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Audit and Risk Assurance Committee Meeting Outputs

Thursday 26 October 2017, 10:00am at CJI offices

Attendees:

Independent member: (Acting Chair)	Sam Pollock, (SP)
DoJ Sponsor Division :	Heather Gallagher, (HG) (representing Jane Holmes)
DoJ Internal Audit:	Olivia McMenamy, (OMcM) (representing Amanda Oliver)
FSD:	Joanne Jamison, (JJ)
Criminal Justice Inspection (CJI):	Brendan McGuigan, (BMcG); James Corrigan, (JC); Meloney McVeigh, (MMcV); and Stephen Dolan, (SD)
ARAC Secretary:	Linda Boal, (LB)

Agenda Description / Comments

No

- 1 Introduction / acknowledgements**
SP welcomed everyone to the meeting, in particular to Olivia who was standing in for Amanda Oliver.

As there was only one Independent Member present, SP proposed that the meeting should proceed and then be adjourned until he speaks with MMcC. The members agreed.
- 2 Apologies**
Mairead McCafferty, (MMcC); Independent Member
Declan Cooper, (DC) NIAO; External Audit
Leanne Gordon, (LG) NIAO; External Audit
Michael Scoffield, (MS) RSMUK
Jane Holmes, (JH) DoJ; and
Amanda Oliver, (AO) DoJ Internal Audit
- 3 Declaration of interest / Conflict of interest**

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None.

4 Minutes of previous meeting –8 June and matters arising

The minutes of the previous meeting were circulated, agreed and signed.

Matters Arising:

Point 5 - MMV submitted a request to DoJ Sponsor Division and after legal advice was obtained, the DoJ Permanent Secretary exercised his right to provide authority to publish reports and facilitate their laying in the NI Assembly.

Permission was obtained in June 2017 and publication of reports recommenced with the Cyber Crime report on 21 June. Since then six further reports have been published with an additional two scheduled before Christmas.

5 Report summarising any significant changes to CJI's Risk Register

A copy of the Risk Register was provided to Committee members prior to meeting attendance. MMcV advised that a revision was undertaken by CJI staff last week and highlighted the changes as follows:

1.2 Risk of contravening document and record management legislation & guidance - CJI have increased the residual risk scores in this area to ensure the organisation focuses on the records management of non-inspection related information i.e. correct disposal of historical financial information; corporate management and governance documents; personnel information.

2.1 CJI IT system collapses or network is unavailable - No change at present but CJI is currently involved in switching its IT system from its own independent system to join the ESS IT Assist network. CJI intend to review this risk once the transfer has occurred and reassess both the inherent risk, counter measures and residual risk. Some initial teething problems are anticipated but engagement between CJI's ICT Manager and IT Assist has been positive with both sides working hard to minimise disruption to business and ensure a smooth transfer. This has been a major project for CJI.

2.2 Loss of staff capacity including skills and knowledge - CJI has currently an inspector vacancy which it is temporarily filling on a six month basis by way of a secondment opportunity. CJI were pleased with the high standard of response received to the secondment. A new staff member will join CJI on 30 October 2017.

2.3 Timeliness and relevance of report findings may lose value due to delays – Amendment made to the countermeasure to reflect the involvement of the DoJ Permanent Secretary in approving reports for publication. However there is no reduction to the residual risk scores due to the ongoing uncertainty around the

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restoration of the NI Assembly and the impact should Direct Rule be introduced or another scenario comes into play.

4.2 Recurring annual budget cuts together with in year reductions undermines range and depth of inspections - Budget uncertainty continues to be an issue CJI is required to manage alongside all other parts of the public sector. At the six month point in year CJI has managed its budget prudently (hence a slight drop in residual risk score) and maintained close observation of its cash spend, but clarification around the budget for the remaining six months of the year would be both very welcome and beneficial.

The Chair and members of the meeting were satisfied with the revisions to the Register.

6 Consider the External Audit management letter for the previous year, any emerging findings from the current interim/in-year work of External Audit and External Audit's approach to their work

A copy of NIAO Management Letter was issued to the Chief Executive following the certification of the CJI 2016-17 Annual Report and Accounts and was enclosed with papers for information along with a copy of the final RTTCWG. The findings within the final RTTCWG did not alter from the draft report presented by R Gardiner (RSMUK) at the June ARAC meeting. The CJI 2016-17 Annual Report and Accounts was laid in the NI Assembly prior to the summer recess.

7 Consider the External Audit strategy proposed in respect of the current year's accounts.

RSMUK's representative Michael Scoffield will meet with MMcV and JJ in November 2017 to plan for the 2017-18 external audit. CJI envisage the draft audit strategy will be presented to the ARAC by MS at the January 2018 meeting. This point will be included in the January 2018 meeting agenda.

