

Oakland County Department of Information Technology Project Scope and Approach

Project Name: FOC Security Audit 2022

ID:DB2314SA

Leadership Group: Courts Justice Administration					
Department: Circuit Court			Division: Friend of the Court		
Project Sponsor: Suzanne Hollyer/Jeffrey Kaelin		Date Requested: 02/06/2020		PM Customer No. 314	
Request Type: <i>New Development</i>					
IT Team Name: Courts			IT Team No: B		
Project Manager/Leader: Patricia Smutzki					
Account Number:	97000	Account Description:	FOC/PA Mandate Audit	Customer Name:	FOC / Prosecutors
Grant Funded?		No	Mandate?	Yes	
			Mandate Source:	State of Michigan DHHS	

Project Goal

To coordinate a mandatory security audit of current FOC and Prosecutor systems so that Oakland County meets the minimum requirements set forth by the State of Michigan and included in the IV-D Memorandum 2017-011 issued by the Department of Health and Human Services.

Business Objective

Compliance with the State of Michigan Department of Health and Human Services:

- 2017-011E1, Independent Security Audit Guidance
- 2017-011E2, OCS Analysis of the OCSE Security Agreement Controls
- IRS Publication 1075 Section 9

Major Deliverables

- Leverage state contracted vendor for determining scope and Audit Execution
- Detailed Project Plan
- Evaluation of Management, Operational and Technical controls
- Security Audit results from the Vendor on the following applications and systems with regards to FOC and PA
 - Applications:
 - EDMS
 - OakReports
 - Mainframe
 - Oakdocs
 - Imaging System
 - Hotkey Retrieval
 - FOC eForms

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- Other Technology:
 - PC's and Network
 - I Drive (File Share Server - Prosecuting Attorney and FOC Folders)
 - Access Databases and Excel Spreadsheets
- Final Security Audit Report from Vendor including Recommendations
- Provide Corrective Action Plan to the State of Michigan as needed

Approach

- Work with an external vendor to solidify scope and ensure requirements are aligned with IRS Publication 1075, OCSE Security Agreement and relevant National Institute of Standards and Technology (NIST) guidelines
- Identify systems/devices that store or transit confidential IV-D data
- For each system identified, determine whether it should be reviewed against the OCSE Security Agreement of the IRS 1075 Safeguards
- Coordinate activities between vendor and other internal IT departments
- Ensure vendor does a complete analysis of current FOC and PA systems including infrastructure and hardware accessed by FOC and PA
- Ensure vendor provides detailed audit report and recommendations
- Determine if internal scanning and remediation is needed prior to external audit and/or scans
- Review corrective action plan provided to the State of Michigan
 - Determine need for modifications to current InfoSec protocols prior to external vendor audit or scans

Research & Analysis

National Institute of Standards and Technology (NIST)/Internal Revenue Service (IRS) Recommendations

- NIST Special Publications 800-53 (Privacy and Security Controls for Federal Information Systems).
- NIST Special Publications 800-53A (Assessing Privacy and Security Controls for Federal Information Systems).
- Publication 1075, Tax Information Security Guidelines for Federal, State, and Local Agencies and Entities.
- IRS Safeguards Program website.

Benefits

- To comply with IRS FTI Security Requirements
- To enhance Oakland County's security posture

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Impact

Number of Users 145
Divisions Friend of the Court
 Prosecutors Office
Leadership Groups Courts

Risk

Business Environment Low - Little or no impact to existing business processes.
Technical Environment Low - Proven and previously implemented technologies.

Assumptions

Staffing IT Staffing: resources will be available for the hours indicated per the attached project plan.
 Other Staffing: additional staffing will be available as follows:

<u>Role:</u>	<u>Name</u>	<u>Hours per Day</u>
Project Sponsor:	Suzanne Hollyer	As needed
Project Sponsor:	Jeffrey Kaelin	As needed

Funding

- Information Technology

Other

-

Priority

-

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Constraints

- N/A

Exclusions

- This project will focus on systems and controls regarding IV-D data for FOC and the Prosecutor's office.

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PROJECT PHASE AUTHORIZATION

Phase(s): Project Management, Remediation, Close Project	
Total Estimated Application Services	Hours: 455
Total Estimated Technical Systems	Hours: 203
Total Estimated CLEMIS	Hours:
Total Estimated Internal Services	Hours:
IT Application Services Division Manager Approval:	Date:
IT Technical Systems Division Manager Approval:	Date:
IT CLEMIS Division Manager Approval:	Date:
IT Internal Services Division Manager Approval:	Date:
IT Management Approval:	
Approved: <input type="checkbox"/> Yes <input type="checkbox"/> No	Date:
Reason:	
Project Sponsor Approval:	
Title:	Date:

PROJECT SUMMARY

Authorized Development (see above)	Hours:	
Previously Approved Development	Hours:	
Preliminary Estimated Development for Future Phases	Hours:	
Grand Total Estimated Development	Hours: 658	Cost: \$108,570

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PROJECT COMPLETION AUTHORIZATION

Customer Acceptance of Product:	
Title:	Date:
Project Office Review:	Date:

FOC Security Audit 2022 - Size Estimate (+/- 10% to 50%)

1	Type	ID	Task Name	Estimated
2				Hours
3	3	000000	PROJECT MANAGEMENT	220
4	Phase	200000	DEFINE BOUNDARY AND REQUIREMENTS PHASE	63
5	Phase	300000	INFORMATION DISCOVERY PHASE	74
6	Phase	400000	ONSITE AUDIT EXECUTION PHASE	98
7	Phase	500000	ASSESSMENT REVIEW PHASE	56
8	Phase	600000	EXECUTE REMEDIATION PLAN PHASE	147
9				658