



## Corrective Action Plans Status a/o 3/09

### Auditor of Public Accounts (APA) Audit of Commonwealth IT Governance & VITA Operations, 4/06

APA Ref	Short Title	Summary	Due Date	Responsible Person(s)	Status	Status Date	Initial Plan/Status Updates
18	Adopt Uniform Infrastructure Procedure	Service Mgmt. Org. should adopt uniform procedures that apply to all aspects of VITA's infrastructure.	<del>6/08</del> <del>3/09</del> 10/09	Fred Duball	U	Initial Plan 5/06	<p>A complete plan for establishing consistent, ITIL conformant procedures manual by 8/06. Existing processes will be compiled into a centralized repository by 10/06. Starting in 3/07, as services are transformed, ITIL conformant processes are deployed with all procedures ITIL conformant by 6/08.</p> <p>7/06 The project started on July 1.</p> <p>9/06 Executing to plan, on track to meet milestones. Workshops have been scheduled to develop procedures.</p> <p>12/06 Many Critical Interim Operational Procedures have been identified &amp; implemented, while others remain under development &amp; are on schedule to complete. Executing to plan, on track to meet milestones. Phase 1 ITIL Project (Change, Configuration, Release) Workshops have been completed. Phase 1 Design phase pending final reviews. Staff has received ITIL training.</p> <p>3/07 1 month behind on dev. procedures. Priority on security proc.. Project the proc. manual being back on schedule in 8/07. Phase 1 ITIL proj. (Change, Config. Release) scheduled to deploy to IT Infr. staff from April to June. Agency personnel deployments in July.</p> <p>6/07 Phase 1 of the ITIL project (Change, Config., Release) has been delayed to complete the Acceptance Test Plan pre-live testing &amp; adopt a phased rollout approach for ITP Infrastructure staff to minimize agency impact. The phased rollout to ITP inf. staff will be July to Aug. Agency pers. deployments are projected to start in Aug.. Phase 1 delay should not impact the Phase 2 rollout (Incident, Problem, Capacity, &amp; Avail.) which is scheduled to start 8/07. The infrastructure aspects of the proc. manual project will be back on schedule by 8/07. Populating the proc. manual with content is sig. behind schedule, but should be complete by 6/08.</p> <p>9/07 Phase 1 of the ITIL project (Change, Config. &amp; Release) has been deployed to all ITP staff for internal Change Mngt.. ITIL compliant Change Mngt, to include agency participation, is scheduled to roll out starting in Nov. Phase 2 processes (Incident, Problem, Capacity, &amp; Avail.) are nearly 1 month behind schedule. The proc. manual project has made progress in formalizing the process for proc. submission &amp; review; but, the team is significantly behind on execution. A revised plan is due 10/07 to correct the deficiencies, &amp; meet the 6/08 date for a ITIL conformant proc. manual.</p> <p>12/07 Phase 1 of the ITIL project (Change, Configuration, &amp; Release) has been deployed to all ITP staff for internal Change Management.</p>

Status Legend: NS = Not Started, U = Underway; C = Completed



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							<p>ITIL compliant Change Management, to include agency participation, is significantly delayed due to process maturity issues. Phase 2 processes (Incident, Problem, Capacity, &amp; Availability) are now over three months behind schedule. The procedures manual project has made progress in formalizing the process for procedures submission &amp; review; however, the team is significantly behind on execution. A recovery plan is under review. While the 6/08 date for the procedures manual is at risk, NG has committed to providing the resources to achieve this milestone.</p>
						3/08	<p>The Partnership has made some major changes to solve challenges as part of the recovery plan. A Cross Functional Services Office (CFSO) was established in 2/08 &amp; assigned management of ITIL, Procedures Manual, &amp; other key horizontal activities. This management team has moved quickly to review &amp; improve all plans &amp; personnel assignments. Twenty-five new positions have been created.</p> <p>The CFSO's ITIL subteam has been augmented with some of these new positions, as well as external ITIL consulting resources. The new manager has been fully empowered to focus on accomplishing 2 of 3 signoff checkpoints by 6/01/08: Design, &amp; Go-Live of all ITIL processes. The third checkpoint, Implementation Complete, is dependent on processes maturing after Go-Live. Maturity reviews will occur starting at 3-months post Go Live &amp; monthly thereafter until acceptance criteria are met to mutual VITA-NG satisfaction.</p> <p>The CFSO's Procedures Manual subteam has also benefitted from the commitment of additional resources. Process Analysts are now assisting each functional team in developing policies, processes &amp; procedures through VITA-NG peer review &amp; then Process Review Board (PRB) acceptance. The team is on schedule to achieve PRB acceptance on all documents in the Procedure Manual Outline, which includes the ITIL processes, by 6/01/08. Functional area policy &amp; process owners are adopting guidance documents as they attain approval by the PRB. VITA will check the maturity of adoption through management reviews, starting with high priority processes in 3Q 2008.</p>



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						6/08	<p>The partnership's plan to complete the procedures manual by 6/08 was unsuccessful. The contingency planning reported 5/08 was also unsuccessful.</p> <p>Progress to date:</p> <ul style="list-style-type: none"> <li>Fully approved – 52</li> <li>Adopted, awaiting process review board – 179</li> <li>To be completed - ~170</li> </ul> <p>A new team has been brought onto the partnership to update the procedures manual outline, streamline document management processes, &amp; develop a comprehensive schedule for the procedures manual project. The updated schedule will incorporate a prioritization approach targeting Service Catalog – impacting processes first, then agency specific &amp; ITP internal processes as second priority.</p> <p>The plan to complete the remaining procedures is undergoing a major revision; we expect to have date for completion in 7/08.</p>
						9/08	<p>The partnership has brought on additional needed resources, restructured the organization, &amp; 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, &amp; PRB facilitation. The documentation process has been redesigned to ensure that sufficient QA, technical editing, &amp; collaboration occur early in the document lifecycle to streamline the submission process &amp; avoid significant rework resulting from poor quality on first submission. An updated schedule has been produced &amp; is being actively managed by chapter facilitators &amp; the project coordinator. The schedule reflects the dates for planned adoption of Uniform Infrastructure Procedures for Priority 1 &amp; Priority 2 documents:</p> <ul style="list-style-type: none"> <li>Priority 1: November 30, 2008</li> <li>Priority 2: March 31, 2009</li> </ul>
						12/08	<p>Northrop Grumman did not complete all Priority 1 documents by November 30, 2008 as committed to &amp; 29 Priority 1 documents still have not been authored. March 09 completion date is at risk.</p>
						3/09	<p><b>3 of 12 Priority 1 chapters &amp; with 3 of 12 Priority 2 chapters are complete. The current schedule shows the procedures manual will be written by July 09. Estimate October adoption based on past performance.</b></p>

