

#	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.	AITPs for FY24/25 have been gathered. Collaboration tools, revised templates and recorded instructions and planner cards have been used to greatly improve the process. The states Strategic IT plan (which utilized AITP information) was approved by the IT council in Nov 2021. The processes being used are contained within a Microsoft TEAMS environment and have been socialized, proven to be effective and have been aligned with broader strategic plans. No further reporting on this item should be necessary. Activities will be ongoing.	Complete Q1 FY23	●●●●
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.	Sharepoint developer was hired in June 2023 to upgrade the DoIT Intranet website and the website went live in November. Service catalogs for TSS & OPS Divisions have been updated; ASD is working on a service catalog for Enterprise Application solutions. DoIT full service catalog will be implemented in conjunction with the rollout of phase 2 of the IT Service Management initial (Obs #9). Closing out this item, work will be ongoing.	Complete Q2 FY24	●●●●
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. New Project Management tracking system has been rolled out for major projects. This will be an ongoing initiative as we look to replace legacy systems and processes.	Complete Q3 FY22	●●●●
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.	Base project portfolio management practices and a portfolio repository have been established. Procedures for managing the repository are evolving and are incrementally being defined, reviewed, and deployed. Simple procedures have been outlined to prioritize and assign resources to critical efforts. The initial focus is on DoIT work management. Broader state priorities will evolve and will be dependent on future agency wide executive involvement to properly prioritize and focus constrained resources. DoIT Shared resource time tracking has been initiated to gauge existing staffing assignments. Also, PM tools have been implemented to improve management on shared services projects via centralized views and functions. All efforts will continue and will require ongoing refinement.	Complete Q4 FY21	●●●●

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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.	<ul style="list-style-type: none"> • Project Management Office created in Q4FY19 (3 positions defined) • Enterprise Architecture Committee established in Q1FY20. • Merged Helpdesk and Desktop Services under single manager to better leverage skills and improve ticket closure times <p>During 2nd half of FY21, reviewed vacant positions across divisions. Several positions reallocated to new skills/roles/divisions required based on DoIT Enterprise portfolio in alignment with Statewide IT Strategic Plan.</p> <p>Review of vacant positions will be an ongoing effort with Division Directors and CIO Office.</p>	Complete Q4 FY21	●●●●
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>Project management guidelines have been outlined. A PMO portal has been developed with video instructions and various project management templates have been established to promote consistency. These templates include a standard M365 TEAMS template, as well as various documents to assist with agile requirements development and standard processes to request and track projects.</p> <p>Many aspects of the M365 platform are being used and promoted to enhance project management capabilities. Also, a portfolio oversight committee meets weekly to review new project efforts and to set direction accordingly. Ongoing efforts continue to evaluate and incorporate standard tools that will assist DoIT and agencies to better manage and track projects. DoIT is currently working on a tool implementation that will expand portfolio tracking, dashboard reporting and basic resource tracking that is targeted for initial pilot deployment in mid-2022. These efforts will be ongoing and constantly reviewed for granular revision from this point forward and will not require further updates.</p>	Complete Q1 FY23	●●●●
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.	<p>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).</p> <ul style="list-style-type: none"> • Reviewing Agency Apps Portfolios and Skills needs for talent management strategy - Complete (See item #5) 	Complete Q1 FY22	●●●●
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 in 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	●●●●

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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.	FY24/FY25 Capital has been approved for Phase I of our Service Management Program. The initial phase has been modified to focus on processes, workflow improvements and developing key metrics to improve customer outcomes. Tool and vendor evaluations will occur in Phase II to identify a full service solution rollout to all agencies, pending approval of a FY26-FY27 Capital Request for ITSM implementation.	Ongoing thru FY26/FY27	●●
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 Source Code Management policy, while still in effect, continues to evolve as more assets are being managed online in the DEV/OPS space using the GitHub tool. The overall migration of projects into that online space will be gradual as there are still a considerable number of "legacy" applications requiring on-premise repositories using a traditional waterfall approach (Harvest). However, regardless of the tool, and in all cases, standards for access control, backup, retention and training all follow best practices. While this audit finding for "improvement" will continue, the recommendation for a "single source code tool" no longer applies.	COMPLETE Q1 FY23	●●●●
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. 2019 annual survey distributed in Feb 2020.	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. Phase 2 - Perform allocation reviews in preparation for FY22/FY23 budget. DoIT will continue to review various cost allocation methods to identify opportunities to simplify the billing process.	COMPLETE 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. COMPLETE Phase 3 - Review options for allocation/invoice/reporting software - nearing end of life; need funding in FY22-FY23 for replacement solution. Due to budget constraints, DoIT was unable to add additional resources to update the cost allocation software. We will continue to pursue additional options and funding during the next biennium. Ongoing	COMPLETE Q1 FY21	●●●●
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 and budget status reporting. COMPLETED	COMPLETE Q3 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.	Procurement Update A risk-based approach matrix has been defined by the DoIT contracts unit to outline the review policy on RFP/Contract procurements. This matrix clarifies the type of reviews required and what REQUIRED resources need to approve them. The matrix also outlines high (red), medium (yellow) or low (green) risk levels that will be applied to procurements to ensure clarity for potential reviewers. A spreadsheet is maintained on RFP/Contract reviews. It is not mandated that ALL senior managers review EVERY RFP/Contract. The contracts unit and any relevant senior managers do reviews prior to CIO approval. These efforts will continuously be refined. Requisition/Purchasing Update: Phase I - Streamline purchasing process to identify standard items, eliminate justifications and reduce approval steps Q2 FY20. COMPLETE Phase II - Review IT Lead roles and Approval processes to ensure alignment with budget responsibilities Q4 FY20. COMPLETE	COMPLETE Q1 FY23	●●●●

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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.	Formal policies have been developed defining DoIT/Agency roles and how to ensure IT security deliverables are executed. A dedicated policy compliance manager has been hired, and is working to align security and compliance policies/procedures that will standardize a risk-based approach towards inclusion in contracts and clarity on roles/responsibilities.	COMPLETE Q2FY24	●●●●
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.	After engagement with a Disaster Preparedness vendor, Continuity of Operations Plans have been written, reviewed, and are now maintained in a COOP SaaS solution. In addition, DoIT performed a Table Top exercise and received a vendor provided After Action Report (AAR) for our review. Disaster Recovery planning will continue to be an ongoing activity.	COMPLETE Q3 FY22	●●●●
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.	Previous attempts to modify our RSA were ITL'd. Will revise proposed language and resubmit in the next Legislative session. Independent of RSA changes, DoIT has completed major updates to our policies and procedures, including centralizing this information on our Sharepoint site.	Q4 FY25	●●●
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 CLOSED • Implement COOP - #21 CLOSED • Adopt administrative rules - #22 • Submit statements of financial interest - #23 CLOSED • Strengthen project management - #4 CLOSED & #6 CLOSED • evaluate entire IT procurement process - # 18 CLOSED • Implement additional metrics - # 2 CLOSED & #9 	Ongoing, in conjunction with addressing each corresponding audit finding	●●●