



### Regularity audit of corporate information systems

**Committee**            Audit and Standards

**Date of meeting**    12 June 2020

**Date of report**    23 April 2020

#### Report by Assistant Chief Executive

##### 1. Object of report

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

##### 2. Background

Every part of SPT's business activities relies, in some way, on (digital) information systems and technology. These systems support service delivery and promote digital government initiatives.

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

SPT activities utilise internally and externally hosted (digital) information systems. These digital products/systems collate data on service provision, schedule services, provide public transport information and provide communication media for customers and employees.

Engagement testing (March 2020) identified a requirement to develop the role of Digital management as gatekeeper for new digital products and information systems.

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

Digital 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 corporate information systems. Two 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 corporate information systems

No.	Recommendation	Priority	Action Proposed	Lead Officer	Due date
1	<p><u>Digital products/systems</u></p> <p>Senior management should ensure that Digital services are the fulcrum for all new/changes to digital products/information systems in use together with any associated arrangements.</p> <p>Digital management should critically assess request(s) for new products/information systems, thereby, conducting a gatekeeper role.</p> <p>This arrangement should help guard against possible point(s) of failure and any requirement for out of hours support.</p>	High	<p>Liaise with Digital Governance Group to co-ordinate all new/changes to digital products/information systems.</p> <p>Digital management have developed a process and five stage methodology to assess new/changes to products/information systems.</p>	Digital Manager	April 2020
2	<p><u>Training provision</u></p> <p>Senior management should arrange for training to cover the following issues:</p> <ul style="list-style-type: none"><li>• overview of Digital products/information systems;</li><li>• role and responsibility of a systems owner and administrator (including user administration);</li><li>• system resourcing resilience;</li><li>• performance monitoring responsibilities;</li><li>• arrangements for currency and development of administration/user guides for digital products/information systems;</li><li>• contract management arrangements including business continuity and related arrangements.</li></ul>	Medium	<p>Liaise with Digital Governance Group to develop staff training.</p> <p>Once developed, a programme of training sessions will be arranged for system administrators/owners and key staff.</p>	Digital Manager	June 2020