



Regularity audit of Subway information systems

Committee Audit and Standards

Date of meeting 12 June 2020

Date of report 24 March 2020

Report by Assistant Chief Executive

1. Object of report

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

2. Background

Subway services operate and maintain the rolling stock fleet, controls systems and the 15 stations which form the Glasgow Subway network. These services are supported by a range of (digital) information systems.

The objective of this engagement was to review the administration and application of Subway (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

Subway activities utilise internally and externally hosted digital information systems. These digital systems collate data on service provision, facilitate travel rights of passengers and provide public transport information.

Engagement testing (February 2020) 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.

Subway 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 Subway 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 Subway information systems

No.	Recommendation	Priority	Action Proposed	Lead Officer	Due date
1	<p><u>Information (digital) systems</u></p> <p>Subway management should ensure Digital (and where appropriate, facilities) staff are fully sighted in respect of the Subway information systems in use together with any associated arrangements.</p> <p>Subway management should review current arrangements to guard against possible point of failure and any requirement for out of hours support.</p>	Medium	Liaise with Digital Governance Group to co-ordinate arrangements and mitigate any single points of failure.	Director of Subway	June 2020
2	<p><u>Training Provision</u></p> <p>Subway management should arrange for staff training to be provided covering the following issues:</p> <ul style="list-style-type: none">• overview of Subway information systems;• identification and communication of staff appointed as systems administrators;• role and responsibility of a systems owner and administrator (including user administration new, starts leaver and transfers);• Performance monitoring responsibilities; and• contractual management arrangements including business continuity and related arrangements. <p>Note: Training should also be provided on data security standards.</p>	Medium	Liaise with Digital Governance Group to develop staff training.	Director of Subway	June 2020

No.	Recommendation	Priority	Action Proposed	Lead Officer	Due date
3	<u>Systems documentation</u> Subway management should review the arrangements for currency and development of administrator/user guides for information (digital) systems.	Medium	Liaise with Digital Governance Group to develop provision of user guidance.	Director of Subway	June 2020
4	<u>Contract management</u> Contractual arrangements for the management of information (digital) systems should be reviewed, including: <ul style="list-style-type: none"> • where possible, alignment of contract management and related expenditure for maintenance and licensing should be achieved; • appointing an overall contract manager to monitor user experience and feedback on performance issues. 	Medium	Current contractual arrangements will be reviewed and enhanced, where appropriate.	Director of Subway	June 2020