

**III. MANAGEMENT REVIEW AREAS**

<b>A. Mission and Planning</b>	<b>B. Development</b>	<b>C. Implementation</b>	<b>D. Operations and Maintenance</b>	<b>E. Cross-Cutting Activities</b>
<b>1. Requirements Conformance</b>	<b>2. Current Environment</b>		<b>3. Project Planning</b>	<b>4. Future Planning</b>
<b><u>1. REQUIREMENTS CONFORMANCE</u></b>				
<p>Requirements conformance focuses on determining whether the mission and objectives of the system have been clearly delineated, whether the systems development effort is monitored against the original goals and objectives, and whether the system will easily adapt to changes over time.</p>				
<p>(1) Have the mission and objectives of the system been clearly delineated?</p> <p>(2) Are the requirements for the system well understood and well documented? Will it (is it) meeting those requirements?</p> <p>(3) Is the systems development effort monitored to assure the system's continued conformance with the original goals and objectives?</p> <p>(4) Has the system undergone substantial changes over its development or useful life? Is it still in conformance with the system's goals and objectives?</p> <p>(5) Has the organization planned a change management process to control system changes and measure changes against system and performance goals and objectives?</p> <p>(6) Has the system been designed to adapt well to changes in mission, objectives, or technology?</p> <p>(7) Why has the system changed over time? Can changes be planned for?</p>			<p>NOTES:</p>	

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A. Mission and Planning	B. Development	C. Implementation	D. Operations and Maintenance	E. Cross-Cutting Activities
1. Requirements Conformance	2. Current Environment		3. Project Planning	4. Future Planning
<b><u>2. CURRENT ENVIRONMENT</u></b>				
<p>Current environment focuses on how well the current system is meeting the requirements of today's mission in order to serve as a basis for evaluating alternatives and measuring improvements through system development.</p>				
<ul style="list-style-type: none"> <li>(1) Is the current system serving the requirements of today's operational needs well? If not, what are the deficiencies?</li> <li>(2) Is the system commanding an undue proportion of the organization's resources or time?</li> <li>(3) Have deficiencies in the current system been translated into specific goals and objectives for system redesign or modification?</li> <li>(4) Are there any additional requirements which this system could satisfy? Is the system integrated with other programs to the extent reasonable, efficient, and effective?</li> <li>(5) Are there any major problems in relating information in this system to information used by other systems?</li> <li>(6) Are there any functions being performed by the system which are no longer necessary? Are changes planned or in progress to eliminate these unnecessary functions? Is the baseline data accurate?</li> <li>(7) Does this system duplicate partially or fully information on other systems?</li> </ul>	<p>NOTES:</p>			

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<b><u>2. CURRENT ENVIRONMENT</u></b>				
<p>(8) Have alternatives to redesign been carefully considered, including the possibility of transporting another State's system?</p> <p>(9) Does the Feasibility Study evaluate the feasibility and cost/benefits of various automation alternatives? Are existing systems, within and without the State, considered?</p> <p>(10) Have steps been taken to simplify and streamline work processes and practices prior to system re-engineering?</p> <p>(11) How effective is the system in providing service to the public?</p> <p>(12) Are program operations automated to the extent necessary to meet program objectives?</p>	<p>NOTES:</p>			

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<b>1. Requirements Conformance</b>	<b>2. Current Environment</b>		<b>3. Project Planning</b>	<b>4. Future Planning</b>
<b><u>3a. PROJECT PLANNING - APD Process</u></b>				
<p>Project planning focuses on how well the system development life cycle is being planned and managed. It addresses the APD process, contracting for resources, and project management.</p>				
<p>(1) Is the current environment in the State in accord with its latest APD submission or update?</p> <p>(2) Has an APD for the design (or development or implementation) phase been submitted?</p> <p>(3) Has the State regularly updated its APD, annually or as needed, as events change?</p> <p>(4) Is the APD's project management plan being followed by the State? If not, how does it differ? Is an APDU being prepared?</p> <p>(5) Has the State followed the APD's plan for identifying and evaluating existing systems from other States for transporting? Are the results of the evaluation reasonable?</p> <p>(6) Does the plan, as it is implemented, meet Federal, State, and user needs efficiently, comprehensively, and cost effectively? Will it meet Federal requirements governing project funding?</p> <p>(7) Does the State submit Quarterly System Status Reports (QSSRs)?</p>			<p>NOTES:</p>	

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A. Mission and Planning	B. Development	C. Implementation	D. Operations and Maintenance	E. Cross-Cutting Activities
<b>1. Requirements Conformance</b>	<b>2. Current Environment</b>		<b>3. Project Planning</b>	<b>4. Future Planning</b>
<b><u>3b. PROJECT PLANNING - Resource Contracting</u></b>				
<p>(1) Will the State contract for resources to meet the system design, development, implementation, or operational needs?</p> <p>(2) Has an RFP been prepared or a contract awarded? Have the RFP and contract been submitted, reviewed, and approved in accordance with the APD process?</p> <p>(3) Will or has the procurement action begun in sufficient time to maintain the planned work schedule?</p> <p>(4) Is the acquisition being conducted in accordance with Federal guidelines?</p> <p>(5) Will the State achieve technical and price competition? Have costs been estimated and included in budget and cost allocation plans?</p> <p>(6) To what extent are requirements for standards, open systems conformance, portability and transferability, and the use of software development methodologies communicated to contractors in contracts or statements of work?</p>			<p>NOTES:</p>	

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**3c. PROJECT PLANNING - Project Management**

<p>(1) What is the project organization? Is it sufficiently separated from program responsibilities so that resources can be dedicated to the systems project?</p> <p>___ Has a qualified project manager been assigned?          ___ Is there a steering committee?          ___ Are user groups involved?          ___ Is the data center involved?</p> <p>(2) Are adequate resources available? Do charts depict the allocation of staff time? Has space been made available or planned for?</p> <p>(3) Has the project been appropriately budgeted, in terms of project, program, and contractor staff and in terms of travel, if required?</p> <p>(4) Are budget estimates and cost allocation plans in place which meet Federal requirements?</p> <p>(5) Is a project management reporting plan in place? Does the project management reporting plan address APD and APDU requirements?</p> <p>(6) Is there a project work plan and schedule? Is the project organization in conformance with that presented in the APD?</p>	<p>NOTES:</p>
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<b><u>4. FUTURE PLANNING</u></b>				
<p>Future planning focuses on whether plans for later stages in the systems development project are initiated in sufficient time to ensure smooth development and implementation. It is also concerned with developing systems which can respond to changes or new technology without undue disruption.</p>				
<p>(1) Is the State developing (or has the State developed) the following?</p> <ul style="list-style-type: none"> <li>___ Conversion Plan</li> <li>___ Test Management Plan</li> <li>___ Facilities Management Plan</li> <li>___ Site Preparation Plan</li> <li>___ Installation Plan</li> <li>___ Test and Validation Plan</li> <li>___ Users' Manuals</li> <li>___ Training Plan</li> <li>___ Contingency Plan</li> <li>___ Security Plan</li> <li>___ Post-Implementation Test Plan</li> <li>___ Three-Year Configuration Plan</li> </ul> <p>(2) Are the documents being developed in sufficient time to assure smooth transition from planning to design, development, implementation, and operation?</p> <p>(3) Is management focused on evaluating new technologies for incorporation into current and future system enhancements or modernization? How are such evaluations conducted? Are there current plans for new technology insertions and, if so, what are they?</p>			<p>NOTES:</p>	

