

Corrective Action Plan Status Report a/o September 2008

APA Audit of Commonwealth IT Governance & VITA Operations as of 4/7/06

20 of the 21 planned corrective actions are complete. The current status of the 21 corrective actions is as follows:

- ❖ **Blue** - 0 objectives (0%)
- ❖ **Green** - 20 objectives (95.2%)
- ❖ **Yellow** - 1 objective (4.8%)
- ❖ **Red** - 0 objectives (0%)

VITA Corrective Action	Due Date	Status	Comments
1. Address Conflict in Dual CIO Roles	10/06	Green	• Complete
2. Continue to Support COVF's Roadmap	7/06	Green	• Complete
3. ITIB & CIO Execute an IT Strategic Communications Plan	7/06	Green	• Complete
4. Improve Agency Strategic Planning & IT Investment Decision Process	11/06	Green	• Complete
5. Ensure Agencies Understand How Agency IT Strategic Planning Process Supports the COV Plan	7/06	Green	• Complete
6. Change IT Project Submission Deadline	6/07	Green	• Complete
7. Include Life Cost of Projects	9/07	Green	• Complete
8. Simplify RTIP Project Listing	1/07	Green	• Complete
9. RTIP Enhancement	2/07	Green	• Complete
10. Identify Alternative IT Project Funding	7/06	Green	• Complete
11. Hire PMD Staff	4/07 10/07	Green	• Complete
12. Fix Ops. & Gov. Roles Conflicts	9/06	Green	• Complete
13. Improve PMD Effectiveness & Efficiency	4/07 10/07	Green	• Complete
14. Improve PMD Oversight Policies & Procedures	2/07	Green	• Complete
15. Establish Written Criteria for CIO Project Recommendations	11/06	Green	• Complete
16. Implement Security Operating Plan	10/06	Green	• Complete
17. Develop Timeline for Security Standards	10/06	Green	• Complete
18. Adopt Uniform Infrastructure Procedure	6/08 3/09	Yellow	• The partnership has brought on additional needed resources, restructured the organization, & streamlined documentation management processes in an effort to successfully deliver a comprehensive procedures manual. The team has been staffed with 8 additional FTEs to facilitate chapter collaboration, release authorization, & PRB facilitation. The documentation process has been redesigned to ensure that sufficient QA, technical editing, & collaboration occur early in the document lifecycle to streamline the submission process & avoid significant rework resulting from poor quality on first submission. An updated schedule has been produced & is being actively managed by chapter facilitators & the project coordinator. The schedule

VITA Corrective Action	Due Date	Status	Comments
			reflects the dates for planned adoption of Uniform Infrastructure Procedures for Priority 1 & Priority 2 documents: <ul style="list-style-type: none"> • Priority 1: November 30, 2008 • Priority 2: March 31, 2009 (Fred Duball)
19. Provide COOP Info. to NG & Develop Plan to Complete COOP	1/07	Green	• Complete
20. Dev. Plan to Complete Incident Mgmt. Program incl. Comm. Security Risks	12/06	Green	• Complete
21. Revise & Require SOW Template to Document Specific Deliverables	8/06	Green	• Complete

APA Audit of VITA Service Management Organization, Issued 4/08

The current status of the 4 corrective actions is as follows:

- ❖ **Blue** - 1 objectives (25%)
- ❖ **Green** - 1 objectives (25%)
- ❖ **Yellow** - 2 objectives (50%)
- ❖ **Red** - 0 objectives (0%)

