

McDonald, Heather M JAG:EX

From: Swiatlowski, Alan HLTH:EX
Sent: Thursday, October 18, 2012 4:32 PM
To: Rintoul, Don B HLTH:EX
Subject: FW: Internal Review Report july 2012v3
Attachments: Internal Review Report july 6-Formatted.docx

Here's that internal review report of PSD that we briefly talked about this morning:

From: Coopsie, Laine HLTH:EX
Sent: Thursday, July 12, 2012 10:59 AM
To: Woodward, Hilary C HLTH:EX
Subject: FW: Internal Review Report july 2012v3

Hi Hilary,

As you were asking yesterday on behalf of Manjit, here is our latest copy of our report for the Investigation.

Laine Coopsie, Senior Audit Advisor
Finance & Decision Support
Financial & Corporate Services Division
Ministry of Health
Direct Ph: 250-952-1980 Fx: 250-952-2913
mailto: laine.coopsie@gov.bc.ca

From: Tonn, Greg HLTH:EX
Sent: Thursday, July 12, 2012 10:57 AM
To: Coopsie, Laine HLTH:EX
Cc: Taylor, Wendy E LCTZ:EX
Subject: FW: Internal Review Report july 2012v3

Please see attached

Greg Tonn, Policy Analyst
Office of the Chief Data Steward | Strategic Policy, Information Management and Data Stewardship | Health Sector
IM/IT | Ministry of Health
Cell: 604-702-8666

From: Tonn, Greg HLTH:EX
Sent: Friday, July 6, 2012 4:39 PM
To: Taylor, Wendy E LCTZ:EX
Subject: RE: Internal Review Report july 2012v3

Here you go!

Greg Tonn, Policy Analyst
Office of the Chief Data Steward | Strategic Policy, Information Management and Data Stewardship | Health Sector
IM/IT | Ministry of Health
Cell: 604-702-8666

From: Taylor, Wendy E LCTZ:EX
Sent: Friday, July 6, 2012 3:47 PM
To: Tonn, Greg HLTH:EX
Subject: RE: Internal Review Report july 2012v3

I made more changes but they didn't save so yes work from this one and I will edit it.

From: Tonn, Greg HLTH:EX
Sent: Friday, July 6, 2012 3:46 PM
To: Taylor, Wendy E LCTZ:EX
Subject: RE: Internal Review Report july 2012v3

Okay, just so we are clear, I am working from the one you sent at 3:36, because that had all the changes in it.

Greg Tonn, Policy Analyst
Office of the Chief Data Steward | Strategic Policy, Information Management and Data Stewardship | Health Sector
IM/IT | Ministry of Health
Cell: 604-702-8666

From: Taylor, Wendy E LCTZ:EX
Sent: Friday, July 6, 2012 3:45 PM
To: Tonn, Greg HLTH:EX
Subject: RE: Internal Review Report july 2012v3

I know, i am redoing changes yet again....
Made changes to it and forgot to save ☺

From: Tonn, Greg HLTH:EX
Sent: Friday, July 6, 2012 3:39 PM
To: Taylor, Wendy E LCTZ:EX
Subject: RE: Internal Review Report july 2012v3

This one is the version you sent to Laine and me this morning

Greg Tonn, Policy Analyst
Office of the Chief Data Steward | Strategic Policy, Information Management and Data Stewardship | Health Sector
IM/IT | Ministry of Health
Cell: 604-702-8666

From: Taylor, Wendy E LCTZ:EX
Sent: Friday, July 6, 2012 3:38 PM
To: Tonn, Greg HLTH:EX
Subject: Internal Review Report july 2012v3

Internal Review

**Ministry of Health, Pharmaceutical Services Division, Research and Evidence
Development**

July 6, 2012
Draft V1



**BRITISH
COLUMBIA**

The Best Place on Earth

The Internal Review

The Office of the Auditor General contacted the Assistant Deputy Minister (ADM) of Financial and Corporate Services, Ministry of Health (MOH) on March 28, 2012 to advise that an allegation report was received by their office concerning inappropriate procurement, contracting irregularities and research grant practices, in the Research and Evidence Development section of the Pharmaceutical Services Division (PSD), MOH.

In addition concerns were also alleged regarding inappropriate data access arrangements, intellectual property infringement, and code of conduct conflicts with employee contractor relationships including preferential treatment. MOH conducted some preliminary investigations and decided to conduct a formal review of these allegations to ascertain current practices and to assess if government policy, procurement practices and codes of conduct are being followed.

Purpose:

The purpose of this review was to:

- Ensure Government's contracting, research grant practices, data access arrangements and approval processes are in place and being followed by the Research and Evidence Development section of the PSD, MOH;
- Provide all findings and facts relating to allegations being reviewed; and
- Identify opportunities to improve government and ministries information contracting, granting, research and data access practices in the Research and Evidence Development section of PSD, MOH.

Actions Taken:

The following has occurred to date as part of the review process:

- Review of all contracts and grants
- Review of all cell bills, expense reports and government assets
- Review of academic publications related to parties
- Review of electronic communication between parties. This was a key source of information as it included a forensic examination of email communication between the parties involved in the area under review..

- Analysis of project documents and other related information provided by interviewees
- Review of human resource information
- Review of data access processes related to relevant contracts and projects

To date, interviews were also conducted with the following employee and contractor interviews in person and via telephone:

s.22

The University of British Columbia and University of Victoria have also been advised of the review related to contracts

s.22

s.22

Meetings have also been held with:

- Bill Ehmann, John Tuck, Norm MacPhee, and Andrew Mickelson, Legal Counsel, Legal Services Branch, Ministry of Attorney General.
- Sara Brownlee, Labour Relations, Public Service Agency
- Dan Peck, Stacy Johnson and Gordon Wong, Office of the Comptroller General.

The following is a list of key findings and recommendations to date as a result of the reviews.

The Findings and Recommendations

Findings	Recommendations
<p>Contracts and Grants</p> <p>Findings</p> <p>Issues have been identified on how contracts are arranged, awarded and subcontracted in the PSD Research and Evidence Development and Drug Use Optimization Branches.</p> <p>s.22</p>	<p>Recommendations</p> <ol style="list-style-type: none"> 1. That the Office of the Comptroller General, Audit and Compliance Branch assume responsibility for investigating the contract practices from this review and concerns identified related to conflict of interest allegations. 2. That any further follow up with the University of British Columbia and University of Victoria be made through the OCG office. 3. <p>s.22</p> <ol style="list-style-type: none"> 4. That the IDIR account for s.22 be cancelled and a request be made for s.22 to return any other government assets. 5. All PSD Executive Directors and Directors responsible for contracting attend the Ministry contracting presentation. 6. All PSD Executive Directors and Directors responsible for contracting re-take the Expense Authority course.

s.22

7. All Stob 80 contracts should be circumvented through Accounting Operations/Contract Management using the same process as Stob 60 contracts.
8. Finance and Decision Support staff be directed to not prepare contracts for the program areas.
9. For any contract requiring data, the contract should be signed before requesting the ISA. The contract should have a new clause that states the ISA must be approved before work can begin on the contract and a signed agreement be an appendix to the contract itself.
10. Remove expense authority from any employees that have signed a contract without going through the proper processes.

Data Access and Use

Findings

Processes for data access not always followed and lack of documentation for projects.

s.22

Recommendations

1. All data access for projects identified in this review led by PSD be revoked and applicants will have to undergo a re-application process with appropriate policy, provisions and practices are in place.
2. All future data accesses be granted only for project specific/evaluation contracts not for open unidentified data usage.

<p>s.22</p> <p>Lack of capacity to conduct ongoing and meaningful monitoring and compliance auditing of health data usage across various roles in the databases.</p> <p>s.22</p> <p>Lack of project specific information in contracts is enabling open use of data for projects without appropriate specific guidelines or monitoring in place.</p>	<p>3.</p> <p>s.22</p> <p>4. IKMS, Health IMIT needs to develop a robust compliance and monitoring function for data accesses.</p> <p>5. Provide clear guidance on proper data access processes and sufficient resources for a client-centric, streamlined data access provision model so that data clients do not see the need to try and circumvent current data access procedures.</p> <p>6. In addition, ensure policies are in place to address the potential related to non-compliance and inappropriate data access and consequences of such action.</p>
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Standards of Conduct

Findings	Recommendations
<p>s.22</p>	<p>1. That the Public Service Agency (PSA) conduct an investigation and review into the Standard of Conduct</p> <p>s.22</p> <p>s.22 The PSA should also review other Standard of Conduct concerns relating to other employees identified through the review.</p> <p>2. That PSA review the hiring practices related to the s.22 position and researcher recruitment and postings.</p>

3.

4.

s.22

5.

s.22

6. PSD program area should review their records to determine who has an internet stick and how is it being used. The Ministry should not be paying for sticks that are not used.
7. Program areas should review the phone bills over the past years and recover those amounts deemed personal for the employees identified in the review and others.
8. Establish and disseminate strict policies and clear guidance for Ministry employees participating in research projects/studies and employment outside the workplace to address both actual or perceived conflicts of interest.
9. PSD employees should be provided

s.22	training around conflict of interest, and appropriate use of government assets.
Intellectual Property	
Findings	<p>Recommendations</p> <p>The distribution of IP rights should not be granted by MoH without approval and review from the Intellectual Property Program, Knowledge and Information Services, Office of the CIO to ensure all requirements are met in terms of legislation such as the Copyright Act, Procurement Services Act and Financial Administration Act.</p> <p>BC government contractors should not be granted intellectual property rights in contracts permitting them to publish their findings independent of the ministry. Researchers, regardless of funding source, that wish to publish independently must submit a DAR form and follow the standard researcher data access procedure.</p>

Table of Contents

<i>Executive Summary</i>	i
The Internal Review.....	i
The Findings and Recommendations.....	iii
<i>Internal Review</i>	2
1.0 Introduction.....	2
2.0 Background, Purpose and Approach.....	2
2.1 Background.....	2
2.2 Purpose.....	2
2.3 Approach.....	2
3.0 The Review.....	3
3.1 Contracts and Grants.....	4
3.2 Cell Phone Charges.....	7
3.3 Expenses and Purchasing Cards.....	9
3.4 Other Government Assets assigned.....	9
3.5 Human Resources and Standards of Conduct.....	10
4.0 Findings & Recommendations.....	12
<i>Appendices</i>	13
Appendix 1 – Terms of Reference.....	13
Appendix 2 –Detailed summary of Contracts and Data Access.....	14
Appendix 3 – Data Access Summary.....	27
Appendix 4 – Email Summary.....	29
Appendix 5 – Relationship Web.....	51
Appendix 6 – Glossary of Terms.....	52
Appendix 7 – List of Acronyms.....	55

1.0 Introduction

This document provides the findings of an internal review of procurement, grant awards and contracting, data access and related agreements and intellectual property practices in the Research and Evidence Development section of the Pharmaceutical Services Division (PSD), Ministry of Health.

2.0 Background, Purpose and Approach

2.1 Background

The Office of the Auditor General contacted the Assistant Deputy Minister (ADM) of Financial and Corporate Services, Ministry of Health (MoH) on March 28, 2012 to advise that an allegation report was received by their office concerning inappropriate procurement, contracting irregularities and research grant practices, in the Research and Evidence Development section of the Pharmaceutical Services Division, MoH.

In addition concerns were also alleged regarding inappropriate data access arrangements, intellectual property infringement, and code of conduct conflicts with employee contractor relationships including preferential treatment. MoH has conducted some preliminary investigations and has decided to conduct a formal review of these allegations to ascertain current practices and to assess if government policy, procurement practices and codes of conduct are being followed.

2.2 Purpose

The purpose of this review was to:

- Ensure Government's contracting, research grant practices, data access arrangements and approval processes are in place and being followed by the Research and Evidence Development section of the PSD, MoH
- Provide all findings and facts relating to allegations being reviewed.
- Identify opportunities to improve government and ministries information contracting, granting, research and data access practices in the Research and Evidence Development section of PSD, MoH.

2.3 Approach

The following has occurred to date as part of the review process:

- Review of all contracts and grants
- Review of all cell bills, expense reports and government assets
- Review of academic publications related to parties
- Review of electronic communication between parties

- Analysis of project documents and other project-related information provided by interviewees
- Review of agreements (what kind) and human resource information
- Review of data access processes related to relevant contracts and projects

To date, the following employee interviews and contractor were held in person or via telephone:

Employees:

s.22

The University of British Columbia and University of Victoria have also been advised of the review related to contracts

s.22

s.22

Meetings have also been held with:

- Bill Ehmann, John Tuck, Norm MacPhee, and Andrew Mickelson, Counsel, Legal Services Branch, Ministry of Attorney General.
- Sara Brownlee, Labour Relations, PSA
- Dan Peck, Stacy Johnson and Gordon Wong, OCG

3.0 The Review

The following summary provides an overview of the progress and findings to date from the review of procurement practices, grant awards and contracting, data access and related agreements and intellectual property in the Research and Evidence Development section of the Pharmaceutical Services Division, Ministry of Health.

3.1 Contracts and Grants

The Ministry of Health currently has two processes in place for contracts. All contracts for goods and services provided to the Ministry are considered Stob 60 or 61 contracts. Contracts that are developed between the Ministry and another party for services to be provided outside of the Ministry are considered Transfer Under Agreements (TUA), Stob 80.

All contracts that are Stob 60 and 61 have a review process that includes a number of sign off points including Accounting Operations – Contract Management. Currently any contracts that are Stob 80 do not have the same review process; they are not reviewed by Contract Management.

During the investigation a number of TUA's and Stob 60 contracts were reviewed for Pharmaceutical Division (PSD) and Medical Services Division (MSD). The starting point was to review contracts that may be related to the complaint made to the Auditor General. The number of contracts reviewed expanded as interviews progressed, more information was provided and further details were ascertained through the electronic email review. Any contracts within PSD that were for s.22 or included s.22

s.22

Almost all contracts reviewed did fit within core policy.

- Contract direct awarded were done so appropriately in terms of policy, including contracts to the universities or health authorities.
-

•

•

s.22

- Copies of all contracts reviewed have been collected and are available for review.

As the review continued it became apparent that there was a potential for the contracts issued to later be subcontracted. Contract requirements were to advise government if this occurred and this does not appear to be the case in most circumstances. An example is the contract for

s.22

s.22

s.22

s.22

3.2 Cell Phone Charges

A review has been completed regarding cell phone charges for the following employees in the Pharmaceuticals Division:

s.22

s.22

Employee	# of bills reviewed	# of bills within	# of bills \$.01 -	# of bills \$100 -	# of bills \$200 -	# of bills \$over
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Page | 7 – Internal Review

Ministry of Health, Pharmaceutical Services Division, Research and Evidence Development

Draft v1 – Confidential

July, 2012
HTH-2014-00145
Page 17

		the plan	\$100 above plan	\$200 above plan	\$300 above plan	\$300 above plan
s.22	29	0	15	8	4	2
	13	7	6	0	0	0

The average amounts for s.22 were very small, usually within \$1.

The cell phone expenditures for s.22 were all very high. Of the 29 bills reviewed the total amount over the plan amount before tax was \$3,249.61. There are still many outstanding bills to be reviewed. There are often calls to and **from** other provinces and the United States, but there was no corresponding travel found. Any employee physically located at 1515 Blanshard, should not be using their the cell phone when a land line is available.

A further sampling was taken for s.22
s.22 The following table shows the findings.

Employee	# of bills reviewed	# of bills within the plan	# of bills \$.01 - \$100 above plan	# of bills \$100 - \$200 above plan	# of bills \$200 - \$300 above plan	# of bills \$over \$300 above plan
s.22	8		5	2	1	
	N/A					
	2				1	1
	7		7			

s.22 does not appear to have a cell phone.

s.22 is significantly over the plan with most bills in excess of \$90 over the plan due too long distance calls to other provinces and in some cases to the United States.

We reviewed only two cell phone bills for s.22 and both were substantially over the plan amount. The calls are made throughout the day.

The review of s.22 cell usage shows each bill reviewed was over the plan amount by less than \$10. s.22 and it would be expected that there would be long distance calls.

To date there has been only one payment made back to the Ministry for personal use of cell phones. The one payment of \$362.87 came from s.22 the day after notification of interview.

During our interview it was clearly stated that the individuals do not review their cell phone bills, rather the bills are transferred directly to the person making payment by purchase card.

3.3 Expenses and Purchasing Cards

A review of the incidental expenses for the following employees was conducted:

s.22

The travel for s.22 No additional expenses were found.

s.22

There was no travel noted for s.22 or any additional expenses.

There was extensive travel for s.22 No additional expenses were found.

s.22

s.22 had some travel for meeting and training which was authorized and within the position mandate.

3.4 Other Government Assets assigned

It appears that s.22 all have internet sticks for laptop use outside of the Ministry location. The cost of this is \$41.36 per month. When we interviewed s.22 was not even aware s.22 had an internet stick. It would appear that neither s.22 access data with the internet stick, yet the bills are paid on a monthly basis.

s.22

s.22 also access the internet stick each month. s.22 does not travel and if s.22 is working from s.22 base in the Ministry there would be no requirement for an internet stick to be used.

It is recommended that the Ministry program areas review their records to determine who has an internet stick and how is it being used. The Ministry should not be paying for sticks that are not used.

3.5 Human Resources and Standards of Conduct

The following is a brief overview of some of the key human resources and standards of conduct issues identified in this review for s.22

s.22

Government Employees

s.22

s.22

s.22

4.0 Findings & Recommendations

Appendix 1 – Terms of Reference

Appendix 2 –Detailed summary of Contracts and Data Access

s.22

s.22

Pages 26 through 36 redacted for the following reasons:

s.22

Appendix 3 – Data Access Summary

The following is a brief summary of the data access concerns identified in this review. These details are based on communications with s.22 review of relevant emails, and examination data and information sharing agreements for the following contracted projects/programs:

s.22

Other PSD research contracts, such as ADEPT, TEAD, BCPhA or BCMMP do not have an associated data or information sharing agreement signed and in place.

General issues or concerns with PSD's data access provisioning include:

- Data access for meeting the deliverables of the above contracts is provided to the same individuals
 -
 - s.22
 -
-

s.22

Project/program-specific data access issues/concerns include:

s.22

Appendix 4 – Email Summary

The emails listed below are categorized into six sections (Contracts, Avoiding Conflict of Interest, Shuffling Money/Funds, Securing MoH Data, Personal Gains, ^{s.22} Subcontracting, in order of most relevance.

Each individual email has been categorized to the following subcategories for reference:

1. Identifies contract relationships
2. Conflict of Interest
3. Identifies personal relationship between parties
4. Data Access
5. Financial/Non Financial Gain

Hard copies of these emails are filed in a separate binder by chronological date order.

A review of electronic communications between parties has so far found the following examples of suspicious activity:

Contracts

s.22

Pages 40 through 45 redacted for the following reasons:

s.22

s.22

Shuffling Monies/Funds

s.22

Page 47 redacted for the following reason:

s.22

Securing MoH Data

s.22

Pages 49 through 51 redacted for the following reasons:

s.22

s.22

Personal Gain

s.22

Pages 53 through 57 redacted for the following reasons:

s.22

s.22

Subcontracting

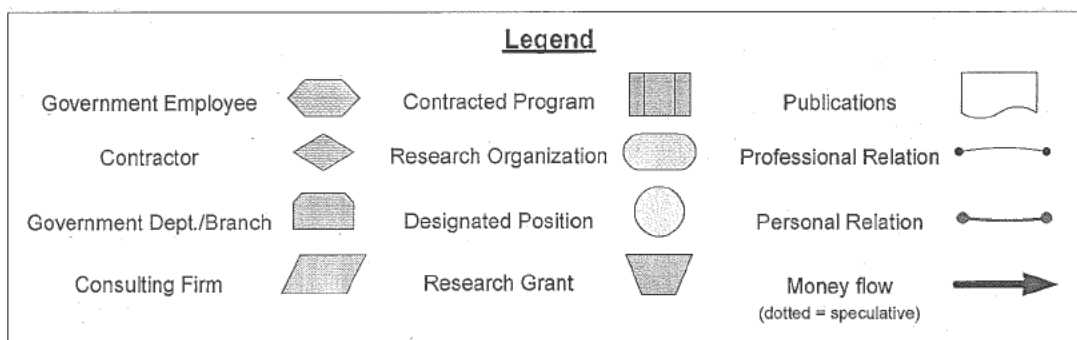
s.22

Pages 59 through 60 redacted for the following reasons:

s.22

Appendix 5 – Relationship Web

s.22



s.22

s.22

s.22

Appendix 7 – List of Acronyms

s.22

ADM Assistant/Associated Deputy Minister

s.22

CFO Chief Financial Officer

s.22

DSC Data Stewardship Committee

s.22

FDS Finance and Decision Support

s.22

LOA Leave of Absence

s.22

IP Intellectual Property

ISA Intellectual Service Agreement
LSB Legal Services Branch
MoH Ministry of Health

s.22

OAG Office of Auditor General

s.22

PIA Privacy Impact Assessment

s.22

PSC PharmaNet Stewardship Committee

PSD Pharmaceutical Services Division

s.22

RFP Request for Proposal

SA Special Authority

s.22

SPAR Strategic Policy and Research Branch of Ministry of Health

s.22

TUA Transfer under Agreement

UBC University of British Columbia

UVic

University of Victoria

Taylor, Wendy E CITZ:EX

From: Coopsie, Laine HLTH:EX
Sent: Wednesday, July 4, 2012 4:00 PM
To: Tonn, Greg HLTH:EX; Taylor, Wendy E LCTZ:EX
Subject: RE: Glossary of Terms
Attachments: List of Abbreviations.docx

Attaches is a glossary that I prepared for Manjit way back when this all started.

