2011-2012 Enterprise Audit Plan Kickoff Meeting

August 16, 2011

Meeting Agenda

Welcome & General Comments   (5 minutes)   Melinda M. Miguel (CIG)

Approved Enterprise Audit Plan   (10 minutes)   Kim Mills (CIG)

Engagement Type Discussion   (20 minutes)   Jerry Chesnutt (DCF)
Ethics – Review & Roll-Up
IIAMS – Training & Administration

<div align="center">

Enterprise Project Briefing

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Contract Monitoring   (20 minutes)   Joe Maleszewski (FDOT)
                                                                  Ronnie Atkins (HSMV)

Break   (5 minutes)

IT Mobile Technology   (20 minutes)   Kris Sullivan (FDOT)

SLA Planning Team & Status   (10 minutes)   Tabitha McNulty (CIG)

Questions & Concluding Remarks   (10 minutes)   Melinda M. Miguel (CIG)

Welcome!

MELINDA MIGUEL
Chief Inspector General
Executive Office of the Governor

Approved Enterprise Audit Plan

KIM MILLS
Office of the Chief Inspector General

Enterprise Audit Topics
FY 2011-2012

- Contract and Grant Monitoring
- IT Mobile Technology
- IT Service Level Agreements with Primary Data Centers
- Cost Savings and Efficiencies (Survey and Evaluations)
- Background Screening
- IT-AEIT Agency Risk Assessment Survey
- IT-Data Classification
- IT-Computer Security Incident Response Teams-IGs Role

The 2011-2012 audit plan was approved by Governor Rick Scott on June 30, 2011.

Engagement Types

JERRY CHESNUTT
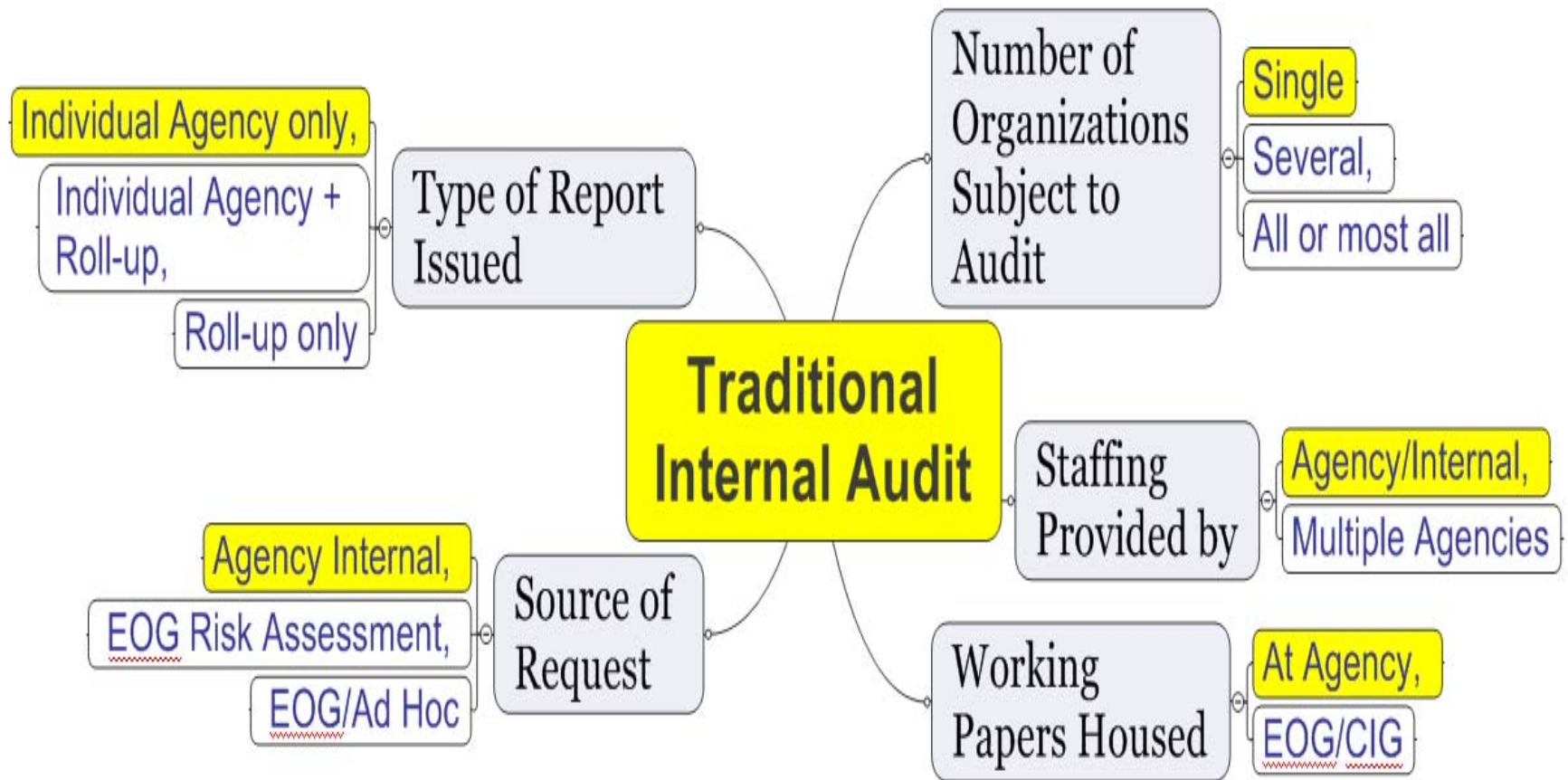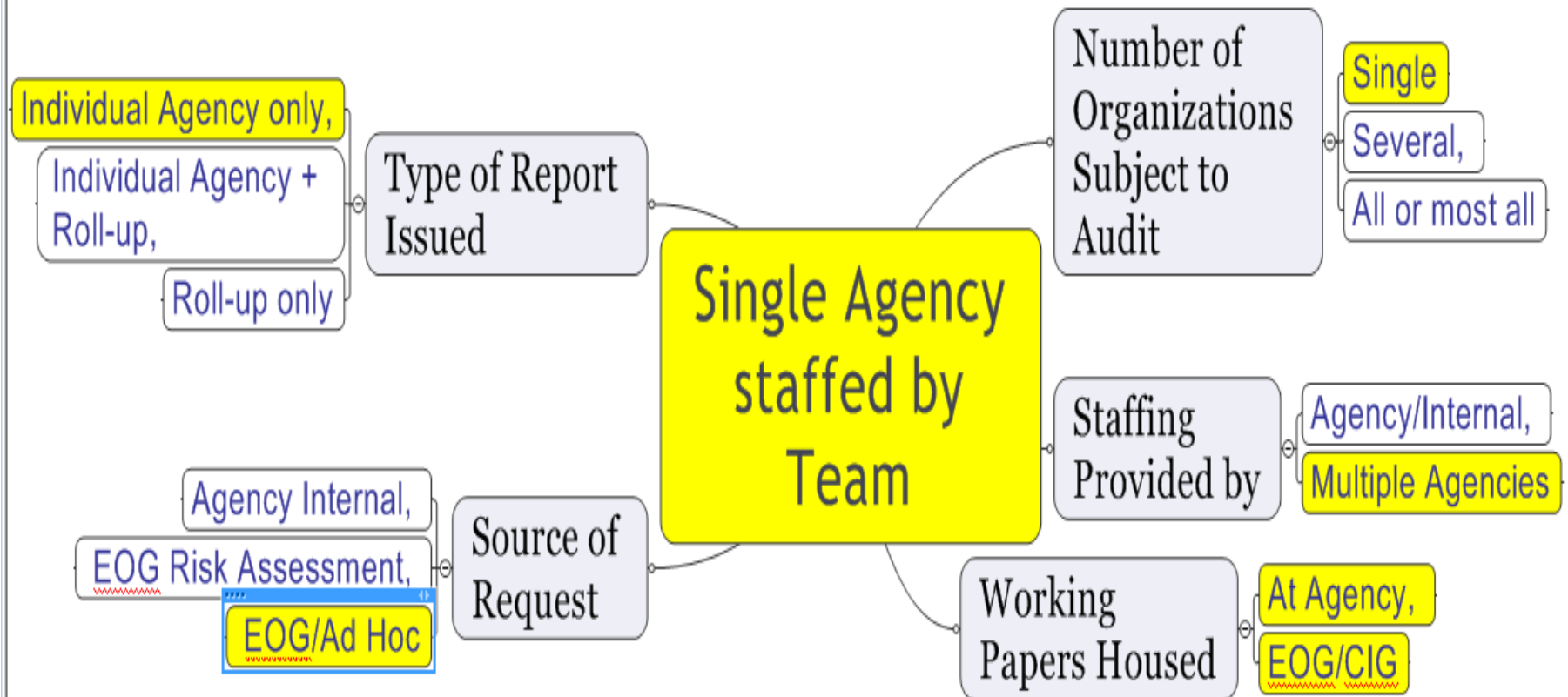## Department of Children and Families

