



## Audit and Assurance Committee

<b>Date of Meeting</b>	Tuesday 15 <sup>th</sup> February 2021
<b>Subject</b>	Audit and Assurance Committee Self-Assessment
<b>Agenda No.</b>	10
<b>Paper No.</b>	16.7
<b>Prepared By</b>	Corporate Assurance Team
<b>Purpose</b>	Decide

### 1. Background

- 1.1. The Audit and Assurance Committee handbook recommends that the Audit and Assurance Committee undertakes an annual review of a self-assessment of performance.
- 1.2. The previous Committee self-assessment took place in November 2020. Since then, the Committee has seen 2 new Non Executive members join. This has resulted in some areas for individual development identified during this year's self-assessment.

### 2. Key points

- 2.1. With agreement from the Chair a refined question set was produced and the Corporate Assurance Team provided initial responses for many of the more administrative questions. The Committee were asked to review the responses and amend as appropriate to reflect individual views on the response to each question
- 2.2. The responses received provided a positive reflection of the current status of the Committee. There remains a number of areas that continue to be highlighted for improvement, and we have outlined these in the action plan below. The Committee are asked to review the action plan and agree any specific actions that need captured.



## Proposed Action Plan

Question	Response	Action Required	Update
Are new committee members provided with an appropriate induction?	Yes	<p>Induction has been an ongoing process. Non-Executives are encouraged to raise any further training needs with Chair and Secretariat.</p> <p>Naghat has suggested following to support</p> <ul style="list-style-type: none"> <li>Possible Non-Executive director buddying.</li> <li>Office Tour in terms of Delivery for Social Security Scotland. Aid to understand how benefits are delivered on day to day basis.</li> <li>Session on Operational Delivery on how Benefits are delivered. How each benefits links and potential impacts to Finance, Fraud and Risk.</li> </ul>	<p><b>Feb 2022</b></p> <p>Engagement with Governance Team as follows:-</p> <p>Buddying</p> <ul style="list-style-type: none"> <li>This has already been discussed and agreed. Non-Executives will be buddied with a member of the Executive Team, they are aware of this, but will not be buddied with another Non-Executive. If the Non Executives would like to support each other out with Social Security Scotland they are welcome to do so but it would not be considered something they would charge Social Security Scotland a fee for.</li> </ul> <p>Office Tour</p> <ul style="list-style-type: none"> <li>This has also been discussed. At present there is little to see in the office as colleagues are currently working, in the main, from home. Once there has been a move back into the office environment and there is a slightly bigger footprint we will arrange for the Non Executives to come in for a tour and to meet colleagues. Governance Team will arrange this in due course.</li> </ul> <p>Sessions</p> <ul style="list-style-type: none"> <li>The former part of this has also been arranged and Naghat is aware. A deep dive session is arranged on the 22 February to discuss, Client Experience – Introduction with colleagues. Benefits timeline, operational delivery, national and local delivery. Including the client journey from local delivery and client experience.</li> </ul>
Has the committee considered the arrangements for assessing the attendance and performance of each member?	Further development required	Attendance is monitored by the secretariat. Issues would be raised as appropriate with Chair.	Performance management (appraisal) is being considered more widely to link in with Executive Advisory Body. This will be take



			forward jointly between Governance and Corporate Assurance Team.
<b>Does the committee consider, as appropriate:</b>			
<ul style="list-style-type: none"> <li>Large write-offs</li> </ul>	Further Development Required	Any large write offs for Social Security Scotland are mainly processed through DWP and are not currently considered by the Committee.	This is an area which should be reviewed in the future when Large write offs occur
Has the committee considered how it should coordinate with other committees that may have responsibility for risk management and corporate governance?	Yes	Discussion required on how the Committee should coordinate with other both other Audit and Assurance Committees and internal Social Security Scotland groups	Chair attending Scottish Government Chairs biannual meeting from Feb 2022.



- 2.3. The Corporate Assurance Team will work with the Committee to ensure these areas are addressed in due course.
- 2.4. Feedback on the process is welcome for future self-assessments. The Committee is asked to consider completing future self-assessment by conference call to allow discussion between members.

### 3. Conclusion

- 3.1. The Committee is asked to review the self-assessment action plan. Members are asked to discuss their views on the Committee's overall performance.

### 4. GOVERNANCE CHECKLIST

Please ensure that you detail which Corporate Plan Strategic Objective the paper contributes to. These strategic considerations should be used to assist you with the content of your paper.

Strategic Objective	Contribution
<b>Dignity, fairness and respect</b>  Delivering a service with dignity, fairness and respect at its core.	Not Applicable
<b>Equality and tackling poverty</b>  Promoting equality and tackling poverty.	Not Applicable
<b>Efficiency and alignment</b>  Ensuring efficiency and aligning our activities with wider public sector for the benefit of the people we serve.	The Audit and Assurance Committee provides oversight in a number of areas including Finance and Risk which help contribute towards this strategic objective.
<b>Economy, society and environment</b>	Not Applicable



Strategic Objective	Contribution
Contributing to our economy, society and protection of our environment.	