Laine Coopsie, Senior Audit Advisor
Finance & Decision Support
Financial & Corporate Services Division
Ministry of Health
Direct Ph: 250-952-1980 Fx: 250-952-2913
mailto: laine.coopsie@gov.bc.ca

From: Tonn, Greg HLTH:EX
Sent: Wednesday, July 4, 2012 3:54 PM
To: Taylor, Wendy E LCTZ:EX
Cc: Coopsie, Laine HLTH:EX
Subject: Glossary of Terms

Hi Wendy,

Please find attached the first draft of the glossary. I have formatted in size 12 Arial, so it should fit into the review document nicely. The current list of terms include:

s.22

Considering the audience for this report, do you think there is any value in defining data access terms, for examples: DAR, ISA, DAS, PIA?

Laine – What contracting language do you think should be defined in the glossary? (i.e. MoU, TUA)

- Greg

Taylor, Wendy E CITZ:EX

From: Tonn, Greg HLTH:EX
Sent: Wednesday, July 4, 2012 4:02 PM
To: Coopsie, Laine HLTH:EX; Taylor, Wendy E LCTZ:EX
Subject: RE: Glossary of Terms
Attachments: Glossary DRAFT.docx

Whoops!

Total rookie error.

This time the glossary is attached.

Greg Tonn, Policy Analyst

Office of the Chief Data Steward | Strategic Policy, Information Management and Data Stewardship | Health Sector
IM/IT | Ministry of Health
Cell: 604-702-8666

From: Coopsie, Laine HLTH:EX
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Finance & Decision Support
Financial & Corporate Services Division
Ministry of Health
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mailto: laine.coopsie@gov.bc.ca

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Laine – What contracting language do you think should be defined in the glossary? (i.e. MoU, TUA)

- Greg

Taylor, Wendy E CITZ:EX

From: Tonn, Greg HLTH:EX
Sent: Thursday, July 5, 2012 1:16 PM
To: Taylor, Wendy E LCTZ:EX
Cc: Coopsle, Laine HLTH:EX
Subject: Review Relationship Web DRAFT
Attachments: PSD Contracts Review - Relationship Chart (DRAFT).vsd

Hi Wendy and Laine,

Check out my first draft of the relationship web.
Is this visually impactful enough? ;)

Let me know if you have any problems opening up the Visio file. I will try to figure out how to get this all into Word without messing up the formatting.

Best regards,

Greg

Greg Tonn, Policy Analyst

Office of the Chief Data Steward | Strategic Policy, Information Management and Data Stewardship | Health Sector
IM/IT | Ministry of Health
Cell: 604-702-8666

Taylor, Wendy E CITZ:EX

From: Coopsie, Laine HLTH:EX
Sent: Thursday, July 5, 2012 1:18 PM
To: Tonn, Greg HLTH:EX; Taylor, Wendy E LCTZ:EX
Subject: RE: Review Relationship Web DRAFT

Wow Greg that is impressive!!!!!!

Laine Coopsie, Senior Audit Advisor
Finance & Decision Support
Financial & Corporate Services Division
Ministry of Health
Direct Ph: 250-952-1980 Fx: 250-952-2913
mailto: laine.coopsie@gov.bc.ca

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Sent: Thursday, July 5, 2012 1:16 PM
To: Taylor, Wendy E LCTZ:EX
Cc: Coopsie, Laine HLTH:EX
Subject: Review Relationship Web DRAFT

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Best regards,

Greg

Greg Tonn, Policy Analyst

Office of the Chief Data Steward | Strategic Policy, Information Management and Data Stewardship | Health Sector
IM/IT | Ministry of Health
Cell: 604-702-8666

Taylor, Wendy E CITZ:EX

From: Coopsie, Laine HLTH:EX
Sent: Thursday, July 5, 2012 3:03 PM
To: Taylor, Wendy E LCTZ:EX
Cc: Tonn, Greg HLTH:EX
Subject: RE:

s.22

Like this one I don't have???

Laine Coopsie, Senior Audit Advisor
Finance & Decision Support
Financial & Corporate Services Division
Ministry of Health
Direct Ph: 250-952-1980 Fx: 250-952-2913
mailto: laine.coopsie@gov.bc.ca

From: Taylor, Wendy E LCTZ:EX
Sent: Thursday, July 5, 2012 3:02 PM
To: Coopsie, Laine HLTH:EX
Subject: RE:

You should have most of them in the binders already

From: Coopsie, Laine HLTH:EX
Sent: Thursday, July 5, 2012 2:52 PM
To: Tonn, Greg HLTH:EX; Taylor, Wendy E LCTZ:EX
Subject:

Hi Greg all the emails that you listed in the Report, where can i find hard copies to compile in these binders for Wendy?

Laine Coopsie, Senior Audit Advisor
Finance & Decision Support
Financial & Corporate Services Division
Ministry of Health
Direct Ph: 250-952-1980 Fx: 250-952-2913
mailto: laine.coopsie@gov.bc.ca

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To: Taylor, Wendy E LCTZ:EX
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Subject: Review Relationship Web DRAFT

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Best regards,

Greg

Greg Tonn, *Policy Analyst*

Office of the Chief Data Steward | Strategic Policy, Information Management and Data Stewardship | Health Sector
IM/IT | Ministry of Health

Cell: 604-702-8666

Taylor, Wendy E CITZ:EX

From: Coopsie, Laine HLTH:EX
Sent: Friday, July 6, 2012 8:54 AM
To: Taylor, Wendy E LCTZ:EX; Tonn, Greg HLTH:EX
Subject: RE: report and binder

Im still working on the binder of emails. Last person to edit the paper was Greg I believe.

Laine Coopsie, Senior Audit Advisor
Finance & Decision Support
Financial & Corporate Services Division
Ministry of Health
Direct Ph: 250-952-1980 Fx: 250-952-2913
mailto: laine.coopsie@gov.bc.ca

From: Taylor, Wendy E LCTZ:EX
Sent: Friday, July 6, 2012 8:53 AM
To: Tonn, Greg HLTH:EX; Coopsie, Laine HLTH:EX
Subject: report and binder

Hi, I need to get the report and binder to Barb before 2:30 today. Who was the last person to edit the draft report? Can you send me the latest version asap please. As well, Greg, may need your assistance in helping me write up individual summaries of issues for each person. Can you assist?

W

Wendy Taylor
Director
Privacy Investigations
Information Security Branch
Office of the Chief Information Officer
Ministry of Labour, Citizen's Services and Open Government

Phone: (250) 952-6161
Cell: (250) 516-3818
Email: Wendy.taylor@gov.bc.ca

Taylor, Wendy E CITZ:EX

From: Tonn, Greg HLTH:EX
Sent: Friday, July 6, 2012 8:57 AM
To: Taylor, Wendy E LCTZ:EX
Cc: Coopsie, Laine HLTH:EX
Subject: FW: Internal Review Report july 2012.docx

Here is the latest version of the report I edited and sent on Wednesday.

Greg Tonn, Policy Analyst

Office of the Chief Data Steward | Strategic Policy, Information Management and Data Stewardship | Health Sector
IM/IT | Ministry of Health
Cell: 604-702-8666

From: Tonn, Greg HLTH:EX
Sent: Wednesday, July 4, 2012 12:43 PM
To: 'Coopsie, Laine HLTH:EX'
Cc: Taylor, Wendy E LCTZ:EX
Subject: RE: Internal Review Report july 2012.docx

Hi Laine,

Please see my edits and comments in the attached document.

Among some other, relatively minor suggestions for changes:

- I noticed that the s.22 contract and data access summary was included twice but the s.22 one was missed, so I swapped those out, and
- I also fixed the excessive space on the footer.



Internal Review
Report july 20...

I am going to grab some lunch and then finish up on that glossary.

Best regards,

Greg

Greg Tonn, Policy Analyst

Office of the Chief Data Steward | Strategic Policy, Information Management and Data Stewardship | Health Sector
IM/IT | Ministry of Health
Cell: 604-702-8666

Sent: Wednesday, July 4, 2012 11:25 AM
To: Tonn, Greg HLTH:EX
Cc: Taylor, Wendy E LCTZ:EX
Subject: RE: Internal Review Report July 2012.docx

Ok let me know when you are done, I will re-read it again for other edits.

Laine Coopsie, Senior Audit Advisor
Finance & Decision Support
Financial & Corporate Services Division
Ministry of Health
Direct Ph: 250-952-1980 Fx: 250-952-2913
mailto: laine.coopsie@gov.bc.ca

From: Tonn, Greg HLTH:EX
Sent: Wednesday, July 4, 2012 11:23 AM
To: Coopsie, Laine HLTH:EX
Cc: Taylor, Wendy E LCTZ:EX
Subject: RE: Internal Review Report July 2012.docx

Thanks for the offer Laine,

It would probably be easier for me to review what you have provided and add any edits or changes I might suggest.

Greg Tonn, Policy Analyst
Office of the Chief Data Steward | Strategic Policy, Information Management and Data Stewardship | Health Sector
IM/IT | Ministry of Health
Cell: 604-702-8666

From: Coopsie, Laine HLTH:EX
Sent: Wednesday, July 4, 2012 11:21 AM
To: Taylor, Wendy E LCTZ:EX; Tonn, Greg HLTH:EX
Subject: RE: Internal Review Report July 2012.docx

My first stab at editing the report.

Greg if you have any additions, I can compile them.

Just wondering if we were going to recommend that the applicable contracts be cancelled until further review and
were we going to recommend this matter to legal authorities for review

s.22

<< File: Internal Review Report July 2012.docx >>

s.22

Laine Coopsie, Senior Audit Advisor
Finance & Decision Support
Financial & Corporate Services Division
Ministry of Health
Direct Ph: 250-952-1980 Fx: 250-952-2913
mailto: laine.coopsie@gov.bc.ca

From: Taylor, Wendy E LCTZ:EX
Sent: Wednesday, July 4, 2012 8:44 AM
To: Coopsie, Laine HLTH:EX; Tonn, Greg HLTH:EX
Subject: Internal Review Report july 2012.docx

<< File: Internal Review Report july 2012.docx >>

Start of report, very draft and needs editing, cutting and additions.
Can you review and give me your comments, ideas and additions.

Thanks

Wendy

Taylor, Wendy E CITZ:EX

From: Tonn, Greg HLTH:EX
Sent: Friday, July 6, 2012 9:01 AM
To: Taylor, Wendy E LCTZ:EX; Coopsle, Laine HLTH:EX
Subject: RE: report and binder

Hi Wendy,

2:30 will be a tough, but not impossible deadline to meet.

Of course I can help you write up individual summaries for each person. If you provide me with a summary for one person, I will try to emulate the style for the individual issue summaries I am writing.

Greg Tonn, Policy Analyst

Office of the Chief Data Steward | Strategic Policy, Information Management and Data Stewardship | Health Sector
IM/IT | Ministry of Health
Cell: 604-702-8666

From: Taylor, Wendy E LCTZ:EX
Sent: Friday, July 6, 2012 8:53 AM
To: Tonn, Greg HLTH:EX; Coopsle, Laine HLTH:EX
Subject: report and binder

Hi, I need to get the report and binder to Barb before 2:30 today. Who was the last person to edit the draft report? Can you send me the latest version asap please. As well, Greg, may need your assistance in helping me write up individual summaries of issues for each person. Can you assist?

W

Wendy Taylor
Director
Privacy Investigations
Information Security Branch
Office of the Chief Information Officer
Ministry of Labour, Citizen's Services and Open Government

Phone: (250) 952-6161
Cell: (250) 516-3818
Email: Wendy.taylor@gov.bc.ca

Taylor, Wendy E CITZ:EX

From: Tonn, Greg HLTH:EX
Sent: Friday, July 6, 2012 12:39 PM
To: Taylor, Wendy E LCTZ:EX
Subject: individual summaries, relationship graph and glossary
Attachments: Relationship Web.docx; Individual Issues Summary DRAFT.docx; Glossary DRAFT.docx

Hi Wendy,

Please find attached my draft of the individual issues summary, the glossary and word version of the relationship web.

I don't have access to your interview notes so I may very well have missed some things, but I think I captured all the major stuff.

s.22

I am famished and need to eat something, but please let me know what else I can do to help you meet the 2:00 pm deadline.

Best,

Greg Tonn, Policy Analyst

Office of the Chief Data Steward | Strategic Policy, Information Management and Data Stewardship | Health Sector
IM/IT | Ministry of Health
Cell: 604-702-8666

Taylor, Wendy E CITZ:EX

From: Tonn, Greg HLTH:EX
Sent: Friday, July 6, 2012 12:56 PM
To: Taylor, Wendy E LCTZ:EX
Subject: RE: Individual Issues Summary DRAFT.docx

Ted seems sure about the phone bill stuff for s.22 He wrote:

s.22 is significantly over the plan with most bills in excess of \$90 over the plan. There are long distance calls to other provinces and in some cases to the United States.

Greg Tonn, Policy Analyst

Office of the Chief Data Steward | Strategic Policy, Information Management and Data Stewardship | Health Sector
IM/IT | Ministry of Health
Cell: 604-702-8666

From: Taylor, Wendy E LCTZ:EX
Sent: Friday, July 6, 2012 12:47 PM
To: Tonn, Greg HLTH:EX
Subject: Individual Issues Summary DRAFT.docx

<< File: Individual Issues Summary DRAFT.docx >>

This looks great, s.22 not sure about phone bill stuff for s.22 ??? And can you add s.22
s.22 as well.

Thanks

Can you write this in to the Standards of Conduct section of the report 3.3??

Taylor, Wendy E CITZ:EX

From: Tonn, Greg HLTH:EX
Sent: Friday, July 6, 2012 1:12 PM
To: Coopsie, Laine HLTH:EX; Taylor, Wendy E LCTZ:EX
Subject: RE: Internal Review Report July 2012v3.docx

Thanks Laine

Greg Tonn, Policy Analyst

Office of the Chief Data Steward | Strategic Policy, Information Management and Data Stewardship | Health Sector
IM/IT | Ministry of Health
Cell: 604-702-8666

From: Coopsie, Laine HLTH:EX
Sent: Friday, July 6, 2012 1:11 PM
To: Taylor, Wendy E LCTZ:EX; Tonn, Greg HLTH:EX
Subject: RE: Internal Review Report July 2012v3.docx

<< File: Internal Review Report July 6-laine.docx >>

Laine Coopsie, Senior Audit Advisor
Finance & Decision Support
Financial & Corporate Services Division
Ministry of Health
Direct Ph: 250-952-1980 . Fx: 250-952-2913
mailto: laine.coopsie@gov.bc.ca

From: Taylor, Wendy E LCTZ:EX
Sent: Friday, July 6, 2012 12:44 PM
To: Coopsie, Laine HLTH:EX; Tonn, Greg HLTH:EX
Subject: Internal Review Report July 2012v3.docx

<< File: Internal Review Report July 2012v3.docx >>

I have edited and worked up to page 13. Just leaving 4000 to run over to Health.
Greg can you add in relationship chart as an appendix and glossary. I will continue and finish edit when there.
Before Greg does that Lane, can you cut and past in the email summary pls.
Thanks

Wendy

Taylor, Wendy E CITZ:EX

From: Tonn, Greg HLTH:EX
Sent: Friday, July 6, 2012 1:31 PM
To: Coopsie, Laine HLTH:EX; Taylor, Wendy E LCTZ:EX
Subject: RE: Internal Review Report July 2012v3.docx

Importance: High

Here you are,

I put the individual issues summary under 3.6, not 3.3 (3.3 had cell phones I believe).

I also added Laine's list of abbreviations at the very end after the glossary.

Let me know if you need anything else.



Internal Review
Report July 6-...

Greg Tonn, Policy Analyst

Office of the Chief Data Steward | Strategic Policy, Information Management and Data Stewardship | Health Sector
IM/IT | Ministry of Health
Cell: 604-702-8666

From: Coopsie, Laine HLTH:EX
Sent: Friday, July 6, 2012 1:11 PM
To: Taylor, Wendy E LCTZ:EX; Tonn, Greg HLTH:EX
Subject: RE: Internal Review Report July 2012v3.docx

<< File: Internal Review Report July 6-laine.docx >>

Laine Coopsie, Senior Audit Advisor
Finance & Decision Support
Financial & Corporate Services Division
Ministry of Health
Direct Ph: 250-952-1980 Fx: 250-952-2913
mailto: laine.coopsie@gov.bc.ca

From: Taylor, Wendy E LCTZ:EX
Sent: Friday, July 6, 2012 12:44 PM
To: Coopsie, Laine HLTH:EX; Tonn, Greg HLTH:EX
Subject: Internal Review Report July 2012v3.docx

<< File: Internal Review Report July 2012v3.docx >>

I have edited and worked up to page 13. Just leaving 4000 to run over to Health.

Greg can you add in relationship chart as an appendix and glossary. I will continue and finish edit when there.

Before Greg does that Lane, can you cut and past in the email summary pls.

Thanks

Wendy

Taylor, Wendy E CITZ:EX

From: Coopsie, Laine HLTH:EX
Sent: Friday, July 6, 2012 3:48 PM
To: Tonn, Greg HLTH:EX
Cc: Taylor, Wendy E LCTZ:EX
Attachments: Getting Data anyway possible.docx

Importance: High

I think i forgot this section of emails for the report.

PLEASE ADD - sorry

Laine Coopsie, Senior Audit Advisor
Finance & Decision Support
Financial & Corporate Services Division
Ministry of Health
Direct Ph: 250-952-1980 Fx: 250-952-2913
mailto: laine.coopsie@gov.bc.ca

Taylor, Wendy E CITZ:EX

From: Coopsie, Laine HLTH:EX
Sent: Friday, July 6, 2012 3:53 PM
To: Taylor, Wendy E LCTZ:EX
Cc: Tonn, Greg HLTH:EX
Subject: RE:

No I figured it out...its there, I did added, everythings ok.

Laine Coopsie, Senior Audit Advisor
Finance & Decision Support
Financial & Corporate Services Division
Ministry of Health
Direct Ph: 250-952-1980 Fx: 250-952-2913
mailto: laine.coopsie@gov.bc.ca

From: Taylor, Wendy E LCTZ:EX
Sent: Friday, July 6, 2012 3:52 PM
To: Coopsie, Laine HLTH:EX
Cc: Tonn, Greg HLTH:EX
Subject: RE:

Is this to be added to report and the binder?

From: Coopsie, Laine HLTH:EX
Sent: Friday, July 6, 2012 3:48 PM
To: Tonn, Greg HLTH:EX
Cc: Taylor, Wendy E LCTZ:EX
Subject:
Importance: High

I think I forgot this section of emails for the report.
PLEASE ADD - sorry

Laine Coopsie, Senior Audit Advisor
Finance & Decision Support
Financial & Corporate Services Division
Ministry of Health
Direct Ph: 250-952-1980 Fx: 250-952-2913
mailto: laine.coopsie@gov.bc.ca

Taylor, Wendy E CITZ:EX

From: Tonn, Greg HLTH:EX
Sent: Thursday, July 12, 2012 10:57 AM
To: Coopsie, Laine HLTH:EX
Cc: Taylor, Wendy E LCTZ:EX
Subject: FW: Internal Review Report july 2012v3
Attachments: Internal Review Report july 6-Formatted.docx

Please see attached

Greg Tonn, Policy Analyst

Office of the Chief Data Steward | Strategic Policy, Information Management and Data Stewardship | Health Sector
IM/IT | Ministry of Health
Cell: 604-702-8666

From: Tonn, Greg HLTH:EX
Sent: Friday, July 6, 2012 4:39 PM
To: Taylor, Wendy E LCTZ:EX
Subject: RE: Internal Review Report july 2012v3

Here you go!

Greg Tonn, Policy Analyst

Office of the Chief Data Steward | Strategic Policy, Information Management and Data Stewardship | Health Sector
IM/IT | Ministry of Health
Cell: 604-702-8666

From: Taylor, Wendy E LCTZ:EX
Sent: Friday, July 6, 2012 3:47 PM
To: Tonn, Greg HLTH:EX
Subject: RE: Internal Review Report july 2012v3

I made more changes but they didn't save so yes work from this one and I will edit it.

From: Tonn, Greg HLTH:EX
Sent: Friday, July 6, 2012 3:46 PM
To: Taylor, Wendy E LCTZ:EX
Subject: RE: Internal Review Report july 2012v3

Okay, just so we are clear, I am working from the one you sent at 3:36, because that had all the changes in it.