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

APA Ref	Short Title	Summary	Due Date	Responsible Person(s)	Status	Status Date	Initial Plan/Status Updates
2	Completion of 56 DCD's for Performance Credit Eligible SLA's with NG on 7/1/08 at risk	The Agreement anticipates having 56 Data Collection Documents in place on July 1, 2008. Of these documents, NG has not started 26, 14 are being drafted, 12 are in negotiation, 1 is ready to begin measurement, & 3 are approved & in use. With transformation quickly approaching, it is important for the SMO to have these Data Collection Documents in place in order to effectively measure NG's performance in a managed service environment. Delays past June 1, 2008 will have financial consequences for NG & service management repercussions for the Commonwealth.	<del>7/08</del> <del>10/08</del> <del>2/09</del> 7/09	Fred Duball	U	Initial Plan 5/08	37 of the 56 Data Collection Documents are on schedule to be completed prior to 7/1. 16 DCDs are now approved, 11 are in collaboration, 1 is in oversight, & 9 are being drafted by NG. The remaining 18 DCDs for the Voice & Video tower are at risk of being late. Contracts is scheduling a meeting to review the inclusion of the remaining 18 V&V DCD's. The 18 V&V DCD's scheduled to be complete by 7/1/08.  6/08 Of the 56 DCDs scheduled to be completed prior to 7/1: <ul style="list-style-type: none"> <li>7 were moved to a later date via a contractual ECP</li> <li>37 are complete</li> <li>12 are in collaboration, &amp; will be late</li> </ul> Project the 12 remaining DCDs (in collaboration & draft) will all be complete by 10/08.  9/08 Of the 12 DCDs remaining, 7 will be complete by 10/08. The remaining 5 will be complete by 02/09.  12/08 4 Voice & Video DCDs due on 7/1/08 remain outstanding & have been escalated to contracts for resolution. Feb 09 completion is at risk.  3/09 <b>4 Voice &amp; Video DCDs due on 7/1/08 remain outstanding. Working through contractual issues. Estimate completion in July.</b>
3	Clarify & communicate RFS process	VITA mgmt document & communicate with all its customers the responsibilities of the Partnership as well as the responsibilities of the customer. Doing so will help to prevent the placement of unreasonable service delivery expectations on both parties by one-another. Further, we recommend that VITA place accountability for each phase of the service request process with only 1 responsible party. The clear identification of responsibility will help to	<del>7/08</del> 11/09	Fred Duball	C	Initial Plan 5/08	1. Identify/assign accountable "ownership" for each phase of the 10 step RFS Process. Complete. Need to update procedural documents, where needed.  2. Identify, document recommendations to improve Phase I activities (Lead Qualification). Identify & establish integration points between the RFS & ITIM governance processes. Goal is to improve early engagement, forecasting, & governance approval requirements for business driven projects. Due: 6/08  3. Develop communications plan (customers, stakeholders) related to RFS process, timelines, performance targets, roles, & required interaction with ITIM governance process. Target is 5/08 for draft plan.

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APA Audit of VITA Service Management Organization, 4/08

APA Ref	Short Title	Summary	Due Date	Responsible Person(s)	Status	Status Date	Initial Plan/Status Updates
		identify the root-cause of potential future service delivery failures.					<ul style="list-style-type: none"> <li>4. Execute /deliver communications to customers &amp; stakeholders related to RFS process, timelines, performance targets &amp; roles. 7/08.</li> <li>5. Define &amp; develop in-flight &amp; monthly performance reporting. In-Flight Pilot (internal stakeholders) is complete. Monthly Performance is due 5/08</li> <li>6. Develop &amp; execute on improved resource plans for solution development (technical) &amp; business mgmt (financial-pricing). Due 5/08</li> </ul>
						6/08	<ul style="list-style-type: none"> <li>1. Complete. CAM team is accountable for Lead Qualification. Need to update detailed procedural documents, where needed.</li> <li>2.               <ul style="list-style-type: none"> <li>a. Developed Charter for Customer Account Teams (include significant focus on Lead Qualification &amp; Strategic Planning).</li> <li>b. Conduct CRM Work Shops &amp; Provide recommendations/ next steps. Workshops are now complete. Follow-up to take place with Exec Mgmt. Priorities regarding upcoming workshops &amp; follow-up to be established during the Exec Mgmt session. We will offer hr-long follow up sessions to customer facing staff focused on the following: dealing with customers, collecting &amp; understanding business requirements, communications skills, &amp; building internal &amp; external customer relationships.</li> <li>c. Monitor/report effectiveness of Customer Account Team meetings to ensure customers are engaged early in the project process. - Ongoing</li> <li>d. Identify &amp; conduct root cause/corrective actions (agency communications, escalation, etc..) on any future projects that are introduced late in the RFS process (not in strategic plan, customer leverages 3rd party, but does not involve/inform VITA, provides project requirements with short implementation time frames, etc..). - Ongoing.</li> </ul> </li> <li>3. Complete - Communications Plan approved.</li> <li>4. Ongoing - Following the plan, have delivered.</li> </ul>



