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ADDITIONAL CIRCULATION



To: Councillor Alex Nicoll, Convener; Councillor Yuill, Vice Convener; and Councillors Allard, Cross, Duncan, Graham, MacKenzie, Mennie and Reynolds.

Town House,
ABERDEEN 1 December 2021

AUDIT, RISK AND SCRUTINY COMMITTEE

The undernoted items are circulated in connection with the meeting of the **AUDIT, RISK AND SCRUTINY COMMITTEE** to be held remotely on **THURSDAY, 2 DECEMBER 2021 at 2.00 pm.**

FRASER BELL
CHIEF OFFICER - GOVERNANCE

BUSINESS

COMMITTEE PLANNER

6.1 Committee Business Planner (Pages 3 - 8)

Apologies, the planner was omitted from the original agenda circulation.

Should you require any further information about this agenda, please contact Karen Finch, tel 01224 522723 or email kfinch@aberdeencity.gov.uk

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1	AUDIT, RISK & SCRUTINY COMMITTEE BUSINESS PLANNER The Business Planner details the reports which have been instructed by the Committee as well as reports which the Functions expect to be submitting for the calendar year.								
2	Report Title	Minute Reference/Committee Decision or Purpose of Report	Update	Report Author	Chief Officer	Directorate	Terms of Reference	Delayed or Recommended for removal or transfer, enter either D, R, or T	Explanation if delayed, removed or transferred
3	2 December 2021								
4	Internal Audit Progress Report	To provide an update on progress for the 2020/21 and 2021/22 audits	a report is on the agenda	Colin Harvey	Governance	Commissioning	2.2		
5	Internal Audit Follow Up on Recommendations	To provide an update on where Services are with implementing agreed recommendations	a report is on the agenda	Colin Harvey	Governance	Commissioning	2.3		
6	Use of Investigatory Powers Quarterly Report (previously reported as RIPSA)	to present the quarterly use of investigatory powers report	a report is on the agenda	Jess Anderson	Governance	Commissioning	5.2		
7	SPSO Decisions, Inspector of Crematoria Complaint Decisions	In order to provide assurance to Committee that complaints and Scottish Welfare Fund applications are being handled appropriately, this report provides information on all Scottish Public Services Ombudsman (SPSO) and Inspector of Crematoria decisions made in relation to Aberdeen City Council since the last reporting cycle.		Lucy McKenzie	Customer Experience	Customer	6.4	R	There have been no SPSO decisions published since the last report to Committee.
8	Annual Committee Effectiveness Report 2020/21	To present the Annual Effectiveness report for the Committee.	a report is on the agenda	Karen Finch	Governance	Commissioning	GD8.5		
9	Annual Accounts Key Dates	to advise on the key reporting dates for the annual accounts for 2021/22.	a report is on the agenda	Lesley Fullerton	Finance	Resources	4.1		
10	Revenue Budget Monitoring	To ensure that robust procedures are in place for monitoring the revenue budget.		Colin Harvey	Governance	Commissioning	2.2	D	Delayed due to Auditor availability. Reported expected in February 2022
11	Care Establishments Financial Administration	To obtain Assurance over financial administration including payroll, timesheets and purchasing.		Colin Harvey	Governance	Commissioning	2.2	D	Delayed due to Auditor availability. Report expected in June 2022
12	IT Infrastructure Systems	To obtain assurance over the procurement and adequacy of the Council's IT Infrastructure Systems		Colin Harvey	Governance	Commissioning	2.2	D	Service availability to progress the audit has been limited. Report expected in June 2022
13	Licensing Income	To provide assurance over controlling income from the processes in place for licensing applications	a report is on the agenda	Colin Harvey	Governance	Commissioning	2.2		
14	Financial System Interfaces and Reconciliations	To obtain assurance that appropriate checks and balances are in place to confirm the accuracy of information transferred into the financial system.	a report is on the agenda	Colin Harvey	Governance	Commissioning	2.2		