Types of Engagement Projects

- Number of Organizations Subject to Audit
  - Single, Several, All or most all
- Staffing Provided by
  - Agency/Internal, Multiple Agencies
- Working Papers Housed
  - At Agency, EOG/CIG
- Source of Request
  - Agency Internal, EOG Risk Assessment, EOG/Ad Hoc
- Type of Report Issued
  - Individual Agency only,
 - Individual Agency + Roll-up,
  - Roll-up only

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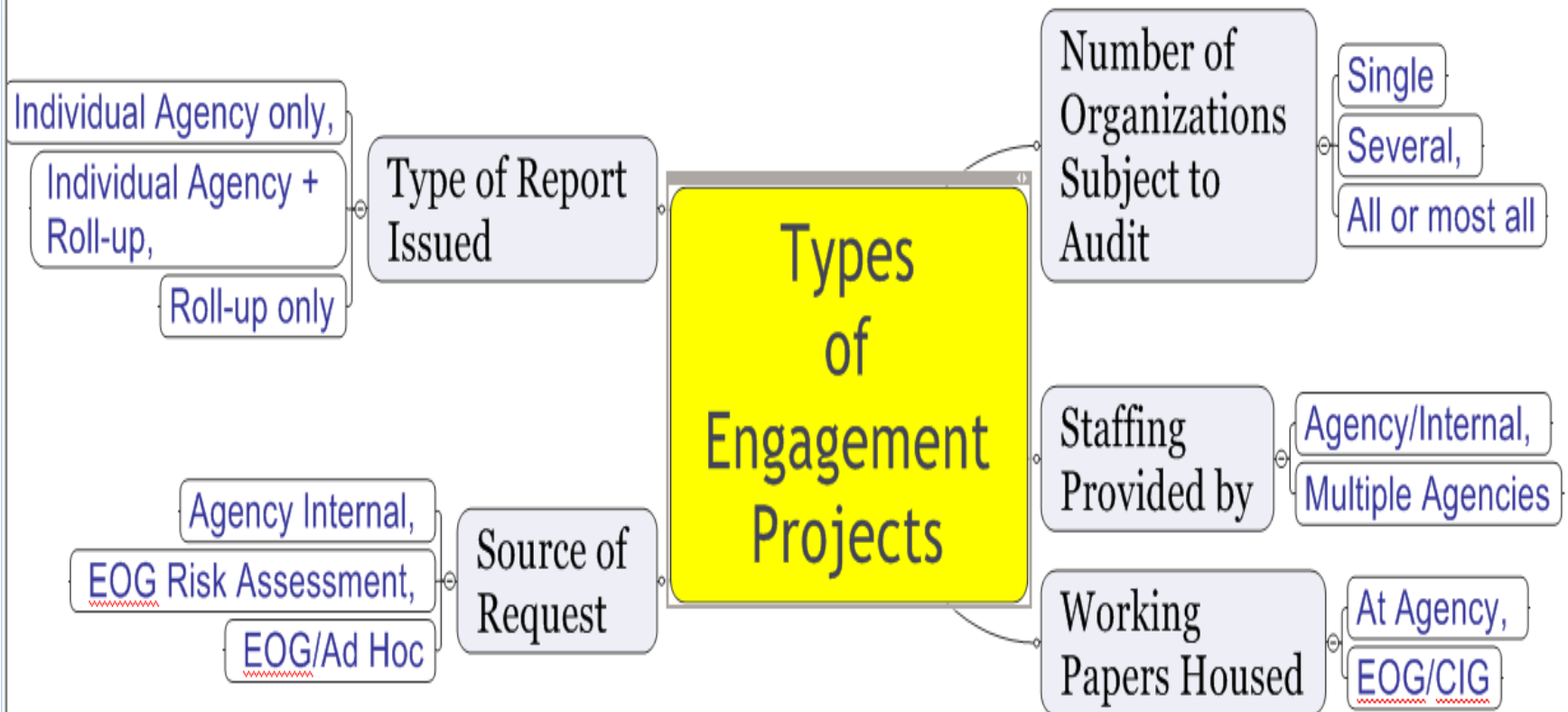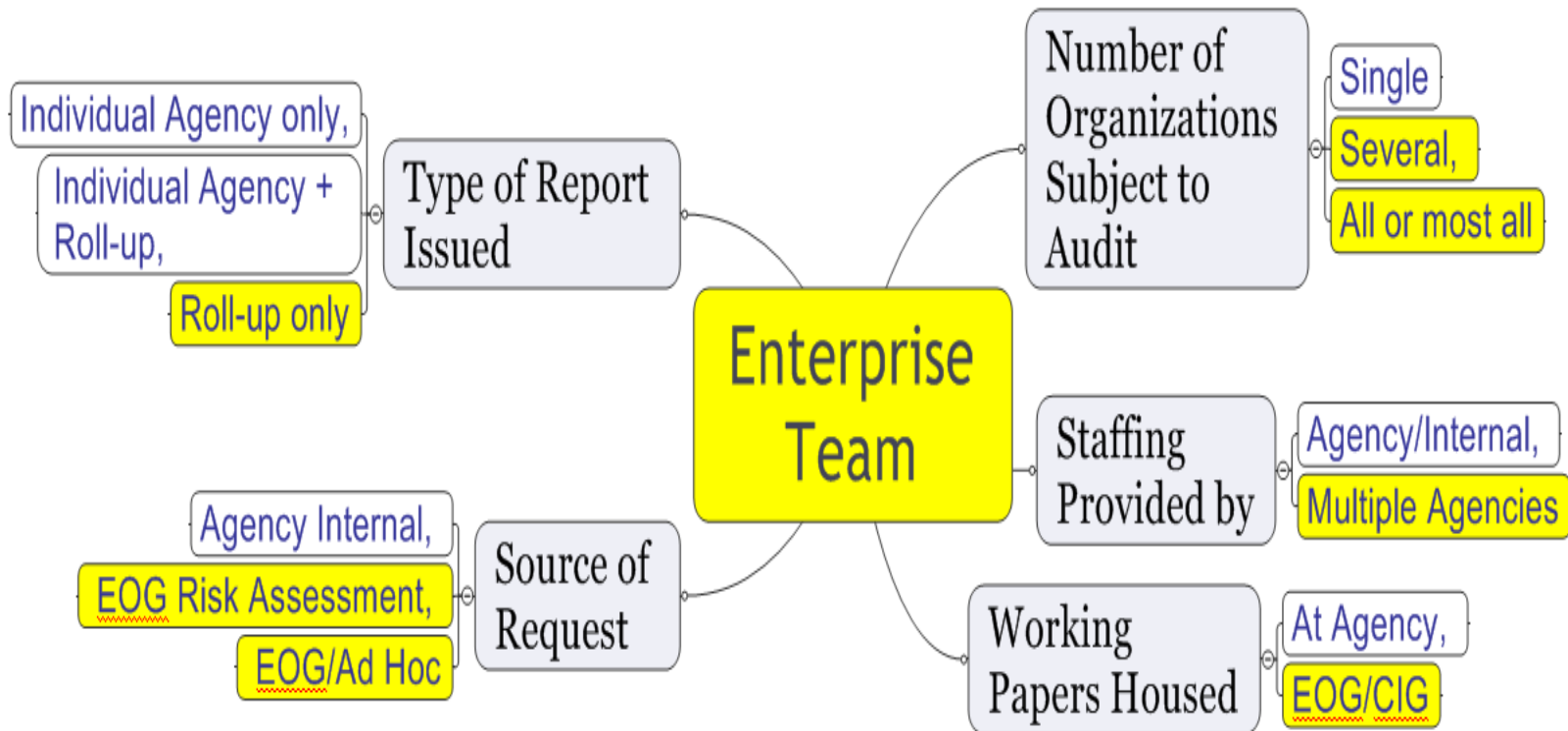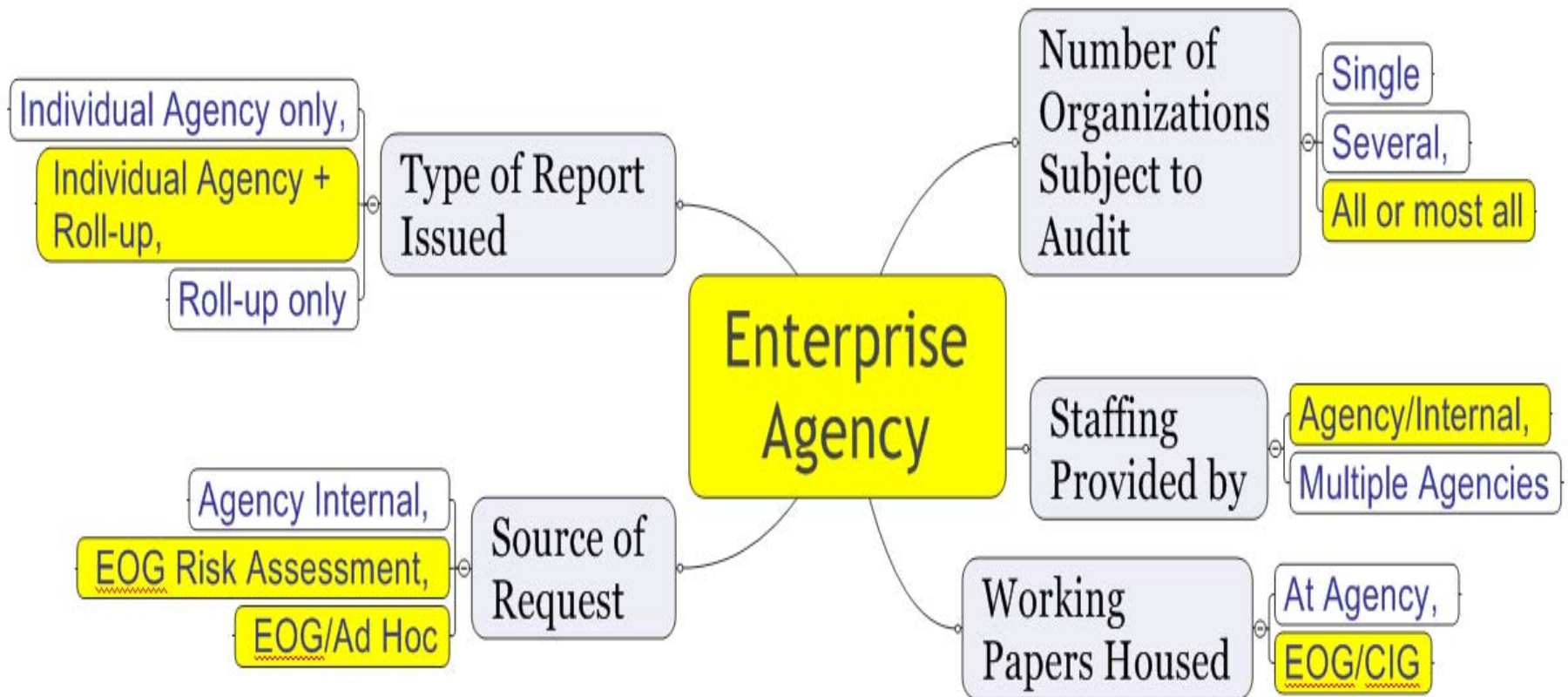
Ethics-Review & Roll-Up