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							<p>5. In-Flight Issues log is developed &amp; in use to proactively manage &amp; address delays as they occur. Monthly Performance metrics are behind schedule &amp; are now due July.</p> <p>6. Pending - Have added an additional 9 staff to focus on RFS solution development &amp; implementation. Target for additional staff is 13. Expect all 13 to be on board July.</p>
			9/08		Completed		<p>Completed &amp; delivered monthly performance metrics for July &amp; August.</p> <p>Initiated process redesign efforts for year 3 (rated in scope service requests [yr 3-10] versus cost plus [(year 1 &amp; 2)]). Redesign effort expected to take 6 weeks to complete. Also dependent on development &amp; roll out of Peregrine Service Request Module. Goals of Service Request process: reduce cycle times for solution development, reduce pricing confusion, &amp; improve visibility &amp; tracking of service requests.</p>
			12/08		Underway		<p>Continue with process redesign efforts for year 3 Managed Services. Primary enabler for full redesign will be automation – currently conducting assessments for Peregrine rollout schedule for Request Management Module. Have completed the following actions:</p> <ul style="list-style-type: none"> <li>- Developed Charter for Customer IPT sub team for RFS Improvements</li> <li>- Developed streamline process for installing services for new facilities, using Managed Router (ABC) RU's (improves speed/efficiency)</li> </ul> <p>Streamline RFS's for Moves &amp; VoIP, using established RU's (avoidance for solution &amp; pricing delays)</p>
			3/09		Completed		<p><b>Year 1-2 redesign completed &amp; communicated (process, roles, &amp; responsibilities). Initial redesign for year 3-10 service requests presented by NG to VITA SMO. Validation of prior redesign &amp; future state requirements in process including subsequent communication.</b></p>



## Corrective Action Plans Status a/o 9/08

### APA Audit of the VITA Service Management Organization, Interim Review of IT Partnership, 3/09

DOA Ref	Short Title	Summary	Due Date	Responsible Person(s)	Status	Status Date	Task / Comments
1	Continue to Apply Resources to Completing the Comprehensive Procedures Manual	Continue to apply resources, as well as hold Northrop Grumman (NG) accountable to its contractual responsibility to develop the procedures manual.	9/09	Fred Duball	U	Initial Plan 3/09	<ul style="list-style-type: none"> <li>- 6 of the 24 Chapters have been approved</li> <li>- Current schedule shows completion in 07/09, but SMO forecasts the need for two additional months based on experience</li> </ul>
2	Enforce Timely Delivery of Milestones	Continue to work with NG to complete milestones at an acceptable level & institute financial penalties when necessary until milestones are completed	12/09	Fred Duball	U	Initial Plan 3/09	<ul style="list-style-type: none"> <li>- Highlight weekly to NG Relationship Manager proximity to milestone completion dates &amp; status of Acceptance Criteria &amp; Acceptance Test Plans</li> <li>- Assess milestone deficiencies &amp; determine financial implications in conjunction with any other partnership issues</li> </ul>
3	Develop Realistic Schedule to Re-base-line Resource Units	With the assistance of NG develop a contingency plan in the likely event the planned deadlines are not met. Also encourage SMO to properly validate resource unit inventories & Data Control Documents (DCDs) submitted by NG.	7/09	Fred Duball	U	Initial Plan 3/09	<ul style="list-style-type: none"> <li>- Executing to initial schedule developed 2/20/09 Estimated completion of all re-base lining activities (i.e. DCD development, Acceptance Criteria &amp; Test Plans, including testing of Resource Units to validate baselines &amp; ongoing measurements) scheduled for 7/14/09</li> <li>- Assessing performance to plan on weekly basis.</li> <li>- Assess performance to plan &amp; determine financial implications in conjunction with any other partnership issues</li> </ul>
4	Complete DCDs for Service Level Agreements	Continue to work with NG to create DCDs that meet the needs of the Partnership.	10/09	Fred Duball	U	Initial Plan 3/09	<ul style="list-style-type: none"> <li>- Contractual &amp; technical issues are being addressed. Estimate completion 10/09</li> </ul>



## Corrective Action Plans Status a/o 3/09

### APA Report on Performance Audit, 7/08

APA Ref	Short Title	Summary	Due Date	Responsible Person(s)	Status	Status Date	Initial Plan/Status Updates
1	Analyze IV&V Results to Develop or Change IV&V Process	The Division should implement a knowledge base repository for IV&V reports, allowing them to analyze IV&V reports across the COV & assist in improving the current process. The Division should consider using a document management system, such as SharePoint, as the central repository for the IV&V reports. This will allow visibility of the report throughout VITA & enhance the communication between departments within VITA.	3/09	Jerry Simonoff	C	Initial Plan 7/08	Design & implement in conjunction with APA Reference 4. Activities: <ol style="list-style-type: none"> <li>1. Design appropriate directory structure for knowledge base repository;</li> <li>2. Select solution that will best support structure;</li> <li>3. Implement &amp; test solution;</li> <li>4. Modify PMD procedures; &amp;</li> <li>5. Communicate change to stakeholders.</li> </ol>
						9/08	Status of Planned Activities: <ol style="list-style-type: none"> <li>1. COMPLETE.</li> <li>2. COMPLETE: SharePoint selected.</li> <li>3. COMPLETE.</li> <li>4. In process.</li> <li>5. Not started.</li> </ol>
						12/08	Status of Planned Activities: <ol style="list-style-type: none"> <li>1. COMPLETE.</li> <li>2. COMPLETE: SharePoint Selected</li> <li>3. COMPLETE.</li> <li>4. In Process.</li> <li>5. In Process.</li> </ol>
						3/09	<b>Status of Planned Activities:</b> <ol style="list-style-type: none"> <li>1. COMPLETE.</li> <li>2. COMPLETE: SharePoint selected.</li> <li>3. COMPLETE.</li> <li>4. COMPLETE.</li> <li>5. COMPLETE.</li> </ol>
2	Analyze & Revise the IV&V Standard & Templates	The Division should review & analyze the tasks included in the standard IV&V statement of work template & eliminate any tasks that duplicate efforts already performed by Division specialists. The removal of these tasks from the template will eliminate unnecessary costs to agencies, & allow IV&Vs to focus on their main objective, verification & validation of project deliverables.	6/09	Jerry Simonoff	U	Initial Plan 7/08	Design & implement in conjunction with APA Ref. 3. Activities: <ol style="list-style-type: none"> <li>1. Review available research &amp; current best practices for public sector IV&amp;V;</li> <li>2. Review &amp; analyze tasks to identify duplicate efforts;</li> <li>3. Modify IV&amp;V templates;</li> <li>4. If necessary, revise PM Standard; &amp;</li> <li>5. Communicate change to stakeholders.</li> </ol>
						9/08	Status of Planned Activities: <ol style="list-style-type: none"> <li>1. COMPLETE.</li> <li>2. In process.</li> <li>3. Not started.</li> <li>4. Not started.</li> <li>5. Not started.</li> </ol>

