



**Minutes of Board Meeting No. 60 held on Monday 26 June 2017 at 9:30 am  
At Belmont Tower, 82 Belmont Church Road, Belfast**

**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  
Natasha Mann, Finance & Admin Officer  
Stuart Neill, IT Assist (presenting)  
Damien Smyth, IT Officer (presenting)  
Sonya McTague, Finance and Admin Manager (observing)

The Chair opened the meeting by welcoming everyone and introducing Damien Smyth, IT Officer and Stuart Neill, IT Assist, who gave a presentation on the use of new software and mobile devices from 9:00am to 9:30am. The Chair also introduced Sonya McTague, Finance & Admin Manager, who observed the meeting.

**1. Minutes of Meeting 26 June 2017**

Following discussion, the minutes of the meeting held on 15 May 2017 were agreed as a true and correct record, as proposed by Norman Bennett 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 meeting on the strategic review and events he had recently attended. These included a CO3 event in support of volunteering and an event hosted by the Deputy Governor of the Bank of England to discuss current issues in the third sector. The Chair also provided an updated on the

Board Apprentice scheme, confirming the apprentice will begin in September with Norman Bennett acting as mentor.

#### **4. Chief Executive's Report**

The CEX introduced her report, noting that a staff development day covering how charities interact with staff would take place on 27 June 2017.

Commissioners noted the Chief Executive had accepted reappointment as a Director of the Chief Executives' Forum, and during the coming year the forum hoped to produce a further piece of work looking at sponsorship manuals for departments.

The CEX briefed the Board on issues discussed at a recent accountability meeting with the sponsor department. This included the corporate risk register and budgets. It was noted that as yet there is no capital funding available for this financial year, however, mechanisms are in place to apply for additional funding in year. Commissioners noted pressures, in particular the need for capital for the statutory 2017/18 on line Annual Monitoring Return.

The CEX informed the meeting that she and the Head of Compliance and Enquiries had met with representatives of The Executive Office convened Ex-Prisoners' Review Panel to discuss disqualification provisions in the Charities Act and areas of Commission work where conflict-related convictions have to be considered.

Following a query the Chief Executive briefed the Board on the decision of the local charity sector to adopt the fundraising self-regulatory regime already operated in England & Wales through the Fundraising Regulator. Further details of a transformation project, highlighted at the May meeting, which could be taken forward were outlined. Commissioners agreed resources should be put into scoping this project over the summer, with a formal proposal and timeline to be considered at the Board's meeting in September. It was agreed the outcome should be a risk model which would underpin the Commission use of resources in future years and options to enhance call handling. Following discussion, it was agreed that a number of proposals will be brought to September Board meeting for consideration.

#### **AP2: PID and timeline for Transformation Project to be brought to September Board.**

#### **5. Charity Services Report**

The Head of Charity Services outlined current work including schemes and orders, and highlighted as the number being requested has increased so the need for a separate and more specific manual is clear. Following discussion, the Board agreed to the establishment of a task and finish group to assist in writing this manual, which will be brought to September Board.

The Head of Charity Services also outlined current risks facing the charity services team including high risk cases, resourcing and legal challenges. Commissioners noted how these are being managed. Further changes to reporting of registration high risk/high profile cases was agreed.

**AP3: Head of Charity Services to set up Task and Finish group for Schemes and Orders.**

**AP4: Head of Charity Services to progress changes to reporting of high risk/high profile cases with Head of Monitoring and Compliance.**

## **6. Compliance & Enquiries Report**

The Head of Compliance & Enquiries outlined details of various work in hand including investigations. The Board noted that the new format reporting of concerns will be brought to September Board meeting.

Following a query the Head of Compliance & Enquiries outlined further steps following the meeting with representatives of the ex-prisoners' review panel and, following discussion, it was agreed that the Legal Advisory Group will meet in late summer to discuss issues raised.

**AP5: CEX to call meeting of Legal Advisory Group in late summer.**

## **7. Corporate Services Report**

The Head of Corporate Services presented an update on a range of issues including handing requests and complaints, the new General Data Protection Regulations (GDPR) coming into effect in May 2018, and work on ICT systems development with the Charity Commission for England & Wales. It was also noted that the Commission had passed a milestone in relation to web hits with over half a million visitors to the website and 100,000 views of the register.

Following a query the Head of Corporate services detailed resourcing arrangements in light of the overall budget position and potential in year bids priorities. Recent staff appointments and budget projections were outlined.

## **8 Reports from sub-committees:**

### **Audit & Risk Assurance Committee issues**

#### **8a. Minutes of A&RA Committee meeting 20 February 2017**

Following discussion, the minutes of the meeting held on 15 May 2017 were agreed as a true and correct record, as proposed by Geraldine Donaghy and seconded by Norman Bennett.