Greg Tonn, Policy Analyst

Office of the Chief Data Steward | Strategic Policy, Information Management and Data Stewardship | Health Sector
IM/IT | Ministry of Health
Cell: 604-702-8666

From: Taylor, Wendy E LCTZ:EX
Sent: Friday, July 6, 2012 3:45 PM

To: Tonn, Greg HLTH:EX
Subject: RE: Internal Review Report july 2012v3

I know, i am redoing changes yet again....
Made changes to it and forgot to save ☺

From: Tonn, Greg HLTH:EX
Sent: Friday, July 6, 2012 3:39 PM
To: Taylor, Wendy E LCTZ:EX
Subject: RE: Internal Review Report july 2012v3

This one is the version you sent to Laine and me this morning

Greg Tonn, Policy Analyst
Office of the Chief Data Steward | Strategic Policy, Information Management and Data Stewardship | Health Sector
IM/IT | Ministry of Health
Cell: 604-702-8666

From: Taylor, Wendy E LCTZ:EX
Sent: Friday, July 6, 2012 3:38 PM
To: Tonn, Greg HLTH:EX
Subject: Internal Review Report july 2012v3

Taylor, Wendy E.CITZ:EX

From: Taylor, Wendy E LCTZ:EX
Sent: Tuesday, July 3, 2012 7:36 PM
To: Taylor, Wendy E LCTZ:EX
Subject: Internal Review Report july 2012.docx



Internal Review
Report july 20...

Taylor, Wendy E CITZ:EX

From: Kislock, Lindsay M HLTH:EX
Sent: Wednesday, July 4, 2012 12:01 AM
To: Taylor, Wendy E LCTZ:EX
Subject: Re: Internal Review Report july 2012.docx

I took a quick look at the report. It looks good - I know it needs some clean up. A recommendation for remaining PSD employees is training around conflict of interest, and use of govt assets.

Sent from my iPad

On 2012-07-03, at 7:35 PM, "Taylor, Wendy E LCTZ:EX" <Wendy.Taylor@gov.bc.ca> wrote:

This still needs more info, charts and attachments and editing but as far as I could get today.

Wendy

<Internal Review Report july 2012.docx>

Taylor, Wendy E CITZ:EX

From: Taylor, Wendy E LCTZ:EX
Sent: Wednesday, July 4, 2012 8:54 AM
To: Taylor, Wendy E LCTZ:EX
Subject: Internal Review Report july 2012 (2).docx



Internal Review
Report july 20...

Taylor, Wendy E CITZ:EX

From: Walman, Barbara J. HLTH:EX
Sent: Tuesday, July 17, 2012 3:02 PM
To: Taylor, Wendy E LCTZ:EX
Subject: Fwd: OAG

See notes

Barbara Walman
ADM
Pharmaceutical Services

From iPad

Begin forwarded message:

From: "Samsonoff, Dale J HLTH:EX" <Dale.Samsonoff@gov.bc.ca>
Date: 17 July, 2012 3:00:44 PM PDT
To: "Walman, Barbara J. HLTH:EX" <Barbara.Walman@gov.bc.ca>
Subject: RE: OAG

Here is the wording provided by the PSA...

As you were informed earlier, an investigation has been initiated regarding this matter and that we will contact you about further action in that regard. These actions are confidential and it would be inappropriate for you to discuss this with anyone else in the Public Service, including the BCPSA, unless directed to do so by the ministry. The suspension without pay will remain in effect during the course of the investigation and there is no appeal mechanism.

Perhaps Manjit and/or OAG could use similar wording.
D

From: Walman, Barbara J. HLTH:EX
Sent: Tuesday, July 17, 2012 2:59 PM
To: Samsonoff, Dale J HLTH:EX
Subject: Fwd: OAG

Barbara Walman
ADM
Pharmaceutical Services

From iPad

Begin forwarded message:

From: "Sidhu, Manjit HLTH:EX" <Manjit.Sidhu@gov.bc.ca>
Date: 17 July, 2012 2:58:29 PM PDT
To: "Taylor, Wendy E LCTZ:EX" <Wendy.Taylor@gov.bc.ca>
Cc: "Kislock, Lindsay M HLTH:EX" <Lindsay.Kislock@gov.bc.ca>, "Walman, Barbara J. HTH-2014-00145
Page 92

HLTH:EX" <Barbara.Walman@gov.bc.ca>

Subject: OAG

Russ Jones from OAG is asking me for a copy of the draft report asap.....apparently

s.22

Is the report at a point where I can share with him? Thanks.

Manjit Sidhu, C.A.

Assistant Deputy Minister

Financial and Corporate Services

Ministry of Health

Taylor, Wendy E CITZ:EX

From: Tonn, Greg HLTH:EX
Sent: Tuesday, July 17, 2012 6:33 PM
To: Taylor, Wendy E LCTZ:EX
Subject: RE: Report
Attachments: Internal Review Report - DRAFT - July 18, 2012.docx; Internal Review Report July 6-Formatted.docx

Importance: High

Hi Wendy,

Attached is what I have done so far, I am sorry but there is still lots of work left. I have tried to format the ToC for you as best I can given the content. I have essentially moved the key findings and recommendations out of the Executive Summary and put it into the body of the report. With your additional content and extra verbiage it should be on pace to be about 10 pages.

I have also attached the previous version of the document that had the initial content in it.

I will try to log on early tomorrow morning (before 8:00 am) to help you with any last-minute formatting changes.

Based on my conversation with Ted, some of the other actions the Ministry has taken to date in this arena include:

- suspensions
- cutting data access
- having more STOB 80 contracts processed and reviewed through account operations and contract management (will likely require more staff to address the increased demand for review)
- developed 3 training courses on contract management process
- requiring all expense authorities to take the mandatory course
- all direct award contracts must be approved by ADM and EFO.

Ted would also like to add the recommendation that the Ministry auditing department conduct more frequent and in-depth audits of government cell phone usage.

I hope this helps.

Best,

Greg Tonn, Policy Analyst
Office of the Chief Data Steward | Strategic Policy, Information Management and Data Stewardship | Health Sector IM/IT | Ministry of Health
Cell: 604-702-8666

-----Original Message-----

From: Taylor, Wendy E LCTZ:EX
Sent: Tuesday, July 17, 2012 8:25 AM
To: Tonn, Greg HLTH:EX
Subject: RE: Report

Ted works in the first door office of the first office on the second floor in finance. If you went up the stairs the first door then first office. I have to stay at 4000 to help with things for a bit then will be there

-----Original Message-----

From: Tonn, Greg HLTH:EX
Sent: Tuesday, July 17, 2012 8:21 AM
To: Taylor, Wendy E LCTZ:EX
Subject: RE: Report

Of course I can

-----Original Message-----

From: Taylor, Wendy E LCTZ:EX
Sent: Tuesday, July 17, 2012 7:48 AM
To: Tonn, Greg HLTH:EX
Subject: Report

This morning can u help with the drafting of the report with Ted and I

Sent from my iPhone

Internal Review

**Ministry of Health, Pharmaceutical Services Division,
Research and Evidence Development**

**July 18, 2012
Draft V2**

1.0 Introduction

Background

The Office of the Auditor General (OAG) contacted the Assistant Deputy Minister (ADM) of Financial and Corporate Services, Ministry of Health (MoH) on March 28, 2012 to advise that an allegation had been received by their office concerning inappropriate procurement, contracting irregularities and research grant practices in the Research and Evidence Development section of the Pharmaceutical Services Division (PSD), MoH.

Additional concerns were also alleged regarding inappropriate data access arrangements, intellectual property infringement, and code of conduct conflicts with employee contractor relationships including preferential treatment. At that time MoH undertook a preliminary review. As a result of the preliminary review, MoH determined that further investigation was warranted and decided to undertake a more detailed review of the allegations. A team comprised of representatives from the government Chief Information Office, and the Financial Services Division, MoH was tasked with this assignment. The review was conducted to ascertain current practices and to assess if government policy, procurement practices and codes of conduct were being followed.

1.2 Purpose

The purpose of this review included:

- To provide findings related to allegations,
- To determine if Government's contracting and research grant practices, standards of conduct, data access arrangements and approval processes are being followed by the Research and Evidence Development section of the PSD, MoH: and
- To identify opportunities and make recommendations to improve contracting, granting, and data access practices in the Research and Evidence Development section of PSD, MoH..

Contained herein are the findings of this internal review and preliminary recommendations.

2.3 Approach

The actions taken as part of the review process as outlined in the terms of reference included as Appendix 1 are follows:

- Review of all PSD STOB 60 and 80 contracts and grants,

- Review of all cell phone bills, expense reports and government assets of related parties,
- Review of academic publications related to parties,
- Review of electronic communication between parties,
- Analysis of project-related documents and information provided by interviewees,
- Review of relevant human resource information, and
- Review of data access processes and documentation related to relevant contracts and projects.

To inform the review, interviews were held in person or via telephone with the following MoH employees and contractor:

s.22

The University of British Columbia and University of Victoria have also been advised of the review related to contracts involving:

s.22

Meetings have also been held with:

- Bill Ehmann, John Tuck, Norm MacPhee, and Andrew Mickelson, Counsel, Legal Services Branch, Ministry of Justice ,
- Sara Brownlee and Sarah Campbell, Labour Relations, Public Service Agency (PSA), and
- Dan Peck, Stacy Johnson and Gordon Wong, Office of the Comptroller General (OCG).

Attached as Appendix 2 is a relationship diagram of all parties and organizations included in this review.



2.0 Key Findings

The following is a summary of findings based on the review of procurement practices, grant awards and contracting, data access and related agreements and intellectual property in the Research and Evidence Development section of the Pharmaceutical Services Division, Ministry of Health as outlined in the approach section.

Appendix 3 and 4 provide a glossary of terms and acronyms related to this review.

2.1 Contract Management and Grants

The following Issues have been identified regarding the arranging, awarding and subcontracting of contracts in the PSD Research and Evidence Development and Drug Use Optimization Branches (there is no evidence that the issues identified go beyond this branch of PSD:

s.22

2.2 Data Access and Use

The following findings were identified relating to the use and access to data:

- Processes for data access are not always followed and there is a lack of documentation for projects.

s.22

- Lack of project specific information in contracts is enabling open use of data for projects without appropriate specific guidelines or monitoring in place.

2.3 Standards of Conduct

The following issues relating to breaches of the Standards of Conduct for the BC Public Service

s.22

s.22

3.0 Recommendations

1. s.22 contract through MSD identified through this review be cancelled.
2. That the IDIR accounts for external research contractors through universities be cancelled and that they be required to return any other government assets.
3. All contracts involving use of data must have an approved ISA attached.
4. All data access for projects identified in this review led by PSD be suspended and MoH will work with the applicants to confirm the appropriate data use policy, provisions and practices are in place.
5. All future data access is granted for only a specific project or identified evaluation contract, not for open data usage.
6. Health Sector IM/IT Division (HSIMIT) streamline their processes for providing data access. so that data clients do not circumvent data access procedures.
7. HSIMIT enhance the compliance and monitoring function for data access.
8. Implement policies to address the potential for any future incidents of non-compliance or inappropriate data access and consequences of such action.
9. That the Public Service Agency (PSA) conducts an investigation and review into the Standard of Conduct breaches as identified by this review.

10. PSD employees should all undertake retraining related to contract management practices and the Standards of Conduct for the BC Public Service.

Appendix 1 – Terms of Reference

1.0 Overview

This document outlines the objectives, scope, approach and deliverables associated with a review of procurement, grant awards and contracting, data access and related agreements and intellectual property practices in the Research and Evidence Development section of the Pharmaceutical Services Division, Ministry of Health. Once the review is complete, a final report will be produced that will include a summary of findings including current practices, policies and procedures and recommendations.

2.0 Background

The Office of the Auditor General contacted the ADM of Financial and Corporate Services, MOH to advise that an allegation report was received by their office concerning inappropriate procurement, contracting irregularities and research grant practices, in the Research and Evidence Development section of the Pharmaceutical Services Division, MOH. In addition concerns were also alleged regarding inappropriate data access arrangements, intellectual property infringement, and code of conduct conflicts with employee contractor relationships including preferential treatment. The MOH has decided to conduct a review of these allegations to ascertain current practices and to assess if government policy, procurement practices and codes of conduct are being followed.

3.0 Review Objectives:

The objectives of this review are to:

- Ensure Government's contracting, research grant practices, data access arrangements and approval processes are in place and being followed by the Research and Evidence Development section of the PSD, MOH
- Provide all findings and facts relating to allegations being reviewed.
- Identify opportunities to improve contract management, granting, research and data access practices in the Research and Evidence Development section of PSD, MOH

4.0 Scope

4.1 In Scope

- Current and historical contracting, research grant and data access practices of the Research and Evidence Development section of PSD, MOH
- Review of roles, responsibilities, and relationships of s.22
- Data access and data sharing arrangements between employees, contractors and post-secondary research institutions focusing primarily on Research and Evidence Development section, PSD, MOH, University of Victoria and University of BC.

- Government's processes, policies and practices related to areas of review especially any legislative, corporate, core policy and requirements.

4.2 Out of Scope

- Matters pertaining to other business areas of PSD, MOH;
- Matters pertaining to the management of personnel.

5.0 Major Deliverables

A final report including:

- Summary of review and findings;
- Recommendations to address any concerns identified
- Review and identification of employee and contractor data access permissions, and audit trails to monitor such access;

6.0 Approach

The approach may include:

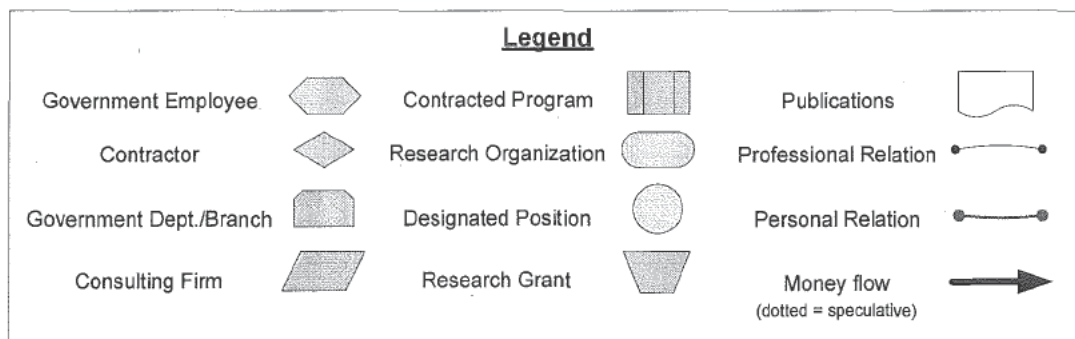
- a) Gathering documentary evidence;
- b) Surveying legislation, policies, practices, systems protocol;
- c) Meetings and interviews with involved parties and government officials;
- d) Meetings with universities participating in any research with program area
- e) Review of all contracts, grants and funding provided by the program;
- f) Review of all information sharing agreements, data access and intellectual property agreements;
- g) Review of employee/contractor relationships
- h) Ongoing liaison with affected parties once the review is complete and the report released.

7.0 Target Audiences / Participants

- ADM Pharmaceutical Services Division, MOH
- ADM Health Sector IM/IT CIO, MOH
- ADM Corporate and Financial Services, MOH.
- Employees and Contractors identified from the Research and Evidence Development section PSD, MOH
- Team members from the Corporate and Financial Services Division, MOH
- Staff in SPMIDS and Privacy and Legislation Health Sector IM/IT
- Forensics Investigation Unit, OCIO, Information Security Branch
- OAG and OCG
- Research Areas at UBC and UVIC working with this business area MOH

Appendix 2 – Relationship Web

s.22



s.22

s.22

Appendix 4 – List of Acronyms

s.22

ADM Assistant/Associated Deputy Minister

s.22

IP Intellectual Property

ISA Information Service Agreement

MoH Ministry of Health

OAG Office of Auditor General

OCG Office of the Comptroller General

s.22

PSA Public Service Agency

PSD Pharmaceutical Services Division

RFP Request for Proposal

s.22

TUA Transfer under Agreement

UBC University of British Columbia

UVic University of Victoria

Taylor, Wendy E CITZ:EX

From: Kislock, Lindsay M HLTH:EX
Sent: Tuesday, July 17, 2012 10:38 PM
To: Taylor, Wendy E LCTZ:EX
Subject: Re: Report

K

Sent from my iPad

On 2012-07-17, at 10:34 PM, "Taylor, Wendy E LCTZ:EX" <Wendy.Taylor@gov.bc.ca> wrote:

> Couple minutes just about done

>

> Sent from my iPhone

>

> On 2012-07-17, at 10:31 PM, "Kislock, Lindsay M HLTH:EX" <Lindsay.Kislock@gov.bc.ca> wrote:

>

>> Hate to nag - just want to help. What's the status?

Taylor, Wendy E CITZ:EX

From: Wendy Taylor s.22
Sent: Tuesday, July 17, 2012 10:53 PM
To: Taylor, Wendy E LCTZ:EX
Subject: Internal Review Report - DRAFT - July 18 2012 v2
Attachments: Internal Review Report - DRAFT - July 18 2012 v2.docx

Taylor, Wendy E CITZ:EX

From: Wendy Taylor s.22
Sent: Tuesday, July 17, 2012 10:56 PM
To: Taylor, Wendy E LCTZ:EX
Subject: Internal Review Report - DRAFT - July 18 2012 v2
Attachments: Internal Review Report - DRAFT - July 18 2012 v2.docx

Taylor, Wendy E CITZ:EX

From: Wendy Taylor s.22
Sent: Tuesday, July 17, 2012 11:49 PM
To: Taylor, Wendy E LCTZ:EX
Subject: Internal Review Report - DRAFT - July 18 2012 v2
Attachments: Internal Review Report - DRAFT - July 18 2012 v2.docx

Taylor, Wendy E CITZ:EX

From: Walman, Barbara J. HLTH:EX
Sent: Thursday, June 14, 2012 2:33 PM
To: Taylor, Wendy E LCTZ:EX
Subject: Re: s.22 doc

Thx. Assume this will all go into the review reports well? Thx

Barbara Walman
ADM

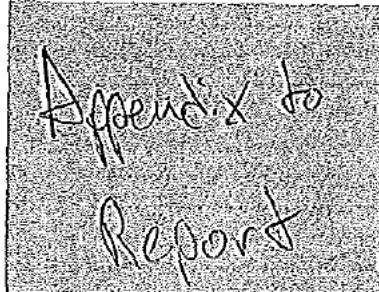
On 2012-06-14, at 2:20 PM, "Taylor, Wendy E LCTZ:EX" <Wendy.Taylor@gov.bc.ca> wrote:

As discussed yesterday, here is the s.22
s.22 doc. Will forward when I receive.

s.22

Pages 115 through 122 redacted for the following reasons:

s.22



Review
Involving the Ministry of Health
Pharmaceuticals Services Division
Research and Evidence Development Section

Terms of Reference

Author: Wendy Taylor
Creation Date: May 29, 2012
Last Updated:
Document Number:
Version: V 2.0

Approvals:

TOR Sponsors

Barbara Walman
*Assistant Deputy Minister,
Ministry of Health*

Signature

Date

Lindsay Kislock
*Assistant Deputy Minister and
Chief Information Officer
Ministry of Health*

Signature

Date

Manjit Sidhu
*Assistant Deputy Minister
Corporate and Financial
Services*

Signature

Date

Table of Contents

Table of Contents	2
Reviews and Document Control	3
1.0 Overview	4
2.0 Background	4
3.0 Review Objectives:	4
4.0 Scope	4
4.1 In Scope	4
4.2 Out of Scope	5
5.0 Major Deliverables	5
6.0 Approach	5
7.0 Target Audiences / Participants	5
8.0 Milestones and Timeline	7

Reviews and Document Control**Reviews**

This document has been sent to the following for their review and comment.

Name	Position
Barbara Walman	Assistant Deputy Ministry, Pharmaceutical Services Division, Ministry of Health
Lindsay Kislock	Assistant Deputy Minister, CIO Health Sector IM/IT, Ministry of Health
Manjit Sidhu	Assistant Deputy Minister Financial and Corporate Services Ministry of Health

Document Control

Date	Author	Version	Change Reference
31/05/2012	wt	2	Final edits completed on draft v1

1.0 Overview

This document outlines the objectives, scope, approach and deliverables associated with a review of procurement, grant awards and contracting; data access and related agreements and intellectual property practices in the Research and Evidence Development section of the Pharmaceutical Services Division (PSD), Ministry of Health. Once the review is complete, a final report will be produced that will include a summary of findings including current practices, policies and procedures and recommendations.

2.0 Background

The Office of the Auditor General contacted the ADM of Financial and Corporate Services, MOH on March 28, 2012 to advise that an allegation report was received by their office concerning inappropriate procurement, contracting irregularities and research grant practices, in the Research and Evidence Development section of the Pharmaceutical Services Division, MOH. In addition concerns were also alleged regarding inappropriate data access arrangements, intellectual property infringement, and code of conduct conflicts with employee contractor relationships including preferential treatment. MOH has conducted some preliminary investigations and has decided to conduct a formal review of these allegations to ascertain current practices and to assess if government policy, procurement practices and codes of conduct are being followed.

3.0 Review Objectives:

The objectives of this review are to:

- Ensure Government's contracting, research grant practices, data access arrangements and approval processes are in place and being followed by the Research and Evidence Development section of the PSD, MOH
- Provide all findings and facts relating to allegations being reviewed.
- Identify opportunities to improve government and ministries information contracting, granting, research and data access practices in the Research and Evidence Development section of PSD, MOH

4.0 Scope

4.1 In Scope

- Current and historical contracting, research grant and data access practices of the Research and Evidence Development section of PSD, MOH
- Review of roles, responsibilities, and relationships of s.22
- Data access and data sharing arrangements between employees, contractors and post-secondary research institutions focusing primarily on Research and Evidence Development section, PSD, MOH, University of Victoria and University of BC.
- Government's processes, policies and practices related to areas of review especially any legislative, corporate, core policy and requirements.

