

SCOTTISH CRIMINAL CASES REVIEW COMMISSION

MINUTES OF THE MEETING OF THE AUDIT COMMITTEE ON THURSDAY 6 DECEMBER 2018 @ 10:00, PORTLAND HOUSE

FOR DISCLOSURE VIA THE PUBLICATION SCHEME

In line with the Commission's Disclosure policy, various paragraphs may have been edited or deleted from these minutes as the information contained therein relates to specific case information and/or personnel-related matters. Where the summary of discussion has been edited or the names have been deleted, this is indicated at the start of the relevant paragraph or section.

Members of the Audit Committee:

Mrs Elaine Noad (Chair)
Professor Jim Fraser
Mr Colin Dunipace (by conference call)

In attendance:

Mrs Mabel Hall, Internal Audit Manager, Scottish Government
Mr Chris Reddick, Director of Corporate Services, SCCRC (minutes)

1.0 Apologies

Mr Sinclair had submitted his apologies.

2.0 Conflicts of Interest/Declarations of Interest/Gifts & Hospitality

Members were asked to declare any known conflicts of interests or gifts and hospitality.

There were no declarations of conflicts, gifts or hospitality.

3.0 Minutes of the Audit Committee meeting held on 4 June 2018

The Audit Committee noted the minutes of the meeting held on 4 June 2018, having previously approved them by email. The Audit Committee also noted the version for the publication scheme.

4.0 Matters Arising

There were no matters arising.

5.0 Internal Audit

2018-19 Internal Audit Progress Report

5.1 Mrs Hall reported that Members had previously discussed audit coverage for the year ahead and that she had met with Mr Reddick for initial discussions.

She confirmed that the audit planning would be completed in January 2019 upon which the annual internal audit review would be undertaken. She also confirmed that a follow-up review of the 2017-18 audit would also be undertaken.

- 5.2 Mrs Hall also confirmed that a copy of the SG Internal Audit Directorate Bulletin for October 2018 had been circulated for information. Members agreed that this was useful and in particular they enquired about the audit of culture and leadership and in particular the approach adopted for the audit of this area. Mrs Hall agreed to supply further details of the approach adopted and Members also agreed that this was a potential future area for coverage at the Commission if it could be suitably customised.
- 5.3 Mrs Hall provided Members with an update on some of the strategic areas within Scottish Government that would be subject to further review, including finance and human resources. She noted that the Commission utilises SEAS, SG Payroll and some other central systems, confirming that she would provide updates where relevant to the Commission.
- 5.4 Mrs Hall advised Members that the format of internal audit reports would be changing on the basis of feedback provided on their current format and content. She confirmed that future reporting would provide more contextual detail. Mr Reddick noted that internal audit used to adopt this approach and he certainly found it useful.
- 5.5 Mrs Hall finally provided Members with an update on Internal Audit Directorate staffing, confirming that they were currently recruiting for additional audit staff.

6.0 Risk Management (edited)

- 6.1–3 Mr Reddick provided Members with an overview of the latest revision to the Commission's Corporate Risk Register as at the end of quarter 2. After full discussion, the Audit Committee agreed that the likelihood for two risks should be increased from low to medium as well as further consideration being given to mitigating controls. They also agreed that the updated Corporate Risk Register should be presented to the next meeting of the Board for information.

7.0 Business Continuity Plan

- 7.1 Mr Reddick presented to the Audit Committee a redacted version of the updated Business Continuity Plan, confirming that various updates had been implemented in respect of personnel and contractor changes. He noted that the operational aspects of the plan remained unchanged and that a further test of the plan would be undertaken before the end of 2018-19.
- 7.2 Mrs Noad confirmed that she had submitted a number of annotations and points of clarification. In particular, she noted that appendix b of the plan contained details of all test outcomes from the point at which the plan was

implemented. She suggested that older test results should be archived and this was agreed by all Members.

- 7.3 Mr Reddick agreed to make the agreed changes and ensure that any subsequent personnel updates are applied before re-issuing the plan to relevant Members of the Business Continuity Planning Team.

8.0 Audit Committee Terms of Reference

8.1 Mr Reddick presented the current version of the Audit Committee Terms of Reference, confirming that this was now due for annual review and suggesting that this was a better point in the year to undertake the review in advance of year-end.

8.2 Members of the Committee discussed the Terms of Reference document in detail and approved an updated version which took into account a number of minor updates.

9.0 AOCB

There was no other competent business.

10.0 Date of Next Meeting

The Audit Committee approved the dates for the next two meetings as follows:

- Wednesday 13 February 2019 @ 11:00
- Thursday 13 June 2019 @ 10:30

Chris Reddick
12 December 2018