

## PROTECT

Criminal Justice Inspection  
Northern Ireland  
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### AUDIT and RISK ASSURANCE COMMITTEE MEETING

Thursday 14 April 2016, 10:00am at CJI offices

#### Attendees:

- Non-executive Chairperson: Eddie Simpson, (ES)
- Independent member: Sam Pollock, (SP)
- Independent member: Mairead McCafferty, (MMcC)
- 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); and Stephen Dolan, (SD)

#### Agenda

<u>No.:</u>	<u>Description / Comments:</u>
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<b>1</b>	<b>Introduction / acknowledgements</b>
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ES welcomed everyone to the Spring meeting and extended a welcome to AM who was providing cover for PMA.

<b>2</b>	<b>Apologies</b>
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Leanne Gordon (LG), NIAO;  
Michael Scoffield (MS), RSMNI; and  
Paula Bean Mhic Artáin, (PMA), CJI.



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

Nil return.

**4 Minutes of previous meeting – 28 January 2016, and matters arising**

The minutes of the previous meeting were circulated and a request for an additional comment to be appended was raised by WJ - that it may be appropriate to include the departure of ES and there will be a requirement to appoint a new Audit and Risk Assurance Committee (ARAC) Chair by Summer. ES agreed and the minutes were signed and passed to AM for amendment accordingly.

ES also extended thanks to Linda Boal for providing secretarial cover for the January meeting and for the comprehensive minutes.

- *Matters arising Item 4 – assurance mapping for CJI*  
Copy of agreed assurance mapping document shared with DA.
- *Matters arising Item 5 – Risk Register – summary of CJI meeting with CJI sponsor division 19.02.16 re. staffing*  
JC advised that CJI made a special request for a meeting with sponsor division, DoJ, to discuss changes to staff in recent months (one full-time Inspector resigned from post and a second has taken partial retirement). A note of the meeting was provided to attendees.

JC was keen to discuss CJI's path and options for the future given the current fiscal climate.

A further meeting was held in April 2016 and subsequent actions agreed were that JC would undertake a workforce planning exercise. As a result CJI have now moved via competitive tender to appoint a recruitment firm to assist in filling the current vacancies.

CJI will seek applications for both full-time and part-time Inspector positions but will only initially appoint one FTE Inspector, retaining a reserve list of successful candidates from which subsequent appointment(s) may be drawn, subject to approval from DoJ sponsor division. This will save costs of two separate open recruitment competitions.

ES raised that appointment could take a few months; or that the new Minister of Justice (when appointed) could make additional changes. However despite the concerning budget, ES said it was still encouraging to see that it would allow for one FTE appointment to replace the Inspector who resigned.

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In relation to workforce planning, BMcG outlined the challenges faced including awaiting the new Programme for Government, the new Minister of Justice and his/her agenda and Government priorities.

- *Matters arising Item 11 – consideration of ARAC self-assessment*  
Original document contained in National Audit Office guidance from 2012 was condensed by the ARAC and was more appropriate for the Inspectorate.

ES walked through the self-assessment checklist and all points were agreed.

DA suggested that it would be useful for the ARAC Chair to meet with internal audit annually. ES backed this suggestion and said the new Chair will most likely be keen to action in due course.

- *Matters arising Item 17*
  - Proposed wording amend to ARAC minutes of October 2015 following WJ request followed-up and undertaken. Line to now read: 'ES said CJI would need to appoint a new non-executive member by Summer.'
  - A review was undertaken of the ARAC Terms of Reference and ES requested that members sign and return to AM on conclusion of meeting. This was completed.
  - WJ added that a further amendment to the ARAC Terms of Reference be actioned regarding his departure from the ARAC and the NICS at the end of May 2016. WJ replacement will be notified in due course. ES thanked WJ for his commitment to the ARAC and wished him every success in his future ventures.  
**Action: MMcV**
  - Governance Statement discussed under point No. 8.

### 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 in March 2016 with no changes required on this occasion. The highest risks remain the same and still relate to loss of staff and budget.

The Committee noted MMcV comments.



**6 Consideration of the internal audit assurance report for the 2015-16 financial year**

DA confirmed that he was delighted to report to the Committee and CJI, a very good and positive assurance report, with no criticism or faults. DA continued the complimentary report was a source of great reassurance of the work CJI do. CJI is the only organisation in the DoJ family with a 'substantial' rating. The report was previously shared with the ARAC members.

SP thanked DA for the report and said that CJI have been held in high regard for a long time, wishing them well for the remainder of the year.

DA advised briefly that the Group Head of Internal Audit has revised the assurance ratings and they are to change in due course.

ES thanked everyone involved for their work on this report.

**7 Consideration of ARAC report for inclusion in 2015-16 Annual Report and Accounts**

ARAC Chair previously provided a brief paper on behalf of the Committee for inclusion in CJI's Annual Report and Accounts. This was in addition to the commentary provided on the ARAC contained within the Governance Statement.

MMcV confirmed that work was ongoing on the current Annual Report and Accounts as it is presented in a new format this year as a result of IFRS and FReM promoting a slimmer, succinct report that avoids duplication. Guidance from FSD suggests that if material is not required under IFRS and FReM, it should be omitted, therefore the Committee's report will not be required for 2015-16 or future years.

**8 Review of draft CJI Governance Statement for inclusion in 2015-16 Annual Report and Accounts**

MMcV confirmed that the draft Governance Statement will be included in the Annual Report and Accounts which will be submitted to FSD for review and external audit at the end of April.

Changes noted include: finance information; changes to Committee meetings and attendance; and an additional paragraph in relation to assurance.

DA praised the content of CJI's Governance Statement, with particular reference to risk appetite. The Committee agreed this and MMcV extended thanks to SD for his work in completing same.

WJ questioned if the use of the term 'public service agreement' was still appropriate. A general discussion took place around this and if it may need rephrased as MSFM.



ES therefore asked those present for any comments to be returned to JJ or MMcV by close this week.

**Action: MMcV**

**9 Overview of work ongoing in preparation of 12 month set of accounts**

JJ updated the Committee with a brief report and confirmed that work is continuing on the Annual Report and Accounts advising that despite reformatting changes, good progress is being made and draft accounts will be forwarded to Richard Logan of FSD for comment by close Wednesday 20 April.

ES extended thanks for JJ for dedicating time to this task in challenging times.

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

Nil return.

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

Nil return / no expenditure.

Regarding the current recruitment exercise and associated costs, SP advised that use of agencies is carefully monitored against contract specification.

**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:

***Government procurement card***

CI:	£7.50
DCI:	---
Total:	<b>£7.50</b>

***Travel and subsistence***

CI:	£162.60
DCI:	£15.15
Total:	<b>£177.75</b>

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### 13 **Review of CJI's gifts and hospitality register**

MMcV confirmed to meeting attendees that no gifts or hospitality was received or extended. She advised that the gifts and hospitality register, and declaration of interest for CJI's senior management team is now available on the corporate website. This is a new process.

DA added that the Department is looking at this area and what level of grades should be required to submit the same information.

### 14 **AOB**

Nothing stated.

### 15 **Dates of next meeting**

Summer meeting – Thursday 2 June, 10am.

**E. A. Simpson**  
Chairperson

Date