

ACR LOOK FORWARD REPORT FOR THE 2022/2023 FINANCIAL YEAR

EMPLOYEE WORKPLAN							
Task#	Identified Task	Strategic Objective	Departmental Objective	Expected Results	Performance Metrics (Measure of Success)	Objective Score	Target Competition Date
1	Upgrade Audit Management System - Teammate Plus	Leveraging technology to drive efficiency in the capital markets value chain	To secure ICT systems, Applications and Data	1. Report on upgrade scope 2. Completion Certificate/Job Card	Go-live with the new Audit Management System by Q2	4.5	30 Dec 2022
2	Enhance monitoring of Enterprise Systems Database Servers performance	Leveraging technology to drive efficiency in the capital markets value chain	To guarantee availability of a reliable ICT infrastructure	1) Daily Database Servers Memory Utilization report 2) Daily Database Servers Processor Utilization report 3) Weekly Systems databases Capacity reports	1) Daily Database Servers Memory Utilization report by Q2 2) Daily Database Servers Processor Utilization report by Q3 3) Weekly Systems databases Capacity reports by Q4	7.5	30 Jun 2023
3	Implement log collection on ERP	Leveraging technology to drive efficiency in the capital markets value chain	To support Business Continuity process through a robust Disaster Recovery Plan (DRP)	1) ERP change log review report 2) Sample change log report 3) Enhanced control and visibility of ERP database activities	1) ERP change log review report by Q2 2) Change request for the ERP logging configuration by Q3	4.5	30 Jun 2023
4	Customization of ACR Ad Hoc reports in the CMA Reporting Server	Leveraging technology to drive efficiency in the capital markets value chain	To support Business Continuity process through a robust Disaster Recovery Plan (DRP)	1) Ad Hoc ACR Look-Forward Mid year review status report 2) Ad Hoc ACR Look-Back report report 3) Ad Hoc individual ACR Look-Back report report 4) Improved ACR submissions, reviews and approvals timelines	1) Ad Hoc ACR Look-Forward Mid year review status report by Q3 2) Ad Hoc ACR Look-Back report report by Q3 3) Ad Hoc individual ACR Look-Back report report by Q4	7.5	30 Jun 2023



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5	Undertake Data Inventory for selected Authority functions	Leveraging technology to drive efficiency in the capital markets value chain	To secure ICT systems, Applications and Data	1. Data inventory catalog 2. Data Inventory summary report 3. Determine the Authority's reference point for accessing and leveraging data 4. Streamlined data capture, processing and dissemination operations	Data Inventory report by end of Q2 of the financial year	6	31 Mar 2023



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BUSINESS CAPABILITY										
Task#	Identified Task	Strategic Objective	Departmental Objective	Business Capability	Business Capability Level	Expected Results	Resources Needed	Performance Metrics (Measure of Success)	Objective Score	Target Completion Date
1	Conduct functional review of the LMS system	Leveraging technology to drive efficiency in the capital markets value chain	To guarantee availability of a reliable ICT infrastructure	Innovation and Continuous Improvement	Level 3	1. LMS Status report 2. LMS completion Certificate/Job card 3. Successful delivery of system notifications 4. Enhanced system security	Time	1. Submission of the Status report by Q2 2. Integrated LMS with on-premise email by Q2 3. Configured SSL certificate by Q2	10	30 Jun 2023
2	RBSS functional status review and recommendations implementation	Leveraging technology to drive efficiency in the capital markets value chain	To guarantee availability of a reliable ICT infrastructure	Effective Communication	Level 3	1. RBSS Functional Status report 2. RBSS post Go-live Implementation status report 3. RBSS change requests report 4. Enhanced system functionality, security and user satisfaction"	Support from Colleagues	1. RBSS Status report by Q2 2. Number of change requests actioned 3. Number of post go-live support issues implemented by Q2 4. Number of RBSS audit recommendations closed by Q4	10	30 Jun 2023



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TECHNICAL CAPABILITY									
Task#	Identified Task	Departmental Objective	Technical Capability	Technical Capability Level	Expected Results	Resources Needed	Performance Metrics (Measure of Success)	Objective Score	Target Completion Date
1	Develop an inhouse Software development Framework	To operate a controlled ICT environment through appropriate Policies and Governance	TEC 1 – Technology Management	Expert - E	1) Inhouse Web-based Software development procedures document 2) Inhouse Web-based server control procedures document 3) Inhouse Web-based software development framework	Time and support from colleagues	Approved inhouse software development framework by Q4	10	30 Jun 2023
2	Support acquisition of the Audit Data Analytics Management System	Improvement of the Authority's Automation levels	ORG 2 – Project Management	Operational - O	1. TOR Document 2. Functional requirements Document 3. Completion Certificate/Job Card 4. Enhanced audit data analysis	Time and Budget	1. Approved TORs for Audit Data Analytics by Q2 2. Signed contract for the Implementation works by Q3 3. Developed Audit Data Analytics Module by Q3	10	30 Jun 2023

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SPECIAL OBJECTIVE								
Task#	Identified Task	Strategic Objective	Departmental Objective	Expected Results	Resources Needed	Measure of Success	Objective Score	Target Completion date
1	Develop an inhouse Business Intelligence system implementation framework	Leveraging technology to drive efficiency in the capital markets value chain	To operate a controlled ICT environment through appropriate Policies and Governance	1) Proposed Authority Business Intelligence Architecture 2) Inhouse BI development procedures 3) Inhouse BI Implementation framework	Time and Budget	1. Business Intelligence Architecture by Q2 2. Inhouse BI development procedures by Q3 3. Inhouse BI Implementation Framework by Q4	9	30 Jun 2023
2	HRMIS functional status review and recommendations implementation	Leveraging technology to drive efficiency in the capital markets value chain	To guarantee availability of a reliable ICT infrastructure	1) Approved Change requests 2) Improved HRMIS System functionality	Time and support from Colleagues	1) Closure of the Audit Queries by Q4, 2) Closure of all the reported issues by Q4	10.5	30 Jun 2023
3	Develop a standard Software acquisition TOR Template	Leveraging technology to drive efficiency in the capital markets value chain	To guarantee availability of a reliable ICT infrastructure	1) Approved Software acquisition standard TOR template. 2) Standardized Software acquisition process at the Authority 3) Improved Software development projects Turn-around-Times	Time and support from colleagues	Approved TOR Template by Q2	10.5	31 Dec 2022

Approval Status: Approved

Approver: RICHARD KIPYEGON CHIRCHIR