LEGISLATIVE AUDITOR GENERAL

A Performance Audit of the Division of Technology Services (DTS)

October 18, 2022
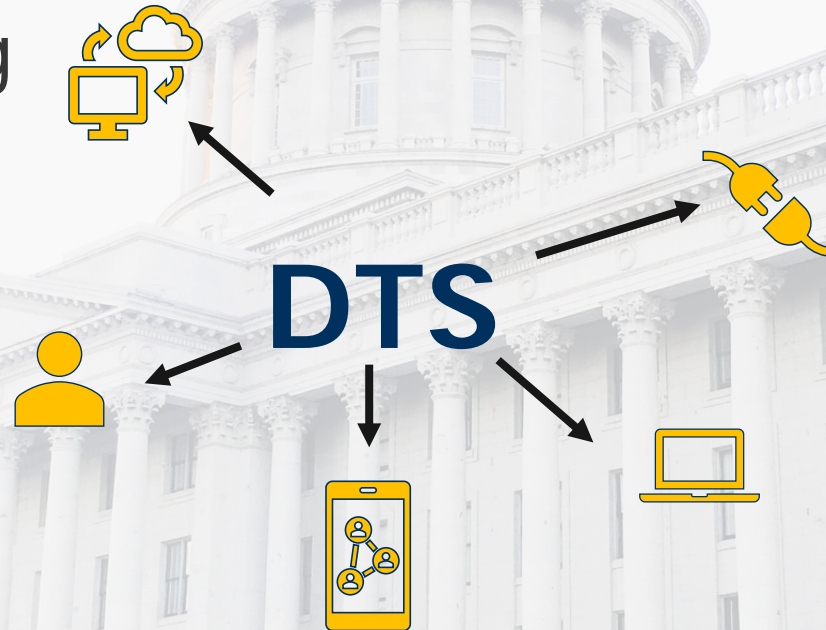
Purpose of DTS

To lead the state agencies in centralizing the state's information technology (IT) architecture.

DTS

To ensure cost-effective, efficient systems and resources are used by all agencies

To help meet agencies' business needs.

Chapter II

DTS Can Improve the Efficiency and Effectiveness of Services' Delivered

Strategic Planning with State Agencies will Enhance Partnerships

The Division Needs to Develop Strategic, Proactive Partnerships with Agencies.

There is not adequate collaboration between agencies and IT Director(s).

IT Directors need to be more proactive with their agency's strategic IT Plan and more forward thinking.

IT Directors need to provide innovative ideas to their agency. Solutions for IT issues are coming from the agency and not from the IT Director(s).

Recommendation:
DTS work with agencies to develop strategic partnerships

Improved Communications with Agencies will Enhance Partnerships

55 percent did not agree that DTS clearly communicates their enterprise initiatives.

58 percent did not agree that DTS' clearly explains the enterprise initiatives' impact on their agency's business.

Recommendation:
DTS should develop policies and procedures for agency communication regarding enterprise initiatives.

Improved Communications with Agencies will Enhance Partnerships

Common themes from the survey:

- DTS decides on a product without agency input, then makes all the agencies use it without consideration to the impact, such as agencies budgets.

- DTS needs to consider the agency's needs or concerns when they require agencies to use its solutions.

- DTS needs to provide services that agencies want. Currently, DTS thinks it knows what is best for the agencies and makes changes without their input.

Click or Scan to Access Dashboard

Improved Communications with Agencies will Enhance Partnerships

UTAH

- IT Director

ARIZONA

- Engagement managers
- Communication team
- Salesforce to track stages of communication
- Monthly meetings with CIOs and IT managers

MINNESOTA

- GovDelivery notifications
- Regular update emails
- Quarterly town hall meetings
- Software center – provides software offerings and updates

GEORGIA

- Monthly agency management council meetings
- Assigned relationship managers
- Weekly change advisory board
- Monthly information security officer meeting
- Quarterly specific topic meetings (i.e. asset management practices)

MISSOURI

- Statewide emails for Security changes/updates
- Business relationship managers
- Application development managers
- Monthly cabinet IT governance council meetings

DTS Needs to Provide Accurate Feedback

Customer Survey

Customer Perspective

Were you contacted in a timely manner?

- ● Yes
- ○ No
- ○ N/A

Was your problem resolved in a timely manner?

