



Corrective Action Plans Status a/o 6/09

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. | 6/08 3/09 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 & implemented, while others remain under development & 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 & 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, & 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. & 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, & Avail.) are nearly 1 month behind schedule. The proc. manual project has made progress in formalizing the process for proc. submission & review; but, the team is significantly behind on execution. A revised plan is due 10/07 to correct the deficiencies, & meet the 6/08 date for a ITIL conformant proc. manual.</p> <p>12/07 Phase 1 of the ITIL project (Change, Configuration, & 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, & Availability) are now over three months behind schedule. The procedures manual project has made progress in formalizing the process for procedures submission & 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 & assigned management of ITIL, Procedures Manual, & other key horizontal activities. This management team has moved quickly to review & improve all plans & 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, & 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 & 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 & procedures through VITA-NG peer review & 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 & 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"> Fully approved – 52 Adopted, awaiting process review board – 179 To be completed - ~170 <p>A new team has been brought onto the partnership to update the procedures manual outline, streamline document management processes, & 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 & 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, & 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 reflects the dates for planned adoption of Uniform Infrastructure Procedures for Priority 1 & Priority 2 documents:</p> <ul style="list-style-type: none"> Priority 1: November 30, 2008 Priority 2: March 31, 2009 |
| | | | | | | 12/08 | <p>Northrop Grumman did not complete all Priority 1 documents by November 30, 2008 as committed to & 29 Priority 1 documents still have not been authored. March 09 completion date is at risk.</p> |
| | | | | | | 3/09 | <p>3 of 12 Priority 1 chapters & 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.</p> |

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| | | | | | | 6/09 | 10 of 23 chapters have been approved; current NG schedule shows completion in Aug 09 but SMO forecasts the need for two additional months based on past performance. |



Corrective Action Plans Status a/o 6/09

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. | 7/08 10/08 2/09 7/09 9/09 | 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"> 7 were moved to a later date via a contractual ECP 37 are complete 12 are in collaboration, & will be late 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 | 4 Voice & Video DCDs due on 7/1/08 remain outstanding. Working through contractual issues. Estimate completion in July. |
| | | | | | | 6/09 | Contractual issues were decisioned in June & are being implemented; estimated completion in September. |



Corrective Action Plans Status a/o 6/09

APA Commonwealth of Virginia Single Audit Report, 6/08*, Corrective Action Plan 11/08

| APA Ref | Short Title | Summary | Due Date | Responsible Person(s) | Status | Status Date | Initial Plan/Status Updates |
|---------|--|--|---------------------------|-----------------------|--------|-------------|---|
| 08-41 | Improve Process for Resolving Billing Discrepancies | Establish & communicate guidelines for resolving agency billing disputes that include notifying the VITA's billing section. | 10/08 | Jim Roberts | C | 06/08 | Implemented a new online customer bill process intended to keep track of & resolve all billing issues/disputes. Provided a link to the new form in Oct 2008. Customer Account Managers & Agency Performance Managers are aware of the new process & will reinforce its use with their assigned agencies. |
| | | | | | | 06/09 | Completed on 10/08 |
| 08-52 | Improve Federal Reporting to Allow Comparison of Revenue vs. Allowable Costs | Resubmit revised Federal report. Develop & implement procedures to appropriately classify the Federal report. | 12/08 12/09 | Jim Roberts | U | 06/08 | The corrected information will be resubmitted to the state Dept of Accounts & federal Div. of Cost Allocation, Dept of Health & Human Services. Reporting processes are being modified to ensure that FY 2009 & future reports adhere to the correct format. |
| | | | | | | 06/09 | The reports were resubmitted in December 2008; federal & state authorities are satisfied with the revised versions. Development & implementation of procedures is still underway. |
| 08-53 | Establish & Document the Creation of Rate Structures & Develop Policy | Document & review rate structure calculations. Establish a standard policy & outline documentation expectations for future rate development. | 12/10 | Jim Roberts | U | 06/08 | Will improve management oversight & review (11/08); documentation (7/09) & training & knowledge transfer (12/10). |
| | | | | | | 06/09 | There has been enhanced management oversight of all phases of rates development since the audit. Since 9/08, a financial manager in SMO has been receiving on-the-job training in rates development. Some documentation has been created, but will not be completed by the end of 7/09 owing to heavy workload. Revised date for anticipated completion of documentation is 12/09. |
| 08-54 | Assess Reasonableness of Original Purchase Price | Develop a new method for adjusting assets to a reasonable price tier. | 11/08 | Jim Roberts | C | 06/08 | VITA has reviewed the purchase price of all of the assets in question & made appropriate corrections to assure that costs are consistent & equitable across the board. |
| | | | | | | 06/09 | During the past year, VITA performed an analysis of servers with a zero purchase price, & made corrections to these assets. |

