

APA Corrective Action Plan Status Report as/of December 2006

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

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

- ❖ **Green** - 19 objectives (or 90.5%)
- ❖ **Yellow** - 2 objectives (or 9.5%)
- ❖ **Red** - 0 objectives (or 0%)

VITA Objective	Due Date	Status	Comments
1. Address Conflict in Dual CIO Roles	10/06	Green	• Complete
2. Continue to Support COV'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	9/07	Green	• Complete
8. Simplify RTIP Project Listing	01/07	Green	• At the request of the ITIB, additional portfolio views were posted to the ITIB Website in Dec. Task 2 is complete. At the Oct. ITIB meeting, following agreement to revise the RTIP process, the ITIB decided not to conduct a 2006 RTIP stakeholder survey. Task 3 is no longer required. Actions complete. (J. Simonoff)
9. RTIP Enhancement	02/07	Green	A re-engineered, “top down” RTIP process, integrated with the existing agency strategic planning cycle, was agreed upon in principle at the October ITIB meeting. The ITIB anticipates that the revised RTIP process will enhance the usefulness of the RTIP report to the Governor & General Assembly by promoting agency collaboration & enterprise initiatives that are clearly linked to Commonwealth business and performance goals, & legislative mandates. The value of the revised RTIP process & report will be evaluated in stakeholder surveys to be conducted following publication of the 2007 RTIP Report. Actions complete. (J. Simonoff)

VITA Objective	Due Date	Status	Comments
10. Identify Alternative IT Project Funding	07/06	Green	• Complete
11. Hire PMD Staff	01/07	Yellow	PMD briefed the ITIB Finance & Audit Committee at the Oct. mtg on ITIM Service Fee revenues & the negative impact on PMD staffing. The Committee approved a CIO recommendation to restructure the ITIM Service Fee to address inherent disincentives (to agencies) in the fee structure & improve the associated revenue stream. The ITIM Service Fee issue was presented to JLARC in Dec. Tasks 2 & 4 remain incomplete pending VITA review of available PMD revenue streams & resolution of ITIM Service Fee constraints. New due date to be provided for April meeting. (J. Simonoff)
12. Fix Ops. & Gov. Roles Conflicts	09/06	Green	Complete
13. Improve PMD Effectiveness & Efficiency	01/07	Yellow	• Funding constraints continue to impact planned Phase 2 corrective actions. New due date to be provided for April meeting. (J. Simonoff)
14. Improve PMD Oversight Policies and Procedures	02/07	Green	• Complete
15. Establish Written Criteria for CIO Project Recommendations	11/06	Green	• A formal Project Performance Review (PPR) Procedure, incorporating criteria & procedures for the PMD recommendation & CIO approval to modify, suspend, or terminate a project, has been approved by the CIO & is being implemented by PMD. Actions Complete. (J. Simonoff)
16. Implement Security Operating Plan	10/06	Green	• Operating plan is documented with major deliverables. Actions Complete. (P. Ward)
17. Develop Timeline for Security Standards	10/06	Green	• Timeline developed & integrated into the operating plan. Actions Complete. (P. Ward)
18. Adopt Uniform Infrastructure Procedure	06/08	Green	• 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. (F. Duball)
19. Provide COOP Info. to NG & Develop Plan to Complete COOP	01/07	Green	• Complete
20. Dev. Plan to Complete Incident Mgmt. Program incl. Comm. Security Risks	12/06	Green	• Incident mgmt prgrm plan has been developed & integrated into the Security workplan. Incident management engineer has been hired. Continue recruiting for second position. Actions Complete. (P. Ward)
21. Revise & Require SOW Template to Document Specific Deliverables	08/06	Green	• Complete

A Review of Information Security in the Commonwealth of Virginia, Issued 12/06

Initial plan report. The current statuses for the 2 corrective actions are as follows:

- ❖ **Green** - 2 objectives (or 100%)
- ❖ **Yellow** - 0 objectives (or 0%)
- ❖ **Red** - 0 objectives (or 0%)

VITA Objective	Due Date	Status	Comments
1. Develop Inf. Security Comm. Plan, assist agencies w/IS program & provide assurance IT security controls.	3/07	Green	Develop a plan to combine VITA's existing assistance to agencies including: <ul style="list-style-type: none"> • conducting the large Information Security Advisory Group meetings, • developing Policies, Standards, Guidelines & Templates, • furnishing a Monthly Cyber Security Newsletter for Security Awareness, • responding effectively to individual agency requests & queries with new outreach initiatives including forming an Information Security Council (customer advisory group) & consideration of other communication vehicles relative to information security including assurance to agencies on status of infrastructure information security controls. (P. Ward)
3. Supplement SEC 501	2/07	Green	Review the specific 15 additional processes listed in the SJR51 Report & develop a plan stating the optimal means of inclusion and timing. Review will be done in conjunction with annual review & revision of SEC500 IT Security Policy, SEC501 IT Security Standard, & SEC502 IT Security Audit Standard.

Internal Audit Services Corrective Action Plan Status Report as/of December 2006

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

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

- ❖ **Green** - 3 objectives (or 50.0%)
- ❖ **Yellow** - 3 objectives (or 50.0%)
- ❖ **Red** - 0 objectives (or 0%)

VITA Objective	Due Date	Status	Comments
Tax - 1. Update the 1999 TAX/DIT Federal Tax Tape Safeguards MOA	11/06 2/07	Yellow	<ul style="list-style-type: none"> Waiting for Tax to approve. (D. Secor)
Tax – 2. Require & Retain Signed Disclosure Statements	12/06	Yellow	<ul style="list-style-type: none"> Signed statements are now being filed for employees and contractors, and being maintained by VITA, standard forms have been developed, and procedures document completed. Final approval of all is pending and all that remains to be completed by Tax Commissioner’s Office (J. Roberts)
NP – 1. Enable Router and Firewall Logging	12/06 6/07	Yellow	<ul style="list-style-type: none"> Many potential operational issues exist with implementation. NG will evaluate those in-scope agencies with internet connectivity by 6/30/07. For large agencies who are not logging but no issues are discovered, NG will implement logging by 6/30. For all others & large agencies with issues, plans will be developed for remediation or as an input to the transformation schedule. It is expected that this effort will capture 90% of the in-scope agencies. Status will be monitored thru the weekly operations meetings. (F. Duball)
NP – 2. Install IDS on Network Perimeters	2/07	Green	<ul style="list-style-type: none"> NG will request any existing data owned by the Security group. Any missing data will be collected via the SLD with a due date of 2/07. It is expected that this effort will capture 90% of the in-scope agencies. The results of this data, correlated with agency identified level of risk will be used as an input to transformation order. (Note, it is only one of many things that go into transformation scheduling) (F. Duball)
NP – 3. Provide a Consistent Tool for Monitoring Internet Use	2/07	Green	<ul style="list-style-type: none"> NG will request any existing data owned by the Security group, focusing on COTs packages. Any missing data will be collected via the SLD with a due

VITA Objective	Due Date	Status	Comments
			date of 2//07. It is expected that this effort will capture 90% of the in-scope agencies. The results of this data, correlated with agency identified level of risk will be used as an input to transformation order. (Note, it is only one of many things that go into transformation scheduling) (F. Duball)
NP – 4. Revise VITA Central Network Perimeter Policies to Include All VITA	5/07	Green	<ul style="list-style-type: none"> An internal review of VITA policies related to network monitoring is taking place 1/07 as part of an internal assessment. (P. Ward)