- ● Yes
- ○ No

Was your problem resolved on your first call?

- ● Yes
- ○ No

4.9 out of **5** average customer satisfaction survey rating

Recommendation:
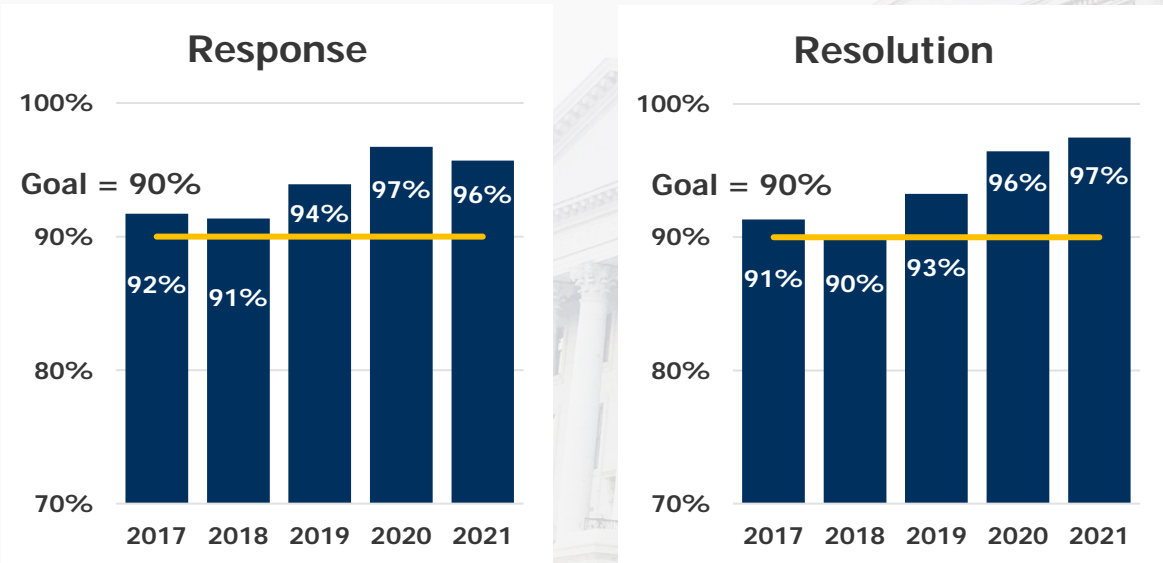DTS should have meaningful surveys that gauge customer service and avoid bias.

Management Needs to Ensure That Agencies' Business Needs Are Addressed

Division Needs to Develop Meaningful Metrics of Gauging Customer Service

From fiscal year 2017 – 2021, **31** of the **40** observed performance metrics met or exceeded its goals.

High-Urgency Incidents from Fiscal Year 2017 to 2021

Response

100%				
Goal = 90%			97%	96%
90%			94%	
92%	91%			
80%				
70%				
2017	2018	2019	2020	2021

Resolution

100%				
Goal = 90%			96%	97%
90%		93%		
91%	90%			
80%				
70%				
2017	2018	2019	2020	2021