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APA Commonwealth of Virginia Single Audit Report, 6/08*, Corrective Action Plan 11/08

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|---------|---|---|----------|-----------------------|--------|-------------|--|
| 08-55 | Create & Document Policies, Procedures & Process for Classifying Assets in Service Option 5 | Create formal internal policies, procedures, & process for service option 5 assets. Re-evaluate current assets classified as service option 5 against the new policy | 07/09 | Jim Roberts | U | 06/08 | Pertinent policies, procedures & processes will be developed & implemented with the reclassification of assets. |
| | | | | | | 06/09 | VITA has established additional service option categories & transferred assets to better identify out-of-scope assets but is still in the process of developing formal policies & procedures for service option five assets. |
| 08-56 | Improve Process over Properly Reporting Imputed Revenues | Determine service requirements for option 5 assets. If services are provided, bill agencies. Otherwise, document services provided, calculate imputed revenues, & include these "revenues" in the comparison of revenues to allowable costs report. | 7/09 | Jim Roberts | U | 06/08 | Pertinent policies, procedures & processes will be developed & implemented to determine the appropriate rates & network fees for option 5 assets. |
| | | | | | | 06/09 | VITA established 2 additional service option categories & moved many service option 5 assets into these categories. The assets remaining in service option 5 are not receiving service from the Partnership, nor are the assets billed to customers. VITA hasn't finished developing formal policies procedures surrounding service option five assets. |
| 08-57 | Establish & Document Policies & Procedures Surrounding Miscellaneous Charges | Evaluate miscellaneous charges, adjustments & surcharges & develop internal policies & procedures | 7/09 | Jim Roberts | C | 06/08 | Miscellaneous charges billed & the billing methodology used for each will be documented by VITA staff. |
| | | | | | | 06/09 | VITA has developed policies & procedures for the different types of miscellaneous charges including processing, documentation, & approval requirements, & any applicable surcharge. |
| 08-58 | Strengthen Inventory & Billing Controls | Improve the asset inventory quality control process | 7/09 | Jim Roberts | U | 06/08 | A monthly quality assurance review is performed of the asset inventory information provided by NG for monthly billing before agency bills are produced. A portion of the Oct bill is being withheld. Similar actions will be taken until the inventory is accurate. |
| | | | | | | 06/09 | VITA has developed policies & procedures defining billable status of an asset, such as "active" & "excess". VITA has also developed definitions for asset equipment types. |

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APA Commonwealth of Virginia Single Audit Report, 6/08*, Corrective Action Plan 11/08

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|---------|---|---|----------|-----------------------|--------|-------------|---|
| 08-59 | Improve Policies & Procedures over Assets Billable Status | Establish asset inventory & policies & procedures to the Partnership staff directing the classification & reclassification of inventory | 7/09 | Fred Duball | U | 06/08 | <p>The first phase of integrating the Enterprise IMAC process with Asset Management was implemented in the first quarter FY 2008. The specific procedural documents were provided to APA, representing the processes & procedures that have been implemented & communicated to internal staff & stakeholders.</p> <p>06/09 Initial draft of schedule will be completed & reviewed with Executive operation review team on 7/7/09; need to develop & complete integrated schedule based on current operational team structure (RU's, Billing, Contracts) to ensure all tasks & dependencies are included.</p> <p>In support of schedule development, initial confidence assessment completed on realistic timelines to complete & validate accuracy of RU quantities. Additionally, a QA assessment has been initiated to validate controls & effectiveness of current Change processes to sustain accuracy, pending completion of transformation (all tools & coverage in place). QA Assessment completion is targeted for late July.</p> |

* Only findings not reported elsewhere are included

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Corrective Action Plans Status a/o 6/09

