Glasgow City Council Internal Audit Section
Committee Summary
Corporate Review – IT Service Requests & Incident Management

Item 4(f)

24th January 2024

1 Introduction

1.1 As part of the agreed Internal Audit plan, we have carried out a review of IT Service Request and Incident Management focussing on the arrangements for ensuring that the contractual compliance and governance of IT service management information are effective.

1.2 The service desk is an essential IT Service Management (ITSM) function and is designed to handle incidents and service requests. These are both ways of registering IT issues of different severity in order that these can be addressed. An incident is an event that results in disruption to service availability or quality whereas a service request seeks help with routine tasks such as changing a password or getting a new user set up on corporate systems.

1.3 The GCC service desk is managed by CGI as part of their contractual agreement with the Council. The SIIT team receive information on the performance of the service desk each month regarding their handling of requests. The purpose of the audit was to obtain assurance that there are effective controls in place for validating this IT service management information.

1.4 The scope of the audit included a sample-based review of recently raised IT service requests and incidents to ensure that these were handled in line with documented procedures and guidelines.

1.5 This scope included further investigation ensuring that:

- Processes for reviewing and validating the accuracy of ITSM data, provided by CGI have been documented, communicated and understood.
- SLAs have been clearly defined and documented for each type of request.
- Management reviews are undertaken to verify that calls are handled in line with SLAs.
- Customer feedback received is utilised to help to ensure improved service delivery.
- KPIs have been defined and agreed for the incident/service request management process.
- KPIs are subject to regular review and validation.

2 Audit Opinion

2.1 Based on the audit work carried out a reasonable level of assurance can be placed upon the control environment. The audit has identified some scope for improvement in the existing arrangements and one recommendation management should address.

3 Main Findings

3.1 We are pleased to report that key controls are in place and generally operating effectively for incident and service request management.

3.2 All aspects of incident and service request management are clearly defined and documented in written procedures which are reviewed and updated as and when required. We verified that the most recent change took place within the last 12 months and that this update was communicated to staff involved in the incident / service request management processes.

3.3 The procedures and related documents are stored centrally in the GCC / CGI shared space and these can be accessed by those involved in the incident management / service request processes. Staff are appropriately trained and supervised by management. A sample of staff consulted highlighted that these personnel were aware of their roles and responsibilities in incident and service request management.

3.4 A close working relationship exists between SIIT and CGI to manage any issues highlighted by the service desk. This involves regular meetings between personnel as appropriate to address key tasks and manage problems. Additionally, CGI supply a suite of defined and agreed KPI information on a monthly basis concerning service desk performance including call volumes handled, any issues identified and customer feedback for the Council to utilise.

3.5 Through testing, a sample of 18 items (10 service requests and 8 incidents) was examined on the CGI workflow management system (Remedy). We were able to verify that these had been appropriately categorised as either an incident or service request and assigned an appropriate level of priority.

3.6 We identified one area for improvement during our sample testing. As mentioned above, the SIIT team receive a monthly report consisting of call volumes transacted by the CGI service desk. This report includes detail on customer satisfaction surveys returned, however there is no formal process for reviewing the responses and we were advised this is currently done on an ad-hoc basis. The information contained in the survey responses is valuable in

understanding the quality of service that staff receive and could be better utilised to identify recurring concerns.

3.7 An action plan is provided at section four outlining our observations, risks and recommendations. We have made one recommendation for improvement. The priority of this recommendation is:

Priority	Definition	Total
High	Key controls absent, not being operated as designed or could be improved. Urgent attention required.	0
Medium	Less critically important controls absent, not being operated as designed or could be improved.	1
Low	Lower level controls absent, not being operated as designed or could be improved.	0
Service Improvement	Opportunities for business improvement and/or efficiencies have been identified.	0

3.8 The audit has been undertaken in accordance with the Public Sector Internal Audit Standards.

3.9 We would like to thank officers involved in this audit for their cooperation and assistance.

3.10 It is recommended that the Head of Audit and Inspection submits a further report to Committee on the implementation of the actions contained in the attached Action Plan.

4 Action Plan

No.	Observation and Risk	Recommendation	Priority	Management Response
Key Control: Customer feedback received is used to improve future performance.				
1	Although a range of checks are conducted by the SIIT team in relation to service desk management, and this is supplemented through feedback from sources such as the Business Partner network, the review of returned surveys is currently carried out on an informal basis by the team. This information provides a starting point for further investigation into issues that Council employees face. More formal monitoring of this information may allow for improved service delivery if issues are dealt with sooner. If customer feedback comments are not investigated, there is a risk that the SIIT team may not detect key issues and service quality matters are not adequately addressed.	The SIIT team should ensure that an entry is added to the Future of ICT (FICT) workplan, for the development of a formally documented survey checking regime / procedure. The procedure should define the parameters for checking (e.g. what gets checked, when and by whom etc.) and should include checks to verify that the IT provider is responding effectively to the survey feedback it receives.	**Medium**	**Response:** Accepted. The FICT project will develop the future operating model of the Council's Intelligent Client Function (currently SIIT). The scope includes all aspects of service management, including customer satisfaction and service desk performance, and this will be reflected in the workplan accordingly. **Officer Responsible for Implementation:** Head of Strategic Information, Innovation and Technology. **Timescales for Implementation:** 30 June 2024