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# Corrective Action Plans Status a/o 3/09

## APA Report on Performance Audit, 7/08

APA Ref	Short Title	Summary	Due Date	Responsible Person(s)	Status	Status Date	Initial Plan/Status Updates
						12/08	Status of Planned Activities: 1. COMPLETE. 2. COMPLETE. 3. In Process. 4. COMPLETE. 5. Not Started.
						3/09	Status of Planned Activities: 1. COMPLETE. 2. COMPLETE. 3. In progress. 4. COMPLETE. 5. Not started.
3	Implement Validation as part of IV&V Efforts	The Division should strengthen the validation requirements in IV&V reviews. The Division should evaluate best practices on validation & incorporate them into the Standard. The Division should also consider methods to reduce the amount of verification in IV&Vs & bring third parties in to perform the validation components.	6/09	Jerry Simonoff	U	Initial Plan 7/08	Design & implement in conjunction with APA Reference 2. Activities: 1. Review available research & current best practices for public sector IV&V; 2. Evaluate overall impact of reduced verification & use of 3 <sup>rd</sup> parties to perform validation tasks; 3. Identify additional validation tasks & establish criteria for when those tasks should be included in an IV&V review; 4. Modify IV&V templates; 5. If necessary, revise PM Standard; & 6. Communicate change to stakeholders..
						9/08	Status of Planned Activities: 1. COMPLETE. 2. In process. 3. In process. 4. Not started. 5. Not started. 6. Not started.
						12/08	Status of Planned Activities: 1. COMPLETE. 2. In Process. 3. In Process. 4. Not Started. 5. COMPLETE. 6. Not Started.



# Corrective Action Plans Status a/o 3/09

## APA Report on Performance Audit, 7/08

APA Ref	Short Title	Summary	Due Date	Responsible Person(s)	Status	Status Date	Initial Plan/Status Updates
						3/09	<b>Status of Planned Activities:</b> 1. COMPLETE. 2. In process. 3. In process. 4. Not started. 5. COMPLETE. 6. Not started.
4	Develop Standards for Project Documentation	The Division should develop standard folder architecture for all projects on their internal network drive & develop a frequency for how often analysts should upload project documents from their laptops. Further, the Division should consider using a document management system, such as Microsoft SharePoint, to organize their project documents. Having an organized folder structure will allow new or transitioned analysts to gain an understanding of the project more effectively.	3/09	Jerry Simonoff	C	Initial Plan 7/08	Design & implement in conjunction with APA Reference 1. Activities: 1. Design appropriate directory structure; 2. Select solution that will best support structure; 3. Implement & test solution; 4. Modify PMD procedures; & 5. Communicate change to stakeholders.
						9/08	<b>Status of Planned Activities:</b> 1. In process. 2. Not started. 3. Not started. 4. Not started. 5. Not started.
						12/08	<b>Status of Planned Activities:</b> 1. In Process. 2. In Process. 3. Not Started. 4. Not Started. 5. Not Started.
						3/09	<b>Status of Planned Activities:</b> 1. COMPLETE. 2. COMPLETE: Existing file structure on network drive selected. 3. COMPLETE. 4. COMPLETE. 5. COMPLETE.



## Corrective Action Plans Status a/o 3/09

### Department Of Accounts (DOA) Accounting & Financial Reporting Quality Assurance Review, 12/08

DOA Ref	Short Title	Summary	Due Date	Responsible Person(s)	Status	Status Date	Initial Plan/Status Updates
1	CARS Reconciliations	Complete reconciliations in a timely manner & submit certifications only if all reconciling items have been properly identified & will be resolved within 2 weeks after the due date for certification submission.	3/09	Jim Roberts	C	Initial Plan 12/08	Modify process  3/09 <b>Modify processes to ensure that reconciliation is completed on time &amp; certification is completed by the due date. If we expect to miss the due date, obtain approval from DOA for an extension.</b>
2	Attachment 16 (GASB 33 – Expenditure & Revenue Analysis)	Estab. & imp. procedures to ensure that individuals responsible for preparation & review of attachments are properly trained & understand reporting rqmts.	3/09	Jim Roberts	C	Initial Plan 12/08	Attend training & review prior year workpapers  3/09 <b>Individuals responsible for preparation &amp; review of attachments attend all training provided by DOA &amp; review prior year workpapers &amp; current year instructions as part of the process. No additional action is necessary.</b>
3	Attachment 22 (Receivables as of June 30)	Estab. & imp. procedures to ensure that individuals responsible for preparation & review of attachments are properly trained & understand reporting rqmts.	3/09	Jim Roberts	C	Initial Plan 12/08	Attend training & review prior year workpapers  3/09 <b>Individuals responsible for preparation &amp; review of attachments attend all training provided by DOA &amp; review prior year workpapers &amp; current year instructions as part of the process. No additional action is necessary.</b>
4	Inaccurate Attachments & Inadequate Attachment Process	Estab. & imp. procedures to ensure that individuals responsible for preparation & review of attachments are properly trained & understand reporting rqmts. to reduce the number of attachment errors & lower resubmissions to DOA.	3/09	Jim Roberts	C	Initial Plan 12/08	Attend training & review prior year workpapers  3/09 <b>Individuals responsible for preparation &amp; review of attachments attend all training provided by DOA &amp; review prior year workpapers &amp; current year instructions as part of the process. No additional action is necessary.</b>

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### Internal Audit Services (IAS) Federal Tax Information Safeguard, 4/08

