



Committee Members	Jeremy Newman (JN)	Non-executive Board Director (C)
	Alan Jenkins (AJ)	Non-executive Board Director
	Jenny Rowe (JR)	Non-executive Member
	Marta Phillips (MP)	Non-executive Member
Attendees	Nick Folland	Chief Executive
	Paul Staff	Director of Corporate Services
	Mark Andrews	Audit Manager
	David Rogers	Grant Thornton UK LLP
	Chris Davis	Internal Audit Manager
	Nicholas Doran	National Audit Office
Guests	Jean Ashton	Director of Business Services
	Rachel Mort	Area Business Manager
	Adrian Foster	Chief Crown Prosecutor
Apologies	Kevin McGinty	HMCPSI
	Marc Rainforth	Head of Internal Audit
	Richard Shaw	Grant Thornton UK LLP
Secretariat	Jade Whittle-Barnes	Secretariat

Item 1: Declaration of Conflicts of Interest

1. No conflicts of interest were declared.

Item 2: Minutes of Last Meeting and Matters Arising

2. The minutes of the last meeting held on the 18 April 2017 were agreed. Progress was noted against the outstanding actions.

Item 3: Review of Corporate Risk 4

3. Jean Ashton, Director of Business Services, gave an overview of the work relating to corporate risk 4 - increase in rape and serious sexual offences (RASSO) and serious crime workload has a detrimental impact on business delivery in terms of timeliness and/or quality.
4. The Committee noted that the risk in relation to the RASSO caseload had not materialised and case receipts had remained static since Q2.
5. The Committee raised the following points:

- Concerns about the Specialist Fraud Division – the Committee were informed that a team from Operations had been deployed to assist. HR were also engaged in further recruitment;
 - Judicial orders;
 - Casework quality – a National Casework Committee, chaired by Greg McGill the Director of Legal Services, had been set up to consider national issues and trends. A schedule of RASSO road shows, hosted by the DLS and the Director’s Legal Advisor, was ongoing and had received a lot of positive feedback;
 - Increase in early guilty pleas;
 - Charging decisions and backlogs;
6. The Committee were satisfied that this risk was well managed.

Item 4: CPS Risk Management Update

7. Paul Staff provided highlights on the risk management process as at the end of Q3 2016/17. The Committee then considered the eight strategic risks detailed in the paper.
8. The Committee discussed the recently published Cabinet Office guidance.
9. Concerns were raised regarding the area risk ratings, in particular the high risk ratings of CPS East Midlands and CPS London. The recently appointed risk manager had begun engagement with the areas to improve the quality and consistency of risk returns.

Item 5: CPS Thames and Chiltern Area Risk Register

10. Adrian Foster, Chief Crown Prosecutor (CCP), and Rachel Mort, Area Business Manager, gave an overview of the 2016/2017 risk register for CPS Thames and Chiltern.
11. The Committee were impressed with the methods utilised to tackle resourcing issues in the area: the use of a satellite team in Merseyside; and the distribution of overtime across other CPS areas.
12. The Committee raised the high level of risk identified for casework quality and questioned how this was reconciled when high quality casework was a pillar of CPS 2020. The group discussed the local issues CPS Thames and Chiltern faced including a high rate of contested cases and poor police file quality. The committee were pleased to hear that the CCP had ownership of this risk and was monitoring the situation closely.
13. The Committee questioned the lack of an identified risk regarding stakeholder engagement and reputation management; however they were pleased to hear that the CCP held regular meetings with both the Chief Constables and the Police and Crime Commissioner. The CCP recognised the need to include community engagement in the register. This would be updated in the 2017/2018 risk register.
14. Overall the Committee was content that risk was well managed in the area.

15. The Committee requested that area performance trend scores are provided alongside the risk registers for future meetings. **[ACTION A1]**

Item 6: Draft Internal Audit Annual Report for 2016/2017

16. The Committee welcomed Mark Andrews who has joined the Internal Audit Team.
17. Chris Davis gave an overview of the report and updated the Committee on the final audits on Corporate Governance and ICT Service Levels, which were waiting on formal feedback sessions with the Chief Executive and the Director of Digital Transformation respectively. Both reports would be signed off before the accounts are finalised.
18. The Committee discussed overrunning reports and were pleased to hear that these would be reported to senior management in good time in future. The Committee requested that all future reports that over or under ran included an explanation in the narrative to help the Committee understand the issues faced.
19. It was agreed that Internal Audit would provide a short update on any reports of whistleblowing at each meeting.

Item 7: Draft Internal Audit Plan for 2017/2018

20. The Committee were content with the planned audits outlined. The Committee requested that consideration be given to the inclusion of the International Justice and Organised Crime Division with the Specialist Fraud Division audit if timings allowed.
21. The Committee were grateful for the comprehensive audit universe data.
22. The Committee requested that the secretariat reminds all management action owners to include target dates on the Internal Audit recommendation tracker.

Item 8: NAO Interim Findings on 2016/2017 Financial Audit

23. Nick Doran and David Rogers gave an overview of the initial findings on the financial audit.
24. The Committee discussed the bad debt provision and were informed that this would be reworked for next year and the CPS would no longer rely on historical data and would follow the new HM Courts and Tribunal Service model.
25. The Committee asked if the period of purdah arising from the General Election could delay the signing of the accounts. It is currently believed that there will be no impact.

Item 9: Draft CPS Annual Report and Accounts 2016/2017

26. The Committee were grateful for early sight of the draft Annual Report and Accounts.
27. It was agreed that the 'Accounting Officer System Statements' were not applicable to the CPS.
28. The proposed segmentation analysis (IFRS 8) was accepted.

29. The Committee asked that greater prominence be given in the Report to the improvement in the Employee Engagement Index, Victim and Witness Survey and the CPS's work on Equality and Inclusion. It was also agreed that the wording used to describe progress on 'Compliance with Judicial Orders' be reviewed to ensure it fully reflected that the current status was still well short of ambition.

30. The Committee requested sufficient time to review the next version of the report and were appreciative that this had been factored into the current timetable. It was agreed that the Board would be sighted on the version provided to the Committee in early June as this would provide opportunity to review a near final version.

Item 10: Draft Audit and Risk Committee Annual Report 2016/2017

31. The Committee agreed that feedback on the draft annual report would be provided out of committee and would be agreed at the June meeting. **[ACTION A3]**

Item 11: Common Platform Update

32. Nick Folland, the Chief Executive, gave a presentation on the progress of the Common Platform Programme. The Committee were satisfied that the risks were being managed appropriately and as well as possible given the significant challenges faced by the programme.

Item 12: Anti-Fraud and Corruption

33. The Committee were informed that there was no further update since the annual report provided in October.

Item 13: Gifts and Hospitality Register

34. The Committee noted the contents of the report.

Item 14: Any Other Business

35. None raised.

**Secretariat
April 2017**