

Scottish Biometrics Commissioner – Advisory Audit Board Minutes

28 March 2024 @ Bridgeside House and on MS Teams

Board	Andy Shaw, Chair David Watt
Attendees	Committee – Andy Shaw, Chair Committee – David Watt External Auditor – Audit Scotland, Tommy Yule External Auditor – Audit Scotland, Neil Maclean External Auditor – TIAA, Cameron Boyd Commissioner – Brian Plastow Corporate Services Manager – Cheryl Glen Operations Manager – Diego Quiroz Business Support Officer – Joanna Milne (note taker)
Apologies	External Auditor – TIAA, Martin Ritchie

Item	Subject	Discussion	Actions	Lead
1	Welcome	The Chair welcomed everyone		
2	Declarations of Interest	All confirmed there are no changes to their declaration of interest		
3	Minutes of previous meeting	Minutes from the previous meeting on 5 September 2023 were discussed and agreed two amendments should be made before minutes would be approved: <ul style="list-style-type: none"> ▪ Section 4 (amend 2023 to 2024) ▪ Section 7 (amend ISO to ISA) All actions closed.	Previous minutes to be published on our website following amendments	BSO

4	Commissioner's update	<p>Section 31 and 32 reports For 2022/23 two reports were produced – Annual Report & Accounts (Section 31 report) and an Operational Report (Section 32 report). It was agreed going forward from 2023/24 one report covering the annual accounts and operational performance would be published.</p> <p>Staff Engagement Survey The Commissioner confirmed that a second annual staff engagement survey had been conducted by an independent HR consultant. The survey identified some minor points which we will be discussed at the team's Strategic Away Day in May.</p> <p>Impact - based KPI's The Commissioner explained our transition to outcome-based KPI's for our new Strategic Plan.</p> <p>Images Review The Images review has been completed and was laid with the Parliament on 25 March.</p> <p>Compliance Assessments On the first anniversary of the laying of the Code, the SBC were to conduct compliance assessments. The process of validated self-assessments allowed each organisation (to whom our functions extend) to identify where they can improve their processes or governance. These were concluded in January and published on the website.</p> <p>In regards to the Strategic Plan, the Commissioner confirmed the team have completed all actions everything this year as written.</p> <p>Symposium A symposium is in the process of being organised in partnership with the SPA and Police Scotland. The symposium will be in June, the Cabinet Secretary and Chief Constable of Police Scotland have been confirmed as speakers.</p> <p>A funding bid has been successful for a seconded member of staff to join the team for a period of two-years, seconded from Police Scotland.</p>	<p>Invitation to the symposium to be extended to Audit Scotland and Advisory Audit Board</p>	<p>Commissioner</p>
---	-----------------------	--	--	---------------------

5	Governance	<p>Records Management Plan (RMP) As per the Records Management Plan and the Progress Update Review policy, the SBC will submit their manual deletion policy for complaints against the CoP.</p> <p>Policy and Handbook Tracker A policy and handbook tracker has been created to track timely reviews of all corporate and operational policies and handbooks. Corporate policies / handbooks will be reviewed annually while some operational policies / handbooks will be reviewed on a three yearly basis. Relevant policies will be updated once our new secondment joins the team.</p> <p>Business Continuity Plan The updated Business Continuity Plan which contains our contacts and relevant policies and procedures is still being completed. The team have also since developed an overarching Business Continuity Policy.</p> <p>New Website The SBC website has been updated which will hopefully drive footfall to the website. The AAB were encouraged to review the changes to the site.</p>	Old and new versions of the Business Continuity Plan and the Policy to be shared with the AAB	Corporate Services Manager
6	Financial Update	<p>Financial paper Although the SBC have operated within their budget for this year (2023/24) the Commissioner raised awareness of the budget setting process and the recent pay award which had not been originally budgeted for – in this process, the SPCB do not recalibrate the budget, the office holder must work within their own budget as appropriate to cover the costs. However, each year there is an option to request extra funds in Spring and Autumn if required from the SPCB.</p> <p>5-year Medium Term Financial Plan (MTFP) Although not required, the Commissioner submitted a draft MTFP. This will remain as a draft and will be revisited based on our budget award for 2024/25.</p> <p>Bank Account</p>		

		<p>CSM confirmed the SBC now have real-time direct access to our bank account.</p> <p>Budget Bid</p> <p>The award letter for the 2024/25 budget submitted in September was received a month ago. The letter confirmed a budget of £499k with additional contingency for the secondment of a member of Police Scotland staff.</p>		
7	External Audit	<p>Draft Annual Audit Plan 2023/24</p> <p>Audit Scotland presented their draft plan for 2023/24 audit received by SBC with provisional dates for the audit. A secondary letter has been issued by Audit Scotland to advise the audit dates may slip. It was discussed the next AAB would be scheduled for some time during w/c 9 September 2024 to allow viewing of the Annual Report & Accounts.</p>	Next AAB data to be confirmed	Corporate Services Manager
8	Internal Audit	<p>Business Continuity Plan (BCP)</p> <p>Conclusions from this internal audit included two recommendations.</p> <p>Records Management (including Data Protection)</p> <p>Two recommendations were highlighted.</p> <p>Corporate Performance Management</p> <p>Three recommendations were identified.</p> <p>It was requested that an action tracker be developed and added to the AAB agenda for future progress reports on each of these recommendations.</p> <p>Draft Audit Strategy & Annual Plan 2024/25</p> <p>The report included a timetable for this year's internal audits.</p> <p>Corporate Governance and Core Financial Controls will be audited in Q4 of 2024/25. The full scope for the audits will be issued prior to the meeting.</p> <p>Further discussions to take place between the SBC and TIAA to determine whether cyber security could be incorporated into the internal audit plan.</p>	<p>Recommendations tracker to be developed and added to future AAB agendas</p> <p>Full scope for Core Financial Controls to be issued to the AAB once it has been received from TIAA</p> <p>Discussion about decision to include cyber security in internal audit plan</p>	<p>Corporate Services Manager</p> <p>Corporate Services Manager</p> <p>Corporate Services Manager</p>

9	AOB	The Commissioner and CSM thanked Andy for chairing the AAB over the last two years and wanted to acknowledge their appreciation for his guidance and support.		
---	-----	---	--	--