



THE MARYLAND-NATIONAL CAPITAL PARK AND PLANNING COMMISSION

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July 31, 2024

To: Mazen Chilet, Chief Information Officer

From: Renee Kenney, Inspector General *Renee Kenney*

Subject: Second Follow-up Review for the Enterprise Project Plan - Commission Wide Information Technology Projects, Audit Report No. CW-002-2022

We have completed a second follow-up review for the Enterprise Project Plan - Commission Wide Information Technology Projects (CWIT) Audit Report No. CW-002-2022 dated March 7, 2022. The following is the result of the follow-up review:

Rec. #	Recommendation	Issue Risk	Status	Revised Expected Completion Date	Revised Follow-Up Date
1	Enhance CWIT Project Status Reports	High	Partially Resolved	Sept. 2024	Jan. 2025
2	Modify Current Focus of IT Council	High	Unresolved	Sept.2024 (partial)	Jan. 2025
3	Maintain CWIT Schedule	Low (*)	Partially Resolved	Dec. 2024	Jan. 2025

(\*) – The Office of the Inspector General (OIG) is not required to follow-up on low-risk audit recommendations. However, follow-up has been completed for recommendation #3, as it is closely related to recommendation #1.

Office of the Chief Information Officer (OCIO) management provided sufficient additional information and clarification for us to conclude two of the three audit recommendations reviewed are partially resolved as some degree of progress has been made, but they are not yet complete. One recommendation remains unresolved. The following details the status of the recommendations.

## **Recommendation #1: Enhance CWIT Project Status Reports**

**Status:** Partially Resolved

**Background and Discussion:** CWIT project reporting (monthly and annual) did not provide Maryland-National Capital Park and Planning Commission (Commission) leadership with essential information to support effective and fiduciary information technology (IT) decision making. In the initial audit report, the OIG recommended the following:

The OCIO should:

- Provide updates on all active projects (i.e., all activity codes on CWIT schedule). The updates (i.e., reports) should reconcile to the CWIT schedule.
- Provide a fluid summary of actual, encumbered, and estimated completion costs for each active CWIT project.
- Communicate key project dates such as RFP issuance, project kickoff, status of assigned action items (e.g. legal review), estimated project completion date, etc.

The Chief Information Officer (CIO) concurred with the recommendations and stated, “IT Council is working with, and has provided suggestions to, the CIO to improve the presentation of information to the IT Council as it performs its decision-making responsibilities.”

The OIG completed their first follow-up in December 2022. A new reporting tool was developed to provide a more engaging and easier to use project status report. However, the OIG reflected the recommendation as partially resolved as not all of IT Council’s reporting needs were being met with the new tool.

**Management Follow-Up Response:** Since the original audit in 2022, members of IT Council have changed, as such, CWIT reporting needs have also changed. The reporting tool developed in 2022 is not currently active.

The OICO is committed to developing a new CWIT reporting tool utilizing the SharePoint application. The OCIO will query the current members of IT Council to ensure the OCIO has a complete understanding of their CWIT reporting requirements. Once the new reporting structure is defined, the OCIO will require sign off from IT Council. The prior reporting tool had limited viewership due to restrictions on access. The OCIO is proposing broader access to the planned CWIT reports so anyone with a business need can review the status of a CWIT project.

In the interim, the OCIO is taking significant steps to ensure IT Council and Commission leadership are kept informed of on-going CWIT projects (e.g., Enterprise Resource Planning and the Kronos UKG migration) through executive communications. The executive communications are issued every two weeks. There is also a SharePoint site for each project.

