

# PROTECT

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## AUDIT and RISK ASSURANCE COMMITTEE MEETING

Thursday 23 April 2015, 10:00am at CJI offices

### Attendees:

- Non-executive Chairperson: Eddie Simpson (**ES**)
- NIAO: Finula Magowan (**FM**)
- DoJ Sponsor Division William Jeffrey (**WJ**)
- DoJ Internal Audit: Derek Anderson (**DA**)
- FSD: Joanne Jamison (**JJ**)
- CJI: Amanda Murray (**AM**)  
Meloney McVeigh (**MMcV**)  
James Corrigan (**JC**)  
Brendan McGuigan (**BMcG**)  
Stephen Dolan (**SD**)

### Agenda

#### No.:      Description / Comments:

#### 1            **Introduction / acknowledgement**

ES welcomed everyone to the meeting and confirmed AM is providing secretarial cover today in the absence of the ARAC Secretary, Paula Bean Mhic Artáin (PBMA). He wished PBMA the best in her celebrations today also.

ES further extended ARAC sympathies to MMcV on her recent bereavement.

#### 2            **Apologies**

Sam Pollock (**SP**), Independent Member;  
Paula Bean Mhic Artáin (**PBMA**), CJI; and  
Philip Marshall (**PM**), KPMG.

A general discussion took place around the importance of two independent members attending each meeting. See further comment at Item No. 5.

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### 3 **Declaration of interest / conflict of interest**

ES advised he had no conflict of interest and all meeting attendees confirmed same.

### 4 **Minutes of previous meeting – 29 January 2015 and Matters Arising**

The minutes of the previous meeting were circulated and agreed. ES thanked those who contributed.

ES signed the minutes and passed to AM. AM will pass these to PBMA on her return.

Comments regarding previous matters arising are discussed at Item No. 6

### 5 **Consider CJI ARAC Terms of Reference**

ES advised that the ARAC Terms of Reference are updated annually.

There was a general discussion around the importance of having two independent members present at each meeting – a requirement which is highlighted in the Terms of Reference.

DA suggested CJI establish if SP is content to remain involved with the ARAC given his recent change in status, and consider if the Committee should seek a contribution from another individual. DA added that the role may be suitable for a Grade 6 with financial qualifications and skills (not connected to CJI).

BMcG advised that SP has formally retired.

ES said that it is pivotal for two independent members to participate at each ARAC meeting. ES suggested that JC perhaps correspond with SP for clarification on his position.

Finally, ES confirmed that the next ARAC meeting will be his final, concluding five years involvement. The Chair advised of his contentment to continue his involvement with the ARAC but that this area needs attention.

**Action: JC**

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**6 Report summarising any significant changes to CJI's Risk Register, including matters arising from previous ARAC meeting (report from head of DoJ Internal Audit regarding HR Connect salary payment issues)**

MMcV confirmed that CJI has reviewed its Risk Register since the previous meeting. One amendment was noted – to Item No. 2.2 - Loss of staff capacity including skills and knowledge.

MMcV confirmed succession planning is now in place due to various changes to CJI staff work patterns, for example, reduced hours by a number of personnel, secondment etc.

ES flagged another issue regarding HR Connect on what was described as its disappointing but not surprising performance. JC has recently written to the Head of Internal Audit, DFP highlighted CJI's experiences and asking that they are addressed.

The Committee agreed that the risks remain but are unacceptable, and need attention. This point will remain on Risk Register until fully resolved.

**7 Consideration of the Internal Audit Annual Assurance report for the preceding financial year (2014-15)**

DA confirmed that issue of this report was imminent. It is a positive document and raises no concerns.

ES was positive that this will also reflect in the Governance Statement, and accepted DA's verbal assurance.

**8 Consideration of the Internal Audit Strategy and approval of Internal Audit Plan for the forthcoming year (2015-16)**

This document was presented by DA who indicated that it reflected the high level of assurance enjoyed by CJI. It also represents financial savings.

**9 Consideration of ARAC Report for inclusion in CJI's 2014-15 Annual Report and Accounts**

Dealt with under AOB. See Item No. 16.

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### **10 Review of CJI's 2014-15 Governance Statement (for inclusion in 2014-15 Annual Report and Accounts)**

MMcV advised that this document will take a similar format to the previous years and reflects any changes in-year including risks and any areas needing focus.

This was circulated to the Committee in advance of today's meeting and in this regard MMcV asked for comments.

WJ raised two minor points – amending 'quarterly' in third paragraph to a more reflective 'oversight and pay remit' meetings; and checking his recorded attendance – stated as four but he believes it was only three. MMcV to review.

ES confirmed that he is content with the draft and DA said it was very comprehensive.

MMcV and ES thanked SD for his input.

**Action: MMcV**

### **11 Overview of work ongoing regarding the preparation of 12 month set of accounts for CJI**

JJ confirmed good progress is being made and everything is on target for 1 May with nothing untoward and no surprises.

### **12 Report from management on whistle blowing and fraud issues, if applicable**

MMcV confirmed a nil return for both whistle blowing and fraud issues.

### **13 Report from management on any direct award contracts during the period**

MMcV confirmed a nil return.

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### 14 Report summarising the expenses submitted:

- the Chief Inspector; and
- the Deputy Chief Inspector

MMcV provided the relevant figures. They are as follows:

Since the last meeting –

CI: £162.30

DCI: £44.35

Total: £206.65 (travel and subs)

In the past 12 months –

CI: Nil

DCI: £365.92

Total: £837.79 (procurement card)

### 15 Review of CJI's gifts and hospitality register

MMcV – Nil return since last meeting

Annual total £161.65

DA advised IT and DoJ have developed a new database for capturing and recording gifts and hospitality. This is expected to roll out soon.

### 16 AOB

Three issues were raised under AOB. They were:

*ARAC Report (from Item No. 9)*

ES advised that all attending are required to agree the ARAC Report. With the exception of some salary processing / deductions issues highlighted, all agreed the content was very much the same as the previous year.

The Committee agreed the Report could be finalised (subject to correction of a minor typographical error under ES signature displaying 2014, which should be 2015).

*ARAC self-assessment checklist*

ES confirmed that he completed this and copies were provided to meeting attendees. After discussion ES confirmed agreement with the Committee, with the issue of two independent members attending being raised by DA.

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*Change to sponsor division name*

WJ confirmed that with effect from April 2015 sponsor name is now Criminal Justice Division.

## 16 Dates of next meeting

Thursday 4 June, 10.00am

Thursday 22 October, 10.00am

**E. A. Simpson**  
Chairperson

Date