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<b><u>4. FUTURE PLANNING</u></b>				
<p>(4) Are there benefits which could be realized if appropriate changes were made? What are they and what would be the resultant changes?</p> <p>(5) How has management structured system change planning, evaluation, control, and implementation? Does the project staff plan to design the system and develop code for modularity and ease of maintenance and change?</p> <p>(6) Is management focused on monitoring the development of industry standards? Are new standards evaluated for their effect on current and future system enhancements or modernization? How are such evaluations conducted? What effect do the evaluations have?</p>			<p>NOTES:</p>	

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<b>A. Mission and Planning</b>	<b>B. Development</b>	<b>C. Implementation</b>	<b>D. Operations and Maintenance</b>	<b>E. Cross-Cutting Activities</b>
<b>1. LCM Methodology</b>	<b>2. Design Environment</b>	<b>3. Development Environment</b>	<b>4. Documentation/ Reviews</b>	<b>5. Development Organization</b>

**1. LIFE CYCLE MANAGEMENT METHODOLOGY**

The LCM methodology review area focuses on determining whether a recognized LCM methodology will be (or was) used in the design and development of the system. A recognized methodology includes conducting a mission needs analysis and option design, analysis, and selection before system design is attempted.

- (1) Is an LCM methodology being used? If so, which one and what are the steps in systems development? Are mission needs analysis and option design, analysis, and selection included?
- (2) What is the process used during systems development to assess user needs and requirements? What methods of traceability analysis are used to ensure that identified requirements are built into the system?
- (3) Are major modifications planned to the current system? How will success be ensured?
- (4) Is there a defined validation and verification program to ensure that software or products of a given phase of the software development cycle fulfill the requirements established during the previous phase?
- (5) Are there assurance and quality control plans to provide adequate confidence that the system conforms to established operational, functional, and technical requirements?

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**III. MANAGEMENT REVIEW AREAS**

<b>A. Mission and Planning</b>	<b>B. Development</b>	<b>C. Implementation</b>	<b>D. Operations and Maintenance</b>	<b>E. Cross-Cutting Activities</b>
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**2a. DESIGN ENVIRONMENT - Generally**

This area of the review concerns itself with determining the effectiveness of the design process and whether adequate thought and planning have been devoted to this phase of the systems project.

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| <ul style="list-style-type: none"> <li>(1) Are detailed functional, programmatic, and organizational needs being developed? Do they expand on the missions, objectives, and requirements previously outlined?</li> <li>(2) Are the State's current organization, operating costs, and problems addressed?</li> <li>(3) Are goals, tasks, and a schedule (work plan) for the design phase developed?</li> <li>(4) Have the target hardware and operating system platforms been selected?</li> <li>(5) Has a capacity planning / transaction throughput or system sizing study been accomplished?</li> <li>(6) Are sufficient resources or capacity available?</li> <li>(7) Are sufficient resources assigned to the Design phase?</li> <li>(8) Will contracting for expanded or new resources be required?</li> <li>(9) Are the Conversion Plan, Test Management Plan, and Facilities Management Plan completed or in development?</li> </ul> | <p>NOTES:</p> |
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**III. MANAGEMENT REVIEW AREAS**

<b>A.</b>	<b>B.</b>	<b>C.</b>	<b>D.</b>	<b>E.</b>
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Mission and Planning	Development	Implementation	Operations and Maintenance	Cross-Cutting Activities
1. LCM Methodology	2. Design Environment	3. Development Environment	4. Documentation/ Reviews	5. Development Organization
<b><u>2a. DESIGN ENVIRONMENT - Generally</u></b>				
<p>(10) Do system requirements address mandatory core functional requirements and other requirements identified by the State?</p>	<p>NOTES:</p>			

**III. MANAGEMENT REVIEW AREAS**

<b>A. Mission and Planning</b>	<b>B. Development</b>	<b>C. Implementation</b>	<b>D. Operations and Maintenance</b>	<b>E. Cross-Cutting Activities</b>
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**2b. DESIGN ENVIRONMENT - General System Design**

<p>(1) Does the General System Design define the database and program specifications? Does the Design identify:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Data Flow (inputs/outputs)</li> <li><input type="checkbox"/> Processing Requirements</li> <li><input type="checkbox"/> Data Elements</li> <li><input type="checkbox"/> File Structures</li> </ul> <p>(2) Does the General System Design establish:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Report Formats</li> <li><input type="checkbox"/> Screen Displays</li> <li><input type="checkbox"/> Input Forms</li> </ul> <p>(3) Is the specific operating environment described?</p> <p>(4) Have management and the user community accepted the General System Design?</p> <p>(5) Has the General System Design been submitted to ACF as a project deliverable?</p> <p>(6) Will the system design employ structured engineering techniques, DBMSs, and standard languages and be developed for maintainability and transportability?</p>	<p>NOTES:</p>
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**III. MANAGEMENT REVIEW AREAS**

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<b>Mission and Planning</b>	<b>Development</b>	<b>Implementation</b>	<b>Operations and Maintenance</b>	<b>Cross-Cutting Activities</b>
<b>1. LCM Methodology</b>	<b>2. Design Environment</b>	<b>3. Development Environment</b>	<b>4. Documentation/ Reviews</b>	<b>5. Development Organization</b>

