MDEStat Meeting

March 20, 2008

Attachment A: Status of MDE Personnel-Related Initiatives

Initiative #1	February 6, 2008 Status	March 14, 2008 Status
Finalize "Recruitment and Hiring Policy and Procedures"	Comments received. Finalizing document for Secretary's approval By February 15, 2008	Document forwarded for Secretary's approval on March 7, 2008.

Attachment A: Status of MDE Personnel-Related Initiatives

Initiative #2	February 6, 2008 Status	March 14, 2008 Status
Submit Engineering and Scientific Classification study to DBM –	DBM has included a proposed one-grade increase in the FY 09 budget (ASR) for Engineers and Scientists classifications. OHR working with DBM and other interested state agencies on new specifications.	One grade increase through ASR proposed in FY 09 budget for Engineers. OHR working with DBM and other interested state agencies on Scientist series.

Attachment A: Status of MDE Personnel-Related Initiatives

Initiative # 3	February 6, 2008 Status	March 14, 2008 Status
Acquire new HR database management software – ASA is working with DBM to develop an RFP to acquire new HR database management software.	RFP under development. Target date TBD by DBM. Lou serving on steering committee.	RFP under development. Target date TBD by DBM. Lou serving on steering committee, which plans to meet late March 2008.

Attachment A: Status of MDE Personnel-Related Initiatives

Initiative #4	February 6, 2008 Status	March 14, 2008 Status
Recruitment and Retention Survey - Based on the analysis, the survey workgroup identified the top six areas of employee concerns and will begin developing proposals to address these concerns.	Presentation to senior staff on December 12. Comments were due 12-28-07 with reminder sent 1-2-08. Second reminder sent to WMA.	Revised- ASA staff working on finalizing recommendations. Target date March 28, 2008.

Attachment A: Status of MDE Personnel-Related Initiatives

Initiative #5	February 6, 2008 Status	March 14, 2008 Status
Sick Leave Policy and Procedures – development of a new policy and procedures regarding sick leave.	Comments were due 01-08-08. Reminder sent to WMA. Will finalize and provide for Secretary review and approval by February 15, 2008.	Secretary approved policy effective March 18, 2008. Will be posted on intranet with notification to employees sent via email. OHR developing training schedule to ensure effective implementation.

Attachment A: Status of MDE Personnel-Related Initiatives

Initiative #6	February 6, 2008 Status	March 14, 2008 Status
Training coordination – ASA is developing a departmental training coordination function.	ASA and OFP developed CY 2008 training curriculum and schedule for a variety of subjects. First training to begin in February 2008 (see attached).	ASA and OFP developed CY 2008 training curriculum and schedule for a variety of subjects. First training began in February 2008.

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Initiative #7	February 6, 2008 Status	March 14, 2008 Status
Leadership Development (formerly "Succession Planning") pilot project in ARMA. Ian Forrest handling.	Will develop recommendation to Secretary on dept-wide applicability by late March 2008.	Will develop recommendation to Secretary on dept-wide applicability by late March 2008.

Attachment A: Status of MDE Personnel-Related Initiatives

Initiative #8	February 6, 2008 Status	March 14, 2008 Status
MS Cap Analysis – Work with Admin Directors and key staff to assess ongoing impact on MDE operations & develop strategy to address issue.	Late February 2008.	Revised – Analysis and recommendations will be sent to Secretary by end of March.

Attachment A: Status of MDE Personnel-Related Initiatives

Initiative #9	February 6, 2008 Status	March 14, 2008 Status
Ensuring consistent application of, and consistent productivity and customer service from users of, CWW, teleworking, and flextime.	Survey of ASA employees' perception of fairness and morale issues associated with flexible work schedules revealed that ½ of employees surveyed indicated a concern with teleworking. CWW and flex time did not appear to be a problem in ASA. Next step is to develop plan for expanding analysis to rest of Department – expected April 2008.	Develop plan for expanding analysis to rest of Department – expected April 2008.

Attachment A: Status of MDE Personnel-Related Initiatives

Initiative #10	February 6, 2008 Status	March 14, 2008 Status
Secondary Employment Policy and Procedures	Proposed policy and procedures sent to Secretary for review February 5, 2008.	Secretary approved policy with implementation effective February 13, 2008.