4.2 Out of Scope

- Matters pertaining to other business areas of PSD, MOH;
- Matters pertaining to the management of personnel.

5.0 Major Deliverables

A final report including:

- Summary of review and findings;
- A summary of related legislation, corporate, core policy, and privacy policy requirements as applicable as it relates to areas in the review;
- Recommendations to address any concerns identified
- Review of relevant government information systems relating to this review including identification of employee and contractor data access permissions, and audit trails to monitor such access;
- Review and recommended changes in process, policy, systems, protocols, training and practices, if necessary, to reduce the possibility of any such related concerns in the future; and
- Proposals for short term solutions if required and long term remedial approaches to address the implications of any issues identified by this review.
- Final report will be presented to MOH Executive leads and shared with OCG and OAG.

6.0 Approach

The approach may include:

- a) Gathering documentary evidence;
- b) Surveying legislation, policies, practices, systems protocol;
- c) Meetings and interviews with involved parties and government officials;
- d) Meetings with universities participating in any research with identified program area
- e) Review of all contracts, grants and funding provided by the program;
- f) Review of all information sharing agreements, data access and intellectual property agreements;
- g) Review of employee/contractor relationships
- h) Ongoing liaison with affected parties once the review is complete and the report released.

7.0 Project Team:

Wendy Taylor, Team Lead – OCIO, LCTZ

Ted Boomer- Financial and Corporate Services, MOH
Laine Coopsie, Financial and Corporate Services, MOH
Representative from Forensics Investigations Unit, OCIO, LCTZ - as required
Representative from PSA Investigations Unit – as required

7.1 Target Audiences / Participants

ADM Pharmaceutical Services Division, MOH
ADM Health Sector IM/IT CIO, MOH
ADM Corporate and Financial Services, MOH.
Employees and Contractors identified from the Research and Evidence Development section PSD,
MOH
Team members from the Corporate and Financial Services Division, MOH
Staff in SPMIDS and Privacy and Legislation Health Sector IM/IT
Forensics Investigation Unit, OCIO, Information Security Branch
Research Areas at UBC and UVIC working with this business area MOH ?

8.0 Milestones and Timeline

<i>Milestone</i>	<i>Start Date</i>	<i>Target Date</i>
Gathering documentary evidence and survey of legislation, policies and practice	May 31, 2012	June 10, 2012
Meetings or interviews completed	June 4, 2012	June 22, 2012
Draft report completed	June 22, 2012	June 26 2012
Draft report circulated to Executive sponsor, B. Walman, L. Kislock and M. Sidhu and feedback received	June 26 2012	June 30, 2012
Report finalized		June 30, 2012

Carlsen, Cynthia HLTH:EX

From: Taylor, Wendy E CITZ:EX
Sent: Monday, March 4, 2013 5:02 PM
To: Bersenev, Elena Y HLTH:EX
Subject: FW: Internal Review Report july 2012.docx

From: Tonn, Greg HLTH:EX
Sent: Wednesday, July 4, 2012 12:43 PM
To: Coopsie, Laine HLTH:EX
Cc: Taylor, Wendy E LCTZ:EX
Subject: RE: Internal Review Report july 2012.docx

Hi Laine,

Please see my edits and comments in the attached document.

Among some other, relatively minor suggestions for changes:

- I noticed that the s.22 contract and data access summary was included twice but the s.22 one was missed, so I swapped those out, and
- I also fixed the excessive space on the footer.



Internal Review
Report july 20...

I am going to grab some lunch and then finish up on that glossary.

Best regards,

Greg

Greg Tonn, Policy Analyst

Office of the Chief Data Steward | Strategic Policy, Information Management and Data Stewardship | Health Sector
IM/IT | Ministry of Health
Cell: 604-702-8666

From: Coopsie, Laine HLTH:EX
Sent: Wednesday, July 4, 2012 11:25 AM
To: Tonn, Greg HLTH:EX
Cc: Taylor, Wendy E LCTZ:EX
Subject: RE: Internal Review Report july 2012.docx

Ok let me know when you are done, I will re-read it again for other edits.

Laine Coopsie, Senior Audit Advisor
Finance & Decision Support
Financial & Corporate Services Division
Ministry of Health
Direct Ph: 250-952-1980 Fx: 250-952-2913
mailto: laine.coopsie@gov.bc.ca

From: Tonn, Greg HLTH:EX
Sent: Wednesday, July 4, 2012 11:23 AM
To: Coopsie, Laine HLTH:EX
Cc: Taylor, Wendy E LCTZ:EX
Subject: RE: Internal Review Report july 2012.docx

Thanks for the offer Laine,

It would probably be easier for me to review what you have provided and add any edits or changes I might suggest.

Greg Tonn, Policy Analyst
Office of the Chief Data Steward | Strategic Policy, Information Management and Data Stewardship | Health Sector
IM/IT | Ministry of Health
Cell: 604-702-8666

From: Coopsie, Laine HLTH:EX
Sent: Wednesday, July 4, 2012 11:21 AM
To: Taylor, Wendy E LCTZ:EX; Tonn, Greg HLTH:EX
Subject: RE: Internal Review Report july 2012.docx

My first stab at editing the report.

Greg if you have any additions, I can compile them.

Just wondering if we were going to recommend that the applicable contracts be cancelled until further review and were we going to recommend this matter to legal authorities for review to see if
<< File: Internal Review Report july 2012.docx >> s.22

Laine Coopsie, Senior Audit Advisor
Finance & Decision Support
Financial & Corporate Services Division
Ministry of Health
Direct Ph: 250-952-1980 Fx: 250-952-2913
mailto: laine.coopsie@gov.bc.ca

From: Taylor, Wendy E LCTZ:EX
Sent: Wednesday, July 4, 2012 8:44 AM
To: Coopsie, Laine HLTH:EX; Tonn, Greg HLTH:EX
Subject: Internal Review Report july 2012.docx

<< File: Internal Review Report july 2012.docx >>

Start of report, very draft and needs editing, cutting and additions.
Can you review and give me your comments, ideas and additions.

Thanks

Wendy

Carlsen, Cynthia HLTH:EX

From: Taylor, Wendy E CITZ:EX
Sent: Monday, March 4, 2013 5:02 PM
To: Bersenev, Elena Y HLTH:EX
Subject: FW: Internal Review Report july 2012v3
Attachments: Internal Review Report july 6-Formatted.docx

From: Tonn, Greg HLTH:EX
Sent: Friday, July 6, 2012 4:39 PM
To: Taylor, Wendy E LCTZ:EX
Subject: RE: Internal Review Report july 2012v3

Here you go!

Greg Tonn, Policy Analyst
Office of the Chief Data Steward | Strategic Policy, Information Management and Data Stewardship | Health Sector
IM/IT | Ministry of Health
Cell: 604-702-8666

From: Taylor, Wendy E LCTZ:EX
Sent: Friday, July 6, 2012 3:47 PM
To: Tonn, Greg HLTH:EX
Subject: RE: Internal Review Report july 2012v3

I made more changes but they didn't save so yes work from this one and I will edit it.

From: Tonn, Greg HLTH:EX
Sent: Friday, July 6, 2012 3:46 PM
To: Taylor, Wendy E LCTZ:EX
Subject: RE: Internal Review Report july 2012v3

Okay, just so we are clear, I am working from the one you sent at 3:36, because that had all the changes in it.

Greg Tonn, Policy Analyst
Office of the Chief Data Steward | Strategic Policy, Information Management and Data Stewardship | Health Sector
IM/IT | Ministry of Health
Cell: 604-702-8666

From: Taylor, Wendy E LCTZ:EX
Sent: Friday, July 6, 2012 3:45 PM
To: Tonn, Greg HLTH:EX
Subject: RE: Internal Review Report july 2012v3

I know, I am redoing changes yet again....

Made changes to it and forgot to save ☺

From: Tonn, Greg HLTH:EX
Sent: Friday, July 6, 2012 3:39 PM
To: Taylor, Wendy E LCTZ:EX
Subject: RE: Internal Review Report july 2012v3

This one is the version you sent to Laine and me this morning

Greg Tonn, Policy Analyst
Office of the Chief Data Steward | Strategic Policy, Information Management and Data Stewardship | Health Sector
IM/IT | Ministry of Health
Cell: 604-702-8666

From: Taylor, Wendy E LCTZ:EX
Sent: Friday, July 6, 2012 3:38 PM
To: Tonn, Greg HLTH:EX
Subject: Internal Review Report july 2012v3

Carlsen, Cynthia HLTH:EX

From: Taylor, Wendy E CITZ:EX
Sent: Monday, March 4, 2013 5:03 PM
To: Bersenev, Elena Y HLTH:EX
Subject: FW:
Attachments: Internal Review Report - DRAFT - July 18 2012 v2 (GT Edits).docx

From: Tonn, Greg HLTH:EX
Sent: Wednesday, July 18, 2012 9:00 AM
To: Taylor, Wendy E LCTZ:EX
Subject: RE:

Very short and sweet!

There were two excess white pages between Appendix 1 and 2. I have removed them in the attached version.

Also, many of the terms in the glossary and list of abbreviations are not used in this version of the report. Should I trim out unused terms and abbreviations?

Greg Tonn, Policy Analyst
Office of the Chief Data Steward | Strategic Policy, Information Management and Data Stewardship | Health Sector
IM/IT | Ministry of Health
Cell: 604-702-8666

From: Taylor, Wendy E LCTZ:EX
Sent: Wednesday, July 18, 2012 8:41 AM
To: Boomer, Ted HLTH:EX; Tonn, Greg HLTH:EX
Subject:

Draft I finished last night for your review and comments

W

Wendy Taylor

250 952 6161 Office
250 516 3818 Cell
240 356 1182 Fax

Carlsen, Cynthia HLTH:EX

From: Taylor, Wendy E CITZ:EX
Sent: Monday, March 4, 2013 5:03 PM
To: Bersenev, Elena Y HLTH:EX
Subject: FW: Report
Attachments: Internal Review Report - DRAFT - July 18, 2012.docx; Internal Review Report July 6-Formatted.docx

Importance: High

-----Original Message-----

From: Tonn, Greg HLTH:EX
Sent: Tuesday, July 17, 2012 6:33 PM
To: Taylor, Wendy E LCTZ:EX
Subject: RE: Report
Importance: High

Hi Wendy,

Attached is what I have done so far, I am sorry but there is still lots of work left. I have tried to format the ToC for you as best I can given the content. I have essentially moved the key findings and recommendations out of the Executive Summary and put it into the body of the report. With your additional content and extra verbiage it should be on pace to be about 10 pages.

I have also attached the previous version of the document that had the initial content in it.

I will try to log on early tomorrow morning (before 8:00 am) to help you with any last-minute formatting changes.

Based on my conversation with Ted, some of the other actions the Ministry has taken to date in this arena include:

- suspensions
- cutting data access
- having more STOB 80 contracts processed and reviewed through account operations and contract management (will likely require more staff to address the increased demand for review)
- developed 3 training courses on contract management process
- requiring all expense authorities to take the mandatory course
- all direct award contracts must be approved by ADM and EFO.

Ted would also like to add the recommendation that the Ministry auditing department conduct more frequent and in-depth audits of government cell phone usage.

I hope this helps.

Best,

Greg Tonn, Policy Analyst
Office of the Chief Data Steward | Strategic Policy, Information Management and Data Stewardship | Health Sector IM/IT | Ministry of Health
Cell: 604-702-8666

-----Original Message-----

From: Taylor, Wendy E LCTZ:EX
Sent: Tuesday, July 17, 2012 8:25 AM
To: Tonn, Greg HLTH:EX
Subject: RE: Report

Ted works in the first door office of the first office on the second floor in finance if you went up the stairs the first door then first office.e I have to stay at 4000 to help with things for a bit then will be there

-----Original Message-----

From: Tonn, Greg HLTH:EX
Sent: Tuesday, July 17, 2012 8:21 AM
To: Taylor, Wendy E LCTZ:EX
Subject: RE: Report

Of course I can

-----Original Message-----

From: Taylor, Wendy E LCTZ:EX
Sent: Tuesday, July 17, 2012 7:48 AM
To: Tonn, Greg HLTH:EX
Subject: Report

This morning can u help with the drafting of the report with Ted and I

Sent from my iPhone

Boomer, Ted HLTH:EX

From: Taylor, Wendy E LCTZ:EX
Sent: Monday, June 25, 2012 9:48 AM
To: Boomer, Ted HLTH:EX; Coopsie, Laine HLTH:EX; Tonn, Greg HLTH:EX
Subject: Document1



Doc1.docx

Hi Ted and Laine, please find attached the beginnings of our progress report for Lindsay, Barb and Manjit. Could you identify anyone/step I might have left out so far and could you also assist with the following:

1. Summary of contract/grant findings
2. Summary of phone bill/and other purchases etc to date
3. Data access info Greg from what we have so far ie what they have been doing to get access
4. I will write up the specifics per individual

Can you draft by 1 so we can review and polish by 3 this aft. Not a lot of detail required but key findings and any attachments as evidence.

Let me know if you need more info.

Thanks

Wendy

The following is an update report on the progress and findings to date for the review of procurement, grant awards and contracting, data access and related agreements and intellectual property practices in the Research and Evidence Development section of the Pharmaceutical Services Division, Ministry of Health.

The following review activities have occurred to date:

- Contracts and Grants
- Cell bills
- Expense reports and purchasing card
- Government assets assigned to parties
- Academic publications related to parties
- Electronic communication between parties
- Documents of project information provided by interviewees
- Agreements and human resource information

The following in person and by phone interviews have been conducted by Wendy Taylor and Ted Boomer to date with the following employees:

s.22

A meeting was also held with
with s.22

s.22

We are still waiting to meet

Meetings have also been held with:

- Bill Ehmann, John Tuck, Norm MacPhee, and Andrew Mickelson, Legal Services Branch, Ministry of Attorney General.
- Sara Bromlee , Labour Relations, PSA
- Dan Peck, Stacy and Gordon Wong, OCG

Report to date:

As a result of the reviews and interviews above, the following is an update of key findings to date:

Contracts and Grants:

Boomer, Ted HLTH:EX

From: Coopsie, Laine HLTH:EX
Sent: Monday, June 25, 2012 11:31 AM
To: Boomer, Ted HLTH:EX
Subject: RE: Document1



Contract Note
June 25.docx

We can also attach list of current contracts that we have found.

Laine Coopsie, Senior Audit Advisor
Finance & Decision Support
Financial & Corporate Services Division
Ministry of Health
Direct Ph: 250-952-1980 Fx: 250-952-2913
mailto: laine.coopsie@gov.bc.ca

From: Boomer, Ted HLTH:EX
Sent: Monday, June 25, 2012 10:34 AM
To: Coopsie, Laine HLTH:EX
Subject: RE: Document1

OK.

From: Coopsie, Laine HLTH:EX
Sent: Monday, June 25, 2012 10:34 AM
To: Boomer, Ted HLTH:EX
Subject: RE: Document1

I will send it to you for review/edits additions, then you can forward to wendy and greg for today's meeting at 1.

Laine Coopsie, Senior Audit Advisor
Finance & Decision Support
Financial & Corporate Services Division
Ministry of Health
Direct Ph: 250-952-1980 Fx: 250-952-2913
mailto: laine.coopsie@gov.bc.ca

From: Boomer, Ted HLTH:EX
Sent: Monday, June 25, 2012 10:33 AM
To: Coopsie, Laine HLTH:EX
Subject: RE: Document1

If you start that it would be great. I will do some work on the phone bills. I would like to look at the contract stuff though.

From: Coopsie, Laine HLTH:EX
Sent: Monday, June 25, 2012 9:58 AM
To: Boomer, Ted HLTH:EX
Subject: RE: Document1

I don't have the phone bills in front of me, so i can try to prepare a summary of contract findings?

Laine Coopsie, Senior Audit Advisor
Finance & Decision Support
Financial & Corporate Services Division
Ministry of Health
Direct Ph: 250-952-1980 Fx: 250-952-2913
mailto: laine.coopsie@gov.bc.ca

From: Taylor, Wendy E LCTZ:EX
Sent: Monday, June 25, 2012 9:48 AM
To: Boomer, Ted HLTH:EX; Coopsie, Laine HLTH:EX; Tonn, Greg HLTH:EX
Subject: Document1

<< File: Doc1.docx >>

Hi Ted and Laine, please find attached the beginnings of our progress report for Lindsay, Barb and Manjit. Could you identify anyone/step I might have left out so far and could you also assist with the following:

1. Summary of contract/grant findings
2. Summary of phone bill/and other purchases etc to date
3. Data access info Greg from what we have so far ie what they have been doing to get access
4. I will write up the specifics per individual

Can you draft by 1 so we can review and polish by 3 this aft. Not a lot of detail required but key findings and any attachments as evidence.

Let me know if you need more info.

Thanks

Wendy

Pages 143 through 144 redacted for the following reasons:

s.22

Boomer, Ted HLTH:EX

From: Coopsie, Laine HLTH:EX
Sent: Wednesday, July 11, 2012 8:30 AM
To: Taylor, Wendy E LCTZ:EX
Cc: Boomer, Ted HLTH:EX
Subject: Email Binder

Hi Wendy

I have a binder of emails that we didn't use in the report. They are the ones you printed for reference and asked me to review and summarize. I am going to leave them in Ted's office, along with some additional hard copy emails/correspondence that s.22 gave me back in April/May. I would prefer to not leave these at my desk since tomorrow is my last day at 1515 Blanshard before heading to MoH Burnaby office.

Let me know if you require anything else.

Laine Coopsie, Senior Audit Advisor
Finance & Decision Support
Financial & Corporate Services Division
Ministry of Health
Direct Ph: 250-952-1980 Fx: 250-952-2913
mailto: laine.coopsie@gov.bc.ca

King, Jessica MTIC:EX

From: Sidhu, Manjit HLTH:EX
Sent: Tuesday, June 25, 2013 4:35 PM
To: Brown, Stephen R HLTH:EX
Cc: McKnight, Elaine L PSA:EX
Subject: FW: Internal Review Report - DRAFT - July 18 2012 v2 (GT Edits) (2)
Attachments: Internal Review Report - DRAFT - July 18 2012 v2 (GT Edits) (2).docx

Steve, here is the report you were requesting.

Manjit Sidhu, C.A.
Assistant Deputy Minister
Financial and Corporate Services
Ministry of Health

From: Sidhu, Manjit HLTH:EX
Sent: Thursday, July 19, 2012 11:39 AM
To: Jones, Russ OAG:EX
Subject: FW: Internal Review Report - DRAFT - July 18 2012 v2 (GT Edits) (2)

Russ, here is a more current version of the report. I have shared with Stacy Johnson in OCG.

Manjit Sidhu, C.A.
Assistant Deputy Minister
Financial and Corporate Services
Ministry of Health

From: Taylor, Wendy E LCTZ:EX
Sent: Thursday, July 19, 2012 11:18 AM
To: Sidhu, Manjit HLTH:EX; Walman, Barbara J. HLTH:EX; Kislock, Lindsay M HLTH:EX
Subject: Internal Review Report - DRAFT - July 18 2012 v2 (GT Edits) (2)

Here is the latest version of the report for your review. Hope I have captured the changes as required.

Wendy

Internal Review

**Ministry of Health, Pharmaceutical Services Division,
Research and Evidence Development**

**July 18, 2012
Draft V3**

1.0 Introduction

Background

The Office of the Auditor General (OAG) contacted the Assistant Deputy Minister (ADM) of Financial and Corporate Services, Ministry of Health (MoH) on March 28, 2012 to advise that an allegation had been received by their office concerning inappropriate procurement, contracting irregularities and research grant practices in the Research and Evidence Development section of the Pharmaceutical Services Division (PSD), MoH.

Additional concerns were also alleged regarding inappropriate data access arrangements, intellectual property infringement, and code of conduct conflicts with employee contractor relationships including preferential treatment. At that time MoH undertook a preliminary review. As a result of the preliminary review, MoH determined that further investigation was warranted and decided to undertake a more detailed review of the allegations. A team comprised of representatives from the government Chief Information Office, and the Financial Services Division, MoH was tasked with this assignment. The review was conducted to ascertain current practices and to assess if government policy, procurement practices and codes of conduct were being followed.

1.2 Purpose

The purpose of this review was:

- To provide findings related to allegations,
- To determine if Government's contracting and research grant practices, standards of conduct, data access arrangements and approval processes are being followed by the Research and Evidence Development section of the PSD, MoH; and
- To identify opportunities and make recommendations to improve contracting, granting, and data access practices in the Research and Evidence Development section of PSD, MoH.

Contained herein are the key findings of the internal review and preliminary recommendations.

2.3 Approach

The actions taken as part of the review process as outlined in the terms of reference included as Appendix 1 are as follows:

- Review of all PSD STOB 60 and 80 contracts and grants,
- Review of all cell phone bills, expense reports and government assets of related parties,
- Review of academic publications related to parties,
- Review of electronic communication between parties,
- Analysis of project-related documents and information provided by interviewees,
- Review of relevant human resource information, and
- Review of data access processes and documentation related to relevant contracts and projects.

