



October 2005 Status – (11 Complete, 4 underway)

[In response to the Auditor of Public Accounts Performance Audit Report, dated December 15, 2004]

Plan approved by the ITIB Finance & Audit Committee on February 1, 2005; # 1 was amended at the April, 2005 meeting; #'s 4 & 13 were amended at the June, 2005 meeting & #'s 6, 7, 11 & 12 were amended at the August, 2005 meeting.

APA Ref	Short Title	Summary	Due Date	Responsible Person(s)	Status	Task/Comments
1	COVA IT strategic plan	ITIB & CIO must establish a long-term COVA IT strategic vision, update COVA's IT strategic plan & consider business strategies coming from other organizations.	10/ 31/05 3/31/06	ITIB/Stewart Simonoff /Lubic	Underway	<p>2/05 VITA staff has begun the planning for this effort with the first meeting being held on January 12, 2005. A committee of the Board will be established to guide this effort.</p> <p>4/05 On behalf of the CIO, VITA staff has drafted an update to the <i>2002 Strategic Plan for Technology in Virginia</i>. The draft was provided to the ITIB Project Review Committee on 3/16, for their review and recommendation in advance of presentation to the full Board on April 13. As per Code, comment by the Council on Technology Services is also being solicited.</p> <p>6/05 VITA is in the planning phase of the project to develop the next iteration of the Strategic Plan for Technology in Virginia. Estimated date to publish this plan is March 31, 2006.</p> <p>7/05 Consultants who worked with the Council on Virginia's Future and DPB on the state's new strategic planning process have been retained by VITA to lead development of the new state IT strategic plan. VITA staff reviewed the proposed approach to developing the plan with the ITIB Strategic Planning and Review Committee at its June 20, 2005 meeting.</p> <p>9/05 Completed the Project "control" documents, including the Project Charter and the Project Plan; Drafted the outline of, and framework for, the COVA IT strategic plan; Identified the "stakeholder" groups to be included in the development of the Plan and the methods for engaging those groups; Delivered a project status update at the ITIB's meeting of 9/8/05.</p>

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2	Project oversight, monitoring & assistance	Due to lack of staff, PMD is not fulfilling statutory responsibility in the area of project oversight, monitoring, & assistance.	6/30/05	Simonoff & Ziomek	Complete	<p>2/05 VITA is currently evaluating funding alternatives to staff additional positions in PMD for project oversight, monitoring & assistance. VITA will also reassess current procurement, RFP & contract approval processes with the objective of minimizing required staff resources from PMD in order to increase PMD staff resources available for project oversight, monitoring & assistance.</p> <p>4/05 Funding has been budgeted by VITA to expand the PMD staff. Applicant interviews have been completed for the hiring of at least two additional PM specialists. Offers are pending. Business process reengineering of the current procurement approval (APR) process is underway.</p> <p>6/05 Three new PM Specialists have been hired to expand the PMD staff. The first began work on April 11, the second on April 25. The third PM Specialist is scheduled to begin work on May 23rd. Business process reengineering of the current procurement approval (APR) process is underway.</p> <p>7/25 PMD has developed an integrated <i>Program Planning and Tracking</i> process to identify upcoming critical milestones for all major IT projects under oversight. The process will better enable a comprehensive implementation of PMD statutory responsibilities for project oversight, monitoring and assistance.</p> <p>The assignment of additional staff resources has facilitated an improved distribution of PMD work assignments and increased available time for Secretariat and agency major IT project oversight activities. Each PMD PM Specialist is now better positioned to carry out mandated oversight, monitoring and assistance activities for each assigned project.</p> <p>Both the implementation of the Program Planning and Tracking process and the assignment and successful integration of additional PMD staff adequately address this APA finding. VITA will continue to pursue procurement approval process reengineering as a future source of expanded staff availability to further improve project oversight.</p>

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3	Project ranking process	Improve ITIB project ranking process before completing next RTIP report.	6/8/05	Ziomek & McGuirk	Complete	<p>2/05 The ITIB IT Project Review Committee is currently re-evaluating the project ranking process for the 2005 RTIP Report. Preliminary ranking criteria & weighting (1-n ranking) is scheduled for ITIB approval in April. Final ranking decisions (1-n, with report cutoff score assigned) are scheduled for June 8, 2005.</p> <p>4/05 The ITIB IT Project Review Committee has re-evaluated the project ranking process for the 2005 RTIP Report. Preliminary ranking criteria & weighting (1-n ranking) is scheduled for ITIB approval in April. Final ranking decisions (1-n), with report cutoff score assigned) are scheduled for June 8, 2005.</p> <p>6/05 The ITIB approved the revised preliminary ranking criteria & weighting (1-n ranking) criteria at the April 13 Board meeting. The revised project ranking process will be used for the 2005 RTIP Report.</p>
4	VITA systems development	VITA systems development projects are not subjected to ITIB ranking & selection process.	4/30/05 7/15/05	Simonoff & Dodson	Complete	<p>2/ 05 VITA staff will evaluate & modify current procedures to insure compliance with ranking & selection processes that include all VITA projects.</p> <p>4/05 VITA staff is evaluating & modifying current procedures to insure compliance with ranking & selection processes that include all VITA projects.</p> <p>6/05 VITA is leveraging the COV strategic planning process to assist in compliance with the ranking and selection process. All VITA major IT projects will be identified and prioritized as input into the RTIP reporting process.</p> <p>8/05: Using the COV strategic planning process, all VITA Major IT Projects for FY07/08 have been identified and prioritized as input to RTIP reporting process and will be subjected to the ITIB ranking and selection process</p>

