recommendation

DHS OIT has been following citywide DOI CISAFE Security Initiative Directive for reporting access violations and follow up on all reported violations as stated in the directive. DHS OIT staff on daily basis monitors Windows 2000 security logs and other tools that allow OIT to successfully monitor DHS network security infrastructure. As a result, any violations with alerts higher than a level 3 are reported to OIT management and reviewed. All level 1 alerts are considered critical and after confirmation OIT notifies DOI and /or FBI.

Implementation Date

RESPONSIBILITY CENTER

Department of Information Technology

Signature:

Print Name: Patrick J. Nestor

Print Title: CIO

Date

New York City Department of Homeless Services

Page _8_ of __10__

Response Date: _____

AUDIT TITLE: Second Follow-up Audit Report of the Data Processing Controls and Procedures at the Department of Homeless Services

AUDITING AGENCY: NYC Comptrollers Office

DRAFT REPORT DATE: March 1, 2004

AUDIT NUMBER: 7F04-68

Audit Recommendation

Establish formal procedures to document and report system access violations, and review and follow up on all reported violations.

Category of Response:

A - Implemented

Response To Recommendation

DHS OIT has been following citywide DOI CISAFE Security Initiative Directive for reporting access violations and follow up on all reported violations as stated in the directive.

Implementation Date

RESPONSIBILITY CENTER

Department of Information Technology

Signature: _____

Print Name: Patrick J. Nestor

Print Title: CIO

_____
Date

New York City Department of Homeless Services

Response Date: _____

AUDIT TITLE: _ Second Follow-up Audit Report of Data Processing Controls and Procedures at the Department of Homeless Services _____

AUDITING AGENCY: NYC Comptrollers Office

DRAFT REPORT DATE: March 01, 2004_____

AUDIT NUMBER: 7F04-068_____

Audit Recommendation

Establish written change control procedures

Category of Response:

B – Partially implemented

Response To Recommendation

The Department of Homeless Services Office of Information Technology has established a procedure (see attachments) for requests for changes to existing production computer systems, databases, reports created by those systems and any other changes needed to these systems. The procedure requires that a request form be completed giving detailed information as to what system the request is being made on, what is being requested, justification for the requests and Director level or above sign-off. A report (see attachments) is produced that shows the date requests were made, by whom, what was requested, what OIT group is responsible for competition, what work was required and when completed the date it was completed. The report is broken down into 3 segments; it shows open, pending and completed.

What Has To Be Implemented

Although this procedure does indicate what changes were done to what systems the establishment of actual line programming coding changes must also be done. This will be accomplished through the use of a software package specifically designed for this purpose.
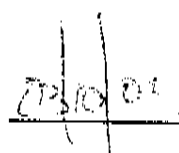
Implementation Date

January 2005

RESPONSIBILITY CENTER

Office of Information Technology

Signature: _____

Print Name: Patrick J. Nestor

Print Title: CIO

Date

Audit Implementation Plan **Category E**

New York City Department of Homeless Services   Page _10_ of _10__

Response Date: _____

AUDIT TITLE: Second Follow-up Audit Report of the Data Processing Controls and Procedures at the Department Of Homeless Services

AUDITING AGENCY: NYC Comptrollers Office

DRAFT REPORT DATE: March 01, 2004

AUDIT NUMBER: 7F04-689

Audit Recommendation

Establish a special project, reporting to the Commissioner, whose ultimate goal would be to ensure that the deficiencies noted in this report are addressed and corrected.

Category of Response:

E - Disagrees and will not implement
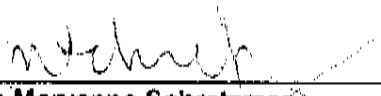
Response To Recommendation

The Department of Homeless Services Office of Information Technology reports to the Deputy Commissioner of Policy Planning. The Deputy Commissioner of Policy and Planning will work with the DHS/OIT department to ensure the implementation of the audit's recommendations. My office will be kept updated on the progress being made and the oversight will remain under my office.

Implementation Date

RESPONSIBILITY CENTER
DHS Policy and Planning

Signature:

_____   3-17-04

Print Name: Maryanne Schretzman   Date

Print Title: Deputy Commissioner

DHS

NYC Department of Homeless Services

Procedure to Request Non-Routine OIT Services

Implemented December 5, 2003

1. All non-routine OIT services must be approved by a manager or above.

2. The request should be submitted using the Office of Information Technology - Request for Non-Routine Services form via e-mail or hard copy to Pat Nestor, Chief Information Officer, 13th Floor. E-mailed forms should be sent from the approving supervisor. Hard copy forms should be signed by the approving supervisor.