**2c. DESIGN ENVIRONMENT - Detailed System Design**

<p>(1) Does the Detailed System Design include data base and detailed program specifications? Does it include designs for input data, data collection forms, and data files?</p> <p>(2) Have standards been addressed, consistent with planning?</p> <p>(3) Has database design included creating data structure, organization, access, processing limitations, standardization, security, and controls?</p> <p>(4) Have hardware and communications network needs and configurations been described? Has the method of acquisition been considered?</p> <p>(5) Is an implementation strategy being developed? Are the requirements of the Site Preparation Plan, Installation Plan, and Test and Validation Plan being considered?</p> <p>(6) Have management and the user community accepted the detailed system design?</p> <p>(7) Has an APD update for the development phase been prepared?</p>	<p>NOTES:</p>
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Mission and Planning	Development	Implementation	Operations and Maintenance	Cross-Cutting Activities
1. LCM Methodology	2. Design Environment	3. Development Environment	4. Documentation/ Reviews	5. Development Organization
<b><u>3. DEVELOPMENT ENVIRONMENT</u></b>				
<p>This area identifies the software and system development tools and techniques being used in developing the system. Additionally, it assesses whether or not systems development is properly managed and supported and whether planning is preparing for ensuing phases.</p>				
<ul style="list-style-type: none"> <li>(1) Are software engineering and standards being used? Is the development environment such that portability, transferability, scalability and interoperability are promoted?</li> <li>(2) What role do standards play in system development? Is there an emphasis on moving to open systems? How is this demonstrated or evident?</li> <li>(3) What are the components of the quality management program? Has an emphasis been placed on independent verification and validation activities? How is this evident?</li> <li>(4) What specific tools and techniques are being used during development? From what sources were required skills obtained to implement the tools and techniques? What is the relative degree of success?</li> <li>(5) Is development being monitored against the system goals and objectives?</li> <li>(6) Is conversion underway as set forth in the Conversion Plan?</li> <li>(7) Have the Facilities Management Plan, Implementation Plan, and Site Preparation Plan been completed?</li> </ul>	<p>NOTES:</p>			

**III. MANAGEMENT REVIEW AREAS**

A. Mission and Planning	B. Development	C. Implementation	D. Operations and Maintenance	E. Cross-Cutting Activities
1. LCM Methodology	2. Design Environment	3. Development Environment	4. Documentation/ Reviews	5. Development Organization
<b><u>3. DEVELOPMENT ENVIRONMENT</u></b>				
<p>(8) Is software being tested, validated, and verified as planned? Does testing include unit testing, string testing, and system testing?</p> <p>(9) Is a Post-Implementation Test Plan being developed?</p> <p>(10) Is work underway on Users' Manuals and the Training, Security, and Contingency Plans? Will preliminary training begin during this phase? If not, what resources will assist with implementation?</p> <p>(11) Are sufficient computing resources or capacity available? If contracting for expanded or new resources, will resources be delivered, installed, and tested in time?</p> <p>(12) Is site preparation underway?</p> <p>(13) Has an APD update been prepared for the installation phase?</p>	<p>NOTES:</p>			

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**4. DOCUMENTATION AND REVIEWS**

This review area focuses on assessing the quality, timeliness, and comprehensiveness of the documentation produced as well as the quality of the management and technical reviews conducted during system design and development.

- (1) Were required documents produced and did they adequately describe the project status and requirements? Were they complete?
- (2) Were required documents, such as the various plans required, prepared at the right time and in time? Were they complete?
- (3) Did the State consider aspects such as those in the management and system engineering review areas during the life cycle of planning and development? Were reviews conducted? With what results?
- (4) Is documentation updated and adequate to ensure preservation of corporate memory and to withstand turnover of key personnel or contractor resources?
- (5) Is system documentation being updated on a continuing basis? Is all documentation current and is there a standard plan for documentation revision/update and issuance?
- (6) Does ACF have the latest system documentation?

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<b>A. Mission and Planning</b>	<b>B. Development</b>	<b>C. Implementation</b>	<b>D. Operations and Maintenance</b>	<b>E. Cross-Cutting Activities</b>
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**5. DEVELOPMENT ORGANIZATION**

The area of development organization focuses on evaluating both the adequacy of the organization and whether or not the organization possesses the required functions and skills for designing and developing the system.

<p>(1) Does the development organization have representation from appropriate areas?</p> <ul style="list-style-type: none"> <li>___ Project Management</li> <li>___ Quality Management</li> <li>___ Independent Verification and Validation</li> <li>___ System Integration</li> <li>___ Data Center Management and Operations</li> <li>___ Hardware and Software Evaluations</li> <li>___ Capacity Management and Projection</li> <li>___ Documentation Reviews</li> <li>___ Configuration Management</li> <li>___ Standards</li> <li>___ Programming</li> <li>___ Program staff</li> <li>___ Security staff</li> <li>___ Users</li> </ul> <p>(2) Are resources adequate to accomplish required functions?</p>	<p>NOTES:</p>
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<b>A.</b> <b>Mission and Planning</b>	<b>B.</b> <b>Development</b>	<b>C.</b> <b>Implementation</b>	<b>D.</b> <b>Operations and Maintenance</b>	<b>E.</b> <b>Cross-Cutting Activities</b>
<b>1. Data Conversion</b>	<b>2. Installation</b>	<b>3. Testing</b>	<b>4. Users and Training</b>	<b>5. Post-Implementation</b>

**1. DATA CONVERSION**

The data conversion phase considers how the conversion effort is planned and implemented.

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| <ul style="list-style-type: none"> <li>(1) Does the Conversion Plan identify the alternatives, steps, methods, schedule, projected costs, and responsibilities for converting programs and/or data? Is conversion proceeding in accordance with the plan?</li> <li>(2) Are both manual and automated data being converted? Are applications programs being converted? Has all unnecessary data been purged prior to conversion?</li> <li>(3) Have acceptance procedures and responsibilities relative to the converted data been developed?</li> <li>(4) Does the plan identify special program development, computer processing support requirements, manual support requirements, special forms and procedures, control procedures, training, and interim file maintenance requirements?</li> <li>(5) Have data and programs been converted? Have they been accepted?</li> <li>(6) Will the converted data/programs comply with standards? Have database systems been selected which will run on a variety of hardware?</li> <li>(7) Will documentation be updated as part of the conversion effort?</li> </ul> | <p>NOTES:</p> |
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**III. MANAGEMENT REVIEW AREAS**

A. Mission and Planning	B. Development	C. Implementation	D. Operations and Maintenance	E. Cross-Cutting Activities
1. Data Conversion	2. Installation	3. Testing	4. Users and Training	5. Post- Implementation
<b><u>2. INSTALLATION</u></b>				
The installation phase focuses on the preparation for, implementation of, and acceptance of the system by management and users.				
<ol style="list-style-type: none"> <li>(1) Does the Installation Plan set forth a strategy for implementing the system statewide? Are the tasks, schedule, and responsibilities for the installation clear?</li> <li>(2) Has a phased installation been planned, module-by-module, site-by-site, or both? Have test and acceptance procedures been established?</li> <li>(3) Is all site preparation complete? Are adequate space, power, air conditioning, lighting, fire control, and security measures in place?</li> <li>(4) Are computer resources in place, tested, and accepted?</li> <li>(5) Are human resources in place and trained?</li> <li>(6) Is installation proceeding as planned?</li> <li>(7) Has the system been tested and accepted by management and users in accordance with plans and prior to widespread installation?</li> <li>(8) Has the APD update for the installation phase been submitted?</li> </ol>			NOTES:	

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<b>A. Mission and Planning</b>	<b>B. Development</b>	<b>C. Implementation</b>	<b>D. Operations and Maintenance</b>	<b>E. Cross-Cutting Activities</b>
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**3. TESTING**

This phase focuses on testing the production system using test data prior to widespread installation.