**Revised Expected Completion Date:** September 2024

**Revised Follow-Up Date:** January 2025

## **Recommendation #2: Modify Current Focus of IT Council**

**Status:** Unresolved

**Background and Discussion:** Executive level employees make up the Commission's IT Council (see **Appendix A**). However, their knowledge and expertise are not being appropriately leveraged. Due to the CWIT project reporting deficiencies identified in recommendation #1, the Commission's IT Council tends to operate as a budget, resource and project approval body, instead of providing strategic direction for the Commission. Identified gaps include the lack of a(n):

- Commission wide information technology strategic plan
- Documented system for prioritization of projects
- IT governance vision statement

In 2022, the CIO concurred with the audit recommendations and agreed to "work with the IT Council and Chief Technology Officer's (CTOs) to prepare an IT Strategic Plan that will be high level and identify the major areas of focus and goals the IT Council, representing Commission departments, wants to accomplish. These focus areas and goals should then be used to identify, develop, and prioritize future CWIT projects over the coming years".

To date, IT Council has not completed any of the above three bulleted items identified in March of 2022. It is the opinion of the OIG, the Commission's current IT governance system is not representative of a mature, complex agency like the Commission, and more importantly, it does not support efficient decision making.

To assist in the resolution on the initial audit recommendations, the OIG recommends Commission leadership review and update the current "IT Council, Commission IT Governance Vision and Policy Statements" dated July 24, 2017. The title of the document is referred to as "final draft". The document is not readily available on the OCIO's website for review by new Commission leadership. In addition, the Commission's Executive Committee, which is no longer in existence, is referenced throughout the document. A copy of the document has been included in **Appendix B** of this report.

**Management Follow-Up Response:** The OCIO agrees with OIG's recommendations. The Commission still needs governance and strategic planning. It has not been completed, as it is not a priority for Commission leadership. The OCIO will continue to ask IT Council about their expectations for a strategic plan. The OCIO will continue to develop project reports and CWIT schedules (Audit Recommendation #3 below).

**Revised Expected Completion Date:** Initial conversation with IT Council members will occur in September 2024. At that time the OCIO, with input from IT Council, will define expected completion dates for a governance statement and the development and promulgation of a Commission-wide IT strategic plan.

**Revised Follow-Up Date:** January 2025

**Recommendation #3: Maintain CWIT Schedule**

**Status:** Partially Resolved

**Background and Discussion:** During initial audit fieldwork, the OIG concluded the CWIT Schedule, found in the Commission's ERP application, Infor was not up to date.

**Follow-Up Review:** The OCIO continues to work with the Department of Finance to enhance the CWIT reports currently available in Infor.

The Finance and Budget teams have worked collaboratively on consolidating and closing completed or inactive projects.

The current financial report may be trailing the actual encumbrances by 2-3 months. Therefore, the current available balance in the Teams reporting tool may not be accurate due to this disparity. Report users have also recommended inclusion of additional drillable features.

**Management Follow-Up Response:** Upon implementation of the new ERP system, resources will be identified to create a user friendly CWIT schedule.

**Revised Expected Completion Date:** December 2025

**Revised Follow-Up Date:** January 2025

A copy of the original audit report and first follow-up report has been included for your convenience.

Cc:

Audit Committee

Dorothy Bailey

Mitra Pedoeem

Benjamin Williams

Erin White

M-NCPPC Administration (IT Council Members are noted in **bold text**)

**Todd Allen**

**Chip Bennett**

Joe Bistany

**Bridget Broullire**

Debra Borden

James Cannistra

Terri Charles

Gavin Cohen

Irith Dror

Miti Figueredo

**Darren Flusche**

Artie Harris

Vince Hu

Commission-Wide Information Technology Projects  
CW-002-2022-FUP2

Lakisha Hull  
**Suzanne King**  
Modupe Ogunduyile  
**Len Pettiford**  
Peter Shapiro  
**Marilyn Sklar**  
Aaron Smith  
**William Spencer**  
Bill Tyler

## Appendix A

### **IT Council Members**

Todd Allen, Representing DHRM

Chip Bennett – Representing the Department of Finance

Bridget Broullire – Representing Montgomery County's Planning Department

Darren Flusche – Representing Montgomery County Department of Parks

Suzann King – Representing Prince George's County Planning Department

Len Pettiford – Representing Prince George's Department of Parks and Recreation

Marilyn Sklar – Representing OCIO, Program Management Office

William Spencer/Asuntha Chiang-Smith, Ex Officio Member

**1. Commission IT Governance Vision**

To ensure that the Commission's IT systems and services achieve the greatest Commission-wide efficiency while minimizing Commission-wide risks and supporting the independence of Departments to meet their own service delivery needs as appropriate.