3. Requests should be submitted in a timely manner. Emergency requests will be prioritized on a case-by-case basis.

4. All requests must have a justification and are subject to the approval of the Chief Information Officer.

5. Upon receipt of the request, the requesting staff member will receive an acknowledgement of the request with a tracking number via e-mail.

6. The requestor will be notified within three business days if their request has been approved and the availability of the service.

7. If the service is available the requestor will be advised of the expected completion date.

DHS

NYC Department of Homeless Services

Office of Information Technology - Request for Non-Routine Services

To: Pat Nestor, Chief Information Officer, 13th Floor

Date:

From:

Dept.:

Phone:

Request Type:

☐ New   ☐ Change to Existing Application/Program/Report

Description: (Please enter a brief description of your request here - Please include sample reports for all report requests. For discrepancies, annotate them on the report. For ad-hoc inquiries, indicate source of data. For all reports include any calculations or associated logic required to properly represent the data. For data matches and extracts provide sources of information, data to be matched, and appropriate business rules. If the match is with another agency include contact information).

Type description here...

Necessity, Benefits, Cost Savings: (Please describe savings, and/or benefits derived from this request)

Type necessity, cost savings here...

Supervisor Name: Please enter approving supervisors name

Internal OIT use only

Date Received:	By: (Initials):	Tracking Number:	Remarks:

OIT Open Requests by Department

ControlNo	Req. Date	Requester Name	New/Change	ApplicationName	Description	Necessity, benefits, savings etc.	DateReq	Priority	Sequence	OIT Dept	Status
Acco											
1048	3/4/2004	George Sharples	Change	PRTS	Modification of the Procurement Requisition Tracking System (PRTS) to include the Comptroller's and Department of Citywide Administrative Services (DCAS) reports that are required by the Commissioner and the Executive Deputy Commissioner weekly. These reports are also sent to all departmental Procurement liaisons to track the progress of DHS-1's sent to the Procurement area.	The benefits to be derived from the modification of PRTS are: (1) Procurement will have only one report to update, instead of three. (2) Because only one report would have to be updated, we will have more time to ensure that the data inputted is accurate. The cost savings might not be immediately visible, but the time saved could be converted to dollars.	B	001	Applications	A. Request Received
dults											
1026	12/16/2003	Lynda Mills	Change	SCBMS	A new screen or annotations to the existing SCBMS screen #9; suspension of services SCBMS as the means to accomplish this.	As part of the client responsibility process, adult services must be able to preset/clients who are in sanction status from entering the system.	A	001	Applications	E- Programming

OIT Open Requests by Department

ControlNo	Req. Date	Requester Name	New/Change	ApplicationName	Description	Necessity, benefits, savings etc.	DateReq	Priority	Sequence	OIT Dept	Status
1039	12/26/2003	Lynda Mills	New	Client Responsibility	This is a centralized, stand- alone database. We will need the ability to create all her reports based on information entered by a finite number of users. Users will need to input the following data: 1. Client's name / RA#/ DOB/ SSN /Sheller 2. Caseworker/ Program Analyst/Program Administrator's names 3. 1st / subsequent ILP violation(s) committed by client 4. Case documentation/Mental Health Evaluation requested/received with check off boxes and time/date stamp. 5. Fair Hearing section with system date/time stamp 6. Final determination / Sanction section 7. Comments section	In order to be in strict compliance with NYS Department of Social Services, as we implement the Client Responsibility procedure, Adult Services requires a stand-alone database to document our actions and monitor the timeliness of our responses. Since certain behavior(s) of our clients may ultimately result in their being placed in sanction status and barred from the system for an extended period, we need to insure that our clients rights are not violated in any way.		A	001	Applications	E- Programming
1027	12/18/2003	Babatunde Salau	Change	Computer Moves	We are under construction. We are requesting to move 10 computers from Social Services Department to the temporary offices on the 2nd floor.	This will ensure uninterrupted delivery of services to our assessment clients while the offices are being renovated. The contractor is ready to begin construction on these offices. Time is of the essence.	B		001	Desktop Supp	C- Analysis
1043	2/11/2004	Krista Olson	New	SCIMS	Adult Services would like to obtain regular information on PA/SSI and Medicaid from HRA. Information is currently being updated regularly in SCIMS but it is not entirely accurate. We would like to reopen some earlier conversations with OIT and HRA to resolve the problem. If at all possible, we would like to revise the match that is currently being done to reflect accurately whether or not our clients are receiving Public Assistance, SSI and Medicaid.	Having accurate and up-to-date information on entitlement status would enable shelters to know accurately which clients are currently receiving benefits. In many cases, benefits is an important step for obtaining housing. This would reduce staff time both in the field as well as for central staff. Currently to determine which clients are on public assistance or medicaid requires a time-intensive process of comparing paper reports that are received from HRA. Obtaining this data could expedite housing placements, would help identify clients in need of obtaining entitlements for Review and the SSI outreach efforts. In addition, this match would identify clients that are potentially eligible for an initiative with OMB and HRA to reduce duplication of services between our two agencies.	B		002	Applications	C- Analysis