VITA Corrective Action	Due Date	Status	Comments
1. Contingency for Procedures Manual Deliverable	7/08	Green	• Contingency plan outlined in 06/08 is in place. Complete. (Fred Duball)
2. Completion of 56 DCD's for Performance Credit Eligible SLA's with NG on 7/1/08 at risk	7/08 10/08 2/09	Yellow	• Of the 12 DCDs remaining, 7 will be complete by 10/08. The remaining 5 will be complete by 02/09. (Fred Duball)
3. Clarify & communicate RFS process	7/08 11/09	Yellow	• Completed & delivered monthly performance metrics for July & August. Initiated process redesign efforts for year 3 (rated in scope service requests [yr 3-10] verses cost plus [(year 1 and 2)]). Redesign effort expected to take 6 weeks to complete. Also dependent on development & roll out of Peregrine Service Request Module. Goals of Service Request process: reduce cycle times for solution development, reduce pricing confusion, & improve visibility & tracking of service requests. (Fred Duball)
4. Improve analysis & reporting of VITA service issues to the Board	10/08	Blue	• Detailed reports showing critical incidents provided to Board Chairman & Committee Chairman on quarterly basis. Complete. (Fred Duball)

APA Report on Performance Audit as of 6/30/07, Issued 7/08

The current status of the 5 corrective actions is as follows:

- ❖ **Blue** - 0 objectives (0%)
- ❖ **Green** - 5 objectives (100%)
- ❖ **Yellow** - 0 objectives (0%)
- ❖ **Red** - 0 objectives (0%)

VITA Corrective Action	Due Date	Status	Comments
1. Analyze IV&V Results to Develop or Change IV&V Process	3/09	Green	Design & implement in conjunction with APA Reference 4. Activities: <ul style="list-style-type: none"> Design appropriate directory structure for knowledge base repository - COMPLETE. Select solution that will best support structure - COMPLETE: SharePoint selected. Implement & test solution - COMPLETE. Modify PMD procedures - In process. Communicate change to stakeholders - Not started. (Jerry Simonoff)
2. Analyze & Revise the IV&V Standard & Templates	6/09	Green	Design & implement in conjunction with APA Reference 3. Activities: <ul style="list-style-type: none"> Review available research & current best practices for public sector IV&V- COMPLETE. Review & analyze tasks to identify duplicate efforts - In process. Modify IV&V templates - Not started. If necessary, revise PM Standard - Not started. Communicate change to stakeholders - Not started. (Jerry Simonoff)
3. Implement Validation as part of IV&V Efforts	6/09	Green	Design & implement in conjunction with APA Reference 2. Activities: <ul style="list-style-type: none"> Review available research & current best practices for public sector IV&V- COMPLETE. Evaluate overall impact of reduced verification & use of 3rd parties to perform validation tasks - In process. Identify additional validation tasks & establish criteria for when those tasks should be included in an IV&V review - In process. Modify IV&V templates - Not started. If necessary, revise PM Standard - Not started. Communicate change to stakeholders - Not started. (Jerry Simonoff)
4. Develop Standards for Project Documentation	3/09	Green	Design & implement in conjunction with APA Reference 1. Activities: <ul style="list-style-type: none"> Design appropriate directory structure - In process. Select solution that will best support structure - Not started. Implement & test solution - Not started. Modify PMD procedures - Not started. Communicate change to stakeholders - Not started. (Jerry Simonoff)
5. Properly Complete Employment Eligibility Verification Forms	7/08	Green	<ul style="list-style-type: none"> Updated I-9 Policy & Procedures have been submitted for internal review & posted. Complete. (Jim Roberts)

APA Wireless E911 Services Board Report on Audit as of 6/30/07, Issued 8/08

The current status of the 3 corrective actions is as follows:

- ❖ **Blue** - 1 objective (33.3%)
- ❖ **Green** - 2 objectives (66.7%)
- ❖ **Yellow** - 0 objectives (0%)
- ❖ **Red** - 0 objectives (0%)

VITA Corrective Action	Due Date	Status	Comments
1. Improve Accounting & Financial Control Processes	1/09	Green	<ul style="list-style-type: none"> A legislative proposal has been submitted to the Governor's Office for consideration. No indication has been received as to whether it will be accepted as of yet. (Jerry Simonoff)
2. Improve Accounting & Financial Control Processes	1/09	Green	<ul style="list-style-type: none"> VITA Staff is awaiting instructions from DPB to submit these changes for the upcoming budget development cycle. (Jim Roberts)
3. Improve Accounting & Financial Control Processes	1/09	Blue	<ul style="list-style-type: none"> Documentation for FY2008 was retained & will be retained for all future calculations. Complete. (Jerry Simonoff)

