



**Minutes of Board Meeting No. 65 held on Tuesday 20 March 2018
at 9:30am, at CCNI Offices, Lurgan**

Present:

Tom McGrath, Chief Commissioner
Norman Bennett, Commissioner
Geraldine Donaghy, Commissioner
Séamus Magee, Commissioner
Steven Cockcroft, Commissioner (Legal)

In Attendance:

Frances McCandless, Chief Executive
Punam McGookin, Head of Charity Services
Myles McKeown, Head of Compliance and Enquiries
Aubrey McCrory, Head of Corporate Services
Margaret Craig, Board Apprentice
Fiona Muldoon, Monitoring & Compliance Manager (presenting)
Orla Waterson, Monitoring & Compliance Officer (presenting)
Cristiana Lobato, Monitoring & Compliance Officer (presenting)
Susan Lindsay, Strategic Investment Board (presenting)
Anne Killen, Finance & Admin Officer

The Chair opened the meeting at 9:30am.

The meeting was preceded by a presentation from the Monitoring and Compliance Team.

1. Minutes of Meeting 22 January 2018

Following discussion, the minutes of the meeting held on 22 January 2018 were agreed as a true and correct record, as proposed by Steven Cockcroft and seconded by Geraldine Donaghy.

AP1: Board minutes to be published on CCNI website.

2. Conflicts of Interest

No conflicts of interest were declared at the outset.

3. Chair's Business, Correspondence and Meetings

The Chair updated the Board on a recent meetings and correspondence from sponsor department regarding relocation and confirmation of additional funding relating to premises in quarter 1 - 2018/19.

4. Chief Executive's Report

The CEX introduced her report, highlighting correspondence from the Ombudsman. The Board discussed draft reports from the Ombudsman and noted significant assistance was being provided to clarify the basis of the investigations and that information was accurate. In terms of recent high profile safeguarding issues, the Board noted the Commission had acted proportionately when it identified a number of charities that did not have safeguarding policies in place while working with vulnerable people. Following discussion Commissioners agreed to accept an invitation to become part of the official SORP making body for UK and Ireland. The Board Apprentice Scheme was discussed and Commissioners confirmed their willingness to continue to participate in the scheme. The CEX advised that the next International Regulators' Forum is scheduled to be held in New York and Commissioners agreed that a Board paper with proposals be brought to the next meeting.

AP2: CEX to bring paper to the May board meeting regarding attendance at the next International Regulators Forum

5. Charity Services Report

The Head of Charity Services introduced the report and Commissioners noted the target of 650 Registration decisions had been met. The Board discussed the growing length of time applicants remain on the Expression of Intent list awaiting registration and the increase in the number, variety and complexity of casework applications. Following discussion of the process for closure of a registered charity it was confirmed charities were still required to submit final accounts.

6. Compliance & Enquiries Report

The Head of Compliance & Enquiries provided an update on the latest Statutory Enquiry and Commissioners commended the staff on the GAPS Statutory Enquiry Report. A verbal report was provided on the National FATF inspection which was held in London the previous week.

7. Corporate Services Report

Commissioners noted the report and the Head of Corporate Services outlined staff turnover and highlighted the budget spend position.

8 Reports from Sub Committees:

HR Committee issues

8a. Minutes of HR Committee meeting 24 October 2017

Following discussion, the minutes of the meeting held on 24 October 2017 were agreed as a true and correct record, as proposed by Steven Cockcroft and seconded by Geraldine Donaghy. Geraldine Donaghy briefed on the most recent meeting and the various items of business being brought to the Board.

AP3: HR Committee minutes to be published on Commission website.

8b. H&R Terms of Reference

The Board approved the minor amendments to the Terms of Reference as proposed by Steven Cockcroft and seconded by Geraldine Donaghy.

8c. Health & Safety Policies

The Board approved the Health & Safety Policies based on the NICS handbook structure and agreed with the recognised trade union as proposed by Steven Cockcroft and seconded by Geraldine Donaghy.

8d. Code of Conduct

The Board approved the proposed Code of Conduct as proposed by Steven Cockcroft and seconded by Geraldine Donaghy.

8e. Legal Advisory Group

A verbal update was provided on the Legal Advisory Group by the Legal Commissioner.

A&RA Committee issues

8f. Minutes of A&RA Committee meeting 29 November 2017

The minutes of the A&RA Committee meeting held on 29 November 2017 were agreed as a true and correct record, as proposed by Norman Bennett and seconded by Séamus Magee. Norman Bennett briefed on the most recent committee meeting and pointed out he attended the sponsor department's Audit Chairs' Forum.

AP4: A&RA Committee minutes to be published on Commission website.

8g. Risk Register

Following discussion, the Board approved the risk register, as proposed by Norman Bennett and seconded by Séamus Magee.

8h. Fraud Policy

Following discussion, the Board approved the Fraud Policy as proposed by Norman Bennett and seconded by Séamus Magee.

8i. Review of Risk Management Policy

The Board approved the Risk Management Policy as proposed by Norman Bennett and seconded by Séamus Magee.

