



Corrective Action Plans Status a/o 12/06

APA Audit Report of Commonwealth IT Governance and VITA Operations a/o 4/7/06, Issued 5/06

PA Ref	Short Title	Summary	Due Date	Responsible Person(s)	Status	Status Date	Task / Comments
6	Change IT Project Submission Deadline	Consider changing the current deadline for receiving agency IT projects to better align with the agency's strategic planning cycle.	6/07	Jerry Simonoff	C	Initial Plan 5/06	<p>1.) Synchronization of agency strategic planning cycle for RTIP 2007 (Include issue in letter from CIO to DPB (referenced in Item #5 above))</p> <p>2.) At the August ITIB meeting, present the following for resolution at the October Board meeting:</p> <ul style="list-style-type: none"> • Strategic planning schedule • Feasibility of moving the RTIP due date
						7/06	Task 1 is partially complete. Issue has been coordinated with DPB.
						9/06	Task number 2 is complete. The strategic planning schedule & RTIP due date are on the agenda for the Oct. ITIB meeting.
						12/06	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 concluded that the RTIP publication date should remain unchanged for 2007. The CIO will present the detailed 2007 RTIP schedule to the ITIB at the January meeting. Task 1 is complete.



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8	Simplify RTIP Project Listing	Consider simplifying RTIP to incl. one prioritized list of both active & new projects. Assess cost-benefit of providing add'l. lists & narratives not req. by Code.	1/07	Jerry Simonoff	C	Initial Plan 5/06	<p>1) Present streamlined RTIP Report outline to the ITIB for approval. Revised RTIP 2006 Report will include one prioritized list of both active and new projects. (Approved by the ITIB 4/06)</p> <p>2) The ITIB agreed to removing additional portfolio views & providing this information on their Website for RTIP 2006. (Approved by the ITIB 4/06)</p> <p>3) A stakeholder survey will be conducted in October to determine the value of providing additional portfolio views, not required by Code, in future RTIP reports.</p>
						7/06	Task 1 is complete. Task 2 is partially complete. Website development is underway.
						9/06	Additional portfolio views have been posted to the ITIB website for RTIP 2006. Proposed survey questions will be presented to the ITIB at the October meeting.
						12/06	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.

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9	RTIP Enhancement	The ITIB should communicate w/Gov. & GA to determine how the priority report can become a useful decision making tool. If it can't be done, recommend GA eliminate the requirement.	2/07	Jerry Simonoff	C	Initial Plan 5/06	1) Survey RTIP Report stakeholders in October 2006 to determine the overall value of the RTIP reporting process and identify needed changes to make the report a more effective decision making tool. 2) Deliver ITIB recommendations to the Gov. & GA
						7/06	Task 1 – survey development planned for September, following completion of RTIP 2006.
						9/06	Proposed survey questions will be presented to the ITIB at the Oct. meeting.
						12/06	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.



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11	Hire PMD Staff	Authorize & fill vacant full-time positions rather than hiring vendors.	4/07	Jerry Simonoff	U	Initial Plan 5/06	<p>1) Implement phase 1 reorganization of PMD to increase available staff direct project oversight and consulting hours. (Completed – 5/1/06)</p> <p>2) Fill PMD authorized vacancies. The phase 1 target is 13 FTE against a maximum authorization of 15 MEL, with 10 positions currently filled.</p> <p>3) Due to continuing difficulty in recruiting experienced project managers, initiate an “Open Until Filled” recruiting strategy. (Completed – 5/11/06)</p> <p>4) Implement phase 2 reorganization of PMD (13 FTE) to reduce administrative burden on staff providing direct customer services. Target Date: 1/07</p>
						7/06	<p>Task 1 is complete.</p> <p>Task 2 is partially complete, with 11 of 13 positions filled. Further hiring is now on hold, as volume of projects/procurements-the basis for hrly billings-are thus far below projections. PMD will continue to monitor and report on trends at the ITIB's Oct. meeting.</p>
						9/06	<p>There is no change in status for task 2. As directed, PMD will brief the ITIB Finance & Audit Committee at the Oct. Meeting on ITIM service fee revenues and the impact on PMD staffing. Task 3, recruiting strategy, terminated due to lack of revenue. Task 4 on hold.</p>
						12/06	<p>PMD briefed the ITIB Finance & Audit Committee at the Oct. mg 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 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 at the April meeting.</p>