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5	Comparison of agency strategic & IT plans	PMD should review & compare overall agency plan & agency IT plan to ensure proposed IT projects support or improve an agency business process	6/15/05	Simonoff & Ziomek	Complete	<p>2/05 PMD will implement a more rigorous evaluation process to confirm the relationship of IT projects & procurements to agency strategic plans. VITA is working with DPB on a consolidated agency strategic planning & IT strategic planning process to directly tie proposed IT projects & procurements to services identified in agency strategic plan.</p> <p>6/05 PMD will implement a more rigorous evaluation process to confirm the relationship of IT projects & procurements to agency strategic plans. Training on the DPB Strategic Planning process to consolidate the agency strategic planning & IT strategic planning is being conducted for agencies. Additional guidance to assist agencies in developing the IT information required in the Agency Strategic Plan was issued by the CIO on May 15. The new process directly ties proposed IT projects & procurements to services identified in agency strategic plans.</p> <p>7/25 The new agency strategic planning process has been implemented. Agency IT strategic plans are now an integral part of each agency strategic plan, thus facilitating the PMD comparison of agency business strategies and supporting IT investments. The combined submittal of agency strategic and IT plans, including the identification of agency IT projects and procurements were included in the agency strategic plans provided to DPB on 7/15 and utilized by PMD in the development of the 2005 RTIP Report.</p>

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6	Project proposal template enhancements	PMD should enhance guidance & instructions to assist agencies in the financial & cost basis analysis of projects.	<p>6/30/05</p> <p>9/30/05 – PM Guideline Appendix & Analysis Tool</p> <p>11/15/05 – PMDP Curriculum Update</p>	Simonoff & Ziomek	Underway	<p>2/05 PMD is currently revising the Project Management Guideline to assist agencies in the financial & cost basis analysis of projects, including modification of the project template, to incorporate APA recommendations. PMD is evaluating acquisition of a project cost estimation tool to assist agencies in the financial & cost basis analysis of projects. PMD will provide additional training in financial & cost basis analysis through the Project Manager Development Program.</p> <p>6/05 PMD is currently revising the Project Management Guideline to assist agencies in the financial & cost basis analysis of projects, including modification of the project template, to incorporate APA recommendations. PMD has developed a project cost estimation tool, including standard definitions and formulas, to assist agencies in the financial & cost basis analysis of projects. PMD has begun development of additional training in financial & cost basis analysis through the Project Manager Development Program.</p> <p>7/25 PMD has completed a draft CBA Appendix that focuses on the financial and cost basis analysis of projects. The draft appendix is currently being reviewed & is targeted for publication by 9/30/05. The project cost estimation tool developed by PMD has been integrated with a cost benefit analysis template, & will standardize the evaluation of proposed project alternatives. Uniform estimating and analysis will enhance the value of the project proposal template.</p> <p>Rollout & training plans for the project analysis tool are now being developed and targeted for rollout by 9/30/05. PM Development Program curriculum changes, to include the new cost estimation tool & CBA appendix, have been contracted out for delivery by 11/15/05.</p> <p>9/05 PMD has revised the 7/25 draft of the CBA appendix to the Project Management Guideline after identifying additional requirements associated with the CBA template & cost estimation tool. PMD identified these additional requirements based on the findings of the VITA Initiatives Benefits Methodology presented to the ITIB Finance Committee. PMD will revise the Project Management Standard in November & require use of the CBA template in that revision. Instructions for the template & tool are in draft form & undergoing review and validation. Delivery of PM Development Program curriculum changes, to include the new cost estimation tool and CBA appendix, is on track for 11/15/05.</p>
Approved APA Audit Action Plan February, 2005						Page 5