Ref	Short Title	Summary	Due Date	Responsible Person(s)	Status	Status Date	Initial Plan/Status Updates
4	Update the 2007 MOA Between VITA & TAX	Update the MOA to clearly define changes in inventory responsibilities, background checks for legacy employees/contractors, & retention responsibilities over FTI access lists.	<del>8/08</del> <del>3/09</del> 1/09	Debbie Secor	U	Initial Plan 4/08	Clearly define changes in inventory responsibilities, clarify requirements regarding background checks, designate retention responsibilities over FTI access lists, & include requirements of IRS Publication 1075. Pending resolution of these issues, secure final MOA approval & signatures from VITA & TAX.
						6/08	Continuing to work with the Dept. of Taxation to update the MOA.
						9/08	Per TAX, due to the numerous changes in not only the IRS publication 1075, but also in the methodology used by their auditors to measure TAX's compliance, TAX has decided to wait until receiving the IRS audit report &/or any IRS findings before working on a revised MOA so that 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.
						12/08	Per Tax, the final IRS report was received by TAX on 12/30/08. They are now beginning discussions to address findings. TAX anticipates making some detailed changes to the MOA rather than sweeping changes. In the coming weeks, TAX will be spending time analyzing the IRS report & will contact VITA when they are ready to make some changes to the MOA.
						3/09	<b>TAX continues to evaluate the final IRS report &amp; address findings. Not currently ready for VITA to provide input into the MOA.</b>



## Corrective Action Plans Status a/o 3/09

### IAS Telework Review, 6/08

Ref	Short Title	Summary	Due Date	Responsible Person(s)	Status	Status Date	Initial Plan/Status Updates
3b	Align VITA Policy & Practice for Network Connection & Supporting Equipment Provisions	Define & document procedures to coordinate ordering, payment, & tracking activities for aircards/cell phones/offsite land lines & correctly align records tracking existing VITA-paid provisions.	1/09	Jim Roberts	C	Initial Plan 6/08	Review telco assets assigned within VITA & align with billing & purpose of assignment.
						9/08	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.
						12/08	VITA telecommunications inventory has been updated. The new telecommunications coordinator has been announced in a VITA Buzz & new hires/departures are monitored to ensure appropriate services & equipment are ordered & included in the inventory system.
						3/09	<b>VITA &amp; NG practices through Telecommunications Customer Service have been aligned &amp; the management review of VITA controlled devices is complete.</b>
5	Accurately Reflect Telework Statistics	Define & document procedures to reflect all telework activity, submit only employees teleworking at least 1 day/wk for PMIS stats, & merge & revise the Telework App/Agreement forms.	3/09	Jim Roberts	C	Initial Plan 6/08	Align new telework definitions in 2008 legislation, DHRM policy & roadmap reports.
						9/08	Telework statistics have been updated to reflect the new requirement for telework practice at least 32 hrs/month required in 2008 legislation & new DHRM policy. These requirements have also been reflected in the updated Policy & Telework Agreement submitted for PPRAT review.
						12/08	Information on all telework statistics has been reviewed & updated. PMIS entries have been updated. Telework statistics have been included as part of VITA's weekly reporting process.
						3/09	<b>Telework statistics are collected, submitted in PMIS using the revised telework agreement. Updated statistics are submitted weekly for review &amp; monitoring.</b>
6	Document Internal HR Telework Administration Procedures	Define & document HR telework admin procedures including mgmt, review, compliance, & record retention.	4/09	Jim Roberts	C	Initial Plan 6/08	Incorporate updated HR procedures with new policy & PAM processing for mgmt review.
						9/08	Human Resource employee designations for telework forms,

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### IAS Telework Review, 6/08

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							<p>statistics &amp; training have been made. Internal procedures will be documented &amp; continuously updated to align with the telework policy &amp; agreement.</p> <p>12/08 Procedures for updating telework statistics will follow the current data collection cycle, the new agreement, &amp; included for use in plans for automation of processes in the coming year.</p> <p><b>3/09 Telework agreements are reviewed &amp; approved by the Telework Coordinator in accordance with the policy published in February 09 on the VITA web &amp; stored electronically for shared use.</b></p>



# Corrective Action Plans Status a/o 3/09

## IAS Virginia Interactive Review, 9/08

Ref	Short Title	Summary	Due Date	Responsible Person(s)	Status	Status Date	Initial Plan/Status Updates
2	Seek OAG Advice on the VI Contract & Relationship	Obtain the advice of an OAG representative on the VI contract & relationship & current & future options	<del>11/08</del> <del>4/09</del> 9/09	Jim Roberts	U	Initial Plan 9/08	Submit request to OAG to review contract status, & to provide guidance for ongoing management of the contract.  12/08 Plan to submit request to OAG in Jan 09.  3/09 OAG has reviewed contract & legislation submitted for the 2009 session. Will continue to work on this as Enterprise Applications transitions to VITA in July.
3a	Document & Implement Processes to Execute Interagency Agreements, Including Rates & Fees	Document & implement processes to execute Interagency Agreements, including rates & fees	<del>6/09</del> 9/09	Jim Roberts	U	Initial Plan 9/08	Designate Contract Mgr. & 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.  12/08 Discussions of the draft proposals have been initiated & implementation is in process.  3/09 VEAP reviews & recommends agency agreements in accordance with the Memorandum of Agreement for VITA approval & billing. Will continue to work on this as Enterprise Applications transitions to VITA in July.
3b	Document & Implement Processes to Execute Interagency Agreements, Including Rates & Fees	Ensure agreements exist, restructure existing agreements to be between VITA & the agency or locality, & include access & data protection procedures	<del>6/09</del> 9/09	Jim Roberts	U	Initial Plan 9/08	Designate Contract Mgr. & document & implement a process to review 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.  12/08 Discussions of draft proposals have been initiated & implementation is in process.  3/09 VEAP reviews & recommends agency agreements in accordance with the Memorandum of Agreement for VITA approval & billing. Will continue to work on this as Enterprise Applications transitions to VITA in July.
3c	Document & Impl. Processes to Execute	Designate someone to work with VI & make sure communications reflect their role	8/09	Jim Roberts	U	Initial Plan 9/08	Engage the VEAP 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

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IAS Virginia Interactive Review, 9/08

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	Interagency Agreements, Including Rates & Fees						contract, in particular Sections 4 & 7.  12/08 Discussion of draft proposals have been initiated & implementation is in process.  <b>3/09 Legislation has completed the approval process &amp; will be considered with other related legislation &amp; budget actions relating to the transfer of the VEAP Office to VITA.</b>
4	Document & Implement Contract Management & Oversight Processes	Document & implement an approach & processes to oversee compliance & monitor performance & operations	6/09	Jim Roberts	U	Initial Plan 9/08	Designate Contract Mgr. 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.  12/08 Legislation has been introduced for the 2009 session of the General Assembly & will be monitored for inclusion in the final approach.  <b>3/09 Legislation has completed the approval process &amp; will be considered with other related legislation &amp; budget actions relating to the transfer of the VEAP Office to VITA.</b>



