



Corporate Governance Framework

Version 6.0 (April 2018)

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1. Introduction

Purpose and Scope of this Document

- 1.1 This document sets out details of the Public Prosecution Service's corporate governance framework. It provides information on the system of direction and control within the Service and confirms the scope of the Service's corporate governance arrangements which have been established to ensure proper and effective management of the Service's affairs.
- 1.2 This guidance is intended to be a 'living document' which will evolve as the Service's corporate governance arrangements develop. It will therefore be kept under continuing review. It will be formally reviewed at least once a year by the Management Board.

Statutory Background

- 1.3 The Public Prosecution Service (PPS) was established on 13 June 2005 by the Justice (Northern Ireland) Act 2002 ("the 2002 Act"). The Act creates the Public Prosecution Service and defines its statutory duties and commitments and the legislative framework within which it provides its services.
- 1.4 The PPS is the principal prosecuting authority in Northern Ireland. In addition to taking decisions as to prosecution in cases investigated by the police in Northern Ireland it also considers cases investigated by other statutory authorities, such as HM Revenue and Customs.
- 1.5 The PPS's vision is to be recognised as providing a first class prosecution service for the people of Northern Ireland.

Accountability Arrangements

- 1.6 As specified at section 29(6) of the 2002 Act the Director is head of the Service and the Public Prosecutors and the other members of staff of the Service are

subject to his direction and control. The Director is also the Accounting Officer for the PPS. As Accounting Officer, the Director is responsible for ensuring that all public monies are used efficiently and effectively. All members of staff are Northern Ireland Civil Servants. The Service's organisational structure is set out at **Annex A**.

1.7 There is also a Deputy Director of Public Prosecutions. The Deputy Director has all the powers of the Director but must exercise them subject to his direction and control. Both the Director and Deputy Director posts are public appointments made by the Attorney General for Northern Ireland.

1.8 Section 3(2) of the Northern Ireland Act 2009 established the Director of Public Prosecutions for Northern Ireland as a 'corporation sole'. This was to facilitate the holding of property, rights and liabilities by the Director, reflecting the intention that, following devolution, the Public Prosecution Service for Northern Ireland should be a non-ministerial department, independent of a 'parent' department within the Northern Ireland departmental system. The relevant section is as follows:

"After section 30 of the Justice (Northern Ireland) Act 2002 (c26) insert -

30A Corporation sole etc.

(1) The Director of Public Prosecutions for Northern Ireland is a corporation sole.

(2) The Director may do anything, apart from borrowing money, which is calculated to facilitate the exercise of the Director's functions or which is incidental or conducive to the exercise of those functions.

(3) An instrument or other document purporting to be signed or otherwise executed by or on behalf of the Director is to be received in evidence and is, unless the contrary is proved, to be taken to be so signed or executed."

1.9 As a non-ministerial department, the Service prepares its own annual report and resource accounts, in accordance with the guidance set out in the Government Financial Reporting Manual and other guidance as directed by the Department of Finance.

- 1.10 The PPS is financed directly from the Northern Ireland Consolidated Fund through the supply process operated by the Department of Finance. Each year the PPS is given approval for its expenditure when the Assembly votes the Main Supply Estimates.
- 1.11 In May 2010 John Larkin QC was appointed as the Attorney General for Northern Ireland, as part of the devolved justice arrangements. The 2002 Act provides for the Director and Attorney General to consult with each other from time to time on any matter for which the Attorney General is accountable to the Northern Ireland Assembly. However in accordance with section 42(1) of the 2002 Act the functions of the Director shall be exercised by him independently of any other person.
- 1.12 At present a number of prosecutorial matters, principally in respect of national security and terrorism, are reserved to Parliament at Westminster. Duties in respect of these matters are performed by the Advocate General for Northern Ireland, currently the Rt. Hon. Jeremy Wright QC MP who is also the Attorney General for England and Wales. This arrangement is provided for by section 27 of the 2002 Act.

2. Corporate Governance: Definition

2.1 Corporate Governance is the way in which an organisation is directed, controlled and led. It defines relationships and the distribution of rights and responsibilities among those who work with and in the organisation, determines the rules and procedures through which the organisation's objectives are set and provides the means of attaining those objectives and monitoring performance. Importantly it defines where accountability lies throughout the organisation.¹

2.2 Good governance is central to the effective operation of government departments. It is recognised that while government departments are not the same as for-profit organisations, they still have a need to be business-like and operate according to recognised precepts of good governance in business:

- Leadership – articulating a clear vision for the department and giving clarity about how policy activities contribute to achieving this vision, including managing risk;
- Effectiveness – bringing a wide range of relevant experience to bear, including through offering rigorous challenge and scrutinizing performance;
- Accountability – promoting the government's goal of transparency through clear and fair reporting; and
- Sustainability – taking a sensible, long-term view about what the department is trying to achieve and what it is doing to get there.

2.3 The PPS is committed to high standards in corporate governance. The policy of the PPS is to ensure that effective governance arrangements are maintained which serve to improve the quality of decision making and the ability to deliver on strategic and operational objectives. This document complements the current risk management policy, PPS Corporate Plan, Annual Business Plans and financial management arrangements which together provide the systems to manage the Service's resources.

¹ Corporate Governance in Central Government Departments: Code of Good Practice NI 2013

3. Management Board

- 3.1 The PPS Management Board supports the Director in his leadership of the PPS and in reaching decisions on the strategic direction of the PPS, the development of appropriate strategy and in meeting his corporate governance responsibilities.
- 3.2 The Board comprises the Director, Deputy Director, two Senior Assistant Directors (SADs) and two independent Non-Executive Members. The Board is chaired by the Director, and in his absence, by the Deputy Director. The Board's Terms of Reference, which set out the functions, aims and responsibilities of the Board and its membership, are at **Annex B**.

Board Committees

- 3.3 The Management Board is supported by a number of Committees as follows:
- Audit and Risk Committee (ARC)
 - Senior Management Group (SMG)
 - People and Resources Committee (PRC)
 - Performance and Delivery Committee (PDC)
 - Policy and Quality Committee (PQC)
- 3.4 The relationship between the groups is illustrated at **Annex C**. The Schedule of Matters Reserved to the Board and Scheme of Delegation to the Board's committees are set out below (see Section 5).
- 3.5 In addition to the above committees, the Director's Review Meeting (DRM) generally takes place on a weekly basis. This provides an opportunity for the senior executive team (the Director, Deputy Director and SADs) to discuss current resource, governance and operational issues and to provide advice and direction on specific items of business that need to be progressed. While business at the DRM is typically conducted on a more informal basis than at Board committees, all actions will be recorded by the secretariat and relayed as necessary within the organisation.

4. Roles and Responsibilities

- 4.1 All board members and members of senior management have a responsibility to act in accordance with the Seven Principles of Public Life (see **Annex D**) when carrying out their duties.

Accounting Officer

- 4.2 The Department of Finance has appointed the Director of Public Prosecutions as Accounting Officer of the PPS. The responsibilities of an Accounting Officer, including responsibility for the propriety and regularity of public finances for which the Accounting Officer is answerable, for keeping proper records and for safeguarding PPS assets, are set out in 'Managing Public Money Northern Ireland', issued by the Department of Finance.
- 4.3 Managing Public Money also stipulates that each public sector organisation must have an accounting officer available for advice or decision as necessary at short notice. When the Director (as Accounting Officer) is absent and cannot readily be contacted, another senior official, normally the Deputy Director, will deputise. If a significant absence is planned, the Accounting Officer will invite the Department of Finance to appoint a temporary acting accounting officer.

Executive Board Members

- 4.4 The business of the PPS is managed by the executive board members. In the PPS they are the:
- Director of Public Prosecutions.
 - Deputy Director of Public Prosecutions.
 - Senior Assistant Director, Serious Crime & Regions.
 - Senior Assistant Director, Resources & Change.
- 4.5 In their role as executive board members they are responsible for the development of strategy and for supporting the delivery of that strategy. This

includes taking steps to ensure that business is prioritised and decisions implemented in accordance with the objectives set by the Board. The roles and responsibilities of each executive member are clearly defined and agreed with the Director of Public Prosecutions. In addition, executive members have a responsibility, in tandem with fellow Board members both executive and non-executive, for the management and governance of the PPS.

Independent Non-Executive Board Members

4.6 The PPS has two independent Non-Executive Board Members. Their primary role is to contribute to the good governance of the Service. The role of the Independent Board Members is to:

- Participate fully in the formulation of business planning, strategy development and audit and risk management.
- Participate fully in the process of monitoring the Service's progress towards meeting agreed objectives and targets.
- Challenge the process of policy formulation.
- Participate in, and challenge, the financial planning of budgets and decisions on budget bids and easements.
- Chair, and membership of, the Audit and Risk Committee and membership of other committees as agreed by the Director.
- Represent the Service as required.

Principal Establishment and Finance Officer

4.7 From April 2010, on establishment of the PPS as a non-ministerial department the Service appointed a Senior Assistant Director for Finance and Resources. The Senior Assistant Director is a member of the

Management Board and acts as the Principal Establishment and Finance Officer (PEFO) for the Service and in this role is responsible for ensuring that proper controls are in place to safeguard public funds and departmental assets and to provide advice to the Accounting Officer as required.

4.8 The PEFO also acts as the Senior Information Risk Owner (SIRO) for the organisation.

4.9 From August 2013, this role was remodeled to include responsibility for Change Management. The post of SAD Resources and Change includes previous responsibilities as PEFO and SIRO.

5. Schedule of Matters Reserved to the Board and Scheme of Delegation

Introduction

- 5.1 This Scheme was made by the Director of Public Prosecutions for Northern Ireland on 1 February 2012. It defines the matters which the Director has reserved to the Board and the decisions which the Board and its committees can make. It also sets out the terms of reference of business of the Board and its committees which are detailed in the annexes of this framework document.
- 5.2 The Management Board shall not exercise any function in relation to individual prosecutorial decisions.
- 5.3 The Director and Management Board will review the effectiveness of the Scheme each year and make amendments as required.

Matters reserved for Board approval

Governance

- 5.4 The following matters are reserved to the Board:
- (i) Setting the Service's standards and values.
 - (ii) Establishment and dissolution of Board committees.
 - (iii) Review of the Register of Interests for Board members and staff.
 - (iv) Approval of organisation-wide policies.²
 - (v) Approval of arrangements for dealing with complaints.
 - (vi) Approval of the equality scheme.
 - (vii) Approval of the freedom of information publication scheme.
 - (viii) Approval of the PPS Risk Management Policy and risk appetite.

² With the exception of those policies which focus on prosecutorial matters. PPS will also adopt a range of central government and NICS policies which will be brought to the attention of the Board as required.

- (ix) Approval of procedures for the evaluation of the effectiveness of the Board
- (x) Approval of strategic corporate communications.

5.5 The PEFO is responsible for all other governance matters not precluded under this Scheme (or which fall to the Director as Accounting Officer for the PPS, including publication of the annual Governance Statement), specifically:

- (i) Recording and reporting on the Board's governance arrangements.
- (ii) Implementation of the complaints scheme, equality scheme, freedom of information publication scheme, staff code of conduct and other policies, with the exception of those policies which focus on prosecutorial matters.

Strategy, plans and budgets

5.6 The following matters are reserved to the Board:

- (i) Definition of the Service's vision, aims and objectives.
- (ii) Ownership of the corporate plan.
- (iii) Approval of annual budget and estimates.
- (iv) Monitoring of performance objectives and budget on a regular basis.

5.7 The PEFO is responsible for all other strategy, planning and budgeting matters not precluded under this Scheme, specifically:

- (i) Preparation of the annual budget and estimates and controlling income and expenditure.
- (ii) Preparation of the draft corporate plan.
- (iii) Advising the board on strategic corporate issues.

Staffing³

5.8 PPS staff are NICS Civil Servants and therefore the Service will follow relevant policies and procedures as specified by the Department of Finance (DOF), including:

- (i) Recruitment, appointment and grading procedures.
- (ii) Remuneration policy.⁴
- (iii) The disciplinary procedure.
- (iv) The grievance procedure.
- (v) The redundancy policy.
- (vi) The staff appraisal policy.
- (vii) Redundancy procedures.

5.9 The following matters are reserved to the Board:

- (i) Approval of any substantial organisational restructuring, within the overall headcount and budget agreed by DOF.
- (ii) Approval of all new posts.
- (iii) Establishment of a remuneration committee.

5.10 The PEFO is responsible for all other staffing matters not precluded under this Scheme, specifically:

- (i) The recruitment and appointment of all staff in accordance with the agreed appointments procedure.
- (ii) Implementation of the staff appraisal system.
- (iii) The taking of disciplinary action in accordance with the disciplinary procedure.
- (iv) The operation of the grievance procedure.

³ Since devolution in April 2010, PPS staff have undergone a period of assimilation whereby they have had the opportunity to convert to NICS terms and conditions or to remain under the same terms and conditions applicable to the Northern Ireland Office.

⁴ The salary of the Director and Deputy Director are set in line with the Judicial Appointments Scale as determined by DoF.

- (v) The implementation of organisational restructuring.

Financial arrangements

5.11 Delegated Authority

The Department of Finance manages the funds for the Northern Ireland Block, as voted by the Northern Ireland Assembly, and is responsible for the approval of expenditure except to the extent that this has been delegated to individual departments. Overall delegated limits for authority for expenditure have been set by the Department of Finance. The details are set out at **Annex E** and cover the areas where DOF approval is required for all departments, as well as the arrangements relating specifically to the PPS.

5.12 Approval to Incur Expenditure

The Accounting Officer is ultimately responsible for ensuring the:

- regularity and propriety of PPS expenditure, in line with the Ambit of the Service; and
- the operation of the PPS within the Cash Allocation and Budgetary Limits voted to the Service within their annual Estimate.

The main circumstances under which PPS does not have the authority to make an expenditure decision, irrespective of value, are where the spend:

- relates to an area which is not within the delegated authority of the PPS;
- could create pressures which could lead to a breach of Departmental Expenditure Limits (i.e. annual budgets);
- would entail contractual commitments to significant levels of spending in future years for which plans have not been set;
- could set a potentially expensive precedent;
- could cause repercussions for others;

- involves consultancy costs of over £75k;
- exceeds the general threshold for major capital expenditure projects i.e. £500k for IT and £1M for all other capital projects; or
- is novel or contentious.

In these circumstances a business case will have to be formally submitted seeking the approval of the Department of Finance irrespective of expenditure value.

- 5.13 Where PPS does have authority the development of a **Business Case** is nonetheless required in order to support non-routine or novel expenditure over £5,000 in order that the business rationale and value for money can be considered before implementation is approved.
- 5.14 All business cases must be forwarded to the PPS Finance team in advance of seeking formal approval. These cases are logged under a central register, allocated to a responsible party and their progress monitored. Progress stages include Finance Team approval, Management approval, DOF approval where required, date of initiation of the Post Project Evaluation and date of completion of the Post Project Evaluation.
- 5.15 The Finance team will operate as the internal challenge function to ensure the case has been adequately made and must make an initial recommendation in respect of the financial viability of a case before it can be forwarded for appropriate approval.
- 5.16 Appropriate approval for a business case is determined by the nature and value of expenditure. The Management Board has assigned a schedule of purchasing authorisation levels, within the overall DOF framework. These are set out at **Annex F**
- 5.17 The following matters are reserved to the Board:
- (i) Approval of all non-routine expenditure over £100,000.

- (ii) Approval of financial policy, for instance the Anti-Fraud Policy and Fraud Response Plan and Anti-Bribery and Corruption Policy.
- (iii) Any other matter that is of significant financial or reputational risk to the Board.

5.18 The PEFO is responsible for all other financial matters not precluded under this Scheme, specifically:

- (i) Implementation of financial policies, including the Anti-Fraud Policy and Fraud Response Plan.
- (ii) Implementation and management of any steps needed to safeguard the assets of the organisation.
- (iii) Approval of special payments.

