

**From:** Coyne, Terence  
**To:** [Sewell, Julie](#)  
**Subject:** FW: Policy Group - Six Monthly Assurance Statement to 31 March 2014  
**Date:** 14 November 2016 10:54:00  
**Attachments:** [Draft Policy Group Composite Statement 31 March 2014.DOC](#)  
[Policy Group Checklist 31 March 2014.DOC](#)  
[image001.png](#)  
[image002.gif](#)  
**Importance:** High

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Julie

Here is the assurance statement to 31 March 2014. Nothing raised re renewable heat.

Regards

Terry

**Terence Coyne**

Governance Accountability and Casework  
Department for the Economy  
Netherleigh  
Massey Avenue  
Belfast, BT4 2JP  
Tel: 02890529406 (ext: 29406)  
Mob: Personal information redacted by the RHI Inquiry  
TextRelay: 18001 02890529406  
Web: [www.economy-ni.gov.uk](http://www.economy-ni.gov.uk)



[NI Year of Food & Drink 2016](#)

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**From:** Johnston, Iris **On Behalf Of** Thomson, David  
**Sent:** 16 May 2014 16:28  
**To:** Sterling, David; Mateer, Kim  
**Cc:** Coyne, Terence; Morrison, Rosemary; Johnston, Iris  
**Subject:** FW: Policy Group - Six Monthly Assurance Statement to 31 March 2014  
**Importance:** High

David/Kim

Please see attached Six Monthly Assurance Statement from David Thomson.

Many thanks

Iris

**Iris Johnston**

Personal Secretary to David Thomson  
Department of Enterprise, Trade & Investment  
Netherleigh  
Massey Avenue  
Belfast, BT4 2JP  
Tel: 028 9052 9204 (ext: 29204)  
TextRelay: 18001 028 9052 9204  
Web: [www.detini.gov.uk](http://www.detini.gov.uk)

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**Department of Enterprise, Trade and Investment: Six Monthly Assurance Statement on the System of Internal Control - Period Ended 31 March 2014**

**Scope of Responsibility**

1. As the Senior Civil Servant responsible for Policy Group, I have responsibility for maintaining a sound system of internal control that supports the achievement of the Department of Enterprise, Trade and Investment's policies, aims and objectives, whilst safeguarding the public funds and Departmental assets for which I am responsible.

**The Purpose of the System of Internal Control**

2. The system of internal control is designed to manage risk to a reasonable level rather than eliminate all risk of failure to achieve policies, aims and objectives; it can therefore only provide reasonable and not absolute assurance of effectiveness.
3. The system of internal control is based on an ongoing process designed to identify and prioritise the risks to the achievement of my Group's policies, aims and objectives, to evaluate the likelihood of those risks being realised and the impact should they be realised, and to manage them efficiently, effectively and economically. The system of internal control has been in place for the six months ended 31 March 2014 in the Group for which I am responsible and accords with Department of Finance and Personnel guidance.

**Capacity to Handle Risk**

4. My Group is carrying out appropriate procedures to ensure that it identifies its objectives and risks and a control strategy has been devised for each of the significant risks. As a result, risk ownership has been allocated to appropriate staff.

**The Risk and Control Framework**

5. The Departmental Board, of which I am a member, has ensured that procedures are in place for verifying that risk management and internal control are regularly reviewed and reported on. As well as regular reports to the Departmental Board, risk management and internal control are regularly reviewed by the Departmental Audit Committee. Risk management is continually being incorporated into the corporate planning and decision-making processes of my Group.
6. The Departmental Board and Departmental Audit Committee receive periodic reports concerning internal control. The appropriate steps are being taken to manage risks in significant areas of responsibility and monitor progress on key projects.

7. The Department's key objectives and risks are regularly assessed to ensure consistency of treatment.
8. The Department has an Internal Audit Service, which operates to Government Internal Audit Standards. They submit regular reports which include the Head of Internal Audit's independent opinion on the adequacy and effectiveness of the Department's system of internal control together with recommendations for improvement.

