



Audit Report

LCCC DoIT Customer Interface Service

Inspector General Department



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Tim Parks, Chief Internal Audit Officer/Inspector General



LCCC DoIT Customer Interface Service



To: The Honorable Linda Doggett, Lee County Clerk of the Circuit Court & Comptroller

From: Tim Parks, Chief Internal Audit Officer/Inspector General

Date: June 23, 2021

Re: LCCC DoIT Customer Interface Service

Dear Ms. Doggett,

The Inspector General Department has completed an audit of LCCC DoIT Customer Interface Service. Bharat Vallarapu, CISA, CIA, CRISC, CRMA, Senior Internal Auditor conducted this review.

This audit activity conforms to the Institute of Internal Auditor's (IIA) *International Standards for the Professional Practice of Internal Auditing (Red Book)* and the Association of Inspectors General (AIG) *Principles and Standards for Offices of Inspector General (Green Book)*.

The audit client's response is attached to this report. We wish to express our appreciation for the cooperation and assistance provided us by management and staff during this review.

This report will be posted to the Clerk of Courts website, www.leeclerk.org, under Inspector General, Audit Reports. A link to this report has been sent to the appropriate parties.

Should you have any questions, please do not hesitate to contact me.

Sincerely,

A handwritten signature in blue ink that reads "Tim Parks".

Tim Parks, CIA, CIG, CIGI, CGI
Chief Internal Audit Officer/Inspector General
Inspector General Department

TJP/GK



LCCC DoIT Customer Interface Service



Table of Contents

Executive Summary	1
Background.....	1
Objective, Scope, and Methodology.....	2
Observations and Recommendations.....	3
Access Reviews	3



LCCC DoIT Customer Interface Service



Executive Summary

The Lee County Clerk of Circuit Court & Comptroller's (LCCC) Department of Innovation and Technology (DoIT) Customer Interface Service (CIS) audit was included in the Inspector General's 2020 LCCC Annual Audit Plan as a carryover from 2019. The Inspector General (IG) Department completed a risk assessment project for all LCCC business units prior to creating the audit plan.

An entrance conference was held with management to discuss the audit's objective and scope, and to solicit current information regarding risks.

The audit focused on the following objectives: A review of

- Written policies and procedures.
- Department organization.
- Internal IT controls related to the HEAT software application.
- Access granted to LCCC environments and systems for LCCC employees and users from other supported agencies.

To accomplish the audit objectives, various tests and audit procedures were performed.

Our conclusion is that the internal controls related to the incident management processes were sufficient. The CIS Team performed their duties in a satisfactory manner.

The report includes an observation regarding the user access management processes. We recommend that enhancements be made by developing and implementing written policies and procedures on user access reconciliations for all systems and environments that are granted access through the CIS Team.

Background

CIS is part of DoIT and is responsible for handling incoming help desk calls, emails, and IT incident management processes. The work flow and tickets were raised from LCCC and other supported agencies. There were approximately 11,500 incidents that were raised and completed in calendar year 2020 by the CIS Team.



LCCC DoIT Customer Interface Service



CIS resolves Tier 1 (basic support and troubleshooting) and Tier 2 (technical support and troubleshooting) services. Tickets escalated to Tier 3 (expert technical support and troubleshooting) were addressed within other areas of DoIT.

The mission of the CIS Team is to provide all supported users with front line and Tier 1 and Tier 2 support for all LCCC supported hardware, software applications and IT environments.

The CIS Team documents all incidents reported by supported users. Each incident was assigned a MITS ticket.¹ They use the HEAT software application for workflows management of service desk procedures. HEAT provides CIS with Service Desk solutions for managing inbound ticket requests, and provides knowledge management workflows in support of incident analysis.

CIS provides user access to various applications based on business needs. Access management procedures include opening MITS tickets in HEAT for the requesting parties. User request tickets advise CIS as to what level of system access needs to be granted to the prospective users.

CIS was staffed with ten DoIT Team members. The supported customer base includes all LCCC employees, employees for partner agencies (Administrative Office of the Courts, Board of County Commissioners, Port Authority, Municipal Agencies, Sheriff, Tax Collector, etc.) and the general public. The team assesses each call or incident, renders the service, and then completes/resolves the incident with the party that initiated the ticket. If CIS was unable to provide resolution to Tier 1 or Tier 2 incidents, the incident was escalated to Tier 3, and support was provided by the subject matter expert within another DoIT area.

Objective, Scope, and Methodology

The objective of the audit was to ensure that CIS Service Desk functions were operating in an efficient and effective manner, and to determine that internal IT controls related to incident management processes were sufficient.

The audit scope included a review of Tier 1 and Tier 2 customer service incidents from January 2020, to March 2021. The review included:

¹ MITS is an acronym DoIT created from ITSM - IT Service Management.



LCCC DoIT Customer Interface Service



- Written policies and procedures.
- Department organization.
- Internal IT controls related to the HEAT software application.
- Access granted to LCCC environments and systems for LCCC employees and users from other supported agencies.

The audit methodology was comprised of four steps:

- Preliminary Risk Assessment: Meeting was held with management to discuss the audit objective and scope.
- Planning: Audit procedures were developed based upon research, audit objective, scope, and the preliminary meeting.
- Field Work: Management was interviewed for insight on operations. Evaluations and tests were conducted on operations and procedures to address and complete the fieldwork. The auditor discussed and verified preliminary observations and findings.
- Wrap-up: An Exit Conference was held with management to discuss and obtain responses to the audit observations and recommendations.

Observations and Recommendations

Access Reviews

Users from LCCC and supported partner agencies were granted access to LCCC systems and environments according to access procedures.

The following was noted:

- CIS was not doing user access comparison and alignment. This practice reconciles verified active employees to their business needs within LCCC supported IT systems and environments.
- There was no formal procedure in place for identifying and removing users that separate from supported agencies. Not all supported applications and environments have mechanisms to automatically deactivate users after a period of inactivity.

As a good practice, comparison and alignment of actual users from LCCC and other agencies who were granted access to systems and environments would be periodically performed. This is an essential and fundamental aspect of access management and governance that leads to enhanced security and efficiency.



LCCC DoIT Customer Interface Service



Recommendation

- Develop and implement procedures for the comparison and alignment reconciliations of user access to supported systems and environments to enhance identity management and access governance.
- Perform periodic user reviews and updates of employee access (LCCC and partner agencies).

To: Tim Parks, Chief Inspector General
From: Lisa DiDonato, Chief Information Officer
Date: June 21, 2021
Re: LCCC CIS Audit

Mr. Parks,

Thank you for conducting the audit of the Lee County Clerk of Court and Comptroller's Department of Innovation and Technology, Customer Interface Services (CIS) Division.

In response to the audit recommendations, the incoming CIS Division Manager will be tasked with developing and implementing the recommended procedures for periodic LCCC and partner agencies user account access reviews, updates and reconciliations. I anticipate the procedures should be finalized and ready for implementation by the end of 2022Q2.

CC:

Linda Doggett, Lee County Clerk of Circuit Court and Comptroller
Kevin Karnes, Chief Operating Officer
Laurie Rausch, Customer Interface Services Manager
Bharat Vallarapu, Senior Internal Auditor