

Corrective Action Plan Status Report a/o June 2009

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

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

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

VITA Corrective Action	Due Date	Status	Comments
1. Address Conflict in Dual CIO Roles	10/06	Green	• Complete.
2. Continue to Support COV's Roadmap	7/06	Green	• Complete.
3. ITIB & CIO Execute an IT Strategic Communications Plan	7/06	Green	• Complete.
4. Improve Agency Strategic Planning & IT Investment Decision Process	11/06	Green	• Complete.
5. Ensure Agencies Underst& How Agency IT Strategic Planning Process Supports the COV Plan	7/06	Green	• Complete.
6. Change IT Project Submission Deadline	6/07	Green	• Complete.
7. Include Life Cost of Projects	9/07	Green	• Complete.
8. Simplify RTIP Project Listing	1/07	Green	• Complete.
9. RTIP Enhancement	2/07	Green	• Complete.
10. Identify Alternative IT Project Funding	7/06	Green	• Complete.
11. Hire PMD Staff	4/07 10/07	Green	• Complete.
12. Fix Ops. & Gov. Roles Conflicts	9/06	Green	• Complete.
13. Improve PMD Effectiveness & Efficiency	4/07 10/07	Green	• Complete.
14. Improve PMD Oversight Policies & Procedures	2/07	Green	• Complete.
15. Establish Written Criteria for CIO Project Recommendations	11/06	Green	• Complete.
16. Implement Security Operating Plan	10/06	Green	• Complete.
17. Develop Timeline for Security Standards	10/06	Green	• Complete.
18. Adopt Uniform Infrastructure Procedure	6/08 3/09 10/09	Yellow	• 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. (Fred Duball)
19. Provide COOP Info. to NG & Develop Plan to Complete COOP	1/07	Green	• Complete.
20. Dev. Plan to Complete Incident Mgmt. Program incl. Comm. Security Risks	12/06	Green	• Complete.
21. Revise & Require SOW Template to Document Specific Deliverables	8/06	Green	• Complete.

APA Audit of VITA Service Management Organization, 4/08

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

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

VITA Corrective Action	Due Date	Status	Comments
1. Contingency for Procedures Manual Deliverable	7/08	Green	• Complete.
2. Completion of 56 DCD's for Performance Credit Eligible SLA's with NG on 7/1/08 at risk	7/08 10/08 2/09 7/09 9/09	Yellow	• Contractual issues were decisioned in June & are being implemented; estimated completion in September. (Fred Duball)
3. Clarify & communicate RFS process	7/08 11/09	Green	• Complete.
4. Improve analysis & reporting of VITA service issues to the Board	10/08	Blue	• Complete.

APA Commonwealth of Virginia Single Audit as of 6/08*

* Only findings not reported elsewhere are included

1 of the 9 planned corrective actions are complete. The current status of the 9 corrective actions is as follows:

- ❖ **Blue** - 0 objectives (0%)
- ❖ **Green** - 8 objectives (88.9%)
- ❖ **Yellow** - 1 objectives (11.1%)
- ❖ **Red** - 0 objectives (0%)

VITA Corrective Action	Due Date	Status	Comments
08-41 Improve Process for Resolving Billing Discrepancies	10/08	Green	• Complete.
08-52 Improve Federal Reporting to Allow Comparison of Revenue vs. Allowable Costs	12/08 12/09	Yellow	• The reports were resubmitted in December 2008; federal & state authorities are satisfied with the revised versions. Development & implementation of procedures is still underway. (Jim Roberts)
08-53 Establish & Document the Creation of Rate Structures & Develop Policy	12/10	Green	• 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. (Jim Roberts)

