



**Minutes of Board Meeting No. 66 held on Monday 14 May 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
Anne Killen, Finance & Admin Officer

The Chair opened the meeting at 9:30am.

1. Minutes of Meeting 20 March 2018

Following discussion, the minutes of the meeting held on 20 March 2018 were agreed as a true and correct record, as proposed by Steven Cockcroft and seconded by Norman Bennett.

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 the recent selection and interview process for new Board Members as well as correspondence received from the Department proposing new premises. Discussions have commenced with Staff and the Trade Union and a visit to the proposed offices by the Commissioner and Staff premises group will be arranged in due course.

4. Chief Executive's Report

The CEX introduced her report, outlining cost considerations in respect of forthcoming court proceedings and highlighting the new procedure for Accounting Officers to annually confirm their own fitness/ability to fulfil the

role of Accounting Officer. The Board Apprentice Scheme was discussed and it was agreed that the CEX will contact Commissioners after appointments are made to confirm Board Buddy arrangements. Changes to the Board papers cover page to ensure assessment of privacy issues were agreed.

AP2: CEX to contact Commissioners to confirm Board Buddy arrangements

5. Charity Services Report

The Head of Charity Services introduced the report noting the recent Safeguarding conference and highlighting the growing number of Expressions of Intent forms submitted as well as the increase in the number, variety and complexity of casework applications. The Board discussed the strategic delivery of various work, including registration, and the consequences if compromises in approach or stark choices were made to live within the limited resources being made available now and in the next three years. It was agreed in order to reflect the fundamental issue of sponsor Department resourcing in the strategic planning process a paper setting out options would be brought to the next Board meeting following consultation with staff.

AP3: Paper for next Board Meeting re options for core work in the 2019-22 Strategic Plan

6. Compliance & Enquiries Report

The Head of Compliance & Enquiries provided a brief overview of the report and Commissioners noted the high profile/notable cases as well as the number of cases in default. It was pointed out staff were currently looking into the potential to appoint external resources to undertake certain investigations. The 7 month reminder process was reviewed and it was agreed this should continue unchanged at this time.

7. Corporate Services Report

The Head of Corporate Services introduced the report and Commissioners discussed and noted the year end budget spend achievement of 99% of the overall annual budget. A number of issues in relation to supplier performance and the risk of fraud were outlined.

8 Reports from Sub Committees:

A&RA Committee issues

8a. Minutes of A&RA Committee meeting 20 February 2018

Following discussion, the minutes of the meeting held on 20 February 2018 were agreed as a true and correct record, as proposed by Séamus Magee and seconded by Norman Bennett. Norman Bennett briefed on the most recent meeting and the various items of business being brought to the Board.

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

8b. Risk Register

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

8c. Draft Annual Report & 17/18 Accounts

The Chair of the Audit & Risk Assurance (A&RA) Committee introduced the draft 2017-18 accounts which were subject to finalisation and the Board noted the following: issues around treatment of CCEW capital charges have been resolved, NIAO have raised no issues to date, pensions information is awaited and will be included on receipt and there were no significant changes to this year's layout and format. The annual report text including governance statement was reviewed.

The Board thanked the new Finance & Admin Manager and staff for the timely preparation of the draft accounts and annual report which were adopted as proposed by Séamus Magee and seconded by Geraldine Donaghy.

Commissioners were asked to forward any further comments on the draft annual report to the Chief Executive.

AP5: Commissioners to forward any comments on the annual report to CEX.

8d. A&RA annual report to Board

The report, which gives broad assurance on the work of the Committee, was discussed and the Chief Commissioner thanked staff and Committee members for their work throughout the year. The Board noted the report for information.

8e. Review of whistleblowing policy

The Head of Corporate Services introduced the paper advising members that the policy was reviewed and accepted by the A&RA Committee with no further additions having been identified. The Board approved the policy as proposed by Stephen Cockcroft and seconded by Norman Bennett.

8f. Internal Audit 2nd Assignment Report 17-18

The Chair of the A&RA Committee briefed the Board on details in the report, noting that the overall outcome was satisfactory with no Priority 1 recommendations. The Board noted the Priority 2 and 3 recommendations which have been accepted by management.

8g. Internal Audit 17-18 Year-End Report

The Board noted the conclusions and overall satisfactory level of assurance in Internal Audit's report.

