

**Minutes of Audit & Risk Assurance Committee Meeting No. 34
held on Wednesday 29 November 2017 at 9:30am in the Charity
Commission for Northern Ireland office, Lurgan**

Present:

Norman Bennett, Chair
Séamus Magee, Commissioner
Kieran Donaghy (Independent Member)

In Attendance:

Frances McCandless, Chief Executive
Aubrey McCrory, Head of Corporate Services
Peter Toner, DfC VCD
Eamonn O'Reilly, DfC Internal Audit
Gail Devine, DfC Internal Audit
Tracey McCavigan, DfC Internal Audit
Peter O'Sullivan, NI Audit Office
Natasha Mann, Finance & Admin Officer

The meeting commenced at 9:30am.

1. Minutes of Meeting

The minutes of the Audit & Risk Assurance (A&RA) Committee meeting held on 5 September 2017, were agreed as a true and accurate record. Proposed by Kieran Donaghy and seconded by Séamus Magee.

AP1: Minutes of the meeting to be recommended to the Board for approval.

2. Conflicts of Interest

The Chair reminded members of the need to declare any conflicts of interest prior to the meeting commencing. No declarations were made in relation to this meeting.

3. Chair's Comments

The Chair held a quality review meeting with Internal Audit as part of IA quality assessment. It was agreed a copy of the notes of the meeting would be circulated to members.

AP2: Copy of notes from IA quality review meeting to be circulated to members.

4. Risk register

The Head of Corporate Services introduced the paper and outlined progress since the Board last adopted the register. Following discussion of the proposed risks to be escalated, the committee agreed to recommend the risk register, subject to minor amendments, to the Board as proposed by Séamus Magee and seconded by Kieran Donaghy.

AP3: Risk register to be updated and recommended to Board for approval.

5. Review of Business Continuity Plan

The Head of Corporate Services outlined details of the review and highlighted proposed minor changes to the committee. Following discussion, it was agreed that SMT would give consideration to augmenting office security arrangements and in the meantime include reference to cyber security. The committee approved revisions to the document, subject to minor changes, as proposed by Kieran Donaghy and seconded by Séamus Magee.

AP4: SMT to give consideration to augmenting text on threats to the office and include reference to cyber security in Business Continuity plan.

6. Review Whistleblowing policy

The Head of Corporate Services outlined details of the review which had not recommended any changes. It was agreed that the report on the review of the Whistleblowing policy and Business Continuity Plan would be submitted to Board as one report.

AP5: Review of Whistleblowing policy and Business Continuity Plan to be consolidated into one paper for Board.

7. Fraud and Whistleblowing report

None to report.

8. Internal Audit Report on 1st Assignment

Eamonn O'Reilly, DfC Internal Audit, presented the paper. It was noted that no Priority 1 and 2 recommendations were made and comments were invited from the committee. Following discussion, the

committee accepted the report. It was noted that the second assignment is planned for quarter 4.

9. Results of Committee self-assessment

The Chair updated the meeting on the outcome of the committee self-assessment held on 6 November 2017. It was noted that consideration had been given to commissioner recruitment and that new skills had been identified. It was agreed that these skills should be included in the recruitment process for new commissioners.

10. Budget

The Head of Corporate Services introduced the paper outlining changes in budget and confirmed that sponsor branch has given additional emergency capital funding to cover accommodation enhancements.

11. NIAO Audit Strategy

Peter O'Sullivan, NIAO, presented the paper and actions for the committee were noted.

12. IA audit charter

Eamonn O'Reilly, Internal Audit, presented the paper it was agreed that the Chair could sign. It was agreed that Norman Bennett would report verbally to the Board that the charter had been accepted.

13. Audit recommendations implementation report

The Head of Corporate Services presented the paper and it was noted that outstanding recommendations would be reviewed as part of the second assignment in quarter 4.

14. Review of conditions attached to business case approvals

Noted.

15. DAO letters summary

Noted.

16. AOB

None.

17. Issues for next meeting

Next meeting scheduled for 20 February 2018.

Meeting ended at 10:45 am

Audit & Risk Committee

Register of Outstanding Action Points

Committee Meeting and Action Point Number	Date Raised	Agenda Item	Action	Owners	Status
34 (1)	29/11/17	1	Minutes of the meeting to be recommended to Board for approval.	HCorpS	Completed
34 (2)	29/11/17	3	Copy of notes from IA quality review meeting to be circulated to members.	CEX	Completed
34 (3)	29/11/17	4	Risk register to be amended as agreed and recommended to Board for approval.	HCorpS	Completed
34 (4)	29/11/17	5	SMT to give consideration to augmenting text on threats to the office and include reference to cyber security in Business Continuity plan.	SMT	Completed
34 (5)	29/11/17	5 & 6	Whistleblowing policy and Business Continuity Plan to be consolidated into one paper for Board.	HCorpS	Completed
33 (8)	05/09/17	14	Plan briefing for committee on cyber security.	HCorpS	Underway
30 (3)	15/11/16	7	A&RA involvement in Section 22 decisions to be part of wider Board discussion.	HCorpS	Underway

29 (8)	29/9/16	12	New assurance check on complying with Code of Good Governance (2013) to be developed.	HCorpS	Underway
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