VITA Corrective Action		Due Date	Status	Comments
08-54	Assess Reasonableness of Original Purchase Price	11/08	Green	<ul style="list-style-type: none"> During the past year, VITA performed an analysis of servers with a zero purchase price, and made corrections to these assets. Complete. (Jim Roberts)
08-55	Create & Document Policies, Procedures & Process for Classifying Assets in Service Option 5	7/09	Green	<ul style="list-style-type: none"> 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. (Jim Roberts)
08-56	Improve Process over Properly Reporting Imputed Revenues	7/09	Green	<ul style="list-style-type: none"> 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. (Jim Roberts)
08-57	Establish & Document Policies & Procedures Surrounding Miscellaneous Charges	7/09	Green	<ul style="list-style-type: none"> VITA has developed policies & procedures for the different types of miscellaneous charges including processing, documentation, & approval requirements, & any applicable surcharge. Complete. (Jim Roberts)
08-58	Strengthen Inventory & Billing Controls	7/09	Green	<ul style="list-style-type: none"> VITA has developed policies & procedures defining billable status of an asset, such as "active" & "excess". VITA has also developed definitions for asset equipment types. (Jim Roberts)
08-59	Improve Policies & Procedures over Assets Billable Status	7/09	Green	<ul style="list-style-type: none"> 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. 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. (Jim Roberts)

APA Report on Performance Audit as of 7/08

5 of the 5 planned corrective actions are complete. The current status of the 5 corrective actions is as follows:

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

VITA Corrective Action		Due Date	Status	Comments
1.	Analyze IV&V Results to Develop or Change IV&V Process	3/09	Green	<ul style="list-style-type: none"> Complete.
2.	Analyze & Revise the IV&V Standard & Templates	6/09	Green	<p>Status of Planned Activities:</p> <ul style="list-style-type: none"> COMPLETE. COMPLETE. COMPLETE. Templates posted to web. COMPLETE. COMPLETE. Stakeholders informed of changes. Complete. (Jerry Simonoff)

VITA Corrective Action	Due Date	Status	Comments
3. Implement Validation as part of IV&V Efforts	6/09	Green	Status of Planned Activities: <ul style="list-style-type: none"> • COMPLETE. • COMPLETE. • COMPLETE. Additional validation tasks identified. • COMPLETE. IV&V templates modified. • COMPLETE. • COMPLETE. Stakeholders informed of changes. Complete. (Jerry Simonoff)
4. Develop Standards for Project Documentation	3/09	Green	<ul style="list-style-type: none"> • Complete.
5. Properly Complete Employment Eligibility Verification Forms	7/08	Green	<ul style="list-style-type: none"> • Complete.

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

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

- ❖ **Blue** - 0 objectives (0%)
- ❖ **Green** - 4 objectives (100%)
- ❖ **Yellow** - 0 objectives (0%)
- ❖ **Red** - 0 objectives (0%)

VITA Corrective Action	Due Date	Status	Comments
1. Continue to Apply Resources to Completing the Comprehensive Procedures Manual	9/09 10/09	Green	<ul style="list-style-type: none"> • 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 (Fred Duball)
2. Enforce Timely Delivery of Milestones	12/09	Green	<ul style="list-style-type: none"> • 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) (Fred Duball)
3. Develop Realistic Schedule to Re-base-lin Resource Units	7/09	Green	<ul style="list-style-type: none"> • 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. • 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. (Fred Duball)
4. Complete DCDs for Service Level Agreements	10/09 12/09	Green	<ul style="list-style-type: none"> • Contractual & technical issues decisioned in June; current schedule shows December completion (Fred Duball)

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

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

- ❖ **Blue** - 0 objectives (0%)
- ❖ **Green** - 7 objectives (87.5%) (Completed)
- ❖ **Yellow** - 1 objective (12.5%)
- ❖ **Red** - 0 objectives (0%)

VITA Corrective Action	Due Date	Status	Comments
1. Assign Accountability of Oversight to Monitor the FTI Process	5/08	Green	• Complete.
2a. Amend Iron Mountain Contract & Ensure Access Lists are Referenced	6/08 7/08	Green	• Complete.
2b. Amend Iron Mountain Contract & Ensure Access Lists are Referenced	6/08	Green	• Complete.
3. Implement Procedures to Retain Signed Disclosure Forms & Verify Annual Training	7/08	Green	• Complete.
4. Update the 2007 MOA Between VITA & TAX	8/08 3/09 1/10	Yellow	• 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. (Debbie Secor)
5. Exchange Authorization Lists with Broad Street & TAX Timely	7/08	Green	• Complete.
6. Distribute & Enforce Procedures for FTI Movement & Custody of All FTI Tapes	7/08	Green	• Complete.
7. Update Records Survey to Include FTI Records	8/08 10/08	Green	• Complete.