JERRY CHESNUTT
Department of Children and Families

	Agency	Report Published	AIC
1	DVA - Final Report	3/23/2011	Oliver, Kenneth
2	DMS - Final Report	4/12/2011	Zimmerman, George
3	FWC - Final Report	4/13/2011	Phillips, Trevor
4	DJJ - Final Report	4/14/2011	Yu, Michael
5	DOC - Final Report	4/14/2011	McWilliams, Daniel
6	FDLE - Final Report	4/19/2011	Howell-Thomas, Lourdes
7	APD - Final Report	4/25/2011	Green, Annette
8	AWI - Final Report	4/27/2011	Smith, John
9	DOEA - Final Report	4/27/2011	Hernandez, Tony
10	DBPR - Final Report	4/29/2011	Anderson, Bob
11	DOS - Final Report	5/3/2011	Miller, Ary
12	AHCA - Final Report	5/5/2011	Vause, Timothy
13	DEP - Final Report	5/9/2011	Saras, Carmen
14	DOE - Final Report	5/9/2011	Kilker, Kelly
15	DOT - Final Report	5/11/2011	Gilboy, Joe
16	DOH - Final Report	5/19/2011	Boehmer, Mark
17	LOT - Final Report	6/1/2011	JAHNS-NELSEN, DEBRA
18	DCF - Final Report	6/15/2011	Alexander, Renea
19	DCA - Final Report	6/24/2011	schulze, connie
20	DOR - Final Report	6/24/2011	Wood, Teresa
21	EOG - Final Report	7/7/2011	McNulty, Tabitha

Enterprise Ethics Audit Participants

Spring 2011

21 Participating Agencies

Agency	Reported Hours	AIC
AHCA - Final Report	207	Vause, Timothy
APD - Final Report	128	Green, Annette
AWI - Final Report	197	Smith, John
DBPR - Final Report	216	Anderson, Bob
DCA - Final Report	97	Schulze, Connie
DCF - Final Report	257	Alexander, Renea
DEP - Final Report	193	Saras, Carmen
DJJ - Final Report	131	Yu, Michael
DMS - Final Report	121	Zimmerman, George
DOC - Final Report	254	McWilliams, Daniel
DOE - Final Report	191	Kilker, Kelly
DOEA - Final Report	190	Hernandez, Tony
DOH - Final Report	230	Boehmer, Mark
DOR - Final Report	218	Wood, Teresa
DOS - Final Report	0	Miller, Ary
DOT - Final Report	224	Gilboy, Joe
DVA - Final Report	123	Oliver, Kenneth
EOG - Final Report	91	McNulty, Tabitha
FDLE - Final Report	191	Howell-Thomas, Lourdes
FWC - Final Report	52	Phillips, Trevor
LOT - Final Report	115	JAHNS-NELSEN, DEBRA

Hours Reported by Agency

IIAMS-Training & Administration

JERRY CHESNUTT
Department of Children and Families

Enterprise Project Briefing

Contract Monitoring

JOE MALESZEWSKI
Department of Transportation
&
RONNIE ATKINS
Highway Safety and Motor Vehicles

Contract Monitoring Project

Team Members

Joe Maleszewski (DOT)

Mike Bennett (DOH)

Bruce Smith (DCF)

Cynthia Hefren (DCF)

Ronnie Atkins (HSMV)

Mark Boehmer (DOH)

John McBride (DOT)

Destin DuBose (DOT)

David Cline (HSMV)

Purpose

The purpose of this engagement is to evaluate the enterprise policies, procedures and processes for contract monitoring.