OIT Open Requests by Department

ControlNo	Req Date	Requester Name	New/Change	ApplicationName	Description	Necessity, benefits, savings etc.	DateReq	Priority	Sequence	OIT Dept	Status
Family											
1023	12/3/2003	John Gambardella	Change	CTS		Automation of Pass Cancel.	B	001	Applications	A -Request Received	
1025	12/31/2003	Trevor Jardine	New	Video Conferencing		I'm requesting OIT to consult with clients on active Public Assistance, because we will be Time Warner Cable on cabling. LIFE, located at 78 Catherine Street, is scheduled to have HRA video conferencing set up at their site. Time Warner is responsible for the cabling; however I would like OIT to consult on this project	The benefits of this project will allow us to maintain able to do the recertifications through video conferencing.	B	001	LAN/WAN	A -Request Received	
1031	1/6/2004	Hamad Hafiz	Change	Re-Housing		1- Upgrade the front end of the Rehousing Computer Application (RCA) to the latest Microsoft Access edition, and 2- Migrate the back end in SQL server or Oracle platform.	1- The Rehousing Computer Application was developed with Microsoft Access 97, which is a seven years old version of MS Access. So upgrading is necessary for the application to employ Microsoft new library functions and features, and to be compatible with new software. 2- The database size is growing rapidly, and MS access tables will not be able to handle a larger database. So migrating is necessary to prevent database corruption and data loss.	B	001	Applications	B- Assigned	
1039	1/29/2004	Alex Barro	Change	CTS		Add new input screen to capture Diversion Referral Form Data and create associated reports.	?	B	001	Applications	A -Request Received	
1040	1/30/2004	John Gambardella	Change	CTS Legal Hold Rep		EAU Bronx only tracks Families with children <=21. Adult Family Intake Center only tracks Adults with children >=21 years old.	-Waste of paper -Tate entire report is being printed by both sites, when they only need to print a list of their own clients. -Populations need to be statistically tracked. This is a timely process with the current reports.	B	001	Applications	A -Request Received	

OIT Open Requests by Department

ControlNo	Req. Date	Requester Name	New/Change	ApplicationName	Description	Necessity, benefits, savings etc.	DateReq	Priority	Sequence	OIT Dept	Status
1045	2/10/2004	Aida Idisquez	New	Hardware-Computers	I am requesting for the LIFE program (Catherine St. Shelter) four computers and four printers. The hardware equipment will be assigned would be assigned as follows: Director, Deputy Director, Program Director and Housing Unit Director. The current computers are older models and need upgrading. The facility recreation office has a digital camera for events and recently, OIT was unable to install the digital camera software into designated computer because incompatibility. The digital camera can not be used until computers are upgraded. The current computers will be reallocated to staff that don't have computers.	Family Services will be funding the purchase of the four computers and printers for the LIFE program. The benefit will be that shelter staff will have better equipment to use to perform their job duties.	B	001	Desktop Supp	
1046	2/10/2004	Aida Idisquez	New	Hardware-Printers	I am requesting two color printers for family services, the first to be located on the 16th floor by the Deputy Commissioners office, and the second to be located on the 15th floor by the Assistant Commissioners office.	Family Services will be funding the purchase of the two color printers for the program area. The benefit will be that central office staff will be able to produce reports with graphics that are easier to interpret due to the option in color.	B	001	Desktop Supp	A-Request Received
1010	12/1/2003	Rajwati Bains	Change	CTS	Management EAU Reports. These reports need to be reworked and brought up to date.	Perform Daily management job functions.	B	001	Applications	A-Request Received
1018	12/3/2003	John Gambardella	Change	CTS	Add new Tracker Transfer Screen		B	001	Applications	A-Request Received
1020	12/3/2003	John Gambardella	Change	CTS	Board of Ed Placement Process: 1. Easier migration to school data 2. Drop Down Menu	To increase productivity and improve placement process to place family in school district closest to youngest child's school when possible.	B	001	Applications	A-Request Received
1024	12/3/2003	Alex Barro	Change	CTS	1. Revise Family Section process to be able to sanction individual within a family 2. Allow section for specific time periods. Currently sections are for life.	New Shelter Sanction priority	B	001	Applications	A-Request Received