APA Report on Performance Audit, 7/08

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|---------|--|---|----------|-----------------------|--------|----------------------|---|
| 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 | C | Initial Plan 7/08 | Design & implement in conjunction with APA Ref. 3. Activities: 1. Review available research & current best practices for public sector IV&V; 2. Review & analyze tasks to identify duplicate efforts; 3. Modify IV&V templates; 4. If necessary, revise PM Standard; & 5. Communicate change to stakeholders. |
| | | | | | | 9/08 | Status of Planned Activities: 1. COMPLETE. 2. In process. 3. Not started. 4. Not started. 5. Not started. |
| | | | | | | 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. |
| | | | | | | 6/09 | Status of Planned Activities: 1. COMPLETE. 2. COMPLETE. 3. COMPLETE. Templates posted to web. 4. COMPLETE. 5. COMPLETE. Stakeholders informed of changes. |
| 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 | 6/09 | Jerry Simonoff | C | 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 rd parties to perform validation tasks; 3. Identify additional validation tasks & establish criteria for when those tasks should be included in an IV&V review; |

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APA Report on Performance Audit, 7/08

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|---------|-------------|---|----------|-----------------------|--------|-------------|---|
| | | in IV&Vs & bring third parties in to perform the validation components. | | | | | 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. |
| | | | | | | 3/09 | Status of Planned Activities: 1. COMPLETE. 2. In process. 3. In process. 4. Not started. 5. COMPLETE. 6. Not started. |
| | | | | | | 6/09 | Status of Planned Activities: 1. COMPLETE. 2. COMPLETE. 3. COMPLETE. Additional validation tasks identified. 4. COMPLETE. IV&V templates modified. 5. COMPLETE. 6. COMPLETE. Stakeholders informed of changes. |



Corrective Action Plans Status a/o 6/09

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 | Initial Plan/Status Updates |
|---------|---|--|--------------------------|-----------------------|--------|----------------------------------|---|
| 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 10/09 | Fred Duball | U | Initial Plan 3/09 6/09 | <ul style="list-style-type: none"> - 6 of the 24 Chapters have been approved - Current schedule shows completion in 07/09, but SMO forecasts the need for two additional months based on experience - 10 of 23 chapters have been approved; current schedule shows August completion but SMO forecasts need for additional two months based on NG's past performance |
| 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 6/09 | <ul style="list-style-type: none"> - Highlight weekly to NG Relationship Manager proximity to milestone completion dates & status of Acceptance Criteria & Acceptance Test Plans - Assess milestone deficiencies & determine financial implications in conjunction with any other partnership issues - Two of seven remaining contractual milestones accepted (MS43 & 64); acceptance criteria & test plan established for MS 7 – ITIL Optimization - Continuing to engage & escalate remaining 5 for acceptance criteria, test plans & soonest delivery based on transformation progress (MS 17, 28, 32, 44 & 45) |
| 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 6/09 | <ul style="list-style-type: none"> - Executing to initial schedule developed 2/20/09 - Estimated completion of all re-base lining activities (i.e. DCD development, Acceptance Criteria & Test Plans, including testing of Resource Units to validate baselines & ongoing measurements) scheduled for 7/14/09 - Assessing performance to plan on weekly basis. - Assess performance to plan & determine financial implications in conjunction with any other partnership issues - Initial draft of schedule will be completed & reviewed with Executive operation review team on 7/7/09; need to develop & complete integrated schedule based on current operational team structure (RU's, Billing, Contracts) to ensure all tasks & dependencies are included. |

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

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|---------|--|---|---------------------------|-----------------------|--------|----------------------|---|
| | | | | | | | - In support of schedule development, initial confidence assessment completed on realistic timelines to complete & validate accuracy of RU quantities. Additionally, a QA assessment has been initiated to validate controls & effectiveness of current Change processes to sustain accuracy, pending completion of transformation (all tools & coverage in place). QA Assessment completion is targeted for late July. |
| 4 | Complete DCDs for Service Level Agreements | Continue to work with NG to create DCDs that meet the needs of the Partnership. | 40/09 12/09 | Fred Duball | U | Initial Plan 3/09 | - Contractual & technical issues are being addressed. Estimate completion 10/09 |
| | | | | | | 6/09 | - Contractual & technical issues decided in June; current schedule shows December completion |



Corrective Action Plans Status a/o 6/09

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. | 8/08 3/09 1/10 | 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 | TAX continues to evaluate the final IRS report & address findings. Not currently ready for VITA to provide input into the MOA. |
| | | | | | | 6/09 | Tax continues to evaluate potential changes to the MOA. We do have a meeting scheduled with TAX to discuss outstanding issues for resolution near the end of July. |



