

#	Observation Title	Recommendation	Action Item	Due date	Completion Status
1	Improve Information Technology Planning	Develop policies and procedures ensuring all agencies have a current, complete, and statutorily compliant Agency Information Technology Plan (AITP) Integrate and align AITPs and the Statewide IT plan with the strategic and budgetary initiatives of the customer agencies	A simplified format was developed for AITP's and distributed to agencies in Feb/Mar. AITP's have been returned and reviewed. Currently evaluating for alignment with proposed capital budgets and IT Strategic Plan.	Q3 FY19	●●●
2	Establish Formal Service Level Agreements with State Agencies	Create formal service level agreements (SLA) which specify baseline services and expectations covering all major Department of Information Technology (DoIT) service areas. Ensure staff are accountable for achieving customer service goals and establish metrics and collect data to evaluate performance.	Phase 1 - Update current service catalog of baseline services and identify performance metrics that can be captured with existing tools & processes	Q3FY19	●
3	Consolidate and Standardize Use of Internal Systems	Evaluate business needs, identify systems that can best fulfill those needs, and mandate the use of those systems by creating policies and procedures and decommissioning duplicate systems.	Consolidating Critical Outages (TechCenter) into DoIT's tracking system (Footprints)	Ongoing	●
4	Portfolio Management Needed	Adopt portfolio management practices in prioritizing and managing development projects. Identify which personnel are needed for maintenance software projects and which positions should become shared positions and assigned to projects according to a priority established at the State level.	Projects have been gathered in a portfolio repository. Procedures are under development on how to prioritize, and assign resources to critical efforts. Prioritization will initially focus on DoIT analysis and will evolve into full state priorities over time and will be dependent on agency wide executive involvement. DoIT Shared resource time tracking has been initiated to gauge existing staffing assignments.	Ongoing	●●
5	Reevaluate Organizational Structure to Improve Customer Service	Evaluate organizational structure with regards to efficiency and effectiveness in providing customer service. Evaluate the feasibility of developing the following: policies and procedures specifying a central service desk as the single point of contact with customers, policies and procedures specifying customer relationship managers and their roles, and a single service desk for technical support requests. The legislature may wish to consider revising RSA 21-R to allow DoIT management greater flexibility to reorganize their department to maximize efficiency and effectiveness.	HB1622 revising RSA 21-R has been adopted. Draft Organizational change developed to include CTO/Architecture roles and Project Management Office. DoIT Help desk merge is in progress.	Ongoing	●●

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6	Improve IT Project Management	Improve project management by: ensuring project leaders follow DoIT's system development methodology, ensuring project management principles are followed, effectively monitoring the timeline and budgetary benchmarks of development projects, and developing and implementing policies and procedures to retain all project documents in an accessible location.	<p>Draft "project management guidelines" have been developed to set a baseline framework for project leader use.</p> <p>A DoIT policy which outlines principles represented in the framework is under development. Tool requirements to manage project timelines, track resources, house policies and procedures and provide a central repository have been development and will be used for tool evaluation and selection (which is in progress).</p> <p>High level project management training materials are in draft form and sessions will be scheduled in Q1FY19.</p> <p>Basic shared resource time tracking has been initiated.</p>	Q3 FY19	●●
7	Evaluate Human Resource Allocations	Improve human resource distribution by: evaluating use of direct and shared funded employees and make changes to improve efficiency, curtailing technical support work done by non-technical support staff through training and policies, and evaluating current workload for IT Leads. Additionally, communicate statutory authority over all its staff to customer agencies, and collaborate with these agencies to more efficiently allocate human resources.	See Observation #5 for initial work related to evaluating use of direct and shared funded employees and make changes to improve efficiency	Ongoing	●
8	Improve Regional Support Services Operations	Evaluate Regional Support Services (RSS) ticket workload and use of remote technical support tools to improve efficiency. Evaluate the current RSS organizational structure for efficiency and make changes accordingly.	<p>New Remote Support tools were implemented Q1 FY19 to better leverage staff. Complete.</p> <p>Ongoing - Ticketing metrics will be reviewed to re-align staffing assignments as needed.</p>	COMPLETE Q1 FY19	●●●●
9	Capture and Review Availability Metrics	Evaluate whether existing help desk software, FootPrints®, can effectively provide the functions of the DoIT Tech Center software so accurate reports can be generated regarding system availability for improved management oversight. If FootPrints is incapable of supporting and reporting on system availability metrics, evaluate the best way to gather and accurately report this data.	Migrating CO's to Footprints; Evaluating replacement solution for Change Mgmt (ICR's)	Phase 1: Q2 FY19	●●