5.19 It should be noted that approvals in respect of Counsel Fee payments are set out in the Prosecution Fees Scheme guidance which is administered through a Central Fees Team, ensuring the consistent application of the scheme and the maintenance of all necessary records.

Procurement

5.20 Procurement is the process of identifying the best means of appropriate supply for the goods and services used by the PPS. After the decision to incur the expenditure has been approved and the availability of the funding is assured the PPS Procurement Officer will consider due process. PPS Procurement and Purchasing Policy sets out the framework for purchasing within the Service. All procurement over £5,000 is conducted by the Procurement Officer; procurement over £30,000 is conducted by the Procurement Officer in conjunction with the Central Procurement Directorate; whilst below £5,000 the Delegated Purchasing Branches can conduct the exercise. The nature of the exercise is determined by the value of the goods/services to be purchased in line with Central Procurement Directorate guidance - PGN 04/12 Procurement Control Limits and PGN 05/12 Procurements over £30,000 and below EU Thresholds.

5.21 In exceptional circumstances and under certain conditions it may be appropriate not to undertake an open competition and a Direct Award Contract (DAC) may be made. Any such proposal will require the approval of the Accounting Officer and CPD will make the award for DACs over £5,000. The Process should be taken forward in line with PPS Procurement and Purchasing Policy and the Central Procurement Directorate's Procurement Guidance Note 03/11 - Award of contracts without a competition.

5.22 The PEFO is responsible for all other purchasing matters not precluded under this Scheme, and specifically for the approval and implementation of procurement policy.

Auditing and Reporting

5.23 The following matters are reserved to the board:

- (i) Approval of the annual report and audited financial statements.
- (ii) Appointment of an internal auditor.
- (iii) Approval of the terms of reference of the Audit and Risk Committee.

5.24 The PEFO is responsible for all other auditing and reporting matters not precluded under this Scheme (or which fall to the Director as Accounting Officer for the PPS), specifically:

- (i) Preparation of the annual report and financial statements.
- (ii) Provision of support and advice in the preparation of the governance statement.
- (iii) Maintenance of the corporate risk register.
- (iv) Reporting losses and special payments to the Audit and Risk Committee on a quarterly basis and to the Management Board every 2 months.

Delegation of Authority

5.25 The terms of reference of the board are set out at **Annex B**. In addition, the following matters are delegated to the Board's various committees, each of which will report regularly to the board:

- (i) The Audit and Risk Committee is responsible for those matters outlined in its terms of reference (**Annex G**).
- (ii) The Senior Management Group is responsible for those issues outlined in its terms of reference (**Annex H**).
- (iii) The People and Resources Committee is responsible for those issues outlined in its terms of reference (**Annex I**).
- (iv) The Performance and Delivery Committee is responsible for those issues outlined in its terms of reference (**Annex J**).
- (v) The Policy and Quality Committee is responsible for those issues outlined in its terms of reference (**Annex K**).

5.26 The PEFO is not restricted from exercising his own delegation to his staff for any of the matters for which he is responsible.

Urgent Decisions

5.27 If, exceptionally, an urgent issue cannot be dealt with by correspondence, the Director will make a decision and advise the members of the Board accordingly.

6. Internal Control and Risk Management

6.1 The system of internal control within PPS is designed to manage risk to a reasonable level rather than to eliminate all risk of failure to achieve policies, aims and objectives; it can therefore only provide reasonable and not absolute assurance of effectiveness. The system of internal control is based on an ongoing process designed to identify and prioritise the risks to the achievement of PPS policies, aims and objectives; to evaluate the likelihood of those risks being realised; the impact should they be realised; and to manage them efficiently, effectively and economically.

6.2 The PPS Corporate Governance Framework consists of a range of supporting policies, procedures and other internal and external documents. These have been listed at **Annex M**. This list is not exhaustive and will be subject to review and update as necessary (Note: Many of these documents are also referenced elsewhere in this guidance as required).

6.3 Key elements within the system of internal control include the following:

- Preparation of an annual report and resource accounts.
- An annual Governance Statement.
- The PPS risk management framework.
- The PPS corporate planning framework.
- Statements of assurance.
- Review by internal audit.
- External assurance.
- Stakeholder engagement

Annual Report and Resource Accounts

6.4 Under the Government Resources and Accounts (Northern Ireland) Act 2001, the Department of Finance directs the Public Prosecution Service to prepare for each financial year resource accounts detailing the resources acquired, held or

- disposed of during the year and the use of resources by the Service during the year.
- 6.5 In accordance with section 39(1) of the Justice (Northern Ireland) Act 2002, the Director must also prepare an annual report on how he has exercised his functions during the financial year. The provisions of a code of practice for Public Prosecutors must be set out in the Director's annual report for the financial year in which the code is issued; and any alterations to the code must be set out in his annual report for the financial year in which the alterations are made.
- 6.6 At the end of each financial year the Annual Report and Resource Accounts are presented by the Accounting Officer to the Comptroller and Auditor General for certification.
- 6.7 In practice the Annual Report and Resource Accounts are presented and laid as a single document. Arrangements for laying are as follows:
- The Resource Accounts are laid before the Northern Ireland Assembly by the Department of Finance under section 10(4) of the Government Resources and Accounts Act.
 - The Annual Report is laid before the Assembly by the Attorney General for Northern Ireland under section 42(6) of the Justice (Northern Ireland) Act 2002.
 - The Annual Report is also presented to Parliament by the Advocate General for Northern Ireland under section 42(6) of the Justice (Northern Ireland) Act 2002.
- 6.8 In line with Parliamentary Protocol, laying at Westminster must precede laying in the Assembly.

Governance Statement

- 6.9 As part of the Annual Report and Resource Accounts, the Accounting Officer is required to sign a Governance Statement. The Governance Statement confirms whether the system of internal control was in place for the whole of the year under review. Material changes or the absence of the risk management process for the material period is disclosed where appropriate.
- 6.10 The Governance Statement includes assurance in relation to:
- The PPS's capacity to handle risk.
 - The risk and control framework.
 - The effectiveness of internal controls, including disclosure of any significant internal control problems.
 - The effectiveness of information security arrangements.

Risk Management

- 6.11 The PPS risk management policy sets out the framework for the management of risk and promotes a consistent approach across the Service. The document also provides an outline of the roles and responsibilities of those involved in the risk management process. The Director, supported by the PPS Management Board, has overall responsibility for ensuring that an effective risk management process is established and maintained and is responsible for agreeing the Service's Risk Management Framework. The corporate risk register is reviewed at each meeting of the Management Board and Senior Management Group. The Senior Management Group undertakes regular and detailed oversight of the key corporate risks and the Service's risk management capability. All risks set out at corporate level are owned by members of the Management Board.
- 6.12 Regional Prosecutors and Assistant Directors (SCS Grade 5) and Corporate Services Business Heads are responsible for maintaining effective risk management arrangements within their own areas. Region and Section risk registers are reviewed regularly as these underpin the corporate risk register.

Managers and staff at all levels have a responsibility to identify, evaluate, manage or report risks.

- 6.13 Each Region / Section risk register is reviewed on a quarterly basis at Performance and Accountability Meetings, led by the Deputy Director and SAD Regional Prosecutions, attended by the Assistant Director / Business Manager.
- 6.14 The Audit and Risk Committee reviews the corporate risks and receives regular reports concerning matters of internal control. On an annual basis the Committee examines a report from senior management outlining key reputational risks for the organisation.
- 6.15 Details of the key corporate risks for the Service are set out in the PPS Corporate and Annual Business Plans which are available via the PPS website (see below).

Performance and Accountability Meetings

- 6.16 Quarterly Performance and Accountability Meetings (PAMs), led by the Deputy Director and SAD Regional Prosecutions, attended by the Assistant Director / Business Manager are conducted for each of the regions and sections. A copy of the PAMs template is attached at **Annex N**.

Corporate Planning Framework

- 6.17 The PPS Corporate Plan sets out the context in which the PPS will operate (usually over a three year period) and the strategic priorities and objectives to be pursued in order to progress the delivery of Service's vision. The Corporate Plan is agreed by the Management Board, in consultation with the Attorney General.
- 6.18 The Service will also publish an Annual Business Plan, presenting in detail the measures, targets and associated actions for the Service over the next financial year. The Annual Plan is developed using the 'Balanced Scorecard' approach.

6.19 It is important that this process is cascaded within the organisation to ensure that business plans (scorecards) are in place for each of the regions and sections. Individual Assistant Directors and Corporate Services Branch Heads are responsible for the development of the plans for their areas of responsibility. Where appropriate this will involve consultation with staff members. On completion of the draft scorecards it is expected that all members of staff are provided with a copy of the document for their region or section and that key issues and initiatives are discussed as part of face to face team briefings. All region and section plans need to be in place in April each year in order to facilitate the development of performance agreements for the year ahead.

Statements of Assurance

6.20 On a quarterly basis, all senior managers, Corporate Services Branch Heads and operational Business Managers within the Service are required to submit a Statement of Assurance. The purpose of these statements is to provide assurances to the Director with regard to the effectiveness of risk management, governance arrangements and the management of resources, finances and performance across the organisation. These confirm that systems of internal control are operating satisfactorily in practice and, where appropriate, draw the Director's attention to significant internal control issues. The Statement of Assurance templates currently in use are attached at **Annex O**.

Audit and Risk Committee

6.21 The Committee's terms of reference (see **Annex G**) cover the review of PPS resource accounts, internal and external audit activity, risk management, corporate governance and financial and other internal controls. The Committee agrees the annual work programme for Internal Audit taking account of key corporate risks.

6.22 The Committee produces an annual report which is reviewed by the Management Board. The report is an important component in the Accounting Officer's review of effectiveness, as set out in the PPS Governance Statement.

Internal Audit

6.23 Internal Audit provision within the PPS is currently provided by the Internal Audit Branch of the Department of Justice (DOJ). The internal audit service is provided in accordance with the Government Internal Audit Standards.

6.24 The Head of Internal Audit provides the Accounting Officer and the Board with an independent opinion on the adequacy and effectiveness of the Service's system of internal control and on any significant control issues.

External Assurance

6.25 The PPS is subject to review by Criminal Justice Inspection Northern Ireland, within the provisions of Part 3 of the Justice (Northern Ireland) Act 2002. The Chief Inspector undertakes a programme of thematic and inter-agency reviews on an annual basis to promote good practice. The results of all reviews are published.

6.26 The Service's accounts are audited by the Comptroller and Auditor General (C & AG) as head of the Northern Ireland Audit Office. The C & AG and his staff are wholly independent of the PPS and he reports his findings to the Northern Ireland Assembly. NIAO also seeks to promote better value for money by highlighting and demonstrating to audited bodies ways in which they could make improvements to realise financial savings or reduce costs; guard against the risk of fraud, irregularity and impropriety; provide a better quality of service; strengthen and enhance their management, administrative and organisational processes; and achieve their aims and objectives more cost-effectively.

6.27 Assurances are also provided by the Department of Finance covering the shared services provided to the PPS. At present this includes HR Connect which provides transactional HR work and a payroll service for the PPS.

Corporate Communications

- 6.28 The PPS publishes an external communication strategy in support of its strategic objective to improve public confidence and increase public awareness of the PPS and its role.
- 6.29 The Service recognises the importance of engaging with staff and also publishes an internal communication strategy. The Service assesses the effectiveness of these arrangements, for example, through participation in the NICS People Survey and via feedback from employee groups and the trades unions.

7. Supporting Arrangements

- 7.1 There are also a number of other processes and mechanisms which support and promote effective corporate governance as outlined in previous sections.

Quality Assurance

- 7.2 The PPS Quality Assurance Team aims to provide an independent assessment of the quality of decision-making, case preparation and presentation within the Service. The team's annual work programme includes a series of thematic reviews. Each report sets out a number of issues for the Service to address, as well as recommendations for service improvement.

Policy Framework

- 7.3 The Service has a Policy and Information Unit to lead in the development of organisational policy and to ensure that appropriate guidance is issued to prosecutors on legal and legislative matters. Arrangements are in place for all significant judgments delivered by the Court of Appeal, Supreme Court and European Court of Human Rights to be passed to Policy and Information Unit to ensure that any learning points are identified and disseminated to staff.
- 7.4 In addition to legal policy development, a range of other policies have been promulgated, including:
- Human Resources policies designed to ensure the Service complies with the law and has the appropriate numbers of staff with suitable skills to meet its objectives. This encompasses the performance management system for reviewing and assessing the performance of individual members of staff and which is carried out in line with NICS procedures.
 - Policies on financial management, including guidance on financial delegations and the management and payment of Counsel Fees.
 - The principles of public service, the Civil Service Code of Ethics and PPS Code of Ethics.

- A departmental Anti-Fraud Policy and Fraud Response Plan / gifts and hospitality policy.
- An internal 'whistleblowing' policy and related reporting arrangements, providing all staff with a safe environment to raise concerns about unlawful conduct, possible fraud, dangers to the public or environment or other serious malpractice.
- Publication of an Equality Scheme / Action Plan and Disability Action Plan, in accordance with Equality Commission requirements.

Protocols and Service Level Agreements

- 7.5 Formal relationships have also been established between the PPS and a range of external / partner organisations, including establishment of a protocol with the Police Service of Northern Ireland. The Service is also seeking to establish service level agreements with the various statutory authorities which submit cases for consideration with a view to prosecution.

Information Security

- 7.6 Since the establishment of the Service as a non-ministerial department in April 2010, steps have been taken to reinforce PPS information assurance arrangements, to improve information security awareness and disseminate best practice. The Senior Assistant Director for Resources and Change has been appointed as Senior Information Risk Owner. All senior managers have been designated as Information Risk Owners to provide further assurance that information assets are properly managed.
- 7.7 A Business Assurance Manager has been appointed to co-ordinate the development of the information assurance framework and data handling and security arrangements across the Service.
- 7.8 Information assurance is a standing item on the agendas of the Management Board and Audit and Risk Committee and senior managers are required to

review information security compliance in their quarterly statements of assurance.

Business Resilience

- 7.9 The Government's Security Policy Framework emphasises the need for effective business continuity management (BCM). The PPS has established a programme to deliver BCM in a manner that enables the continued delivery of key services during an interruption and which will align the PPS with the British Standard (BS25999). PPS now has an Incident Management Plan and Business Continuity Plan in place, while work continues to develop Corporate Services recovery strategies to support the organisation during an interruption.

Procurement

- 7.10 Any procurement over £30,000 must be overseen by the Department of Finance's Centre of Procurement Excellence (COPE), the Central Procurement Directorate (CPD) under a service level agreement. For procurement exercises beneath this value the PPS Procurement Officer will generally oversee the procurement in line with CPD Advice to clients and staff on the Procurement of Goods and Services below £30,000 (August 2012), and Procurement Guidance Note (PGN 04/12) Procurement Control Limits and the Basis for Contract Awards, but may seek advice from CPD as to the conduct. Procurement Policy Guidance Note (PGN 03/11) Award of Contracts without a Competition advises that Accounting Officer agreement and approval is required in instances when a Direct Award Contract (DAC) is to be used. All DACs must be passed through the PPS Procurement Officer and where the value is over £5,000 advice must be sought from CPD before Accounting Officer approval is requested. CPD will arrange for the award letter to be issued to the supplier and since April 2013 have required that all DAC's with a value over £30,000 are published on their website to improve accountability and transparency.