### **Review of Effectiveness**

9. As Head of Group I am responsible for reviewing the effectiveness of the system of internal control within my Group. My review of the effectiveness of the system of internal control is informed by the work of the internal auditors and the executive managers within the Department who have responsibility for the development and maintenance of the internal control framework, and comments made by external auditors in their management letters and other reports.

### **Issues to Note**

10. In the following paragraphs I draw your attention to a number of issues that warrant disclosure.
11. **Telecoms, Tourism & GSNI Division** has reported the following issues:

### **Legislative Matters**

12. **Minerals & Petroleum Branch** functions and activities relating to Mineral and Petroleum Licensing in NI are determined by the enacting legislation available to DETI, ie: Mineral Development Act (NI) 1969 (MDA 1969); Petroleum (Production) Act (NI) 1964. Further legislative/legal issues are arising from the application of legislation that is circa 50 years old in today's operational environment e.g. Rights of Access Over Land issues; issue of entitlement to compensation; Annual Mineral Statement etc.

Moreover there is increased public concern emanating from the potential for "fracking" in NI and the legislative and policy framework for Minerals and Petroleum Licensing. Accordingly a review of the legislative, policy and operational framework for today's licensing activities may be required.

13. **Minerals & Petroleum Branch:** In relation to the transposition of EU Directives, considerable work has been undertaken throughout the period to facilitate the preparation of a stocktake paper setting out the current standing of matter relating to the incomplete transposition/implementation in Northern Ireland of EU Directive CCS/CDD 2009/31/EC – the Carbon Capture & Storage Directive. DETI is interacting with DSO, DECC and its ROI counterparts to fully inform the current position and to enable a preferred option to be recommended. The aim is to complete transposition before the EU Commission's next report due in March 2015 and, although a full time Deputy Principal was appointed on 7 April 2014 to work exclusively on the transposition of the Directive, concerns remain on the ability of the Branch to take this work forward without additional staff resources being allocated.

### Post Project Evaluations

14. **Telecoms Branch:** The PPE for the Avanti Satellite contract was outstanding at the last six monthly assurance report. However, an independent, evaluation has now been completed externally by Cogent Management Consulting.
15. **Minerals/GSNI:** Some additional analysis of the outcomes of the Deep Geothermal Energy (DGE) Project, is currently being undertaken with a view to establishing the scope for further informing DGE policy going forward – the PPE is now expected to be finalised in quarter ending 30 September 2014.

### Northern Ireland Tourist Board Issues

16. The following issues relating to the **Northern Ireland Tourist Board** are of note:
- A final NITB IAS Report issued on 17 October 2013 on the Walled City Signature Project and provided a limited opinion consisting of three Priority 1 issues and four Priority 3 issues. Recommendations have now been implemented and a draft IAS follow up report has issued with a satisfactory opinion;
  - IAS has completed its fieldwork in relation to its follow up review of procurement. A report is currently being drafted;
  - Significant progress has been made on the implementation of actions in NITB's Governance Action Plan, progress on which is reported on a regular basis to the O&L meetings and Departmental and NITB Audit Committees. Implementation of the Plan is almost complete.
17. Tourism Policy Branch is satisfied that all relevant information to monitor adherence to the MSFM is forthcoming as and when required.

18. The final issue to report in relation to **Telecoms, Tourism & GSNI Division**, is the action that continues to be taken on the Telecommunications Project which was in receipt of Intereg IIIA funding. The Northern Ireland Audit Office is now producing a report on the project and the Department is assisting NIAO in its enquiries.
  
19. **Energy Division** continues to pursue clawback of £198,747 from Craigavon Borough Council as a result of a suspected fraud connected with the tendering process for the installation of renewable energy boilers. A Protective Writ was served on the Council in November 2011 and the Department continues to receive monthly updates. The Council is pursuing the matter through its insurers but, as yet, no repayment has been made.

A handwritten signature in black ink, appearing to read 'D. Thompson'. The signature is written in a cursive style with a large initial 'D'.