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| <ul style="list-style-type: none"> <li>(1) Has a system effectiveness test been planned and conducted? Will the test run at single or multiple locations?</li> <li>(2) Is the test environment independent of the development effort? Will it be conducted by other than the system development staff?</li> <li>(3) Is the test designed to evaluate all system functions? Is system performance, such as response time, being tested as well?</li> <li>(4) Was volume stress testing performed to evaluate system performance using maximum transaction volumes for both the on-line and batch processing cycles?</li> <li>(5) Will (did) the staff evaluate both the functionality and effectiveness of the system and take corrective action, if necessary, prior to statewide installation? Will test discrepancies be observed and documented? Has time been allowed in the schedule for system modifications?</li> <li>(6) Has the staff been trained to run the test? Are management and users participating? Will the test consider human as well as machine factors?</li> <li>(7) Are Users' Manuals complete for use and evaluation during systems testing?</li> </ul> | <p>NOTES:</p> |
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<b><u>3. TESTING, cont.</u></b>				
<p>(8) Was the testing performed in accordance with a User Acceptance Test Plan? Did all users approve the results of the tests?</p> <p>(9) Did the users formally approve implementation of the system before going live?</p>	<p>NOTES:</p>			

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<b><u>4. USERS AND TRAINING</u></b>				
<p>This phase focuses on whether Users' Manuals have been completed, evaluated, and accepted by users and whether user training has been completed and provided for over the systems life.</p>				
<p>(1) Have the Training Plan and Users' Manuals been completed?</p> <p>(2) Were Users' Manuals evaluated during system testing? Have they been approved by users for ease of use? Have they been finalized and distributed?</p> <p>(3) Is training underway or complete? Have plans been made to train personnel statewide?</p> <p>(4) Has provision been made for ongoing training throughout the systems life, both refreshment and introductory training for new users?</p> <p>(5) Do Users' Manuals identify what organization to contact for training?</p>			<p>NOTES:</p>	

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**5. POST-IMPLEMENTATION**

The post-implementation phase should include an operational systems test, final approval of Users' Manuals, and preparation of the three year configuration plan.

- (1) Has the project organization planned a system effectiveness test post-implementation as a final check of the system's functionality and performance in full production?
- (2) Does the operational system meet (continue to meet) its original goals and objectives? Can the system be improved in terms of performance or functionality?
- (3) Have Users' Manuals been modified as a result of testing? Have final versions been printed? Have they been broadly disseminated? Has responsibility for maintaining the manuals over the systems life been assigned?
- (4) Has a three year configuration plan been developed?

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**III. MANAGEMENT REVIEW AREAS**

<b>A.</b>	<b>B.</b>	<b>C.</b>	<b>D.</b>	<b>E.</b>
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Mission and Planning	Development	Implementation	Operations and Maintenance	Cross-Cutting Activities
1. Resource Utilization	2. Operating Environment		3. Efficiency/Reliability	4. System/Org Management
<b><u>1. RESOURCE UTILIZATION</u></b>				
The review area of resource utilization assesses the level of resource commitments in terms of dollars, people, software, hardware, data and information, and contracts.				
<p>(1) Are sufficient resources committed to operating and maintaining the system, in terms of:</p> <p>___ Dollars</p> <p>___ Personnel</p> <p>___ Software</p> <p>___ Hardware</p> <p>___ Data and information</p> <p>___ Contracts</p>			NOTES:	
<p>(2) Are the resource levels increasing, decreasing, or expected to remain constant? Are these estimates factored into system planning?</p>				
<p>(3) Are personnel, equipment, and facilities sufficient to operate the system and realize anticipated benefits?</p>				
<p>(4) Are performance measurement and capacity management programs and tools in place and in use?</p>				
<p>(5) Are capacity projections made and tied to the budget and acquisition process?</p>				

**III. MANAGEMENT REVIEW AREAS**

<b>A. Mission and Planning</b>	<b>B. Development</b>	<b>C. Implementation</b>	<b>D. Operations and Maintenance</b>	<b>E. Cross-Cutting Activities</b>
<b>1. Resource Utilization</b>	<b>2. Operating Environment</b>		<b>3. Efficiency/ Reliability</b>	<b>4. System/Org Management</b>

**2. OPERATING ENVIRONMENT**

The area of operating environment focuses on evaluating the management of the surroundings and environmental factors associated with operations and maintenance.

- (1) What is the nature of the system operating environment? Are system configuration documents available? Are they current and accurate?
- (2) Are environmental factors being managed for system protection?
  - \_\_\_ Space and access
  - \_\_\_ Power supply
  - \_\_\_ Fire control
  - \_\_\_ Temperature
  - \_\_\_ Surroundings
  - \_\_\_ Cable runs
- (3) Is there a disaster recovery plan? Are security procedures in effect?
- (4) Has the disaster recovery plan been fully tested? Are acceptable arrangements in place for phase-over?
- (5) Are configuration management and change management processes in effect?

NOTES:

**III. MANAGEMENT REVIEW AREAS**

<b>A. Mission and Planning</b>	<b>B. Development</b>	<b>C. Implementation</b>	<b>D. Operations and Maintenance</b>	<b>E. Cross-Cutting Activities</b>
<b>1. Resource Utilization</b>	<b>2. Operating Environment</b>		<b>3. Efficiency/ Reliability</b>	<b>4. System/Org Management</b>

**3. EFFICIENCY/RELIABILITY**

In reviewing the efficiency/reliability of the system, the reviewer should assure the existence and appropriateness of functions and activities in place to compile data concerning how resources are spent to maintain and operate the system.