OIT Open Requests by Department

ControlNo	Req. Date	Requester Name	New/Change	ApplicationName	Description	Necessity, benefits, savings etc.	DateReq	Priority	Sequence	OIT Dept	Status
1019	12/3/2003	John Gambardella	Change	CTS	Security Charges: 1. Allow specific group to delete EAU departure date/time 2. Allow specific group to delete disposition 3			B	001	Applications	A -Request Received
Finance											
1017	12/3/2003	John Gambardella	Change	CTS	Finance unit report request update			B	002	Applications	A -Request Received
1044	2/19/2004	Aida Idiaquez	Change	Hotel Program?	I am requesting the capability to connect the Hotel Program under direct supervision by Patrick Gawan, Program Administrator, Family Services Intake & Assessment to the DHS OIT network system. Family Programs has a critical need to connect the field staff via computers to the network so that first, staff can communicate with central office and supervisory staff; second, receive and send communication and documents via e-mail; third, access documents and systems, i.e. CTS and finally, perform critical functions of their job responsibilities, ie. case management, daily reports, incidental reports, reporting on housing targets and placements, etc. The need is for 51 computers to be distributed to family 25 hotels, composition of hotel vans from 100s, 20s and mixed family units (see attachment for hotel name and location). The average staff is two caseworkers per facility.	Family Services will be funding the purchase of the computers for the Hotel Program. The benefit will be that shelter field staff will have better equipment to use and to perform their job duties.		B	001	Desktop Supp	A -Request Received
1007	1/1/2003	Jill Banks	Change	Claiming	Claiming Reports	This information is required so be reimbursed by the state for shelter clients receiving PA		B	001	Applications	E-Programming

Legal

OIT Open Requests by Department

OIT

ControlNo	Req. Date	Requester Name	New/Change	ApplicationName	Description	Necessity, benefits, savings etc.	DateReq	Priority	Sequence	OIT Dept	Status
1042	2/5/2004	Kevin Garcia	New	Aftercare Tracking	Provide assistance in development and linking of Database to track the aftercare of clients	???		B	002	Applications	A - Request Received
1017	1/1/2004	Raymond Teplenhardt	New	CTS Single Adult Tra	Develop CTS to replace SCIMS	To provide DHS' Adult Services division with up to date system functionality to meet the ongoing initiatives of the agency.		A	001	Applications	C - Analysis
					Remove dependency from old PRIME computer hardware		3/8/2004	A	001	Applications	E - Programming
1011	9/15/2003	Raymond Teplenhardt	Change	CTS	Include Re-Housing Labels (Housing Applications) database functionality in CTS.	This is required to remove the dependency on the become grown database used to manage this information. The inclusion of this process into CTS will greatly enhance the process, save processing and keying time, and increase the reliability of this information. This is an essential part of placing families into permanent housing.		A	001	Applications	E - Programming
1005	7/1/2003	Raymond Teplenhardt	New	McCain	Create a list of recipients for McCain contemp fees from 1996 to present	Court Ruling		A	001	Applications	E - Programming
1008	9/1/2003	Raymond Teplenhardt	Change	CTS Billing	The total in the facility_Payment_Table does not match the the max amount paid on the payment_History_Table. It appears that Re-Submits are not being updated.	This is an error in the program that needs to be corrected.		B	001	Applications	C - Analysis
1002	12/9/2003	Raymond Teplenhardt	New	Re-Housing	Convert Re-Housing Application an Client Server platform and upgrade integration with CTS. This will also free up network resources and allow future groth of the application.	This is a must do item in order to meet the increasing requirement of the Re-Housing initiative and allow for integration with CTS. This will also free up network resources and allow future groth of the application.		B	001	Applications	A - Request Received

