

## Corrective Action Plan and IT Security Audit Quarterly Summary Template

Date \_\_\_\_\_

**PURPOSE:** This Plan describes IT Security Audit findings; documents responsibility for addressing the findings; and describes progress towards addressing the findings. Provide enough information to enable the reader to understand the nature of the finding, the impacts, and the planned remedy.

Audit Name: \_\_\_\_\_

IT System(s) \_\_\_\_\_

| Audit Finding No. | Short Title | Summary | Agency <sup>1</sup> Concur | Planned Corrective Action or Mitigating Controls <sup>2</sup> | Responsible Person(s) | Status <sup>3</sup> | Due Date | Exception on File <sup>4</sup> |
|-------------------|-------------|---------|----------------------------|---------------------------------------------------------------|-----------------------|---------------------|----------|--------------------------------|
|                   |             |         |                            |                                                               |                       |                     |          |                                |
|                   |             |         |                            |                                                               |                       |                     |          |                                |
|                   |             |         |                            |                                                               |                       |                     |          |                                |

Audit Name: \_\_\_\_\_

IT System(s) \_\_\_\_\_

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|-------------------|-------------|---------|---------------|--------------------------------------------------|-----------------------|--------|----------|-------------------|
|                   |             |         |               |                                                  |                       |        |          |                   |
|                   |             |         |               |                                                  |                       |        |          |                   |
|                   |             |         |               |                                                  |                       |        |          |                   |

<sup>1</sup> Agency Concur: Concur or Does Not Concur

<sup>2</sup> If the Agency does not concur, the Mitigating Controls and Risk Acceptance must be stated in Planned Corrective Action.

<sup>3</sup> Status: NS = Not Started; U = Underway; C = Completed

<sup>4</sup> Exception on file for findings not compliant with COV Information Security Standard (SEC501): Y = Yes; N = No

NOTE: CAPs must be submitted within 30 days of issuing the final audit report completion. All CAPs should be combined into one cumulative summary agency CAP and submitted to Commonwealth Security quarterly within 30 days of quarter's end date to be counted.