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|---|---------------|
| <ul style="list-style-type: none"> <li>(1) Are there functions in place to assess system efficiency and reliability? If so, describe.</li> <li>(2) Are there adequate skill bases present in the system management organization to measure system capacity and performance and to ensure the system's efficiency and reliability?</li> <li>(3) Is the system efficient and reliable? Is it cost effective when comparing its operational costs to benefits?</li> <li>(4) Does the State consider ways to reduce the cost of operating the system? Can any reports be eliminated? Can data gathering be simplified to reduce the reporting or input generation burden? Can system complexity be reduced to lessen the burden to the user? Can work processes or practices be simplified?</li> <li>(5) Can systems be combined, interfaces established, or databases shared for system efficiency and reduced costs? Can the system be further automated to improve program operations and service benefits?</li> <li>(6) Is the State APD's Cost Benefit Analysis (CBA) updated to reflect actual costs and benefits versus previously defined estimates? Are there any significant changes to the CBA?</li> </ul> | <p>NOTES:</p> |
|---|---------------|

**III. MANAGEMENT REVIEW AREAS**

<b>A. Mission and Planning</b>	<b>B. Development</b>	<b>C. Implementation</b>	<b>D. Operations and Maintenance</b>	<b>E. Cross-Cutting Activities</b>
<b>1. Resource Utilization</b>	<b>2. Operating Environment</b>		<b>3. Efficiency/ Reliability</b>	<b>4. System/Org Management</b>

**4. SYSTEM/ORGANIZATIONAL MANAGEMENT**

This area focuses on reviewing the system's management functions and evaluating their adequacy in such activities as configuration and performance management, workload distribution, training and development, user support, data integrity, security, and quality management.

- (1) How is system management accomplished? What does the organization look like and what functions does it cover? How effectively are the functions performed?
- \_\_\_ Configuration management
  - \_\_\_ Performance measurement
  - \_\_\_ Workload distribution
  - \_\_\_ Training and user support
  - \_\_\_ Data integrity
  - \_\_\_ Security
  - \_\_\_ Quality management
- (2) How are changes in user objectives accommodated in system operations? Is there a central clearinghouse concept to recognize trends and changes in user needs and satisfaction? Is the process easy for users to express their needs and is it effective?
- (3) How has management provided for back-up and disaster recovery? Are written policies, plans, and procedures in place? Are agreements in writing?
- (4) Is there a comprehensive system overview document which describes, in management terms, the system objectives, functions, and operations?

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**III. MANAGEMENT REVIEW AREAS**

<b>A.</b>	<b>B.</b>	<b>C.</b>	<b>D.</b>	<b>E.</b>
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Mission and Planning	Development	Implementation	Operations and Maintenance	Cross-Cutting Activities
1. Resource Utilization	2. Operating Environment		3. Efficiency/Reliability	4. System/Org Management
<b><u>4. SYSTEM/ORGANIZATIONAL MANAGEMENT</u></b>				
<p>(5) Is there a configuration and change management process for identifying and defining the aggregation of hardware/software or any of its discrete portions; controlling the release and changes of those items throughout the system life cycle; recording and reporting the status of those items and associated change requests; and verifying the completeness and correctness of that documentation?</p>			<p>NOTES:</p>	

**III. MANAGEMENT REVIEW AREAS**

<b>A. Mission and Planning</b>	<b>B. Development</b>	<b>C. Implementation</b>	<b>D. Operations and Maintenance</b>	<b>E. Cross-Cutting Activities</b>	
<b>1. Security</b>	<b>2. Cost/Benefit</b>	<b>3. Internal Controls</b>	<b>4. Strategic Management</b>	<b>5. System Audit</b>	<b>6. Financial Management</b>

**1a. SECURITY - Security Plan and Program**

The security review area focuses on evaluating the security program and processes in place for guarding against fraud, waste, and abuse and on the State's proactive management of risk and vulnerability. Reviewers will consider security in terms of security plan and program, security reviews and reporting, personnel, contingency plans, equipment security, software and data security, and telecommunications security. (Survivability is covered in the Systems Engineering Review section under Maintainability.)

- (1) Have security plans, policies, and procedures been developed? Do they address:
- \_\_\_ Physical security of resources
  - \_\_\_ Measures against theft/unauthorized use
  - \_\_\_ Software and data security
  - \_\_\_ Telecommunications and cable security
  - \_\_\_ Personnel security
  - \_\_\_ Access and password safeguards
  - \_\_\_ Security checks for sensitive positions
  - \_\_\_ Separation of functions
  - \_\_\_ Checks and balances
  - \_\_\_ Contingency plans
  - \_\_\_ Emergency preparedness
- (2) Has the State determined and implemented security processes appropriate to the system being managed?
- (3) Is there an appropriate risk assessment and management program for data, systems, and facilities?

NOTES:

**III. MANAGEMENT REVIEW AREAS**

<b>A. Mission and Planning</b>	<b>B. Development</b>	<b>C. Implementation</b>	<b>D. Operations and Maintenance</b>	<b>E. Cross-Cutting Activities</b>	
<b>1. Security</b>	<b>2. Cost/Benefit</b>	<b>3. Internal Controls</b>	<b>4. Strategic Management</b>	<b>5. System Audit</b>	<b>6. Financial Management</b>

**1a. SECURITY - Security Plan and Program**

<p>(4) Does the State perform periodic risk analyses? How thorough and frequent are the assessments? Do they address safeguards for systems being developed and in operation? Are risk assessments performed whenever significant system changes occur?</p> <p>(5) Does the risk assessment program analyze:</p> <ul style="list-style-type: none"> <li>___ Potential threats and vulnerabilities</li> <li>___ Potential losses</li> <li>___ In-place or needed safeguards</li> <li>___ Cost/benefits of safeguards</li> </ul> <p>(6) Are safeguards selected and implemented with consideration of the likelihood of the threat, the potential loss, and the cost/benefit of the safeguard?</p> <p>(7) Are measures adequate to protect sensitive personal information (privacy) and financial information (fraud and misappropriation)?</p> <p>(8) Are requirements, policies, resources, responsibilities, and procedures adequate for developing, implementing, and sustaining the required computer security program?</p>	<p>NOTES:</p>
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**III. MANAGEMENT REVIEW AREAS**

<b>A. Mission and Planning</b>	<b>B. Development</b>	<b>C. Implementation</b>	<b>D. Operations and Maintenance</b>	<b>E. Cross-Cutting Activities</b>	
<b>1. Security</b>	<b>2. Cost/Benefit</b>	<b>3. Internal Controls</b>	<b>4. Strategic Management</b>	<b>5. System Audit</b>	<b>6. Financial Management</b>

**1b. SECURITY - Security Reviews and Reporting**

- (1) Are ADP System Security Reviews being completed on systems administering ACF programs?
- (2) Do they evaluate all aspects of the State's security plan and program?
- (3) Has the State provided ACF with a written summary of security review findings and determinations as required by 45 CFR 95.621?
- (4) Has the State prepared an action plan with milestones for correction of security weaknesses identified during review?
- (5) Is there a plan to meet the biennial review and reporting requirements?