8j. Finance Procedures

The Board approved the Finance Procedures as proposed by Norman Bennett and seconded by Séamus Magee.

9 Policies & Processes

9a. Transformation Project Update Presentation

An update on further developing the Commission's approach to risk based regulation was provided by the Strategic Investment Board. Commissioners agreed to take this project forward on the basis of the four pillars proposed and noted the next phase would involve setting up systems to handle data and revision of procedures across the range of regulatory work. Staff undertook to make a further presentation for the June board meeting. Commissioners also noted plans to move call handling to NI Direct early in the next financial year.

AP5: Further presentation on Risk Pillars to June meeting.

9b. Update to Draft Business Plan

The update to the Draft Business Plan for 2018-19 and delivery options were outlined by the CEX. During discussion of these Commissioners recorded the view there was a danger that legacy issues were detracting from progressing the regulatory agenda and agreed that a major decision on allocating resources would be required in the context of the 2019-22 strategic planning process. In the meantime the Board noted Option 5 should be reluctantly adopted in light of the resourcing being made available. This option was agreed following proposal by Steven Cockcroft and seconded by Norman Bennett.

9c. Draft Communications Plan 2018-19

Following a brief overview by the Head of Corporate Services, the Board approved the Communications Plan for 2018-19 as proposed by Séamus Magee and seconded by Steven Cockcroft.

9d. Process for Linking Charities with Religious Designation

The Head of Charity services introduced the paper and the update to the manual was approved as proposed by Steven Cockcroft and seconded by Norman Bennett.

9e. GDPR Implementation Update

The Head of Corporate Services introduced the paper and the options presented were considered. It was agreed to follow the internal Data Protection Officer route, noting arrangements would be required to avoid conflicts, and progress assurance sharing arrangements with Charity Commission for England & Wales, as proposed by Séamus Magee and seconded by Norman Bennett.

9f. MSFM Review

Noted.

9g. Board Self-Assessment Report

The Board noted the primary area identified for improvement was the level of communication and relationship with the sponsor department. The CEX undertook to renew the invite to a representative from the Department to meet with the Board to discuss its strategic approach.

AP6: CEX to invite Departmental representative to meet with the Board.

10. Issues for next meeting – 14 May 2018.

It was noted that the next meeting would take place on 14 May 2018 in CCNI offices at 9:30am. The Chair asked the Board to consider the style/format for the next Public Meeting.

AP7: Style/Format of next Public Meeting to be discussed and suggestions sent to CEX

12. AOB

Two high profile cases in the media were highlighted and noted.

Meeting ended at 12:10pm.

Register of Outstanding Action Points

Board Meeting and Action Point Number	Date Raised	Agenda Item	Action	Owners	Status
65 (AP1)	20/3/2018	1	Minutes of meeting 64 to be published on website.	HCorpS	Completed
65 (AP2)	20/3/2018	4	CEX to bring paper to the May board meeting regarding attendance at the next International Regulators' Forum	CEX	Completed
65 (AP3)	20/3/2018	8(a)	HR Committee minutes to be published on website.	HCorpS	Completed
65 (AP4)	20/3/2018	8(f)	A&RA Committee minutes to be published on website.	HCorpS	Completed
65 (AP5)	20/3/2018	9(a)	Further presentation on Risk Pillars to June 18 meeting	HCorpS	Underway
65 (AP6)	20/3/2018	9(g)	CEX to invite Departmental representative to meet with the Board	CEX	Completed
65 (AP7)	20/3/2018	10	Style/Format of next Public Meeting suggestions to be sent to CEX	CEX	Underway
64(AP3)	22/01/2018	4	Invitation to be sent to Arthur Scott	HCorps	Completed
64(AP4)	22/01/2018	8a	Detailed paper on removing closed charities from the Register to be brought to May Board meeting	HCS	Underway
63(AP2)	11/12/2017	5	Comms plan for 2018/19 to include messages on what is and is not a charity.	HCorps	Completed
63(AP4)	11/12/2017	7	Options paper on Data Protection Officer role to be prepared for March 18 Board	HCorpS	Completed

63(AP8)	11/12/2017	9c	Annual monitoring regulations 2017 to be published on website	HC&E	Completed
61(AP5)	18/09/2017	6	Head of Compliance and Enquiries to bring assessment on concerns received up to end March 2018 to May Board meeting	HC&E	Underway
60(AP3)	26/06/2017	5	Task and Finish group to be set up for Schemes and Orders manual development	HCS	Underway
59(AP11)	15/05/2017	9d	Head of Compliance & Enquiries to update Board on the granting of AMR dispensations in June 2018	HC&E	Underway
58 (AP21)	15/03/2017	11	Reconsider Commission values as part of strategic plan	HCorpS	Underway
58 (AP22)	15/03/2017	12	Share lessons learned on Waiver Decision with CCEW and OSCRC	CEX	Underway
56-12	12/12/2016	18	MOU with CRA to be drafted	HCS	Underway
54-5	19/9/2016	3	Arrange enhanced vetting for all Commissioners.	HCorpS	Underway
53-8	19/9/2016	6	Monitor and review 7 month reminders and report to March/April 18 Board	HC&E	Completed