## Corrective Action Plans Status a/o 3/09

### IAS Strategic Sourcing and Contract Administration Review, Issued 12/08

Ref	Short Title	Summary	Due Date	Responsible Person(s)	Status	Status Date	Initial Plan/Status Updates
1	Enhance Processes Through Documenting Policies & Procedures, Implementing Quality Reviews & Training Employees	Document policies & procedures, implement quality reviews & provide training.	12/09	Jim Roberts	U	Initial Plan 12/08  12/08  <b>3/09</b>	Sourcing policies & procedures will be completed, quality reviews will be implemented & training will be conducted.  Sourcing policies have been completed & posted on the public website.  <b>Establishing plans to develop detail procedures as companions to new policies.</b>
2	Discontinue or Document & Implement a Change to the Two-Step IFB Process	Ensure the two-step IFB process will not be utilized until a written policy & procedure in compliance with the VPPA have been adopted.	12/09	Jim Roberts	U	Initial Plan 12/08  12/08  <b>03/09</b>	The two-step IFB written policy & procedure will be adopted.  Sourcing policies have been completed & posted on the public website.  <b>Establishing plans to develop detail procedures as companions to new policies.</b>
3	Develop & Implement a Process for Determining the Reasonableness of IFA Received	Document & implement a procedure to establish a process for assessing vendor sales reports for the reasonableness of IFA earned.	6/09	Jim Roberts	<b>U</b>	Initial Plan 12/08    <b>3/09</b>	A documented procedure for assessing vendor sales reports for the reasonableness of IFA earned will be implemented.     <b>Establishing plans to develop written procedures for assessing IFA earned.</b>
4	Update the Records Survey	Perform a complete SCM records survey as specified in the VITA Records Management Policy.	9/09	Jim Roberts	NS	Initial Plan 12/08    <b>3/09</b>	Based on limited resources, we are unable to address immediately, will plan for & complete survey by end of fiscal year.     <b>Based on limited resources, the survey will be completed by the end of the fiscal year.</b>

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## Corrective Action Plans Status a/o 3/09

### IAS Service Management Organization Review, Issued 12/08

Ref	Short Title	Summary	Due Date	Responsible Person(s)	Status	Status Date	Initial Plan/Status Updates
1	Document & Implement an Effective Risk Management Program	Document & implement an effective risk management program & monitor & oversee the Program Risk Management Plan process effectiveness.	5/09	Fred Duball	U	Initial Plan 12/08	<ul style="list-style-type: none"> <li>- Verify Risk Dashboards available to program governance activities (Integrated Product Teams (IPT's)) – complete</li> <li>- Assess performance to Program Risk Management Plan (PRMP) processes, SMO monitoring points &amp; frequency. Feb 09</li> <li>- Select &amp; initiate monitoring &amp; frequency improvements; incorporate documented processes into Operational Oversight Processes repository. Apr 09</li> <li>- Assess &amp; determine need for separate, supplier risk management processes &amp; tools. Mar 09.</li> </ul> <p><b>3/09 - Executing to plan – Program Risk Management Procedures being incorporated to the ITP Procedures Manual</b></p> <p><b>- Assessment, recommendation &amp; decision for separate supplier risk management delayed approximately one month</b></p>
2	Document & Implement Management Reporting Processes	Document & implement management reporting processes.	6/09	Fred Duball	U	Initial Plan 12/08	<ul style="list-style-type: none"> <li>- Verify &amp; associate cognizant lead &amp; stakeholders for formal reports (e.g. IMS, TSTAT, LemStat, MPR, ITIC/B, SLA's) &amp; report elements. Jan 09</li> <li>- Document source &amp; processes used to sample/validate report elements. Apr 09</li> <li>- Incorporate documented processes in Operational Oversight Processes repository. May 09</li> </ul> <p><b>3/09 - Executing to plan – Program Communications Management Procedures being reviewed by SMO for approval &amp; inclusion to ITP Procedures Manual</b></p>
3	Document & Implement Operational Oversight Processes	Document & implement the Operational oversight processes as areas move to steady states of operation.	10/09	Fred Duball	U	Initial Plan 12/08	<ul style="list-style-type: none"> <li>Will document Operational Oversight Processes including service delivery management processes &amp; priority 1 procedures for transformed services that are in place by June 2009.</li> <li>- Table of Contents with chapter priorities approved. Feb 09</li> <li>- Repository for procedures manual in place (not populated). Apr 09</li> <li>- Document &amp; implement the lifecycle process for the Operational Oversight procedures manual. Jul 09</li> <li>- Priority 1 chapters for services that were in place by June 2009 will be posted &amp; implemented. Oct 09</li> </ul> <p><b>3/09 - Executing to plan - Table of Contents approved on schedule</b></p>

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# Corrective Action Plans Status a/o 3/09