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**III. MANAGEMENT REVIEW AREAS**

<b>A.</b>	<b>B.</b>	<b>C.</b>	<b>D.</b>	<b>E.</b>	
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<b>Mission and Planning</b>	<b>Development</b>	<b>Implementation</b>	<b>Operations and Maintenance</b>	<b>Cross-Cutting Activities</b>	
<b>1. Security</b>	<b>2. Cost/Benefit</b>	<b>3. Internal Controls</b>	<b>4. Strategic Management</b>	<b>5. System Audit</b>	<b>6. Financial Management</b>

**1c. SECURITY - Personnel**

<p>(1) Where has the responsibility for security been assigned? Is the responsibility shared between offices and/or with other duties? Are security duties being performed?</p> <p>(2) Has the State designated an Agency ADP Security Manager? What other duties, if any, are assigned to the Security Manager?</p> <p>(3) Have sensitive positions been identified? Have persons filling sensitive positions been properly cleared and trained?</p> <p>(4) Have duties been structured so that accountability for all significant actions is assigned to specific individuals?</p> <p>(5) Is each person responsible for a sensitive function checked by another?</p> <p>(6) Are personnel trained in security procedures and responsibilities? Are they cautioned about writing down or sharing their passwords? Are they trained to challenge improperly identified visitors?</p> <p>(7) Are procedures in place to notify those responsible for maintaining the password system of personnel changes? How long does it take following the personnel change? Is access restricted to the former employee? Are other employees notified?</p>	<p>NOTES:</p>
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**III. MANAGEMENT REVIEW AREAS**

<b>A. Mission and Planning</b>	<b>B. Development</b>	<b>C. Implementation</b>	<b>D. Operations and Maintenance</b>	<b>E. Cross-Cutting Activities</b>	
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1. Security	2. Cost/Benefit	3. Internal Controls	4. Strategic Management	5. System Audit	6. Financial Management
<b><u>1d. SECURITY - Contingency Plans</u></b>					
<p>(1) Have written contingency plans been developed to meet critical short or long-term interruption of service? Are they likely to prove effective? Are the procedures tested? Are agreements in writing?</p> <p>(2) Do contingency plans address on-site and off-site backup and restore procedures? Are duplicate sets of data files, programs, documentation, and system files maintained off- and on-site?</p> <p>(3) Do contingency plans address:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> All critical software and data</li> <li><input type="checkbox"/> Maximum permissible outage</li> <li><input type="checkbox"/> Delivery and off-site storage of backups</li> <li><input type="checkbox"/> Routine testing of backup site</li> <li><input type="checkbox"/> Date restore and re-creation</li> </ul> <p>Do the plans set forth emergency procedures for:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Fires</li> <li><input type="checkbox"/> Natural disaster by water, earth, wind</li> <li><input type="checkbox"/> Sabotage or mob action</li> <li><input type="checkbox"/> Bomb threats</li> </ul> <p>(4) Are employees informed of their emergency responsibilities? Are responsibilities clearly delineated?</p>			<p>NOTES:</p>		

**III. MANAGEMENT REVIEW AREAS**

A. Mission and Planning	B. Development	C. Implementation	D. Operations and Maintenance	E. Cross-Cutting Activities	
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1. Security	2. Cost/Benefit	3. Internal Controls	4. Strategic Management	5. System Audit	6. Financial Management
<b><u>1e. SECURITY - Equipment Security</u></b>					
<p>(1) Have assets critical to operation of the system been identified?</p> <p>(2) Is physical access to sensitive work areas limited to authorized personnel? Are authorized users clearly identified? Are locks, codes, passwords, or badges periodically changed?</p> <p>(3) Are there activities above, below, or near the system facility that could create problems?</p> <p>(4) Does the system facility have adequate fire detection, access safeguards, and power conditioning and backup?</p> <p>(5) Is environmental control adequate?</p> <p>(6) Are complete system resource inventories maintained?</p> <p>(7) Is preventive maintenance regularly practiced?</p> <p>(8) Are emergency switches for cutting off power easily accessible at the exits?</p>			<p>NOTES:</p>		

**III. MANAGEMENT REVIEW AREAS**

A. Mission and Planning	B. Development	C. Implementation	D. Operations and Maintenance	E. Cross-Cutting Activities	
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1. Security	2. Cost/Benefit	3. Internal Controls	4. Strategic Management	5. System Audit	6. Financial Management
<b><u>1f. SECURITY - Software and Data Security</u></b>					
<p>(1) Are procedures adequate for managing access to the system?</p> <p>(2) Are there user-id validations or other functions which require a high level of user knowledge or authority?</p> <p>(3) Are passwords controlled? Are they randomly selected and not obvious?</p> <p>(4) Is each system user uniquely identified?</p> <p>(5) Are passwords and user-id codes deactivated when personnel no longer require them?</p> <p>(6) Is user system activity and usage recorded in a protected system audit log? Are users restricted to "need-to-know" areas?</p> <p>(7) Does the system detect and report unauthorized attempts to gain access to system software and data?</p> <p>(8) Does the system include input verification and edit routines and error correction procedures? Can they be bypassed?</p> <p>(9) Are rejected transactions that are corrected and resubmitted subject to the same control checks as when first submitted?</p>			<p>NOTES:</p>		

**III. MANAGEMENT REVIEW AREAS**

A. Mission and Planning	B. Development	C. Implementation	D. Operations and Maintenance	E. Cross-Cutting Activities	
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1. Security	2. Cost/Benefit	3. Internal Controls	4. Strategic Management	5. System Audit	6. Financial Management
<b><u>1f. SECURITY - Software and Data Security</u></b>					
(10)	Are system audit records sufficient to hold users accountable for their use of the system and any changes they make to data and software?		NOTES:		
(11)	Are policies and procedures for backup in place and routinely practiced? Are paper and electronic copies made?				
(12)	Is a system in place which uniquely identifies and accounts for the location and content of every tape, disk, etc?				
(13)	Are tapes, disks, and other media containing sensitive data segregated from and subjected to controls more stringent than those used for media containing nonsensitive information?				
(14)	Are policies and procedures in place and enforced for secure disposal and destruction of sensitive information?				
(15)	How are transactions backed-up? How many sets of back-up transaction files are retained and for how long?				
(16)	Are functions for overriding or bypassing data validation and editing restricted to supervisory personnel in a limited number of acceptable circumstances? Are overrides approved by management and effective the same day?				
(17)	Are all system overrides automatically logged by the application?				

