

Office of the
Internal Auditor

AUDIT REPORT 2023

Information Technology
Service Management



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Executive Summary

Background

Citizens Information Technology (IT) supports employees and contractors through IT Service Management (ITSM) activities. Through ITSM request fulfillment, employees can utilize IT resources to provide valuable services to policyholders. In September 2021, Citizens outsourced selected ITSM activities to Wipro, a contracted vendor.

These activities include:

- Identity Compliance Access Management (ICAM) processes that change/revoke employee system access. Wipro processed almost 14K access requests in 2023 through July.
- Technical Service Desktop Support (TSC) provides technical support to employees around software and hardware issues. Wipro addressed almost 4K incidents and 5K phone calls (excluding voicemail) in 2023 through July.
- Technical Operations Center (TOC) monitors twenty-eight clusters of servers and solutions to ensure system performance and availability.
- Documentation and training to support and continuously improve these activities.

Wipro is managed through established processes, including key performance indicators, timely and adequate request fulfillment, customer satisfaction monitoring, continuous improvement, proactive problem management practices, training, and documentation management.

Objectives and Scope

This audit evaluated how Citizens manages Wipro. Wipro is responsible for employee computer support services and monitoring of information technology resources.

The scope of this audit included these areas:

- A review of Wipro performance monitoring, reporting accuracy and feedback process on achieving KPIs around ICAM, TSC, and TOC.
- An assessment of the reasonability of Wipro service fulfillment user satisfaction.
- A review of the completeness of TOC availability and performance monitoring.
- Confirmation of the accuracy and timeliness of access request processing.
- An evaluation of problem management practices.
- A validation of the adequacy of support documentation and training.

The scope of this audit excluded ITSM for independent adjusters as this is not part of the Wipro contract.

Results

Based on our review, the following areas were identified as strengths:

- **Request Fulfillment:** The ICAM, TOC and TSC teams receive and complete a significant volume of calls and requests monthly. Most requests are resolved within a reasonable time.
- **Service Catalog:** The ServiceNow catalog that lists the available to users is comprehensive and readily available to the end users.
- **Service Level Monitoring:** IT management monitors TOC, ICAM and TSC performance daily from an operational perspective and monthly from an aggregate viewpoint. IT management also completes periodic vendor performance oversight reviews in line with Vendor Management and Purchasing requirements.



Executive Summary

- **Quality Management Improvement Action Plan:** IT management has restarted sending enhanced end-user surveys after completing requests to identify opportunities to improve the end-user experience.
- **Knowledge Management:** Wipro and IT management meet regularly to review service level performance and the customer experience and transfer knowledge to Citizens management. IT management provides various job aids in the ServiceNow application for self-service and as a reference for Wipro and IT staff.
- **Future ICAM Automation:** The ITSM team is supporting the implementation of solutions through the Identity Governance and Administration and Access Management program, which should result in the automation of user provisioning. This will expedite user provisioning and enable the ICAM team to prioritize complex access requests.
- **Ongoing Outage and Service Degradation Alert Automation:** IT management has purchased PagerDuty and AlertSite. These Software-as-a-service solutions will automate the assignment of system outage and service alerts to on-duty personnel. This will further strengthen TOC monitoring.

At the beginning of the audit, IT self-reported control enhancement opportunities around the ITSM process. IT management is working on action plans to address the self-reported opportunities. Internal Audit confirmed these conditions during the audit:

- The root cause analysis process around frequently occurring incidents, categorized as problems, is incomplete. Tracked action plans based on root cause analysis to prevent incidents from reoccurring are not yet in place. Implementation of robust problem management will enhance the end-user experience by reducing the occurrence of incidents. IT management intends to dedicate a team member to the problem management process.
- Current provisioning request performance metrics are insufficient for oversight purposes. This is caused by the ITSM system's (ServiceNow) inability to exclude weekends and non-business hours from calculation. IT management intends to resolve this by implementing Identity Governance and Administration and Access Management (IGA/AM). This should automate a significant percentage of ICAM activity.

Conclusion

Our audit work indicates that IT management mostly has effective oversight, delivery processes, and controls in place over the work performed by Wipro.

There is, however, a need to improve process controls related to centralization and gaps around ITSM governing documents, the absence of a documented ITSM quality management plan and reportable tracking of quality management action items. This observation was discussed with management, and remediation plans were identified and are in progress.

In addition, some minor improvement opportunities to increase the efficiency and effectiveness of ITSM were considered and discussed with Management.

We thank management and staff for their cooperation and professional courtesy throughout this audit engagement.



Distribution

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