8h. Internal Audit Plan 2018-19

The Internal Audit Plan for 2018/19 was discussed and the Board noted the proposal to include an examination of the GDPR arrangements implemented by the Commission.

9 Policies & Processes

9a. Proposed actions against charities whose accounts fail testing

The Head of Compliance and Enquiries introduced the paper highlighting the proposals to update the Register to include "Failed Accounts" and to produce a Thematic Report on those charities failing to comply and "not checked". The Board agreed the procedures to be implemented proposed by Geraldine Donaghy and seconded by Séamus Magee.

9b. New Enquiries Manual

The Head of Compliance & Enquiries introduced the paper highlighting the main changes to the manual (which will become version 5.0 if approved) including proportionality, serious incident reporting and matters of material significance. Thanks were extended to Geraldine and Séamus for their input in a Task and Finish group and following proposal by Norman Bennett and Séamus Magee, the new manual was approved.

9c. Final Draft Business Plan 2018-19

The Head of Corporate Services summarised the draft Business Plan 2018/19 advising that the plan reflects resourcing based on the sponsor department's final resource allocation of £1,571,000 notified to the Commission on 21 March 2018. Following discussion and subject to some minor amendments, it was agreed to finalise the plan and submit to the Department for approval as proposed by Séamus Magee and seconded by Norman Bennett.

AP6: Draft business plan to be amended and submitted to sponsor branch

9d. Summary changes to manuals required as a result of GDPR

The Head of Corporate Services introduced the paper highlighting the areas which have been progressed since the last meeting. Commissioners noted the paper and, subject to minor changes, agreed to progress the changes to the Information Security, Records Management and Information Manuals as proposed by Geraldine Donaghy and seconded by Steven Cockcroft.

9e. International regulators' meeting attendance proposal

Commissioners noted the contents of the paper and approved travel for the Chief Executive to attend the next International Regulators' meeting in New York in November 2018. It was agreed that a request to travel is submitted to the Department for approval, as proposed by Steven Cockcroft and seconded by Séamus Magee.

AP7: Request to be submitted to DfC

9f. 17/18 Year End Business Plan Performance Report & Data Hub

The Head of Corporate Services outlined details of progress at year end against the 2017-18 Business Plan, highlighting the achievement of Key Performance Indicators. The Board noted that this success was achieved despite staff turnover mid-year, reflecting the commitment of all staff.

9g. Strategic Plan 2019/2022 - High Level Discussion Paper

The paper was discussed in detail and in light of discussion under agenda item 5 Commissioners agreed to cover this in detail at the June Board meeting and to delay the planned consultation timetable.

AP8: Revised Consultation timetable to be developed

9h. Legal Update

The Board noted the paper and agreed to proceed as advised.

10. Issues for next meeting – 18 June 2018.

It was noted that the next meeting would take place on 18 June 2018 in CCNI offices at 9:30am.

12. AOB

No other business discussed.

Meeting ended at 12:15pm.

Register of Outstanding Action Points

Board Meeting and Action Point Number	Date Raised	Agenda Item	Action	Owners	Status
66 (AP1)	14/5/2018	1	Minutes of meeting 65 to be published on website.	HCorpS	Completed
66 (AP2)	14/5/2018	4	CEX to contact Commissioners to confirm Board Buddy arrangements	CEX	Completed
66 (AP3)	14/5/2018	5	Paper for next Board Meeting re options for core work in the 2019-22 Strategic Plan	HCorpS	Completed
66 (AP4)	14/5/2018	8(a)	HR Committee minutes to be published on website.	HCorpS	Completed
66 (AP5)	14/5/2018	8(c)	Commissioners to forward comments to CEX on Annual Report	CEX	Underway
66 (AP6)	14/5/2018	9(c)	Draft Business Plan to be Submitted to Sponsor Branch	HCorpS	Completed
66 (AP7)	14/5/2018	9(e)	Request to be Submitted to DfC	CEX	Completed
66 (AP8)	14/5/2018	9(g)	Revised Consultation Timetable to be Developed	HCorpS	Underway
65 (AP5)	20/3/2018	9(a)	Further presentation on Risk Pillars to June 18 meeting	HCorpS	Underway
65 (AP7)	20/3/2018	10	Style/Format of next Public Meeting suggestions to be sent to CEX	CEX	Underway
64(AP4)	22/01/2018	8a	Detailed paper on removing closed charities from the Register to be brought to May Board meeting	HCS	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	Completed
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 OSCR	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