OIT Open Requests by Department

ControlNo	Req. Date	Requester Name	New/Change	Application Name	Description	Necessity, benefits, savings etc.	DateReq	Priority	Sequence	OIT Dept	Status
1033	1/8/2004	Raymond Teplenhardt	Change	CTS:Billing	There is a possible error that must be looked into. Per Carlos Valenzuela, you cannot bill for cycle dates if they are between dates already processed. Example HB34 processed cycle 9/23 thru 10/21 skipped 10/23 thru 11/21 because of reconciliation questions and then processed cycle 11/23 thru 11/21. When the reconciliation questions were resolved they tried to process cycle 10/23 thru 11/21 and the system would not allow the dates.	This is a valid condition that causes payments to be made as special payments instead of cycle payment. When this happens it causes an increase workload.	2/2/2004	B	001	Applications	C - Analysis
1009	11/15/2003	Raymond Teplenhardt	Change	CTS Billing	1. When billing starts to process the Final Payment Register (Payment Status Flag=2), users should not be able to change information for those records in process. 2. Cases paid should stop users from making changes. (Payment Status Flag=4)	This is necessary to prevent users from making changes while Billing is in progress. When this happens there can be a discrepancy between billed and actual amounts for a client.		B	002	Applications	A - Request Received
1003	12/9/2003	Raymond Teplenhardt	New	Departmental ACCE	Convert all Departmental databases using ACCESS 97 to ACCESS 2002 (Office XP).	Reduces support requirements for multiple versions of platform. This must be done so we can remove ACCESS 97 from our environment.		B	002	Applications	E - Programming
1012	8/1/2003	Raymond Teplenhardt	Change	CTS Billing	Menu 11 from billing should be the same as menu 11 in CTS to show authorizations and individuals information. Currently must look in CTS.	This would help save some time in switching back and forth between systems		D	001	Applications	A - Request Received

Policy & Planning

ControlNo	Req. Date	Requester Name	New/Change	Application Name	Description	Necessity, benefits, savings etc.	DateReq	Priority	Sequence	OIT Dept	Status
1016	12/8/2003	Jay Bainbridge	Change	CTS	Change the way the Noon Census reports on HPD centers. Distinguish families paid for by DHS from those families in HPD centers paid for by HPD and paid for by HPD (i.e., those with payment codes of "02" from "0,1"). Reflect the change in the summary statistics at the bottom of the report, so that it is possible to report on the number of DHS adults and children staying in HPD shelters.	The Noon Census is run daily by OIT and is a source for both internal and external DHS reports. Currently, families in HPD centers paid for by HPD are erroneously counted as part of the DHS shelter system in several DHS public reports, such as the Critical Activity Report and the Daily Report. Recent changes to the V&C enable us to fix that error going forward if the Noon Census is modified accordingly.		B	001	Applications	A - Request Received

OIT Open Requests by Department

Control No	Req. Date	Requester Name	New/Change	Application Name	Description	Necessity, benefits, savings etc.	Date Req	Priority	Sequence	OIT Dept	Status
1047	2/26/2004	Maryanne Schreibman	New	CTS (Geo Coding)	To automatically Geocode CTS family address			B	001	Applications	A - Request Received

Totals: 32

OIT Application Development Requests (Assigned) by Priority

Department	Control	Requester Name	New/Change	Application Name	Description	Reason, Necessity etc.	DateReq	Sequence	Status	Assigned to
	1030	Lynda Mills	New	Client Responsibility	This is a centralized, stand-alone database. We will need the ability to create ad hoc reports based on information entered by a finite number of users. Users will need to input the following data: 1. Client's name/ HA#/ DOB/ SSN /Shelter 2. Caseworker/ Program Analyst/Program Administrator's name 3. 1st / subsequent TLP Violation(s) committed by client 4. Case documentation-Mental Health Evaluation requested/received with check off boxes and time/date stamp. 5. Fair Hearing section with system date/time stamp 6. Final determination / 7. Comments section.	In order to be in since compliance with NYS Department of Social Services, as we implement the Client Responsibility procedure, Adult Services requires a stand-alone database to document our actions and monitor the timeliness of our responses. Since certain behavior(s) of our clients may ultimately result in their being placed in sanction status and barred from the system for an extended period, we need to insure that our clients rights are not violated in any way.		001	Programming	Sam Senal
Adults	1026	Lynda Mills	Change	SCIMS	A new screen or annotations to the existing SCIMS screen #9; suspension of services SCIMS as the means to accomplish this.	As part of the client responsibility process, adult services must be able to prevent clients who are in sanction status from entering the system		001	Programming	Delano Kimbrough
T	1011	Raymond Tepfenhardt	Change	CTS	Include Re-Housing Labels (Housing Applications) database functionality in CTS.	This is required to remove the dependency on the home grown database used to manage this information. The inclusion of this process into CTS will greatly enhance the process, save processing and keying time, and increase the reliability of this information. This is an essential part of placing families into permanent housing	3/1/2004	001	Programming	Larisa Shtokolova, Paul Doriphy
T	1005	Raymond Tepfenhardt	New	McCain	Create list of recipients for McCain cont/emp fines from 1996 to present.	Court Ruling		001	Programming	Delano Kimbrough, Ray Tepfenhardt, Zoe Marcous
T	1037	Raymond Tepfenhardt	New	CTS Single Adult Tra	Develop CTS to replace SCIMS Remove dependency from old PRIME computer hardware	To provide DHS' Adult Services division with up to date system functionality to meet the ongoing initiatives of the agency.		001	Analysis	David Salikram- Requirements Study

