



**Minutes of Board Meeting No. 62 held on Monday 6 November 2017  
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  
Ainslie McMullan, Casework Manager (presenting)  
Conor Creaney, Casework Officer (presenting)  
Ruth McMurray, Casework Officer (presenting)  
Donna Semple, Casework Officer (presenting)  
Natasha Mann, Finance & Admin Officer

The Chair opened the meeting by welcoming everyone and introducing the casework team who gave a presentation on their work from 9:00am to 9:30am and then left the meeting. The Chair also introduced James Walsh, Enquiries Officer and Yvonne Bell, Legal Advisor, who observed the meeting.

**1. Minutes of Meeting 18 September 2017**

Following discussion, the minutes of the meeting held on 18 September 2017 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**

All staff apart from SMT left the meeting. The Board discussed an ongoing issue related to premises and agreed the Chief Executive should reflect their concerns to senior officials in the sponsor department in a forthcoming meeting. The Chair noted that he would be assisting in a forthcoming recruitment exercise for Board members of the Charities Regulatory Authority. The Board were updated on recent correspondence relating to complaints. The planned Commissioner recruitment exercise was discussed and useful skills agreed. It was noted that there would be no Board residential until new Commissioners had been recruited. Ongoing issues with the reliability of IT Assist secure remote devices were noted.

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

The CEX introduced her report, noting the recent accountability meeting with the Department. Commissioners were invited to attend the information session, delivered the Fundraising Regulator, on Wednesday 8 November in CCNI offices.

The CEX informed the Board that Internal Audit's first assignment of 2017-18 is underway and a report on findings will come to the November A&RA Committee. The Board noted ongoing correspondence with MLAs in relation to registration requirements.

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

The Head of Charity Services outlined current work including the focus on grouped registrations and areas of compliance work which is now being dealt with by the casework team. It was noted that a fixed term Legal Advisor had been recruited, providing maternity cover.

The Head of Charity Services also informed the meeting that HMRC has been advised of the Board's concerns and decision at its September meeting to change its policy position on applying to HMRC for charity tax purposes prior to registering with the Commission. It was noted that HMRC is currently investigating the practicalities of sharing information prior to granting charitable tax status.

The Board noted other work including development of a removals from the register process and updates to the registration and legal manuals.

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

The Head of Compliance & Enquiries outlined details of various work in hand including investigations. It was noted that the Monitoring & Compliance Manager has returned from maternity leave on a reduced hours basis and that the temporary Monitoring & Compliance Manager had reduced his hours to ensure a full time equivalent is retained. It was also noted that the temporary Monitoring & Compliance Manager has submitted his resignation and his period of notice is due to end in January 2018. Options for his replacement are currently being considered.

The Head of Compliance & Enquiries informed the meeting that October was the busiest month to date in terms of annual reporting with 850 sets of accounts expected by 31 October. The team's focus will be on monitoring those outstanding.

## **7. Corporate Services Report**

The Head of Corporate Services presented the paper and updated the meeting on a range of issues including accommodation enhancements and ICT developments. The updated budget to end of October 2017 was tabled. The improved position as forecasted was discussed and noted. It was also noted that unanticipated spend relating to accommodation would be covered by the Department.

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

### **HR Committee issues**

#### **8a. Minutes of HR Committee meeting 8 February 2017**

Following discussion, Board agreed to temporarily amend the HR Committee Terms of Reference to reduce the number of Commissioners in membership to two. The Board noted that the independent A&RA Committee member has been temporarily co-opted on to the HR Committee, as requested by the Board previously. Following discussion, the minutes of the meeting held on 8 February 2017 were agreed as a true and correct record, as proposed by Steven Cockcroft and seconded by Norman Bennett.

**AP2: Temporarily amended HR Committee TOR to be published on Commission website.**

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

#### **8b. Travel and subsistence policy**

Following discussion, the Board approved the minor amendments to the Travel and Subsistence Policy as proposed by Steven Cockcroft and seconded by Norman Bennett.