Action: LB

8 Consider any residual actions arising from the previous year's work of both Internal and External Audit.

CJI engaged with DoJ Sponsor to establish if given the new position taken by External Audit regarding CJI's pay remits and their treatment if not approved for payment by DoF before the end of the financial year (move from an accrual to a provision) that CJI's pay remits could be incorporated, where possible, with those covering the wider NICS where similar staff grades were in place. CJI currently prepare and submit four different Business Cases for each pay remit to cover all CJI staff.

NICSHR have stated this is not possible as the NICS cannot put itself in a position where it could be considered the single source of pay across bodies it has no

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responsibility for as this could lead to it being brought into equal pay cases on the basis of decisions it has no role in.

Going forward, CJI will continue to be responsible for preparing and submitting for approval via DoJ sponsor division to DoF pay remits for all staff grades and will work to progress these as swiftly as possible once the wider NICS pay settlement is reached and pay remit templates issued.

Re CJI's 2016 pay remits - Approval has now been received from DoF for all staff remits. NIO Grade C, Inspectors and SCS Staff members moved to the 2016 revalorised pay scales received their uplifts and arrears in August, September & October. NICS aligned staff are due to receive their uplifts and arrears in November.

JJ pointed out that CJI will face the same point next year when the accounts are prepared. CJI will need to decide how best to record this in the accounts.

BMcG & JC stated that this amount still needed to be recorded as an accrual to ensure the organisation has the funds to pay the increase.

JJ queried if this issue was reflected through other NDPBs and that perhaps this was a question for the NIAO.

- 9 An update on the six-month set of accounts 2017/18**
JJ has prepared the six month accounts and submitted them to Richard Logan for review. There are a few minor points to address but the accounts are in good shape in preparation for year end.

- 10 Report from management on whistle blowing and fraud issues, if applicable.**
MMcV advised of a nil return.

- 11 Report from management on any direct award contracts (DAC) during the period.**
MMcV advised of a nil return.
MMcV drew the Committee's attention to a change in CJI's delegated authority levels regarding DACs on page 2 point 6 of PPN 01/17 new procurement guidance note issued by DoJ effective from July 2017. CJI's delegated authority for DACs has been increased up to £30k. CJI's Chief Executive and Accounting Officer can now approve DACs up to £30k. DACs above £10k previously required Permanent Secretary approval. One exception is external consultancy which must continue to be referred to the Permanent Secretary.

- 12 Report summarising the expenses submitted by the Chief Inspector and the Deputy Chief Inspector.**
MMcV provided the relevant figures as undernoted since the last meeting:

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Government Procurement		Travel & Subs	
Card			
CI	£134.71	CI	£288.85
DCI	£105.90	DCI	£14.75

The CI GPC card for September includes a return flight to London to attend the Parole Board 50 year event.

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Review of CJI's gifts and hospitality register

Since the last meeting no gifts have been received by CJI staff.

There was one item to report in relation to hospitality extended which was a working lunch with HMCPSI Inspectors amounting to £91.00 in relation to the Domestic Violence and Abuse and Sexual Violence and Abuse inspection file reviews.

There was one item to report in relation to hospitality received which was a working lunch received by the ICT Manager from the Xperience Group amounting to £7 in reference to the transfer of the CJI computer system.

These matters were noted by Chair and other members of Committee with no concern.

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AOB

BMcG reported that as from 1 September he has assumed a superintendence role for the Prisoner Ombudsman Office following the retirement of the Prisoner Ombudsman. The Department are holding a shortlist of candidates but are unable to appoint until a Justice Minister is in place. There are now a few death in custody report awaiting publication. BMcG holds regular meetings with the Director of Operations to keep updated on the current position.

At this point SP adjourned the Committee until he can speak with MMcC and provide an overview of the meeting. He will then contact LB/MMcV to close the meeting.

BMcG agreed this was appropriate.

Addendum:

6th November 2017. The Chair of the meeting spoke with the Independent Member who was unavoidable absent from meeting on 26th October; he briefed her on the business of the Committee, she was satisfied with the decision to proceed with the meeting in her absence, she had conversed with staff already on the Business Agenda and confirmed that there was nothing of substance to require the Meeting to be reconvened.

The Chair for the meeting of 26th Sam Pollock, therefore considered the Meeting to be closed and ask the Secretary to ensure that all members in attendance were informed accordingly.

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Dates of next meetings

Date of next Meeting: **Thursday 25th January 2018 @ 10am.**
Block I Knockview Buildings, Stormont Estate.

Sam Pollock
Acting Chairperson

25th January 2018

Date