To inform the review, interviews were held in person or via telephone with the following MoH employees and contractor:

s.22

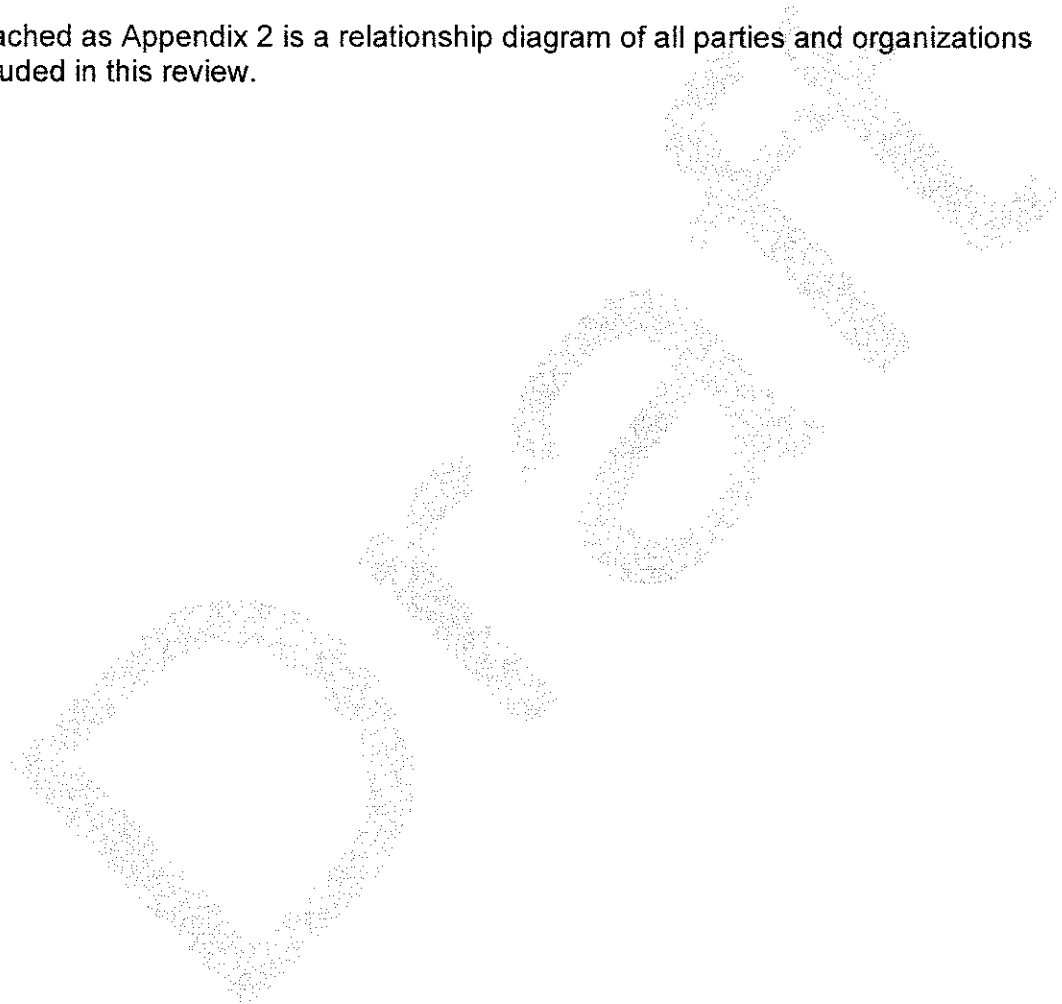
The University of British Columbia and University of Victoria have also been advised of the review related to contracts involving:

s.22

Meetings have also been held with:

- Bill Ehmann, John Tuck, Norm MacPhee, and Andrew Mickelson, Counsel, Legal Services Branch, Ministry of Justice ,
- Sara Brownlee and Sarah Campbell, Labour Relations, Public Service Agency (PSA), and
- Dan Peck, Stacy Johnson and Gordon Wong, Office of the Comptroller General (OCG).

Attached as Appendix 2 is a relationship diagram of all parties and organizations included in this review.



2.0 Key Findings

The following is a summary of findings based on the review of procurement practices, grant awards and contracting, data access and related agreements and intellectual property in the Research and Evidence Development section of the Pharmaceutical Services Division, Ministry of Health as outlined in the approach section.

Appendix 3 and 4 provide a glossary of terms and acronyms related to this review.

2.1 Contract Management and Grants

The following Issues have been identified regarding the arranging, awarding and subcontracting of contracts in the PSD Research and Evidence Development:

s.22

2.2 Data Access and Use

The following findings were identified relating to the use and access to data:

- Processes for data access are not always followed and there is a lack of documentation for projects.

s.22

- Lack of project specific information in contracts is enabling open use of data for projects without appropriate specific guidelines or monitoring in place.

2.3 Standards of Conduct

The following issues relating to breaches of the Standards of Conduct for the BC Public Service

s.22

s.22

3.0 Preliminary Recommendations

1. s.22 contract through MSD identified through this review be cancelled.
2. That the IDIR accounts for external research contractors through universities be cancelled and that they be required to return any other government assets.
3. All contracts involving use of ministry data must have an approved Information Sharing Agreement attached.
4. All data access for projects identified in this review (led by PSD) be suspended and MoH will work with the applicants to confirm that the appropriate data use policy, provisions and practices are in place.
5. All future data access is granted for only a specific project or identified evaluation contract, not for open data usage.
6. Health Sector IM/IT Division (HSIMIT) streamline their processes for providing data access so that data clients do not circumvent data access procedures.
7. HSIMIT enhance the compliance and monitoring function for data access.
8. Implement policies to address consequences for any incidents non-compliance or inappropriate data access and consequences of such action should it ever occur.
9. That the Public Service Agency (PSA) conducts an investigation and review into the Standard of Conduct breaches as identified by this review.
10. PSD employees should all undertake retraining related to contract management practices and the Standards of Conduct for the BC Public Service.

Appendix 1 – Terms of Reference

1.0 Overview

This document outlines the objectives, scope, approach and deliverables associated with a review of procurement, grant awards and contracting, data access and related agreements and intellectual property practices in the Research and Evidence Development section of the Pharmaceutical Services Division, Ministry of Health. Once the review is complete, a final report will be produced that will include a summary of findings including current practices, policies and procedures and recommendations.

2.0 Background

The Office of the Auditor General contacted the ADM of Financial and Corporate Services, MOH to advise that an allegation report was received by their office concerning inappropriate procurement, contracting irregularities and research grant practices, in the Research and Evidence Development section of the Pharmaceutical Services Division, MOH. In addition concerns were also alleged regarding inappropriate data access arrangements, intellectual property infringement, and code of conduct conflicts with employee contractor relationships including preferential treatment. The MOH has decided to conduct a review of these allegations to ascertain current practices and to assess if government policy, procurement practices and codes of conduct are being followed.

3.0 Review Objectives:

The objectives of this review are to:

- Ensure Government's contracting, research grant practices, data access arrangements and approval processes are in place and being followed by the Research and Evidence Development section of the PSD, MOH
- Provide all findings and facts relating to allegations being reviewed.
- Identify opportunities to improve contract management, granting, research and data access practices in the Research and Evidence Development section of PSD, MOH

4.0 Scope

4.1 In Scope

- Current and historical contracting, research grant and data access practices of the Research and Evidence Development section of PSD, MOH
- Review of roles, responsibilities, and relationships of
- Data access and data sharing arrangements between employees, contractors and post-secondary research institutions focusing primarily on Research and Evidence Development section, PSD, MOH, University of Victoria and University of BC.

- Government's processes, policies and practices related to areas of review especially any legislative, corporate, core policy and requirements.

4.2 Out of Scope

- Matters pertaining to other business areas of PSD, MOH;
- Matters pertaining to the management of personnel.

5.0 Major Deliverables

A final report including:

- Summary of review and findings;
- Recommendations to address any concerns identified
- Review and identification of employee and contractor data access permissions, and audit trails to monitor such access;

6.0 Approach

The approach may include:

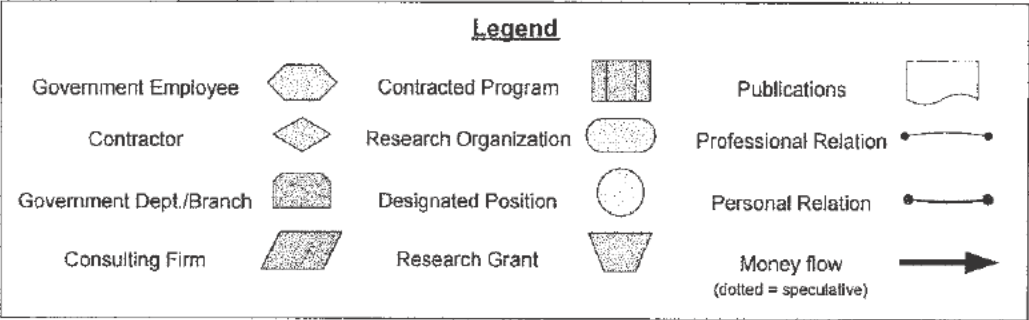
- a) Gathering documentary evidence;
- b) Surveying legislation, policies, practices, systems protocol;
- c) Meetings and interviews with involved parties and government officials;
- d) Meetings with universities participating in any research with program area
- e) Review of all contracts, grants and funding provided by the program;
- f) Review of all information sharing agreements, data access and intellectual property agreements;
- g) Review of employee/contractor relationships
- h) Ongoing liaison with affected parties once the review is complete and the report released.

7.0 Target Audiences / Participants

- ADM Pharmaceutical Services Division, MOH
- ADM Health Sector IM/IT CIO, MOH
- ADM Corporate and Financial Services, MOH.
- Employees and Contractors identified from the Research and Evidence Development section PSD, MOH
- Team members from the Corporate and Financial Services Division, MOH
- Staff in SPMIDS and Privacy and Legislation Health Sector IM/IT
- Forensics Investigation Unit, OCIO, Information Security Branch
- OAG and OCG
- Research Areas at UBC and UVIC working with this business area MOH

Appendix 2 – Relationship Web

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Appendix 4 – List of Acronyms

ADM Assistant/Associated Deputy Minister

IP Intellectual Property
ISA Information Service Agreement
MoH Ministry of Health
OAG Office of Auditor General
OCG Office of the Comptroller General

PSA Public Service Agency
PSD Pharmaceutical Services Division
RFP Request for Proposal

TUA Transfer under Agreement
UBC University of British Columbia
UVic University of Victoria

Foran, Grace E HLTH:EX

From: Whitmarsh, Graham HLTH:EX
Sent: Thursday, August 9, 2012 11:07 AM
To: Kislock, Lindsay M HLTH:EX; Sidhu, Manjit HLTH:EX; Samsonoff, Dale J HLTH:EX
Cc: Foran, Grace E HLTH:EX
Subject: RE: Internal Review Report - DRAFT - July 18 2012 v2 (GT Edits) (2).docx

I am going to arrange another meeting as I am concerned that this is bigger and uglier than I understood.

From: Kislock, Lindsay M HLTH:EX
Sent: Thursday, August 09, 2012 10:07 AM
To: Whitmarsh, Graham HLTH:EX; Sidhu, Manjit HLTH:EX; Samsonoff, Dale J HLTH:EX
Subject: RE: Internal Review Report - DRAFT - July 18 2012 v2 (GT Edits) (2).docx

s.22

LK

From: Whitmarsh, Graham HLTH:EX
Sent: Thursday, August 9, 2012 8:26 AM
To: Kislock, Lindsay M HLTH:EX; Sidhu, Manjit HLTH:EX; Samsonoff, Dale J HLTH:EX
Subject: RE: Internal Review Report - DRAFT - July 18 2012 v2 (GT Edits) (2).docx

Couple of quick questions;

who and what was reported, and was anything done?^{s.22}

When, to

s.22

From: Kislock, Lindsay M HLTH:EX
Sent: Wednesday, August 08, 2012 10:52 PM
To: Whitmarsh, Graham HLTH:EX
Subject: Fwd: Internal Review Report - DRAFT - July 18 2012 v2 (GT Edits) (2).docx

This is the most current copy of the review report. If you have any questions or concerns, please let me know.

LK

Begin forwarded message:

From: "Taylor, Wendy E LCTZ:EX" <Wendy.Taylor@gov.bc.ca>
Date: 8 August, 2012 9:42:08 PM PDT
To: "Kislock, Lindsay M HLTH:EX" <Lindsay.Kislock@gov.bc.ca>
Subject: FW: Internal Review Report - DRAFT - July 18 2012 v2 (GT Edits) (2).docx

Sorry for the delay could not get on network

From: Taylor, Wendy E LCTZ:EX
Sent: Fri, August 3, 2012 5:05 PM
To: Egan, Patrick OIPC:EX
Subject: Internal Review Report - DRAFT - July 18 2012 v2 (GT Edits) (2).docx

Hi Pat, here is the latest draft of the report as requested. Let me know if you need additional info.

Wendy

Foran, Grace E HLTH:EX

From: Whitmarsh, Graham HLTH:EX
Sent: Thursday, August 9, 2012 10:11 AM
To: Kislock, Lindsay M HLTH:EX; Sidhu, Manjit HLTH:EX; Samsonoff, Dale J HLTH:EX
Subject: RE: Internal Review Report - DRAFT - July 18 2012 v2 (GT Edits) (2).docx

s.22

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Date: 8 August, 2012 9:42:08 PM PDT
To: "Kislock, Lindsay M HLTH:EX" <Lindsay.Kislock@gov.bc.ca>
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Wendy

ADVICE TO MINISTER

CONFIDENTIAL ISSUES NOTE

Ministry: Health

Date: July 16, 2012; update August 31, 2012

Minister Responsible: Margaret MacDiarmid

Internal investigation - MoH

ADVICE AND RECOMMENDED RESPONSE:

Key Messages:

- The ministry acted immediately to investigate and respond to this matter. We take allegations of this nature very seriously.
- British Columbia has strong regulations and rules in place. When individuals work together to side-step these processes, it is more than disappointing – it will not be tolerated.
- We asked the RCMP to investigate after we found evidence of inappropriate conduct, contracting and data-management practices in the area of pharmaceutical services division drug research.
- I am personally disappointed something like this could happen. I am satisfied, however, that the ministry has acted with integrity to quickly and thoroughly to respond to this matter.
- We must ensure confidence in the public service is maintained - and that all civil servants execute their duties in a manner that meets the high standards of conduct expected of them.

Secondary Messages (If Asked)

- Government is currently reviewing a complaint in respect to s.22
s.22 within the Ministry of Health.
- We take all complaints seriously.
- While it would not be appropriate to divulge specific details about the ongoing review at this time, the Ministry can confirm at this time that the following interim actions have been taken:
 - s.22
 - Their access to Ministry-held data and government assets have been suspended;
 - All ministry work within contracts related to this matter have been suspended;
 - In addition – and out of an abundance of caution – any spending authority by this division will require ADM approval until our review is complete.
- The Ministry has also contacted and is working closely with the Public Service Agency; the Office of the Comptroller General; and the Office of the Information

and Privacy Commissioner.

- The Ministry has also contacted the RCMP about this matter.
- We are committed to being as open and transparent, as possible.
- Our goal is to ensure the review is concluded as quickly as possible, while also ensuring it is thorough, decisive and follows the appropriate process.
- We will take whatever further actions are necessary based on the findings of this review.
- We understand the public must have confidence in all public servants to execute their duties in an ethical manner that meets the high standards of conduct expected of all members of the public service.

BACKGROUND REGARDING THE ISSUE:

- The Office of the Auditor General contacted the Ministry of Health on March 28 2012 to advise someone had made an allegation about contracting irregularities and research grant practices in the research and evidence development program area of the pharmaceutical services division (PSD.)
- The allegations also included inappropriate data access, intellectual property infringement and possible violations of the public service standards of conduct.
- The ministry's financial and corporate services division interviewed staff and looked at the contracts involved in the complaint.
- As a result of the initial review, the Ministry decided a more formal review was warranted. In May 2012, the Ministry launched a formal review. A lead investigator from the Office of the Chief Information Officer, Ministry of Labour and Citizen Services and Open Government.
- The review included, but was not limited to:
 - Contracts and grants;
 - Academic publications;
 - Electronic communication between specific staff;
 - Expense reports, cell phone bill, and use of government assets;
 - Relationships with University of Victoria and the University of British Columbia

DISCUSSION/ADVICE:

- A first interim draft of the internal review report is now complete; however, the review is continuing.

s.22

- The ministry has also taken these actions:
 - On June 7 2012, data access was suspended for s.22 and s.22
 - On Aug. 1, data access was suspended for s.22 additional

ADVICE TO MINISTER

s.22

- Signing authority for invoices, expenses or contract approval was suspended for these people on June 7, as well.
- The ministry has met with the Office of the Comptroller General to advise it of findings.
- The ministry has informed the Office of the Information and Privacy Commissioner.
- Senior Ministry and Labour and Citizen's Services staff have met with UVic and UBC about the contracts in question.
- The ministry has suspended data access for all people involved in the PSD contracts under review, in government and at UVic and UBC.

Communications Contact: Cindy MacDougall 250 952-2158
Program Area Contact: Barbara Walman
File Created: July 16 2012
File Updated: August 31, 2012
File Location: Z:\Medstrat
2012\Operations\Announcements\Research\IN_UPDATE_DRAFT
_data access investigation_Aug 31 2012 revision.docx

Minister's Office	Program Area	Deputy	Media Manager
	Barbara Walman		Ryan Jabs

ADVICE TO MINISTER

<p>CONFIDENTIAL ISSUES NOTE</p> <p>Ministry: Health</p> <p>Date: July 16, 2012; update August 27, 2012</p> <p>Minister Responsible: Michael de Jong</p>	<p>Internal review and investigation of PSD staff</p>
--	--

ADVICE AND RECOMMENDED RESPONSE:

- Government is currently reviewing a complaint in respect ^{s.22} within the research and evidence development section of the Ministry of Health's pharmaceutical services division.
- We take all complaints seriously.
- While it would not be appropriate to divulge specific details about the ongoing review at this time, the Ministry can confirm at this time that the following interim actions have been taken:
 - ^{s.22} during the review;
 - Their access to Ministry-held data and government assets have been suspended, during the review;
 - All work within contracts related to this matter have been suspended;
 - In addition – and out of an abundance of caution – any spending authority by this division will require ADM approval until our review is complete.
- The Ministry has also contacted and is working closely with the Public Service Agency; the Office of the Comptroller; and the Office of the Information and Privacy Commissioner.
- The Ministry has also contacted the RCMP about this matter.
- We are committed to being as open and transparent, as possible.
- Our goal is to ensure the review is concluded as quickly as possible, while also ensuring it is thorough, decisive and follows the appropriate process.
- We will take whatever further actions are necessary based on the findings of this review.
- We understand the public must have confidence in all public servants to execute their duties in an ethical manner that meets the high standards of conduct expected of all members of the public service.

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 - Academic publications;
 - Electronic communication between specific staff;
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 - Senior Ministry staff have met with UVic and UBC about the contracts in question.
 - The ministry has suspended data access for all people involved in the PSD contracts under review, in government and at UVic and UBC.

Communications Contact: Cindy MacDougall 250 952-2158
Program Area Contact: Barbara Walman
File Created: July 16 2012
File Updated:
File Location: G:\PABGroups\Medstrat 2012\Operations\Issues
Notes\PharmaCare\IN_data access investigation_july 16
2012_FINAL.docx

Minister's Office	Program Area	Deputy	Media Manager
	Barbara Walman		Ryan Jabs

ADVICE TO MINISTER

Internal Review

Ministry of Health, Pharmaceutical Services Division, Research and Evidence
Development

July 6, 2012
Draft V1



BRITISH
COLUMBIA

The Best Place on Earth

The Internal Review

The Office of the Auditor General contacted the Assistant Deputy Minister (ADM) of Financial and Corporate Services, Ministry of Health (MOH) on March 28, 2012 to advise that an allegation report was received by their office concerning inappropriate procurement, contracting irregularities and research grant practices, in the Research and Evidence Development section of the Pharmaceutical Services Division (PSD), MOH.

In addition concerns were also alleged regarding inappropriate data access arrangements, intellectual property infringement, and code of conduct conflicts with employee contractor relationships including preferential treatment. MOH conducted some preliminary investigations and decided to conduct a formal review of these allegations to ascertain current practices and to assess if government policy, procurement practices and codes of conduct are being followed.

Purpose:

The purpose of this review was to:

- Ensure Government's contracting, research grant practices, data access arrangements and approval processes are in place and being followed by the Research and Evidence Development section of the PSD, MOH;
- Provide all findings and facts relating to allegations being reviewed; and
- Identify opportunities to improve government and ministries information contracting, granting, research and data access practices in the Research and Evidence Development section of PSD, MOH.

Actions Taken:

The following has occurred to date as part of the review process:

- Review of all contracts and grants
- Review of all cell bills, expense reports and government assets
- Review of academic publications related to parties
- Review of electronic communication between parties. This was a key source of information as it included a forensic examination of email communication between the parties involved in the area under review..