## IAS Service Management Organization Review, Issued 12/08

Ref	Short Title	Summary	Due Date	Responsible Person(s)	Status	Status Date	Initial Plan/Status Updates
4	Document & Implement a Policy Framework & Viable Plan to Deliver the Procedures Manual	Document & implement a comprehensive IT policy framework, rescind or update old policies, & put a viable plan in place to deliver & implement the Procedures Manual.	<del>7/09</del> 10/09	Fred Duball	U	Initial Plan 12/08	<p>Document Policy Framework in the Procedures Manual Table of Contents</p> <ul style="list-style-type: none"> <li>- Priority 1 – Complete</li> <li>- Priority 2 – Mar 09</li> </ul> <p>Implement Policy Framework in ITP Procedures Manual – Mar 09            Develop viable plan to deliver &amp; implement procedures manual – Complete            Oversee NGs performance to plan to deliver procedures manual – Ongoing (complete Jun 09)</p> <p><b>3/09</b></p> <ul style="list-style-type: none"> <li>- Oversight is in place</li> <li>- NG executing late to schedule, with June delivery of the ITP Procedures Manual at risk. New estimate of 10/09</li> </ul>
5	Document & Improve Project Review Processes	Document & improve the Project Review Process to include documented acceptance, reporting of deficiencies & agreements to correct them, & appropriate management reporting.	6/09	Fred Duball	U	Initial Plan 12/08	<ul style="list-style-type: none"> <li>- Assess current PRP documentation &amp; application to all program projects – transformation, service improvement &amp; service request. Feb 09</li> <li>- Baseline assessment of PRP artifacts &amp; status of acceptance for active projects. Apr 09</li> <li>- Establish periodic reporting &amp; corrective action for project management process issues. May 09</li> </ul> <p><b>3/09</b></p> <ul style="list-style-type: none"> <li>- Executing to plan – assessment complete, consolidation in process for projects resulting from work requests &amp;/or technology improvement initiatives within the ITP</li> <li>- NG project delivery processes with proposed SMO monitor &amp; control touch points to be delivered in April</li> </ul>
6	Implement Processes Over the Management & Oversight of VITA Managed Employees	Implement adequate processes to oversee VITA Managed Employees.	5/09	Fred Duball	C	Initial Plan 12/08	<ul style="list-style-type: none"> <li>- Reassess ownership &amp; accountability for Managed Employee oversight (may change oversight due to organizational changes) - Feb 09</li> <li>- Conduct audit of existing Managed Employee (ME) listing to confirm manager assignments &amp; other key data needed for tracking – Mar 09</li> <li>- Develop &amp; define Managed Employee (ME) &amp; Manager Change process, along with roles &amp; responsibilities to improve tracking of updated ME list &amp; Manager Assignments (WDM &amp; ADM assignment changes) - Apr 09</li> <li>- Develop/implement recurring audit procedures to maintain accuracy – Apr 09</li> </ul> <p><b>3/09</b></p> <ul style="list-style-type: none"> <li>- VITA HR has assumed ownership &amp; accountability for</li> </ul>

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### IAS Service Management Organization Review, Issued 12/08

Ref	Short Title	Summary	Due Date	Responsible Person(s)	Status	Status Date	Initial Plan/Status Updates
7	Improve Records Management Program	Improve records management program to comply with VITA Records Management Policy & Procedure & include management of all SMO & ITP Program records.	12/09	Fred Duball	U	Initial Plan 12/08	<p><b>Managed Employee oversight</b></p> <ul style="list-style-type: none"> <li>- <b>Audit &amp; confirmation of administrative manager assignments completed</b></li> <li>- <b>Process with roles &amp; responsibilities for maintaining assignments &amp; recurring audits developed &amp; implemented by VITA HR</b></li> </ul> <p>- Get new records officer assigned officially to the role of Records Officer. Mar 09</p> <p>- Get representatives assigned to each of the service management towers &amp; coordinate monthly meetings with this group. The current assigned representatives are in some cases no longer in the group or have left VITA. Mar 09</p> <p>- Mandate the training initiative that is being run by the records management team within SMO. Jun 09</p> <p>- Examine IPT records, document a procedure for their retention, implement it &amp; then audit it yearly. Sep 09</p> <p>Plug SMO into the email retention initiative being run by LVA. (ongoing)</p> <p><b>3/09 - New records officer assigned; service management area representatives &amp; monthly meetings re-established</b></p> <p><b>Training in progress; 50% complete</b></p>



## Corrective Action Plans Status a/o 3/09

### IAS Small Purchase Charge Card Program Follow-up, Issued 2/09

Ref	Short Title	Summary	Due Date	Responsible Person(s)	Status	Status Date	Initial Plan/Status Updates
1b	Identify Appropriate eVA Persons to Use SPCC	SPCCs & eVA access provided to appropriate associates to allow for purchases to be made in compliance w/ VITA SPCC Program Policy & Procedure & DOA CAPP manual by updating the VITA SPCC Program Policy & Procedure.	6/09	Jim Roberts	C*	Initial Plan 2/09	Update VITA SPCC Program Policy & Procedure to clarify need for eVA access. (publishing of policy pending DOA policy changes)  Additionally, a review of active cardholders to ensure appropriate access to eVA access was performed 9/08. Review will occur at least semi-annually.  <b>3/09 An updated policy/procedure was presented for internal review in March, 2009 that incorporates new card procedures &amp; updated DOA requirements. Review will be completed by 6/09.</b>  <b>*(Auditor's Comment: Substantially completed pending final issuance.)</b>
1d	Exclude Telecommunications Vendor Payments from Calculation of Eligible Transactions & Related SPCC Compliance	Request exemption for telecommunications transactions annually.	10/08	Jim Roberts	C	Initial Plan 2/09	Completed – The exemption request for telecommunications transactions was submitted to DOA on October 10, 2008. Going forward, request for exemption will be performed annually via e-mail as required by DOA.  <b>3/09 Exemptions request actions have been completed &amp; slated for annual updates.</b>
1e	Perform Evaluation of Desirability of a Gold Card	Review desirability of Gold Card & take appropriate action as result of review.	3/09	Jim Roberts	C	Initial Plan 2/09	Review desirability for Gold Card & take appropriate action  <b>3/09 Evaluation of Gold Card was conducted &amp; was rejected for use within VITA.</b>
3a	Emphasize requirement to maintain SPCC purchase log & update it as each purchase is made	Rename document used for logging purchases to reflect use as a log & provide training on requirement to log purchases as made.	3/09	Jim Roberts	C	Initial Plan 2/09	Document title was changed to include "and LOG" as of 10/08. Training for cardholders & their supervisors will emphasize the requirements of logging purchases as made.  <b>3/09 Training for all cardholders &amp; supervisors was conducted in early March, 2009 for new cards &amp; updated DOA policy.</b>
4	Cardholders & Respective Supervisors Sign Employee	Obtain signed employee agreements for all accounts prior to card receipt & upon renewal, & update VITA SPCC Program	6/09	Jim Roberts	U	Initial Plan 2/09	Update VITA SPCC Program Policy & Procedure to reflect signed employee agreements required prior to card issuance and/or renewal & a link to the current employee agreement. (publishing of policy pending DOA policy changes). Additionally, a review of