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15	Establish Written Criteria for CIO Project Recommendations	PMD should establish written criteria & procedures for recommending that the CIO modify, suspend or terminate a project.	11/06	Jerry Simonoff	C	Initial Plan 5/06 7/06 9/06	Develop a new PMD procedure that addresses, decision criteria, staff review requirements & decision paper formats & processing. Target date: 11/06 Preliminary research is underway. Draft criteria, score card, process diagram, & template for recommending that the CIO modify, suspend or terminate a project were developed & are under review.
							12/06 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.
16	Implement Security Operating Plan	Security Services should detail, document, & approve an operating plan to direct daily & long-term business decisions & consider the overall goal & deadlines as well as how transition to NG will affect Security Services' role.	10/06	Peggy Ward	C	Initial Plan 5/06 7/06 9/06	Will develop an operating plan by 10/06. Hired Deputy CISO to start 7/31. Began initial discussions with staff. Had a Security off-site to identify priorities and build a roadmap in August. Translating results into an operating plan.
							12/06 Operating plan is documented with major deliverables.

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17	Develop Timeline for Security Standards	Security Services should develop a timeline for the finalization & distribution of all outstanding stds & incl. in the operating plan the dev. of new policies & updating existing policies.	10/06	Peggy Ward	C	Initial Plan 5/06	Will finalize the draft security policy & 2 stds by 7/06 & include a plan for id. of new policies & existing policies by 10/06.
						7/06	Provided Draft Security Policy & two stds. to ITIB for approval. Began analysis of remaining areas.
						9/06	Analysis of remaining areas continues & results will be integrated into the operating plan.
						12/06	Timeline developed & integrated into the operating plan.



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PA Ref	Short Title	Summary	Due Date	Responsible Person(s)	Status	Status Date	Task / Comments
18	Adopt Uniform Infrastructure Procedure	Service Mgmt. Org. should adopt uniform procedures that apply to all aspects of VITA's infrastructure.	6/08	Fred Duball	U	Initial Plan 5/06	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.
						7/06	The project started on July 1.
						9/06	Executing to plan, on track to meet milestones. Workshops have been scheduled to develop procedures.
						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.



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19	Provide COOP Info. to NG & Develop Plan to Complete COOP	Continue effort to document as much COOP info. as possible & provide to NG, while also beginning to prepare a detailed written plan to complete a COOP in accordance with existing VITA standards.	1/07	Peggy Ward	C	Initial Plan 5/06	Will provide NG as much COOP as possible & begin preparing an integrated VITA COOP by 1/07 in accordance with the Standard.
						7/06	Defined initial emergency communication coordination with NG, briefed on SunGard contract & made customer DR plans available. Initiated discussions with staff for plan.
						9/06	Met with VDEM to revise COV BIA. Formed VITA COOP team with NG members included.
						12/06	Coordinated with NG on annual DR testing with SunGard. Team of VITA & NG members formed & working to complete updated COOP based on VDEM guidelines.
20	Develop Plan to Complete Incident Mgmt. Prgrm Incl. Comm. Security Risks	Develop plan for completing Phase II of the incident mgmt. prgrm & incl. policies & procedures to communicate security risks to the agencies.	12/06	Peggy Ward	C	Initial Plan 5/06	Will develop a detailed operating plan that will include completing Phase II of the incident mgmt. program in coordination with VITA SMO & NG. The plan will also include documenting policies & procedures for communicating security risks to the agencies.
						7/06	Recruiting for incident management staff.
						9/06	Still recruiting. NG implemented the interim Incident Management solution.
						12/06	Incident mgmt prgrm plan has been developed & integrated into the Security workplan. Incident management engineer has been hired. Continue recruiting for second position.

