

# APA Corrective Action Plan Status Report a/o September, 2007

## Audit of Commonwealth IT Governance and VITA Operations as of 4/7/06

18 of the 21 planned corrective actions are complete while three are given “green” status. The current statuses for the 21 corrective actions are as follows:

- ❖ **Blue** - 0 objectives (or 0%)
- ❖ **Green** - 20 objectives (or 95%) Completed
- ❖ **Yellow** - 1 objective (or 5%)
- ❖ **Red** - 0 objectives (or 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	07/06	Green	• Complete
3. ITIB & CIO Execute an IT Strategic Communications Plan	07/06	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	07/06	Green	• Complete
6. Change IT Project Submission Deadline	06/07	Green	• Complete
7. Include Life Cost of Projects	09/07	Green	• Complete
8. Simplify RTIP Project Listing	01/07	Green	• Complete
9. RTIP Enhancement	02/07	Green	• Complete
10. Identify Alternative IT Project Funding	07/06	Green	• Complete
11. Hire PMD Staff	<del>04/07</del> 10/07	Green	• Complete
12. Fix Ops. & Gov. Roles Conflicts	09/06	Green	• Complete
13. Improve PMD Effectiveness & Efficiency	<del>04/07</del> 10/07	Green	• Complete
14. Improve PMD Oversight Policies and Procedures	02/07	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	06/08	Yellow	• Phase 1 of the ITIL project (Change, Configuration, & Release) has been deployed to all ITP staff for internal Change Management. ITIL compliant Change Management, to include agency participation, is scheduled to roll out starting in Nov. Phase 2 processes (Incident, Problem, Capacity, & Availability) are nearly 1 month behind

VITA Corrective Action	Due Date	Status	Comments
			<p><b>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 revised plan is due 10/31/07 to correct the deficiencies, &amp; meet the June 2008 date for a ITIL conformant procedures manual. (Fred Duball)</b></p>
19. Provide COOP Info. to NG & Develop Plan to Complete COOP	01/07	Green	<ul style="list-style-type: none"> <li>• Complete</li> </ul>
20. Dev. Plan to Complete Incident Mgmt. Program incl. Comm. Security Risks	12/06	Green	<ul style="list-style-type: none"> <li>• Complete</li> </ul>
21. Revise & Require SOW Template to Document Specific Deliverables	08/06	Green	<ul style="list-style-type: none"> <li>• Complete</li> </ul>

## Internal Audit Services Corrective Action Plan Status Report a/o September, 2007

### Federal Tax Information Safeguards (Tax) & Network Perimeter (NP) Reports

The current statuses for the 6 corrective actions are as follows:

- ❖ **Blue** - 0 objectives (or 0%)
- ❖ **Green** - 6 objectives (or 100%)
- ❖ **Yellow** - 0 objective (or 0%)
- ❖ **Red** - 0 objectives (or 0%)

VITA Objective	Due Date	Status	Comments
Tax – 1.Update the 1999 TAX/DIT Federal Tax Tape Safeguards MOA	<del>11/06</del> 02/07	<b>Green</b>	• <b>Complete</b>
Tax – 2.Require & Retain Signed Disclosure Statements	<del>12/06</del> 05/07	<b>Green</b>	• <b>Complete</b>
NP – 1. Enable Router and Firewall Logging	<del>12/06</del> 06/07	<b>Green</b>	• <b>Complete</b>
NP – 2. Install IDS on Network Perimeters	<del>02/07</del> 05/07	<b>Green</b>	• <b>Complete</b>
NP – 3. Provide a Consistent Tool for Monitoring Internet Use	<del>02/07</del> 05/07	<b>Green</b>	• <b>Complete</b>
NP – 4. Revise VITA Central Network Perimeter Policies to Include All VITA	<del>05/07</del> 07/07	<b>Green</b>	• <b>Complete</b>

### Semiannual Report of Internal Control of Weaknesses Identified, Issued 1/07

The current statuses for the 5 corrective actions are as follows:

- ❖ **Blue** - 0 objectives (or 0%)
- ❖ **Green** - 5 objectives (or 100.0%)
- ❖ **Yellow** - 0 objective (or 0.0%)
- ❖ **Red** - 0 objectives (or 0%)

VITA Objective	Due Date	Status	Comments
1a. Enhance Electronic Notification Procedures for Payroll Changes – Establish a Documented Procedure	<del>01/07</del> 04/07	<b>Green</b>	• <b>Complete</b>

VITA Objective	Due Date	Status	Comments
1b. Enhance Electronic Notification Procedures for Payroll Changes – Expand SEPARATIONS Email Distribution List	01/07	Green	• Complete
2. Enhance Separation Procedure & Awareness	<del>01/07</del> 04/07	Green	• Complete
3. Require that Sensitive Information be Saved to Network Drives	<del>04/07</del> 07/07	Green	• Complete
4. Add the <i>Outside Employment Policy</i> to the M.O.A.T Policy Vault	01/07	Green	• Complete

### Electronic Media Disposal Report, Issued 9/07

The current statuses for the 6 corrective actions are as follows:

- ❖ **Blue** - 0 objectives (or 0%)
- ❖ **Green** - 6 objectives (or 100.0%)
- ❖ **Yellow** - 0 objective (or 0.0%)
- ❖ **Red** - 0 objectives (or 0%)

VITA Objective	Due Date	Status	Comments
1. Establish audit function for random testing of electronic media. Function should assess the effectiveness of VITA/contractor data removal efforts.	11/07	Green	• An audit function to randomly test data removal practices will be implemented. (Fred Duball)
2. Amend VITA Policy amended to include these provisions from the COV STD.	01/08	Green	• The VITA Policy will be amended to include recommended provisions of the STD. (Peggy Ward)
3. Revise the COV STD & VITA Policy to clearly define requirements for maintenance of malfunctioning disk media that contains data	04/08	Green	• The STD & VITA Policy will be revised to include requirements for maintenance of malfunctioning disk media that contains data. (Peggy Ward)
4. Ensure that a training program is developed, documented & implemented for appropriate operations staff on logging & tagging requirements as outlined in the STD.	11/07	Green	• Training program will be developed and implemented based on new procedures. (Fred Duball)
5. Develop procedures to provide detail instructions for removing data. These procedures should be aligned with the STD & the VITA Policy.	11/07	Green	• Will develop procedures that support the revised VITA policy on data removal. (Fred Duball)
6. Revise the VITA Policy to address VITA & the agencies' data removal responsibilities.	1/08	Green	• Will revise the VITA Policy to include data removal roles and responsibilities. (Peggy Ward)