**III. MANAGEMENT REVIEW AREAS**

A. Mission and Planning	B. Development	C. Implementation	D. Operations and Maintenance	E. Cross-Cutting Activities	
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1. Security	2. Cost/Benefit	3. Internal Controls	4. Strategic Management	5. System Audit	6. Financial Management
<b><u>1g. SECURITY - Telecommunications Security</u></b>					
<p>(1) Does the system reject input and commands from unauthorized individuals, terminals, or locations?</p> <p>(2) Are commands to access or bypass system audit logs or change authorization tables strictly limited to those with a need?</p> <p>(3) Is a secure log kept of all changes to authorization tables that control access to system resources?</p> <p>(4) Are user terminals automatically disconnected from the system if they are inactive for a specific period of time?</p> <p>(5) Are procedures in place to assure secure transmission and distribution of sensitive information?</p> <p>(6) Have safeguards been developed to protect against unauthorized introduction of spurious data into the telecommunications lines?</p>			<p>NOTES:</p>		

**III. MANAGEMENT REVIEW AREAS**

A. Mission and Planning	B. Development	C. Implementation	D. Operations and Maintenance	E. Cross-Cutting Activities	
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1. Security	2. Cost/Benefit	3. Internal Controls	4. Strategic Management	5. System Audit	6. Financial Management
<p><b><u>2. COST/BENEFIT</u></b></p> <p>This review area assesses the application of cost/benefit considerations by management in determining system feasibility, selecting alternatives, and evaluating projected against actual system performance.</p>					
<p>(1) Does the feasibility study, on which the cost/benefit analysis is based, consider alternatives — such as modification or enhancement of existing systems and transferability of another State's system?</p> <p>(2) Does each alternative have cost/benefits evaluated for it? If not, why?</p> <p>(3) Are both cost and non-cost factors included? Are both recurring and non-recurring cost factors considered?</p> <p>(4) Do recurring cost factors include:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Resources, including supplies</li> <li><input type="checkbox"/> Personnel</li> <li><input type="checkbox"/> Training and travel</li> <li><input type="checkbox"/> Energy and other utilities</li> <li><input type="checkbox"/> Maintenance</li> <li><input type="checkbox"/> Space</li> <li><input type="checkbox"/> Security (including back-up site)</li> <li><input type="checkbox"/> Management overhead</li> </ul>			<p>NOTES:</p>		

**III. MANAGEMENT REVIEW AREAS**

<p><b>A.</b> Mission and Planning</p>	<p><b>B.</b> Development</p>	<p><b>C.</b> Implementation</p>	<p><b>D.</b> Operations and Maintenance</p>	<p><b>E.</b> Cross-Cutting Activities</p>	
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1. Security	2. Cost/Benefit	3. Internal Controls	4. Strategic Management	5. System Audit	6. Financial Management
<b><u>2. COST/BENEFIT</u></b>					
<p>(5) Do non-recurring cost factors include:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Conversion costs</li> <li><input type="checkbox"/> Administrative costs of contracting</li> <li><input type="checkbox"/> Contract costs</li> <li><input type="checkbox"/> Site modifications</li> <li><input type="checkbox"/> One-time equipment or software costs</li> <li><input type="checkbox"/> Database and software development</li> <li><input type="checkbox"/> Studies</li> <li><input type="checkbox"/> Training (one-time)</li> <li><input type="checkbox"/> System Test</li> <li><input type="checkbox"/> Project Development overhead</li> </ul> <p>(6) Do non-cost factors include risk factors, such as the following:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Financial risks</li> <li><input type="checkbox"/> Technical risks</li> <li><input type="checkbox"/> Schedule risks</li> <li><input type="checkbox"/> Maintainability risks</li> </ul>			<p>NOTES:</p>		

**III. MANAGEMENT REVIEW AREAS**

A. Mission	B. Development	C. Implementation	D. Operations and	E. Cross-Cutting	
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and Planning			Maintenance	Activities	
1. Security	2. Cost/Benefit	3. Internal Controls	4. Strategic Management	5. System Audit	6. Financial Management

**2. COST/BENEFIT**

<p>(7) Do non-cost factors include functional considerations, such as the following:</p> <ul style="list-style-type: none"> <li>___ Obsolescence</li> <li>___ Availability</li> <li>___ Efficiency/Reliability</li> <li>___ Interface/Compatibility</li> <li>___ Maintainability</li> <li>___ Expandability</li> <li>___ Flexibility</li> <li>___ Security</li> <li>___ Privacy</li> <li>___ Personnel impact</li> <li>___ User Needs and Acceptance</li> <li>___ Accountability</li> <li>___ Speed of implementation</li> </ul> <p>(8) Have present value calculations been applied to costs to equalize their value over time?</p> <p>(9) Has a benefit/cost ratio — present value of the benefits divided by present value of the cost — been developed for each alternative?</p>	<p>NOTES:</p>
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**III. MANAGEMENT REVIEW AREAS**

A.	B.	C.	D.	E.	
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Mission and Planning	Development	Implementation	Operations and Maintenance	Cross-Cutting Activities	
1. Security	2. Cost/Benefit	3. Internal Controls	4. Strategic Management	5. System Audit	6. Financial Management
<b><u>2. COST/BENEFIT</u></b>					
<p>(10) Was selection made on the basis of the benefit/cost ratio? If not, on what basis did the State make the selection?</p> <p>(11) Does the State monitor system development, implementation, and operation to measure actual cost/benefits against projected cost/benefits? If not, why not? Is the data available to do so?</p>			<p>NOTES:</p>		

**III. MANAGEMENT REVIEW AREAS**

<b>A. Mission and Planning</b>	<b>B. Development</b>	<b>C. Implementation</b>	<b>D. Operations and Maintenance</b>	<b>E. Cross-Cutting Activities</b>	
<b>1. Security</b>	<b>2. Cost/Benefit</b>	<b>3. Internal Controls</b>	<b>4. Strategic Management</b>	<b>5. System Audit</b>	<b>6. Financial Management</b>

**3. INTERNAL CONTROLS**

The internal controls part of the review evaluates the level of attention accorded to the development of system checks and balances to ensure system integrity.

