

Department of Education
Office of Inspector General – Internal Audit
Twelve-Month Status Report on: Applications Development
Report # A-1516-024 Issued: August 16, 2017
Status as of August 16, 2018

Finding	Recommendation(s)	Management Response as of August 16, 2017	Management Response as of August 16, 2018	Anticipated Completion Date & Contact
The department lacks an overall IT governance framework.	We recommend that the department approve and implement a project management governance plan. We recommend the approved plan establish a project governance structure, including a project steering committee, to enable department senior management to approve and monitor IT development projects, set priorities for IT projects, and participate in strategic IT decisions in a controlled and consistent manner.	<p>FDOE-IT concurs with the development of IT Governance. Therefore, we will work with the business units and the Data Governance Council to establish a project management plan for review and approval by leadership.</p> <p>Management Response as of February 16, 2018: A draft Project Governance Plan has been developed and is under review. A copy of this document is attached: See Attachment A.</p> <p><i>Anticipated Completion: 12/31/18</i></p>	A Project Governance Plan was developed, approved and implemented. See attachment A	Completed
The department does not have enterprise Application Development policies.	<p>We recommend the department develop and implement application development policies. These policies should include, but not be limited to:</p> <hr/> <ul style="list-style-type: none"> •A requirement that the department’s ISDM and Project Management Standard be followed for new application 	<hr/> <p>FDOE-IT will work to update the ISDM and create a policy that requires all IT staff to follow the same methodologies</p>	Draft Operations and Maintenance (O &M) Planning Standards and draft Information System	

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	<p>development projects and major modifications to existing applications;</p> <hr/> <p>• Definitions for projects, application modifications, and maintenance tasks, including criteria for differentiating major application modifications from routine application maintenance tasks (ex: risk, hours, complexity);</p>	<p>Management Response as of February 16, 2018: Draft policy and ISDMs for both project and O&M activities have been developed and are routing for review/approval. Copies of these documents are attached.</p> <p><i>Anticipated Completion: 12/31/18</i></p> <hr/> <p>FDOE-IT will create project definitions vs maintenance task.</p> <p>Management Response as of February 16, 2018: A draft Project Management Policy has been developed and is under review. A copy of this document is attached. See Attachment B</p> <p><i>Anticipated Completion: 12/31/18</i></p>	<p>Development Methodology (ISDM) have been developed, reviewed and returned for revisions. Revisions were made. Currently, documents are under review. See attachments B and C</p> <hr/> <p>Draft Project Management Policy has been routed for Sr. Leadership review. See Attachment D</p>	<p>Anticipated Completion: 12/31/18 Antionette Williams</p> <hr/> <p>Anticipated Completion: 12/31/18 Antionette Williams</p>

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	<ul style="list-style-type: none"> • Direction for establishing which projects must go through the governance process; <hr/> <ul style="list-style-type: none"> • A requirement that all new projects or major application modifications be assigned an applications development manager who has knowledge over the subject matter; 	<p>FDOE-IT will develop guidelines that identify which projects will require governance process.</p> <p>Management Response as of February 16, 2018: The following draft documents have been developed and are under review: Project Governance Plan, Project Management Standard and Project Management Standard-Contractor-Managed. Copies of these documents are attached. See Attachments</p> <p><i>Anticipated Completion: 12/31/18</i></p> <hr/> <p>FDOE-IT will establish a standard requiring that new projects and major application modifications be assigned to application knowledgeable subject matter.</p>	<p>The Project Governance Plan and Project Management Standard have been approved. See attachments A and E. Note that the Project Management Standard-Contractor-Managed has been combined into the Project Management Standard</p> <hr/> <p>Established Assignments of Business Analyst and Development have been completed</p>	<p>Completed</p> <hr/> <p>Completed</p>