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Department	Control	Requester Name	New/Change	ApplicationName	Description	Reason, Necessity etc.	DateReq	Sequence	Status	Assigned to
tely	1031	Hamad Hafiz	Change	Re-Housing	1- Upgrade the front end of the Rehousing Computer Application [RCA] to the latest Microsoft Access edition, and 2- Migrate the back end to SQL server or Oracle platform.	1- The Rehousing Computer Application was developed with Microsoft Access 97, which is a seven years old version of MS Access. So upgrading is necessary for the application to employ Microsoft new library functions and features, and to be compatible with new software. 2- The database size is growing rapidly, and MS Access tables will not be able to handle a larger database. So migrating is necessary to prevent database corruption and data loss.		001	Assigned	Fahim, Jill
ience	1007	Jill Banks	Change	Claiming	Claiming Reports	This information is required to be reimbursed by the state for shelter clients receiving PA.		001	Programming	Lilia Rayzen
IT	1008	Raymond Tenfenhardt	Change	CTS Billing	The total in the Facility_Payment_Table does not match the the total amount paid in the payment_History_Table. It appears that Re-Submits are not being updated.	This is an error in the program that needs to be corrected.		001	Analysis	Edgar Escobar
IT	1033	Raymond Tenfenhardt	Change	CTS;Billing	There is a possible error that must be looked into. Per Carlos Valenzuela, you cannot bill for cycle dates if they are between dates already processed. Example facility: HB34 processed cycle 9/23 thru 10/21 skipped 10/23 thru 11/21 because of reconciliation questions and then processed cycle 11/23 thru 11/21. When the reconciliation questions were resolved they tried to process cycle 10/22 thru 11/21 and the system would not allow the dates.	This is a valid condition that causes payments to be made as special payments instead of cycle payment. When this happens it causes an increase workload.	2/2/2004	001	Analysis	Edgar Escobar

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Department	Control	Requester Name	New/Change	Application Name	Description	Reason, Necessity etc.	DateReq	Sequence	Status	Assigned to
Adm	1043	Krista Olson	New	SCIMS	Adult Services would like to obtain regular information on PASSI and Medicaid from HRA. Information is currently being updated regularly in SCIMS but it is not entirely accurate. We would like to repeat some earlier conversations with OIT and HRA to resolve the problem. If at all possible, we would like to revise the match that is currently being done to reflect accurately whether or not our clients are receiving Public Assistance, SSI and Medicaid.	Having accurate and up-to-date information on entitlement status would enable shelters to know accurately which clients are currently receiving benefits. In many cases, benefits is an important step for obtaining housing. This would reduce staff time both in the field as well as for central staff. Currently to determine which clients are on public assistance or medicaid requires a time-intensive process of comparing paper reports that are received from HRA. Obtaining this data could expedite housing placements, would help identify clients in need of obtaining entitlements for Riverview and the SSI outreach efforts. In addition, this match would identify clients that are potentially eligible for an initiative with OMB and HRA to reduce duplication of services between our two agencies.	012		Analysis	Mary Griffin
OIT	1003	Raymond Tenfenhardt	New	Departmental ACCE	Convert all Departmental databases using ACCESS 97 to ACCESS 1002 (Office XP).	Reduces support requirements for multiple versions of platform. This must be done so we can remove ACCESS 97 from our environment.	002		Programming	Edgar Escobar

Totals: 11

OIT Requests (Closed)

Department	Control	Requester Name	New/Change	ApplicationName	Description	Reason, Necessity etc.	Request Date	Date Completed	Assigned to
Family									
	1004	Alex Bana	Change	CTS	Add logic to accomodate new 36th street intake center for Adult Families. This will require a new referral code and corresponding reporting to separate Bronx and 36th street entries.	Mandated by DHS initiative.	11/15/2003	12/15/2003	Larisa Strabolevz, paul Doughty
OIT	1005	Raymond Tepfenhardt	Change	CTS	Add new reports to reflect McCain contemp fine recipients. This will use the overnight placement data.	Court Ruling	11/15/2003	1/30/2004	Charles Li
Adults	1038	Jody Rudin	New	AFIS	We would like to remove the AFIS workstation (OTDA computer) that's currently located by the camp room (IW-82) and move it to the usage area at the Bellevue's mens shelter. We informed the state and they sent in a contracted vendor whom stated that they would recire the network lines using the existing cables at the cost of about $1,200.00. Can OIT perform this task? And what would be the time frame needed to complete the task. What would be the cost associated with this request. This would help us to determine how to proceed in our decision making.	At the present time, there is a shortage of beds in all the assessment shelters. By verifying the client's identity via finger imaging, which we could do if the AFIS machine was moved to usage, we would reduce the amount of multiple HAF's issued and make assessment beds available to those clients that have not been in the system previously. This will prepare us for the AFIS project part II in which we are capable of verifying the clients identify 24 hours a day 7 days a week.	1/28/2004	1/31/2004	Help Desk

