



Minutes

Meeting: Audit Committee

Date: 19 March 2013

Time: 1.30pm

Venue: Rooms 0.18 and 0.24, Compass House, Dundee

Present: Mike Cairns, Convener
Theresa Allison
David Wiseman
Ian Doig

In Attendance: Frank Clark, Chair
Annette Bruton, Chief Executive
Gordon Weir, Director of Corporate Services
Kenny Dick, Head of Finance and Corporate Governance
Pamela Hill, Secretary
Robert MacKenzie, Scott-Moncrieff
James Thomson, Scott-Moncrieff
Peter Lindsay, Audit Scotland
Neil Reid, Audit Scotland
Dave McConnell, Audit Scotland

Apologies: Morag Brown, Board Member
Cecil Meikeljohn, Board Member
Sally Witcher, Board Member

Item	Action
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1.0 APOLOGIES FOR ABSENCE

Apologies for absence were noted as above.

2.0 DECLARATION OF INTEREST

There were no declarations of interest.

3.0 MINUTE OF PREVIOUS MEETING – 6 DECEMBER 2012

The minute of the previous meeting on 3 October 2012 was accepted as an accurate record.

4.0 MATTERS ARISING

- 4.1 Item 4.1: A3 Income and Debtors** The Director of Corporate Services advised that individual invoices were treated as a debt and the policy would be amended to reflect this.

HoF&CG

5.0 INTERNAL AUDIT PLAN 2012-13 PROGRESS REPORT

Robert Mackenzie introduced this report, which provided information to the Committee on internal audit work performed to 12 March 2013. All audits were within the stated timescales with the exception of Business Information Strategy, which had been deferred to Q4 to align with the SSSC. This would now be submitted to 11 June 2013 Committee along with the follow up on previous internal audit recommendations, which had been held back to provide a full report.

The Committee:

- Noted the report.

6.0 STRATEGIC INTERNAL AUDIT PLAN 2013-16 AND ANNUAL INTERNAL AUDIT PLAN 2013-14

Robert MacKenzie introduced this report, which provided the Committee with the draft Care Inspectorate annual internal audit plan for 2013-14 for consideration and comment. The focus in 2013-14 would be on operational areas and there were 15 contingency days included within the plan to provide flexibility. Once the Risk Register was finalised, the raw and residual risk levels would be incorporated into appendices 1 and 2.

The following aspects were highlighted during discussions:

- The focus on inspection methodology and quality assurance was welcomed.
- The Board had considered the Risk Register and it now required further work by the Executive Team. Once completed the Committee would consider whether any changes were required to the plan.
- The B8 Governance arrangements audit would be postponed to end Q4.

The Committee:

- Noted the report.
- Agreed to defer the B8 Governance arrangements audit to Q4.

7.0 B.4. ASSESSMENT OF DELIVERY AGAINST THE SCOTTISH GOVERNMENT'S BEST VALUE CRITERIA

James Thomson introduced this report, which found that the Care Inspectorate was delivering against each of the Scottish Government's seven themes of best value. Appendix 1 was essentially a management tool to aid the Care Inspectorate to consider the extent to which it wanted to deliver best value in each theme, and which Committee would oversee the work of the lead officer in taking forward the best value work.

The following aspects were highlighted during discussions:

- Where the report referred to "service users" it should also refer to carers.
- Management would need to time to reflect on taking the best value themes forward and would report this back to 26 November 2013 Committee.

DoCS

The Committee:

- Noted the helpful and positive report.

8.0 ESTATES STRATEGY

James Thomson introduced this report, which concluded that the key controls and processes surrounding the Care Inspectorate's estates were in place and operating effectively. It was highly commendable that there was a high level strategy in place as well as individual plans.

The Director of Corporate Services advised that the audit review was helpful. A report, including the audit recommendations, would be submitted to 11 June 2013 Resources Committee.

DoCS

The Committee:

- Noted the report.
- Noted a report would be submitted to the next Resources Committee on how the recommendations would be addressed.

9.0 B9. GOVERNANCE

Robert MacKenzie introduced this report, which concluded that the Care Inspectorate had robust and effective governance arrangements in place. Only minor recommendations had been

made and members were advised that Scott Moncrieff often used the Care Inspectorate as a reference for good practice.

The Chair welcomed the report, which reflected the equally positive report by Audit Scotland. The Board had discussed effectiveness and governance at the 13 March 2013 Board Development Event, identifying areas for improvement under both themes which would be taken forward.

The Committee:

- Noted the report.

10.0 C.6. DEVELOPMENT OF THE METHODOLOGY FOR INSPECTION OF CHILDREN'S SERVICES

James Thomson introduced this report, which concluded that the arrangements in place to develop a scrutiny methodology for the inspection of children's services were sufficient to meet the needs of the Care Inspectorate, its scrutiny partners and service users. It was a very positive report and processes had focussed on outcomes offering challenge to the officers involved with some areas for improvement.

The following aspects were highlighted during discussions:

- Where the report referred to "service users" it should also refer to carers.
- This was an extremely helpful report, given that the development of the adult services inspection methodology was following on from the development of the methodology of children's services inspections. The suggestions at 5, 6 and 7 would be considered when developing the adult services inspection methodology.
- A review of all regulated services inspections would be welcomed as the points for learning were important.

IAs

The Committee:

- Noted the report.
- Agreed that the report could be shared with the Chief Executives of HIS, HMIC and Education Scotland as they were key partners.

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11.0 ANNUAL AUDIT PLAN 2012-13

Dave McConnell introduced this report, which summarised the key challenges and risks facing the Care Inspectorate and set out the audit work to be undertaken in 2012-13 in order to sign off the 2012-13 annual accounts. Table 2 would be revised to reflect the correct Audit Committee date of 17 September 2013.

The Committee:

- Noted the report.

**12.0 AUDIT RECOMMENDATIONS PROGRESS REPORT
REPORT NO: A-08-2013**

The Head of Finance and Corporate Governance introduced this report, which advised the Committee of progress on the implementation of agreed management responses to internal audit recommendations.

During discussion, it was clarified that management were confident that the revised deadline for the Information Governance audit recommendations would be met by 31 March 2013.

The Committee:

- Noted the report.

13.0 SCHEDULE OF COMMITTEE BUSINESS

The Schedule of Committee Business was discussed and updated.

14.0 RISK REGISTER REVIEW

The Director of Corporate Services advised that the Risk Register had been reviewed by Audit Committee and Board members that morning. It would now be further developed by the Executive Team and would be submitted to 11 June 2013 Audit Committee.

15.0 AOCB

There was no other competent business.

16.0 DATE OF NEXT MEETING

The date of the next meeting was confirmed as 11 June 2013 at 1.30pm in rooms 0.18 and 0.24, Compass House, Dundee.

Signed:

Mike Cairns
Convener