Public Safety Communications Report, Issued 2/08

4 of the 14 planned corrective actions are complete. The current status of the 14 corrective actions is as follows:

- ❖ **Blue** - 0 objectives (0%)
- ❖ **Green** - 14 objectives (100%)
- ❖ **Yellow** - 0 objectives (0%)
- ❖ **Red** - 0 objectives (0%)

VITA Corrective Action	Due Date	Status	Comments
1. Document & disseminate internal procedures for CMRS & PSAP, CMRS Surcharge Remissions; & a plan & timeline for training	7/08	Green	• The document has been completed & training is currently being conducted & will be completed in the next 30 days. Complete. (Jerry Simonoff)
2. Document & disseminate external policies & procedures for CMRS surcharge collection & remittance, & PSAP funding	7/08	Green	• The document has been completed & disseminated. Complete. (Jerry Simonoff)
3. Document & disseminate a methodology to assess accuracy of CMRS surcharge remittance activity	9/08	Green	• This document has been completed & disseminated. Complete. (Jerry Simonoff)
4a. Define & document VITA procedures for review, approval & processing of invoices	5/08 7/08	Green	• Policies & procedures for Cash Receipt & Vendor Invoice have been approved & posted. Complete. (Jim Roberts)
4b. Define & document PSC procedures for the review & verification CMRS provider invoices	7/08	Green	• This document has been completed. Complete. (Jerry Simonoff)
5a. Define & document data entry procedure for posting of CMRS surcharge revenue payments	5/08 7/08	Green	• New policies & procedures for Cash Receipt & Vendor Invoice & People Soft Policy & Procedure have been approved & posted. Complete. (Jim Roberts)
5b. Enhance PSC oversight controls for CMRS surcharge payments & document in the internal CMRS surcharge procedures	7/08	Green	• The oversight controls have been enhanced & documentation of the new procedure has been completed. Complete. (Jerry Simonoff)
6. Develop & implement a documented procedure enhancing controls over CMRS provider payments & invoices	5/08 7/08	Green	• New policies & procedures for Cash Receipt & Vendor Invoice & People Soft Policy & Procedure have been approved & posted. Complete. (Jim Roberts)
7. Document process to check PSC & PeopleSoft records of PSAP payments	3/08	Green	• Complete.
8. Centrally locate all records considered in the granting of PSC funding awards, & incorporate all funding records in the VITA records survey	8/08	Green	• All PSC records have been incorporated in the central files of the ISP. Complete. (Jerry Simonoff)
9a. Augment Grant Guideline requirements to include PSAP submission of supporting documentation at application	7/08	Green	• Complete. (Jerry Simonoff)
9b. Create a standardized grant application form & implement in an online submission process	8/08	Green	• Complete. (Jerry Simonoff)
10. Evaluate PSC work load to support hire of PSC staff support w/ financial background to assist in carrying out recommended control activities	7/08	Green	• Based on workload & need, 2 staff were hired to support the financial aspect of the PSC & Wireless E-911 Services Board. 1st is a Financial Program Mgr within the PSC to administer the grant program & funding initiatives. 2nd in the VITA Finance Division to

VITA Corrective Action	Due Date	Status	Comments
			ensure payments are processed & tracked accordingly. Complete. (Jerry Simonoff)
11. Provide direct link to PSC legislation on GA website	3/08	Green	• Complete.