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7	Portfolio enterprise solution	Fund the IT Portfolio enterprise solution requested by PMD.	6/30/05 8/1/05 – Management Approval 8/19/05 – ITIB Development Approval	Simonoff & Ziomek	Complete	<p>2/05 VITA is reviewing alternatives to fund the implementation & support of an enterprise IT Portfolio solution.</p> <p>4/05 VITA has identified and budgeted funds to support the procurement of a Commonwealth IT Investment Portfolio system. Approval has been granted to augment existing PMD staff with contracted services to expedite initiation and execution of the project. It is anticipated that the project will be granted planning approval by the CIO in March.</p> <p>6/05 VITA has identified and budgeted funds to support the procurement of a Commonwealth IT Investment Portfolio system. Approval has been granted to augment existing PMD staff with contracted services to expedite initiation and execution of the project. It is anticipated that the project will be granted development approval by the ITIB in June.</p> <p>7/25 The project proposal and charter have been submitted to VITA management for approval. Following CIO approval of the project initiation documentation, development approval will be requested from the ITIB. ITIB approval of the project is now anticipated by August 19.</p> <p>9/05 The CIO reviewed the project proposal and charter and approved the project for development pending ITIB review. ITIB approval was received 9/20. The 8/19 review date was missed due to additional updates to the project proposal and charter during VITA management review stemming from substantial changes to project objectives and funding source. Funds for the IT Portfolio (Project) enterprise solution are identified in the CIO approved charter and will be budgeted following expected ITIB project approval.</p>

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8	Posting of asset management policies & procedures	Place asset management policies & procedures in an easy-to-find location on VITA's web page.	2/15/05	Matthews	Complete	<p>2/05 VITA has posted this information on its internal website & the ESDs are communicating with VITA staff in the agencies regarding it. VITA is determining the best method for communicating the information to agency fiscal staff.</p> <p>4/05 A special communiqué was issued on March 1, 2005 to agency fiscal contacts and Agency IT Resources (AITRs) describing responsibilities for IT infrastructure asset management.</p>

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9	Asset inventory system improvements	Continue efforts to improve Inventory system functionality & explore opportunities to integrate infrastructure management systems.	9/30/05	Matthews & Dodson	Complete	<p>2/05 Staff has identified 4 major system improvements: mass update; security & access administration; data extraction; & reporting. The first priority is to provide the capability for making mass updates. Detailed requirements & scope of these enhancements will be completed 2/15/05 with mass update capability available in April. Opportunities to integrate infrastructure management systems will continue & be in parallel with PPEA efforts.</p> <p>4/05 Detailed requirements & scope were completed in Feb., 2005 with mass update capability on schedule to be completed in April. A series of 3 Forums are scheduled with VITA SLD's and responsible staff to learn of the mass update enhancements. Subsequent improvements are scheduled to begin upon completion of the mass update functions.</p> <p>6/05 Efforts continue to improve the Asset Inventory System. Mass update capability implemented in April as scheduled for large data input as well as new fields to assist in the infrastructure management. Asset Inventory certification and tagging project completed for non-peripheral assets in May. Peripheral assets will be completed in July, 2005 due to the large amount of data being collected. Asset Inventory Phase III (security, reporting, and extracting) is scheduled to be implemented in conjunction with shared service billing. Planned implementation is October, 2005 or before. Research underway for an automated feed to the ITSM Help Desk system.</p> <p>8/05 Asset Inventory continues to be a priority for VITA. Functional requirements for the Phase III enhancements have been drafted and are under review. Problems related to data extract capabilities require some system redesign and will be implemented with the enhancements. Data standardization activities are also underway. Implementation schedules for October are under revision based on documented functional requirements.</p> <p>9/05 With the implementations of Asset Inventory Phase II and the completion of the asset tagging and certification project, VITA has addressed the APA recommendations and completed the Asset Inventory audit points.</p>

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10	Security & IT governance	Establish understanding of roles & responsibilities between VITA & in-scope agencies.	6/30/05	Deason	Complete	<p>2/05 Security Services has established a monthly meeting for agency Information Security Officers (ISOs), also attended by Security Services staff, to discuss any & all issues concerning roles & responsibilities between Security Services & the agencies. Open email communications have been established between the ISOs & Security Services for ad hoc issues. One-on-one meetings with agency ISOs have also been initiated. Security Services will provide training to VITA staff on IT Security Governance responsibilities & will work with Customer Services to ensure IT Security Governance processes & procedures are implemented.</p> <p>6/05 Initial efforts are complete but VITA will continue to increase understanding. Monthly meetings with the agency ISOs continue. Training sessions are being planned on roles and responsibilities as Security Services moves operational responsibilities to Customer Service.</p>
11	Security procedures & configuration standards	Set security procedures for specific equipment operated by VITA.	6/30/05 9/15/05	Deason & Saneda	Complete	<p>2/05 Security Services currently has an ongoing project to create the framework for oversight, assistance & review of all infrastructure security baselines in meeting current enterprise security policies & standards. Security Services will work with Customer Services to set security procedures for equipment operated by VITA.</p> <p>6/05 The development of the configuration standards is on target to be substantially complete by 6/30. This work has involved working with Customer Service on the commonly used platforms. The baseline efforts in the Risk Assessments and Incident Management are progressing on schedule.</p> <p>8/05 The target date is revised due to resource constraints. Configurations used by VITA central and customers agencies have been received. Development is underway to consolidate the various formats and configurations into a VITA best practice configuration standard to be communicated to VITA central and customer agencies.</p> <p>9/05 Security Services completed baseline security configuration standards documents for 16 commonly used technology platforms.</p>