After A-items complete

OIT Requests (Closed)

Department	Control	Requester Name	New/Change	Application Name	Description	Reason, Necessity etc.	Request Date	Date Completed	Assigned to
dults	1011	Lorraine Nixon	Change	Desktop Support	Atlantic Assessment Ment Shelter - I am requesting that someone from your unit come out to Atlantic and install a telephone line and hook up a new computer. We have the equipment. (Telephone/Computer), we just need someone to come out and install it. Both items will go into the director of social service office, room #1104 in the rear.	Currently social service director is sharing a cubicle with a case worker because her computer and telephone have not been installed in her office. It would be most beneficial and productive for her if she could work from her own office.	12-9-2003	1/23/2004	Help Desk
dults	1032	Donald Myers	New	Hardware	I am requesting a fax machine for my office. In the past I used a combination fax/printer (Hewlett Packard Office Jet Model 6300), which proved very useful and convenient as it enabled me to print documents created, and receive faxes sent to me. This machine, was several years old and had been subjected to high usage, it had been left on this site by our former medical provider (but paid for via contract by DHS). It has since become inoperable. The OIT technician Mr. Ruiz stated that it could not be repaired. Since I have limited space, a fax machine which has dual printing/ faxing capability would be the most useful and efficient unit.	Cost Savings: At this point all documents sent to me (many are confidential in nature) come through the community fax machine located in the operations office, which makes confidentiality non-existent since this is an area which experiences a high amount of staff and client traffic. Additionally my office is located on the third floor of the facility and the operations office is located on the first.	1/7/2004	1/15/2004	Donna

OIT Requests (Closed)

Department	Control	Requester Name	New/Change	ApplicationName	Description	Reason, Necessity etc.	Request Date	Date Completed	Assigned to
amily	1036	Valery Director	New	Internet	Provide Internet access for staff listed: Kevin Carrel-Prevention George Lennox-EAU Legal / QA Rose Gaynor-EAU Legal / QA Alberta Teleria-EAU Legal / QA Olumuyiwa Ogedengbe-Legal Affairs Sheila Blanchard-Legal Affairs Elizabeth Hanson-Legal Affairs Vazquez-John Lane-EIU Frolis Rivas-EIU Marie Alfonso-EAU Lucille Brown-EAU Jacqueline Stepanian-EAU Andrew Williamson-EIU Barclay Donaldson-EIU James Boyce-EIU Meveret Campbell-EIU Kelley Nykeba-EIU Carlos Herrera-EIU Milagros Crispin-EIU Ann-Marie David-EIU Chavra Dumeraku-EIU Janice Ecilangsuvath-EIU John Mendoza-EIU Chanell Miller-EIU Monique Quinones-EIU Raymond Ramos-EIU Rajnanie Rampersaud-EIU Denise Smith-EIU Vance Williams-EIU John Thomas-EIU Pierre Taylor-EIU Salisu Kafilat-EIU		12/10/2004	1/15/2004	Va

OIT Requests (Closed)

Department	Control	Requester Name	New/Change	ApplicationName	Description	Reason, Necessity etc.	Request Date	Date Completed	Assigned to
amily	1041	John Gambardella	New	CTS New Report	Report Name: ☐☐Daily New Outs Report by User Action Date of ____ Short name (suggested): ☐DLYOUTSUSER, DLYOUTSFAC Description: ☐☐☐Lists Exits by User Action date ☐☐Same format as Daily New Ins Report by User Action Date (sorts attached) ☐☐Includes exits instead of arrivals ☐☐Disposition codes ☐☐>=3) ☐ exit (34 or 35 or 40) ☐☐Includes User ID column ☐☐Batched reports would be spooled to designated printers each morning. Sorts: ☐☐☐ ☐☐By Facility ☐☐With page break for each facility ☐☐Total number of families at facility after each facility listing ☐☐Grand total of families at end of file report ☐☐By Action User ID ☐☐Summary on last page by User ID and number of families exited	☐☐Provides data used for daily reconciliation with the facilities by a designated worker in HERO and coordinated by the Billing Unit who requested this report. ☐☐Will result in less billing corrections submitted each week to CTS Database Unit staff.	1/2/2004	1/13/2004	Edgar E
mily	1022	John Gambardella	Change	CTS	Allow deletion of transfer codes 13,31,32 on Authorization Screen		12/18/2003	1/15/2004	Laris Sihotkova
uman Resources	1028	Hillary Feingold	Change	CityShare	Request for access to every agency on CityShare	It allows the employee to conduct research needed for department publications.	12/23/2003	1/23/2004	?