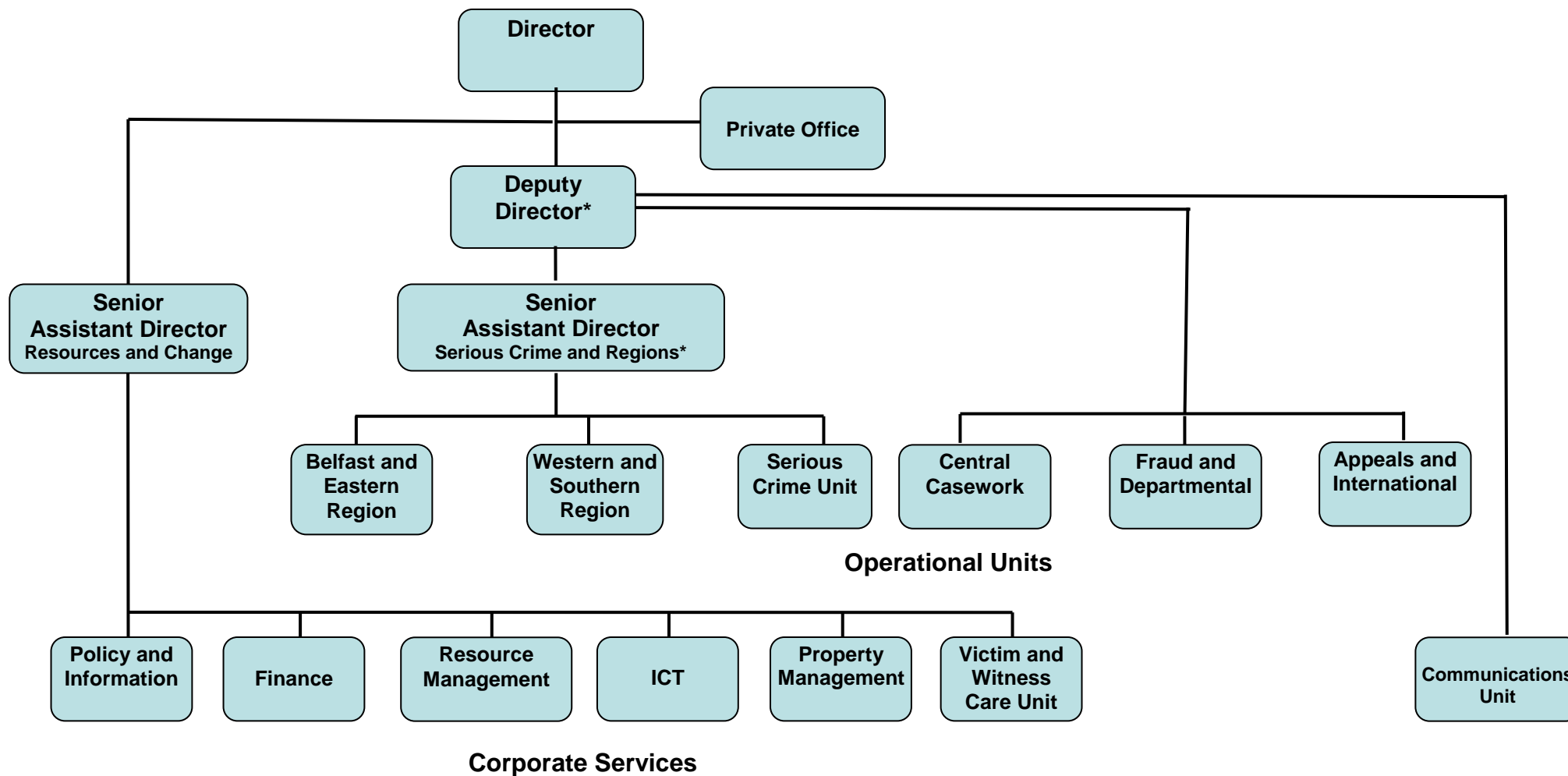
Other Support Mechanisms

7.11 Other support mechanisms include:

- A Resource Management Team to assist the Accounting Officer in meeting his responsibilities with regard to the efficient and effective use of human and other resources.
- Regular financial and performance reports provided to senior management.
- A departmental health and safety office to assist the department in meeting its duty of care to ensure the health, safety and welfare of PPS employees and visitors to PPS premises.
- A Communications Unit to ensure that strategic communications support the delivery of organisational priorities, policies and services.
- A Central Co-ordination / Departmental Assembly Liaison function to assist in managing relationships with the Assembly and to ensure that the Service meets its obligations under Freedom of Information and Data Protection legislation.
- A Management Information Section to provide support in terms of statistical analysis, performance data and research. All statisticians are seconded from the NI Statistics and Research Agency.

Annexes

Annex A: PPS Organisational Structure (April 2018)



* Currently filled by temporary appointments

Annex B: PPS Management Board Terms of Reference

- 1. Introduction**
- 2. Objectives and remit**
- 3. Membership**
- 4. Responsibilities**
- 5. Board Committees**
- 6. Board operating procedures**
- 7. Board performance**
- 8. Review**

1. Introduction

Under the provisions of the Justice (Northern Ireland) Act 2002 the Director of Public Prosecutions for Northern Ireland is responsible for the conduct and performance of the Public Prosecution Service for Northern Ireland (PPS). As the Accounting Officer, the Director is responsible for the propriety and regularity of the public finances for which the Accounting Officer is answerable, for keeping proper records and for safeguarding PPS assets.

The Management Board supports the Director in his leadership of the PPS, in reaching decisions on the strategic direction of the Service, the development and implementation of appropriate strategy, and in meeting his corporate governance responsibilities for the Service.

This document sets out the Management Board's objectives and remit, membership, responsibilities and operating procedures.

2. Objectives and Remit

The objectives of the Management Board are to:

- Set the strategic direction of the Service through the corporate strategic priorities and objectives.
- Ensure accountability for the Service's performance.
- Provide assurance that the organisation is managed effectively and that it provides Value for Money (VfM).

The Management Board's remit is to:

- Approve published business plans.
- Approve the PPS Annual Report and Resource Accounts.
- Set the Service's standards and values.

- Ensure robust governance, internal control and compliance systems are in place which are supported by effective risk management.
- Lead and oversee the process of change to enhance the Service's capability to deliver.
- Monitor the use of resources and the achievement of performance objectives.
- Approve all major projects / strategic initiatives and policies impacting on corporate and business plan objectives, ensuring that there is alignment with existing budgetary and resource plans.
- Approve all expenditure decisions over a limit of £100,000.
- Take corporate decisions on high level operational issues.

3. Membership

The membership of the Management Board comprises:

- Director of Public Prosecutions (Chair)
- Deputy Director of Public Prosecutions
- Senior Assistant Director, Legal
- Senior Assistant Director, Resources and Change
- Independent Non-Executive Member
- Independent Non-Executive Member

The Management Board will be chaired by the Director, and in his absence by the Deputy Director.

The non-executive members' role is to bring to the Board experience and expertise from outside the PPS (see below).

4. Responsibilities

The Management Board is responsible for the development of strategy and for supporting the delivery of that strategy. This includes taking steps to ensure that business is prioritised and decisions implemented in accordance with the objectives set by the Board.

While the ultimate decision making responsibility remains with the Director, the Management Board shall seek to reach agreement on a consensus basis on all issues.

The Management Board shall not exercise any function in relation to individual prosecutorial decisions.

Responsibilities of the Chair

The role of the Chair at Board meetings is to:

- Facilitate Board meetings.
- Ensure that systems are in place to provide Board members with accurate and timely information of good quality to allow the Board to consider properly all matters before it.
- Ensure that a Board effectiveness review is performed annually, and that results are acted upon.
- Ensure Board adherence to the principles set out in Corporate Governance in Central Government Departments: Code of Good Practice NI (2013).

Responsibilities of Executive Board Members

Executive members have a responsibility, in tandem with fellow Board members both executive and non-executive, for the management and governance of the PPS as a whole and should attach the highest priority to attending all Board meetings.

In undertaking their role, each executive member must:

- Discharge the responsibilities of their particular post, taking full account of the interests of, and implications for the remits of other Board members and the Service as a whole; and
- Adopt a corporate approach in participating in all Board decisions and discussions, in particular those concerned with the development of strategic and business plans and the allocation of resources.

At Board meetings, executive members are expected to take a *corporate* view of issues ahead of their individual areas of responsibility, to rigorously examine and challenge all proposals before the Board and to do so in a constructive way.

Responsibilities of Non-Executive Board Members

The primary role of the non-executive members is to contribute to the good governance of the Service. Non-executive members should be prepared to offer constructive challenge with a view to ensuring that all aspects of strategy and delivery are scrutinised for effectiveness and efficiency.

In particular responsibilities of the non-executive members should include:

- Participating fully in the formulation of business planning, strategy development and audit and risk management.

- Participating fully in the process of monitoring the Service's progress towards meeting agreed objectives and targets.
- Challenging the process of policy formulation.
- Participating in, and challenging, the financial planning of budgets and decisions on budget bids and easements.
- Chair, and membership of, the Audit and Risk Committee and membership of other committees as agreed by the Board.
- Representing the Service as required.

Accountability

The Board should ensure that it works within the parameters set out in these terms of reference, observing best practice in relation to corporate governance and accountability.

All Board members have a responsibility to act in accordance with the PPS Code of Ethics, and to uphold the Seven Principles of Public Life (Nolan Principles).

The PPS Annual Report, which is laid before Parliament and the NI Assembly, provides information on the Board's activities over the course of the year.

Board Members' Interests

In keeping with the requirement that all public bodies must set up, maintain and make available for public inspection a register of Board members' interests, all Board members must make an annual declaration listing any:

- Directorships held in private companies or Public Listed Companies (PLCs).
- Private companies, businesses or consultancies which they own (or part own) and which may seek to do business with the PPS.
- Positions of authority held in charities or voluntary bodies in areas related to the work of the PPS.
- Connections with voluntary or other bodies contracting with the PPS.

The Register of Interests is collated and retained by the Board's secretariat.

5. Board Committees

Delegation of Function⁵

The Management Board may decide to delegate certain matters for consideration by committees of the Board. In such an event, each committee will be chaired by a Board member with clear terms of reference, including the scope of any decision making and the reporting requirements for the Board.

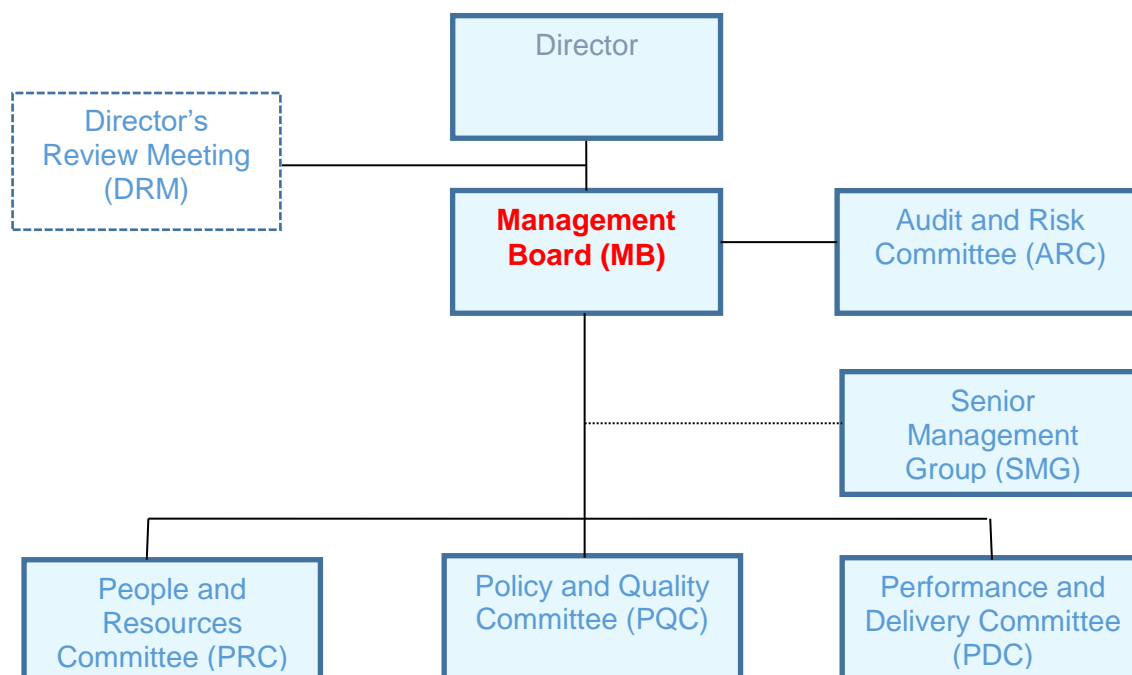
Matters currently reserved for the Board are summarized at Annex A.

Details of current Board committees are set out below (see Figure 1)

Audit and Risk Committee

The Management Board is assisted by the Audit and Risk Committee (ARC) which meets at least four times per year and supports the Director in the discharge of his accountability responsibilities.

Figure 1: Committees of the Board



- The Audit and Risk Committee (ARC) supports the Director in the discharge of his accountability responsibilities. The ARC meets at least four times per year and is chaired by a non-executive member of the Management Board.

⁵ The current schedule of matters reserved for the Board and scheme of delegation is set out in the Service's Corporate Governance Framework (see www.ppsni.gov.uk/publications/corporate-governance). This document defines the matters which the Director has reserved for the Board and the decisions which the Board and its committees can make.

- The Senior Management Group (SMG) meets eleven times per year and is chaired by the Deputy Director. SMG's purpose is to ensure there is effective co-ordination and decision-making in respect of a range of strategic performance, governance and policy issues, as well as effective communication between the Management Board, the PPS senior management team and the Board's Committees.
- The People and Resources Committee (PRC) considers the key financial and resource issues impacting on the Service. The PRC meets approximately ten times per year and is chaired by the SAD for Resources and Change.
- The Performance and Delivery Committee (PDC) is responsible to the Board for driving improvement in operational performance, including the effectiveness of case management arrangements. The PDC meets approximately ten times per year and is chaired by the SAD Legal.
- The Policy and Quality Committee (PQC) is responsible for monitoring and considering the key legal policy and quality assurance issues impacting on the Service. The PQC meets four times per year and is chaired by the Deputy Director.

In addition to the above committees, the Director's Review Meeting (DRM) generally takes place on a weekly basis. This provides an opportunity for the senior executive team (the Director, Deputy Director and SADs) to discuss current resource, governance and operational issues and to provide advice and direction on specific items of business that need to be progressed. While business at the DRM is typically conducted on a more informal basis than at Board committees, all actions will be recorded by the secretariat and relayed as necessary within the organisation.

6. Board Operating Procedures

Attendance

In the event that a Board member is unavailable to attend a Board meeting, there is no requirement for deputies to attend.

Other members of staff from within the Service may be called to attend meetings on an ad hoc basis.

Support to the Management Board

The Board will be provided with a secretariat support service by the Policy and Information Unit. The secretariat will be in attendance to support all meetings (see below).

Business

The Board will meet approximately eight times per year. Additional meetings will be scheduled if determined necessary for the performance of its functions.

Meetings will normally take place during the third week of the month.

The secretariat will be responsible for co-ordinating agendas and papers, with input from Board members. The Director, as Chair, will approve the agenda prior to final circulation to members.

The main categories of information considered at Board meetings will include:

- Reports from Committees.
- Progress against business plan milestones.
- Performance against key performance and efficiency measures.
- Key financial data, including performance against budget, in-year monitoring and consideration of future spending plans.
- Risk management.
- Strategic human resource issues.
- Progress and status of the change programme and major projects.
- Strategic Corporate Communications

All papers for consideration by the Board are required to be with the Board Secretariat at least seven days prior to a meeting for distribution to members. If papers are not sent to the Secretariat in time or are incomplete they may be held over for the following meeting.

Papers for the Board should be headed and numbered in a standard format and should include an executive summary with all supporting material contained in annexes.

Where urgent decisions are required *between* Board meetings, the issue may be dealt with by correspondence. If, exceptionally, an urgent issue cannot be dealt with by correspondence, the Director will make a decision and advise the members of the Board accordingly.

Board minutes

The business conducted at the Board, together with decisions reached and actions required, are recorded in minutes prepared by the Board Secretariat. In order to maintain confidentiality (for example with regard to issues of commercial sensitivity), where required the Director as Chair should declare sessions of the Board meeting as 'open' or 'closed'.

Draft minutes will normally be available for approval by the Board within five working days of the Board meeting. Minutes should include a list of the action points agreed by the Board.

