

Senior Management Team Terms of Reference

1. Constitution and Purpose

The Senior Management Team, which has been established as an interim measure prior to the appointment of a Chief Operation Officer, is responsible for the strategic and operational leadership of the NIAO. Subject to the C&AG's statutory position as Corporation Sole and his primacy in setting strategy, policy and procedures, it is the principal mechanism for directing the business and decision making in the NIAO. Following the appointment of a Chief Operating Officer later in 2017, these terms of reference will be re-visited.

2. Membership

The Senior Management Team comprises:

- the Comptroller and Auditor General (Chair);
- the Assistant Auditors General; and
- the Directors

A minimum of five members must be present for the meeting to be deemed quorate.

3. Responsibilities

The Senior Management Team assists the C&AG in the delivery of the key business areas of the Office. Based on the proportionate application of the 'Corporate governance in central government departments: Code of good practice NI 2013', its responsibilities are categorised as follows:

Strategic Clarity

- Setting strategies, plans and policies in accordance with the C&AG's direction.

Commercial Sense

- Financial and resource management.
- Governance arrangements.
- Risk management, including the identification and management of key risks.

Talented People

- Ensuring the Office has the capability and capacity to deliver and to plan to meet current and future needs.

Results Focus

- Monitoring performance against corporate, business and operational strategies, plans and policies.

Management Information

- Ensuring clear, consistent and comparable information is used to support the decision making process and drive improvements.

4. Decisions

Subject to the primacy of the C&AG, matters that will always be dealt with by the Senior Management Team include the following:

- Corporate/business planning, including KPIs;
- Operational strategies, policies and plans, including but not limited to:
 - HR strategy, including performance management;
 - Learning and development strategy;
 - Digital Services Strategy;
 - Risk management strategy;
 - Anti-fraud strategy;
 - Workforce Planning;
 - Quality assurance;
 - Business continuity planning;
 - Health and safety policy; and
 - Equality Scheme;
- Audit methodology/approach;
- Stakeholder Engagement;
- Budgeting;
- Annual report and accounts, including governance statement;
- Performance monitoring;
- Corporate risk register and notification of escalating risk to Audit Committee;
- Corporate projects, including change management, business improvement and restructuring initiatives; and
- Corporate governance arrangements.

To support the C&AG's statutory responsibility as a Corporation Sole it is the responsibility of every other member of the Interim Senior Management Team, at meetings of the Team, to provide the C&AG with comprehensive advice.

5. Information Requirements

Main categories of information to be considered at Senior Management Team meetings:

- Progress against corporate/business plan milestones and metrics;
- Performance against key efficiency metrics;
- Progress and status of major projects;
- Risk management;
- Financial management, including use of resources compared to budgets;
- Draft internal audit reports and other assurance/compliance reviews; and
- Monitoring information on Freedom of information requests, MLA enquiries, concerns raised by whistleblowers etc.

The above matters shall be scheduled in an annual programme prepared and maintained by the corporate secretariat.

6. Meetings

The Senior Management Team should normally meet on a monthly basis. The C&AG may convene additional meetings, as necessary.

If appropriate, a meeting may be conducted by conference call. If any member is unable to attend a meeting, the C&AG will brief them on the business conducted.

In the event of extenuating circumstances preventing the C&AG from participating in any Senior Management Team meeting, the AAG responsible for Corporate Support will fulfil chairing duties for that meeting.

The Senior Management Team may ask any other officials of the Office to attend to assist with its discussions on any particular matter.

7. Secretariat Support

A member of the C&AG's Private Office (encompassing the corporate secretariat function) will provide secretariat support to the Senior Management Team.

For each meeting of the Senior Management Team, the secretary will agree an agenda with the C&AG, with input from other members. This will be informed by the annual forward work programme produced by the secretariat and agreed by the Senior Management Team.

The C&AG will have the final say in the decisions about what business will be taken at any particular meeting.

For each meeting, agendas and papers should normally be disseminated at least two clear working days in advance. The business conducted at meeting, and actions required, are recorded in minutes prepared by the secretariat. The draft Senior Management Team minutes are circulated within a week of the meeting to the members and agreed at the next meeting of the Senior Management Team.

8. Conflicts of Interest and Conduct

Senior Management Team members will show leadership by promoting agreed values and standards. They will advise of any external interests that may conflict with duties and responsibilities in accordance with NIAO Code of Conduct arrangements.

9. Reporting and communications

Following the meeting the secretariat will prepare a team brief which will be communicated to staff through the cluster structure.

Minutes of all meetings will be made available on both the NIAO website and intranet, and sent to Non-Executive members..

The Senior Management Team will inform the Audit Committee and Advisory Group on an ongoing basis of matters relevant to their remit. Significant issues such as risk escalation will be reported promptly.

10. Review and Approval

These Terms of Reference will be reviewed following the appointment of a Chief Operating Officer, or in April 2018 by the Senior Management Team.

C&AG's Signature

Kieran Donnelly

Date

Governance: Senior Management Team

1. Membership

- a. C&AG
- b. COO
- c. Corporate Services AAG
- d. Cluster Directors
- e. Heads of Function

2. Key functions

- a. Organisational leadership
- b. Strategy development
- c. Business planning
- d. Overview of key initiatives
- e. Staff communications
- f. Budget management
- g. Performance reviews
- h. Quality management
- i. Change management
- j. Stakeholder management

3. Meeting

- a. Monthly
- b. 3 hours

4. Process: Formal