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15	Consilium System - HRA Building Maintenance System	to provide assurance over the system controls - to include access controls, system security and backups. Interfaces, business continuity and contingency plans.		Colin Harvey	Governance	Commissioning	2.2	D	Service availability to progress the audit has been limited. Report expected in February 2022
16	Mental Health and Substance Abuse	to provide assurance that appropriate processes are in place to manage and record support arrangements and that expenditure is adequately controlled, including approval/management of discretionary support	a report is on the agenda	Colin Harvey	Governance	Commissioning	2.2		
17	Commissioning	Review of plans and progress with implementation of the Council's Strategic Commissioning Approach set out in the Council Delivery Plan		Colin Harvey	Governance	Commissioning	2.2	D	Delayed due to Service availability and Auditor absence. Report expected in February 2022.
18	Marchburn Park	Operational Delivery Committee 19 April 2018 that in regards to Marchburn Park, "to instruct the Chief Officer (Early Intervention and Community Empowerment) to bring a report to Audit following conclusion of all matters detailed within this report." Audit, Risk and Scrutiny 30 April 2019 There has been progress at Marchburn Park however not all of the issues have been completed therefore a report will be submitted at the conclusion of the issues. In the Interim, where there have been significant developments in the project, Service Updates will be submitted.	a report is on the agenda	Neil Carnegie	Early Intervention and Community Empowerment	Customer	6.2		
19	22 February 2022								
20	Internal Audit Progress Report	To provide an update on progress for the 2020/21 and 2021/22 audits		Colin Harvey	Governance	Commissioning	2.2		
21	Internal Audit Follow Up on Recommendations	To provide an update on where Services are with implementing agreed recommendations		Colin Harvey	Governance	Commissioning	2.3		
22	Internal Audit Plan 2022/23	to present the Internal Audit Plan for 2022/23		Colin Harvey	Governance	Commissioning	2.1		
23	External Audit Strategy	to present the external audit strategy		Michael Wilkie	Governance	Commissioning	3.1		

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24	Corporate Risk Register and Assurance Maps	to present the Corporate Risk Register and the Assurance Maps		Ronnie McKean	Governance	Commissioning	1.1		
25	RIPSA Annual Report	to present the annual Ripsa report		Jess Anderson	Governance	Commissioning	5.2		
26	SPSO Decisions, Inspector of Crematoria Complaint Decisions	In order to provide assurance to Committee that complaints and Scottish Welfare Fund applications are being handled appropriately, this report provides information on all Scottish Public Services Ombudsman (SPSO) and Inspector of Crematoria decisions made in relation to Aberdeen City Council since the last reporting cycle.		Lucy McKenzie	Customer Experience	Customer	6.4		
27	Recovery Arrangements for Sundry Debt	To ensure that procedures for recovering debts are adequate, efficient and consistently applied		Colin Harvey	Governance	Commissioning	2.2		Delayed due to Auditor availability. Report expected in June 2022
28	Transport Arrangements for Education and Social Care	To obtain assurance over procurement, provision and management of transport for educational and social care needs.		Colin Harvey	Governance	Commissioning	2.2		Delayed due to Auditor availability. Procurement risks are being considered under consulting work with C&PSS (see Appendix C) Report anticipated 2022
29	Grant Funding to External Organisation	To obtain assurance that grant payments to external organisations during financial year 2021/22 comply with the Council's policy and procedure, including the Following the Public Pound Code of Practice		Colin Harvey	Governance	Commissioning	2.2		Delayed due to Auditor availability. Report anticipated June 2022.
30	Council Owned Land and Property	To review systems and procedures in place for ensuring that the Council has surety over the Land and Buildings it owns, including title.		Colin Harvey	Governance	Commissioning	2.2		Report anticipated 2022
31	Health and Social Care Transformation	To provide assurance that the IJB is continuing to make progress with delivery of its transformation agenda.		Colin Harvey	Governance	Commissioning	2.2		