The approved minutes of Board meetings will be made available to staff internally through the PPS Intranet, and externally via the PPS website. Published minutes will exclude any items declared as confidential (i.e. items discussed during closed session).

7. Board Performance

The Board will undertake an annual evaluation of its performance, supported by the Head of the Policy and Information Unit.

8. Review

These Terms of Reference will be reviewed on an annual basis.

(A) Matters Reserved for the Board

(a) Governance

The following matters are reserved to the Board:

- (i) Setting the Service's standards and values.
- (ii) Establishment and dissolution of Board committees.
- (iii) Review of the Register of Interests for Board members and staff.
- (iv) Approval of organisation-wide policies.
- (v) Approval of arrangements for dealing with complaints.
- (vi) Approval of the equality scheme.
- (vii) Approval of the freedom of information publication scheme.
- (viii) Approval of the PPS Risk Management Policy and risk appetite.
- (ix) Approval of procedures for the evaluation of the effectiveness of the Board.
- (x) Approval of strategic corporate communications

(b) Strategy, plans and budgets

The following matters are reserved to the Board:

- (i) Definition of the Service's vision, aim and priorities.
- (ii) Ownership of the corporate plan.
- (iii) Approval of annual budget and estimates.
- (iv) Monitoring of performance objectives and budget on a regular basis.

(c) Staffing

The following matters are reserved to the Board:

- (i) Approval of any substantial organisational restructuring, within the overall headcount and budget agreed by DOF.
- (ii) Approval of all new posts.
- (iii) Establishment of a remuneration committee.

(d) Financial Arrangements

The following matters are reserved to the Board:

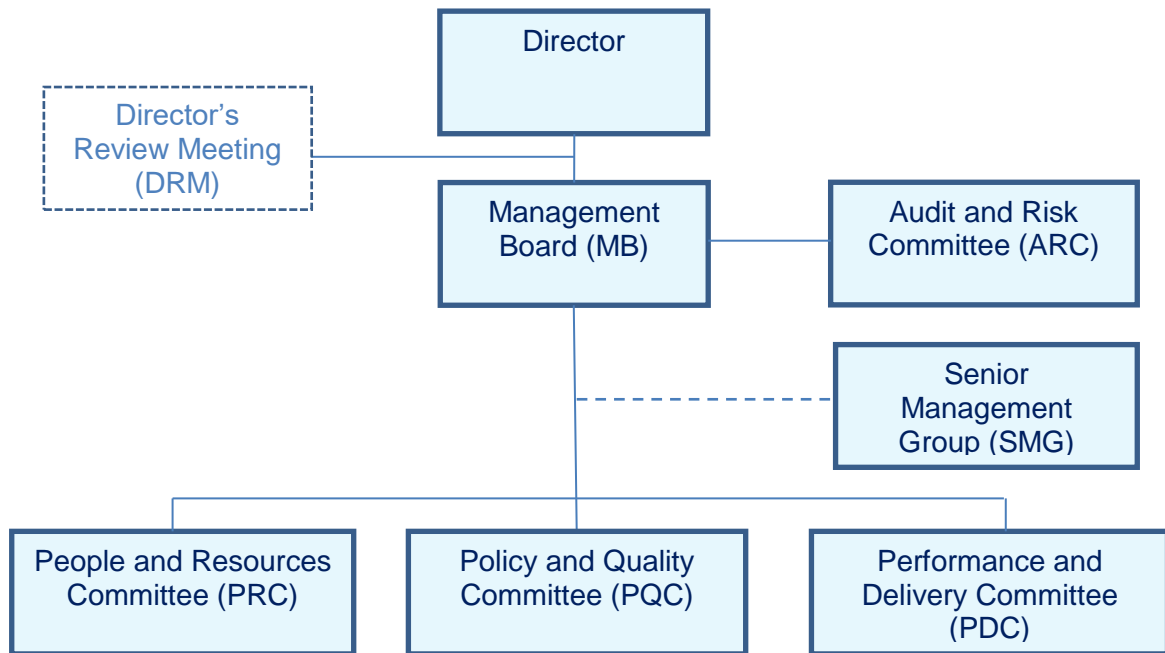
- (i) Approval of all non-routine expenditure over £100,000.
- (ii) Approval of financial policy, for instance the Anti-Fraud Policy and Fraud Response Plan and Anti-Bribery and Corruption Policy.
- (iii) Any other matter that is of significant financial or reputational risk to the Board.

(e) Auditing and Reporting

The following matters are reserved to the board:

- (i) Approval of the annual report and audited financial statements.
- (ii) Appointment of an internal auditor.
- (iii) Approval of the terms of reference of the Audit and Risk Committee.

Annex C: PPS Corporate Governance Structure (2018/19)



Annex D: The Seven Principles of Public Life

Selflessness

Holders of public office should take decisions solely in terms of the public interest. They should not do so in order to gain financial or other material benefits for themselves, their family, or their friends.

Integrity

Holders of public office should not place themselves under any financial or other obligation to outside individuals or organisations that might influence them in the performance of their official duties.

Objectivity

In carrying out public business, including making public appointments, awarding contracts, or recommending individuals for rewards and benefits, holders of public office should make choices on merit.

Accountability

Holders of public office are accountable for their decisions and actions to the public and must submit themselves to whatever scrutiny is appropriate to their office.

Openness

Holders of public office should be as open as possible about all the decisions and actions that they take. They should give reasons for their decisions and restrict information only when the wider public interest clearly demands.

Honesty

Holders of public office have a duty to declare any private interests relating to their public duties and to take steps to resolve any conflicts arising in a way that protects the public interests.

Leadership

Holders of public office should promote and support these principles by leadership and example.

Annex E: Delegated Authority from Department of Finance

(a) Areas requiring DOF approval for all Departments

Details	Reference	Previous Ref
Where DOF approval (in writing) is required:		
Use of Resources		
Public statements which might imply a willingness on the part of the Executive to commit resources or incur expenditure beyond agreed levels	MPMNI Box A.2.3.A	
Guarantees, indemnities or general statements of comfort which could create a contingent liability	MPMNI Box A.2.3.A	
All expenditure which is novel, contentious, repercussive or which could set a potentially expensive precedent, irrespective of size, even if it appears to offer value for money taken in isolation	MPMNI Box A.2.3.A	
Expenditure that could create pressures which could lead to a breach of: <ol style="list-style-type: none"> 1. Departmental Expenditure Limits (DELs); 2. resource limits or capital limits; or 3. Estimates provision. 	MPMNI Box A.2.3.B	
Expenditure that would entail contractual commitments to significant levels of spending in future years for which plans have not been set	MPMNI Box A.2.3.B	
Legislation with financial implications as per guidance in MPMNI	MPMNI A.2.2.1	
New services under the sole authority of the Budget Act	MPMNI A.2.5.15	
Loans – on borrowing from the Northern Ireland Consolidated Fund for Contingencies	MPMNI A.2.5.9	GANI 29.2
Accounting Officers		
Appointment of the permanent head of each central government department to be its Accounting Officer	MPMNI 3.2.1	
Appointment of an Accounting Officer for a Trading Fund (TF)	Financial Provisions NI Order 1993 and MPMNI 3.2.2	Financial Provisions NI Order 1993 & GANI 7.3.6
Internal Management		
Gifts – Giving any individual gift in excess of £100	MPMNI A.4.12.3	GANI 25.1.4

Details	Reference	Previous Ref
Insurance – Decision to purchase commercial insurance.	MPMNI 4.4.1 – 4.4.2	GANI 30.1.4
Losses – The write off of losses relating to pay, allowances, superannuation benefits, social security benefits, grants, subsidies and the failure to make adequate charges for use of public property or services - as per guidance in MPMNI	MPMNI Annex A.4	
Losses - Waived or Abandoned claims above £100,000	MPMNI A.4.10.2 & Box A.4.10.A	GANI Box 18.1
Losses - Special payments e.g. ex gratia over £100,000	MPMNI A.4.10.2 & Box A.4.10.A	GANI Box 18.1
Payments – Advance payments excluding those allowed under the guidance in MPMNI	MPMNI A.4.6.5	GANI Annex 16.1
Payments – Deferred payments excluding those allowed under the guidance in MPMNI	MPMNI A.4.6.9	
Payments - Special severance payments	MPMNI A.4.13.9	
Payments – Financial Remedy Payments over £500 (i.e. payments made to complainants through an organisations internal complaints procedures/processes)	MPMNI A.4.14.8	GANI 18.7.24
Payments – Payments over £50,000 to be made as a result of a recommendation from the NI Assembly Ombudsman & NI Commission for Complaints		
Foregoing the recoupment of overpayments of pay, pensions and allowances over £20,000	MPMNI A.4.11	GANI Box 18.1
Foregoing the recoupment of overpayments of grants.	MPMNI A.4.11	GANI Box 18.1
Funding		
Banking – Proposals to open an account outside the pool or any proposed changes to Banking Pool arrangements	MPMNI 5.8.2 MPMNI A.5.7.3 MPMNI Box A.5.7.B	GANI 28.5.30
Banking – Requests for indemnities that commercial banks may seek to replace their normal arrangements	MPMNI Box A.5.7B	GANI 28.6.4
Borrowing from the Private Sector for all Arms Length Bodies (ALBs)	MPMNI 5.7.1	
Borrowing on terms more costly than those usually available to government	MPMNI A.5.6.11	GANI 29.5.7
Borrowing – foreign borrowing	MPMNI A.5.6.12	GANI 29.5.8
Foreign Currency - Any proposals to negotiate contracts in foreign currencies other than the	MPMNI A.5.7.13	GANI 28.7.8

Details	Reference	Previous Ref
euro, yen or US dollar		
Income - Use of income and cash by departments to meet expenditure needs if there is no specific legislation	MPMNI A.5.3.1 MPMNI A.5.3.5	
Income & Receipts - Increases to the amount that can be treated as an accruing resource during a financial year in order to finance a comparable increase in expenditure as per in-year monitoring/budgeting guidance	MPMNI A.5.3.8 MPMNI A.5.3.9	
Letters of comfort	MPMNI A.5.5.18	
Liabilities – Departments seeking statutory authority to accept liabilities	MPMNI A.5.5.5	GANI 26.2.4
Liabilities – Assuming statutory liabilities including the liabilities of any sponsored bodies in excess of £1 million for any single transaction	MPMNI A.5.5.14	
Liabilities – Non-statutory guarantees and liabilities in excess of £100k	MPMNI A.5.5.11	GANI 26.4.4
Liabilities – Reporting a contingent liability in confidence by writing to the Chair of the PAC	MPMNI A.5.5.28	GANI 26.4.8
Liabilities – Departments should consult DOF about reporting a liability outside Assembly sessions during a dissolution	MPMNI A.5.5.34	GANI Annex 26.3
Loans – proposals to make voted loans	MPMNI 5.6.1 MPMNI A.5.6.2	GANI 29.3.1
Loans – premature repayment	MPMNI 5.6.3 & MPMNI A.5.6.4	GANI 29.3.15
Loans – write offs	MPMNI 5.6.6 & MPMNI A.5.6.5	GANI 29.3.8
Fees, Charges & Levies		
Charges - Primary legislation to empower charging	MPMNI 6.2.1	GANI 13.1.5
Charges - Restructuring charges using the Fees and Charges (NI) Order 1988 No. 929 (N.I.8) in line with guidance in MPMNI	MPMNI Box 6.2	
Charges - Public sector supplier moving away from full cost charging	MPMNI A.6.4.8	
Interdepartmental Transactions – where the transaction may require legislative procedures or where DOF agreement is required under statute	MPMNI A.6.6.3	GANI 14.1.4
Working with Others		
Agency framework documents and the methods of financing an agency	MPMNI 7.4.2 & Box 7.2	GANI 6.1.6 and 6.2.1
All Management Statements and Financial Memorandums (MSFM) or other relationship	MPMNI 7.7.6	GANI Annex 8.3

Details	Reference	Previous Ref
documents		
The establishment or termination of an NDPB	Public Bodies: A Guide for NI Departments	Non-departmental Public Bodies: A Guide for Departments
The establishment and operation of a Trading Fund including sources of capital	Financial Provisions NI Order 1993 and MPMNI A.6.6.3, MPMNI 7.5.4 & Box 7.3	Financial Provisions NI Order 1993 and GANI Annex 7.1
Grants to Councils under the Local Government (Finance) Act (NI) 2011	Local Government (Finance) Act (NI) 2011	
Other Delegations		
Wider market projects where the full annual cost or aggregated annual income from such services exceeds, or is expected to exceed thresholds agreed by DOF	MPMNI A.7.6.6	
Assets - Transfer or disposal of assets at less than best consideration reasonably obtainable		GANI 24.3.4
Assets – to appropriate any sums realised as a result of selling an asset above the deminimis level in the DOF Budget/In-year Monitoring Guidance		20.3.19
Assets – to allow an organisation to retain receipts arising from the sale of assets funded by grant or grant-in-aid above the demin level in the DOF Budget/In-year Monitoring Guidance		24.1.10
Compensation payments without legal advice - Individual compensation claims settled out of court over £10,000.		GANI Box 18.1
Compensation payments following legal advice - Individual compensation claims settled out of court over £100,000 where the legal advice is that the department will not win the case if contested in court		GANI Box 18.1
Consultants – Expenditure on external consultancy projects over £75,000	FD(DOF)04/09	DAO(DOF) 03/05
Consultants – Expenditure on external consultancy assignments co-funded by the Strategic Investment Board over £150k	Minute to Principal Finance Officers dated 19 April 2004	Minute to Principal Finance Officers dated 19 April 2004
Estimates – form and content of Main and Supplementary Estimates.	Supply Estimates in Northern Ireland – A Guidance Manual	GANI 11.1.11, 11.4.2 and 12.1.8

Details	Reference	Previous Ref
Virement	Supply Estimates in Northern Ireland – A Guidance Manual	
Fraud – any departure from immediate reporting (not including National Fraud Initiative (NFI) for which separate arrangements have been agreed	FD(DOF) 04/11	GANI 5.1.9
IT projects over £1 million		DAO(DOF) 32/03
Land - Disposal of land at less than LPS valuation or Purchase of land at more than LPS valuation		
Capital Projects - All other expenditure on Capital Projects involving over £1million of Central Government expenditure unless other delegations specifically allow		This is the general threshold referred to in GANI 2.4.7(e)
Projects - All PFI projects at key stages as stipulated in NIGEAE	NI Guide to Expenditure Appraisal and Evaluation MPMNI A.7.5.4 FD(DOF) 20/09 FD(DOF) 17/11	
Receipts – repayment of CFERs from the Northern Ireland Consolidated Fund		GANI 20.4.4
Redundancy – All staff redundancy schemes not covered by existing regulations or which are more generous than existing NICS scheme.		
EU - All expenditure over £2 million under the EU Programmes for which the Special EU Programmes Body is responsible	Letter to Finance Directors & EUSG Members 2 March 2011	Minute to Principal Finance Officers dated 10 May 2004
Pay Remits	FD Letter - Pay Remit Approval Process and Guidance	GANI Box 18.1

(b) Public Prosecution Service (PPS) for Northern Ireland

Description	References
PPS <ul style="list-style-type: none">- Director remuneration,- Deputy Director remuneration,- Allowances,- Provisions for pensions.	Section 30(9) Justice (NI) Act 2002
PPS <ul style="list-style-type: none">- Staff Appointments- Numbers,- Salaries- Conditions of service	Section 29 Justice (NI) Act 2002
Disposal of Land and Buildings	
Remuneration and expenses for an interpreter	County courts (N9) Order 1980 (SI 1980/397) N.I.3, Art 33
Changes to the levels of fees paid to counsel	
Changes to the levels of payments made in respect of witness expenses	

Annex F: Business Cases

Introduction

NICS Departments, their Agencies, NDPBs and Public Corporations are required to carry out their procurement activities (in excess of £30k) by means of documented Service Level Agreements (SLA) with CPD. This is to ensure that procurement is compliant with EU and UK legislation and is efficient, effective and in line with best practice.