**AP6: A&RA Committee minutes to be published on Commission website.**

## **9 Policies & Processes**

### **9a. Annual Report & Accounts 2016-17**

Following discussion, the Board agreed the final version of the Annual Report and Accounts as proposed by Séamus Magee and seconded by Geraldine Donaghy. It was noted this would now be signed and submitted to the NIAO for certification.

**AP7: Chief Executive and Chief Commissioner to sign final version of annual report and accounts for submission to NIAO.**

### **9b. Final Business Plan 2017/18**

The Head of Corporate Services outlined revisions to the last Board-approved draft business plan. These reflected feedback from sponsor branch, additional priorities such as GDPR and transition project, and the confirmed reduction in resourcing. Following discussion of reduced work on failure to apply and registration and compliance targets, the Board approved the changes and agreed that this final version is forwarded to the Department as proposed by Séamus Magee and seconded by Norman Bennett.

**AP8: Final version of business plan to be forwarded to Department.**

### **9c. Assurance Statement Q1 2017/18**

The CEX updated the meeting on the Assurance Statement for Quarter 1 2017/18 and this was accepted by the Board.

**AP9: Chair to sign Q1 Assurance Statement and CEX to forward signed version to the Department.**

### **9d. Annual Equality Report**

The Head of Corporate Services presented the report and, following discussion, the Board agreed that it should be submitted to the Equality Commission as proposed by Steven Cockcroft and seconded by Geraldine Donaghy.

**AP10: Annual Equality Report to be submitted to the Equality Commission.**

### **9e. MOU with Information Commissioner**

The Head of Corporate Services presented the draft MOU between the Commission and the Information Commissioner's Office (ICO), which sets out the framework for co-operation and collaboration. Following discussion, the draft MOU was agreed as proposed by Steven Cockcroft and seconded by Séamus Magee.

**AP11: Legal team to arrange two signed copies of MOU to be sent to ICO.**

**9f. MOU with Board Apprentice**

The CEX presented the paper and informed the Board that following approval of the MOU, the apprentice paired with the Commission will attend Board meetings from September. The apprentice will observe meetings and take part in discussions but not in decision making. It was noted that Norman Bennett has agreed to act as the Board 'Buddy' for the duration of the scheme. Following discussion the Board approved the MOU for signature as proposed by Norman Bennett and seconded by Geraldine Donaghy.

**AP12: MOU with Board Apprentice Scheme to be signed and induction to be arranged during summer.**

**9g. Annual review of Board Terms of Reference, Code of Conduct and Standing Orders**

The CEX presented the paper and the Board agreed the Terms of Reference, Code of Conduct and Standing Orders as proposed by Steven Cockcroft and seconded by Geraldine Donaghy.

**AP13: Updated version of Terms of Reference, Code of Conduct and Standing Orders to be published on the Commission website.**

**9h. Educational Endowments process**

The Head of Charity Services presented potential arrangements for dealing with Educational Endowments schemes to the Board for approval. The main differences in schemes and educational endowments were outlined to the Board and it was noted that this is an interim measure to allow processing of a number of educational endowment scheme requests already received by the Commission whilst the schemes manual is finalised. Following discussion, the Board approved the interim process as proposed by Séamus Magee and seconded by Steven Cockcroft.

**9i. Policy on accompaniment for charities at meetings**

The Head of Corporate Services presented the paper to the Board outlining amendments following feedback from a Commissioner panel which dealt with a recent service complaint investigation. The Board discussed the changes and further amendments and it was agreed that the finalised document would be recirculated to include amendments and published once agreed.

**AP14: Policy on accompaniment at meetings to be finalised, recirculated and published once agreed.**

**9j. Failure to apply pilot**

The Head of Charity Services presented the paper and outlined the conclusions from the failure to apply pilot process, options and recommendation to the meeting. The Board queried the procedure if an enquiry is received regarding an organisation that has failed to apply. The

Head of Compliance & Enquiries confirmed that the Enquiries team would only consider looking at deemed organisations where the Commission had clear powers, those which are non-deemed could not be addressed. It was noted the Commission would continue to publish a registration list with details of organisations that had failed to apply and to communicate messages to increase public awareness in relation to organisations on that list. Following discussion, the Board accepted recommendation 4 - not to proceed with full implementation and take limited action on the results of the pilot, as proposed by Séamus Magee and seconded by Geraldine Donaghy.

**AP15: Key communications message to be developed to increase public awareness in relation to organisations which fail to apply.**

All staff left the meeting.