**2. Definitions**

**2.1. Chief Information Officer (CIO)**

The CIO is the chief information officer of the Commission. The CIO works at the direction of the Executive Committee. The CIO is the director of enterprise IT systems and services and serves as the Commission's Chief Security Officer.

**2.2. Chief Technology Officer (CTO)**

The CTO is the technology position for each Department or Office of the Commission that is a member of the CTO Committee. A CTO is designated to be member of the CTO Committee at the discretion of the Department Director or Officer of the Commission.

**2.3. Chief Technology Officer (CTO) Committee(s)**

The CTO Committee is the technical governance committee or committees that advises and assists the CIO on the planning and implementation of enterprise projects. The CTO Committee is made up of the CTO from each Department and Office of the Commission. It also shares information and coordinates activities that may be beneficial to one or more Departments. The CTO Committee may also form into technical subcommittees, permanent or short-term, to assist the CIO on specific functions, projects or tasks.

**2.4. Commission-Wide IT Initiatives Fund (CWIT)**

The CWIT Fund is an internal service fund established to budget and account for specific costs related to the delivery of enterprise IT. The fund functions as a "capital project" fund for one-time projects and reoccurring enterprise IT investments and costs. Temporary personnel costs directly related to enterprise projects may be a budgeted cost in the CWIT. Career personnel costs are opt included in the fund.

**2.5. Enterprise IT**

Any IT system or service supporting Commission-wide, cross-functional operational needs that the Executive Committee, after receiving a recommendation from the IT Council, has determined centralized administration and delivery will achieve greater efficiency, effectiveness, and/or risk mitigation for the Commission.

**2.6. Enterprise Project**

A project to develop, enhance, replace, or otherwise modify an enterprise IT system or service, including enterprise hosted systems and services. It may also include a project offering benefits through cooperation among multiple departments. Enterprise projects are administered by the OCIO. Such projects may be managed by the OCIO or at the department level.

**2.7. Enterprise Infrastructure**

Enterprise infrastructure means the hardware, software, services, and staffing necessary to deliver enterprise IT systems and services. Enterprise infrastructure is administered by the OCIO; as directed by the Executive Committee

**2.8. Enterprise Project Plan (EPP)**

An annual plan prepared by the OCIO and presented to the IT Council that provides information on the status of all enterprise projects underway and future planned enterprise projects. The EPP shall provide sufficient information for the informed approval and reporting on projects. This information should include but not be limited to, the business case, resource needs, each project's name, project manager, project team, total budget, date of initiation, project milestones and estimated completion date.

**2.9. Hybrid Model**

A governance and administration approach that differentiates IT systems and services as enterprise and non-enterprise. Enterprise systems and services are centrally administered through the OCIO. Non-enterprise systems and services are administered at the Department level.

**2.10. IT Council**

The IT Council is a management committee made up of representatives from each Department of the Commission, whose purpose is to help the Commission realize its IT Governance Vision.

**2.11. IT Governance**

IT governance is the system of policies and administrative processes that ensure the efficient and effective use of IT to enable the Commission to achieve its operational goals. The Commission's IT governance approach empowers the IT Council to make recommendations and decisions related to the business investment of where to use enterprise technology and empowers the OCIO to ensure



the efficient and effective delivery of enterprise IT systems and services. Authorized IT Policies, and Practices are applicable to the entire Commission computing environment and supersede contradictory departmental policies.

**2.12. Non-Enterprise IT**

An IT system and service deemed to be more efficiently and effectively delivered by a Department without creating undue risk to the Commission. Further, an IT system service delivered by a Department to meet its specific operational needs, or to meet the requirements imposed by a County or other government agency that have otherwise been deemed not to be delivered on an enterprise level.