When preparing business cases, whether for submission to DOF for approval or for projects below the delegated limits, the requirements of FD (DOF) 20/09 and PPS Business Case guidance should be followed.

Use of DOF Central Procurement Directorate

Under the Service Level Agreement (SLA) with the Department of Finance's (DOF) Central Procurement Directorate, the PPS can take forward all procurement exercises including the tendering process for projects under the threshold of £30,000. Procurement with a value of £30,000 or more should always be carried out by CPD. All external consultancy valued at over £10,000 (excluding VAT) must also be procured through CPD.

Procurement between £5-30k may be conducted by the PPS Procurement Officer without the assistance of Central Procurement Directorate, provided that the CPD under £30k guidance is followed and the exercise is relatively straightforward.

Specific Responsibilities

The Accounting Officer

- Ensuring that the procurement of goods and services within the Public Prosecution Service is carried out in line with government policy, procedures and guidelines and that best value for money is achieved; and
- Approval of the use of a *Direct Award Contract (Single Tender Action)*.

Senior Management

- Internal approval of all business cases and the tender process for goods/services over £5k (approval forum determined by value – see below)
- Ensuring the necessary funding is available
- Ensuring the necessary approvals have been obtained from the Department of Finance prior to initiating any procurement exercise
- Ensuring that the appropriate approvals are obtained for the use of consultants; and

- Ensuring that the necessary approvals have been obtained in relation to the use of Direct Award Contract.

Approval Levels

Business cases should be prepared for all expenditure over £5k but should also be produced for lower spend where the item is novel or non-routine.

The appropriate approval for a business case is determined by the nature and value of expenditure and broad guidance is supplied below:

Expenditure	Approved by
Up to £30k	Internal approval by the People and Resources Committee
£30k - £100K	Senior Management Group
Over £100k	Management Board
Over £75k Consultancy	DOF approval is required
Over £500k ICT	DOF approval is required
Over £1m Capital	DOF approval is required

Capital projects over £100k must be subject to a formal investment appraisal process. It is good practice for the rationale behind expenditure to be examined, with a variety of different options considered in relation to the objectives. Where a project is considered 'Mission Critical' regardless of value, a full appraisal should also be conducted.

Where expenditure exceeds £500k for ICT spend (whether revenue or capital) or £1million for any capital spend, formal DOF approval is required.

Purchasing Authorisation Levels

Authorisation levels are set out below.

Requisitioner	£	All staff
Approver-A1	£500.00	Grade C/EO2
Approver-A2	£1,000.00	Grade C/EO2
Approver-A3	£10,000.00	Grade C/EO1
Approver-A4	£20,000.00	Grade B2/SO
Approver-A5	£50,000.00	Grade B1/DP
Approver-A6	£100,000.00	Grade A/ 7/6 / Head of Branch
Approver-A7	£500,000.00	Assistant Director
Approver-A8	£1,000,000	SAD Finance and Resources / Central / Regions
Approver-A9	£10,000,000	Deputy Director
Approver-A10	No Limit	Director

Annex G: PPS Audit and Risk Committee Terms of Reference

- 1. Introduction**
- 2. Overall purpose**
- 3. Membership**
- 4. Attendees**
- 5. Relationships**
- 6. Meetings**
- 7. Responsibilities**
- 8. Rights**
- 9. Access**
- 10. Information requirements**
- 11. Reporting**
- 12. Secretariat**
- 13. Review**

1. Introduction

The Audit and Risk Committee (ARC) has been established by the Director of Public Prosecutions for Northern Ireland in his role as the Accounting Officer for the Public Prosecution Service. The ARC is appointed to support the Director in his responsibility for issues of risk, control and governance and associated assurance, and reports to him through the Management Board.

The ARC operates through a process of constructive challenge and acts in an advisory capacity with no executive powers. These terms of reference set out the role and authority delegated to the committee.

2. Overall purpose

The purpose of the ARC is to offer the Director objective advice on issues concerning the Service's corporate governance and risk control systems by reviewing the comprehensiveness of assurances, and the reliability and integrity of these assurances.

The ARC functions in accordance with best practice contained in the Audit and Risk Assurance Committee Handbook (NI) (2014) and Corporate Governance in Central Government Departments: Code of Good Practice NI (2013).

3. Membership

The members of the Committee are:

Chair:	Non-executive member of the PPS Management Board
Members:	Non-executive member of the PPS Management Board Independent non-executive member

A minimum of two members will be present for the meeting to be deemed quorate.

The ARC requires a range of skills and competencies, either corporately or on an individual basis, in order to be effective in its functions. These are set out at Annex A.

Those appointed to the ARC will be provided with suitable induction training to allow them to contribute effectively to the achievement of agreed objectives. The Chair of the Committee will discuss training needs with all newly appointed members of the Committee.

4. Attendees

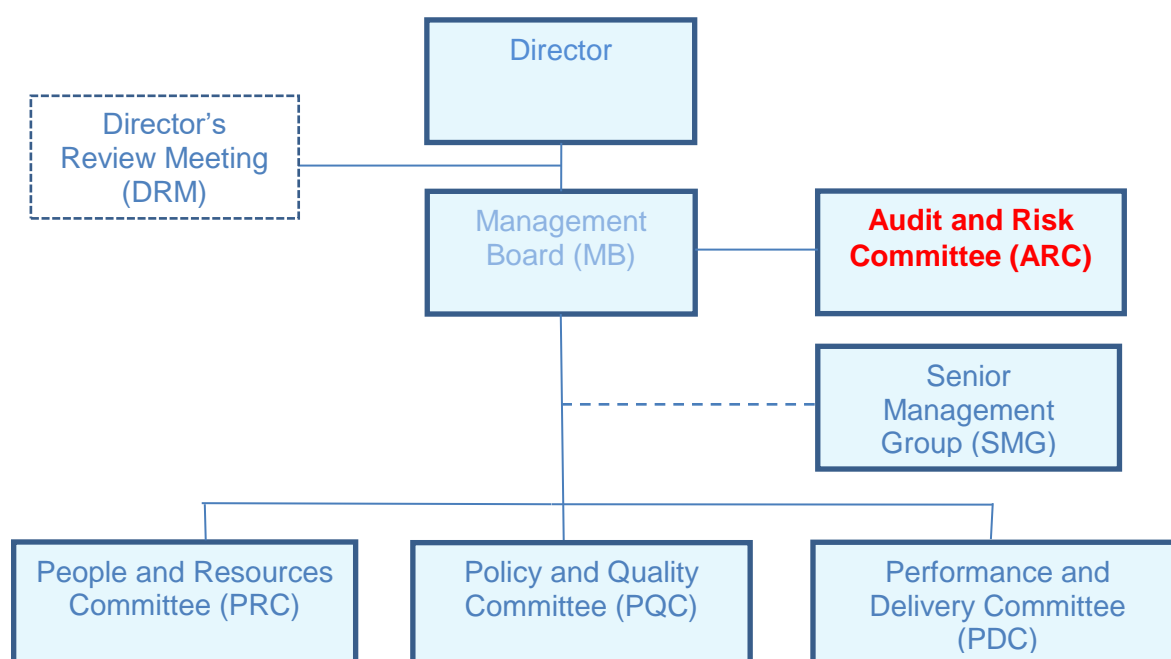
Meetings will normally be attended by the Senior Assistant Director for Resources and Change and the Head of Finance, as well as representatives from the Northern Ireland Audit Office (NIAO) and Internal Audit.

The ARC may invite the Director of the PPS to attend meetings in his capacity as the Accounting Officer. The committee may also ask any other PPS official to attend to assist it with its discussions on any particular matter.

The Chair of the ARC may ask any or all of those who normally attend, but who are not members, to withdraw to facilitate open and frank discussion of particular matters.

5. Relationships

The relationship between the ARC, the Management Board and other Board Committees is set out below



6. Meetings

The ARC will meet at least four times each year. The Chair may convene additional meetings as he/she deems necessary.

The Director or the Management Board may ask the Committee to convene further meetings to discuss particular issues on which the ARC's advice is required.

The NIAO may also request a meeting with the ARC or its Chair if they consider it is appropriate.

7. Responsibilities

The ARC will advise the Director and the Management Board across a number of areas. The specific responsibilities will include:

Governance, Risk and Internal Control

- Examining the effectiveness of corporate governance and risk management arrangements in providing relevant assurance in support of the annual Governance Statement.
- Providing advice re any requirement for the review of governance arrangements in line with current best practice.
- Reviewing the processes by which any major revisions to the Corporate Risk Register are made.
- Providing assurance that any major risk or control issues highlighted in the Quarterly Assurance Statements have been adequately dealt with.
- Considering the completeness and appropriateness of disclosures made in the Governance Statement.

Internal Audit Activity

- Agreeing internal audit strategy and plans and ensuring that internal audit is adequately resourced to carry out agreed audit objectives.
- Reviewing reports from the Head of Internal Audit on audit reports completed and the adequacy of management's response to them, including any investigations into control weaknesses, fraud or misconduct.
- Reviewing proposals for tendering for audit services or for purchase of non-audit services from contractors who provide audit services.

External Audit Activity

- Reviewing the major issues arising from any NIAO audit and from any value for money studies.
- Discussing and noting with NIAO their plans for the audit of the Annual Accounts and Value for Money audits.
- Reviewing the adequacy of management's response to issues identified by NIAO, including the NIAO's Report to those Charged with Governance and relevant recommendations.

Resource Accounts and Accounting Policies

- Reviewing the accounting policies, the accounts and the Annual Report for the Service, including the process for review of the accounts prior to submission for audit, levels of error identified and Management's Letter of Representation to the NIAO.
- Recommending the Annual Accounts to the Board.
- Considering the implications of any new guidance issued on accounting and/or accountability issues (e.g. DAO letters).

Other Responsibilities

- Reviewing the adequacy of anti-fraud policies and whistle-blowing processes and arrangements for special investigations.
- Reviewing responses to financial loss through fraud or whistle-blowing allegations.
- Considering other topics as defined by the Director, or Management Board, including the extent to which the Service complies with relevant statutory or regulatory requirements, such as information assurance (in particular actions in response to the Government's Security Policy Framework), health and safety etc.
- Promoting understanding of the role of the ARC within the Service.

8. Rights

The ARC may:

- Co-opt additional members for a period not exceeding a year to provide specialist skills, knowledge and experience.
- Procure specialist ad hoc advice at the expense of the Public Prosecution Service, subject to the necessary funding being made available after discussion with the Director.

9. Access

The Head of Internal Audit and the representative of External Audit will have free and confidential access to the Chair of the ARC. It is expected, however, that exercise of this right would be on an exceptional basis. The Chair of the ARC will have direct access to the Accounting Officer.

The ARC members will have a confidential meeting with the Head of Internal Audit and a representative of External Audit at least once a year.

10. Information Requirements

For each meeting, the ARC will be provided with the following:

- A report summarising any significant changes to the organisation's strategic risks and a copy of the Corporate Risk Register.
- Management assurance reports.
- A report summarising progress on the implementation of audit recommendations to cover both internal and external reports.
- A progress report from the Head of Internal Audit summarising, for example:^{††}
 - Work performed (and a comparison with work planned);
 - Key emerging issues;
 - Management responses to audit recommendations;
 - Follow-up plans and results;
 - Changes to the agreed internal audit plan;
 - Any resourcing issues affecting or likely to affect the delivery of the objectives of internal audit; and
- Reports on the management of major incidents, "near misses" and lessons learned.

As and when appropriate, the ARC will also be provided with:

- Formal reports from other assurance providers, for example in the areas of information assurance, health and safety etc.;
- Quarterly Information Assurance Summary;
- Proposals for the Terms of Reference of Internal Audit / the Internal Audit Charter;

^{††} Unless there are significant issues to be addressed this will not routinely include full copies of audit reports. However, all such reports must be made available to the ARC members on request.

- The Internal Audit Strategy;
- The Head of Internal Audit's Annual Opinion and Report;
- Quality Assurance reports on the Internal Audit function;
- The draft annual report and accounts for the Service, including the draft Governance Statement;
- A report on any changes to accounting policies;
- A report on any proposals to tender for internal audit functions;
- A progress report (written/verbal) from the NIAO, summarising work done and emerging findings - this may include, where relevant to the organisation, aspects of the wider work carried out by the NIAO (for example, Value for Money Reports and good practice findings);
- A report on co-operation between internal and external audit;
- NIAO's Report to those Charged with Governance; and
- The organisation's Risk Management Strategy.

11. Reporting

The ARC will:

- Formally report in writing to the Management Board and Director after each meeting.
- Provide the Director and the Management Board with an annual report, summarising its conclusions from the work it has done during the year. This should be timed to support finalisation of the accounts, the Governance Statement and the Annual Report for the Service.
- Review its own effectiveness on an annual basis and report the results of that review to the Director and the Management Board.

12. Secretariat

The ARC will be provided with a secretariat support service by the Policy and Information Unit.

All matters for inclusion on the agenda should be received by the secretariat at least 10 days in advance of the meeting. All papers for consideration by the committee should be available to members at least 5 working days in advance of the meeting.

Minutes should be circulated to members for comment within 10 working days of the meeting. All comments from members should be returned within 1 week of date of issue.

13. Review

These Terms of Reference will be reviewed annually.

(A) ARC Competency Framework

All members of the Committee should have, or acquire as soon as possible following appointment:

- Knowledge of the Service's strategic priorities and objectives and a broad awareness of current strategic issues and risks affecting the organisation.
- Knowledge of the Service's structure.
- Understanding of the Service's culture.
- Understanding of the current governance arrangements in place within the Service and relevant external accountability arrangements.
- Understanding of any relevant legislation or other statutory / regulatory requirements governing the Service.
- Broad understanding of the Government's wider agenda and policy (e.g. current major initiatives).

The members should *corporately* possess:

- Knowledge / skills / experience in the following areas:
 - Government accounting / audit (internal / audit)
 - Risk management
 - Best practice in corporate governance and the identification of areas of non-compliance.
- Experience in a senior management position in another organisation of a similar size to the PPS.
- Understanding of the wider professional environment in which the organisation operates.
- Detailed understanding of the government environment and accountability structures.

Annex H: Senior Management Group Terms of Reference

- 1. Introduction**
- 2. Membership**
- 3. Responsibilities**
- 4. Relationships**
- 5. Decision-making**
- 6. Accountability**
- 7. Operating procedures**
- 8. Conduct of Business**
- 9. Review**

1. Introduction

The Senior Management Group (SMG) is appointed to support the Director and the Management Board in delivering the PPS's vision and strategic objectives.

The purpose of the SMG is to ensure that:

- There is effective monitoring, co-ordination and decision-making across a range of strategic performance, governance and policy issues;
- Effective steps are taken to drive the improvement of corporate performance where necessary; and
- There is effective communication between the Management Board, the PPS senior management team and the Board's committees.

2. Membership

The membership of the Senior Management Group comprises:

- Deputy Director of Public Prosecutions (Chair)
- Senior Assistant Director, Legal
- Senior Assistant Director, Resources and Change
- Head of Policy and Information
- Head of Resource Management

The SMG will be chaired by the Deputy Director, and in his/her absence by a nominated SAD.

