

CJI Audit and Risk Assurance Committee Meeting Outputs

Wednesday 13 October 2021, by video conference

Attendees:

Independent member: (Acting Chair)	Derek Anderson (DA)
DoJ Sponsor Division:	Claire Robinson (CR) Adrienne Neill (AN)
DoJ Internal Audit:	Amanda Oliver (AO)
NIAO:	Pamela Dugdale (PD)
External Audit:	Ciara Currie (CC) Deloitte
Criminal Justice Inspection (CJI):	Jacqui Durkin (JD) James Corrigan (JC) Meloney McVeigh (MMcV)
A&RAC Secretary:	Linda Boal (LB) CJI

Agenda No	Description / Comments
1	Introduction / acknowledgements. <ul style="list-style-type: none">• DA welcomed everyone to the meeting held by video conference.
2	Apologies. <ul style="list-style-type: none">• Mairead McCafferty (MMcC). As this meeting was the last in Mairead's term of office, DA expressed his thanks to Mairead for her positive contribution as Independent Member and Co-Chair of the Committee. JD also expressed CJI's gratitude to Mairead for her contribution to the Audit and Risk Committee over her six year term. JD advised that CJI are finalising the arrangements for a replacement Independent Member in time for the January meeting.• Joanne Jamison (JJ) FSD.• Ian Kelsall (IK) Deloitte.
3	Declaration of interest/Conflict of interest.

- In the interest of openness and transparency, DA declared that the Audit Strategy document tabled for discussion at point 6 on the agenda was authored by his wife.

4 Minutes of previous meeting – 9 June 2021 and matters arising.

The minutes of the previous meeting were agreed and signed.

Matters arising:

- Pt 10 Whistleblowing Guidance document. MMcV confirmed that the changes suggested by PD were now incorporated in the document which was available to staff via the Quality Management System process map.
- Pt 16 Independent member term of office. MMcV advised that the term of office for Mairead McCafferty would conclude in January 2022 and that today would have been her last meeting.

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

- **RTTCWG Final Report.**

- The Auditors held an in-camera meeting prior to the Audit Committee meeting during which no issues of concern arose. DA apologised to the Deloitte members who did not receive the link to join the meeting and advised that any issues of concern should be sent directly to him.
- PD presented the 2020-21 Final Report to those charged with Governance (RTTCWG). The report showed an unqualified audit opinion without modification.
- DA expressed his congratulations to all the CJI and DoJ staff who played a part in this achievement and added it was rare to see a RTTCWG as clean as this which reflects on the excellent work done by MMcV and the FSD team.
- JD added her thanks, especially given the issues caused by the pandemic.

6 Internal audit:

- **Audit Strategy – cover note for Audit Committees; and**
- **Revised Audit Strategy Template.**

- AO explained the new Audit Strategy being adopted by Group Service. The strategy sets out how internal audit priorities will be determined, consistent with the organisation's objectives, priorities and risks and the expectation of senior management, the Board and other stakeholders.
- The new strategy focuses on key areas and has a more flexible approach to audits.
- JC confirmed that CJI are happy to proceed with the new approach. CJI risks are managed well and he welcomes the flexible approach.
- JD added it was the right approach which should put resources where they are needed, and that assurance from internal audit is needed even in small organisations such as CJI.

- The Committee welcomed the new strategy subject to a flexible and responsive approach.

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

- MMcV provided an overview of the CJI Risk Register which had been updated following a review by CJI staff in the October staff meeting. Changes to the Register were highlighted for ease of reference.
- The Risk Register contains three key risks: 1 Quality of inspection product; 2 Relevance to/within the CJS; and 3 Resilience and sustainability of CJI.
- Risk 1 Key Controls were adjusted to show regular engagement with FSD and Sponsor Division regarding the budget.
- Risk 2 Key Controls were adjusted to show a regular review of the CJI Sustainability and Recovery Plan and risk assessments in line with public health guidance.
- Risk 3 had an addition to reflect the retirement of an Inspector and reallocation of work. The Key Controls highlighted the financial pressures and the potential impact on the delivery of the Inspection Programme. Additional funds have been transferred from Sponsor Division and support from partner Inspectorates sought.
- DA stated that the Risk Register showed clear evidence of regular review and ongoing discussions with risks kept under review. He added that CJI's reputation and the quality of the reports is everything. He raised the concern of the ability to carry out the Inspection Programme against a background of budget cuts.
- JD thanked DA for his comments and added that she is concerned about the adequacy of resources to secure required external consultancy and expertise for inspections. This resource ensures CJI have access to specialist expertise from Inspectorates who concentrate on a specific area, enables benchmarking against other areas they inspect and supports CJI Inspector development from working alongside partner Inspectorates. It is important that inadequate budgets do not interfere with the independence of CJI.
- DA stated that the quality and scope of the work can't be allowed to be affected by budget constraints and the ability to bring in expertise. This risk is adequately reflected in the Risk Register and should be kept under review.
- JD added she was well aware of issues with public funding, but in terms of the size of CJI, the majority of costs are for staffing which leaves little room for manoeuvre on limited discretionary spend.

8 An update on the six-month set of accounts.

- MMcV confirmed work was ongoing in relation to the six-month accounts with no issues of concern to report.

9 Report from management on whistle blowing and fraud issues.

- MMcV reported a nil return.

10 Report from management on any direct award contracts.

- MMcV reported a nil return.

11 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 (June to September) – CI and DCI:

Government Procurement Card		Travel & Subs	
CI	£0	CI	£118.85
DCI	£0	DCI	£0

The above expenses were noted by all members.

12 Review of CJI's gifts and hospitality register.

Since the previous meeting (June to September)

the following gifts and hospitality have been received;

- £72.90 - Law Society Dinner (JD) £50 and Refreshment for CJI Staff mid-year Stocktake meeting £22.90.

the following gifts and hospitality has been extended;

- £59.36 - Refreshments for meeting with IMB Chairs and Vice Chairs £19.20, working lunch with HMICFRS £40.16.

The above information was noted by all members.

13 AOB.

- The DAO (DoF) 07/21 - Guidance on Conflicts of interest was shared with all members for information.
- DA confirmed that all CJI staff and Audit Committee Independent Members completed a declaration every year. Declaration of Interest/Conflict of Interest was also a standing agenda item at the start of each Audit Committee meeting. DA would recommend everyone read the DAO document.
- MMcV advised that an updated draft of the Partnership Agreement proposed for Corporation Soles had been received from Sponsor Division in DoJ. Feedback is being prepared which will be submitted as soon as possible. The Agreement will be tabled for discussion at a future meeting when a final draft becomes available.
- The Committee agreed that if possible, and in keeping with public health guidance, the January meeting will be held face to face.

14 Dates of next meetings.

- Dates of the next meetings are:
 - Winter - Wednesday 19 January 2022 at 10am;
 - Spring - Wednesday 13 April 2022 at 10am;
 - Summer - Wednesday 8 June 2022 at 10am.

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



Derek Anderson
Acting Chairperson

Date: 19 January 2022