Corrective Action Plans Status a/o 6/09

IAS Virginia Interactive Review, 9/08

| Ref | Short Title | Summary | Due Date | Responsible Person(s) | Status | Status Date | Initial Plan/Status Updates |
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| 2 | Seek OAG Advice on the VI Contract & Relationship | Obtain the advice of an OAG representative on the VI contract & relationship & current & future options | 11/08 4/09 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. 6/09 No change in status to report as of June. After VEAP transitions to VITA in July, future updates are anticipated. |
| 3a | Document & Implement Processes to Execute Interagency Agreements, Including Rates & Fees | Document & implement processes to execute Interagency Agreements, including rates & fees | 6/09 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. 6/09 No change in status to report as of June. After VEAP transitions to VITA in July, future updates are anticipated. |
| 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 | 6/09 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 |

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IAS Virginia Interactive Review, 9/08

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| | | | | | | | in July. |
| | | | | | | 6/09 | No change in status to report as of June. After VEAP transitions to VITA in July, future updates are anticipated. |
| 3c | Document & Impl. Processes to Execute Interagency Agreements, Including Rates & Fees | 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 contract, in particular Sections 4 & 7. |
| | | | | | | 12/08 | Discussion of draft proposals have been initiated & implementation is in process. |
| | | | | | | 3/09 | Legislation has completed the approval process & will be considered with other related legislation & budget actions relating to the transfer of the VEAP Office to VITA. |
| | | | | | | 6/09 | No change in status to report as of June. After VEAP transitions to VITA in July, future updates are anticipated. |
| 4 | Document & Implement Contract Management & Oversight Processes | Document & implement an approach & processes to oversee compliance & monitor performance & operations | 6/09 9/09 | 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. |
| | | | | | | 3/09 | Legislation has completed the approval process & will be considered with other related legislation & budget actions relating to the transfer of the VEAP Office to VITA. |
| | | | | | | 6/09 | No change in status to report as of June. After VEAP transitions to VITA in July, future updates are anticipated. |



Corrective Action Plans Status a/o 6/09

IAS Strategic Sourcing & 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 | Sourcing policies & procedures will be completed, quality reviews will be implemented & training will be conducted. |
| | | | | | | 12/08 | Sourcing policies have been completed & posted on the public website. |
| | | | | | | 3/09 | Establishing plans to develop detail procedures as companions to new policies. |
| | | | | | | 6/09 | Procedures under development with target completion in September. Training & implementation to follow. |
| 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 | The two-step IFB written policy & procedure will be adopted. |
| | | | | | | 12/08 | Sourcing policies have been completed & posted on the public website. |
| | | | | | | 03/09 | Establishing plans to develop detail procedures as companions to new policies. |
| | | | | | | 6/09 | Procedures under development with target completion in September. Training & implementation to follow. |
| 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 9/09 | Jim Roberts | U | Initial Plan 12/08 | A documented procedure for assessing vendor sales reports for the reasonableness of IFA earned will be implemented. |
| | | | | | | 3/09 | Establishing plans to develop written procedures for assessing IFA earned. |
| | | | | | | 6/09 | Procedure developed for assessing vendor sales & reasonableness of IFA. Implementation will occur after end of fiscal year vendor sales reports are received. |
| 4 | Update the Records Survey | Perform a complete SCM records survey as specified in the VITA Records Management Policy. | 9/09 6/10 | Jim Roberts | U | Initial Plan 12/08 | Based on limited resources, we are unable to address immediately, will plan for & complete survey by end of fiscal year. |
| | | | | | | 3/09 | Based on limited resources, the survey will be completed by the end of the fiscal year. |

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



Corrective Action Plans Status a/o 6/09

IAS Strategic Sourcing & Contract Administration Review, Issued 12/08

| Ref | Short Title | Summary | Due Date | Responsible Person(s) | Status | Status Date | Initial Plan/Status Updates |
|-----|-------------|---------|----------|-----------------------|--------|-------------|--|
| | | | | | | 6/09 | Limited progress. SCM is working to identify a resource to coordinate the effort & enlist a Records Officer to assist. |