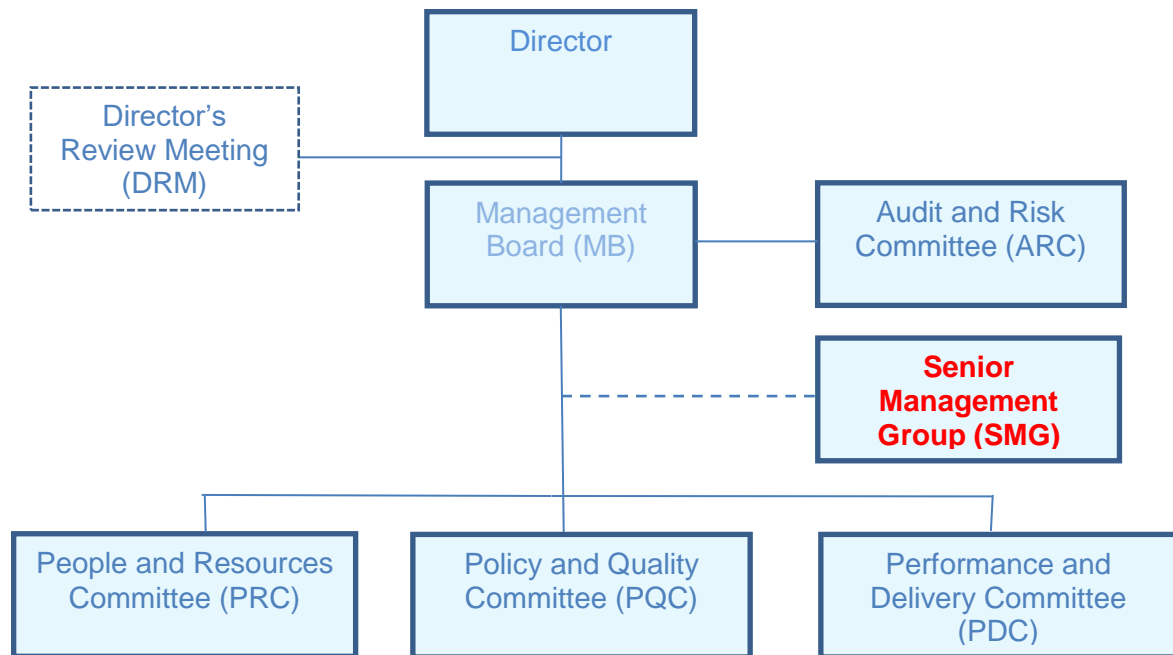
3. Responsibilities

The remit of the SMG is to:

- Take the direction of the Management Board and develop supporting corporate strategies and plans.
- Monitor and drive corporate performance improvement by ensuring delivery against the Service's strategic priorities and objectives, identifying areas of underperformance.
- Examine progress in achieving the targets and standards set out in corporate business plans, making recommendations to the Management Board for revised targets and standards, where appropriate.
- Consider issues from a longer term perspective to support the PPS in achieving its strategic objectives, ensuring that opportunities for partnership working are identified and exploited.
- Review proposals for new / emerging CJSNI initiatives.
- Manage corporate risk, and review the supporting framework for managing risk.
- Scrutinise the Service's corporate governance arrangements and the implementation of new or amended governance policies.
- Report to and/or make recommendations to the Management Board on strategic issues for the Service.
- Ensure there is effective communication with staff, stakeholders and the public on all strategic matters affecting the Service.
- Monitor and review the activity of the Board's Committees, ensuring effective communication and a joined-up approach to delivery.
- Demonstrate visible and effective leadership across the PPS, giving consideration to the values of the Service as part of the SMG's discussions and decision-making.
- Undertake any other roles as agreed by the Management Board.

4. Relationships

The relationship between the Senior Management Group, the Management Board and other PPS Committees is set out below.



The Deputy Director and SADs are members of the Management Board and will represent the views of the SMG, PRC, PDC and PQC.

5. Decision-making

Delegated authority

The SMG is authorised by the Management Board to:

- Investigate any activity within its terms of reference.
- Seek any information that it requires from any employee of the Service. All employees are directed to co-operate with any request made by the SMG.

The SMG may authorise expenditure on new projects or initiatives up to a limit of **£100,000**. All such expenditure decisions should be made within the existing PPS financial and procurement framework, including the development of appropriate business cases and confirmation from the Head of Finance regarding the availability of funding. All expenditure decisions above this limit must be referred to the Management Board.

At all times the SMG will be responsible and accountable to the Management Board.

How decisions are taken

Decisions are taken collectively, either in or ex-committee.

The SMG will work coherently and constructively to further the collective aims of the PPS, as set out by the Management Board.

The SMG may remit work to the PRC, PDC, PQC or working groups outside of the main corporate governance framework in order to develop solutions. Where appropriate, it will delegate authority for decisions to such groups, while retaining corporate accountability.

Existing subordinate groups include:

- Change Management Board (CMB)

6. Accountability

The SMG members should ensure that the committee works within the parameters set out in these terms of reference.

The committee will be held to account through:

- Collective accountability to the Management Board.
- Clear and transparent reporting, which will include the publication of all agreed minutes.

7. Operating Procedures

Attendance

In the event that a SMG member is unavailable to attend a meeting, there is no requirement for deputies to attend.

Other members of staff from within the Service may be called to attend meetings on an ad hoc basis.

Information Requirements

The SMG will be provided with the following papers for each meeting:

- Minutes from the previous Management Board / SMG / PRC / PDC / PQC meetings.
- Papers and actions referred by the Management Board to the SMG.
- Summary of Key Performance Measures (on a quarterly basis).
- Monthly Performance Summary.
- Matters arising from Performance and Accountability Meetings (on a quarterly basis).
- Summary of performance against the annual business plan (on a quarterly basis).
- Assurance Statements (on a quarterly basis).
- Draft policy statements (where appropriate).
- Progress reports on key policy issues and CJSNI initiatives.
- Corporate Risk Register.
- Position papers (where appropriate).

- Business cases (where appropriate).

As a standing item, the SAD for Resources and Change will also provide members with an overview of the latest financial and HR positions.

8. Conduct of Business

Meetings

The SMG will meet approximately ten times a year. Meetings will not usually take place in July and December. Additional meetings can be scheduled should the need arise.

Meetings will normally take place during the first week of the month.

Where urgent decisions are required between meetings, the issue may be dealt with by correspondence. If, exceptionally, an urgent issue cannot be dealt with by correspondence, the Chair will make a decision (including any requirement for escalation to the Director / Management Board) and advise the SMG members accordingly.

On a bi-monthly basis, the SMG Chair will also provide the Director with:

- An update on the progress of the work of SMG; and
- A summary of any issues which may require the imprimatur of the Director (or the full Management Board) before they can be resolved.

Support

The SMG will be provided with a secretariat support service by the Policy and Information Unit. The secretariat will be responsible for co-ordinating agendas and papers. Agendas will be subject to final approval by the Chair.

All papers for consideration by SMG are required to be with the secretariat at least seven days prior to a meeting for distribution to members. If papers are not sent to the secretariat in time or are incomplete they may be held over for the next meeting.

The business conducted by the SMG, together with decisions reached and actions required, are recorded in minutes prepared by the secretariat.

Draft minutes will normally be available for approval by members within five working days of the meeting. Minutes should include a list of the agreed action points.

The SMG Chair will:

- Provide final approval of the minutes of each meeting;
- Report to the Management Board on meetings held; and

- Submit the minutes of the SMG meeting to the Management Board for noting.

9. Review

The operation of the SMG will be reviewed no later than 12 months after commencement of these Terms of Reference. This will include an assessment of the ongoing requirement for the Group.

Annex I: People and Resources Committee Terms of Reference

- 1. Introduction**
- 2. Membership**
- 3. Responsibilities**
- 4. Relationships**
- 5. Decision-making**
- 6. Accountability**
- 7. Operating procedures**
- 8. Conduct of Business**
- 9. Review**

1. Introduction

The People and Resources Committee (PRC) is appointed by the Management Board and supports the Board in discharging its roles and responsibilities.

The PRC is responsible to the Management Board for:

- Ensuring the efficient and effective management of the Service's finances and resources.
- Managing the process of organisational change, providing direction and co-ordination in the management and implementation of new corporate initiatives.

2 Membership

The PRC members are:

- SAD Resources and Change (Chair)
- Assistant Director, Appeals and International
- Assistant Director, Belfast and Eastern Region
- Assistant Director, Fraud and Departmental
- Assistant Director, Central Casework
- Head of Finance
- Head of Resource Management
- Head of Policy and Information

The PPS's Strategic Business Partner (UG5 - NICS HR) will normally attend all meetings of the PRC.

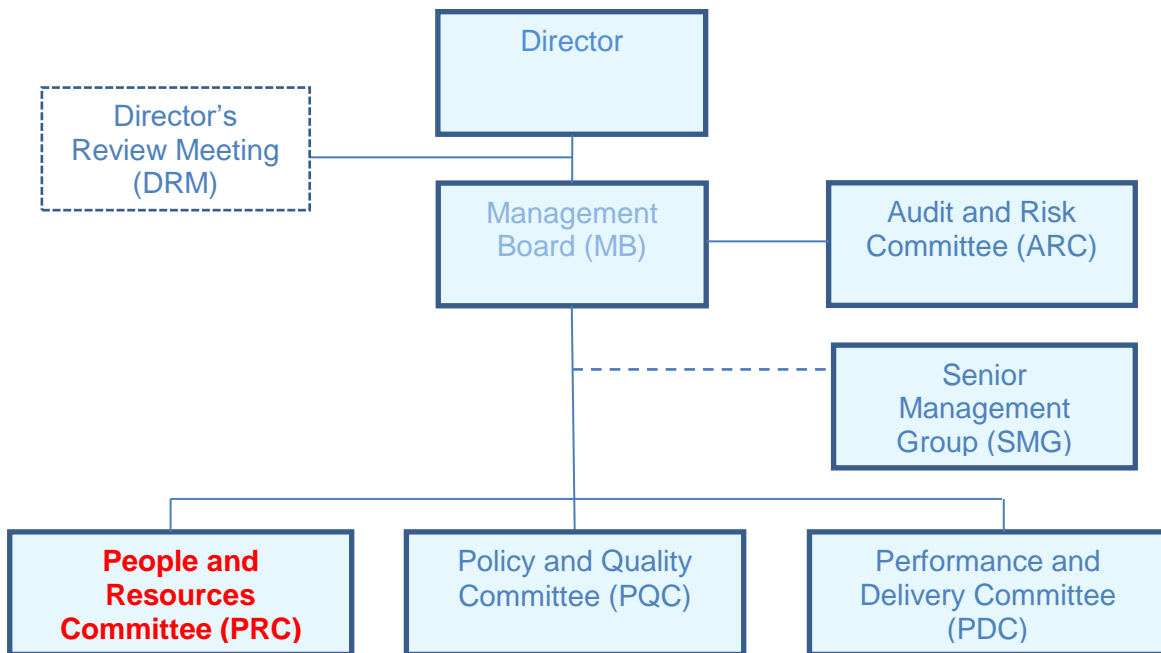
3. Responsibilities

- Scrutiny of the financial management of the Service on a regular basis.

- Address internal resource management issues that impact upon the delivery of high quality services to PPS stakeholders and the public, providing advice to the Management Board where appropriate.
- Review the business model for the Service to support the successful delivery of PPS services.
- Drive the corporate change agenda, ensuring that all plans and proposals are fully costed, while representing Value for Money.
- Examine and make recommendations regarding the performance of the Service in progressing corporate projects within the agreed resources, timescales and standards.
- Liaise with the Service Delivery Committee regarding the operational impact of strategic resource issues or change initiatives, ensuring that the delivery of services to the public is central to decision-making.
- Ensure that the PPS meets its statutory obligations, including the achievement of its equality and diversity commitments.
- Monitor the quality of our people management against agreed standards, including adherence to the NICS performance management / absence management frameworks, and provide appropriate advice to the Management Board / Senior Management Group.
- Ensure the effectiveness of consultation arrangements with staff and TUS.
- Receive and examine reports from relevant Heads of Corporate Services Branches, including Finance, Resource Management, Policy and Information and Property Management.
- Report regularly to the Senior Management Group (see below).
- Demonstrate visible and effective leadership across the PPS, giving consideration to the values of the Service as part of the PRC's discussions and decision-making.
- Undertake any other roles as agreed by the Management Board or Senior Management Group.

4. Relationships

The relationship between the PRC, the Management Board and other committees is set out below.



The SAD for Resources and Change is a member of the Management Board and will represent the views of the PRC.

The SAD for Resources and Change, as Chair of the PRC, will also attend the Performance and Delivery Committee on a periodic basis. This is to ensure that there is joint consideration of key issues relating to resourcing and the corporate change agenda.

5. Decision-making

Delegated authority

The PRC is authorised by the Management Board to:

- Investigate any activity within its terms of reference.
- Seek any information that it requires from any employee of the Service. All employees are directed to co-operate with any request made by the PRC.

The PRC may authorise expenditure on new projects or initiatives up to a limit of **£30,000**. All such expenditure decisions should be made within the existing PPS financial and procurement framework, including the development of appropriate business cases and confirmation from the Head of Finance re the availability of funding. All expenditure decisions above this limit must be referred to the Management Board (or Senior Management Group, where applicable).

At all times the PRC will be responsible and accountable to the Management Board.

How decisions are taken

Decisions are taken collectively, either in or ex-committee.

The PRC will work coherently and constructively with other Board committees to further the collective aims of the PPS, as set out by the Management Board.

The PRC may remit work to other sub-committees or working groups outside of the main corporate governance framework in order to develop solutions. Where appropriate, it will delegate authority for decisions to such groups, while retaining corporate accountability.

Existing subordinate groups include:

- Equality and Diversity Steering Group (quarterly).
- Fraud Working Group (six-monthly).
- Health and Safety Committee (quarterly)
- ICT Change Board (bi-monthly).

6. Accountability

The PRC members should ensure that the committee works within the parameters set out in these terms of reference.

The committee will be held to account through:

- Collective accountability to the Management Board.
- Regular reports to the Senior Management Group.
- Clear and transparent reporting, which will include the publication of all agreed minutes.

7. Operating Procedures

Attendance

In the event that a PRC member is unavailable to attend a meeting, there is no requirement for deputies to attend.

Other members of staff from within the Service may be called to attend meetings on an ad hoc basis.

Information Requirements

The PRC will be provided with the following papers for each meeting:

- Minutes from the previous Management Board / PRC meetings.
- Papers and actions referred by the Management Board / Senior Management Group.

- Monthly Finance Pack.
- Monthly NICS HR Update.
- Capacity / resources updates (from the Resource Management Team)
- Position papers (where appropriate).
- Business cases (where appropriate).

8. Conduct of Business

Meetings

The PRC will meet approximately ten times a year. Meetings will not usually take place in July and December. Additional meetings can be scheduled should the need arise.

Meetings will normally take place during the second week of the month.

Where urgent decisions are required between meetings, the issue may be dealt with by correspondence. If, exceptionally, an urgent issue cannot be dealt with by correspondence, the Chair will make a decision (including any requirement for escalation to the Director / Management Board) and advise the PRC members accordingly.

On a monthly basis, the PRC Chair will also provide the Director with:

- An update on the progress of the work of PRC; and
- A summary of any issues which may require the imprimatur of the Director (or the full Management Board) before they can be resolved.

Support

The PRC will be provided with a secretariat support service by the Policy and Information Unit. The secretariat will be responsible for co-ordinating agendas and papers. Agendas will be subject to final approval by the Chair.

All papers for consideration by PRC are required to be with the secretariat at least seven days prior to a meeting for distribution to members. If papers are not sent to the secretariat in time or are incomplete they may be held over for the next meeting.

The business conducted by the PRC, together with decisions reached and actions required, are recorded in minutes prepared by the secretariat.

Draft minutes will normally be available for approval by members within five working days of the meeting. Minutes should include a list of the agreed action points.

The PRC Chair will:

- Provide final approval of the minutes of each meeting;

- Report to the Management Board on meetings held; and
- Submit the minutes of the PRC meeting to the Management Board for noting.

9. Review

These Terms of Reference will be reviewed on an annual basis

Annex J: Performance and Delivery Committee Terms of Reference

- 1. Introduction**
- 2. Membership**
- 3. Responsibilities**
- 4. Relationships**
- 5. Decision-making**
- 6. Accountability**
- 7. Operating procedures**
- 8. Conduct of Business**
- 9. Review**

1. Introduction

The Performance and Delivery Committee (PDC) is appointed by the Management Board and supports the Board in discharging its roles and responsibilities.

