

CJI Audit and Risk Assurance Committee Meeting Outputs

Thursday 22 April 2021, 9:15am by video conference

Attendees:

**Independent member:
(Acting Chair)** Mairead McCafferty (MMcC)

Independent member: Derek Anderson (DA)

DoJ Sponsor Division: Heather Gallagher (HG)

DoJ Internal Audit: Amanda Oliver (AO)

NIAO: Pamela Dugdale (PD)

External Audit: Ciara Currie (CC) Deloitte

FSD: Joanne Jamison (JJ) FSD

Criminal Justice Inspection (CJI): Jacqui Durkin (JD)
James Corrigan (JC)
Meloney McVeigh (MMcV)
Dr Ian Cameron (IC)

A&RAC Secretary: Linda Boal (LB) CJI

Agenda No **Description / Comments**

1 **Introduction / acknowledgements**

MMcC welcomed everyone to the meeting conducted by video conference and noted apologies.

2 **Apologies:**
Ian Kelsall (IK) Deloitte
Claire Robinson (CR) DoJ

3 **Declaration of interest / Conflict of interest**

- None.

4 **Minutes of previous meeting – 21 January 2021 and matters arising**

The minutes of the previous meeting were agreed and signed.

Matters arising:

- Pt 8 actioned.
- Review of CJI Whistleblowing Policy is in hand.
- Meeting for Independent Members, internal and external audit to take place on 10 June.

5 Review of Audit and Risk Assurance Committee Terms of Reference.

- The document had been circulated to all members in advance of the meeting.
- DA commented that it was a model of good practice and noted the inclusion of a process for replacing Independent Members.
- MMcC suggested there may be an opportunity to recruit three Independent Members as two are required at each meeting to make up the quorum.
- JD replied that CJI could not afford three members given the flat cash budget and that availability would be worked around. MMcV agreed but suggested this could be reviewed if the financial situation improved.
- All members agreed the content of the Terms of Reference.

6 Report summarising any significant changes to CJI's Risk Register.

- The Risk Register had been updated by all staff to reflect the challenges and risks CJI currently face and anticipate in the 2021-22 financial year.
- The primary areas of risk remain the same; those of reputation & delivery.
- The three key risks are as indicated in the document and focus on the quality of inspection product; relevance and reputation of CJI within the CJS; and resilience and sustainability of CJI.
- The Risk 1 cause has been updated to reflect the concern in commencing the new financial year with a known financial pressure. CJI have identified that failing to mitigate this risk will have an impact on the planned Inspection Programme for 2021-22 which has been designed with independence at its core.
- Mitigation actions include regular engagement with DoJ sponsor team who are already aware of this pressure.
- The final column has been updated to reflect CJI's intention to take forward learning gained through fieldwork, which involved on-site visits and was carried out during the pandemic. This will be incorporated into future inspection risk assessments and decision making around how and when CJI return to the wider use of on-site fieldwork.
- Risk 2 recognises the impact COVID-19 has had on normal working practices and the timeframes for completing inspections because of the challenges being faced by inspected organisations as well as CJI.
- CJI have re-prioritised the impact of identified risks to recognise the loss of on-site fieldwork as an issue for the organisation. CJI have mitigated this throughout the pandemic via additional desktop research and virtual fieldwork and focus groups. CJI wish to return to on-site fieldwork as soon as it is safe and practical to do so as restrictions are lifted this year.

- Risk 3 has a new point added around the need for CJI to reallocate work internally to mitigate resilience issues should staff be absent and the impact this can have around a slower pace of delivery of work than originally planned.
- A point has been added regarding ongoing engagement with Sponsor Department and the request for additional funding through transfer or monitoring round pressure to effectively deal with a known funding pressure for the 2021-22 financial year.
- DA commented that it was encouraging to see movement and change in the Risk Register.
- MMcC was assured that CJI were taking forward the financial pressure with Sponsor Department.
- JD was concerned regarding the financial situation as although Sponsor Department had approved the business case for an additional Inspector, it was unfunded. CJI had worked to address the balance of full-time and part-time Inspectors and there was the potential of a detrimental impact on a risk based Inspection Programme if required consultancy and outside support was not adequately funded.
- JC advised that the Business Plan and Inspection Programme were with the Minister for permission to publish. The Inspection Programme is based on the existing resource and any reduction would negatively impact on the programme. A significant budget pressure creates a risk in terms of affordability and CJI hope to resolve the matter in the June monitoring round.
- DA agreed that this is an unsatisfactory position.
- JD added that although CJI were getting positive soundings from Sponsor Department, it was concerning to start the financial year in this position.