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10	Improve Source Code management Practices and Systems	Develop a process to identify State-developed software application assets and require storage in a single source code management tool, monitor compliance with policy, and complete efforts to automate source code management processes.	Current policy under review. Approach to an improved SCM has not been strategized.	Ongoing	●
11	Ensure State Websites are Uniform	Collaborate with other agencies ensuring all State websites follow DoIT's e-Government Branding Policy. Additionally, evaluate how efficiently web services are delivered to agencies and make changes as necessary.	Phase I - procure WCM solution, hosting & prof services; RFP targeted for Q2FY19 Phase II - procure professional design services for brand/site harmonization	Q4 FY20	●●
12	Improve Performance Measurement	Improve performance measurement efforts by creating a formal, systematic approach to measure customer satisfaction for all major DoIT services and address problems customer agencies are having with DoIT services.	Expanded statewide annual DoIT survey to include evaluation of all major DoIT services. Survey was distributed on 9/4/18 and closes 9/28/18. Agency leadership survey being developed for distribution Q2FY19. Follow up with agencies on problem areas - Q3FY19	Q3 FY19	●●●
13	Simplify Cost Allocation Methodologies	Simplify cost allocation methodologies by balancing the goal of being precise against the need to be transparent and efficient.	All allocations are being reviewed and updated as needed in preparation for FY20/FY21 budget submission. A Cost Allocation Kaizen will be kicked off in FY19 to address cost allocation methodologies and transparency.	Kaizen Events FY19	●●
14	Improve Billing Process	Improve the effectiveness and efficiency of the billing process by: ensuring all manual entries receive a secondary review, implementing a periodic internal review of invoices, developing policies and procedures to assist agencies on DoIT invoices, reviewing the data collection frequency schedules, assessing the necessity to solicit a computer count verification for 25 different State agencies, and consolidating the data integrity and formatting queries.	Two A3 lean events completed. Scheduling 3 separate Kaizen events in FY19 to address: Cost Allocations, Billing, and Financial Reporting. Tools evaluation will be reviewed as part of each event.	Kaizen Events FY19	●●
15	Ensure Criteria Used to Select Agencies Eligible for Discounted Services is Kept Current	Ensure customer agency funding methods are formalized and kept current.	Agencies previously supported via General Funds were reviewed during the FY20/FY21 Budget process. DoIT met with the Governor's budget director to confirm general funds will be transferred back to the agencies in the FY20/21 budget.	COMPLETE Q1 FY19	●●●●

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16	Ensure Cost Allocation Plan Reflects Current Allocation Practices	Comply with statute and ensure the cost allocation plan reflects current allocation practices and periodically review and revise cost allocation plan to ensure accurate information is provided to those responsible for oversight.	All allocations are being reviewed and updated as needed in preparation for FY20/FY21 budget submission. Meeting with DAS to review and finalize the cost allocation plan for FY20/FY21	Q4 FY19	●●●
17	Evaluate Financial Systems and Analyze Business Processes	Analyze use of duplicate financial software applications and inefficient business processes. Any future efforts to revise internal software applications should include an assessment of business processes and requirements.	Two A3 lean events have been completed. Scheduling 3 separate Kaizen events in FY19 to address: Cost Allocations, Billing, and Financial Reporting. Tools evaluation will be reviewed as part of each event.	Kaizen Events FY19	●●
18	Improvement Procurement and Requisition Policies and Processes	Improve the procurement and requisition process by: ensuring all reviews and approvals required by policy are followed, revising IT procurement policy to develop a more risk-based approach, communicating to customer agencies which recommendations are required to receive approval and which are suggestions, developing a systematic approach to ensure IT procurement policy and review timeframes are achieved, clarifying policy on how management will use IT Leads in the requisition process, and identifying items on the approved standards list exempt from additional review and approval.	Two A3 lean events (a structured problem-solving and continuous-improvement approach) have been completed for the purchasing portion	Kaizen Events FY19	●●
19	Define Contract Management Roles	Develop formal policies defining contract management roles between DoIT and customer agencies and a risk-based approach to ensure IT security contract deliverables are executed.	Basic concepts have been discussed regarding defining DoIT/Agency roles and how to ensure IT security deliverables are executed but no policies have been developed yet. This policy will be developed as contract lifecycle management efforts progress. DoIT meets regularly with the AG's office and DAS.	Q3FY19	●
20	Policies and Procedures Needed for Capitalized Projects	Develop policies and procedures to ensure DoIT personnel and other costs are properly recorded and reported to the customer agency for all projects likely to exceed \$500,000.	Currently working with DAS to develop and communicate policies and procedures to comply with State policy related to capital IT projects likely to exceed \$500K.	Q4FY19	●●
21	Continuity Plan should be Updated	Establish a current Continuity of Operations Plan and develop a process for updating on a continuing basis.	This is an effort jointly with HSEM; the Assistant ASD Director was leading this; currently on hold	Ongoing	●

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22	Adopt Administrative Rules and Unify Policies and Procedures	Adopt IT policies and procedures binding on other agencies in administrative rules or seek specific legislation exempting DoIT. Regardless of legislative outcome, standardize and centralize policies and procedures.	Implemented new operating procedures for the review and modification of statewide and internal policies and procedures	Ongoing	●●
23	Ensure IT Council Meetings Comply with Statutes	Develop policies and procedures to ensure the IT Council complies with the statutory requirements to file statements of financial interest and document non-public sessions.	New procedure has been created to align with Right to Know law (RSA 91-A) and posted to the IT Council website.	COMPLETE Q1 FY19	●●●●
24	Resolution of Prior Audit Findings was Inconsistent	Create a corrective action plan to resolve all prior and current audit findings in a timely manner.	Prior audit finding gaps will be addressed under the corresponding new audit actions. <ul style="list-style-type: none"> • Improve cost allocation process - #13 • Implement COOP - #21 update current plan • Adopt administrative rules - #22 • Submit statements of financial interest - #23 • Strengthen project management - # 6 • evaluate entire IT procurement process - # 18 • Implement additional metrics - # 2 & 9 	SFY 2020	●●