The PDC is responsible to the Management Board for:

- Supporting the Senior Management Group (SMG) in meeting key organisational performance standards and targets;
- Driving continuous improvement in operational performance and working practices;
- Identifying strategic and operational issues impacting on delivery; and
- Ensuring the effectiveness of case management arrangements.

2. Membership

The PDC members are:

- SAD Legal (Chair)
- Assistant Director, Belfast and Eastern Region
- Assistant Director, Fraud and Departmental
- Assistant Director, Serious Crime Unit
- Assistant Director, Western and Southern Region
- Head of Resource Management

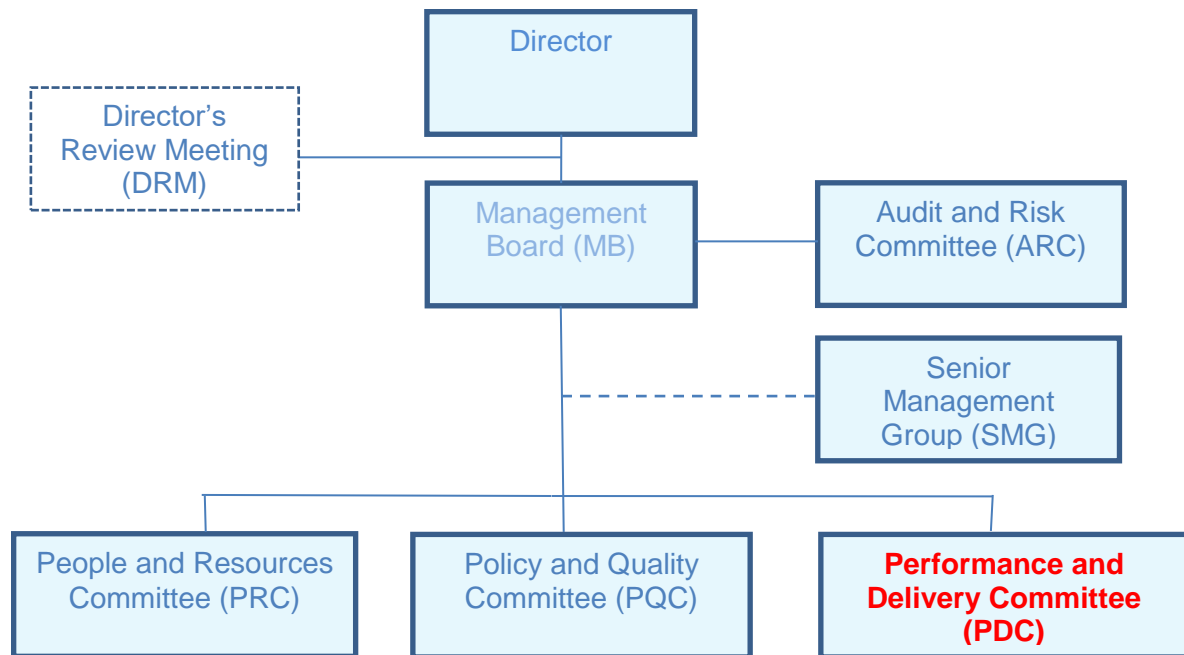
3. Responsibilities

- Consider key operational performance data, including work queues and performance against agreed targets as set out in the Corporate and Annual Business Plans.
- Make recommendations on progress in achieving agreed targets and service standards.

- Monitor adherence to agreed operating procedures and standards across the Service.
- Make recommendations on the performance of the Service in progressing agreed service delivery projects within resources, timescales and to appropriate quality standards.
- Provide advice on trends in region / section casework to highlight potential issues for the future, in particular any requirement for changes in work allocation or resources.
- Advise on and make recommendations with regard to changes in the delivery of services and to provide appropriate advice to the Senior Management Group.
- Ensure the continuous development of operational working practices and supporting technologies to both enable and support significantly improved performance across the Service's operational sections.
- Ensure the PPS has effective procedures in place to provide for the structured oversight and management of cases which may present risks to the interests of justice being served, public confidence in the PPS or the reputation of the organisation.
- Provide advice as to the format and content of operational performance reports and other management information.
- Provide advice on the operational impact of strategic change initiatives (internal and external), and on a quarterly basis (in conjunction with the PRC and PQC) give consideration to corporate strategy, resource, change and communication issues.
- Demonstrate visible and effective leadership across the PPS, giving consideration to the values of the Service as part of the PDC's discussions and decision-making.
- Support the PPS in achieving its equality and diversity commitments.
- Report regularly to the Senior Management Group (see below).
- Undertake any other roles as agreed by the Management Board or Senior Management Group.

4. Relationships

The relationship between the PDC, the Management Board and other committees is set out below.



The SAD is a member of the Management Board and will represent the views of the PDC.

The Director will attend the PDC periodically (at least twice a year) in order to provide members with an overview of the key issues for the Service and the Management Board, and to allow members to provide feedback on operational matters.

The SAD for Resources and Change will also attend as necessary, as Chair of the People and Resources Committee. This is to ensure that there is joint consideration of key issues relating to resources.

5. Decision-making

Delegated authority

The PDC is authorised by the Management Board to:

- Investigate any activity within its terms of reference.
- Seek any information that it requires from any employee of the Service. All employees are directed to co-operate with any request made by the PDC.

All expenditure decisions (including the approval of business cases) must be referred to the Management Board or Senior Management Group as applicable.

At all times the PDC will be responsible and accountable to the Management Board.

How decisions are taken

Decisions are taken collectively, either in or ex-committee.

The PDC will work coherently and constructively with other Board committees to further the collective aims of the PPS as set out by the Management Board.

The PDC may remit work to other sub-committees or working groups outside of the main corporate governance framework to develop solutions. Where appropriate, it will delegate authority for decisions to such groups while retaining corporate accountability.

Existing subordinate groups include:

- Business Managers' Forum (monthly).

6. Accountability

The PDC members should ensure that the committee works within the parameters set out in these terms of reference.

The committee will be held to account through:

- Collective accountability to the Management Board.
- Clear and transparent reporting, which will include the publication of all agreed minutes.

7. Operating Procedures

Attendance

In the event that a PDC member is not available for a meeting, there is no requirement for deputies to attend.

Other members of staff from within the Service may be called to attend meetings on an ad hoc basis.

Information Requirements

The PDC will be provided with the following papers for each meeting:

- Minutes from the previous Management Board / PDC meeting.
- Papers and actions referred by the Management Board or Senior Management Group.
- Performance Summary (Monthly).
- 80/40 Day Report (Monthly).

- Analysis of the Prosecutor Activity Sheet (Quarterly)
- Analysis of Key Performance Indicators (Quarterly).
- Ad hoc statistical analysis / research requested by the PDC.
- A summary of the key issues and agreed actions arising from the Performance and Accountability Meetings (PAMs).
- Capacity / resources updates (from the Resource Management Team).
- Casework Risk Registers.
- Business cases (where appropriate).

8. Conduct of Business

Meetings

The PDC will meet approximately ten times a year. Additional meetings can be scheduled should the need arise.

Meetings will normally take place during the second week of the month.

Where urgent decisions are required between meetings, the issue may be dealt with by correspondence. If, exceptionally, an urgent issue cannot be dealt with by correspondence, the Chair will make a decision (including any requirement for escalation to the Director / Management Board) and advise the PDC members accordingly.

On a bi-monthly basis, the PDC Chair will also provide the Director and Deputy Director with:

- An update on the progress of the work of PDC; and
- A summary of any issues which may require the imprimatur of the Director (or the full Management Board) before they can be resolved.

Support

The PDC will be provided with a secretariat support service by the Policy and Information Unit. The secretariat will be responsible for co-ordinating agendas and papers. Agendas will be subject to final approval by the Chair.

All papers for consideration by PDC are required to be with the secretariat at least seven days prior to a meeting for distribution to members. If papers are not sent to the secretariat in time or are incomplete they may be held over for the next meeting.

The business conducted by the PDC, together with decisions reached and actions required, are recorded in minutes prepared by the secretariat.

Draft minutes will normally be available for approval by members within five working days of the meeting. Minutes should include a list of the agreed action points.

The PDC Chair will:

- Provide final approval of the minutes of each meeting;
- Report to the Management Board on meetings held; and
- Submit the minutes of the PDC meeting to the Management Board for noting.

9. Review

These Terms of Reference will be reviewed on an annual basis.

Annex K: Policy and Quality Committee Terms of Reference

- 1. Introduction**
- 2. Membership**
- 3. Responsibilities**
- 4. Relationships**
- 5. Decision-making**
- 6. Accountability**
- 7. Operating procedures**
- 8. Conduct of Business**
- 9. Review**

1. Introduction

The Policy and Quality Committee (PQC) is appointed by the PPS Management Board and supports the Board in discharging its roles and responsibilities.

The PQC is responsible to the Management Board for:

- Monitoring and considering the key legal policy issues impacting on the organisation.
- Setting priorities for future legal policy development and quality assurance activity.
- Ensuring the effectiveness of corporate communication.

2. Membership

The PQC members are:

- Deputy Director (Chair)
- SAD Legal
- Assistant Director, Central Casework
- Assistant Director, High Court and International
- Assistant Director, Serious Crime Unit
- Assistant Director, Western and Southern Region
- Head of Policy and Information
- Head of Communications

Staff from the Policy and Information Unit will also attend as required.

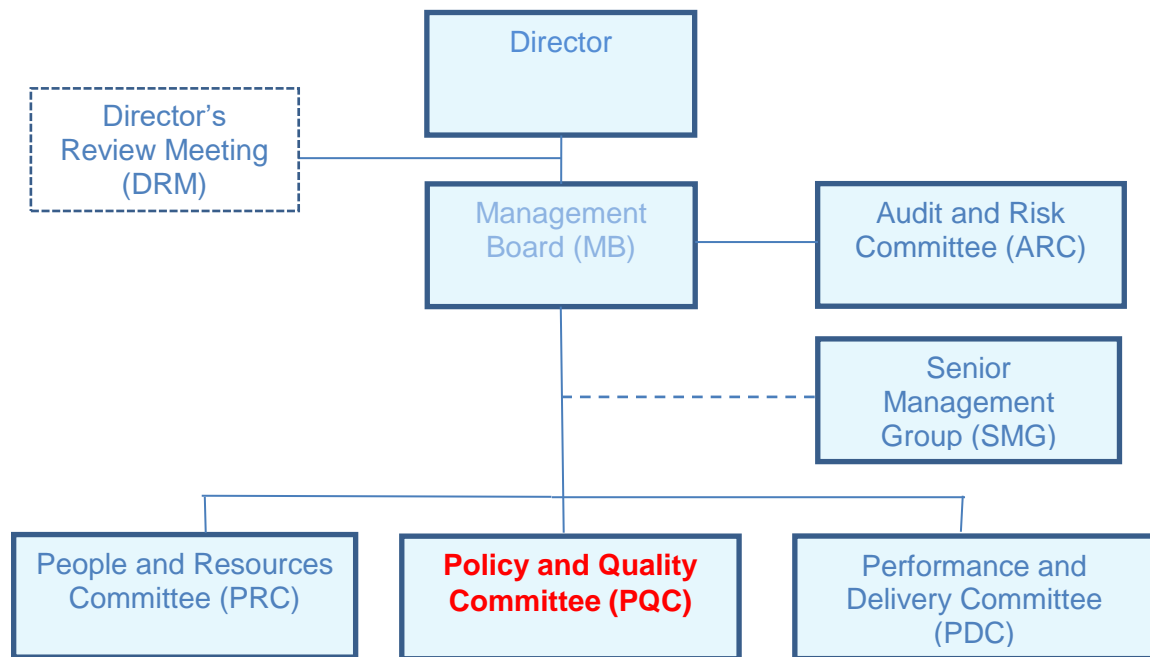
3. Responsibilities

- To determine the Service's legal policy priorities and provide appropriate advice to the Senior Management Group.

- Ensure the consistent delivery of the PQS across the Service within the agreed monitoring framework.
- Ensure that training and development activities are identified for all staff arising from new policy developments, ensuring that all members of Panel Counsel are briefed appropriately.
- Approve new legal policies and Staff Instructions, prior to final sign-off by the Senior Management Group / Management Board where appropriate.
- Monitor adherence to service level agreements and protocols with other agencies and review any changes in such agreements and protocols.
- Agree the Service's legal quality assurance programme and receive and examine reports of all reviews undertaken.
- Provide advice to the SMG and MB on the policy impacts of strategic change initiatives.
- Ensure appropriate consultation with stakeholders and the wider public in relation to new policy initiatives, promoting a clear and consistent understanding of the Service's policy direction.
- Monitor the delivery of the PPS Communications Strategy and the effectiveness of the Strategy in meeting its stated objectives.
- Approve changes to the Communications Strategy, prior to final sign-off by the Senior Management Group / Management Board.
- Provide advice to the SMG and MB on all aspects of corporate communications, as required.
- Demonstrate visible and effective leadership across the PPS, giving consideration to the values of the Service as part of the PQC's discussions and decision-making.
- Support the PPS in achieving its equality and diversity commitments.
- Report regularly to the Senior Management Group (see below).
- Undertake any other roles as agreed by the Management Board or Senior Management Group.

4. Relationships

The relationship between the PQC, the Management Board and other committees is set out below.



The Deputy Director is a member of the Management Board and will represent the views of the PQC.

5. Decision-making

Delegated authority

The PQC is authorised by the Management Board to:

- Investigate any activity within its terms of reference.
- Seek any information that it requires from any employee of the Service. All employees are directed to co-operate with any request made by the PQC.

All expenditure decisions (including the approval of business cases) must be referred to the Management Board or Senior Management Group as applicable.

At all times the PQC will be responsible and accountable to the Management Board.

How decisions are taken

Decisions are taken collectively, either in or ex-committee.

The PQC will work coherently and constructively with other Board committees to further the collective aims of the PPS as set out by the Management Board.

The PQC may remit work to other sub-committees or working groups outside of the main corporate governance framework to develop solutions. Where appropriate, it

will delegate authority for decisions to such groups while retaining corporate accountability.

6. Accountability

The PQC members should ensure that the committee works within the parameters set out in these terms of reference.

The committee will be held to account through:

- Collective accountability to the Management Board.
- Clear and transparent reporting, which will include the publication of all agreed minutes.

7. Operating Procedures

Attendance

In the event that a PQC member is not available for a meeting, there is no requirement for deputies to attend.

Other members of staff from within the Service may be called to attend meetings on an ad hoc basis.

Information Requirements

The PQC will be provided with the following papers for each meeting:

- Minutes from the previous Management Board / PQC meeting.
- Papers and actions referred by the Management Board or Senior Management Group.
- Draft policy papers / Staff Instructions (where appropriate).
- Draft position papers, including Policy / Communications issues (where appropriate).
- Quality Assurance Reports (where appropriate).
- Business cases (where appropriate).

8. Conduct of Business

Meetings

The PQC will meet approximately six times a year. Additional meetings will be scheduled should the need arise.

Where urgent decisions are required between meetings (for example where a new or amended policy requires approval), the issue may be dealt with by correspondence. If, exceptionally, an urgent issue cannot be dealt with by correspondence, the Chair

will make a decision (including any requirement for escalation to the Director / Management Board) and advise the PQC members accordingly.

On a quarterly basis, the PQC Chair will also provide the Director with:

- An update on the progress of the work of PQC; and
- A summary of any issues which may require the imprimatur of the Director (or the full Management Board) before they can be resolved.

Support

The PQC will be provided with a secretariat support service by the Policy and Information Unit. The secretariat will be responsible for co-ordinating agendas and papers. Agendas will be subject to final approval by the Chair.

All papers for consideration by PQC are required to be with the secretariat at least seven days prior to a meeting for distribution to members. If papers are not sent to the secretariat in time or are incomplete they may be held over for the next meeting.

The business conducted by the PQC, together with decisions reached and actions required, are recorded in minutes prepared by the secretariat.

Draft minutes will normally be available for approval by members within five working days of the meeting. Minutes should include a list of the agreed action points.