IAS Virginia Interactive Review, 9/08

1 of the 6 planned corrective actions is complete. The current status of the 6 corrective actions is as follows:

- ❖ **Blue** - 0 objectives (0%)
- ❖ **Green** - 5 objectives (83.3%)
- ❖ **Yellow** - 1 objective (16.7%)
- ❖ **Red** - 0 objectives (0%)

VITA Corrective Action	Due Date	Status	Comments
1. Properly Manage General Fund Transfers	8/09	Green	• Complete.
2. Seek OAG Advice on the VI Contract & Relationship	11/08 1/09 9/09	Yellow	• No change in status to report as of June. After VEAP transitions to VITA in July, future updates are anticipated. (Jim Roberts)

VITA Corrective Action	Due Date	Status	Comments
3a. Document & Implement Processes to Execute Interagency Agreements, Including Rates & Fees	6/09 9/09	Green	• No change in status to report as of June. After VEAP transitions to VITA in July, future updates are anticipated. (Jim Roberts)
3b. Document & Implement Processes to Execute Interagency Agreements, Including Rates & Fees	6/09 9/09	Green	• No change in status to report as of June. After VEAP transitions to VITA in July, future updates are anticipated. (Jim Roberts)
3c. Document & Implement Processes to Execute Interagency Agreements, Including Rates & Fees	8/09	Green	• No change in status to report as of June. After VEAP transitions to VITA in July, future updates are anticipated. (Jim Roberts)
4. Document & Implement Contract Management & Oversight Processes	6/09 9/09	Green	• No change in status to report as of June. After VEAP transitions to VITA in July, future updates are anticipated. (Jim Roberts)

IAS Strategic Sourcing & Contract Administration Review, 12/08

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

- ❖ **Blue** - 0 objectives (0%)
- ❖ **Green** - 4 objectives (100%)
- ❖ **Yellow** - 0 objectives (0%)
- ❖ **Red** - 0 objectives (0%)

VITA Corrective Action	Due Date	Status	Comments
1. Enhance Processes Through Documenting Policies & Procedures, Implementing Quality Reviews & Training Employees	12/09	Green	• Procedures under development with target completion in September. Training & implementation to follow. (Jim Roberts)
2. Discontinue or Document & Implement a Change to the Two-Step IFB Process	12/09	Green	• Procedures under development with target completion in September. Training & implementation to follow. (Jim Roberts)
3. Develop & Implement a Process for Determining the Reasonableness of IFA Received	6/09 9/09	Green	• Procedure developed for assessing vendor sales & reasonableness of IFA. Implementation will occur after end of fiscal year vendor sales reports are received. (Jim Roberts)
4. Update the Records Survey	9/09 6/10	Green	• Limited progress. SCM is working to identify a resource to coordinate the effort & enlist a Records Officer to assist. (Jim Roberts)

IAS Service Management Organization Review, 12/08

1 of the 7 planned corrective actions is complete. The current status of the 7 corrective actions is as follows:

- ❖ **Blue** - 0 objectives (0%)
- ❖ **Green** - 6 objectives (85.7%)
- ❖ **Yellow** - 1 objective (14.3%)
- ❖ **Red** - 0 objectives (0%)