**2.13. Non-Enterprise Infrastructure**

Non-enterprise infrastructure means the hardware, software, networking, services, and staffing necessary to deliver non-enterprise IT systems and services. Such infrastructure is administered by the appropriate department or departments.

**2.14. Non-Enterprise Project**

A project to develop, enhance, replace, or otherwise modify a non-enterprise IT system or service. It may also include a project offering benefits through cooperation among multiple departments.

**2.15. Office of the Chief Information Officer (OCIO)**

The OCIO is the Office that provides Commission-wide enterprise IT infrastructure and functions to Commission. The OCIO objectives are to deliver IT governance, clear lines of project accountability and consistent, timely communication of enterprise IT standards.

**2.16. Office of the CIO Fund**

The Office of the CIO Fund is the internal service fund established to budget and account for the operating budget (revenues and expenditures) necessary for the CIO to deliver services.

**2.17. Program Management Office (PMO)**

The PMO is the enterprise program management and delivery function of the OCIO.

**2.18. Service Level Agreement (SLA)**

A Service Level Agreement defines the level of service required for the delivery of enterprise IT systems and services provided by the CIO.

### **3. Policies**

The following policies are established to coordinate and guide the delivery of Commission IT systems and services at the enterprise and non-enterprise level consistent with the governance vision of the Hybrid Model.

#### **3.1. Governance of Commission IT Systems and Services**

The Commission's IT systems and services shall be governed using a Hybrid Model where the IT environment is classified as enterprise and non-enterprise according to the definitions set forth in section 2 of this policy. Enterprise IT systems and services will be centrally administered by the OCIO, with input from the IT Council, at the direction of the Commission's Executive Committee. Departments shall provide recommendations through their representation on the IT Council on the plans, priorities and policies to achieve the goal of administering enterprise IT in a manner that balances the service delivery needs of the operating Departments with Commission-wide objectives of efficiency, effectiveness, and risk mitigation.

Non-enterprise systems and services shall be administered at the Department level at the direction of the Department Director while adhering to Commission's IT policies and procedures.

#### **3.2. Enterprise IT Funding**

The costs to provide enterprise IT systems and services will be funded through a Commission-wide cost allocation method. The cost allocation method must appropriately and equitably allocate the costs across all Departments of the Commission. The cost allocation method must be documented and have a logical basis connected to the use of the enterprise IT system and service.

#### **3.3. Enterprise IT Budgeting**

The OCIO shall prepare annual budgets for the OCIO Fund and the CWIT Fund. To promote cooperative and informed budgeting for IT needs, the budgets will be reviewed by the CIO with input from the CTOs and then be presented to the IT Council. The IT Council will provide its recommendation regarding the budgets, which will be incorporated as appropriate into the Commission's processes for proposing budgets to the respective Planning Boards, Commission, County Executives, and County Councils.

##### **3.3.1. OCIO Fund Budget**

The OCIO Fund budget includes the staffing, services, and supplies expenses necessary for the OCIO to provide services.

These expenditures will be allocated among all operating departments of the Commission according to an appropriate and documented allocation method. Because the CIO function is a core central administrative function of the Commission, the intent is for the funding allocation method to remain stable from year to year. Each Department shall include in their proposed budget for consideration an expenditure equal to its allocated share of the OCIO Fund budget, which will be budgeted as revenue in the OCIO Fund. Additional fund balance may be used to offset subsequent departmental budget allocations. The OCIO Fund should not carry an undesignated ending fund balance.

### **3.3.2. CWIT Fund Budget**

The CWIT Fund budget includes the revenues and expenditures needed to deliver enterprise IT systems, services, and enterprise projects. The direct expenditures include costs such as software licensing, hardware, implementation costs (professional services), and other necessary capital outlays. These expenditures shall be centrally allocated to the operating departments according to a documented allocation method. The allocation method should be specific to each enterprise system, service, and project. The method used must have a logical basis related to the delivery and use of the specific enterprise IT expenditure. Each department that is allocated a CWIT budget expenditure based on a specific enterprise project or service shall budget for that expenditure, which shall be budgeted as revenue in the CWIT Fund. Additional fund balance shall be used to offset subsequent departmental budget allocations. The CWIT Fund should not budget an undesignated ending fund balance. However, in the interest of planning to meet future enterprise IT needs, the CWIT Fund may include a funding plan for future IT needs and contingency.

