

LEGAL AND DEMOCRATIC SERVICES

COMMITTEE DECISION SHEET

AUDIT, RISK AND SCRUTINY COMMITTEE - THURSDAY, 20 NOVEMBER 2014

Please let the Committee Officer know as soon as possible if you do not agree with any action proposed in this decision sheet. These are decisions of the Committee and there is an expectation that action will be taken. If for any reason it is apparent that you will not be able to act on these instructions in full or in part or that there will be a delay, please let the Committee Officer know as it may be necessary to advise the Committee or seek further instructions from the Committee.

	Item Title	Committee Decision	Services Required to take action	Officer to Action
1.1	<u>Minute of Meeting of Audit and Risk Committee 23 September 14</u>	<u>The Committee resolved:</u> to approve the minute as a correct record.		
1.2	<u>Special Audit and Risk Committee Minute of Meeting of 25 September 2014</u>	<u>The Committee resolved:</u> to approve the minute as a correct record.		
1.3	<u>Workplan</u>	<u>The Committee resolved:</u> to note the workplan.		
1.4	<u>Progress of Committee Decisions - Report by the Acting Director of Corporate Governance</u>	<u>The Committee resolved:</u> (i) in relation to a question from Councillor Graham relating to whether the recommendations contained within the action plan had been agreed, to note that the Head of Legal and Democratic Services would liaise with the Service and provide a response to the Committee; and (ii) to otherwise note the content of the report.	Legal & Democratic	J MacEachran

	Item Title	Committee Decision	Services Required to take action	Officer to Action
2.2	<u>Internal Audit Progress and Performance - Report by Internal Audit</u>	<u>The Committee resolved:</u> to note the content of the report.	Internal Audit	
2.3	<u>External Audit Progress and Performance - Report by External Audit</u>	<u>The Committee resolved:</u> to note the content of the report.	External Audit	
2.4	<u>Transfer of Internal Audit Services - Report by the Acting Director of Corporate Governance</u>	<u>The Committee resolved:</u> (i) in relation to a question from Councillor Noble regarding communication between the Convener of this Committee and the Chief Internal Auditor, to note that the Chief Internal Auditor would be present at pre-agenda meetings and there would be open dialogue between both parties; (ii) to note the ongoing work to manage the transition from an outsourced internal audit service to a shared service between Aberdeen City and Aberdeenshire Councils; and (iii) to note that a further report would be submitted to this Committee on 26 February 2015.	Customer Service & Performance	M Murchie
2.5	<u>Data Protection Reporting - July to September - Report by the Acting Director of Corporate Governance</u>	<u>The Committee resolved:</u> (i) in relation to a question from Councillor Graham regarding concerns over Data Protection training for staff, to note that the issue would be discussed with the Corporate Management Team so that appropriate action can be taken; (ii) in relation to a question from	All Services	All Directors

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		<p>Councillor Nathan Morrison, regarding the details of the theft of information category, to note that the information could not be disclosed in the public domain and that details would be provided under the Matters Under Investigation item on the agenda (article _ of this minute);</p> <p>(iii) in relation to a question from the Convener regarding the low number of fees charged for Subject Access Requests, to note that the Head of Legal and Democratic Services would liaise with the staff involved and provide a response to the Committee; and</p> <p>(iv) to otherwise note the content of the report.</p>	Legal & Democratic	J MacEachran
3.1	<u>Social Care and Wellbeing Risk Register - Report by the Director of Social Care and Wellbeing</u>	<p>The Committee resolved:</p> <p>(i) to note that all risk registers would be discussed at the Corporate Management Team to ensure that they continued to be monitored and assigned to the new Services when they were fully established;</p> <p>(ii) to approve the Service Risk Register for Social Care and Wellbeing;</p> <p>(iii) to note the risks contained within the risk register and the mitigating actions that the Service were taking to address the risks; and</p> <p>(iv) to note that the Service Risk Register formed an integral part of the Service Business Plan and Strategy Map for the Service.</p>	<p>All Services</p> <p>Social Care & Wellbeing</p>	<p>All Directors</p> <p>L Taylor</p>