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	<ul style="list-style-type: none"> A requirement that an ADR form be used to initiate new projects or application modifications; and 	<p>FDOE-IT will establish an internal policy governing the initiation of new projects and application modifications and the use of ADR forms.</p> <p>Management Response as of February 16, 2018: Initial meetings have begun on development of this policy/procedure.</p> <p>The ADR form has been developed, and initial meetings have begun on development of this policy. A copy of this document is attached. Attachment Ia & Ib</p> <p><i>Anticipated Completion: 6/30/18</i></p>	<p>Draft Operations and Maintenance (O &M) Planning Standards and draft Information System Development Methodology (ISDM) have been developed, reviewed and returned for revisions. Revisions were made. Currently, documents are under review. See attachments B and C</p> <p>A copy of the ADR Form was previously submitted to IG's Office. A draft Operations and Maintenance (O &M) Planning Standards and draft Information System Development Methodology (ISDM) have been developed, reviewed and returned for revisions. Revisions were made. Currently, documents are under review. See attachments B and C.</p>	<p>Anticipated Completion: 12/31/18</p>

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	modify commercial software, maintenance, etc.). Finally, we recommend the department include a closeout phase in the SDLC in order to align with national standards.	review/approval. Also, a Draft Decommissioning policy has been created to deal with end of life applications. Copies of these documents are attached. Attachment E Attachment F, G, H <i>Anticipated Completion Date: 12/31/18</i>	under review. See attachments B and C Draft Decommissioning Policy is being revised to include database decommissioning. See also draft request form See attachment F & G	
The department did not follow the Project Management Security Standard.	We recommend the department update the Project Management Standard to include the Security Planning Requirement related to the Florida Cyber Security Standard and ensure the system security plan is documented for all applicable projects. We further recommend the department update the minimum-security standard to reflect the current F.A.C. Rule 74-2.	FDOE-IT will Resubmit the Enterprise Governance plan to leadership for approval ensuring that it includes the Security Planning Requirements related to the Florida Cyber Security Standard and ensure the system security plan is documented for all applicable projects and meets minimum security standard. Management Response as of February 16, 2018: A draft Project Management Policy, Project Management Standard, and Project Management Standard-	A Project Governance Plan was developed, approved and implemented. See attachment A Draft Project Management Policy has been routed for Sr.	Completed Anticipated Completion 12/31/18 Antionette Williams

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		<p>Contractor- Managed has been developed and is under review. A copy of this document is attached. See Attachment B, C, D</p> <p>The existing Minimum Standards document will be updated to reflect 74-2</p> <p><i>Anticipated Completion: 12/31/18</i></p>	<p>Leadership review. See Attachment D</p> <p>The Project Governance Plan and Project Management Standard have been approved. See attachments A and C. Note that the Project Management Standard-Contractor-Managed has been combined with the Project Management Standard and reflect 74-2</p>	<p>Completed</p>

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<p>Application Development Cost Estimates are not reliable.</p>	<p>We recommend OADS establish documented policies for conducting cost estimates. These policies should include, but not be limited to:</p> <ul style="list-style-type: none"> • Conducting detailed research with the business owner prior to estimating the costs of projects, applications, and maintenance activities; • Having a knowledgeable BA participate in all cost estimates and document justifications for deviations from the estimates; • Conducting periodic budget to actual comparisons to evaluate the accuracy of the cost estimates; • Reviewing the cost estimates at the end of each project to evaluate the accuracy of the estimate and determine if adjustments to the methodology are warranted; • Considering whether cost and hour estimates were met when 	<p>FDOE-IT will develop specific guidelines for applying cost estimates. The guidelines will incorporate conducting detail research with business owners, periodic budget comparisons, and other reviews including requirements for BA participation in cost estimated and documentation</p> <p>Management Response as of February 16, 2018: DTI has created Service Level Agreements for each division to outline planned work at the beginning of the Fiscal Year. A copy of this document is attached. Attachment J</p> <p>DTI conducts a true-up mid-year and end of year to evaluate the accuracy. Procedures are being drafted for this.</p> <p><i>Anticipated Completion: 6/30/18</i></p>	<p>DTI has created Service Level Agreements for each division to outline planned work at the beginning of the Fiscal Year. DTI conducts a true-up mid-year and end of year to evaluate the accuracy. Procedures are being drafted for this.</p>	<p>Completed</p>

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	evaluating project team members; and <ul style="list-style-type: none"> • Completing end of fiscal year actual cost calculations to enable more reliable future projections. 			