Objectives

- Determine if contract monitoring policies and procedures are in compliance with state and federal laws, rules and other regulatory requirements.

- Assess the adequacy of contract manager training and development.

- Identify potential best practices by evaluating contract monitoring processes.

Contract & Project Manager Survey

- General Questions
- Policies & Procedures
- Training & Development
- Contracts & Templates
- Fiscal Monitoring & Performance Oversights
- Payment Processing
- Best Practices

Survey Example

OFFICE OF INSPECTOR GENERAL

Contract and Project Management Survey

Thank you for taking this survey. Your opinions and ideas are valuable to us and will help us make our Department more efficient and effective. If you have any questions or need clarification, please call [Name] at [Phone].

GENERAL QUESTIONS

What percentage of your time do you spend managing contracts? _____

How many contracts do you manage? _____

What is the estimated total dollar value of all the contracts you manage? _____

Do you keep a copy of all the contract(s) you manage?   Yes/No

The Department's contracting practices encourage competition among qualified vendors. (Check one)

Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree

Other Reviews

DFS has recently sampled services contracts and grant agreements at: DFS, OFR, OIR, DJJ, and DBPR.

Reviews are to ensure that agreements contain:
- Clear Scope of Work
- Deliverables
- Levels of Service and Criteria

In order to prevent duplication of efforts, the Contract Monitoring team's review will supplement the DFS review.

We will use checklists and surveys to perform the review.

Audit Steps

- Planning
- Preliminary Research
- Entrance Conferences
- Review of Policies & Procedures
- Review of Training & Development
- Identification of Best Practices
- Review of Standard & Template Contracting Docs
- Reporting

Checklists Types

- Policies and Procedures
- Invoicing and Payment
- Closeout Procedures
- Training and Development
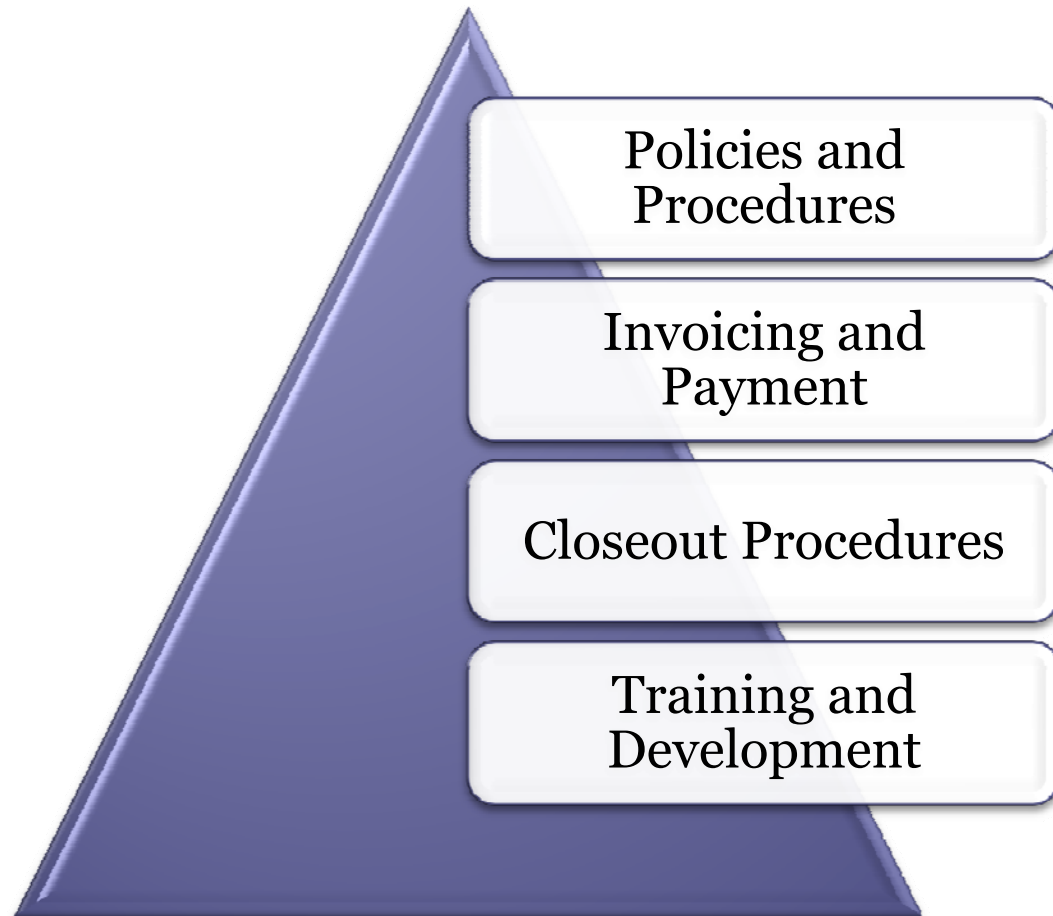
Checklist example