**Head of Group**

**Date: 16 May 2014**

## DEPARTMENT OF ENTERPRISE, TRADE AND INVESTMENT

### Checklist for Six Monthly Assurance Statement on Internal Control

#### Policy Group

This checklist covers the following:

1. Business Planning;
2. Legislative and Other Authorities
3. Business Cases (including Economic Appraisal, Post Project Evaluation and Consultancy);
4. Monitoring of Expenditure;
5. Procurement;
6. Staff (including gifts and hospitality);
7. NDPBs and Third Party Organisations;
8. Internal and External Audit Reports;
9. Data Management; and
10. Other Issues.

**Note:** If a question is not applicable this should be stated in the comments section.

## INTERNAL CONTROL CHECKLIST

## 1 – Business Planning

1.1	Yes	No	Partly
Divisions/Units and Branches within the Group have plans which contain measurable targets against which performance and progress can be measured.	✓		
<p><b>Comments:</b></p> <p><b><u>Energy Division :</u></b>  <b>Energy Co-Ordination Branch</b> -: Divisional Business Plan agreed and progress against targets reported to HoD on a quarterly basis.  <b>Markets Branches - Electricity Markets</b> – Extensive engagement with DCENR and RAs on Target Model High Level Design and associated governance arrangements completed. Engagement continuing to ensure arrangements being applied.  <b>Electricity and Gas Markets</b> - Divisional Business Plans agreed for 2013/14, on which progress is formally reported. Fortnightly meetings with Head of Division to report on progress. Regular engagement with NIAUR on gas extension and security of supply issues.  <b>Renewable Electricity Policy &amp; Legislation Branch/Renewable Heat Branch/Sustainable Energy Branch:</b> No comment</p> <p><b><u>TT &amp; GSNI :</u></b>  <b>Telecoms</b> Branch has an Action plan (2011 - 2015) that feeds into the Department's Corporate (4 targets) and Operational Plans (10 targets) and reports quarterly on progress. Individual projects are managed under PRINCE2 methodology with clearly defined milestones and deliverables.  <b>GSNI</b> has a detailed work plan with SMART objectives that are reviewed quarterly  <b>Tourism</b> - Tourism Policy Branch Plan in place</p> <p><b><u>ASU</u></b>  The ASU Business Plan for 2013/14, which incorporates work requests from DETI Business Areas, has been agreed and finalised and contain targets against which performance and progress can be measured.</p> <p><b><u>EPD</u></b>  A full Divisional Plan for 2013/14 is in place that all Branches contributed to. This includes all relevant PfG, Corporate and Operating Plan commitments. All targets are measurable and performance against these is formally monitored, quarterly progress measured and any corrective action taken. In addition each Branch in the Division has a more detailed Operating Plan which each HOB monitors. Business Development Unit has developed a branch operating plan which sets out details of measurable targets for the branch and which is updated on a quarterly basis.</p>			

1.2	Yes	No	Partly
Timely, relevant and reliable reports on progress against targets are produced and reviewed at the appropriate level to ensure that corrective action is taken as required.	✓		
<p><b>Comments:</b></p> <p><b><u>Energy Division:</u></b></p> <p><b>Energy Co-Ordination Branch</b> - Progress against 2013/14 Operating Plan and Divisional Plan targets to year-end currently being compiled.</p> <p><b>Markets Branches</b> - Joint Steering Group monitors progress on All-island Energy Market targets and priorities. ISLES2 Project Board now established following DETI Casework approval for project on 25 March 2013. Project is now in delivery phase following recruitment of Project Manager who reports to the three project partners, Scottish government, DETI and DCENR.</p> <p>Progress against targets monitored through: Branch progress meetings with Grade 5 and HOBs and through Divisional business Plan and SEF Implementation Plan reporting. DETI worked with NIAUR, DECC and EC to Directives and notify the Commission by the planned date of April 2013. The Commission subsequently confirmed in Autumn 2013 that it was closing the infraction cases relating to IME3.</p> <p><b>Renewable Electricity Policy &amp; Legislation Branch/Renewable Heat Branch/Sustainable Energy Branch</b> - No comment</p> <p><b><u>TT &amp; GSNI</u></b></p> <p><b>Telecoms</b> Branch regularly monitors progress on project targets and where necessary takes remedial action through risk and issues registers. For example the targets in relation to 3G/4G mobile coverage have been met through market action and the proposed DETI mobile project has therefore been re-evaluated and adjusted to meet the aims and criteria of the UK Superfast Broadband Extension Programme and address the needs of the Final 10% unable to access superfast broadband services. All telecoms projects are managed under PRINCE2 with project board governance.</p> <p><b>GSNI's</b> targets are reviewed at quarterly management meetings.</p> <p><b>Tourism</b> - These include Management liaison/performance monitoring meetings, including financial / corporate governance issues.</p> <p><b><u>ASU</u></b></p> <p>Key ASU objectives are reflected in the DETI Corporate Plan 2012-15, current year's Operating Plan and ASU Risk Register. These are regularly reviewed as part of the performance monitoring and risk management processes.</p> <p><b><u>EPD:</u></b> As noted above, the Divisional Plan is formally updated and monitored quarterly by HOD (and HOBs), including Corporate and Operating Plan targets. This requires progress to be documented alongside any remedial action that has either been taken or is planned in order to keep targets on schedule. Branch Plans are also formally monitored by HOBs at the same time. In addition HOBs monitor progress on an ongoing basis, and HOD undertakes formal 2-weekly work progress meetings with HOBs (and DPs) – any necessary remedial action is discussed and agreed prior to implementation.</p>			