7 Consideration of the Internal Audit Annual Report and Opinion 2020-21.

- AO spoke to the report which had been circulated to members in advance of the meeting.
- The Overall Opinion Rating was Satisfactory, with no significant issues identified over the past three years.
- An audit of Corporate Governance including risk management, stewardship, ethics etc is planned for 2021-22.
- AO and MMcV agreed to delay the audit until the latter part of the year to allow for the new Partnership Agreement to be agreed.
- HG advised that FD letter correspondence had been received by Sponsor Department stating that the delay in the Partnership Agreement was due to the COVID-19 pandemic and that Sponsor Department were ready to work with CJI to have the Agreement put in place as soon as possible.
- MMcC and DA commended everyone involved in achieving this audit result.

8 Review of the draft CJI Governance Statement for inclusion in the 2020-21 Annual Report & Accounts.

- DA stated that the Governance Statement covered everything he would expect to see in such a document.
- MMcC confirmed she was happy with the content and noted that updated text around the budget position would be provided by FSD.
- MMcV will update the document when this is available and share with members.
Action: MMcV
- AO asked MMcV to check Internal Audit attendance as detailed in the document. MMcV agreed, and suggested this may relate to the July 2020 virtual meeting when attendance was kept to key personnel for that meeting, due to the COVID-19 pandemic.
- MMcC approved the draft Governance Statement for inclusion in the draft Annual Report and Accounts for 2020-21.

9 Overview of work ongoing in the preparation of the 12-month set of Accounts for CJl.

- Jj reported that the first draft of the Annual Report and Accounts for 2020-21 has been reviewed and returned by the G6 (Richard Logan) in FSD.
- This feedback has been incorporated into the current document. Work is ongoing in preparing the papers to go to the Audit Office by the deadline of 30 April 2021.
- Jj is still awaiting updated information from DoF and Civil Services Pensions which will be incorporated once received.

10 Report from management on whistle blowing and fraud issues

- MMcV reported a nil return.

11 Report from management on any direct award contracts

- MMcV reported a nil return.

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 (January, February and March) – CI and DCI:

Government Procurement Card		Travel & Subs	
CI	£0	CI	£96.30
DCI	£0	DCI	£0

- ***For the financial year 1 April 2020 - 31 March 2021***

PROTECT



Government Procurement Card			Travel & Subsistence	
Year	CI	DCI	CI	DCI
2020-21	£28.90	£0	£305.85	£6.50

All other staff for the financial year 1 April 2020 – 31 March 2021

Government Procurement Card £2,152.00

Travel & Subsistence £747.94

The above expenses were noted by all members.

13 Review of CJI's gifts and hospitality register.

Since the previous meeting (January, February and March) and for the year 1 April 2020 – 31 March 2021

the following gifts and hospitality have been received;

- Set of coasters 'Trinity College Dublin' received by an Inspector for contribution to PRILA Consultative Council Conference.

the following gifts and hospitality has been extended;

- Nil.

Note: the Chief Inspector and an Inspector took part in the Rural Leaders of Tomorrow Women in Criminal Justice Panel in March. They were offered a payment of £40 to each of the panellists for their time, but declined the offer.

The above information was noted by all members.

14 AOB

- There were no further points for discussion.

15 Date of next meeting

Date of the next meeting:

Thursday 10 June 2021 at 10am;

Acting Chair: Derek Anderson

Location: Block 1, Knockview Buildings, Stormont Estate, Belfast BT4 3SJ, or by Video Conference.

**Acting Chairperson
Mairead McCafferty**

Date: 9 June 2021