



Regularity audit of bus information systems

Committee Audit and Standards

Date of meeting 14 February 2020

Date of report 24 January 2020

Report by Assistant Chief Executive

1. Object of report

To advise the committee on the findings of a regularity audit of bus information systems. This engagement is included in the annual Internal Audit plan for 2019/20.

2. Background

The Bus team is responsible for a wide range of activities, including network planning, bus service contracts (including MyBus), school transport services, infrastructure, operations, security and engineering.

Bus Strategy and Delivery services have recently introduced a revised organisational structure. Digital information systems used in Bus are currently subject to review with transitional processes on-going.

The objective of this engagement was to review the administration and application of bus digital information systems.

This engagement tested elements of the internal controls and mitigation against SPT 7: loss of digital infrastructure, as identified in the corporate risk register.

3. Outline of findings

Bus activities utilise internally and externally hosted digital information systems. These digital systems collate data on service provision, schedule services and provide public transport information.

Engagement testing (December 2019) identified a requirement to develop and refresh staff training and review contractual arrangements with external digital service providers.

There are areas for improvement, and these areas have been addressed by four recommendations.

Bus management have agreed to implement these recommendations, which are currently being actioned.

4. Conclusions

The Audit and Assurance team has undertaken a regularity audit of bus information systems. Four recommendations have been agreed from this engagement.

Key controls exist and are applied consistently and effectively in the majority of areas tested.

Reasonable assurance can be taken from this engagement.

5. Committee action

The committee is asked to note the contents of this report and agree that the Audit and Assurance Manager submits a follow-up report on the implementation of the recommendations to a meeting in approximately six months.

6. Consequences

Policy consequences	<i>None.</i>
Legal consequences	<i>None.</i>
Financial consequences	<i>None.</i>
Personnel consequences	<i>None.</i>
Equalities consequences	<i>None.</i>
Risk consequences	<i>As detailed in the report.</i>

Name Valerie Davidson

Name Gordon MacLennan

Title Assistant Chief Executive

Title Chief Executive

For further information, please contact Iain McNicol, Audit and Assurance Manager on 0141 333 3195.

**Reasonable
assurance**

Agreed action plan: regularity audit of bus information systems

No.	Recommendation	Priority	Action Proposed	Lead Officer	Due date
1	<p><u>Training provision</u></p> <p>Bus management should arrange for Bus Strategy and Delivery staff training to cover the following issues:</p> <ul style="list-style-type: none">• overview of bus information systems;• role and responsibility of a systems owner and administrator (including user administration new, starts leaver and transfers);• Performance monitoring responsibilities; and• contract management arrangements including business continuity and related arrangements.	Medium	Liaise with Digital Governance Group to develop staff training.	Head of Bus Strategy and Delivery	April 2020
2	<p><u>Contract management</u></p> <p>Contractual arrangements should be reviewed to assess if better value can be achieved by securing a corporate arrangement for systems and services procured from digital providers, by:</p> <ul style="list-style-type: none">• aligning contracts and reviewing the maintenance and licensing arrangements and exploring if enterprise wide arrangements can be secured;• appointing an overall contract manager to monitor user experience and feedback on performance issues. <p>Note: Digital systems functionality should be assessed for alignment with new Bus Information Systems developments and renewal of contracts.</p>	Medium	Current contractual arrangements will be reviewed.	Head of Bus Strategy and Delivery	April 2020

No.	Recommendation	Priority	Action Proposed	Lead Officer	Due date
3	<p><u>Points of failure</u></p> <p>Bus management/systems owners should liaise with Digital management to ensure arrangements for supporting digital systems are resilient and that there are no single points of failure.</p> <p>Moreover, any concerns in relation to unsupported systems should be risk assessed and where required mitigated.</p>	Medium	Liaise with Digital Governance Group to mitigate single points of failure.	Head of Bus Strategy and Delivery	April 2020
4	<p><u>Systems documentation</u></p> <p>Bus management should review the arrangements for currency and development of administrator/user guides for digital systems.</p>	Medium	Liaise with Digital Governance Group to develop provision of user guidance.	Head of Bus Strategy and Delivery	April 2020