



## 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
<p><b>1.0 APOLOGIES FOR ABSENCE</b></p> <p>Apologies for absence were noted as above.</p>	
<p><b>2.0 DECLARATION OF INTEREST</b></p> <p>There were no declarations of interest.</p>	

Version: 3.0	Status: <i>Approved 11 June 2013</i>	Date: 21 June 2013
--------------	--------------------------------------	--------------------

**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.

Version: 3.0	Status: <i>Approved 11 June 2013</i>	Date: 21 June 2013
--------------	--------------------------------------	--------------------

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

Version: 3.0	Status: <i>Approved 11 June 2013</i>	Date: 21 June 2013
--------------	--------------------------------------	--------------------

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.

**IA**s

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.

**Sec**

## **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.

Version: 3.0	Status: <i>Approved 11 June 2013</i>	Date: 21 June 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

Version: 3.0	Status: <i>Approved 11 June 2013</i>	Date: 21 June 2013
--------------	--------------------------------------	--------------------