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32	Pensions System	To consider whether appropriate control is being exercised over the system used to administer the Fund, including access, contingency planning and disaster recovery, data input and that interfaces to and from other systems are accurate and properly controlled.		Colin Harvey	Governance	Commissioning	2.2		
33	School/Pupil Security	to provide assurance that the Council had adequate arrangements regarding school security.		Colin Harvey	Governance	Commissioning	2.2		
34	Children with Disabilities - Contracts and Direct Payments	To obtain assurance that care is being arranged and paid for in accordance with procedure to secure best value outcomes.		Colin Harvey	Governance	Commissioning	2.2		
35	Capital Project Management	To provide assurance that the management and reporting of on-going capital projects is adequate and that appropriate post completion reviews are completed so that lessons learned can be recorded and acted upon.		Colin Harvey	Governance	Commissioning	2.2		
36	The Recruitment Process	To obtain assurance over adherence to the recruitment process, including pre-employment checks and document retention.		Colin Harvey	Governance	Commissioning	2.2	D	This audit will now take place in 2022. This aligns with the availability of resources within the audit team and within the services. It will allow for effective business capacity planning, allowing the People & Organisation and Customer Experience teams, who have already supported multiple audits over the year, to successfully undertake their ongoing improvement activity and support the current increased demand from the organisation.
37	30 June 2022								
38	Internal Audit Progress Report	To provide an update on progress for the 2020/21 and 2021/22 audits		Colin Harvey	Governance	Commissioning	2.2		
39	Internal Audit Follow Up on Recommendations	To provide an update on where Services are with implementing agreed recommendations		Colin Harvey	Governance	Commissioning	2.3		
40	RIPSA Quarterly Report	to present the quarterly Ripsa report		Jess Anderson	Governance	Commissioning	5.2		

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42	Payroll and HR System Amendments	To obtain assurance over the accuracy and completeness of the payroll as a result of changes to the workforce		Colin Harvey	Governance	Commissioning	2.2		
43	Internal Movement of Staff, relief staff and agency workers	To obtain assurance over adherence to procedures for internal movement of staff, use of relief pool staff and agency worker engagement procedures.		Colin Harvey	Governance	Commissioning	2.2		
44	Inspections, Aids and Adoptions	To ensure that adequate control is being exercised over income and expenditure		Colin Harvey	Governance	Commissioning	2.2		Delayed due to Auditor availability. Report anticipated 2022
45	Financial Administration - Waste	To obtain assurance over financial administration including payroll, timesheets and purchasing.		Colin Harvey	Governance	Commissioning	2.2		Delayed due to Auditor availability. Report anticipated 2022
46	Planning and Building Standards Fee Income	To provide assurance that there are adequate systems in place to control fee income and that they are being complied with.		Colin Harvey	Governance	Commissioning	2.2		
47	Care Management Recording and Transactions	To obtain assurance over coordination, recording and payment for care services.		Colin Harvey	Governance	Commissioning	2.2		
48	Attendance Management	To obtain assurance over compliance with corporate policy and determine whether the Council's absence improvement plan is having a positive impact on attendance.		Colin Harvey	Governance	Commissioning	2.2		
49	27 September 2022								
50	Internal Audit Progress Report	To provide an update on progress for the 2020/21 and 2021/22 audits		Colin Harvey	Governance	Commissioning	2.2		
51	Internal Audit Follow Up on Recommendations	To provide an update on where Services are with implementing agreed recommendations		Colin Harvey	Governance	Commissioning	2.3		
52	RIPSA Quarterly Report	to present the quarterly Ripsa report		Jess Anderson	Governance	Commissioning	5.2		

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53	Information Governance Annual Report	to present the annual report for the Council's Information Governance		Caroline Anderson	Business Intelligence and Performance Management	Commissioning	1.3		
54	SPSO Decisions, Inspector of Crematoria Complaint Decisions	In order to provide assurance to Committee that complaints and Scottish Welfare Fund applications are being handled appropriately, this report provides information on all Scottish Public Services Ombudsman (SPSO) and Inspector of Crematoria decisions made in relation to Aberdeen City Council since the last reporting cycle.		Lucy McKenzie	Customer Experience	Customer	6.4		
55	13 December 2022								
56	Internal Audit Progress Report	To provide an update on progress for the 2020/21 and 2021/22 audits		Colin Harvey	Governance	Commissioning	2.2		
57	Internal Audit Follow Up on Recommendations	To provide an update on where Services are with implementing agreed recommendations		Colin Harvey	Governance	Commissioning	2.3		
58	RIPSA Quarterly Report	to present the quarterly Ripsa report		Jess Anderson	Governance	Commissioning	5.2		
59	SPSO Decisions, Inspector of Crematoria Complaint Decisions	In order to provide assurance to Committee that complaints and Scottish Welfare Fund applications are being handled appropriately, this report provides information on all Scottish Public Services Ombudsman (SPSO) and Inspector of Crematoria decisions made in relation to Aberdeen City Council since the last reporting cycle.		Lucy McKenzie	Customer Experience	Customer	6.4		
60	TBC								