



Strathclyde Partnership for Transport

Minute of the Audit & Standards Committee

29 November 2019

held in 131 St Vincent Street, Glasgow

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**Minute of the meeting of Strathclyde Partnership for Transport's
Audit and Standards Committee held in 131 St Vincent Street, Glasgow on 29 November 2019**

Present Councillors Marie McGurk (Chair), Richard Bell, Colin Cameron, Ian Cochrane, Iain McLaren and Collette Stevenson; and appointed members Ann Faulds and Jim McNally.

Attending Valerie Davidson, Assistant Chief Executive/Partnership Secretary; Neil Wylie, Director of Finance; Iain McNicol, Audit & Assurance Manager; and Karen Jones of Scott Moncrieff (External Auditor).

Chairs Remarks

The Chair welcomed Cllr Bell to the meeting.

1. Apologies

Apologies were received from Councillors Devlin, McNair and Shearer and appointed member Brian Davidson.

2. Declaration of interest in terms of the Ethical Standards in Public Life etc (Scotland) Act 2000

The Committee noted there were no declarations of interest.

3. Minute of previous meeting

The minute of the meeting of 30 August 2019 was submitted and approved as a correct record.

4. International Fraud Awareness Week 17 to 23 November 2019 (oral report)

Mr McNicol advised the Committee that during the course of International Fraud Awareness Week staff were directed to intranet articles highlighting the importance of fraud awareness both at home and at work.

5. Corporate Risk Register update

There was submitted a report (issued) of 12 November 2019 by the Assistant Chief Executive appending the current Corporate Risk Register, and advising members that since the last Audit and Standards Committee meeting, the following amendments/updates have been made:

SPT 20: Continual network reviews/service withdrawals by commercial operators in bus market: close attention continues to be given to this risk from reports presented to the Operations committee;

SPT 26: EU (withdrawal) Act 2018 – Brexit implications: close attention continues to be given to this risk from Scottish and UK government information provision. The risk score has increased;

SPT 28: Impact of climate change; a new separate corporate risk has been added.

After discussion and having heard further from Mr McNicol, the Committee noted the contents of the report and the Corporate Risk Register, as at November 2019.

6. Digital controls review of Infor system administration

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There was submitted a report (issued) dated 12 November 2019 by the Assistant Chief Executive advising the Committee on the findings of a digital controls review of the Infor system administration. This engagement is included in the annual Internal Audit Plan for 2019/20.

Mr McNicol advised that interim follow-up work has been undertaken and two recommendations have already been implemented as at the start of November 2019.

After consideration and having heard Mr McNicol in answer to members' questions, the Committee noted the contents of the report and agreed that Mr McNicol submits a further follow-up report on the implementation of the recommendations to the next meeting.

7. Regularity audit of training outcomes and reporting

There was submitted a report (issued) dated 19 November 2019 by the Assistant Chief Executive advising the Committee on the findings of a regularity audit of training outcomes and reporting. This engagement is included in the annual Internal Audit Plan for 2019/20.

After consideration and having heard Mr McNicol and Mrs Davidson in answer to members' questions, the Committee noted the contents of the report and agreed that Mr McNicol submits a follow-up report on the implementation of the recommendations to a meeting in approximately six months.

8. Core financial system review of debtors administration

There was submitted a report (issued) dated 12 November 2019 by the Assistant Chief Executive advising the Committee on the findings of a core financial system review of debtors administration. This engagement is included in the annual Internal Audit Plan for 2019/20.

After consideration, the Committee noted the contents of the report and agreed that Mr McNicol submits a follow-up report on the implementation of the recommendations to a meeting in approximately six months.

9. Regularity audit of the Public Bodies Climate Change Duties report 2018/19

There was submitted and noted a report (issued) dated 12 November 2019 by the Assistant Chief Executive advising the Committee on the findings of a regularity audit of the Public Bodies Climate Change Duties report 2018/19. This engagement is included in the annual Internal Audit Plan for 2019/20.

10. Value for money study of printing costs

There was submitted a report (issued) dated 12 November 2019 by the Assistant Chief Executive advising the Committee on the findings of a Value for money study of printing costs. This engagement is included in the annual Internal Audit Plan for 2019/20.

After consideration and having heard Mr McNicol and Mrs Davidson in answer to members' questions, the Committee noted the contents of the report and agreed that Mr McNicol submits a follow-up report on the implementation of the recommendations to a meeting in approximately six months.

11 Engagement follow-up performance September to November 2019

There was submitted a report (issued) dated 12 November 2019 by the Assistant Chief Executive advising the Committee on the performance and implementation rate of recommendations from follow-up engagements undertaken between September and November 2019.

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After consideration, the Committee noted the contents of the report and the implementation rate of the recommendations from assurance engagements previously reported to the committee.

12 Internal Audit plan 2019/20 mid-year progress report

There was submitted a report (issued) dated 12 November 2019 by the Assistant Chief Executive asking the Committee note the progress made to date in achieving the Internal Audit plan and performance objectives for 2019/20.

After consideration and having heard Mr McNicol in answer to members' questions, the committee noted the contents of the report and the progress made to date in achieving the Internal Audit Plan for 2019/20.

13. Public reporting complaints statistics Periods 5 to 7 2019/20

There was submitted a report (issued) dated 8 November 2019 by the Assistant Chief Executive which:

- (1) advised the statistics for Periods 5, 6 and 7 of 2019/20 for SPT complaints; and
- (2) informed members that of the 176 complaints received in the first quarter of 2019/2020, 5 did not concern SPT services and 92% had been responded to within the prescribed timescale, which was higher than in the same quarter of the previous year (84%).

After discussion and hearing from Mr McNicol and Mrs Davidson, the Committee noted the level of complaints received in the context of the volume of service provided and agreed that the report is to include Stage 2 Complaint statistics and further information relating to complaint themes for the next meeting.

14 Members' and Directors' expenses 2019/20

There was submitted and noted a report (issued) of 8 November 2019 by the Assistant Chief Executive detailing members' and directors' expenses to 26 October 2019.

Following discussion, the Committee noted the details of the report.
