

CJI Audit and Risk Assurance Committee (ARAC) Meeting Outputs

Wednesday 11 January 2023 in Knockview Buildings

Attendees:

Independent member: (Acting Chair)	Derek Anderson (DA)
Independent Member:	Mandy Kilpatrick (MK)
DoJ Sponsor Division:	Claire Robinson (CR) Louise Boyd (LB)
DoJ Internal Audit:	Amanda Oliver (AO)
NIAO:	Lynsey Forsythe (LF)
External Audit:	Harry Kilgore (HK)
FSD:	Michael Rafferty (MR)
Criminal Justice Inspection (CJI):	Jacqui Durkin (JD) James Corrigan (JC) Meloney McVeigh (MMcV) David MacAnulty (DMacA)
ARAC Secretary:	Linda Boal (LB) CJI

Agenda Description / Comments
No

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| 1 | Introduction / acknowledgements. <ul style="list-style-type: none">• DA welcomed everyone to the meeting, particularly HK to his first meeting. |
| 2 | Apologies. <ul style="list-style-type: none">• Gareth Martin, Zyrus Bati (Deloitte) and Adrienne Neill (DoJ). |
| 3 | Declaration of interest/Conflict of interest. <ul style="list-style-type: none">• None. |
| 4 | Minutes of previous meeting – 12 October 2022 and matters arising. <p>The minutes of the previous meeting were agreed and signed.</p> |

Matters arising:

- Pt 6 Internal Audit: Ongoing. HR options are being explored with a Business Case complete and an open competitive tender exercise will follow.

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

- The CJI Risk Register had been updated following a review by CJI staff and distributed to members in advance.
- MMcV gave members a review of the Risk Register, highlighting the changes since the previous meeting. The Committee discussed the risks, causes, impact and scoring.
- The three risks are all now in the 'Amber' category and DA commented the increasing residual risk is a concern.
- The main challenges remain the inescapable inflation increases and likely reduced budget and the website replacement.
- MK advised that she was aware an offer had been made to avail of NI Assembly staff for a brief period and CR will follow this up.

Action: CR

- DA commented that the Risk Register was an excellent, comprehensive document.
- Members noted the content.

6 Internal Audit

- AO gave a high level overview of the emerging findings from the Information Assurance/Cyber Security audit. The report is in draft form and will be shared at the Spring meeting. It contains one priority 2 recommendation and four priority 3 recommendations.
- MK asked if CJI had their own policies for this area and MMcV confirmed that some were bespoke while others defaulted to DoJ policies where they were applicable and proportionate to an organisation the size of CJI.

7 Consider the External Audit Strategy proposed in respect of the current year's accounts (2022-23).

- HK advised that the Strategy was being prepared and would be available prior to the Spring meeting.
- DA commented that the changes to the audit approach for the 2022-23 audit cycle will involve more work at an addition cost.
- MMcV will distribute the Strategy to members once it has been received.

Action: MMcV

8 Review the overall CJI Assurance Framework.

- MMcV provided an overview of the Framework which had been distributed to members in advance.
- The Assurance Framework detailed the three Lines of Defence Model promoted by HM Treasury and the key areas of assurance.
- DA thanked MMcV for the paper which was well set out and is important to have in place. He asked if it provided assurance to JD who confirmed it did.

- DA added it was good practice to have this level of assurance and that the document should be reviewed annually.
- The contents were noted by members.

9 Consider the Committee's own effectiveness in its work.

- The Independent Members and CJI Senior Management had completed an extensive questionnaire in relation to the effectiveness of the Audit Committee and those results were reflected in the paper distributed to all members.
- The principles of Membership, Independence, Objectivity and understanding; Skills and experience; the role and scope of the Audit and Risk Assurance Committee; Communication and reporting; and Continual improvement were all assessed as performing effectively in this area.
- MK suggested that this could be a five-year exercise with a truncated version of the questionnaire issued annually and DA agreed it wasn't necessary to carry out the wider exercise every year.
- MK expressed her concern in relation to current knowledge retention and JD replied it should be possible to source necessary training for the Independent Members if required.
- The contents and recommended actions were noted and agreed by members.

10 Overview of nine-month set of accounts

- MR advised that work was underway to produce the nine-month accounts with no issues to report.
- DA agreed that the practice of preparing nine-month accounts is necessary to ensure there are no surprises at year end and thanked FSD for their work.

11 Notes of DoJ Audit and Risk Committee Chairs' Meeting

- DA attended the DoJ Audit and Risk Committee Chairs' meeting in September 2022. He found the meeting very worthwhile and he participated fully, noting that CJI were advanced compared to other ALBs. He shared the note from the meeting with all members for information.

12 Report from management on whistle blowing, matters of concern and fraud issues.

- MMcV reported a nil return.

13 Report from management on any direct award contracts.

- MMcV reported a nil return.

14 Report summarising the expenses submitted by the Chief Inspector and the Deputy Chief Inspector.

- The report was noted by all members.

15 Review of CJI's gifts and hospitality register.

- The reported information was noted by all members.

16 AOB

- The CJI-DoJ Partnership Agreement including the Annual Engagement Plan was shared with all members for information. MK queried the reference to Whistleblowing and Raising Concerns in paragraph 7.2 and CR agreed to review the wording.

Action CR

- DA and MK both commended the document which replaces the previous Management Statement and Financial Memorandum.
- JD thanked Sponsor Department, MMcV and JC for all their work in producing the Partnership Agreement.
- The CJI Anti-Fraud and Anti-Bribery Policy v1.8. was shared with members for comment and information. DA commented that the document reflects best practice across the public sector and MK agreed it was a comprehensive document. Policy title and content will be amended to clarify it is a “Anti-Fraud and Anti-Bribery Policy”. The Policy was noted by all members.

17 Dates of next meetings.

Dates of the next meetings are:

Spring - Wednesday 5 April 2023 at 10am; and

Summer - Wednesday 7 June 2023 at 10am.

Location: Knockview Buildings, Stormont Estate, Belfast BT4 3SJ



Derek Anderson
Acting Chairperson

Date: 5 April 2023