- Analysis of project documents and other related information provided by interviewees
- Review of human resource information
- Review of data access processes related to relevant contracts and projects

To date, interviews were also conducted with the following employee and contractor interviews in person and via telephone:

s.22

The University of British Columbia and University of Victoria have also been advised of the review related to contracts

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Meetings have also been held with:

- Bill Ehmann, John Tuck, Norm MacPhee, and Andrew Mickelson, Legal Counsel, Legal Services Branch, Ministry of Attorney General.
- Sara Brownlee, Labour Relations, Public Service Agency
- Dan Peck, Stacy Johnson and Gordon Wong, Office of the Comptroller General.

The following is a list of key findings and recommendations to date as a result of the reviews.

The Findings and Recommendations

Contracts and Grants

Findings

Issues have been identified on how contracts are arranged, awarded and subcontracted in the PSD Research and Evidence Development and Drug Use Optimization Branches.

Recommendations

1. That the Office of the Comptroller General, Audit and Compliance Branch assume responsibility for investigating the contract practices from this review and concerns identified related to conflict of interest allegations. ✓
2. That any further follow up with the University of British Columbia and University of Victoria be made through the OCG office. ✓
3. ✓

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s.22

4. That the IDIR account for s.22 be cancelled and a request be made for s.22 to return any other government assets. ✓
5. All PSD Executive Directors and Directors responsible for contracting attend the Ministry contracting presentation.
6. All PSD Executive Directors and Directors responsible for contracting re-take the Expense Authority course.

ADM 2012

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noted

7. All Stob 80 contracts should be ~~circumvented~~ through Accounting Operations/Contract Management using the same process as Stob 60 contracts.
8. Finance and Decision Support staff be directed to not prepare contracts for the program areas.
9. For any contract requiring data, the contract should be signed before requesting the ISA. The contract should have a new clause that states the ISA must be approved before work can begin on the contract and a signed agreement be an appendix to the contract itself.
10. Remove expense authority from any employees that have signed a contract without going through the proper processes.

Data Access and Use

Findings

Processes for data access not always followed and lack of documentation for projects.

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Lack of capacity to conduct ongoing and meaningful monitoring and compliance

Recommendations

1. All data access for projects identified in this review led by PSD be revoked and applicants will have to undergo a re-application process with appropriate policy, provisions and practices are in place. ✓
2. All future data accesses be granted only for project specific/evaluation contracts not for open unidentified data usage. ✓

auditing of health data usage across various roles in the databases.

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Lack of project specific information in contracts is enabling open use of data for projects without appropriate specific guidelines or monitoring in place.

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4. IKMS, Health IMIT needs to develop a robust compliance and monitoring function for data accesses.

5. Provide clear guidance on proper data access processes and sufficient resources for a client-centric, streamlined data access provision model so that data clients do not see the need to try and circumvent current data access procedures.

6. In addition, ensure policies are in place to address the potential related to non-compliance and inappropriate data access and consequences of such action.

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Standards of Conduct

Findings

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Recommendations

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1. That the Public Service Agency (PSA) conduct an investigation and review into the Standard of Conduct

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s.22 The PSA should also review other Standard of Conduct concerns relating to other employees identified through the review.

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2. That PSA review the hiring practices related to the s.22 position and researcher recruitment and postings.

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6. PSD program area should review their records to determine who has an internet stick and how is it being used. The Ministry should not be paying for sticks that are not used.

Appropriate
use
of
govt

7. Program areas should review the phone bills over the past years and recover those amounts deemed personal for the employees identified in the review and others.

8. Establish and disseminate strict policies and clear guidance for Ministry employees participating in research projects/studies and employment outside the workplace to address both actual or perceived conflicts of interest.

Review
and
enforce
govt
Code of
Conduct

9. PSD employees should be provided training around conflict of interest, and appropriate use of government

s.22

Intellectual Property	
Findings	<p>Recommendations</p> <p>The distribution of IP rights should not be granted by MoH without approval and review from the Intellectual Property Program, Knowledge and Information Services, Office of the CIO to ensure all requirements are met in terms of legislation such as the Copyright Act, Procurement Services Act and Financial Administration Act.</p> <p>BC government contractors should not be granted intellectual property rights in contracts permitting them to publish their findings independent of the ministry. Researchers, regardless of funding source, that wish to publish independently must submit a DAR form and follow the standard researcher data access procedure.</p>

Table of Contents

<i>Executive Summary</i>	1
<i>The Internal Review</i>	1
<i>The Findings and Recommendations</i>	3
<i>Table of Contents</i>	8
<i>Internal Review</i>	9
1.0 Introduction.....	9
2.0 Background, Purpose and Approach.....	9
2.2. Purpose.....	9
2.3 Approach.....	10
3.0 The Review	11
3.1 Contracts and Grants	12
3.2 Cell Phone Charges	
3.3 Expenses and Purchasing Cards	
3.4 Other government assets assigned	
3.5 Human Resources and Standards of Conduct.....	18
4.0 Findings & Recommendations	20
<i>Appendices</i>	20
Appendix 1 – Terms of Reference	21
Appendix 2 –Detailed summary of contracts and data access	22
Appendix 3 - Data Access summary.....	24
Appendix 4 – Email Summary.....	37
Appendix 5 – Relationship Web.....	59
Appendix 6 – Glossary of Terms	60
Appendix 7 – List of Acronyms	63

3.0 The Review

The following summary provides an overview of the progress and findings to date from the review of procurement practices, grant awards and contracting, data access and related agreements and intellectual property in the Research and Evidence Development section of the Pharmaceutical Services Division, Ministry of Health. A relationship diagram and glossary have been included in the appendix to assist with understanding the relationship between parties and contracts they are involved in.

3.1 Contracts and Grants:

The Ministry of Health currently has two processes in place for contracts. All contracts for goods and services provided to the Ministry are considered Stob 60 or 61 contracts. Contracts that are developed between the Ministry and another party for services to be provided outside of the Ministry are considered Transfer Under Agreements (TUA), Stob 80.

All contracts that are Stob 60 and 61 have a review process that includes a number of sign off points including Accounting Operations – Contract Management. Currently any contracts that are Stob 80 do not have the same review process; they are not reviewed by Contract Management.

During the investigation a number of TUA's and Stob 60 contracts were reviewed for Pharmaceutical Division (PSD) and Medical Services Division (MSD). The starting point was to review contracts that may be related to the complaint made to the Auditor General. The number of contracts reviewed expanded as interviews progressed, more information was provided and further details were ascertained through the electronic email review. Any contracts within PSD that were for research or included

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s.22

Almost all contracts reviewed did fit within core policy.

- Contract direct awarded were done so appropriately in terms of policy, including contracts to the universities or health authorities.
-

s.22

s.22

As the review continued it became apparent that there was a potential for the contracts issued to later be subcontracted. Contract requirements were to advise government if this occurred and this does not appear to be the case in most circumstances. An example is the contract for

s.22

s.22

s.22

s.22

3.2 Cell Phone Charges and Data Plans:

A review has been completed regarding cell phone charges for the following employees in the Pharmaceuticals Division:

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Employee	# of bills reviewed	# of bills within the plan	# of bills \$.01 - \$100 above plan	# of bills \$100 - \$200 above plan	# of bills \$200 - \$300 above plan	# of bills \$over \$300 above plan
s.22	29	0	15	8	4	2
	13	7	6	0	0	0

The average amounts for s.22 were very small, usually within \$1.

The cell phone expenditures for s.22 were all very high. Of the 29 bills reviewed the total amount over the plan amount before tax was \$3,249.61. There are still many outstanding bills to be reviewed. There are often calls to and from other provinces and the United States, but there was no corresponding travel found.

Any employee physically located at 1515 Blanshard, should not be using their the cell phone when a land line is available.

A further sampling was taken for s.22
s.22 The following table shows the findings.

Employee	# of bills reviewed	# of bills within the plan	# of bills \$.01 - \$100 above plan	# of bills \$100 - \$200 above plan	# of bills \$200 - \$300 above plan	# of bills \$over \$300 above plan
s.22	8		5	2	1	
	N/A					
	2				1	1
	7		7			

s.22 does not appear to have a cell phone.

s.22 is significantly over the plan with most bills in excess of \$90 over the plan due too long distance calls to other provinces and in some cases to the United States.

We reviewed only two cell phone bills for s.22 and both were substantially over the plan amount. The calls are made throughout the day.

The review of s.22 cell usage shows each bill reviewed was over the plan amount by less than \$10. s.22 and it would be expected that there would be long distance calls.

To date there has been only one payment made back to the Ministry for personal use of cell phones. The one payment of \$362.87 came from s.22 the day after notification of interview.

During our interview it was clearly stated that the individuals do not review their cell phone bills, rather the bills are transferred directly to the person making payment by purchase card.

3.3 Expenses and Purchasing Cards:

A review of the incidental expenses for the following employees was conducted:

s.22

The travel for s.22

s.22 No additional expenses were found.

There was no travel noted for s.22 or any additional expenses.

There was extensive travel for s.22
s.22 No additional expenses were found.

s.22 had some travel for meeting and training which was authorized and within the position mandate.

3.4 Other Government Assets assigned:

It appears that s.22
s.22 all have internet sticks for laptop use outside of the Ministry location. The cost of this is \$41.36 per month. When we interviewed s.22 was not even aware s.22 had an internet stick. It would appear that neither s.22
s.22 access data with the internet stick, yet the bills are paid on a monthly basis.

s.22

s.22 also access the internet stick each month. s.22 does not travel and if s.22 is working from s.22 base in the Ministry there would be no requirement for an internet stick to be used.

It is recommended that the Ministry program areas review their records to determine who has an internet stick and how is it being used. The Ministry should not be paying for sticks that are not used.

3.5 Human Resources and Standards of Conduct

The following is a brief overview of some of the key human resources and standards of conduct issues identified in this review for s.22 based on interviews, electronic email review and documents for s.22

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Government Employees

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4.0 Findings & Recommendations

The Findings and Recommendations

Contracts and Grants

Findings

Issues have been identified on how contracts are arranged, awarded and subcontracted in the PSD Research and Evidence Development and Drug Use Optimization Branches.

Recommendations

11. That the Office of the Comptroller General, Audit and Compliance Branch assume responsibility for investigating the contract practices from this review and concerns identified related to conflict of interest allegations.

12. That any further follow up with the University of British Columbia and the University of Victoria be made through the OCG office.

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14. That the IDIR account for s.22 be cancelled and a reimbursement be made for s.22 to return any government assets.

15. All PSD Executive Directors and Directors responsible for contracting attend the Ministry contracting presentation.

16. All PSD Executive Directors and Directors responsible for contracting re-take the Expense Authority course.

s.22

17. All Stob 80 contracts should be circumvented through Accounting Operations/Contract Management using the same process as Stob 60 contracts.

18. Finance and Decision Support staff be directed to not prepare contracts for the program areas.

19. For any contract requiring data, the contract should be signed before requesting the ISA. The contract should have a new clause that states the ISA must be approved before work can begin on the contract and a signed agreement be an appendix to the contract itself.

20. Remove expense authority from any employees that have signed a contract without going through the proper processes.

Data Access and Use

Findings

Processes for data access not always followed and lack of documentation for projects.

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Recommendations

7. All data access for projects identified in this review led by PSD be revoked and applicants will have to undergo a re-application process with appropriate policy, provisions and practices are in place.

8. All future data accesses be granted only for project specific/evaluation contracts not for open unidentified data usage.

Lack of capacity to conduct ongoing and

meaningful monitoring and compliance auditing of health data usage across various roles in the databases.	9.	s.22
s.22	10. IKMS, Health IMIT needs to develop a robust compliance and monitoring function for data accesses.	
Lack of project specific information in contracts is enabling open use of data for projects without appropriate specific guidelines or monitoring in place.	11. Provide clear guidance on proper data access processes and sufficient resources for a client-centric, streamlined data access provision model so that data clients do not see the need to try and circumvent current data access procedures.	
	12. In addition, ensure policies are in place to address the potential related to non-compliance and inappropriate data access and consequences of such action.	

Standards of Conduct

Findings	Recommendations
	10. That the Public Service Agency (PSA) conduct an investigation and review into the Standard of Conduct
	s.22
s.22	s.22 The PSA should also review other Standard of Conduct concerns relating to other employees identified through the review.
	11. That PSA review the hiring practices related to the s.22 position and researcher recruitment and postings.
	12.
	s.22

13

s.22

14

s.22

15. PSD program area should review their records to determine who has an internet stick and how is it being used. The Ministry should not be paying for sticks that are not used.

16. Program areas should review the phone bills over the past years and recover those amounts deemed personal for the employees identified in the review and others.

17. Establish and disseminate strict policies and clear guidance for Ministry employees participating in research projects/studies and employment outside the workplace to address both actual or perceived conflicts of interest.

18. PSD employees should be provided training around conflict of interest, and appropriate use of government

<p>s.22</p>	<p>assets.</p>
<p>Intellectual Property</p>	
<p>Findings</p> <p>s.22</p>	<p>Recommendations</p> <p>The distribution of IP rights should not be granted by MoH without approval and review from the Intellectual Property Program, Knowledge and Information Services, Office of the CIO to ensure all requirements are met in terms of legislation such as the Copyright Act, Procurement Services Act and Financial Administration Act.</p> <p>BC government contractors should not be granted intellectual property rights in contracts permitting them to publish their findings independent of the ministry. Researchers, regardless of funding source, that wish to publish independently must submit a DAR form and follow the standard researcher data access procedure.</p>

Appendix 1 – Terms of Reference

Review
Involving the Ministry of Health
Pharmaceuticals Services Division
Research and Evidence Development Section

Terms of Reference

Author: Wendy Taylor

Creation Date: May 29, 2012

Last Updated:

Document Number:

Version: V 2.0

Approvals:

TOR Sponsors

Barbara Walman

*Assistant Deputy Minister,
Ministry of Health*

Signature

Date

Lindsay Kislock

*Assistant Deputy Minister and
Chief Information Officer*

Ministry of Health

Signature

Date

Manjit Sidhu

Assistant Deputy Minister

*Corporate and Financial
Services*

Signature

Date

Table of Contents

Table of Contents	28
Reviews and Document Control	29
1.0 Overview	30
2.0 Background.....	11
3.0 Review Objectives:.....	30
4.0 Scope.....	30
4.1 In Scope	30
4.2 Out of Scope	31
5.0 Major Deliverables	31
6.0 Approach.....	31
7.0 Target Audiences / Participants	32
8.0 Milestones and Timeline	33

Reviews and Document Control

Reviews

This document has been sent to the following for their review and comment.

Name	Position
Barbara Walman	Assistant Deputy Ministry, Pharmaceutical Services Division, Ministry of Health
Lindsay Kislock	Assistant Deputy Minister, CIO Health Sector IM/IT, Ministry of Health
Manjit Sidhu	Assistant Deputy Minister Financial and Corporate Services Ministry of Health

Document Control

Date	Author	Version	Change Reference
31/05/2012	wt	2	Final edits completed on draft v1

1.0 Overview

This document outlines the objectives, scope, approach and deliverables associated with a review of procurement, grant awards and contracting, data access and related agreements and intellectual property practices in the Research and Evidence Development section of the Pharmaceutical Services Division (PSD), Ministry of Health. Once the review is complete, a final report will be produced that will include a summary of findings including current practices, policies and procedures and recommendations.

2.0 Background

The Office of the Auditor General contacted the ADM of Financial and Corporate Services, MOH on March 28, 2012 to advise that an allegation report was received by their office concerning inappropriate procurement, contracting irregularities and research grant practices, in the Research and Evidence Development section of the Pharmaceutical Services Division, MOH. In addition concerns were also alleged regarding inappropriate data access arrangements, intellectual property infringement, and code of conduct conflicts with employee contractor relationships including preferential treatment. MOH has conducted some preliminary investigations and has decided to conduct a formal review of these allegations to ascertain current practices and to assess if government policy, procurement practices and codes of conduct are being followed.

3.0 Review Objectives:

The objectives of this review are to:

- Ensure Government's contracting, research grant practices, data access arrangements and approval processes are in place and being followed by the Research and Evidence Development section of the PSD, MOH
- Provide all findings and facts relating to allegations being reviewed.
- Identify opportunities to improve government and ministries information contracting, granting, research and data access practices in the Research and Evidence Development section of PSD, MOH

4.0 Scope

4.1 In Scope

- Current and historical contracting, research grant and data access practices of the Research and Evidence Development section of PSD, MOH
- Review of roles, responsibilities, and relationships of s.22
- Data access and data sharing arrangements between employees, contractors and post-secondary research institutions focusing primarily on Research and Evidence Development section, PSD, MOH, University of Victoria and University of BC.

- Government's processes, policies and practices related to areas of review especially any legislative, corporate, core policy and requirements.

4.2 Out of Scope

- Matters pertaining to other business areas of PSD, MOH;
- Matters pertaining to the management of personnel.

5.0 Major Deliverables

A final report including:

- Summary of review and findings;
- A summary of related legislation, corporate, core policy, and privacy policy requirements as applicable as it relates to areas in the review;
- Recommendations to address any concerns identified
- Review of relevant government information systems relating to this review including identification of employee and contractor data access permissions, and audit trails to monitor such access;
- Review and recommended changes in process, policy, systems, protocols, training and practices, if necessary, to reduce the possibility of any such related concerns in the future; and
- Proposals for short term solutions if required and long term remedial approaches to address the implications of any issues identified by this review.
- Final report will be presented to MOH Executive leads and shared with OCG and OAG.

6.0 Approach

The approach may include:

- a) Gathering documentary evidence;
- b) Surveying legislation, policies, practices, systems protocol;
- c) Meetings and interviews with involved parties and government officials;
- d) Meetings with universities participating in any research with identified program area
- e) Review of all contracts, grants and funding provided by the program;
- f) Review of all information sharing agreements, data access and intellectual property agreements;
- g) Review of employee/contractor relationships
- h) Ongoing liaison with affected parties once the review is complete and the report released.

7.0 Project Team:

Wendy Taylor, Team Lead – OCIO, LCTZ

Ted Boomer- Financial and Corporate Services, MOH

Laine Coopsie, Financial and Corporate Services, MOH

Representative from Forensics Investigations Unit, OCIO , LCTZ - as required

Representative from PSA Investigations Unit -- as required

7.1 Target Audiences / Participants

ADM Pharmaceutical Services Division, MOH

ADM Health Sector IM/IT CIO, MOH

ADM Corporate and Financial Services, MOH.

Employees and Contractors identified from the Research and Evidence Development section
PSD, MOH

Team members from the Corporate and Financial Services Division, MOH

Staff in SPMIDS and Privacy and Legislation Health Sector IM/IT

Forensics Investigation Unit, OCIO, Information Security Branch

Research Areas at UBC and UVIC working with this business area MOH ?

8.0 Milestones and Timeline

<i>Milestone</i>	<i>Start Date</i>	<i>Target Date</i>
Gathering documentary evidence and survey of legislation, policies and practice	May 31, 2012	June 10, 2012
Meetings or interviews completed	June 4, 2012	June 22, 2012
Draft report completed	June 22, 2012	June 26 2012
Draft report circulated to Executive sponsor, B. Walman, L. Kislock and M. Sidhu and feedback received	June 26 2012	June 30, 2012
Report finalized		June 30, 2012

Internal Review

**Ministry of Health, Pharmaceutical Services Division,
Research and Evidence Development**

August 16, 2012

Draft V3

Draft

Page | 1 – Internal Review

Ministry of Health, Pharmaceutical Services Division, Research and Evidence Development

Draft v2 – Confidential

July, 2012

1.0 Introduction

Background

The Office of the Auditor General (OAG) contacted the Assistant Deputy Minister (ADM) of Financial and Corporate Services, Ministry of Health (MoH) on March 28, 2012 to advise that an allegation had been received by their office concerning inappropriate procurement, contracting irregularities and research grant practices in the Research and Evidence Development section of the Pharmaceutical Services Division (PSD), MoH.

Additional concerns were also alleged regarding inappropriate data access arrangements, intellectual property infringement, and code of conduct conflicts with employee contractor relationships including preferential treatment. At that time MoH undertook a preliminary review. As a result of the preliminary review, MoH determined that further investigation was warranted and decided to undertake a more detailed review of the allegations. A team comprised of representatives from the government Chief Information Office, and the Financial Services Division, MoH was tasked with this assignment. The review was conducted to ascertain current practices and to assess if government policy, procurement practices and codes of conduct were being followed.

1.2 Purpose

The purpose of this review was:

- To provide findings related to allegations,
- To determine if Government's contracting and research grant practices, standards of conduct, data access arrangements and approval processes are being followed by the Research and Evidence Development section of the PSD, MoH; and
- To identify opportunities and make recommendations to improve contracting, granting, and data access practices in the Research and Evidence Development section of PSD, MoH.

Contained herein are the key findings of the internal review and preliminary recommendations.

2.3 Approach

The actions taken as part of the review process as outlined in the terms of reference included as Appendix 1 are as follows:

- Review of all PSD STOB 60 and 80 contracts and grants,
- Review of all cell phone bills, expense reports and government assets of related parties,
- Review of academic publications related to parties,
- Review of electronic communication between parties,
- Analysis of project-related documents and information provided by interviewees,
- Review of relevant human resource information, and
- Review of data access processes and documentation related to relevant contracts and projects.