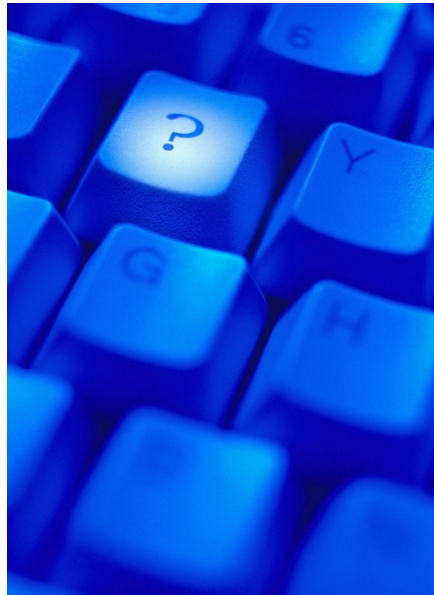| 1.1.10 Review Invoicing and payment procedures for:		
	Not Included	**Included**
1.1.10.1 Review invoice for accuracy and completeness		
1.1.10.1.1 Description of services		
1.1.10.1.2 Number of service units provided		
1.1.10.1.3 Period of services		
1.1.10.1.4 Payment terms identified in the contract		
1.1.10.1.5 Invoice billing period agrees with documentation submitted		
1.1.10.2 Invoiced amount is in agreement with the terms of the agreement		
1.1.10.3 Compliance with terms of the contract		
1.1.10.4 Completeness and adequate detail of the invoice		
1.1.10.5 On-site monitoring and inspection where applicable		
1.1.10.6 Incentive/disincentive adjustments		

For more information…

Schedule

- Engagement Letter: early-September
- Fieldwork: mid-September thru December
- Report: early-January 2012

QUESTIONS

IT Mobile Technology

KRIS SULLIVAN
Department of Transportation

IT Mobile Technology Project

Team Members

Kris Sullivan, DOT
Michelle Weaver, DOH
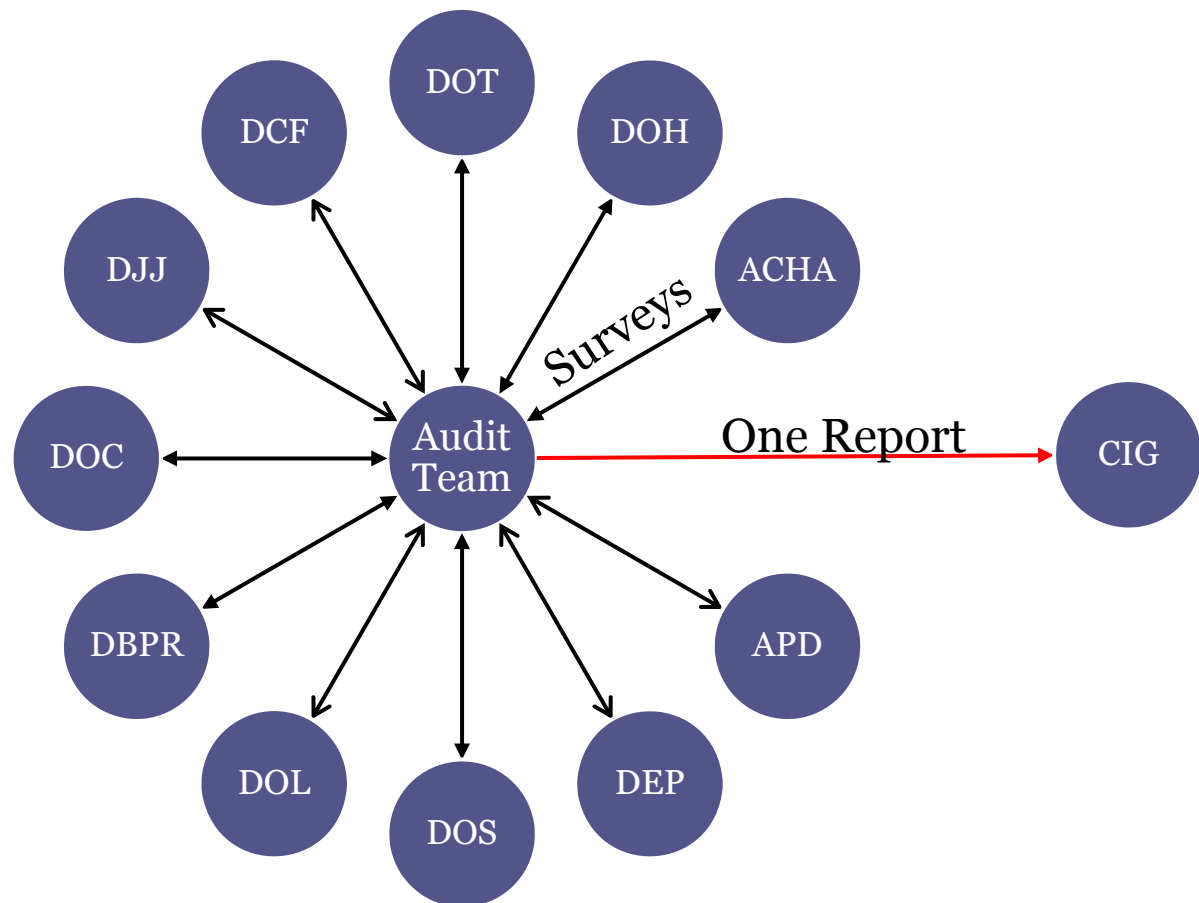Shandyka Strivelli, DCF
Karen Calhoun, DOT
Katifani Crum, DOT

Purpose

Identify mobile technology trends, best practices, and ideas for cost savings within the enterprise. Additionally, the review will seek to identify any mobile technology governance issues.

Engagement Type –
Small team reviewing multiple agencies

Mobile Technology Types

- Laptop/Notebook/Netbook
- Tablet/Slate
- Smartphone
- Cell phone (not internet capability)
- Personal Digital Assistant
- Flash drive/External hard drive

Objectives

- Identify statewide trends for mobile technology.

- Identify best practices by evaluating mobile technology uses within each agency.

- Determine if the enterprise has defined, established and maintained a mobile technology framework and to determine how each agency has implemented this framework.