The PQC Chair will:

- Provide final approval of the minutes of each meeting;
- Report to the Management Board on meetings held; and
- Submit the minutes of the PQC meeting to the Management Board for noting.

9. Review

These Terms of Reference will be reviewed on an annual basis

Annex L: Director's Review Meeting Terms of Reference

- 1. Introduction**
- 2. Membership**
- 3. Operating procedures**
- 4. Relationships**
- 5. Information requirements**
- 6. Review**

1. Introduction

The purpose of the Director's Review Meeting (DRM) is to provide an opportunity for the senior executive team to:

- Review forthcoming business commitments, including meetings with key partners and stakeholders, and to share intelligence.
- Discuss emerging issues and any areas for priority action over the short-term, including any requirement for quality assurance, research or internal / external communication.
- Provide advice and direction to PPS senior managers on specific items of business that need to be progressed as a matter of urgency.
- Discuss ongoing resource, governance and operational issues and related strategies.
- Provide the Director with an update on the work of the Management Board committees.

2. Membership

DRM membership will include the Director, as Chair, the Deputy Director and Senior Assistant Directors.

Meetings will normally be attended by the Director's Principal Private Secretary. The Director may ask any other PPS official to attend to assist the DRM with its discussions on any particular matter.

3. Operating Procedures

Meetings

The DRM will usually take place on a weekly basis, at the discretion of the Director. Meetings will normally be scheduled for a Tuesday morning at 10.30am. The date

and time may vary according to the Director's and other members' diary commitments.

Meetings will be scheduled to last for no more than 90 minutes.

Agendas

The DRM will work to a structured agenda which will normally include the following items:

1. Actions arising from the previous meeting.
2. Review of forthcoming business.
3. Urgent matters.
4. Emerging issues.
5. Committee updates
6. Date of next meeting.

Support

The DRM will be provided with secretariat support by the Director's Principal Private Secretary, who will be responsible for co-ordinating agendas and papers, subject to final approval by the Director. In the absence of the Principal Private Secretary, this role will be performed by a nominated Personal Secretary from the Private Office.

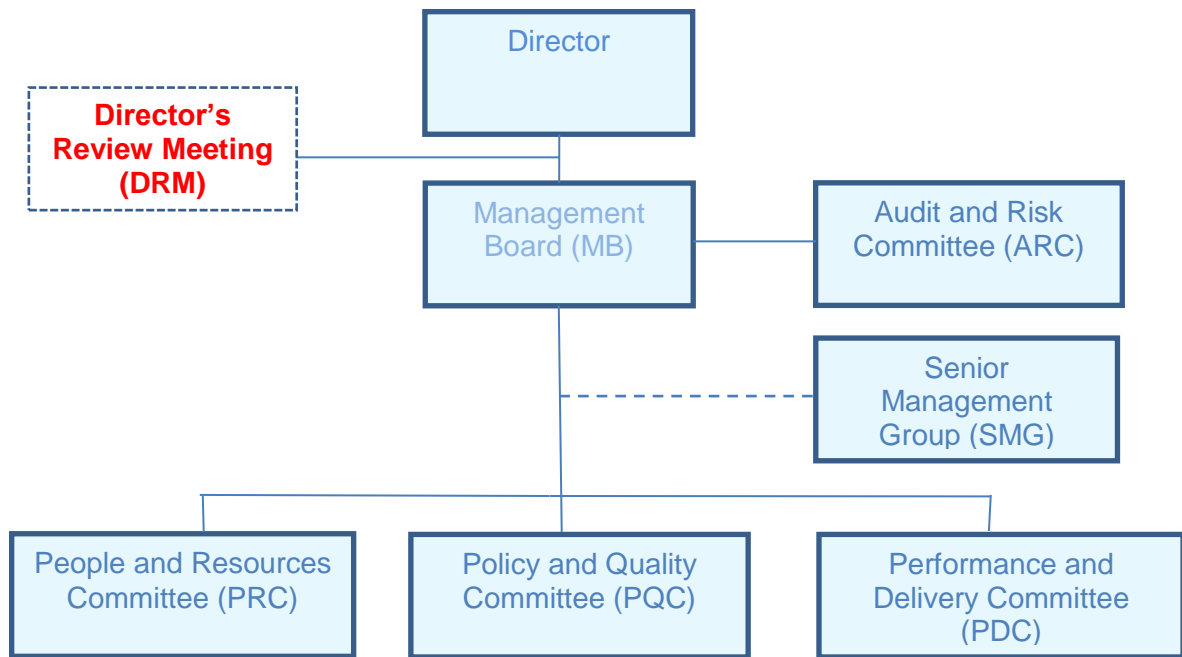
While business at the DRM is typically conducted on a more informal basis than at the Management Board and its committees, all decisions and action points arising from the meeting will be recorded by the secretariat and relayed as necessary within the organisation.

A summary of decisions and action points will normally be available for approval by the Director by close of play on the day of the DRM.

The Principal Private Secretary will be responsible for co-ordinating relevant updates in support of action points ahead of the next scheduled meeting of the DRM.

4. Relationships

The relationship between the DRM, the Management Board and other Board Committees is set out below.



5. Information Requirements

While the DRM will not require specific documents or papers to be provided for each meeting, members will review the Service's casework risk registers on a regular basis.

From time to time the Director may also invite individual prosecutors to attend at the DRM in order to outline progress in selected high profile or complex cases.

6. Review

These Terms of Reference will be reviewed on an annual basis.

Annex M: Supporting Policies and Procedures

Governance

- Annual Report and Resource Accounts (including the Governance Statement)
- Scheme of Delegated Authority
- Management Board Terms of Reference
- Audit and Risk Committee Terms of Reference
- People and Resources Sub-Committee Terms of Reference
- Performance Sub-Committee Terms of Reference
- Policy and Quality Sub-Committee Terms of Reference
- Risk Management Policy
- Corporate Risk Register
- Fraud Risk Registers
- Statements of Assurance
- NICS Code of Ethics
- PPS Code for Prosecutors and Code of Ethics
- Guidance on the Acceptance and Provision of Gifts and Hospitality
- Register of Interests
- Whistleblowing Policy
- Annual Business Plan
- Publication Scheme

Finance

- Court Witness Policy
- Anti-Fraud Policy and Fraud Response Plan
- Anti-Bribery and Corruption Policy
- Business Case Guidance
- Prosecution Fees Scheme
- Financial policy updates
- Dear Accounting Officer / Finance Director Letters
- Bar Library Terms of Engagement
- Counsel Panel
- Treasury Officer of Accounts Guidance

Procurement

- Procurement & Purchasing Policy and Strategy
- Use of External Consultants

BCM / Information Assurance

- Information Assurance and Risk Policy
- Business Continuity Policy
- Business Continuity Plan
- Incident Management Plan
- ICT Risk Management Accreditation Document Set (RMADS)

Human Resources

- NICS Handbook
- Health and Safety Review of Stress Management / Action Plan

Communication and Stakeholder Engagement

- Complaint Handling Policy
- External Communication Strategy
- Internal Communication Strategy

Other

- PPS Equality Scheme / Action Plan
- PPS Disability Action Plan

Annex N: Performance and Accountability Meetings Template

PPS Performance and Accountability Meetings (PAMs) Record of Discussion and Agreed Action Points Quarter X 2018/19

Region / Section:	
Date of Meeting:	
Attendees:	

(A) Review of Key Performance Measures / Scorecard Objectives

Please highlight any areas of concern (e.g. failure to meet key objectives or targets, significant slippage in performance etc.) and the potential reasons. Instances of good performance should also be highlighted and, where applicable, any examples of good practice / potential learning points for other regions / sections.

Agreed Actions

Where appropriate, please specify agreed completion dates and responsibilities.

01/18	
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(B) Statement of Assurance / Risk Management

Has a Statement of Assurance been provided for the current quarter?	Yes / No
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Were satisfactory assurances provided in all areas?	Yes / No
---	----------

(If 'No' above) Please specify below the main issues identified.

--

Agreed Actions
Where appropriate, please specify agreed completion dates and responsibilities.

02/18	
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Was the Region / Section risk register discussed?	Yes / No
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Please highlight below any matters arising in respect of risk (for example, new/emerging risks or risks to be escalated to the SMG).

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(C) Legal Quality Assurance

Have any issues been highlighted in respect of the quality of decision-making, case preparation or presentation at court?*	Yes / No
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(If 'Yes' above) Please specify the issues identified.

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Agreed Actions
Where appropriate, please specify agreed completion dates and responsibilities.

03/18	
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**This may include issues highlighted by internal QA / dip sampling, advocacy monitoring, CJINI reports etc. ADs should be in a position to provide a briefing in respect of adverse judicial comment or unsuccessful outcomes (e.g. No Bills / Acquittals by Direction).*

(D) Other Discussion Points

Please provide a brief record of any other matters discussed (e.g. high profile cases, health and safety / information assurance issues, future changes in the Region / Section etc.).

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Agreed Actions

Where appropriate, please specify agreed completion dates and responsibilities.

04/18	
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Annex O: Statement of Assurance Template

PPS ASSURANCE STATEMENT

Business Area:	
Reporting Period:	

Declaration	
<ul style="list-style-type: none"> • I acknowledge that I am responsible for the development and maintenance of an effective system of internal control within my business area. • I am aware that the Director, as Accounting Officer, will use this statement to support the Governance Statement which he is required to sign at the end of the 201X/1X financial year. • I understand my personal responsibilities as an Information Asset Owner as set out in the PPS "Guidance for Information Asset Owners". • I can confirm that there are no significant internal control problems other than those (if any) set out in the significant internal control issues report at Annex A. • To the best of my knowledge, during the period under review internal control within my business area has been adequate, except for those areas noted below at Annex B. • I have provided an outline of any incidents of Fraud which have occurred in my area during this quarter at Annex C. <p>I certify that the information detailed in this Statement is complete and correct.</p>	
Signed:	
Name: (Block Capitals)	
Grade:	
Date:	

Note:

This Assurance Statement should be submitted as follows:

- ***For Regional Prosecutors - to SAD Regional Prosecutions – by (date)***
- ***For Assistant Directors – to Deputy Director – by (date)***
- ***For Heads of Branch - to SAD Resources and Change - by (date)***
- ***For Business Managers - to the appropriate AD – by (date)***

All completed forms should be copied to the Policy and Information Unit.

(A) Significant Internal Control Issues - Report

Reporting Period:

Please provide key details of any significant control issues that are likely to affect delivery against policies, aims and objectives. If a nil return please state 'nil'.

Area of Assurance <i>(e.g. Financial Management – see Annex B)</i>	Issue <i>(include details of the problem, the remedial action in place and prospects for the future)</i> <i>(If no significant control issues write 'Nil')</i>

Please refer to the guidance document to assist in completing this section.

(B) Assurance Report

Reporting Period:

1. Risk Management Status *(please select appropriate box)*

- I am satisfied** that the measures/controls in place to manage the risks for which I am responsible are appropriate and operating effectively. They provide reasonable assurance that the risk will not occur, or if it does occur, that it will be detected and corrected in sufficient time to reduce the impact of the risk to tolerable or negligible levels.
- I am not satisfied** that the measures/controls in place to manage the risks for which I am responsible are appropriate and operating effectively. Further remedial action not yet in place or planned is required in order to safeguard the PPS from the impact of the risk materialising.

Please provide supporting details in either case:

Please do not type below this line.

Please refer to the guidance document to assist in completing this section.

2. Corporate Governance *(please select appropriate box)*

I am satisfied that appropriate corporate governance arrangements are in place within my business area.

I am not satisfied that appropriate corporate governance arrangements are in place within my business area.

Please provide supporting details:

- **If satisfied, details of positive actions that have been taken in this area; and**
- **If not satisfied, details of issues and corrective action being taken.**

Please do not type below this line.

Please refer to the guidance document to assist in completing this section.

3. Security, Information Assurance and Business Resilience

(please select appropriate box)

I am satisfied that appropriate security, information assurance and business resilience arrangements are in place within my business area.

I am not satisfied that appropriate security, information assurance and business resilience arrangements are in place within my business area.

Please provide supporting details in either case:

- **Details of positive actions to ensure that appropriate security, information assurance and data handling controls are in place in this area; and**
- **If not satisfied, details of issues in this area, including data related incidents or information losses and the corrective action being taken.**

Please do not type below this line.

Please refer to the "guidance document" to assist in completing this section.

4. Business Planning and Performance Monitoring

(please select appropriate box)

I am satisfied that appropriate business planning and performance monitoring arrangements are in place within my business area.

I am not satisfied that appropriate business planning and performance monitoring arrangements are in place within my business area.

Please provide supporting details in either case:

- **If satisfied, details of positive actions that have been taken in this area; and**
- **If not satisfied, details of issues and corrective action being taken.**

Please do not type below this line.

Please refer to the "guidance document" to assist in completing this section.

5. Human Resources (including Health and Safety)

(please select appropriate box)

I am satisfied that appropriate arrangements are in place in respect of key HR policies and procedures (including performance management and attendance management) and that health and safety requirements are being met within my business area.

I am not satisfied that appropriate arrangements are in place in respect of key HR policies and procedures and/or that health and safety requirements are being met within my business area.

Please provide supporting details:

- **If satisfied, details of positive actions that have been taken in this area; and**
- **If not satisfied, details of issues and corrective action being taken.**

Please do not type below this line.

Please refer to the guidance document to assist in completing this section.

6. Financial Management *(please select appropriate box)*

I am satisfied that proper financial controls are in place to enable me to ensure value for money, propriety and regularity of expenditure under my control, manage my business area's budget, protect any financial assets under my care and achieve maximum utilisation of my budget to support the Department's / my business area's achievement of its financial targets.

I am not satisfied that proper financial controls are in place to enable me to ensure value for money, propriety and regularity of expenditure under my control, manage my business area's budget, protect any financial assets under my care and achieve maximum utilisation of my budget to support the Department's / my business area's achievement of its financial targets.

Please provide supporting details in either case:

- **Details of positive actions to ensure sound financial management; and**
- **If not satisfied, details of issues and corrective action being taken.**

Please do not type below this line.

Please refer to the guidance document to assist in completing this section.

7. Internal Processes *(please select appropriate box)*

I am satisfied that appropriate internal processes are in place within my business area.

I am not satisfied that appropriate internal processes are in place within my business area.

Please provide supporting details:

- **If satisfied, details of positive actions that have been taken in this area; and**
- **If not satisfied, details of issues and corrective action being taken.**

Please do not type below this line.

Please refer to the guidance document to assist in completing this section.

8. External and Internal Audit

New Audit Recommendations

Please outline any **new** Internal Audit / NI Audit Office Reports received during the reporting period, providing a brief summary of the recommendations made and any key issues raised. For Internal Audit, please also state the assurance opinions provided.

Please do not type below this line.

Existing Audit Recommendations *(please select appropriate box)*

- I am satisfied that processes are in place to address all recommendations for which I am responsible.
- I am not satisfied that processes are in place to address all recommendations for which I am responsible.
- Not applicable – no audit recommendations currently apply.

Please provide supporting details below.

Please do not type below this line.

Please refer to the guidance document to assist in completing this section.

9. Legal Quality Assurance (Regional Prosecutors / Assistant Directors only)
(please select appropriate box)

I am satisfied that appropriate legal quality assurance arrangements are in place within my business area.

I am not satisfied that appropriate legal quality assurance arrangements are in place within my business area.

Please provide supporting details:

- **If satisfied, details of positive actions that have been taken in this area; and**
- **If not satisfied, details of issues and corrective action being taken.**

Please do not type below this line.

Please refer to the guidance document to assist in completing this section.

(C) Fraud Report

Reporting Period:

Please provide an outline of any incidents of Fraud that have occurred in the PPS during this quarter. If a nil return please state 'nil'.

Please note this information will form part of an Annual Fraud Return, which gives details of all discovered cases of suspected and proven fraud (including attempted fraud), which the PPS are required to submit to DoF.

Please refer to the guidance document to assist in completing this section