### **3.4. Service Level Agreements (SLA)**

Service level agreements (SLA) promote the responsive and accountable delivery of IT systems and services. The SLA is a term sheet of expectations on delivering specific IT services with the intent of promoting mutual interest and understanding. An SLA shall be established for each enterprise IT system and service that a Department relies upon for the delivery of its services. The SLA shall be reviewed by the CTOs and approved by the IT Council). The SLA shall:

- Provide a detailed description of services to be offered and working assumptions between the Enterprise IT and its customers.

- Quantify and measure service availability and support.
- Outline the approach and process used to measure the quality of service provided.
- A detailed service catalogue.
- Define service level management and response times.
- Boost communication between Enterprise IT and its customers.
- Provide a process for resolving conflicts.
- Define Performance measures and provide SLA monthly reports to the IT Council

**3.5. Assessment of Commission IT Services and Systems**

At the direction of the Executive Committee, the CIO will undertake assessments of the Commission's IT services and systems. The assessment will provide recommendations regarding the implementation of the hybrid model to the IT Council, Executive Committee, and Commission on the governance of IT systems and services. The recommendations shall be based on assessment of the organizational efficiency and effectiveness to deliver IT systems and services and the security risks to the Commission. The CIO's recommendations will include the IT Council's position on the recommendations.

**4. Roles and Responsibilities**

**4.1. Chief Information Officer (CIO)**

**4.1.1. Role of CIO**

The CIO provides executive leadership for the enterprise IT systems and services. Further, the CIO provides coordination and guidance as requested to CTOs on departmental IT matters.

**4.1.2. Responsibility**

The CIO is responsible for assuring visioning and strategic planning of information technology that promotes the linkage of policies, standards, and procedures that enable the use of technology to facilitate the mission of the Commission. The CIO proposes practices, procedures, and notices necessary to implement the IT Governance Vision and oversees the Commission's enterprise IT systems and services. The CIO administers the enterprise IT environment including necessary systems, services, and contracts.

**4.1.3. Enterprise Project Plan (EPP)**

The CIO is responsible for preparing and presenting an enterprise project plan to the IT Council each year, no later than June 30. The purpose of the EPP is to establish an agreed upon enterprise project work program based on a business case analysis to meet the IT vision

and governance goals of the Commission. The EPP assesses the progress of current projects, plans for future projects, identifies resources needed (enterprise infrastructure), and plans for future funding. The Plan is proposed by the CIO with input from the CTOs, reviewed by the IT Council, and approved through the annual budget process.

**4.1.3.1. Current Enterprise Projects**

The EPP must include a status report on all current enterprise projects detailing the estimated completion date, the budget to actual for funding, and estimated funds to complete the project.

**4.1.3.2. Future Planned Enterprise Projects**

The EPP must include future proposed enterprise projects including the purpose of each project, the benefits to be achieved, the funding and staffing resources required (including any Department staff needed), and estimated project delivery time.

**4.1.3.3. Modifications of the EPP**

The CIO may modify the EPP as needed during the year. Modifications to the plan must be presented to and accepted by the IT Council and as necessary Department Directors, and Executive Committee. Any modifications requiring budget adjustments and amendments shall follow the applicable Commission policies.

**4.1.4. CTO Committee and CTOs**

The CIO is the Chair of the CTO Committee and responsible for providing the planning and coordination among Departments to execute the Enterprise Project Plan working with the CTOs. The CIO has functional oversight of the CTO Committee and of the CTOs only with respect to CTO performance necessary to plan and implement enterprise projects as approved in the Enterprise Project Plan. Subcommittees may also be established by the CIO in coordination with the CTOs to address specific areas of coordination or concern.