Attachment A: Status of MDE Personnel-Related Initiatives

Initiative #11	February 6, 2008 Status	March 14, 2008 Status
Classification and Compensation Policy and Procedures	Draft to be sent to senior staff for review and comment by mid-March 2008.	Revised - Draft to be sent to senior staff for review and comment by late-March 2008.

Attachment C: OLA Audit – Status of OIMT Corrective Actions

Finding Number	Repeat Finding	Subject Area	Finding	Recommendation	Corrective Action Assigned	Status
1	No	EEMS	MDE did not fully disclose to the General Assembly's budget committees significant EEMS development and implementation issues, which could ultimately affect the usefulness of the system, and did not obtain BPW approval for contract scope modifications, as required.	MDE should report the status of the EEMS project to the General Assembly's budget committees, including the project scope modifications and operational deficiencies.	1. Notify the budget committees and the BPW relating to the EEMS project as recommended.	A report dated February 12, 2008 was provided to the Budget Committees and the Board of Public Works. OK. Notification was verified by Donna Dancy.
				To the extent that EEMS continues to be implemented, MDE should ensure that EEMS maintains its intended functionality and take appropriate action to address the problems with the EEMS system reporting.	2. Continue to address EEMS system reporting by hiring staff with expertise in this area to analyze program reporting requirements and implement priority reports.	An additional contract, which was disclosed in the report noted above, will be awarded in the next few weeks to address utilization of EEMS (e.g., TEMPO) and reporting problems. Ok. Progress of this contract is presented during EEMS Steering Committee meetings.
				MDE should submit for BPW consideration the scope modification, as well as any future material contract scope modifications, as required by State Procurement Regulations.	3. See first corrective action.	Disclosed in the report noted in Item 1. OK. Notification was verified by Donna Dancy.

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Finding	Repeat Finding	Subject Area	Finding	Recommendation	Corrective Action Assigned	Status
2	No	EEMS	MDE had not disclosed the existence of three additional contracts totaling approximately $398,000 necessary for the implementation of EEMS, and certain significant cost overruns to the General Assembly's budget committees.	MDE should report significant cost overruns, the three contracts, and any future additional contracts necessary for the implementation of EEMS to the General Assembly's budget committees. In addition, MDE should limit spending on the EEMS project to the amount authorized.	4. Notify the budget committees relating to the three contracts included in the finding analysis and any other significant developments or any future contracts related to the EEMS project.	Disclosed in the report noted in Item 1. OK. Notification was verified by Donna Dancy.
					5. Notify the BPW of the award of the three contracts included in the finding analysis and any future contracts.	Disclosed in the report noted in Item 1. OK. Notification was verified by Donna Dancy.

Attachment C: OLA Audit – Status of OIMT Corrective Actions

Find-ing Num-ber	Repeat Finding	Subject Area	Finding	Recommendation	Corrective Action Assigned	Status
9	No	Information System Security and Control	MDE's internal network was not adequately secured and controls on its firewall need improvement.	MDE should properly secure its internal network and implement adequate security controls over its firewall.	6. Reconfigure the CSMARS server to issue alerts for significant security events by June 2008. Periodically review alerts and document review for future reference.	An SOW is being developed to begin the process of acquiring vendor support. **NEED TO OBTAIN FUNDING AFTER SOW IS COMPLETED.** Need to discuss with Terri Wilson to make sure funding will be obtained this fiscal year to comply with response to OLA finding.
					7. Ensure recommended rule changes to the firewall are implemented to ensure connections to publicly accessible servers are only over necessary ports by February 2008.	Completed January 31, 2008. Needs to be verified.
					8. Document future periodic reviews of IDS logs and maintain for future reference.	Completed December 31, 2008. Needs to be verified.