Corrective Action Plans Status a/o 6/09

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 11/09 | Fred Duball | U | Initial Plan 12/08 | <ul style="list-style-type: none"> - Verify Risk Dashboards available to program governance activities (Integrated Product Teams (IPT's)) – complete - Assess performance to Program Risk Management Plan (PRMP) processes, SMO monitoring points & frequency. Feb 09 - Select & initiate monitoring & frequency improvements; incorporate documented processes into Operational Oversight Processes repository. Apr 09 - Assess & determine need for separate, supplier risk management processes & tools. Mar 09. |
| | | | | | | 3/09 | <ul style="list-style-type: none"> - Executing to plan – Program Risk Management Procedures being incorporated to the ITP Procedures Manual - Assessment, recommendation & decision for separate supplier risk management delayed approximately one month |
| | | | | | | 6/09 | Risk Management process & procedures PPRB approved & incorporated to ITP Procedures Manual. Separate supplier risk management requirement evaluation deferred to fourth quarter. |
| 2 | Document & Implement Management Reporting Processes | Document & implement management reporting processes. | 6/09 7/09 | Fred Duball | U | Initial Plan 12/08 | <ul style="list-style-type: none"> - Verify & associate cognizant lead & stakeholders for formal reports (e.g. IMS, TSTAT, LemStat, MPR, ITIC/B, SLA's) & report elements. Jan 09 - Document source & processes used to sample/validate report elements. Apr 09 - Incorporate documented processes in Operational Oversight Processes repository. May 09 |
| | | | | | | 3/09 | <ul style="list-style-type: none"> - Executing to plan – Program Communications Management Procedures being reviewed by SMO for approval & inclusion to ITP Procedures Manual |
| | | | | | | 6/09 | Program Communications Management process & procedures finalized & pending PPRB review & incorporation to ITP Procedures Manual early July. |
| 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"> - Will document Operational Oversight Processes including service delivery management processes & priority 1 procedures for transformed services that are in place by June 2009. - Table of Contents with chapter priorities approved. Feb 09 - Repository for procedures manual in place (not populated). Apr 09 - Document & implement the lifecycle process for the Operational |

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Corrective Action Plans Status a/o 6/09

IAS Service Management Organization Review, Issued 12/08

| Ref | Short Title | Summary | Due Date | Responsible Person(s) | Status | Status Date | Initial Plan/Status Updates |
|-----|--|---|--|-----------------------|--------|-----------------------|---|
| | | | | | | | <ul style="list-style-type: none"> Oversight procedures manual. Jul 09 Priority 1 chapters for services that were in place by June 2009 will be posted & implemented. Oct 09 |
| | | | | | | 3/09 | - Executing to plan - Table of Contents approved on schedule |
| | | | | | | 6/09 | Executing to plan. |
| 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. | 7/09 10/09 1/10 | Fred Duball | U | Initial Plan 12/08 | <ul style="list-style-type: none"> Document Policy Framework in the Procedures Manual Table of Contents Priority 1 – Complete Priority 2 – Mar 09 <p>Implement Policy Framework in ITP Procedures Manual – Mar 09 Develop viable plan to deliver & implement procedures manual – Complete Oversee NGs performance to plan to deliver procedures manual – Ongoing (complete Jun 09)</p> |
| | | | | | | 3/09 | <ul style="list-style-type: none"> Oversight is in place NG executing late to schedule, with June delivery of the ITP Procedures Manual at risk. New estimate of 10/09 |
| | | | | | | 6/09 | 10 of 23 chapters approved; current NG schedule shows completion in August but SMO forecasts two additional months based on past performance (Oct 09). Implementation will take an additional 3 months to January 2010. |
| 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 7/09 | Fred Duball | U | Initial Plan 12/08 | <ul style="list-style-type: none"> Assess current PRP documentation & application to all program projects – transformation, service improvement & service request. Feb 09 Baseline assessment of PRP artifacts & status of acceptance for active projects. Apr 09 Establish periodic reporting & corrective action for project management process issues. May 09 |
| | | | | | | 3/09 | <ul style="list-style-type: none"> Executing to plan – assessment complete, consolidation in process for projects resulting from work requests &/or technology improvement initiatives within the ITP NG project delivery processes with proposed SMO monitor & control touch points to be delivered in April |

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Corrective Action Plans Status a/o 6/09