**9k. Chief Executive's performance objectives 2017-18**

Following discussion the Board agreed that the objectives should be redrafted and the amended version shared with the Board along with performance objectives for SMT.

**AP16: Redraft CEX objectives and share amended version and performance objectives for SMT with Board.**

Staff re-joined the meeting.

**9l. Environmental Sustainability report**

Noted.

**9m. Update on Protection of Charities Bill**

Noted.

**10. Issues for next meeting – 18 September 2017.**

It was noted that the next meeting would take place on 18 September 2017 in Malone House, Belfast at 10am. This will be followed by the annual public meeting beginning at 2pm. The CEX confirmed that the guest speaker will be Joe Saxton, nfp Synergy.

**AP17: Prepare lines to take for the Chair in relation to annual public meeting.**

**11. AOB**

It was noted that Commissioners would remain after this meeting to consider the opening of statutory inquiry.

Meeting ended at 12:40pm.

### Register of Outstanding Action Points

<b>Board Meeting and Action Point Number</b>	<b>Date Raised</b>	<b>Agenda Item</b>	<b>Action</b>	<b>Owners</b>	<b>Status</b>
60(AP1)	26/06/2017	1	Minutes of meeting 59 to be published on Commission website	HCorpS	Completed
60(AP2)	26/06/2017	4	PID and timeline for Transformation Project to be brought to September Board	CEX	Underway
60(AP3)	26/06/2017	5	Task and Finish group to be set up for Schemes and Orders	HCS	Underway
60(AP4)	26/06/2017	5	Head of Charity Services to progress changes to reporting of high risk/high profile cases with Head of Monitoring and Compliance	HCS	Underway
60(AP5)	26/06/2017	6	CEX to call meeting of legal advisory group in late summer	CEX	Underway
60(AP6)	26/06/2017	8a	Minutes of A&RA Committee meeting of 20 February 2017 to be published to website	HCorpS	Completed
60(AP7)	26/06/2017	9a	Final version of annual report and accounts to be signed by CEX and Chief Commissioner for submission to NIAO.	CEX	Completed
60(AP8)	26/06/2017	9b	Final version of business plan to be forwarded to department	HCorpS	Underway
60(AP9)	26/06/2017	9c	Quarterly stewardship statement for Q1 2017/18 to be signed by Chair and forwarded to Department	CEX	Completed
60(AP10)	26/06/2017	9d	Annual Equality Report to be submitted to the Equality Commission	HCorpS	Underway

60(AP11)	26/06/2017	9e	Legal to prepare two signed copies of MOU with Information Commissioner to be sent to ICO	CEX	Underway
60(AP12)	26/06/2017	9f	MOU with Board Apprentice Scheme to be signed and induction to be arranged during summer	CEX	Underway
60(AP13)	26/06/2017	9g	Board TOR, Code of Conduct and Standing Orders to be published on website	HCorpS	Underway
60(AP14)	26/06/2017	9i	Policy on accompaniment at meetings to be amended, recirculated and published once agreed	HCorpS	Underway
60(AP15)	26/06/2017	9j	Key communications message to be developed to increase public awareness in relation to organisations which fail to apply	HCorpS	Underway
60(AP16)	26/06/2017	9k	CEX performance objectives to be redrafted and amended version shared with the Board along with performance objectives for all of SMT.	HCorpS	Underway
60(AP17)	26/06/2017	10	Prepare lines to take for Chief Commissioner	CEX	Underway
59(AP2)	15/05/2017	4	SMT to develop options and bring firm proposals to Board at a later date.	SMT	Underway
59(AP3)	15/05/2017	5	Further communications on issue of legal refusals to be explored.	HCS	Underway
59(AP4)	15/05/2017	6	Head of Compliance & Enquiries to present new format to June Board	HC&E	Underway
59(AP5)	15/05/2017	7	ICT risks to be discussed at next Audit & Risk Assurance Committee meeting	HCorpS	Underway
59(AP7)	15/05/2017	8g (additional paper)	Paper to be brought back to next Audit and Risk Committee meeting	HCorpS	Underway
59(AP10)	15/05/2017	9d	Compliance Manual to be updated to include approved addendum	HC&E	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
59(AP13)	15/05/2017	10	Board Terms of Reference, Code of Conduct and Standing Orders to be reviewed at June meeting	CEX	Underway
58 (AP11)	15/03/2017	6	Develop guidance on serious incident reporting.	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 OSCR	CEX	Underway
56-12	12/12/2016	18	MOU with CRA to be drafted	HCS	Underway
56-13	12/12/2016	18	Meeting between CCNI and CRA to be arranged	HCS	Underway
54-4	19/9/2016	3	Develop a protocol for attending meetings and producing an agreed note	CEX	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 Board	HM&C	Underway