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12	Integration of security governance & security operations	Security Services Director & Customer Service Director should work together to develop policies consistent with a common vision	6/30/05 9/30/05	Deason & Saneda	Complete	<p>2/05 Security Services is in the process of developing enterprise security policies & standards which represent a common vision & the support of that vision. Security Services will work with Customer Services to establish procedures which meet enterprise security policy & standards.</p> <p>6/05 The Enterprise IT Security Policy & Standard are out for review on O.R.C.A. Security Services and Customer Services are in the process of moving security operations to Customer Services. Once the Enterprise IT Security Policy & Standard are finalized Security Services will work with Customer Services to insure implementation.</p> <p>8/05 The target date is revised due to resource constraints. Security Operations was moved to Customer Services on July 1, 2005 as planned. The Enterprise IT Security Policy and Standard came off of O.R.C.A. review on June 30, 2005. These documents are being modified based on the feedback received from O.R.C.A.</p> <p>9/05 APA's primary concern was that the Security Services Director and Customer Services Director work together to develop policies consistent with a common vision. Customer Services and Security Services have signed an Operating Level Agreement that reflects their shared understanding of security roles and responsibilities. Customer Services is also developing Service Profiles to further delineate security responsibilities between VITA and its customer agencies. Security Services will obtain input from Customer Services on the development of new security policies and standards.</p>

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13	Security audit program development	Develop a risk management program. Develop the security audit program.	6/30/05 12/31/05	Deason	Underway	<p>2/05 Security Services is establishing a risk management program & is currently performing a risk assessment against IT Security controls for VITA divisions to include the identification of critical databases.</p> <p>6/05 Security Services has made substantial progress against this milestone. Initial Security Assessments for in-scope agencies that will identify critical and sensitive databases and data communications are underway and will be completed by 6/30/05. At the same time, a cross-functional, cross-agency work group is developing security audit standards and procedures; this work will also be completed and submitted to ORCA by 6/30/05. Once these efforts are complete we will begin applying the security audit standards to those databases and data communications identified as critical and sensitive. Progress in completing these tasks was delayed, however, until initial funding and resources for these activities was approved in 04/05. Implementing the fully-defined security audit program is contingent upon rate structure approval by JLARC in Fall 2005.</p> <p>8/05 Draft of the Security Audit Standard was on O.R.C.A. The closing date for comments was July 30, 2005. Comments will be reviewed for inclusion, and then the document can be published.</p> <p>9/05 Comments received from O.R.C.A. are being reviewed and incorporated into the standard when applicable. The Enterprise Security Standard is being revised to reflect the development of the audit standard.</p>

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14	Staffing database security audits	Use Customer Service employees to assist in database security audits	6/30/06	Deason	Underway	<p>2/05 A budget amendment for funding has been submitted for SB1252. The funding if approved will be available July 1, 2005 & allow for the hiring of staff to support the auditing of databases & the risk management program. This funding approval is critical to the success of the risk management program.</p> <p>4/05 A workgroup is being created to develop a plan to do a security audit of the Commonwealth's databases.</p> <p>6/05 Database audit workgroup has begun holding meetings and is assessing who should perform security audits.</p> <p>08/05 Implementing the fully-defined security audit program is contingent upon rate structure approval by JLARC in Fall 2005.</p> <p>9/05 Security Services Security Services is refining the Database Security Audit Standard and developing plans for its implementation.</p>
15	Savings methodology development	Continue to analyze alternative methods to provide technology investment funding & propose to the Board; continue development of savings methodology & associated reporting until alternative is approved.	6/30/05	Stewart/Matthews	Complete	<p>2/05 A draft savings methodology is being circulated to VITA staff for comment.</p> <p>4/05 Comments on the draft savings methodology have been received from VITA staff. The methodology will be discussed with the VITA Finance Council at its April meeting.</p> <p>6/05 A revised draft was presented to the Finance Council on May 4 with comments due by May 16. Scheduled to be presented to the ITIB Finance and Audit committee and approved by the Secretary of Finance and ITIB in June.</p> <p>8/05 The ITIB approved the savings/benefits methodology on June 20, 2005. The package was submitted to the Secretary of Finance for his approval on July 1, 2005.</p>