Recommendation:
DTS should review all performance metrics and ensure its goals are appropriate and adequately encourage service improvements.
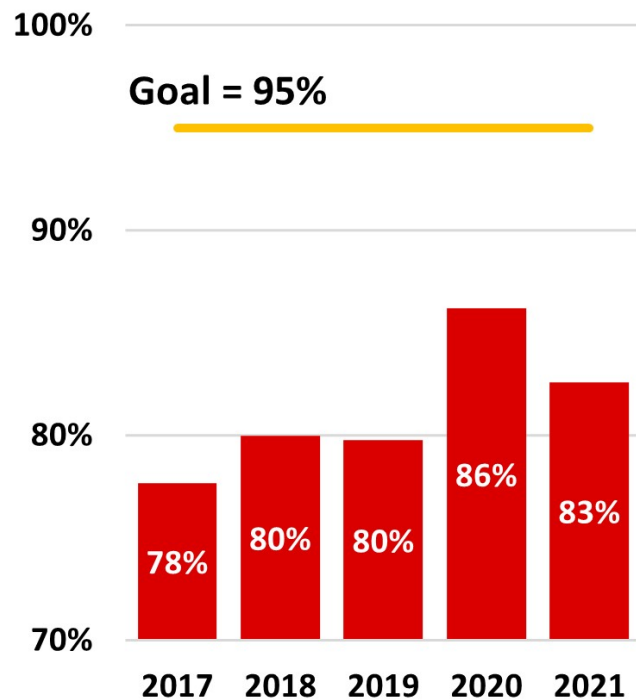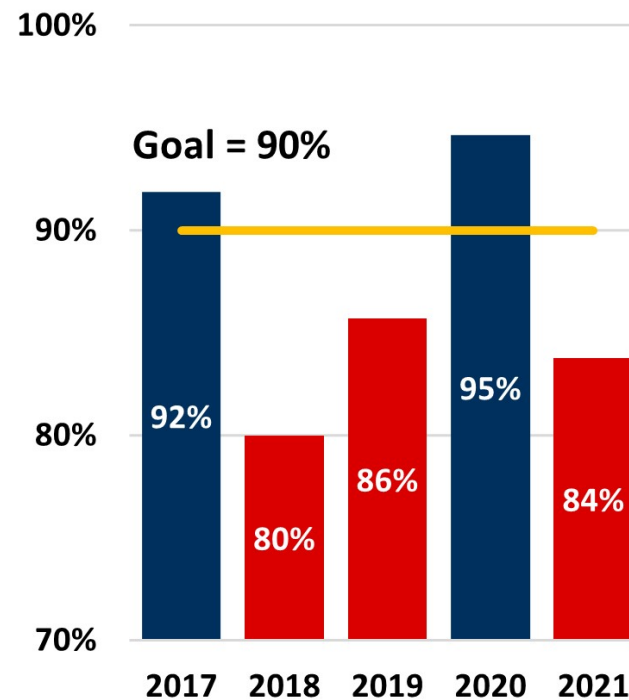
Critical-Urgency Incident Goal is not Being Met

Response

Goal = 95%

Year	Value
2017	78%
2018	80%
2019	80%
2020	86%
2021	83%

Resolution

Goal = 90%

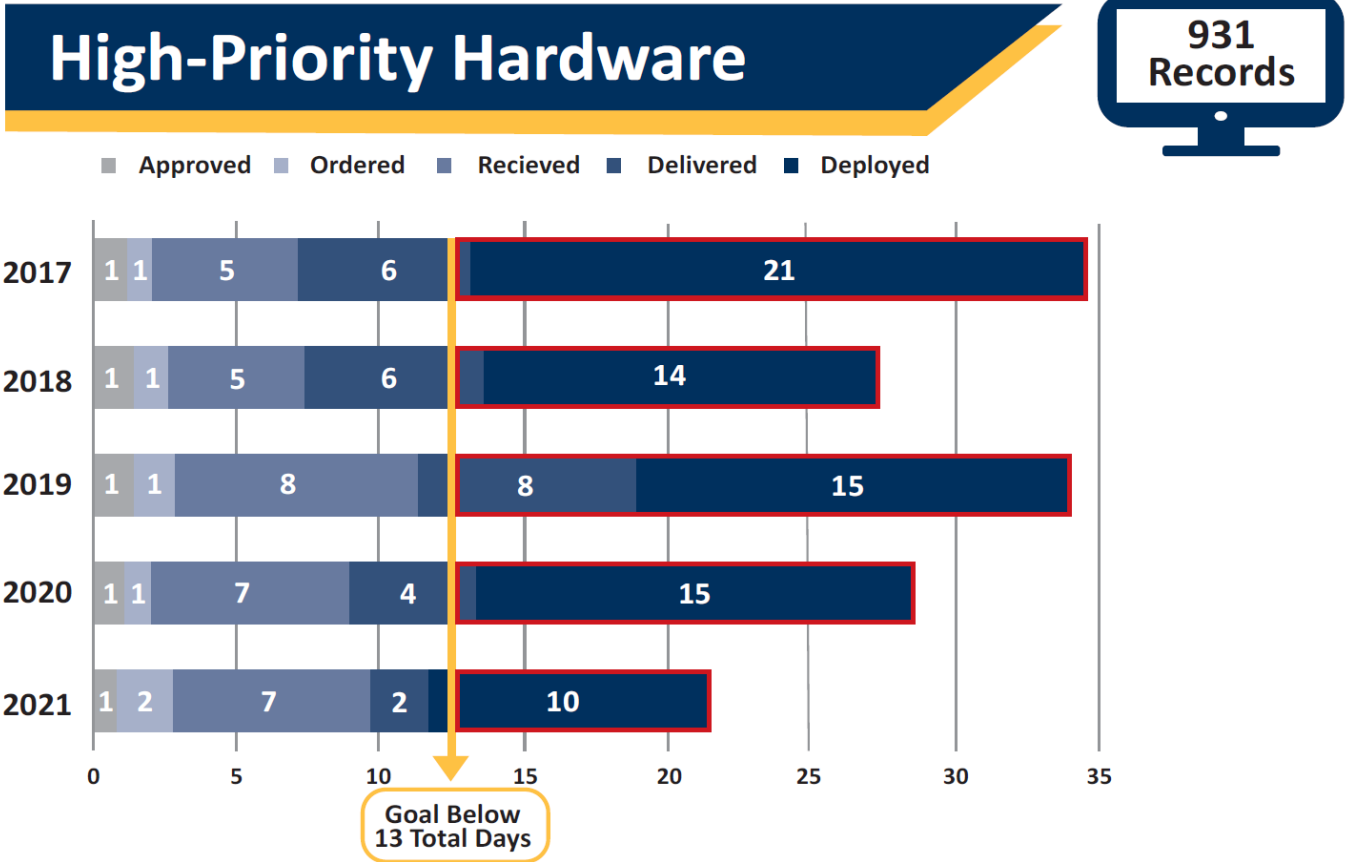| Year	Value
2017	92%
2018	80%
2019	86%
2020	95%
2021	84%