Federal Tax Information Safeguard, Issued 4/08

2 of the 8 planned corrective actions are complete. The current status of the 8 corrective actions is as follows:

- ❖ **Blue** - 0 objectives (0%)
- ❖ **Green** - 6 objectives (75%)
- ❖ **Yellow** - 2 objectives (25%)
- ❖ **Red** - 0 objectives (0%)

VITA Corrective Action	Due Date	Status	Comments
1. Assign Accountability of Oversight to Monitor the FTI Process	5/08	Green	• Complete.
2a. Amend Iron Mountain Contract & Ensure Access Lists are Referenced	6/08 7/08	Green	• Met with Iron Mountain on 7/30/08 & agreed that their procedures for chain of custody; employee compliance procedures; & site security together meet the requirements for the individuals who have access to TAX Department FTI data. Documented procedures from Iron Mountain reviewed & on file. Complete. (Fred Duball)
2b. Amend Iron Mountain Contract & Ensure Access Lists are Referenced	6/08	Green	• Complete.
3. Implement Procedures to Retain Signed Disclosure Forms & Verify Annual Training	7/08	Green	• The procedure for HR has been written & the process has been discussed with HR. Not mentioned in previous update; however, the TAX FTI Data Access list & signed employee documents for TAX Server & Data Base Support staff have been signed for 2008 & were brought to HR. Complete. (Fred Duball)
4. Update the 2007 MOA Between VITA & TAX	8/08 3/09	Yellow	• Per TAX, due to the numerous changes in IRS pub 1075 & the methodology used by their auditors to measure compliance, TAX has decided to wait until receiving the IRS audit report &/or any IRS findings before working on a revised MOA so any findings with the revision can be addressed. To date, TAX has not received the IRS audit report, so this is on hold until that report is received & analyzed. (Debbie Secor)
5. Exchange Authorization Lists with Broad Street & TAX Timely	7/08	Green	• Procedures have been finalized & the procedure for verification of timely exchange of authorization lists w/ the Federal Safeguard Coordinator have been embedded in the TAX IRS TAPE OPERATIONS PROCEDURES DOCUMENT dated 06/30/2008. Complete. (Fred Duball)
6. Distribute & Enforce Procedures for FTI Movement & Custody of All FTI Tapes	7/08	Green	• A procedure for annual training has been completed & is a part of the TAX IRS TAPE OPERATIONS PROCEDURES DOCUMENT dated 06/30/2008. The TAX Server & Data Base Support groups are included in this procedure. A comprehensive verification of chain of custody of all CESC building access to locations of possible access to FTI data has been verified & documented in the NGC Security group assigned to the VITA IT Partnership. With the addition of the AOM position to support the TAX Dept, Gerry Huck has

VITA Corrective Action	Due Date	Status	Comments
			accepted the responsibility to ensure the resident support personnel at the TAX Dept. locations view the required training video & provide signature forms to be delivered to VITA HR. Complete. (Fred Duball)
7. Update Records Survey to Include FTI Records	8/08 10/08	Yellow	<ul style="list-style-type: none"> NG Cross Functional Services will stand up the Records Coordinator position. It has been moved from the NG PMO. A person has been assigned to fill this role & will begin standing up the position immediately. <p>The VITA portion of this Action Item was addressed with a scheduled meeting with LVA to update the Schedule 101 & FTI records will be added. This meeting occurred 9/08. (Fred Duball)</p>

Telework Review, Issued 6/08

The current status of the 7 corrective actions is as follows:

- ❖ **Blue** - 0 objectives (0%)
- ❖ **Green** - 7 objectives (100%)
- ❖ **Yellow** - 0 objectives (0%)
- ❖ **Red** - 0 objectives (0%)

