



National Radio Astronomy Observatory

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Fax Message

TO: Alan Bridle

DATE: 99/1/28

COMPANY: NRAO-CV (ER)

Fax #: _____

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THIS FAX MESSAGE FROM:

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Y2K report to auditors

COMMENTS: For your & Jim Desmond's review. Please
forward to Chuck Beverage in AB if OK. It's
consistent with what Richard sent last year.

Let me know if it's not legible and I'll see if
someone here can type it (you may want to do
this at your end even if it is; I have a blank
copy I can FAX for this if so)

thanks!

Ruth.

If you have any problems receiving, please contact receptionist at (505) 835-7000.

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Year 2000 Compliance Questionnaire

Prepared By: Ruth Milner Date: 25 Jan 1999

Reviewed By: _____

Client Name: NRAO

Discussed With: _____

Does the company have a Year 2000 compliance approach? Yes No

If no, consider the need to further discuss this topic with client management and/or audit committee, and document these discussions.

If yes, the following questions can be used to guide and document a discussion with the client, or alternatively, document the discussion in a memorandum.:

Project Planning/Program Management:

- Does the project address domestic and global compliance?

YES

- Describe the current status of the project. How long has the client been working on it? What is the comfort level with their current status?

Assessment and inventory were completed in late 1997. Testing and remediation of essentially all mission-critical applications was completed in 1998. Most of the remaining testing relates to systems not critical to fundamental observatory operations. We are satisfied with this progress.

- Who is sponsoring the Year 2000 effort? Is the Chairman or Chief Executive Officer? What level of "buy in" exists in the organization?

NRAO's Y2K co-ordinator is attached to the Director's office. "Buy-in" is good in critical areas such as the business office and computing, variable in non-critical areas.

- Is the Year 2000 budget separate or included within the IS budget? If included in the IS Budget, what process exists or will be put forth to prioritize Year 2000 work within the context of the total budget? What initiatives will be delayed? Have the users agreed?

Budget is included in IS budget. Y2K remediation is considered very high priority. At this time it is not expected that any other major initiatives will need to be delayed.

- What is the estimated cost of compliance and duration of time to accomplish compliance? How were these estimates determined? What is their target date for completion?

Exact cost is not available but will be minor in budget terms since most efforts involve either existing staff or equipment/software upgrades already planned. Target date for mission-critical functions was 12/31/98 and is considered met. Non-critical target completion date 8/31/99.

- Has a task force been ¹created to address the issue? Is it ²considering only the impact on their computer systems or is it considering enterprise level issues? How many people ³are included on the task force? Does it include both internal and external resources ⁴? ⁵Have accountabilities been clearly delineated between external and internal resources? ⁶If "offshore" resources are planned how will the work be controlled?

1. YES
2. Both
3. 7
4. No
5. Yes
6. N/A to NRAO

- What contingency plans have been established to mitigate the risks associated with the project not being completed on time?

Mission-critical aspects of the project are already essentially complete.

- **Has a program management office and project plan been created? Have the right resources and skill sets been identified and assigned?**

Yes

- **What critical milestones exist which indicate the current initiatives are on target?**

Critical functions and systems were identified during the assessment/inventory stage. All have been addressed.

Approach:

- **Has an application inventory been created? Have tools been used to determine which code has been executed in the last year?**

Critical applications were identified in 1997. Inventorying of non-critical applications is currently underway. No tools exist which can give a completely accurate indication of application use.

- **How is business risk defined? Has a business risk rating been assigned to various suites of applications? Have the users agreed? Have global implications been taken into account?**

Business risk is defined only in so far as being mission-critical (e.g. payroll, telescope operation) or not (e.g. DTP). Users will define their own priorities for non-mission-critical applications.

- What is the compliance approach being taken by the client as to their computer systems? (E.g., replace many of the systems, convert them to be Year 2000 compliant, depends on the system, or undecided at this point.)

Depends on the system.

- Are year fields in data files being expanded or program code being modified to deal with the problem, or both?

Primarily program code modification.

- Has the client evaluated the need to convert historical data?

No.

- Does the client have any Year 2000 assessment/conversion tools? What are they? Do the tool or tools being used or being planned only perform the assessment or also perform code conversion, considering legacy and client/server environment as well?

No.

- Has a communications strategy been defined and put in place to update the business area on risk impacts and status?

Yes. Information is maintained on a WWW area (accessible only from within NRAO).

Testing Procedures:

- Are there enterprise wide standards for testing?

This is only possible for a very limited number of tests (e.g. pc real-time clocks), so effectively the answer is "No".

- If yes, please explain the testing process:

- What date were the testing standards introduced?

- How many applications are under standards? Which ones?

- How many applications are not under these standards? Which ones?

- Do the users currently participate in test data preparation and execution?

In a few cases. This will increase during testing of non-mission-critical applications.

- Are the users aware they will be involved in test preparation and execution for Year 2000?

Some are, others will be shortly.

- Are users aware they will be performing Year 2000 testing along with their usual tasks? How will this be managed along with their current job requirements?

Some are. Priority of this testing will be determined by the users, depending on the importance of the applications to them. It is unlikely to be a significant workload for any individual user.

Application Status:

- Indicate how many applications are at each stage of the Year 2000 compliance process.

Compliant: all mission-critical ones
 In-Process: } all non-mission-critical ones
 Planned: } _____
 No Plans: _____
 Do not need to be: _____
 Other: _____

- Is there sufficient Hardware available for the Year 2000 project, especially for the testing? Is another contingency being considered? Have negotiations begun?

Yes	N/A	N/A
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External Vendors and Agents:

- Determine if the client is currently working with any of the vendors listed below on Year 2000 issues. Include any other types of vendors working on Year 2000 issues for the client. Determine if a plan needs to be put in place.

Hardware Vendors? Completed
 Operational Suppliers? Will be working on this
 Application Software Vendors? Working with vendors now
 System Software Vendors? Completed
 Other Vendors? _____

- Identify any of the external agents listed below with whom the client is working on Year 2000 Issues. Include any other types of external agents as well. Determine if a plan needs to be put in place. Determine if the client should drive this process.

Customers? Counterparties? N/A
 Banks and other Financial Institutions? Have requested Y2K status information
 Government and Regulatory Agencies? N/A
 Electronic Data Interchange (EDI)? N/A
 Other agents? Have requested Y2K status information
 Utilities and Services _____