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## IAS Small Purchase Charge Card Program Follow-up, Issued 2/09

Ref	Short Title	Summary	Due Date	Responsible Person(s)	Status	Status Date	Initial Plan/Status Updates
	Agreements Prior to Receiving Cards & Upon Renewal	Policy & Procedure to reflect Employee Agreement to be used.					employee agreements was initiated in July 2008. Signed employee agreements were received for all active cardholders as of 09/09/08.  <b>3/09 An updated policy/procedure was presented for internal review in March, 2009 that incorporates new card procedures &amp; updated DOA requirements.</b>
6	Prohibit SPCC Use for Purchasing Software Unless Written Approval Obtained from SCM in Advance & Include Prohibition in Update of VITA SPCC Policy & Procedure & Other Relevant SCM Policies & Procedures	Clearly define & consistently communicate procedures for purchasing software in the VITA SPCC Program Policy & Procedure, eVA Training Materials & any other relevant SCM Policies & Procedures.	6/09	Jim Roberts	C*	Initial Plan 2/09	VITA SPCC Program Policy & Procedure & eVA training materials will be updated to clarify that electronic approval is acceptable for purchasing software with the SPCC. (publishing of policy pending DOA policy changes)  Training for cardholders & supervisors will address procedures for purchasing software with the SPCC.  <b>3/09 Training for all cardholders &amp; supervisors was conducted in early March, 2009 for new cards, updated DOA policy, &amp; eVA use.</b>  <b>*(Auditor's Comment: Substantially completed pending final issuance.)</b>
7	Update & Enforce VITA Small Purchase Charge Card Program Policy & Procedure to Conform w/ Latest Version of CAPP Manual Topic 20355	Update VITA SPCC Program Policy & Procedure to state charges made in excess of transaction limits will be enforced w/ minimally the same severity of consequences as stated in DOA CAPP manual.	6/09	Jim Roberts	C*	Initial Plan 2/09	VITA SPCC Program Policy & Procedure will state the consequences for exceeding transaction limits coinciding with DOA's CAPP manual.  <b>3/09 An updated policy/procedure was presented for internal review in March, 2009 that incorporates new card procedures &amp; updated DOA requirements.</b>  <b>*(Auditor's Comment: Substantially completed pending final issuance.)</b>
	Additional Results						
1a	Modify VITA SPCC Program Policy & Procedure to Align w/ VITA Practices & CAPP Manual & Provide	Revise VITA SPCC Program Policy & Procedure to reflect VITA business needs while maintaining compliance w/ DOA CAPP manual Topic No. 20355 Purchasing Charge Card.	6/09	Jim Roberts	C	Initial Plan 2/09	Update VITA SPCC Program Policy & Procedure to include reference to DOA policy. (publishing of policy pending DOA policy changes)  <b>3/09 An updated policy/procedure was presented for internal review in March, 2009 that incorporates new card</b>

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### IAS Small Purchase Charge Card Program Follow-up, Issued 2/09

Ref	Short Title	Summary	Due Date	Responsible Person(s)	Status	Status Date	Initial Plan/Status Updates
							<b>procedures &amp; updated DOA requirements.</b>
1b	Modify VITA SPCC Program Policy & Procedure to Align w/ VITA Practices & CAPP Manual & Provide Training to Cardholders	Provide training to cardholders & their supervisors on revised VITA SPCC Program Policy & Procedure.	6/09	Jim Roberts	C	Initial Plan 2/09	Training for cardholders & supervisors will address appropriate usage of cards & current policies & procedures. (publishing of policy pending DOA policy changes)
						3/09	<b>Training for all cardholders &amp; supervisors was conducted in early March, 2009 for new cards &amp; updated DOA policy.</b>
2	Update Supervisors Procedure for Handling Changed Employment Status	Update Supervisors Procedure for Handling Changed Employment Status to reflect immediacy of inactivating eVA accounts & SPCCs.	<del>3/09</del> 6/09	Jim Roberts	U	Initial Plan 2/09	SCM will work with HR to update Supervisors Procedure for Handling Changed Employment Status to reflect immediacy of inactivating eVA accounts & SPCCs.
						3/09	<b>An updated policy/procedure was presented for internal review in March, 2009 that incorporates updated procedures for changed employment status.</b>
3	Perform Periodic Review of SPCC Restrictions	SPCC PA perform periodic review of propriety of lifted restrictions, take appropriate action & ensure approval documentation is maintained as required by CAPP manual.	3/09	Jim Roberts	C	Initial Plan 2/09	Perform periodic review of lifted restrictions as recommended by DOA & retain all approval documentation as required by CAPP manual. Review will occur at least semi-annually. Additionally, VITA performed a review of lifted restrictions as of 10/08.
						3/09	<b>Reviews were completed for 2008 &amp; future reviews will be performed twice a year around November &amp; June.</b>
4	Provide Training for Following-up on Credits Due on SPCCs	Reinforce through training the need for cardholders to follow-up w/ vendor & GE MasterCard to obtain credits due or to resolve charges made to a SPCC.	3/09	Jim Roberts	C	Initial Plan 2/09	Training for cardholders & supervisors will address follow-up with vendors & card issuer to obtain credits due.
						3/09	<b>Training for all cardholders &amp; supervisors was conducted in early March, 2009 for new cards &amp; updated DOA policy.</b>
5	Strengthen Reviews of Cardholder Activity Performed by SCM	Strengthen SCM periodic reviews of cardholder activity to include determination if purchases are logged when made, inclusion of the SPCC PA & cardholder's supervisor on e-mails that SCM sends when communicating areas that need improvement,	5/09	Jim Roberts	C	Initial Plan 2/09	The SCM cardholder review will be updated to include: <ul style="list-style-type: none"> <li>Review of cardholder's monthly reconciliation from the A/P files to ensure invoices reconcile to credit card statement</li> <li>SPCC PA &amp; supervisor on communication with cardholder regarding areas that need improvement</li> <li>Enforce consequences of inappropriate use.</li> <li>Review all cardholders annually</li> </ul>

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		enforcement of consequences for inappropriate activity & review of all cardholders annually.				3/09	SCM reviews have been strengthened & include reconciliation, enforcement & cardholder communications for improvement.