



Maricopa County Office of Enterprise Technology Audit of Service Delivery By Maricopa County Internal Audit February 2022

Why This Audit Is Important

The Maricopa County Office of Enterprise Technology (OET) Business Engagement & Innovation Division helps promote the use of technology and innovative solutions to achieve client business initiatives and objectives. Business Engagement Managers (BEMs) work closely with county agencies to identify, prioritize, and facilitate business solutions.

We performed this audit to assess (1) the effectiveness of the BEMs' communication and support with county agencies, and (2) whether OET's governance structure ensures successful service delivery by BEMs.

Key Results

- BEM clients positively view the support services they receive from their assigned BEMs.
- IT project requirements and outcomes can be improved by establishing formalized project management practices based on a recognized framework.
- BEM program governance can be improved by standardizing processes and establishing goals and progress measures.
- Client support can be enhanced by offering service catalogs and keeping technology roadmaps up to date.

All key findings requiring corrective action were addressed through agreed-upon management action plans.

What We Audited

Following is a summary of work performed and recommendations. Ed Winfield, CIO, approved the responses on January 4, 2022. We also communicated detailed observations and recommendations to management throughout the audit process.

Client Satisfaction

Background – Client feedback is a valuable tool for understanding how well an organization is providing services. We surveyed leaders in 40 county agencies regarding the effectiveness of service delivery provided through their assigned BEM. We also reviewed several IT projects completed during fiscal year 2021 and interviewed three client agencies regarding IT project outcomes (e.g., timing, completeness, budgetary considerations).

Observations – We received a 95% response rate to our survey. Respondents generally expressed positive opinions of the support received by their assigned BEMs. All three agencies interviewed were satisfied with project outcomes and credited much of the success to their BEM support.

Recommendation to OET	Response
None, for information only.	N/A

Project Management Framework

Background – Effective IT service delivery includes standardizing IT project management processes using a well-recognized framework. We reviewed supporting documentation for a sample of projects requested by county agencies and completed during fiscal year 2021.

Observations – IT project documentation was not consistently maintained. Meeting notes, emails, and action item lists were available across the sampled projects; however, documents addressing project descriptions, support requirements, and client sign-offs were not consistently available. While BEMs’ services may vary by project type, establishing formalized practices based on a framework can improve project tracking, enhance client satisfaction, and support alignment with BEM service delivery objectives.

Recommendation to OET	Response
Adopt a framework to standardize project management processes and to develop project components, supporting requirements, and desired outcomes.	Concur – In progress Work with OET Project Management Office to develop processes for the BEMs to use. Target Date: 12/31/2022

Governance & Performance

Background – Effective program governance includes establishing strategic goals and assessing progress in achieving those goals. We interviewed BEMs and reviewed supporting documentation to determine (1) the maturity of the BEMs internal processes and procedures for service delivery, and (2) whether goals and key performance measures had been established to monitor progress towards BEM objectives.

Observations – OET administers bi-annual customer surveys to assess BEM client satisfaction. However, strategic objectives, goals, or performance measures were not developed to support BEM program effectiveness. In addition, IT project management processes and procedures were informal and could lead to inconsistencies and service gaps for meeting client needs. Standardized definitions, processes, and goal progress reporting can help ensure successful service delivery.

Recommendations to OET	Responses
Develop formal strategic goals and progress measures for the Business Engagement and Innovation Division, in alignment with OET's mission and vision.	<p>Concur – In progress</p> <p>Formalize strategic goals for the Business Engagement and Innovation Division and measures for tracking progress. Goals will be based on County and OET strategic goals for FY23 onward.</p> <p>Target Date: 8/31/2022</p>
Develop written policies and procedures to enhance consistency and help ensure appropriate service delivery.	<p>Concur – In progress</p> <p>Develop policies and procedures to support services offered in the BEM service catalog and other common daily work.</p> <p>Target Date: 9/30/2022</p>

Technology Roadmaps

Background – BEMs use a technology roadmap to document current IT projects and pending changes to existing applications for each client agency. Accurate roadmaps help ensure BEMs can provide the best client support.

Observations – We compared three recently completed department roadmaps to Internal Audit's FY19 IT Risk Assessment department survey responses to identify whether applications and systems monitored by the BEMs matched those reported by the departments. While some applications may have been removed/replaced since fiscal year 2019, we still identified numerous applications not included in the roadmaps. In addition, the roadmaps were not updated based on applications found by OET's InfoSec Division using network scans.

Recommendation to OET	Response
Improve processes for obtaining current and complete information of client systems and applications to help Business Engagement Managers meet client service needs.	<p>Concur – In Progress</p> <p>Will incorporate additional applications into roadmaps as needed using information from Internal Audit's FY22 IT Risk Assessment Refresh. Additionally, will work with InfoSec to identify process to share information on additional applications found through their network scanning processes.</p> <p>Target Date: 6/30/2022</p>

Service Listing

Background – Recommended practices suggest that IT organizations should formally document available services and maintain procedures for the delivery of these services.

Observations – The BEMs do not maintain detailed documentation of services they can perform for their client agencies and other OET divisions. A service catalog describing available services, timing, cost, and expected support levels is typically expected for this purpose.

Recommendation to OET	Response
Document and publish the services offered by Business Engagement Managers. Consider including detailed service descriptions, costs, timeframes, and service level agreement information. Establish procedures to periodically review and update the publication.	Concur – In Progress Will develop service catalog for BEM services beginning with most requested services. Target Date: 4/30/2022

Additional Information

This audit was approved by the Maricopa County Board of Supervisors and was conducted in conformance with the International Standards for the Professional Practice of Internal Auditing. This report is intended primarily for the County Board of Supervisors. However, this report is a public record, and its distribution is not limited. If you have any questions about this report, please contact Mike McGee, County Auditor, at 602-506-1585.