IAS Service Management Organization Review, Issued 12/08

| Ref | Short Title | Summary | Due Date | Responsible Person(s) | Status | Status Date | Initial Plan/Status Updates |
|-----|------------------------------------|---|----------|-----------------------|--------|-----------------------|--|
| | | | | | | 6/09 | NG proposed drafts for project delivery & technology improvement processes delayed; forecast review, approval & incorporation to Procedures Manual in July. |
| 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 | <ul style="list-style-type: none"> - Get new records officer assigned officially to the role of Records Officer. Mar 09 - Get representatives assigned to each of the service management towers & 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 - Mandate the training initiative that is being run by the records management team within SMO. Jun 09 - Examine IPT records, document a procedure for their retention, implement it & then audit it yearly. Sep 09 Plug SMO into the email retention initiative being run by LVA. (ongoing) |
| | | | | | | 3/09 | - New records officer assigned; service management area representatives & monthly meetings re-established Training in progress; 50% complete |
| | | | | | | 6/09 | All SMO records officers training completed. SMO participates in email retention efforts run by LVA. Audit for IPT records & documentation is set for end of Sept or beginning of Oct. Some pre-work has been done (5%). |



Corrective Action Plans Status a/o 6/09

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 |
|-----|---|--|----------|-----------------------|--------|-------------------|---|
| 4 | Cardholders & Respective Supervisors Sign Employee Agreements Prior to Receiving Cards & Upon Renewal | Obtain signed employee agreements for all accounts prior to card receipt & upon renewal, & update VITA SPCC Program Policy & Procedure to reflect Employee Agreement to be used. | 6/09 | Jim Roberts | C | 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 employee agreements was initiated in July 2008. Signed employee agreements were received for all active cardholders as of 09/09/08. |
| | | | | | | 3/09 | An updated policy/procedure was presented for internal review in March, 2009 that incorporates new card procedures & updated DOA requirements. |
| | | | | | | 6/09 | New policy & procedures were posted on 4/24/09. |
| 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. |
| | | | | | | 3/09 | Training for all cardholders & supervisors was conducted in early March, 2009 for new cards, updated DOA policy, & eVA use. (Auditor's Comment: Substantially completed pending final issuance.) |
| | | | | | | 6/09 | eVA training materials were updated March 2009. Final policy update issued on 4/09/09. |
| 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. |
| | | | | | | 3/09 | An updated policy/procedure was presented for internal review in March, 2009 that incorporates new card procedures & updated DOA requirements. (Auditor's Comment: Substantially completed pending final issuance.) |
| | | | | | | 6/09 | Final policy update issued on 4/09/09. |

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Corrective Action Plans Status a/o 6/09

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 |
|-----|---|--|---|-----------------------|--------|--|--|
| 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. | 3/09 6/09 10/09 | Jim Roberts | U | Initial Plan 2/09 3/09 6/09 | SCM will work with HR to update Supervisors Procedure for Handling Changed Employment Status to reflect immediacy of inactivating eVA accounts & SPCCs. An updated policy/procedure was presented for internal review in March, 2009 that incorporates updated procedures for changed employment status. Updated policy was reviewed by PPRAT & further comments & recommendations are under consideration. |



Corrective Action Plans Status a/o 6/09

IAS Customer Account Management Review, Issued 4/09

| Ref | Short Title | Summary | Due Date | Responsible Person(s) | Status | Status Date | Initial Plan/Status Updates |
|-----|---|---|----------|-----------------------|--------|-------------------|---|
| 1 | Develop Performance Measurements | Develop & implement documented performance measurements. | 10/09 | Debbie Secor | U | Initial Plan 4/09 | Complete the collection of CAM performance measurement data points & incorporate into the current performance plans. 6/09 In process. |
| 2 | Document & Implement a Logical Access Procedure | Have processes to grant, terminate, & change logical access for the CAM SharePoint site documented & implemented to follow the VITA Logical Access & Control Policy. | 7/09 | Debbie Secor | U | Initial Plan 4/09 | Research how the rest of VITA is addressing the Logical Access & Control Policy requirements & then document & Implement Logical Access Procedures for the CAM SharePoint site. 6/09 Still in process. |
| 3 | Update the Records Survey | Have the Records Survey updated to comply with VITA Records Management Policy & Procedure & have public records stored in a location other than solely the SharePoint site. | 5/09 | Debbie Secor | C | Initial Plan 4/09 | Update the records survey to include records on the CAM SharePoint site & ensure that these records are stored in a location outside of SharePoint. 6/09 Complete. |