Methodology

- Survey all agency employees
- Survey all agency Chief Information Officers
- Create an IT Mobile Technology Toolkit for agency use

Compilation Process for the Surveys

Draft Surveys

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Quality Review and Testing

↓

Dissemination

↓

Compile Results

↓

Report
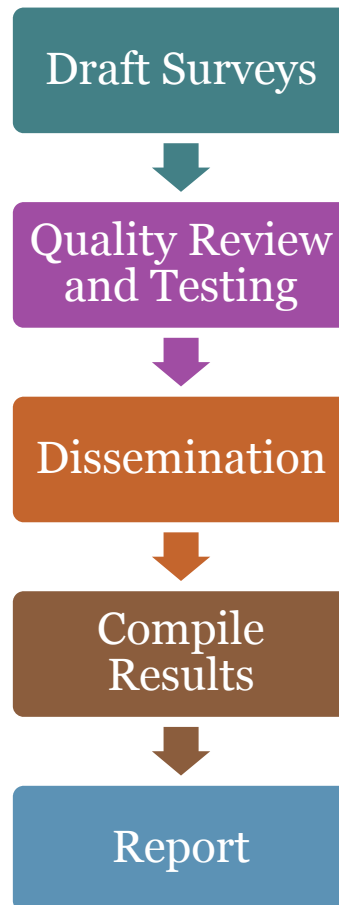
Dissemination and Compiling

These tasks will be handled by the IT Mobile Technology Project team. The next steps will be:

- Testing and revising
- Dissemination to CIOs and Agency IG offices (you will need to email to staff)
- SurveyMonkey
- Compiling will be handled by Team

Sample Questions-Employee Survey

3. Does your agency have any policies or procedures addressing the use of mobile devices for work-related activities (i.e. phone calls, messaging, email, calendaring, accessing a work-related network or application)? (Please check all that apply.)

	Agency-owned	Personally-owned
Yes	☑	☐
No	☐	☐
Not sure	☐	☑

4. Does your agency require staff using any mobile device for work-related purposes to sign an acknowledgement form?

○ Yes, for both agency-owned and personally-owned devices
☑ Yes, for agency-owned device(s)
○ Yes, for personally-owned device(s)
○ No
○ Not sure

5. In your opinion, how does/would allowing employees to use the mobile devices of their choice for work-related activities affect employee productivity?

○ Significantly decreases productivity
○ Somewhat decreases productivity
○ No impact on productivity
○ Somewhat increases productivity
☑ Significantly increases productivity

∗ 6. How could a mobile device(s) improve your work-related productivity?

A mobile device would allow me to access and
respond to email outside of my normal work hours.

Sample Question-CIO Survey

2. What prompted this pilot or testing of mobile technology? (Please check all that apply.)

	Laptop, Notebook, Netbook	Tablet/Slate	Smartphone	Cellphone	Personal digital assistant	Flash drive/external hard drive	Other
Agency initiated	✔	✔	☐	✔	☐	☐	☐
Statewide/enterprise initiated	☐	☐	☐	☐	☐	☐	☐
Improving customer relations management	☐	☐	☐	☐	☐	☐	☐
Improving business processes/operations	✔	☐	✔	☐	☐	✔	✔
Reducing costs	☐	☐	✔	☐	☐	☐	☐
Responding to reduced staffing	☐	☐	☐	☐	☐	☐	☐
COOP/emergency response plan	✔	☐	☐	✔	☐	☐	☐
Other	☐	☐	☐	☐	☐	☐	☐

3. What are the biggest obstacles to implementing mobile technology in your agency? (Please check all that apply.)

- ✔ Funding
- ☐ Inventory/tracking
- ✔ Keeping up with technology changes
- ☐ Loss/theft of devices
- ✔ Procurement process
- ☐ Quality of wireless service
- ☐ Security
- ☐ Other

4. If you answered "other" in the previous question, please describe.

Delivery of the Results

Once the survey period has expired, our team will prepare results for each agency and send to the agency IG's offices. We will have another meeting with the agency IGs to discuss the results for the enterprise.

IT Mobile Technology Toolkit

The toolkit will provide a framework of control objectives organized by three impact zones (as listed below) to determine if agency controls safeguard the confidentiality, integrity, and availability of data and information technology resources:

- Media Protection
- Device Configuration
- Network and Device Connectivity

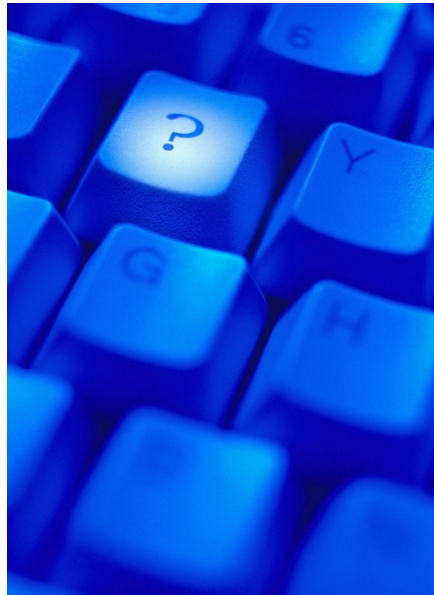| ID	Rule or Best Practice Reference	Criteria / Guidance	Policy (Name and IIAMS Ref.)	Procedure (Name and IIAMS Ref.)	Implemented Controls (Summarize and/or IIAMS Ref.)	Comments	Doc	Ctrl	Total	%Comp
1	71A-1.007(8), F.A.C.	Only agency-approved wireless devices, services, and technologies may be connected to the agency internal network.							0	0.0%
2	71A-1.007(10), F.A.C.	Users may remotely connect computing devices to the agency internal network only through agency-approved, secured remote access methods.							0	0.0%
3	71A-1.007(12), F.A.C.	Only agency-owned or agency-managed information technology resources may connect to the agency internal network.							0	0.0%
4	71A-1.007(14), F.A.C.	No privately-owned devices (e.g., MP3 players, thumb drives, printers) shall be connected to agency information technology resources without documented agency authorization.							0	0.0%
5	71A-1.007(18), F.A.C.	The agency shall monitor for unauthorized information technology resources connected to the agency internal network.							0	0.0%