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|---|---------------|
| <ul style="list-style-type: none"> <li>(1) What internal controls exist within the system?</li> <li>(2) Are authorized access and update channels in place? Are data ownership (right to update) and data readership (right to access) relationships clear? Are system protections, such as passwords, in place?</li> <li>(3) Is there immediate feedback when incorrect data is entered?</li> <li>(4) Is data verified for accuracy and integrity before the system is updated? Have plans been developed for periodically evaluating the accuracy and effectiveness of the database after implementation?</li> <li>(5) Are current values for codes documented and easy to remember?</li> <li>(6) Has a data dictionary been developed and is it maintained?</li> <li>(7) Is data periodically backed-up? Are procedures developed for recovery?</li> </ul> | <p>NOTES:</p> |
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**III. MANAGEMENT REVIEW AREAS**

<b>A.</b>	<b>B.</b>	<b>C.</b>	<b>D.</b>	<b>E.</b>	
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Mission and Planning	Development	Implementation	Operations and Maintenance	Cross-Cutting Activities	
1. Security	2. Cost/Benefit	3. Internal Controls	4. Strategic Management	5. System Audit	6. Financial Management
<b><u>3. INTERNAL CONTROLS</u></b>					
<p>(8) If a distributed architecture is used, have responsibilities and authorities been assigned for the management of the disbursed resources? Does the assigned organization have ready access to the distributed resources and sufficient experience and skilled personnel to manage the system?</p> <p>(9) Are system operations routinely checked for economy, efficiency, and effectiveness?</p> <p>(10) Do approval, disbursement, exception processing, and similar functions operate within a framework of separated duties and checks and balances?</p>			<p>NOTES:</p>		

**III. MANAGEMENT REVIEW AREAS**

<b>A. Mission and Planning</b>	<b>B. Development</b>	<b>C. Implementation</b>	<b>D. Operations and Maintenance</b>	<b>E. Cross-Cutting Activities</b>	
<b>1. Security</b>	<b>2. Cost/Benefit</b>	<b>3. Internal Controls</b>	<b>4. Strategic Management</b>	<b>5. System Audit</b>	<b>6. Financial Management</b>

**4. STRATEGIC SYSTEMS MANAGEMENT**

The Strategic Systems Management review area assesses the extent to which the system is managed strategically, achieving controlled growth and evolution with technology.

- (1) Do the system's performance measurement and capacity management programs support the early identification of projected system requirements, enhancements, or augmentations?
- (2) Is information from the performance / capacity management programs used in enterprise planning and are future requirements adequately identified and factored into budget and contract planning?
- (3) Have requirements for maintaining, backing up, and retiring records been defined?
- (4) Does the systems organization monitor and evaluate technological product and standards developments for possible implementation?
- (5) Does the organization routinely evaluate and adopt (when warranted) new software releases (including operating systems)?
- (6) Does the State maintain an active training program so that staff do not become knowledge-obsolete?

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**III. MANAGEMENT REVIEW AREAS**

<b>A. Mission</b>	<b>B. Development</b>	<b>C. Implementation</b>	<b>D. Operations and</b>	<b>E. Cross-Cutting</b>	
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and Planning			Maintenance	Activities	
1. Security	2. Cost/Benefit	3. Internal Controls	4. Strategic Management	5. System Audit	6. Financial Management
<b><u>5. SYSTEM AUDIT</u></b>					
This review area targets the system's auditability and evaluates whether the system audit controls have been tested or reviewed.					
(1) Does the system have an automated audit capability or are alternative methods used? Are they effective?  (2) Does the system generate transaction and processing records useful for system audit purposes?  (3) Is an audit trail of all operating system actions maintained?  (4) Does the system provide complete and accurate internal audit trails of all financial management activities, such as billing, receipts, and distributions?  (5) Has the system's auditability been tested or reviewed? What were the results? What actions have been taken as a result? Are there any unresolved issues?			NOTES:		

**III. MANAGEMENT REVIEW AREAS**

<b>A. Mission and Planning</b>	<b>B. Development</b>	<b>C. Implementation</b>	<b>D. Operations and Maintenance</b>	<b>E. Cross-Cutting Activities</b>	
<b>1. Security</b>	<b>2. Cost/Benefit</b>	<b>3. Internal Controls</b>	<b>4. Strategic Management</b>	<b>5. System Audit</b>	<b>6. Financial Management</b>

**6a. FINANCIAL MANAGEMENT - Accounting Management**

This review area focuses on evaluating certain financial management aspects — accounting management, payment receipts, and distribution — of the information system development project to determine if Federal requirements are met.

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|---|---------------|
| <ul style="list-style-type: none"> <li>(1) Does the State's financial management system provide for centralized account management?</li> <li>(2) Is the system uniform statewide? Have procedures been written and distributed?</li> <li>(3) Does the financial management system provide audit trails on all transactions from payment through distribution?</li> <li>(4) Does the system support State and Federal fiscal and financial reporting?</li> <li>(5) Will the system accommodate updates of budgeted funds and costs?</li> <li>(6) Does the system uniquely segregate and track each ACF component's information system development project costs from all other program costs and funding?</li> <li>(7) Are all project funding, budget, and cost records and invoices maintained for three years from the end of project development?</li> </ul> | <p>NOTES:</p> |
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**III. MANAGEMENT REVIEW AREAS**

<b>A. Mission and Planning</b>	<b>B. Development</b>	<b>C. Implementation</b>	<b>D. Operations and Maintenance</b>	<b>E. Cross-Cutting Activities</b>	
<b>1. Security</b>	<b>2. Cost/Benefit</b>	<b>3. Internal Controls</b>	<b>4. Strategic Management</b>	<b>5. System Audit</b>	<b>6. Financial Management</b>

**6b. FINANCIAL MANAGEMENT - Payment Receipts**

- (1) Does the system provide for centralized payment receipts processing?
- (2) Does the system account for and uniquely identify all payment receipts? Is a payment history maintained to ensure proper distribution and auditability?
- (3) Does the system balance and post payment transactions? Are receipts identified by source and/or type?
- (4) Can the system reconcile receipts and disbursements?
- (5) Does the system generate adequate reports to management on the status of project funding, budget, and expenditures?

NOTES:

**III. MANAGEMENT REVIEW AREAS**

<b>A. Mission and Planning</b>	<b>B. Development</b>	<b>C. Implementation</b>	<b>D. Operations and Maintenance</b>	<b>E. Cross-Cutting Activities</b>	
<b>1. Security</b>	<b>2. Cost/Benefit</b>	<b>3. Internal Controls</b>	<b>4. Strategic Management</b>	<b>5. System Audit</b>	<b>6. Financial Management</b>

**6c. FINANCIAL MANAGEMENT - Distribution**

<p>(1) Does the system provide for centralized control over distributions?</p> <p>(2) Does the system calculate the Federal, State, and local shares of all collections, and intrastate, interstate, and local incentive payments received or due?</p>	<p>NOTES:</p>
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