**AP4: Approved Travel and Subsistence policy to be circulated to all staff**

## **9 Policies & Processes**

### **9a. Amendment to legal manual**

Following discussion, the Board approved the amendments to the legal manual as proposed by Geraldine Donaghy and seconded by Steven Cockcroft.

### **9b. Amendments to registration manual**

The Head of Charity Services introduced the paper and outlined a number of resource saving or necessary enhancements to the manual. It was noted that other regulators undertake a similar approach and that the focus going forward should be on more serious issues to reflect the fact that the Commission cannot do everything, due to resourcing. Following discussion, the Board approved the document as proposed by Séamus Magee and seconded by Geraldine Donaghy.

### **9c. Draft business plan 2018-19**

The Head of Corporate Services introduced the paper which outlined the outcomes of discussions at a half day staff planning session, followed by consideration by SMT.

Following discussion, the Board confirmed it was content to continue prioritising Monitoring and Compliance work. Commissioners requested that some of the risk assumptions are further developed and the foreword enhanced to reflect that the Board is extremely concerned about insufficient resourcing.

It was also agreed to review the wording of monitoring KPIs and that next draft of the plan would be sent to Commissioners prior to the normal issue date for next Board meeting papers.

**AP5: Review wording of monitoring KPIs**

**AP6: Next draft of plan to be sent to Commissioners well in advance of next Board meeting.**

### **9d. Q2 Business plan progress report**

Noted.

### **9e. Preparation for General Data Protection Regulations (GDPR)**

The Head of Corporate Services updated the meeting on the implications of and preparation for GDPR and highlighted the issue of covering the Data Protection Officer role specified in the regulations. The Head of Corporate Services will look at the issues required of this role and prepare a paper for decision by the Board in December.

**AP7: Head of Corporate Services to prepare paper for Board consideration in December.**

**10. Review of Annual Public Meeting and future plans**

Commissioners agreed that the Annual Public Meeting held on 18 September 2017 had been a successful event and were asked to submit ideas and thoughts for the next meeting to the Chair and Chief Executive.

**11. Issues for next meeting – 11 December 2017.**

It was noted that the next meeting would take place on 11 December 2017 in CCNI offices at 9:30am.

**12. AOB**

None.

Meeting ended at 12:05

### 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>
62(AP1)	06/11/2017	1	Minutes of meeting 61 to be published on website	HCorpS	Completed
62(AP2)	06/11/2017	8a	Temporarily amended HR Committee TOR to be published on Commission website.	HCorpS	Completed
62(AP3)	06/11/2017	8a	HR Committee minutes to be published on Commission website	HCorpS	Completed
62(AP4)	06/11/2017	8b	Approved Travel & Subsistence policy to be circulated to all staff	HCorpS	Underway
62(AP5)	06/11/2017	9c	Review wording of monitoring KPIs	HC&E	Underway
62(AP6)	06/11/2017	9c	Next draft of plan to be sent to Commissioners prior to next Board meeting	HCorpS	Underway
62(AP7)	06/11/2017	9e	Head of Corporate Services to prepare paper for Board consideration	HCorpS	Underway
61(AP2)	18/09/2017	3	Letter extending Kieran Donaghy's appointment to be issued early December 2017	CEX	Underway
61(AP4)	18/09/2017	5	Policy to send Chair briefing on fundraising regulator	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	Underway
61(AP6)	18/09/2017	7	Head of Corporate Services to contact VSS for policy	HCorpS	Underway

61(AP10)	18/09/2017	9f	Head of Charity Services to change guidance and agree protocol wording with HMRC in relation to granting tax exemptions to unregistered charities	HCS	Underway
60(AP3)	26/06/2017	5	Task and Finish group to be set up for Schemes and Orders manual development	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(AP10)	26/06/2017	9d	Annual Equality Report to be submitted to the Equality Commission	HCorpS	Complete
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	Complete
59(AP4)	15/05/2017	6	Head of Compliance & Enquiries to present new format to November 17 Board	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
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
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 March/April 18 Board	HC&E	Underway