STATE OF NEW HAMPSHIRE
Department of Information Technology (DoIT)
LBA Audit - Corrective Action Plan
6 month Status Report: March 2020

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.	Agency IT plans (AITPs) were collected within Q3 of FY20 and are currently being analyzed for trends across agencies via a more focused and streamlined AITP template. All completed agency IT plans (AITPs) will be posted by late FY20. 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 Q1/Q22 FY21 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 & Sharepoint rollout Q1 FY21 Next phase: Focus on defining user based services, DoIT & agency responsibilities, identifying and baselining metrics and documenting service costs/allocations.	Ongoing	●●
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.	Portfolio Oversight Committee created Q1 FY19 with senior staff representing each DoIT Division. In parallel with LBA finding #4, DoIT proposed projects are now being reviewed, scored and prioritized, including internal DoIT systems, to properly align with DoIT plans and business needs. Migration of Change Request and Critical Outage systems to supported solutions have been completed. Next phase: Focus on Hardware and Software Asset Management requirements to track and update asset data Currently evaluating Enterprise Service Management solutions for FY22-FY23 budget planning	Ongoing	●●●

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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 pilot usage continues. Shared services projects have been loaded and the tool is being used to review and manage shared services projects via centralized views and functions. This was implemented in Q1 FY20.	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.
			• PMO Manager position filled; 3 additional PMO positions to be filled - 1 offer pending; 2 positions frozen
			• Developing Enterprise Applications support model
			• Enterprise Architecture Committee established. Initial charter (first 6 months) will focus on:
			    o Infrastructure and Enterprise Applications
			    o Defining current standards and replacement solutions
			    o Build/refine Roadmaps to assist with updating our IT Strategy
				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.	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. The use of a pilot tool is in progress by DHHS and DoIT to track centralized project portfolios. Usage will be expanded in a sustainable manner as portfolio management governance and processes evolve. High level project management training materials were provided in Q2 FY19. Planning for additional training will be an ongoing effort since training practices and content are anticipated to evolve as new tools and procedures are utilized. Basic shared resource time tracking has been initiated. Ogoing tracking will continnue and metrics will be defined and refined in an ongoing manner.	Ongoing	●●
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 reclassed and/or shifted to different divisions to address new skill sets & roles, aligned with the Organization realignment plans (item #5). • Reviewing Agency Apps Portfolios and Skills needs for talent management strategy	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.	New Remote Support tools were implemented Q1 FY19 to better leverage staff. **Complete.** Ongoing - Ticketing metrics will be reviewed to re-align staffing assignments as needed.	**COMPLETE Q1 FY19**	●●●●

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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 Developing metrics for Critical Outages by Type and Agency	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.	The current SCM tool continues to be updated and more automated processes have been created (OpenMake, Agile Branching, etc.). As partner agencies and their vendors utilize other SCM tools (DevOps, GitHub, etc.) DoIT looks to expand the current SCM portfolio. Additional monitoring of extended code checkouts is taking place with justifications required.	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.	Enterprise content management system and hosting solution are operational and a professional services contract is in place to work with agencies on content strategy and implementation. New websites will adhere to new standards and existing websites are being upgraded.	**COMPLETE Q3 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.	The 2018 annual DoIT survey was expanded to include evaluation of all major DoIT services, by agency. Response rate was almost 30%, covering all executive branch agencies. Results have been compiled and reviewed with partner agencies, with follow up actions identified for key areas.\n\nNext survey targeted for Q3 FY20.	**COMPLETE Q1 FY20**	●●●●
13	Simplify Cost Allocation Methodologies	Simplify cost allocation methodologies by balancing the goal of being precise against the need to be transparent and efficient.	Phase 1 - All allocations have been reviewed and updated as needed in preparation for FY20/21 budget submission.\n\nPhase 2 - Performing allocation reviews in preparation for FY22/FY23 budget.\n\nDoIT will continue to review the various cost allocation methods to identify opportunities to simplify the billing process.	Q1 FY21	●●●

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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.	Phase 1 - Two A3 lean events completed. DoIT continues to implement effective internal controls. **COMPLETE** Phase 2 - DoIT is working to establishing procedures for auditing the amount allocated to each agency within the invoicing process. Phase 3 - Review options for allocation/invoice/reporting software - nearing end of life; need funding in FY22-FY23 for replacement solution	Q4 FY20	●●●
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**	●●●●
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.	Phase 1 - Two A3 lean events have been completed. Phase 2 - Based upon analysis of business requirements and stakeholder feedback, DoIT moved forward with key enhancements to the R&R system to streamline the input process	**COMPLETE Q3 FY19**	●●●●

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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.	Procurement Update In the short term, policies have been discussed regarding the review and approval process for service procurements. Additional work is being planned to provide clarifications on reviews. DoIT contracts resources have developed a tool to evalute the level of review required based on risk to determine which procurements require no, partial, or full reviews. Additional clarity will be documented in policies and are targeted for Q4 FY20/Q1 FY21. Note: the development of an automated contract lifecycle management module within the states ERP system may impact some of this planning. Requisition/Purchasing Update: Phase I - Streamline purchasing process to identify standard items, eliminate justifications and reduce approval steps. **COMPLETE** Phase II - Review IT Lead roles and Approval processes to ensure alignment with budget responsibilities Q4 FY20	Q3 FY20	●●
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 deployment timeframe of Q1 or Q2 in FY21.	Q2 FY21	●●

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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.	A Capitalized Projects Policy & Procedure has been developed to assist agency IT Leads in recognizing when the potential exists for a customer agency to have a software project that may exceed the $500,000 threshold as documented under Item E of the Long Term Asset Policy and Procedures Manual. IT leads will work with their customer agency finance group to create appropriate job codes for DoIT resources to utilize for any project they are working that is likely to meet the capitalization threshold.	**COMPLETE Q3 FY20**	●●●●
21	Continuity Plan should be Updated	Establish a current Continuity of Operations Plan and develop a process for updating on a continuing basis.	Phase I Create an RFP to obtain professional services to assist with developing a COOP Plan for DoIT including a disaster recovery design for 27 Hazen Drive Core IT services. (Q4 FY20) Engage selected vendor for professional services. (Q1 FY21) Develop COOP and DR Plan. (Q2 FY21) Phase II - Implement DR plan Requesting Capital Project for FY22-FY23	Q4 FY20	●●
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.	LSR 2020-2581 has been submitted relative to the rulemaking authority of DoIT to utilize a consistent process for establishing standards and adherence for DoIT services. HB 1259 passed House with amendment 02/19/20.	Q3 FY20	●●●
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. • Improve cost allocation process - #13 • Implement COOP - #21 update current plan • Adopt administrative rules - #22 • Submit statements of financial interest - #23 CLOSED • Strengthen project management - # 6 • evaluate entire IT procurement process - # 18 • Implement additional metrics - # 2 & 9	Ongoing, in conjunction with addressing each corresponding audit finding	●●