To inform the review, interviews were held in person or via telephone with the following MoH employees and contractor:

s.22

The University of British Columbia and University of Victoria have also been advised of the review related to contracts involving:

s.22

Meetings have also been held with:

- Bill Ehmann, John Tuck, Norm MacPhee, and Andrew Mickelson, Counsel, Legal Services Branch, Ministry of Justice ,
- Sara Brownlee and Sarah Campbell, Labour Relations, Public Service Agency (PSA), and
- Dan Peck, Stacy Johnson and Gordon Wong, Office of the Comptroller General (OCG).

Attached as Appendix 2 is a relationship diagram of all parties and organizations included in this review.

Draft

2.0 Key Findings

The following is a summary of findings based on the review of procurement practices, grant awards and contracting, data access and related agreements and intellectual property in the Research and Evidence Development section of the Pharmaceutical Services Division, Ministry of Health as outlined in the approach section.

Appendix 2 refers to certain contract and data/information sharing documents and also includes a series of chronologically ordered email summaries that provide support (or evidence) of the allegations in the key findings of this review.

Appendix 3 and 4 provide a glossary of terms and acronyms related to this review.

2.1 Contract Management and Grants

The following Issues have been identified regarding the arranging, awarding and subcontracting of contracts in the PSD Research and Evidence Development:

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2.2 Data Access and Use

The following findings were identified relating to the use and access to data:

*Page | 4 – Internal Review
Ministry of Health, Pharmaceutical Services Division, Research and Evidence Development
Draft v2 – July 2012: Confidential*

- Processes for data access are not always followed and there is a lack of documentation for projects.

s.22

- Lack of project specific information in contracts is enabling open use of data for projects without appropriate specific guidelines or monitoring in place.

2.3 Standards of Conduct

The following issues relating to breaches of the Standards of Conduct for the BC Public Service by

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s.22

3.0 Preliminary Recommendations

1. s.22 contract through MSD identified through this review be cancelled.
2. That the IDIR accounts for external research contractors through universities be cancelled and that they be required to return any other government assets.
3. All contracts involving use of ministry data must have an approved Information Sharing Agreement attached.
4. All data access for projects identified in this review (led by PSD) be suspended and MoH will work with the applicants to confirm that the appropriate data use policy, provisions and practices are in place.
5. All future data access is granted for only a specific project or identified evaluation contract, not for open data usage.
6. Health Sector IM/IT Division (HSIMIT) streamline their processes for providing data access so that data clients do not circumvent data access procedures.
7. HSIMIT enhance the compliance and monitoring function for data access.
8. Implement policies to address consequences for any incidents non-compliance or inappropriate data access and consequences of such action should it ever occur.
9. That the Public Service Agency (PSA) conducts an investigation and review into the Standard of Conduct breaches as identified by this review.

10. PSD employees should all undertake retraining related to contract management practices and the Standards of Conduct for the BC Public Service.

Appendix 1 – Terms of Reference

1.0 Overview

This document outlines the objectives, scope, approach and deliverables associated with a review of procurement, grant awards and contracting, data access and related agreements and intellectual property practices in the Research and Evidence Development section of the Pharmaceutical Services Division, Ministry of Health. Once the review is complete, a final report will be produced that will include a summary of findings including current practices, policies and procedures and recommendations.

2.0 Background

The Office of the Auditor General contacted the ADM of Financial and Corporate Services, MOH to advise that an allegation report was received by their office concerning inappropriate procurement, contracting irregularities and research grant practices, in the Research and Evidence Development section of the Pharmaceutical Services Division, MOH. In addition concerns were also alleged regarding inappropriate data access arrangements, intellectual property infringement, and code of conduct conflicts with employee contractor relationships including preferential treatment. The MOH has decided to conduct a review of these allegations to ascertain current practices and to assess if government policy, procurement practices and codes of conduct are being followed.

3.0 Review Objectives:

The objectives of this review are to:

- Ensure Government's contracting, research grant practices, data access arrangements and approval processes are in place and being followed by the Research and Evidence Development section of the PSD, MOH
- Provide all findings and facts relating to allegations being reviewed.
- Identify opportunities to improve contract management, granting, research and data access practices in the Research and Evidence Development section of PSD, MOH

4.0 Scope

4.1 In Scope

- Current and historical contracting, research grant and data access practices of the Research and Evidence Development section of PSD, MOH
- Review of roles, responsibilities, and relationships of

s.22

s.22

- Data access and data sharing arrangements between employees, contractors and post-secondary research institutions focusing primarily on Research and Evidence Development section, PSD, MOH, University of Victoria and University of BC.
- Government's processes, policies and practices related to areas of review especially any legislative, corporate, core policy and requirements.

4.2 Out of Scope

- Matters pertaining to other business areas of PSD, MOH;
- Matters pertaining to the management of personnel.

5.0 Major Deliverables

A final report including:

- Summary of review and findings;
- Recommendations to address any concerns identified
- Review and identification of employee and contractor data access permissions, and audit trails to monitor such access;

6.0 Approach

The approach may include:

- a) Gathering documentary evidence;
- b) Surveying legislation, policies, practices, systems protocol;
- c) Meetings and interviews with involved parties and government officials;
- d) Meetings with universities participating in any research with program area
- e) Review of all contracts, grants and funding provided by the program;
- f) Review of all information sharing agreements, data access and intellectual property agreements;
- g) Review of employee/contractor relationships
- h) Ongoing liaison with affected parties once the review is complete and the report released.

7.0 Target Audiences / Participants

- ADM Pharmaceutical Services Division, MOH
- ADM Health Sector IM/IT CIO, MOH
- ADM Corporate and Financial Services, MOH.
- Employees and Contractors identified from the Research and Evidence Development section PSD, MOH
- Team members from the Corporate and Financial Services Division, MOH

- Staff in SPMIDS and Privacy and Legislation Health Sector IM/IT
- Forensics Investigation Unit, OCIO, Information Security Branch
- OAG and OCG
- Research Areas at UBC and UVIC working with this business area MOH

Appendix 2 – Support for Key Findings

The following refers to certain contract and data/information sharing documents and also includes a series of chronologically ordered email summaries that provide support (or evidence) of the allegations in the key findings of this review. Please note: discussions in emails about events (such as inappropriate data access) do not necessarily constitute as evidence that the event occurred; only that it was discussed in emails. These email summaries are intended to inform further investigations.

Contract Management and Grants

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Pages 213 through 216 redacted for the following reasons:

s.22

Data Access and Use

s.22

Pages 218 through 224 redacted for the following reasons:

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C) Standards of Conduct

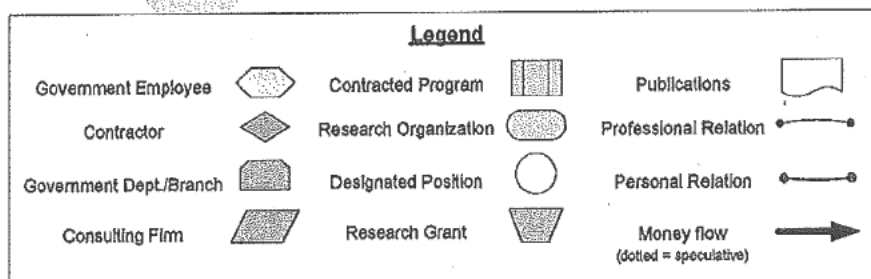
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Pages 226 through 240 redacted for the following reasons:

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Appendix 3 – Relationship Web

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Appendix 4 – List of Acronyms

s.22

ADM Assistant/Associated Deputy Minister

s.22

DARS Data Access, Research and Stewardship

s.22

IP Intellectual Property

ISA Information Service Agreement

MoH Ministry of Health

OAG Office of Auditor General

OCG Office of the Comptroller General

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PSA Public Service Agency

PSD Pharmaceutical Services Division

RFP Request for Proposal

SPIMDS Strategic Policy, Information Management and Data Stewardship

s.22

TUA Transfer under Agreement

UBC University of British Columbia

UVic University of Victoria

Kislock, Lindsay M HLTH:EX

From: Somner, Kurstie HLTH:EX
Sent: September-27-13 2:53 PM
To: Brown, Stephen R HLTH:EX; McKnight, Elaine L HLTH:EX
Cc: Kislock, Lindsay M HLTH:EX
Subject: Report
Attachments: 2012-0601 Investigation Report - DRAFT.docx

Good afternoon,

Further to your discussion with Lindsay please find attached the initial draft of the Internal Review Report for your meeting on Tuesday. Lindsay advises that she will be refining it further over the weekend.

Thank you,
Kurstie

Kurstie Somner | Manager, Divisional Operations | Health Sector IM/IT | Ministry of Health | P: 250.952.2162 | Cell: 250.217.7496 |
Kurstie.Somner@gov.bc.ca

Internal Review

**Ministry of Health, Pharmaceutical Services Division,
Research and Evidence Development**

September 26, 2013

Initial Draft - Confidential for Discussion October 1st

Insert letter from DM here

Contents

Executive Summary.....	3
Introduction.....	4
Background.....	4
Project Team.....	4
Key Work Elements.....	4
Legislative and Policy Context.....	5
Chronology of Events.....	5
Summary of Key Findings and Facts.....	6
Contract Management and Grants.....	6
Data Access and Use.....	7
Standards of Conduct.....	8
Subsequent Actions Taken.....	8
Recommendations.....	9
Ministry:.....	10
Universities:.....	11
Contractors:.....	12
Researchers:.....	12
Appendix 1 – Legislation and Policy Violations.....	14
Public Service Act.....	14
Freedom of Information and Protection of Privacy Act.....	14
Pharmacy Operations and Drug Scheduling Act.....	15
Standards of Conduct.....	15
Core Policy and Procedure Manual:.....	17
Chapter 12 - Information Management and Information Technology Management Policy.....	17
Information Security Policy.....	17
Agreement Concerning the Collection and Sharing of Information from the Canadian Community Health Survey Between Statistics Canada and the British Columbia Ministry of Health.....	20
Appendix 2 – Investigation Timeline.....	21

Executive Summary

The Office of the Auditor General (OAG) received allegations late March 2012 regarding: (1) inappropriate data access arrangements and intellectual property infringements, (2) irregular procurement, contracting and research grant practices, and (3) Standards of Conduct Policy conflicts and preferential treatment in employee-contractor relations in the Pharmaceutical Services Division (PSD).

An internal investigation was launched into these allegations. A team of representatives from the government Chief Information Office, the Public Service Agency (PSA), and the Ministry of Health's Financial Services Division and Health Sector Information Management and Technology Division were tasked with conducting this investigation. The investigative activities included, but were not limited to:

- Review of electronic communications of relevant parties,
- Review of related project documents,
- Interviews with relevant parties,
- Assessment of identified individuals' data access, use and disclosure and related agreements,
- Review of identified individuals' data sharing and disclosure activities,
- Review of procurement practices, grant awards and contracting,
- Assessment of intellectual property rights for employees and contractors identified through the course of this investigation.

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In the fall of 2012, the Office of the Comptroller General (OCG) and the Royal Canadian Mounted Police (RCMP) were contacted and informed of the initial findings of the review. The OCG has since launched a parallel investigation, the outcome of which is still pending. The RCMP is awaiting the outcomes of this and the OCG's investigation to commence any formal investigation.

The key findings of this investigation led to a number of lessons learned on what needs to be accomplished to improve the policies and processes for employee, researcher and contractor data access to improve data security and privacy protections, as well as, recommendations to further develop protocols for the contracts and grants awarded by the Ministry. The recommendations found herein strive to supplement the recommendations to improve the Ministry's data security and privacy protections already provided in the reports issued in June 2013 by Office of the Information and Privacy Commissioner for British Columbia and the consulting firm Deloitte.

Introduction

Background

The Office of the Auditor General (OAG) contacted the Assistant Deputy Minister (ADM) of Financial and Corporate Services, Ministry of Health (hereafter referred to as "the Ministry") on March 28, 2012 to advise that an allegation had been received by their office concerning inappropriate procurement, contracting irregularities and research grant practices in the Research and Evidence Development section of the Ministry's Pharmaceutical Services Division (PSD).

Additional concerns were also alleged regarding inappropriate data access arrangements, intellectual property infringement, and code of conduct conflicts with employee contractor relationships including preferential treatment. At that time Ministry undertook a preliminary review. As a result of the preliminary review, Ministry determined that further investigation was warranted and decided to undertake a more detailed review of the allegations.

Project Team

A team of representatives from the government Chief Information Office, the Public Service Agency (PSA), and the Ministry of Health's Financial Services Division and Health Sector Information Management and Technology Division were tasked with conducting this investigation.

Key Work Elements

The purpose of this review was:

- To provide findings related to allegations;
- To determine if Government's contracting and research grant practices, standards of conduct, data access arrangements and approval processes are being followed by the identified staff and contractors; and
- To identify opportunities and make recommendations to improve contracting, granting, and data access practices across the Ministry.

The investigation was had two phases – Phase I focused on the activities of ministry employees and the efforts to support the resulting litigation and arbitration; Phase II focused on the activities of contractors utilizing ministry data. The investigative activities included, but were not limited to:

- Review of electronic communications of relevant parties,
- Review of related project documents,
- Interviews with relevant parties,
- Assessment of identified individuals' data access, use and disclosure and related agreements,
- Review of identified individuals' data sharing and disclosure activities,
- Review of procurement practices, grant awards and contracting,

- Assessment of intellectual property rights for employees and contractors identified through the course of this investigation.

The legislative and policy context, a chronology of events, key findings of the investigation and recommendations to enhance data security and privacy protections and mitigate the reoccurrence of such incidents are covered in this report.

Legislative and Policy Context

The investigation was conducted within a legislative framework that includes:

- The *Financial Administration Act*,
- The *Procurement Services Act*,
- The *Freedom of Information and Protection of Privacy Act*,
- The *Pharmaceutical Services Act*,
- The *Pharmacy Operations and Drug Scheduling Act*,
- The *E-Health (Personal Health Information Access and Protection of Privacy) Act*,
- The *Vital Statistics Act*, and
- The *Public Service Act*.

The applicable policies cited for this investigation include, but are not limited to:

- The B.C. Government Standards of Conduct,
- The Core Policy and Procedure Manual, and
- The Information Security Policy.

As the Canadian Community Health Survey data was involved in the investigation, we also had to review findings within the framework of the *Agreement Concerning the Collection and Sharing of Information from the Canadian Community Health Survey between Statistics Canada and the British Columbia Ministry of Health*.

For specific details on the legislation and policy provisions that provide the framework for this review, please refer to **Appendix 1 – Legislation and Policy**.

Chronology of Events

At the end of March 2012, the Office of the Auditor General informs the Ministry that someone made allegations about the: (1) inappropriate data access arrangements and intellectual property infringements, (2) irregular procurement, contracting and research grant practices, and (3) Standards of Conduct Policy conflicts and preferential treatment in employee-contractor relations in the Pharmaceutical Services Division (PSD). The Ministry commenced a preliminary review of the matters alleged in April 2012 and determines that further action is warranted. Subsequently, the formal internal investigation into these allegations began in May 2012.

In July 2012 the investigation team produced an interim update of the key findings to the Deputy Minister of Health. Furthermore, data access was suspended for identified employees and contractors and associated contracts were also suspended. As the investigation progressed through the following months and more key evidence was obtained, identified employees were dismissed and contracts terminated.

In September 2012 the Ministry issues a press release making a public announcement of this investigation.

In October the Ministry sends letters to identified employees and contractors requiring the return of Ministry data and information and requests to sign declarations that letter recipients do not possess or have in their custody or control Ministry data and/or information. The Ministry received responses to these letters throughout the fall of 2012.

In January 2013 the Ministry notified 35,480 affected individuals of a privacy breach involving their personal information and also published a general public notification of two other privacy breaches. A contact centre was developed to provide telephone response to inquiries from affected B.C. residents.

In March 2013 the investigation team switched their focus from employees to appropriate access and use of data by identified third party contractors, researchers and university-based projects. Additional letters were sent to these contractors/researchers and responses were received by the Ministry through the summer of 2013.

For a detailed timeline of the investigation, please refer to **Appendix 2 – Investigation Timeline**.

Summary of Key Findings and Facts

The following is a summary of findings based on the review of electronic communications, project documents, interviews data access, use and disclosure and related agreements, data sharing and disclosure activities, procurement practices, grant awards and contracting, intellectual property rights for employees and contractors identified through the course of this investigation.

Contract Management and Grants

The following issues have been identified regarding the arranging, awarding and subcontracting of contracts in the PSD Research and Evidence Development:

- There was a disparity between the development of research contracts with university-based researchers and the development of resulting data access and information sharing agreements.
- There was limited capacity and information on references and background details on contractors from universities and other public bodies. Confidentiality pledges and other personal statements collected by universities were not always provided, reviewed nor approved by the Ministry.

Data Access and Use

The following findings were identified relating to the use and access to data:

- Processes for data access were not always followed and there is a lack of documentation for projects. s.22
- Employees were using their Ministry data access privileges to support colleagues in their research/contracting endeavors without proper authorization to use the data for these purposes resulting in major privacy breaches requiring the notification of British Columbians and an independent investigation by the OIPC. In these incidents personal health data was inappropriately accessed, saved on portable storage devices (USB sticks) and shared with researchers and/or contractors without required permissions and protocols being followed.
- Some contracts were overly general in the scope of evaluation and project work required. Consequently ISAs were developed that generally enabled contractors' open use of data for other projects and evaluation work.
- s.22
- There was insufficient capacity for and completion of cataloguing, auditing, monitoring and enforcement of ISAs, similar data access agreements, and employee data access privileges within Ministry.
- s.22

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s.22

- Researchers and contractors are not sufficiently aware of or were aware but not using the existing open data resources publicly available from the Ministry.

Standards of Conduct

The following issues relating to breaches of the Standards of Conduct for the BC Public Service

s.22

Subsequent Actions Taken

The key findings of the investigation led investigators to the conclusion on legislative, policy and agreement violations described above. Consequently, the ministry took actions with respect to specific employees and contracts.

Over the past year, the Ministry has improved its data security and access processes and procedures. Ministry also accepted and began implementing recommendations from the Office

of the Information and Privacy Commissioner's (OIPC) report on their independent investigation, and from the information security review by consulting firm Deloitte.

A copy of Deloitte's report is available on the Ministry website at:
<http://www.health.gov.bc.ca/cpa/mediasite/pdf/deloitte-report.pdf>

A copy of the OIPC's report is available on their website at: <http://www.oipc.bc.ca/news-events.aspx?Status=Archived>

Work that is already underway or completed by Ministry includes:

- More than 280 managers and executives at the Ministry have completed mandatory privacy and data security training;
- All of the Ministry's divisions have reviewed and inventoried the sensitive data they have and how it is secured and protected; and
- The Ministry has improved its data warehousing system by decommissioning certain legacy system and restricting use of others. The data warehouse system now also has greater capacity log and actively monitor who is accessing which data.

Ministry is also actively working on or completing the following recommendations made by Deloitte and the OIPC:

- Other ministry, non-management, employees will undergo the enhanced privacy and data security training, in addition to training already required for all public servants;
- Ministry user privileges are granted and managed based on the need to know and least privilege principles, ensuring that employees have access only to the minimum amount of personal information they require to perform their employment duties. Access permissions are being assigned consistently and kept up to date;
- Access to older, outmoded software used to work with data has been severely restricted - this software is in the process of being replaced with more modern, more secure programs; and
- The Ministry is developing easy-to-understand reference guides and other materials for staff on data security and privacy.

Recommendations

A number of lessons have been learned throughout the course of this investigation on what needs to be accomplished and implemented to improve the policies and processes for how the Ministry grants contracts, and how employees, researchers and contractors access data.

Further to the findings and recommendations in the OIPC and Deloitte's respective reports, the findings of this investigation have provided important lessons learned. The following are recommendations for the Ministry in working with researchers, universities, and contractors, as to maintain public trust through fairness in government procurement practices and further enhancement of data security and privacy protections.

Ministry:

1. Ministry should develop a broader open health data strategy to make more useable aggregate health data readily available to contractors, researchers and the public.
2. Ministry should develop and implement a secure data access and use environment for researchers, contractors and employees to enhance capacity for research, policy development and potential revenue generation.
3. Health Sector IM/IT Division should conduct ongoing audit and monitoring for legacy systems, and decommission these legacy systems as soon as possible.
4. Ministry should develop and disseminate standard definitions and classification structures for different levels of data (open data, aggregate data, de-identified row level data, identifiable row level data, identified row level data and any other applicable levels of data).
5. Health Sector IM/IT Division should periodically review all Ministry LAN drives to ensure that employees and contractors only have access to information they require for their roles and responsibilities and to ensure that personal health information is stored appropriately and not accessible to unauthorized individuals.
6. Health Sector IM/IT Division should develop a more robust process for auditing data access for ministry staff and contractors so that when internal data access requests are being reviewed and approved by managers in a way that limits data access based on the principles of least privilege and need to know for the employee/contractors' role(s). This process must address the need to adapt data access permission when staff and contractors move within the ministry to different roles requiring different data access permissions.
7. Ministry should develop clearly stated and strictly enforced consequences for employees, researchers, contractors and anyone else not complying with the requirements of legislation, corporate data policies and procedures or legal provisions in contracts and ISAs.
8. s.22
9. Contracts requiring access to and use of data should be developed in unison with ISAs by an integrated, collaborative effort of all the required subject matter experts.
10. That the IDIR accounts for external contractors when required be identified as contractors in the Public Service Directory and an external email identifier for IDIRs be issued – i.e. jane.smith@contractor.gov.bc.ca
11. Contracts requiring data should be developed in unison with the ISA and must have data access approval(s) in place prior to signing of contracts. ISAs should be included in the contract schedules.
12. All Ministry contractors are required to complete the new Privacy and Information Management training on line and provide copy of completion certificate before contracts and/or data is provided.
13. Ministry employees who are also employed by universities must not serve in dual roles wherein they conduct research or provide contracted services for MINISTRY.
14. Data access arrangements should only be granted for project specific or identified evaluation contracts, and data access is limited to information required and not for other, unauthorized uses.
15. All Data Access and Information Sharing Agreements (ISAs) should be located and tracked by Health Sector IM/IT division and ADM/Ministry CIO approval is required for all such agreements between the Ministry and external parties. This includes ongoing compliance audits of data storage, data return and/or data destruction provisions listed in agreements.