Compliance Rating	Control Verification	Auditor Comments
Not_Addressed		
Not_Addressed		
Not_Addressed		
Not_Addressed		
Not_Addressed		

Schedule

- Engagement Letter: early-September
- CIO Survey: mid-September
- Employee Survey: October
- Report and Toolkit: January 2012

QUESTIONS

SLA Planning Team

TABITHA MCNULTY
Office of the Chief Inspector General

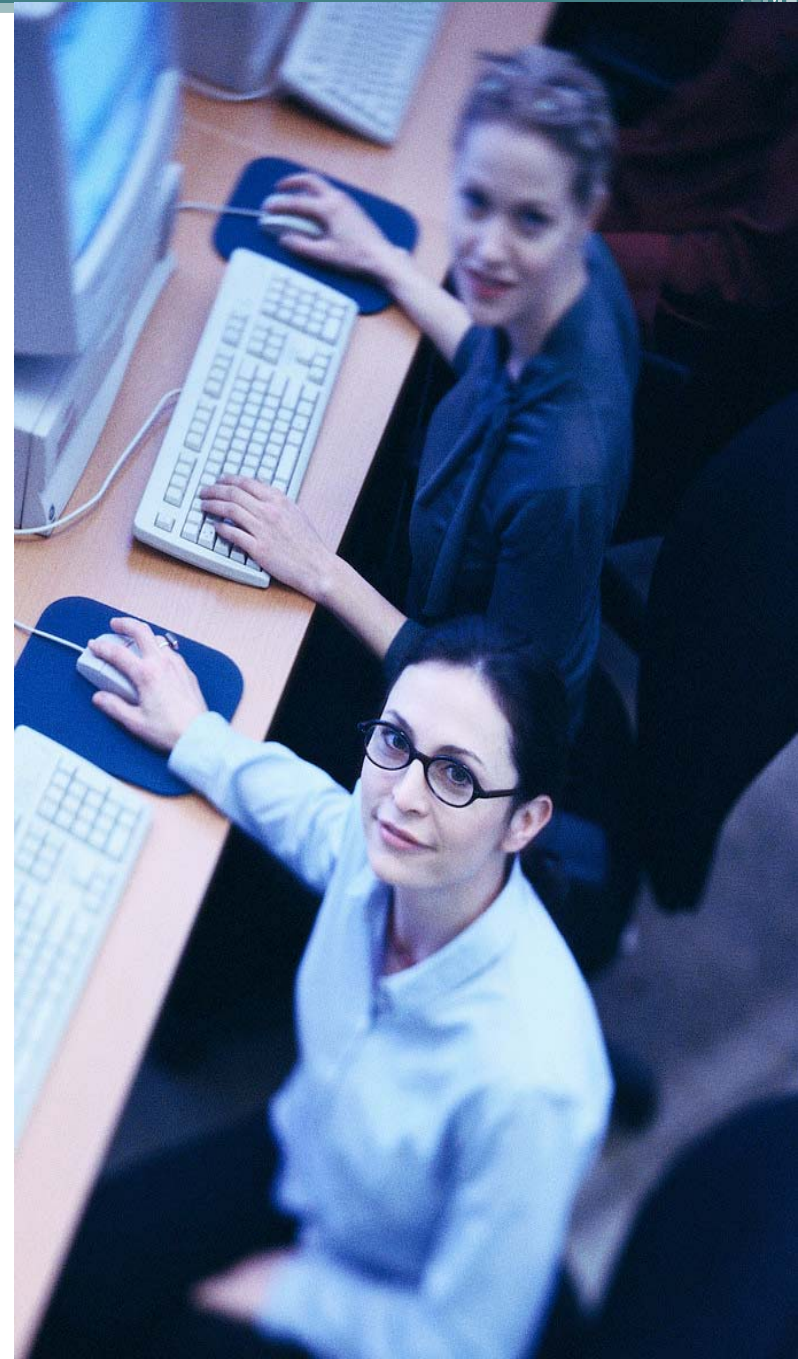# SLA Project

Team Members

Tabitha McNulty, EOG
Cynthia Hefren, DCF
Gordon Stoor, DOR
Valerie Peacock, DEP

Purpose

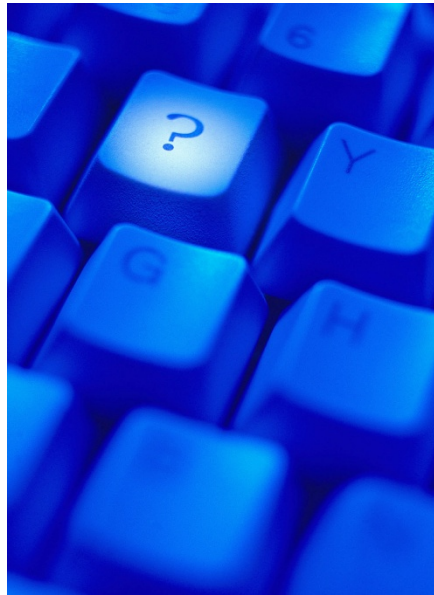To evaluate the service level agreements between state agencies and the primary data centers.

Objectives

To Determine if:

- SLA's have all of the required elements listed in the *Agency for Enterprise Information Technology Guidance: Primary Data Center SLA Information Assessment Guide Checklist*

- Data Centers are meeting the stated level of service in the contract.

- Data Centers are meeting the customer's needs by surveying agency IT personnel.

- Data Centers have included applicable security controls to protect confidential or sensitive data in their custody. (i.e. CJIS, HIPPA, PCI, etc.)

QUESTIONS

Questions & Concluding Remarks