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Federal Tax Information Safeguards (TAX) & Network Perimeter (NP) Reports, Issued 8/06

IAS Ref	Short Title	Summary	Due Date	Responsible Person(s)	Status	Status Date	Task / Comments
Tax 1	Update the 1999 TAX/DIT Federal Tax Tape Safeguards MOA	Resolve issues impeding final approval of the MOA. Obtain MOA signatures from TAX and VITA representatives.	11/06 2/07	Debbie Secor	U	Initial Plan 9/06	Get final cost figures and revised cover letter. Secure final MOA approval & signatures from VITA and TAX. 12/06 Waiting for Tax to approve.
Tax 2	Require & Retain Signed Disclosure Statements	Document and implement procedure to keep signed statements on file for persons authorized to handle Federal tax info including employees and contractors.	12/06	Jim Roberts	U	Initial Plan 9/06	Document & implement the procedure for keeping signed statements (DIT Employee Code of Ethics/Confidentiality & Unauthorized Disclosure of Tax Information) on file for all personnel who are authorized to handle Federal tax information, including both employees & contractors. 12/06 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.



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Federal Tax Information Safeguards (TAX) & Network Perimeter (NP) Reports, Issued 8/06

IAS Ref	Short Title	Summary	Due Date	Responsible Person(s)	Status	Status Date	Task / Comments
NP 1	Enable Router and Firewall Logging	VITA should comply with SEC501-01 and SEC2001-01.1 by enabling logging on network perimeter routers and firewalls throughout the VITA enterprise.	12/06 6/07	Fred Duball	U	Initial Plan 9/06	<p>1.) Engage Northrop Grumman Continuing Operations and initiate implementation.</p> <p>2.) Monitor completion status thru weekly operations meetings.</p> <p>12/06 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.</p>
NP 2	Install IDS on Network Perimeters	SEC501-01 includes requirements for intrusion detection. SEC2001-01.1 requires that there be a process to identify and evaluate threats. One of four VITA network segments reviewed (DGIF) did not utilize intrusion detection.	2/07	Fred Duball	U	Initial Plan 9/06	<p>Begin gap analysis process and utilize for agency recommendations.</p> <p>12/06 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)</p>

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NP 3	Provide a Consistent Tool for Monitoring Internet Use	VITA does not have a single or consistent tool for monitoring employee Internet use.	2/07	Fred Duball	U	Initial Plan 9/06	<p>Begin gap analysis process and utilize for transformation prioritization.</p> <p>12/06 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 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)</p>
NP 4	Revise VITA Central Policies to Include All of VITA	VITA policies related to network monitoring are inconsistent and do not address the VITA enterprise as a whole.	5/07	Peggy Ward	U	Initial Plan 9/06	<p>Revise network perimeter policies and procedures to be consistent across the VITA enterprise.</p> <p>12/06 An internal review of VITA policies related to network monitoring is taking place 1/07 as part of an internal assessment.</p>

APA Audit Report of A Review of Information Security in the Commonwealth of Virginia, Issued 12/06
 SJR 51

IAS Ref	Short Title	Summary	Due Date	Responsible Person(s)	Status	Status Date	Task / Comments
1	Develop Inf. Security Comm. Plan, assist agencies w/IS program & provide assurance of IT security controls.	VITA should develop a plan to communicate infrastructure info. & standards to agencies that VITA supports. Additionally, VITA should provide assistance & expertise to agencies as they develop their information security programs. VITA should also assume responsibility for ensuring that the infrastructure meets the agency's needs & mitigate threats & vulnerabilities through Northrop Grumman's standards.	3/07	Peggy Ward	U	Initial Plan 12/06	<p>Develop a plan to combine VITA's existing assistance to agencies including:</p> <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 and queries <p>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>
3	Supplement SEC 501	The CIO & ITIB should consider supplementing the Commonwealth's SEC 501 standard with the additional processes identified in this report.	4/07	Peggy Ward	U	Initial Plan 12/06	<p>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.</p>



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SJR 51