Maricopa County Office of Enterprise Technology
Audit of Electronic Data Management
By Maricopa County Internal Audit
October 2022

Why This Audit Is Important

Maricopa County relies heavily on electronic data to help departments provide meaningful services to its residents. The demand to access electronic data accelerated as more employees worked from home and county residents increased use of digital services during the pandemic. Electronic data management includes processes that help an organization effectively utilize, store, protect, and retain valuable data resources.

We performed this audit to understand and assess the status of the County's electronic data management efforts and processes. Our work involved the cooperation of the Office of Enterprise Technology (OET). For security purposes, some details are withheld from this report.

Key Observations

- Implementation of some data management components are in the early stages, with core elements either in-progress or non-existent.

- OET's current initiatives will help drive decisions around data governance; the roadmap includes selecting a framework, defining roles, and establishing policy.

- The draft county data classification policy is in the final stages of approval and its implementation is critical to furthering data management efforts in various areas.

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

What We Audited

Following is a summary of work performed. The responses were approved by Ed Winfield, Chief Information Officer, on October 5, 2022. We also communicated detailed observations, and recommendations to management throughout the audit process.

Background

We reviewed best practices, data management frameworks, and county policies and procedures to identify 8 key electronic data management components:
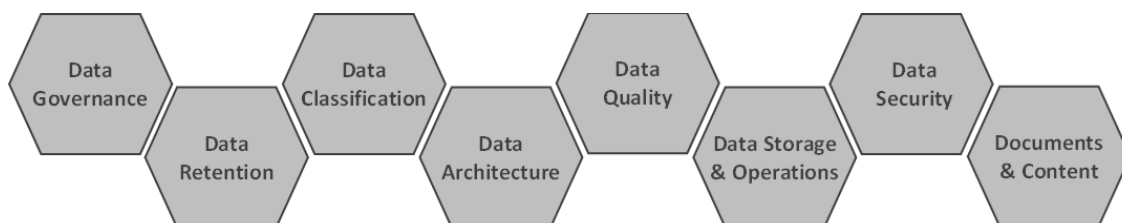
We reviewed these components and underlying elements with OET to assess their perspective, efforts, and status for each one.

General Status of Key Components

OET has made strides in most key data management components, especially data security. Implementation of some components are in the early stages, with core elements either in-progress or non-existent. Many elements are dependent on full implementation of others. We focused our efforts on formalized data governance and data classification since they are needed in order to deploy an effective data management process. The other components will be addressed as OET's data governance and classification are further matured.

Data Governance

Data governance includes planning, oversight, and control over the management and use of data and data-related resources. OET currently has several initiatives underway (e.g., IT Governance) that will influence decisions and implementation of sound data governance. Since early initiatives may influence decisions and implementation, it is too early for meaningful audit recommendations. We plan to reassess the status of data governance in a future audit, along with potential recommendations.

Recommendation to OET	Response
None at this time.	N/A

Establishing specific roles and responsibilities, implementing a data governance framework, and formalizing appropriate policy are all elements necessary to develop a mature data governance process.

Data Classification

Data classification includes the categorization of data and systems based on level of sensitivity and impact to the County should data be disclosed, altered, or destroyed. Classification is used for determining appropriate security controls for safeguarding data. OET's drafted data classification policy is in the final stages of approval and its implementation is critical to furthering data management efforts in other areas. OET is now developing classification procedures and training materials on how to properly classify data.

Recommendation to OET	Response
Finalize data classification efforts currently underway, specifically: • Obtaining approval of Data Classification Policy A2244 • Establishing the processes, procedures, and tools for data classification to be used by county employees and/or data stewards • Providing data classification training to end users and data stewards	Concur – in progress OET's Information Security team is actively implementing the tasks outlined in the recommendations. Target Date: 7/1/2023

Additional Information

This audit was authorized 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, Internal Audit Director, at 602-506-1585.