OIT Requests (Closed)

Department	Control	Requester Name	New/Change	Application Name	Description	Reason, Necessity etc.	Request Date	Date Completed	Assigned to
...pal	1034	Lori Singer	New	Report for Camp LaG	We are requesting a report listing the ethnic backgrounds of all clients assigned to the Camp LaGuardia Men's Shelter for the following period: January 1999 to 2003. The sources for this information are the SQL-SCIMS Client and History tables. For each year, list the ethnic category; calculate the number and percentage of clients in each category, where Camp La Guardia was their official shelter, not a temporary assignment.	Federal litigation pending.	1/11/2004	1/15/2004	Edgar E.
El	1029	Pat Nestor	New	Data Match	Perform a data match of all city employees to our CTS client database		12/22/2003	1/9/2004	Ray T., Paul D.
...icy & Planning	1015	Jay Bainbridge	New	Data Match	Match between CTS and Jiggetts data. We have a file with comma-delimited Jiggetts data on a CD. We need to match the case number field to the Jiggetts file to the first seven digits of the case number in CTS. We want a match on every one in the system-forced clarification, is this everyone in the system?), getting Family-ID and Address if they match, or nothing if they don't match. Our contact for the Jiggetts data is Harold Shultz (212) 863-6070. QPA did match. Contact Susan Heintzfield, Dean Williams ran the job.	Request from Commissioner's office. Families with a history of Jiggetts use are a potential target population for prevention initiatives.	12/9/2003	1/21/2004	Zoe Marcus
...icy & Planning	1001	Amanda Nothaft	New	UPENN	DATA MATCH	For the University of Pennsylvania	11/5/2003	11/12/2003	Sam

OIT Requests (Closed)

Department	Control	Requester Name	New/Change	Application Name	Description	Reason, Necessity etc.	Request Date	Date Completed	Assigned to
Policy & Planning	1014	Jay Bainbridge	New	Data Match DOC	Set up a regular data match with the Department of Corrections (DOC). Monthly DOC will send a list of all their discharges to these to SCMS and CTS using the community. We will match last name, the first few letters of the first name, and social security numbers to assess the flow of released detainees that enter shelters. DOC's files will include the following fields: BKCS number, Last name, First name, SSN, DOB, all demographics(Sex, Ethnicity, etc.), DOC client Number, Top Charge, Top Severity, Discharge Code, Indictment number, Length of stay in custody, admission date, discharge date, zipcode, type of arrest, sentenced or not sentenced, precinct of arrest. The DOC Contact is Ari?	The number of discharges to the community and the percent of discharged that enter shelter will become part of the prevention HOMESTAT. Information on heavy users of DOC and DHS will be used to implement a pilot program for the Discharge Planning Workgroup being led by the Commissioners of DHS and DOC.	12/9/2003	2/11/2004	Sam Serial
...nity	1015	John Gambardella	New	Report Request from	Attached is a file of individuals discharged from a Domestic Violence Shelter. We wish to match these individuals to individuals that have been known to the family shelter system during 2003. Can you please produce a file of all the individuals that were in the family shelter system in 2003? The file should contain SSN, Last Name, First Name, Facility Code, Entry Date and Exit Date. If the individual was in the family shelter system on and off during the year, please list each entry and exit date for the continuous shelter stay period. Thanks Ria 212-806-5714	?	1/12/2004	1/15/2004	Paul D.
...nity	1021	John Gambardella	Change	CTS	Add building number to all screens displaying facility code.	Since sister providers have multiple buildings (Scatter sites) this will help identify the correct facility.	12/23/2003	1/31/2004	Unassigned

OIT Requests (Closed)

Department	Control	Requester Name	New/Change	ApplicationName	Description	Reason, Necessity etc.	Request Date	Date Completed	Assigned to
Totals:		16							