

STATE OF NEW HAMPSHIRE  
 Department of Information Technology (DoIT)  
 LBA Audit - Corrective Action Plan  
 6 month Status Report: March, 2019

Completion Status:  
 Open ●  
 Partial ●●  
 Substantial ●●●  
 Complete ●●●●

#	Observation Title	Recommendation	Action Item	Action 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 Develop a more efficient AITP process.	All completed agency IT plans (AITPs) will be posted by the end of FY19 or early FY20 which will reflect current planning efforts.  AITPs, inclusive of a DoIT specific AITP will be used to update the Statewide IT Plan (SITP) after the FY20/21 budget cycle has ended and will be reviewed and approved by the IT Council based on a targeted Q2 FY20 estimated timeframe.	Ongoing	●●●
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.	Service catalogs for TSS & OPS Divisions have been updated; plan to post website updates in conjunction with next generation web hosting solution.  Next phase - create baseline services and associated metrics to review with agency partners	Q1 FY20	●●
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.	Complete migration of Change Request and Critical Outage systems to supported solutions - Q4 FY19. Decommission DoIT Lotus Notes and TechCenter Environments - Q1 FY20.	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.  Tool evaluation/pilot is in progress that will allow the state to define a foundation to capture and evaluate project portfolio's (estimated Q2 FY20)	Ongoing	●●

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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.  DoIT Helpdesk functions merged - March 2019 Establishment of Project Management Office underway - 4 positions identified. Enterprise Application and Architecture Organizational Structures being developed.	Ongoing	●●
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.	Draft "project management guidelines" have been developed to set a baseline framework for project leader use.  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 developed and will be used for tool evaluation and selection (which is in progress).  High level project management training materials are in draft form and preliminary training was provided Q2 FY19.  Basic shared resource time tracking has been initiated.  Tool evaluation/pilot is in progress that will allow the state to define a foundation to capture and evaluate project portfolio's (estimated Q2 FY20)	Q2 FY20	●●
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.	For FY20/21, several positions have been reclassified and/or shifted to different divisions to address new skill sets & roles, aligned with the Organization realignment plans (item #5).	Ongoing	●●

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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.	New Remote Support tools were implemented Q1 FY19 to better leverage staff. <b>Complete.</b>  Ongoing - Ticketing metrics will be reviewed to re-align staffing assignments as needed.	<b>COMPLETE</b> 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.	Complete migration of Critical Outages to Footprints and Change Requests to web based solution - Q4 FY19  Evaluating Enterprise Service Management solutions to provide additional capabilities (Asset Mgmt, Requests, Metrics, Dashboards) for eventual replacement of current tools in FY22/23	Ongoing	●●
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.	An additional 246 applications have been secured under the SCM tool since LBA review in July 2017 (33% increase)  New life cycles are being created to accommodate other types of software development methodologies (agile, hybrid)  Need to develop approach/policy for securing 3rd party and hosted software solutions	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 design services for enterprise template development and deployment and initial pilot agencies - <b>contract approved by G&amp;C 3/27/19.</b>  Phase II - procure WCM solution, hosting & prof services; RFP targeted for Q2 FY19 - <b>cancelled RFP. Reissue RFP for Content Mgmt, Web Hosting and Prof Svcs</b>  Phase III - procure professional services agency content strategy and implementation; <b>Release RFP for Multi-vendor Statewide Contract for website development</b>	Q4 FY20	●●

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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.	The 2018 annual DoIT survey was expanded to include evaluation of all major DoIT services.  Responses received covering 53 agencies, commissions, boards and offices.  Results have been compiled and are being shared with each agency, and will include follow up actions for identified areas	Q4 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 have been reviewed and updated as needed in preparation for FY20/21 budget submission.  A Cost Allocation kaizen will be kicked off to address cost allocation methodologies and transparency after completion of FY20/21 budget activities.	Ongoing	●●
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.  A Billing kaizen event will be scheduled to address the billing processes, data collection frequencies and other potential improvements after completion of the Cost Allocation kaizen.	Ongoing	●●
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 FY20/21 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	●●●●
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 FY20/21 budget submission. Met with DAS to review and finalize the cost allocation plan for FY20/21.	COMPLETE Q3 FY19	●●●●

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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.	Ongoing	●●
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.  Three separate Kaizen events will be scheduled after completion of the FY20/21 Budget.  Procurement and Purchasing Processes will be reviewed as part of each event.	Ongoing	●●
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 and policies and procedures will be incorporated into the new automated contracting module based on an estimated Q2/Q3 FY20 deployment.	Q2 FY20	●●
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.  Complete Communications Plan and distribute - Q4 FY19	Q4 FY19	●●

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21	Continuity Plan should be Updated	Establish a current Continuity of Operations Plan and develop a process for updating on a continuing basis.	A COOP Team will be assembled in conjunction with DoIT Core Services D/R Planning - Q4 FY19	Ongoing	●
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 Working project portfolio intake and prioritization process (see item #4)	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.	<b>COMPLETE Q1 FY19</b>	●●●●
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"> <li>• Improve cost allocation process - #13</li> <li>• Implement COOP - #21 update current plan</li> <li>• Adopt administrative rules - #22</li> <li>• Submit statements of financial interest - #23</li> <li>• Strengthen project management - # 6</li> <li>• evaluate entire IT procurement process - # 18</li> <li>• Implement additional metrics - # 2 &amp; 9</li> </ul>	Ongoing, in conjunction with addressing each corresponding audit finding	●●