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Find-ing Num-ber	Repeat Find-ing?	Subject Area	Finding	Recommendation	Corrective Action Assigned	Status
10	Yes	Info System Security and Control	Certain accounts were not adequately controlled and certain critical activities were not properly monitored.	MDE should comply with the user account and security monitoring provisions of the DBM's *Information Technology Security Policy and Standards*. Specifically, MDE should limit access to database files to individuals requiring such access. Also, MDE should review the EEMS application server's security logs. In addition, critical EEMS and PPDW database security events should be logged and reviewed. Finally, all security log reviews should be documented and retained for subsequent verification.	9. Change the name of the factory installed "Administrator" account name as recommended. (October 2007)	Completed October 16, 2008. <mark>Needs to be verified.</mark>
					10. Limit domain administration authority to users responsible for domain administration. (January 2008)	Completed October 16, 2008. <mark>Needs to be verified.</mark>
					11. Limit modification access to critical PPDW database files to those employees who need access to perform job functions (e.g. terminated, transferred, job duties changed) by February 2008. Thereafter, periodically review propriety of access to PPDW database files.	On November 16, 2007 all unnecessary database roles assigned to inactive users of the PDW database were removed. <mark>Needs to be verified.</mark>
					12. Auditing and logging of critical privileges and roles was enabled on 12/26/2007. Logs are written to a directory, reviewed and maintained. Needs to be verified.	

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Finding Number	Repeat Finding ?	Subject Area	Finding	Recommendation	Corrective Action Assigned	Status
12	Yes	Info System Security and Control	User account and password controls over certain critical systems were not adequate.	MDE should comply with account and password requirements and recommendations of the DBM's *Information Technology Security Policy and Standards*.	12. Disable user accounts after 60 days of inactivity. (November 2007)	User accounts are automatically disabled after 60 days of non-use. This control was enabled on 12/18/2007. Needs to be verified.
					13. Implement recommended changes (per chart provided in finding analysis) over passwords and account settings in the applications (TEMPO and PPDW databases) and server where system supports such changes. (January 2008).	All recommended account and password controls were implemented in both the Tempo and PPDW databases on 12/18/2007. Needs to be verified.
					14. Pursue purchase of a product that will allow certain recommended changes to the server controls that can't be implemented because the current network authentication software doesn't have required features to support such controls.	Addressed with current tool sets available with Oracle. Does this mean that the recommended changes per the chart in 13 above were implemented on server side? If yes, then needs to be verified.

MDE Sole-Source Procurements in January and February 2008

Sole Source Vendor	Type of contract (IT, Svc, Com.)	Date approved	Dollar value
IDSI	IT	2-25-08	$180,251.00
ERSI	IT	1-29-08	$52,093.13
WJE	IT	2-1-08	$11,950.00
Notify Technology	IT	1-31-08	$4,200.00
HACH	Com.	1-8-08	$21,024.00
Lime Dozer Consultant	Svc.	2-5-08	$10,000
Bios International	Com.	2-11-08	$16,000
Thermo Environmental	Com.	2-11-08	$13,562
Thermo Environmental	Com.	2-13-08	$118,956

Attachment E: MDEStat Tracking Form – Budget Amendments

MDEStat Tracking Form

Budget Amendments

MDE Tracking No.	Requesting Administration	Date Received by Budget Office	Date Submitted by Budget Office to DBM	Date DBM Approval Received	Reason Needed	Comments		
RF 1-2008	WAS	6/13/07	7/12/07	8/10/07	to increase approp based on re	Sent to MPA for signature 7/2/07		
2008-001	WMA	initiated by bgt office	7/02/07	8/16/07	to provide appropriation for Ca	submission to DBM w as delayed pending receipt of grant aw ard		
2008-002	CO - SSA	initiated by bgt office	8/10/07	9/26/07	realing approp for reorg - ERD	transfer from SSA to CO		
2008-003	WMA	initiated by bgt office	7/31/07	8/27/07	w ma reorg - consolidate tw o budgetary programs into one			
RF 2-2008	CO	8/15/07	8/20/07	1/10/08	conflict mgmt and facilitation te	submitted to MACRO for approval on 8/7/07; required bpw approval b/		
RF 3-2008	ARMA	8/15/07	9/28/2007	10/8/07	trapp activities	submitted to mdot for approval 8-28-07		
RF 4-2008	CO	12-05-07	1/18/08	2/1/2008	alternative dispute resolution	submitted to MACRO for approval on 12 -5-07		
deficiency 3	CO	9/25/07	12-30-07		DWSRF loans	included in 2009 allow ance for review by dls		
deficiency 2	SSA	11/01/07	12-30-07		upgrade tier ii softw are	included in 2009 allow ance for review by dls		
deficiency 1	CO	11/02/07	12-30-07	not approved	small business loan	dbm may reject - realign existing appropriation to cover		
						not approved by dbm - w ill revisit as part of exp projections		
deficiency 4	CO		12-30-07		data exchange netw ork	included in 2009 allow ance for review by dls		