



THE MARYLAND-NATIONAL CAPITAL PARK AND PLANNING COMMISSION

Office of the Inspector General • 7833 Walker Drive, Suite 425 • Greenbelt, Maryland 20770

November 1, 2018

To: Mazen Chilet, Chief Information Officer

From: Renee Kenney, Inspector General

Renee M Kenney

Sadat Osuman, IT Audit Manager

Sadat Osuman

Subject: CW-002-2019, Infor v10 Upgrade Go-Live Readiness Assessment

The Office of the Inspector General (OIG) is unable to complete the Lawson v10 Upgrade Go-Live Assessment in time to add significant value before the scheduled go-live date due to the lack of available documentation coupled with the timeliness and accessibility of the Project Management Office (PMO).

The objective of the Infor v10 Upgrade Go-Live Readiness Assessment was to provide management with reasonable assurance that adequate controls were conceived, developed and implemented to help ensure operators and users of the system realize the full capabilities and functionalities (as defined by the business and communicated to the PMO) of the upgraded system.

The OIG issued an Audit Notification memo on August 21, 2018 and followed with a list of required documentation on September 17, 2018. The upgrade is scheduled for November 13, 2018. To date, we have not received an approved¹:

- detailed test plan with documented scripts and expected results;
- documented data migration plan;
- detailed system cutover plan with roll-back provisions; and
- detailed training plan.

In addition, several processes, that as a best practice, should be included in project planning have either not been completed or couldn't be validated by the OIG due to lack of information:

- A review of user roles and permissions was not considered in scope for the upgrade. Per the PMO, a security assessment will be completed post go-live.

¹ The Project Management Office (PMO) was able to provide documentation that included plan information at a very high level. However, the information did not include sufficient detail to opine on completeness and/or effectiveness. In addition, project documentation (test plan, data migration plan, cutover plan, training plan) has not been submitted, reviewed, or approved by the appropriate project governing body.

- Segregation of Duties (SoD) rules are non-existent for HR and Procurement functions within the GRC tool. Note: Finance does have SoD rules configured within the Kinsey application.
- Documentation could not be obtained to show if automated business controls were considered and embedded in the design of business processes, where possible.
- Documented procedures around change and patch management for Infor v10 could not be obtained.
- Documented readiness criteria for assisting in a “go, no-go” decision by the Steering Committee is not available.
- A documented operational support strategy post go-live could not be obtained.

It is the opinion of the OIG that the project lacked detailed planning and documentation of key milestones. However, in response to our assessment, the Office of the Chief Information Officer (OCIO) stated the project was initially planned with a limited scope and a defined number of requirement planning meetings but these were subsequently increased to meet the needs of the Commission. As a result, some key activities were downscaled to meet critical go live date requirements. The OCIO also stressed that the upgrade will be completed on-time, within budget with additional functionality.

As stated above, one of the objectives of this review was to ensure operators and users of the system realize the full capabilities and functionalities of the upgraded system while at the same time maintaining an appropriate level of controls. Due to the lack of documentation, the OIG is unable to opine on this objective. However, considering the work that has been completed to date, coupled with the results of testing thus far, the OIG has not identified a fatal flaw that should preclude a “go” decision on November 13th.

With a list of projects still yet to be executed by the OCIO during FY19 and beyond, it is the hope of the OIG that shortcomings from the Infor v10 Upgrade Project will be noted and improved on in subsequent Commission projects.

Note: Excluding overall operability/functionality of the ERP system, risk management and security planning are critical stages as they ensure automated controls and security features are incorporated into application design early in the project's life cycle. Failure to define and implement system security and internal controls may provide increased opportunity for a data breach, fraud, waste, and abuse. The OIG will be proposing an ERP System Security Audit in its FY20 Audit Plan.

Thank you.

Cc:

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