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4.1	<u>Compliance with Public Records - Report by Internal Audit</u>	<u>The Committee resolved:</u> to note the content of the report and endorse the recommendations for improvement.	Customer Service & Performance	C Anderson
4.2	<u>Compliance with Laws and Regulations - Report by Internal Audit</u>	<u>The Committee resolved:</u> to note the content of the report and endorse the recommendations for improvement.	Office of Chief Executive Corporate Governance Finance	A Scott & CMT E Sutherland J MacEachran J Capstick J Belford
4.3	<u>Fraud Governance - Housing Tenancy and Scottish Welfare Fund - Report by Internal Audit</u>	<u>The Committee resolved:</u> (i) in relation to a question from Councillor Jackie Dunbar regarding which if any of the recommendations relating to the Scottish Welfare Fund would be implemented, to request officers to submit a report to this Committee in February 2015 advising which recommendations had been accepted and the timescales for completion; and (ii) to otherwise note the content of the report and endorse the recommendations for improvement.	Housing & Community Safety/ Finance	E Thomas M Smith W Connell
4.4	<u>Transport Contracts within Education and Social Work - Report by Internal Audit</u>	<u>The Committee resolved:</u> (i) to note that the target date for documentation of spot checks – control design was 31 December 2014; and (ii) to otherwise note the content of the report and endorse the recommendations for improvement.	Planning & Sustainable Development	C Cormack

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4.5	<u>Procurement Controls Outwith Pecos - Report by Internal Audit</u>	<u>The Committee resolved:</u> (i) to note the update provided in relation to meetings with management and management comments and that the report would be re-issued to the Service to reflect the outcome of the discussions; and (ii) to otherwise note the content of the report and endorse the recommendations for improvement.	Internal Audit Communities, Culture & Sport/ Finance/ Regeneration & Investment/ Procurement	S King F Clark B Dow K Stewart C Innes
4.6	<u>Devolved School Management Phase 1 - Report by Internal Audit</u>	<u>The Committee resolved:</u> (i) to note that the Devolved School Management Scheme would be updated and submitted to the Education, Culture and Sport Committee at the earliest opportunity in the new year; and (ii) to otherwise note the content of the report.	Education, Culture & Sport	E Couperwhite
5.1	<u>Report on the 2013/14 Audit - Report by External Auditor</u>	<u>The Committee resolved:</u> (i) in relation to a question from Councillor Townson regarding Holiday Pay Arrears, to note that a report would be submitted to the Finance, Policy and Resources Committee on 4 December 2014 which would outline the position and costs; (ii) to note that the 2013/14 financial statements for the Council received an unqualified audit opinion; and (iii) to otherwise note the content of the report.	Finance	S Whyte
6.1	<u>Implementation of Internal Audit Recommendations - Report by Internal</u>	<u>The Committee resolved:</u> to note the content of the report and the	Internal Audit	S King

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	<u>Audit</u>	revised target dates provided by officers.	All Services	All Directors
6.2	<u>UK Information Commissioner (ICO) Data Protection Audit - Progress with Agreed Actions - Report by the Acting Director of Corporate Governance</u>	<u>The Committee resolved:</u> (i) to note the progress with implementing the actions agreed following the Data Protection Audit; and (ii) to instruct officers to report progress with the implementation of the actions to the Committee as appropriate until complete.	Customer Service & Performance	M Murchie
6.3	<u>Whistleblowing Policy - Scottish Government Petition - Report by the Acting Director of Corporate Governance</u>	<u>The Committee resolved:</u> (i) to note the decision of the Public Petitions Committee not to proceed with the whistleblowing petition as it was largely about policies which were matters for councillors, and that the Audit Scotland and Accounts Commission, who were responsible for auditing such policies, had not found any weakness which would require to be raised in an annual report; and (ii) to note the content of the report.	Legal & Democratic	J MacEachran/ R MacBeath
6.4	<u>Corporate Health and Safety Committee Reporting Arrangements - Report by the Acting Director of Corporate Governance</u>	<u>The Committee resolved:</u> (i) to amend the Constitution at section 3.1 to read 'Five Councillors, with at least one member from the Audit, Risk and Scrutiny Committee' and at section 3.2 to state that 'Lay Trade Union Officials can attend and participate, without voting powers, at any meeting; (ii) in relation to a question from	Legal & Democratic	K Rennie

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		<p>Councillor Young regarding whether Regional Trade Union representatives could attend the Corporate Health and Safety Committee, to refer the request to the Local Government Employees Joint Consultative Committee for their consideration with a report then submitted to this Committee advising of the decision; and</p> <p>(iii) to otherwise note the content of the report.</p>		
7.1	<u>Matters Under Investigation</u>	<p><u>The Committee resolved:</u> in relation to item 2.5 on the agenda (article _ of this minute), to note the information provided by the Monitoring Officer in relation to a Data Protection breach.</p>	Legal & Democratic	J MacEachran

If you require any further information about this decision sheet, please contact Karen Rennie, tel 522723 or email karrennie@aberdeencity.gov.uk