Recommendation: DTS should strive to reach the critical- urgency incidents that heavily impact agencies' business.

Hardware Deployment Goals are Not Being Met

High-Priority Hardware

931 Records

■ Approved ■ Ordered ■ Recieved ■ Delivered ■ Deployed

Year					
2017	1	1	5	6	21
2018	1	1	5	6	14
2019	1	1	8	8	15
2020	1	1	7	4	15
2021	1	2	7	2	10

Goal Below 13 Total Days

Recommendation:
DTS should analyze the procurement and deployment data over multiple years.

Statute Concerning Contracts Should be Clarified

- DTS currently owns all IT contracts, but it does not actively manage them.

- Department of Government Operations is running a pilot program.

Recommendation:
Legislature should consider reviewing the statutory language of *63A-16-104(6)* to make clear the ownership and management of technology contracts.

Chapter IV

DTS Can Improve Its Oversight and Compliance with Requirements

Oversight of IT Projects Needs to Improve to Create Greater Efficiencies

IT Scorecard Example Question

Measurement	How effectively were issues managed on the project?		
Weight	1	Points Given	2
Score	2 - Needs Improvement	Points Possible	5
Notes	Managed as well as possible with changes to scope		

DTS needs to create policies and procedures for implementing and consistently using IT scorecards.

Recommendation:
DTS needs to create policies and procedures for implementing IT scorecards with IT projects.

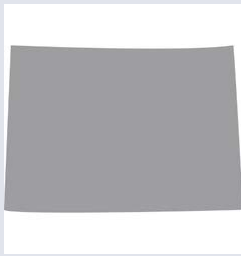# Oversight of IT Projects Needs to Improve to Create Greater Efficiencies

DTS does not have an enterprise management system, the following states do have one:

| Arizona | Colorado | Idaho | Indiana | Minnesota |

Recommendation:
DTS needs to implement an enterprise IT project management system to track all IT projects.

DTS Employees' Performance Not Being Evaluated in Accordance with Rule

- Over the last five years, only 40% of DTS employees received an employee evaluation annually.

- IT Directors have not been given an annual employee evaluation.

Recommendation:
DTS needs to comply with Admin. Rule by performing evaluations on all employees.

Implementation of Security Standards Need to be Improved to Ensure IT Systems are Protected

- DTS Security Assessments Does Not Meet Legislative Intent

- DTS Security Assessments Consists Of Samples and Lack Overall Evaluations

Recommendation:
The Legislature should consider revisiting Utah Code 63A-16-104(4) to allow the IT security assessment to be conducted over a two-year period.

Summary

Questions?

UTAH STATE LEGISLATURE
AUDITOR GENERAL