**4.1.5. CIO and Evaluation of CTO Performance**

To promote effectiveness and accountability, each CTO shall have in their performance evaluation a job function standard for enterprise CTO responsibilities. The CIO will provide feedback and evaluation on the CTO job function standard to the appropriate Department supervisor of the CTO.

**4.1.6. Program Management Office (PMO)**

The OCIO is responsible for overseeing the PMO function. The PMO is the enterprise program management function of the CIO responsible for

coordinating and overseeing the planning and implementation of the Enterprise Project Plan through enterprise projects. The PMO will work closely with Department staff as necessary to achieve the goals of each project. In certain cases, Department staff may be assigned to functionally support the PMO but only as it relates to fulfilling project objectives and tasks.

## **4.2 IT Council**

### **4.2.1. IT Council**

The IT Council is established to represent Department operating needs in the governance and administration of the hybrid model to deliver enterprise and non- enterprise IT systems and services in the Commission. The IT Council shall meet at least monthly.

### **4.2.2. Membership**

Each Department of the Commission shall have a representative on the IT Council. Representatives shall be executive or senior level positions with sufficient management responsibility to represent the Department's IT needs. Each Department Director/Officer shall designate the Department representative. The Executive Director is an ex-officio member. The intent of the IT Council is to represent the consensus position of the Departments on IT matters to the Executive Committee and the other governing bodies of the Commission.

### **4.2.3. Responsibilities**

IT Council members are responsible for representing the business needs and priorities of their Department while striving to make decisions within the hybrid model that are in the best interest of the Commission and their respective departments. The IT Council is responsible for providing recommendations on IT projects, practices, procedures, notices, and funding to the CIO, the Executive Committee, Department Directors, Planning Boards, and Commission. The IT Council makes decisions and recommendations as necessary on the Enterprise Project Plan, any proposed modifications to the plan, or any other matter presented to it. The decisions and recommendations of the IT Council shall be made by majority vote. The IT Council may decide to elevate a decision or recommendation to the Executive Committee.

### **4.2.4. IT Council Chair**

The CIO is the permanent chair of the IT Council. The Chair is responsible for: 1) calling routine IT Council meetings; 2) preparing the agenda and minutes; 3) providing necessary materials in advance of the meeting to support informed discussion; 4) providing routine status reports on enterprise projects and other enterprise IT matters; and 5) facilitating the discussion to achieve the IT Governance Vision.

#### **4.3. CTO Committee**

##### **4.3.1. Role**

The CTO Committee is created to coordinate the technical activities necessary to plan and implement enterprise projects with Departments; and to convey department specific IT topics to the committee for synchronization and conformity to established policies.

The CTO Committee is a standing technical committee established to provide regular coordination between the CIO and the Departments. As necessary to implement enterprise projects in the approved Enterprise Project Plan, the CIO may establish technical subcommittees for the purposes of coordinating efforts and resources for specific enterprise projects. The CTO Committee shall meet at least monthly.

##### **4.3.2. Membership**

The membership of the CTO Committee is comprised of the CTO for each Department/Office in the Commission. The membership of any technical subcommittees established by the CIO, shall be presented to the IT Council before being created.

Subcommittee membership is not restricted to the CTOs.

##### **4.3.3. Responsibility**

The CTO Committee and any technical subcommittees are responsible for working collaboratively with the CIO and PMO for the successful planning and implementation of enterprise IT.

#### **4.4. Chief Technology Officer (CTO)**

##### **4.4.1. Role**

The CTO represents the lead technical expert for Department IT systems and services. The CTO's role in the Commission's IT Governance is to provide technical linkage and collaboration between departmental IT needs and the CIO's office.

##### **4.4.2. Responsibility**

The CTO is a senior position responsible for planning, managing, and operating non- enterprise IT systems and services for a Department. The CTO is responsible for collaborating with the CIO on the planning and implementation of enterprise projects, but any such work assigned must be balanced with the CTO's responsibilities for his/her own departmental duties. With respect to enterprise projects the CTO has a functional reporting relationship to the CIO and is responsible for providing coordination of efforts and resources for the implementation of enterprise projects.