VITA Corrective Action	Due Date	Status	Comments
1. Designate a Telework Coordinator & Incorporate Telework Training	7/08	Green	<ul style="list-style-type: none"> The HR Director has been designated as VITA's Telework Coordinator & responsibilities for tracking & training have been assigned. Telework training will follow the release of the updated Teleworking policy by 10/08. Complete. (Lem Stewart)
2. Revise & Expand VITA Teleworking Policy & Procedure	1/09	Green	<ul style="list-style-type: none"> The Teleworking Policy & Teleworking Agreement have been updated & submitted for PPRAT review. (Jim Roberts)
3a. Align VITA Policy & Practice for Network Connection & Supporting Equipment Provisions	1/09	Green	<ul style="list-style-type: none"> A new telecommunications coordinator has been designated & a team is currently reviewing updated inventory of VITA issued devices. The final inventory of VITA issued services & devices will be reviewed w/Directors for compliance with telework policy & other requirements for remote access. (Jim Roberts)
3b. Align VITA Policy & Practice for Network Connection & Supporting Equipment Provisions	1/09	Green	<ul style="list-style-type: none"> A new telecommunications coordinator has been designated & has completed the review & disconnect of remaining VITA issued devices for managed employees. A team is currently reviewing the process to update current assignments & procedures for management review. (Jim Roberts)
4. Update Essential Designation Categories for Job Description	11/08	Green	<ul style="list-style-type: none"> Position description & performance plan are being merged & will be rolled out for the 08-09 performance cycle & will include information for employees designated for the various essential roles for continuity of operations during emergencies & inclement weather. (Jim Roberts)
5. Accurately Reflect Telework Statistics	3/09	Green	<ul style="list-style-type: none"> Telework statistics as well as the updated Policy & Telework Agreement submitted for PPRAT review have been updated to reflect the new requirement for telework practice at least 32 hrs/mth required in 08 legislation & new DHRM policy. (Jim Roberts)

VITA Corrective Action	Due Date	Status	Comments
6. Document Internal HR Telework Administration Procedures	4/09	Green	<ul style="list-style-type: none"> Human Resource employee designations for telework forms, statistics & training have been made. Internal procedures will be documented & continuously updated to align with the telework policy & agreement. (Jim Roberts)

Virginia Interactive Review, Issued 9/08

The current status of the 6 corrective actions is as follows:

- ❖ **Blue** - 0 objectives (0%)
- ❖ **Green** - 7 objectives (100%)
- ❖ **Yellow** - 0 objectives (0%)
- ❖ **Red** - 0 objectives (0%)

VITA Corrective Action	Due Date	Status	Comments
1. Properly Manage General Fund Transfers	8/09	Green	<ul style="list-style-type: none"> While the contract provides in Section 10 that VI is entitled to keep as its fee for services all remaining Adjusted Gross Revenue -including those amounts representing any reduction in General fund Transfers –VITA will engage VI in discussions about applying those reduced amounts in a manner which mutually benefits both parties & promotes the Purpose of the Information Network & as set forth in Section 1 of the Contract. (Jim Roberts)
2. Seek OAG Advice on the VI Contract & Relationship	11/08	Green	<ul style="list-style-type: none"> Submit request to OAG to review contract status, & to provide guidance for ongoing management of the contract. (Jim Roberts)
3a. Document & Implement Processes to Execute Interagency Agreements, Including Rates & Fees	6/09	Green	<ul style="list-style-type: none"> Designate Contract Manager. Manager will document & implement a process to ensure that new Interagency Agreements utilize model language developed in 12/07, that new Agreements are properly reviewed & executed in accordance with the contract provisions, & that rates & fees set forth in the Agreements receive final approval by VITA. (Jim Roberts)
3b. Document & Implement Processes to Execute Interagency Agreements, Including Rates & Fees	6/09	Green	<ul style="list-style-type: none"> Designate Contract Manager. Manager will document & implement a process to review existing Interagency Agreements to ensure they are current, centrally maintained, & updated as necessary to incorporate model language. Also, agreements will be restructured to be between VITA & the agency or locality as stated in the contract with VI or the contract will be changed to support existing practices. (Jim Roberts)
3c. Document & Implement Processes to Execute Interagency Agreements, Including Rates & Fees	8/09	Green	<ul style="list-style-type: none"> Engage the Virginia Enterprise Applications Office & Coordinate with the CAO the development of Interagency Agreements, & the relationship between VI & customer agencies, to include the relationship of the Parties as set forth in the contract, in particular Sections 4 & 7. (Jim Roberts)
4. Document & Implement Contract Management & Oversight Processes	6/09	Green	<ul style="list-style-type: none"> Designate Contract Manager whose role & responsibilities are to document & implement oversight procedures to ensure compliance with contractual terms. This role will include maintaining the contract file, the Interagency Agreements, & ensuring the annual Business Plan is completed. (Jim Roberts)