VITA Corrective Action	Due Date	Status	Comments
1. Document & Implement an Effective Risk Management Program	5/09 11/09	Green	• Risk Management process & procedures PPRB approved & incorporated to ITP Procedures Manual. Separate supplier risk management requirement evaluation deferred to fourth quarter. (Fred Duball)
2. Document & Implement Management Reporting Processes	6/09 7/09	Green	• Program Communications Management process & procedures finalized & pending PPRB review & incorporation to ITP Procedures Manual early July. (Fred Duball)
3. Document & Implement Operational Oversight Processes	10/09	Green	• Executing to plan. (Fred Duball)
4. Document & Implement a Policy Framework & Viable Plan to Deliver the Procedures Manual	7/09 10/09 1/10	Yellow	• 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. (Fred Duball)
5. Document & Improve Project Review Processes	6/09 7/09	Green	• NG proposed drafts for project delivery & technology improvement processes delayed; forecast review, approval & incorporation to Procedures Manual in July. (Fred Duball)
6. Implement Processes Over the Management & Oversight of VITA Managed Employees	5/09	Green	• Complete.
7. Improve Records Management Program	12/09	Green	• 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%). (Fred Duball)

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

12 of the 13 planned corrective actions are complete. The current status of the 13 corrective actions is as follows:

- ❖ **Blue** - 1 objective (7.7%)
- ❖ **Green** - 11 objectives (84.6%)
- ❖ **Yellow** - 1 objective (7.7%)
- ❖ **Red** - 0 objectives (0%)

VITA Corrective Action	Due Date	Status	Comments
1b. Identify Appropriate eVA Persons to Use SPCC	6/09	Green	• Complete.
1d. Exclude Telecommunications Vendor payments from Calculation of Eligible Transactions & Related SPCC Compliance	10/08	Green	• Complete.
1e. Perform Evaluation of Desirability of a Gold Card.	3/09	Green	• Complete.
3a. Emphasize requirement to maintain SPCC purchase log & update it as each purchase is made.	3/09	Green	• Complete.
4. Cardholders & Respective Supervisors Sign Employee Agreements Prior to Receiving Cards & Upon Renewal	6/09	Green	• New policy & procedures were posted on 4/24/09. Complete. (Jim Roberts)
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	12/09	Green	• eVA training materials were updated March 2009. Final policy update issued on 4/09/09. Complete. (Jim Roberts)

VITA Corrective Action	Due Date	Status	Comments
7. Update & Enforce VITA Small Purchase Charge Card Program Policy & Procedure to Conform w/ Latest Version of CAPP Manual Topic 20355	6/09	Green	• Final policy update issued on 4/09/09. Complete. (Jim Roberts)
Additional Results			
1a. Modify VITA SPCC Program Policy & Procedure to Align w/ VITA Practices & CAPP Manual & Provide Training to Cardholders	6/09	Green	• Complete.
1b. Modify VITA SPCC Program Policy & Procedure to Align w/ VITA Practices & CAPP Manual & Provide Training to Cardholders	6/09	Green	• Complete.
2. Update Supervisors Procedure for Handling Changed Employment Status	3/09 6/09 10/09	Yellow	• Updated policy was reviewed by PPRAT & further comments & recommendations are under consideration. (Jim Roberts)
3. Perform Periodic Review of SPCC Restrictions	3/09	Green	• Complete.
4. Provide Training for Following-up on Credits Due on SPCC's	3/09	Green	• Complete.
5. Strengthen Reviews of Cardholder Activity Performed by SCM	5/09	Blue	• Complete.

IAS Customer Account Management Review, 4/09

1 of the 3 planned corrective actions is complete. The current status of the 3 corrective actions is as follows:

- ❖ **Blue** - 0 objectives (0%)
- ❖ **Green** - 3 objectives (100%)
- ❖ **Yellow** - 0 objective (0%)
- ❖ **Red** - 0 objectives (0%)

VITA Corrective Action	Due Date	Status	Comments
1. Develop Performance Measurements	10/09	Green	• Complete the collection of CAM performance measurement data points & incorporate into the current performance plans. In process. (Debbie Secor)
2. Document & Implement a Logical Access Procedure	7/09	Green	• 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. Still in process. (Debbie Secor)
3. Update the Records Survey	5/09	Green	• Update the records survey to include records on the CAM SharePoint site & ensure that these records are stored in a location outside of SharePoint. Complete. (Debbie Secor)