16. Ministry should develop a robust compliance and monitoring function for data access, logging, tracking and auditing. Ideally with an independent and integrated unit dedicated to the continuous monitoring, auditing and compliance regarding the access, storage, use and disclosure of Ministry data with internal staff, other government employees, researches, contractors and external agencies.
17. Health Sector IM/IT Division should provide clear guidance on proper data access processes and sufficient resources for a client-centric, streamlined data access model so that data clients do not feel the need to circumvent current data access procedures.
18. Health Sector IM/IT Division should conduct periodic reviews of data access processes and procedures and provide training to all divisions after completion to ensure all proper processes are in place in all business areas with a focus on personal health information, eHealth, pharmaceutical data, health data legislation and any other personal information protection requirements.
19. Ministry employees should be required to review and sign-off on the BC Public Service Standards of Conduct IM/IT agreement annually to ensure they are aware of their responsibilities as employees and the policies and procedures for data access, including a reminder that they must not share IDIR passwords or data access information with others. Other ministries do this with annual Employee Performance Development Plan (EPDP) discussions.
20. All new Ministry employees should be required to take government privacy and information sharing training and Ministry information privacy and security training prior to having data access.
21. All Ministry employees handling sensitive health information should be issued an encrypted USB stick for any work requiring external information storage and be trained on appropriate data storage methods.
22. Ministry should conduct regular audits of password usage for individuals who have access to personal health information data bases to ensure no one else is using their credentials.
23. Ministry should develop greater awareness of the pre-publication review process required for researchers and contractors with permission to publish.

Universities:

24. Ministry should work with universities to ensure that contracted staff is aware of and adhere to the data security and privacy protection provisions in contracts and relevant agreements.
25. University-based researchers providing services to the Ministry must also complete the contractor privacy and information managements training.
26. Contracts with universities for service(s) involving research or analysis of Ministry data should require a listing of all researchers/contractors on the project for review by the Ministry before data is issued. Universities are responsible for ensuring that any and all university staff involved in providing contracted services to the MINISTRY are listed on agreements or contracts, including ISAs, are free from conflict of interest, such as those serving in dual roles for the university conducting research on MINISTRY projects, and any pledge forms are provided to the Ministry for review and approval prior to granting data access.

27. Data access arrangements will only be granted for project specific or identified evaluation contracts, and data access is limited to information required and not for other, unauthorized uses.
28. Ministry should develop over-arching research agreements with major universities involved in health research to formalize and create greater awareness of the expectations, roles, and responsibilities around the appropriate access, use, storage and disclosure of health data.

Contractors:

29. Prior to signing a contract, all contractors must provide a Conflict of Interest statement and consent for reference checks.
30. All contractors should clearly identify their relationship to the Ministry when dealing with any third party organization.
31. All Ministry contractors are required to complete the new Privacy and Information Management training on line and provide copy of completion certificate before contracts and/or data is provided.
32. Data access arrangements should only be granted for project specific or identified evaluation contracts, and data access is limited to the project or evaluation and not for other, unauthorized uses.
33. Ministry should collaborate with other stakeholders across government to improve the capacity to review and assess potential contractors' previous work history, performance metrics and references with other ministries and public bodies, upon receiving consent to check references from contractors.
34. Contractors should be made aware that they are not permitted to forward email to personal non-government email and/or store Ministry data on personal computers.
35. All contractors handling sensitive health information should be required to only use encrypted portable storage devices when no viable alternative exists to the data being saved on the portable storage devices.
36. Contractors being granted data access must return and/or destroy the data they were provided within the data retention schedule specified in the contract.
37. Contractors should not be permitted to publish findings based on contracted work completed on or behalf of the Ministry.
38. All contracts should follow Ministry policies and process for Request for Proposals (RFPs) to solicit proposals for all projects. Requests for proposal should be written to allow for a fair and open competition without limiting the option to a single preferred service provider. RFPs should be on ability to provide service and on not experience with specific Ministry tools, resources, programs or data holdings.

Researchers:

39. All researchers should request their data through Population Data B.C.'s data access request (DAR) process.
40. All researchers wishing to publish and/or distribute their findings are required to include a proper citation of the source of their data and submit their manuscript or materials intended for distribution for pre-publication/distribution review and approval by the Ministry at least 45 days in advance publication.

41. Ministry should develop clear policies for non-compliance with the research agreements and other applicable legislation and corporate policies and make researchers aware of such policies and the consequences of non-compliance.
42. Research Agreements should explicitly state the roles and responsibilities for parties to the agreement, particularly the Principal Investigator, who must ensure:
 - a. That all associated researchers to the project are aware of the expectations of care of Ministry data and after accessing, using, storing and, where appropriate, disclosing Ministry in a manner consistent with legislation, policy and the provisions of the research agreement,
 - b. All researchers associated with research projects are clearly identified and have submitted their conflict of interest and confidentiality statements,
 - c. All required data elements need to be specifically outlined in the DAR, and based on the principles of 'least privilege' and 'need to know',
 - d. All developed publications or materials for distribution undergo the Ministry's pre-publication review process, and
 - e. All researchers associated with the project participate in Ministry's online privacy and information management training as required.

DRAFT

Appendix 1 – Legislation and Policy Violations

The key findings of this investigation led investigators to numerous conclusions and subsequently actions related to former employees and contractors for violations of the following legislative, policy and agreement provisions:

Public Service Act

8 Appointments on Merit

(1) Subject to section 10, appointments to and from within the public service must
(a) be based on the principle of merit, and
(b) be the result of a process designed to appraise the knowledge, skills and abilities of eligible applicants.

(2) The matters to be considered in determining merit must, having regard to the nature of the duties to be performed, include the applicant's education, skills, knowledge, experience, past work performance and years of continuous service in the public service.

10 Exceptions to section 8

Subject to the regulations

(a) section 8 (1) does not apply to an appointment that is a lateral transfer or a demotion, and

(b) section 8 (1) (b) does not apply to the following:

(i) a temporary appointment of not more than 7 months in duration;

(ii) an appointment of an auxiliary employee;

(iii) a direct appointment by the agency head in unusual or exceptional circumstances.

Freedom of Information and Protection of Privacy Act

30 Protection of personal information

A public body must protect personal information in its custody or under its control by making reasonable security arrangements against such risks as unauthorized access, collection, use, disclosure or disposal.

32 Use of personal information

A public body may use personal information in its custody or under its control only

(a) for the purpose for which that information was obtained or compiled, or for a use consistent with that purpose (see section 34 for "consistent purpose"),

(b) if the individual the information is about has identified the information and has consented, in the prescribed manner, to the use, or

(c) for a purpose for which that information may be disclosed to that public body under sections 33 to 36.

35 Disclosure for research or statistical purposes

(1) A public body may disclose personal information in its custody or under its control for a research purpose, including statistical research, only if

...

(c) the head of the public body concerned has approved conditions relating to the following:

(i) security and confidentiality;

(ii) the removal or destruction of individual identifiers at the earliest reasonable time;

(iii) the prohibition of any subsequent use or disclosure of that information in individually identifiable form without the express authorization of that public body, and

(d) the person to whom that information is disclosed has signed an agreement to comply with the approved conditions, this Act and any of the public body's policies and procedures relating to the confidentiality of personal information.

Pharmacy Operations and Drug Scheduling Act

13 Continuation of PharmaNet

(1) The minister may continue the Provincial computerized networks and associated databases, collectively known as PharmaNet, for the purpose of facilitating (i) scientific, health service delivery or drug use research conducted at a university or hospital, or as approved by the PharmaNet stewardship committee, and

(j) health policy research, planning or evaluation related to drug use, pharmacare or health service delivery.

16 Disclosure of PharmaNet patient record information

(2) Subject to the rules, the PharmaNet stewardship committee may disclose to a person, for the purposes described in section 13 (1) (i) or (j), information recorded in a PharmaNet database that would be personal health information, except that the information disclosed must not include patient or practitioner names, addresses or other information that could allow a patient or practitioner to be identified or contacted.

Standards of Conduct

Confidentiality:

Confidential information, in any form, that employees receive through their employment must not be disclosed, released, or transmitted to anyone other than persons who are authorized to receive the information.

Confidential information that employees receive through their employment must not be used by an employee for the purpose of furthering any private interest, or as a means of making personal gains.

Conflict of Interest:

Examples of conflicts of interest include, but are not limited to, the following:

...

- *An employee, in the performance of official duties, gives preferential treatment to an individual, corporation, or organization, including a non-profit organization, in which the employee, or a relative or friend of the employee, has an interest, financial or otherwise;*
- *An employee benefits from, or is reasonably perceived by the public to have benefited from, the use of information acquired solely by reason of the employee's employment; and/or*
- *An employee benefits from, or is reasonably perceived by the public to have benefited from, a government transaction over which the employee can influence decisions (for example, investments, sales, purchases, borrowing, grants, contracts, regulatory or discretionary approvals, appointments);*

Outside Remunerative and Volunteer Work:

Employees may hold jobs outside government, carry on a business, receive remuneration from public funds for activities outside their position, or engage in volunteer activities provided it does not:

...

- *Gain an advantage that is derived from their employment with the BC Public Service.*

Allegations of Wrong Doing:

Employees have a duty to report any situation relevant to the BC Public Service that they believe contravenes the law, misuses public funds or assets, or represents a danger to public health and safety or a significant danger to the environment...

Employees must report their allegations or concerns as follows:

- *Members of the BCGEU must report in accordance with Article 32.13;*
- *PEA members must report in accordance with Article 36.12; or*
- *Other employees must report in writing to their Deputy Minister or other executive member of the ministry, who will acknowledge receipt of the submission and have the matter reviewed and responded to in writing within 30 days of receiving the employee's submission. Where an allegation involves a Deputy Minister, the employee must forward the allegation to the Deputy Minister to the Premier.*

Loyalty:

Public service employees have a duty of loyalty to the government as their employer. They must act honestly and in good faith and place the interests of the employer ahead of their own private interests. The duty committed to in the Oath of Employment requires BC Public Service employees to serve the government of the day to the best of their ability.

12.3.1 a) Appropriate Use of Information Technology

...

Users must not:

...

- *divulge, share or compromise their own or another's government authentication credentials;*

12.3.3 d) Personal Information Management

4. Ministries must use the principles of "need-to-know" and "least privilege" when authorizing access to personal information.

- *Least privilege is defined as: "A security principle requiring that each subject in a system be granted the most restrictive set of privileges (or lowest clearance) needed for the performance of authorized tasks. The application of this principle limits the damage that can result from accident, error or unauthorized use".*
- *Need to know is defined as: "A privacy principle where access is restricted to authorized individuals whose duties require such access. Individuals are not entitled to access merely because of status, rank or office".*
- *The need-to-know principle may be implemented in various ways. These include physically segregating and controlling access to certain records, listing individuals who may access certain records, or installing access controls on automated information systems.*
- *The need-to-know principle is especially important in protecting the privacy of individuals as required by the Freedom of Information and Protection of Privacy Act."*

12.3.6. a) Information and Technology Security

4. Users of government assets must continue to be aware of, and understand, their role in reducing the risk of theft, fraud or misuse of government assets...

9. Data and information exchanges within government, or with an external entity, must be secure and managed through a documented process

Information Security Policy

6.7.1 b) Use of portable storage devices

The use of portable storage devices to store or transport information increases the risk of information compromise. Portable storage devices are typically small, portable and are easily lost, stolen or damaged, particularly when transported in public environments.

Information Owners, Information Custodians and Managers must:

- Ensure that use of portable storage devices is managed and controlled to mitigate risks;
- Document processes for authorizing use of portable storage devices; and,
- Ensure personnel using portable storage devices protect information and information technology assets in their custody or control.

6.10.1 a) Audit logging

Information Owners and Information Custodians must ensure that audit logs are used to record user and system activities, exceptions and information security and operational events including information about activity on networks, applications and systems. Information Owners and Information Custodians will determine the degree of detail to be logged based on the value and sensitivity of information assets, the criticality of the system and the resources required to review and analyze the audit logs. Audit logs should include, where relevant, the following information:

- User identifier;
- Dates, times and details of key events (e.g., logon and logoff);
- Logon method, location, terminal identity (if possible), network address;
- Records of successful and unsuccessful system access attempts;
- Records of successful and unsuccessful data access (including record and field access where applicable) and other resource access attempts;
- Changes to system configuration;
- Use of privileges;
- Use of system utilities and applications;
- Files accessed and type of access (e.g., view, read, modify, delete);
- Network addresses and protocols;
- Alarms raised by the access control systems (e.g., anti-virus, intrusion detection).

Audit logs may contain confidential data and access must be restricted to personnel with 'need-to-know' privileged access and be protected accordingly.

Information Owners and Information Custodians must not have the ability to modify, erase or de-activate logs of their own activities.

If audit logs are not activated, this decision must be documented and include the name and position of the approver, date and a rationale for de-activating the log. Where required, the Privacy Impact Assessment and/or Security Threat and Risk Assessment must be updated to reflect this decision.

7.3.1 d) Protection and use of passwords

Passwords are highly sensitive and must be protected by not:

- Sharing or disclosing passwords;
- Permitting anyone to view the password as it is being entered;
- Writing down a password;

- Storing other personal identifiers, access codes, tokens or passwords in the same container as the token;
- Keeping a file of passwords on any computer system, including mobile devices unless that file is encrypted according to the Cryptographic Standards for Information Protection; and
- Employing any automatic or scripted logon processes for personal identifiers; and,
- Using personal identifiers, access codes, or passwords associated with Government accounts for non-government purposes.

7.7.1 a) Information protection paramount

Information Owners and Information Custodians must ensure that use of portable storage devices is managed and controlled to mitigate the inherent risks of portable storage devices.

The use of portable storage devices such as laptops or other mobile devices to access, store, or process information increases the risk of information compromise. Portable storage devices are typically small, portable, used in uncontrolled public environments and are easily lost, stolen or damaged.

...

Users of mobile computing services must ensure that information and information technology assets in their custody or control are protected.

7.7.1 c) Protection of credentials

User identifiers and user credentials must be protected to reduce the risk of unauthorized access to information and information technology assets. In particular, users must protect against visual eavesdropping of passwords, PINs and other credentials, especially when in public places.

7.7.1 f) Risk assessment factors

Information classification and sensitivity levels must be considered in the risk assessment.

Minimum information protection safeguards for the use of portable storage devices include:

- Encryption of stored data to prevent information loss resulting from the theft of the mobile or remote device;
- Encryption of data transmitted via public network;
- Access control permissions on a portable storage device must be applied to prevent unauthorised access to information by system users, particularly for multi-user mobile systems;
- Regularly maintained data backups of information stored on portable storage devices using government backup facilities to protect against information loss;

- To provide information availability portable storage devices must not be used to store the only copy of a government record;
- Physical security of the device must be maintained to protect against asset and information loss; and,
- User authentication to the portable storage device and user authentication for remote access from the device must be implemented in accordance with authentication policies.

Agreement Concerning the Collection and Sharing of Information from the Canadian Community Health Survey Between Statistics Canada and the British Columbia Ministry of Health

4 Usage of Shared Information

(3) The Ministry shall consult with Statistics Canada prior to releasing any statistical aggregates to prevent any residual disclosure of information.

5 Confidentiality of Data

The information shared with the Ministry pursuant to this Agreement relating to an identifiable respondent shall be treated as confidential and the Ministry shall take such steps as are necessary to protect this information.

6 Sharing with Third Party

The Ministry shall not, by agreement or otherwise, share with or disclose to any other party the individual responses obtained from respondents and shared pursuant to this Agreement except in accordance with the following:

...

(2) The Ministry may provide access to the individual survey responses, without any names, addresses or identifying numbers, shared pursuant to this Agreement to a researcher, working under contract directly for the Ministry to provide a survey-related product or service, provided such access is on the premises of the Ministry where the required security measures are in place to protect the confidentiality of the information relating to the individual identifiable respondents.

Appendix 2 – Investigation Timeline

March 28, 2012	The Office of the Auditor General contacts the Ministry to advise that someone has made an allegation about contracting irregularities and inappropriate research practices in the PSD.
April 2012	Ministry undertakes a preliminary review of the matters alleged to determine if further action warranted.
May, 2012	Based on results of preliminary review, Ministry initiates an official internal investigation.
July 18, 2012	Ministry internal investigation team produces an interim update for the Deputy Minister.
July / August 2012	Ministry representatives have initial meeting and discussions with UVIC and UBC representatives regarding the investigation and affected university contracts and research programs.
September 6, 2012	Ministry issues press release and Minister of Health and Deputy Minister of Health make public announcement about the internal investigation.
September 19, 2012	Ministry sends letter to UVIC and UBC notifying them of the suspensions of certain Ministry sponsored projects/research studies.
October 31, 2012	Ministry sends demand letters requiring return of Ministry data and information and requesting signing of a declaration that individual does not have possession, custody or control of Ministry data and information.
November 5, 2012	Ministry sends more demand letters and declarations.
November 2012	Ministry receives signed declaration letters.
December 11, 2012	Ministry resumes funding for a temporarily suspended research study.
January 16-22, 2013	Ministry notifies 35,480 affected individuals of a privacy breach involving their personal information. Ministry provides general public notification of two other privacy breaches. Ministry establishes a contact centre providing telephone response to inquiries.

Beginning March 2013	Ministry investigation continues reviewing third party contractors and researchers and review of University projects and data access.
August 1-2, 2013	Demand letters are sent to other identified Ministry of Health contractors
September 2013	Ministry receives responses to demand letters from contractors.
End of September 2013	This report is drafted.

DRAFT

Pages 269 through 294 redacted for the following reasons:

s.14

s.14, s.22

ADVICE TO MINISTER

CONFIDENTIAL ISSUES NOTE

Ministry: Health

Date: July 16, 2012

Minister Responsible: Michael de Jong

Internal review and investigation of PSD staff

ADVICE AND RECOMMENDED RESPONSE:

- We cannot comment on specific personnel issues.
- The Public Service Agency has established processes and procedures in place to handle all human resource complaints and concerns.
- Public service employees must comply with high standards of conduct as a condition of their employment.
- The standards require exemplary employee conduct to instil confidence and trust and not bring the BC Public Service into disrepute.
- Employees who fail to comply with the Public Service standards of conduct may be subject to disciplinary action, including dismissal.
- There are approximately 30,000 public service employees in 280 B.C. communities that provide an amazing volume and variety of services to the people of British Columbia.
- The Ministry of Health fully cooperates with the Public Service Agency on all human resource and disciplinary matters.
- The BC Public Service takes pride in serving the people of British Columbia with honesty and integrity.

BACKGROUND REGARDING THE ISSUE:

- The Office of the Auditor General contacted the Ministry of Health on March 28 to advise someone had made an allegation about contracting irregularities and research grant practices in the research and evidence development program area of the pharmaceutical services division (PSD.)
- The allegations also included inappropriate data access, intellectual property infringement and possible violations of the public service code of conduct.
- The ministry's financial and corporate services division interviewed staff and looked at the contracts involved in the complaint.
- Following this, a formal internal review was launched in May by the Ministry of Labour, Citizens' Services and Open Government as lead, supported by the ministry,
- The review included, but was not limited to:
 - Contracts and grants;
 - Academic publications;
 - Electronic communication between specific staff;
 - Expense reports, cell phone bill, and use of government assets;
 - Relationships with University of Victoria and the University of British Columbia

DISCUSSION/ADVICE:

- The internal review draft report is complete; the reviewers are now completing final recommendations.
- The Public Service Agency has the initial findings and is doing a formal investigation.

s.22

- The ministry has also taken these actions:
 - Data access was suspended for the s.22 on June 7.
 - Signing authority for invoices, expenses or contract approval was suspended for these people on June 7, as well.
 - The ministry has met with the Office of the Comptroller General to advise it of findings.
 - The ministry has informed the Office of the Information and Privacy Commissioner.
 - Senior PSD staff will meet with UVic and UBC about the contracts in question.
 - The ministry has or may suspend data access for all people involved in the PSD contracts under review, in government and at UVic and UBC.

Communications Contact: Cindy MacDougall 250 952-2158
Program Area Contact: Barbara Walman
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File Updated:
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Minister's Office	Program Area	Deputy	Media Manager
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