1.3	Yes	No	Partly
Divisions within the Group have reviewed their respective responsibilities/entries in the relevant <b><i>Building-Specific Business Continuity Plan</i></b> and taken appropriate action to maintain upkeep.	✓		
<p><b>Comments:</b></p> <p><b><u>Energy Division :</u></b>  <b>Energy Co-Ordination Branch</b> - No comment  <b>Markets Branches</b> - BCP current .  <b>Renewable Electricity Policy &amp; Legislation Branch/Renewable Heat Branch/Sustainable Energy Branch</b> - No comment</p> <p><b><u>TT &amp; GSNI</u></b>  <b>Telecoms</b> Branch has a Business Continuity Plan which feeds into the Netherleigh BCP. The branch reviews its entry when requested to do so.  <b>MAPB/GSNI</b> – MAPB inputs to DETI’s overall Business Continuity Plan as and when requested.  <b>Tourism</b> - Not Applicable</p> <p><b><u>ASU</u></b>  ASU has a representative on the business continuity team and provide input into the Netherleigh BCP upon request.</p> <p><b><u>EPD</u></b>  <b>EPD</b> reviews the Business – Specific BCP and responsibilities are noted and updates made as required. A Netherleigh Business Continuity Steering Committee has been set up to look at how the Business – Specific BCP is regularly reviewed and updated. A representative from EPD sits on this group and provides feedback to the Division on a regular basis.  Business-specific BCPs is reviewed/ updated as necessary.</p>			

1.4	Yes	No	Partly
<p>Divisions/Units within the Group have <b>Branch-level Business Continuity Plan</b> in place that are fully embedded, reviewed, updated and validated/tested, as appropriate, on a regular basis.</p>	✓		
<p><b>Comments:</b></p> <p><b><u>Energy Division:</u></b>  <b>Energy Co-Ordination Branch</b> - Branch-level BCP updated January 2014. Alan Chowney represents Energy Division on the Netherleigh Business Continuity Group and feeds into validation and testing exercises.  <b>Markets Branches</b> – Work ongoing to ensure new staff are aware of arrangements.  <b>Renewable Electricity Policy &amp; Legislation Branch/Renewable Heat Branch/Sustainable Energy Branch</b> - No comment</p> <p><b><u>TT &amp; GSNI:</u></b>  <b>Telecoms</b> Branch has a branch BCP which was last reviewed and updated in January 2013.  <b>MAPB/GSNI</b> - Branch BCP plan (version 1.7) updated 3 July 2012  <b>Tourism</b> - Tourism Policy Branch BCP updated – 21/11/13</p> <p><b><u>ASU</u></b>  ASU has developed its own Business Continuity Plan, which is reviewed and updated quarterly, in addition to any staff changes.</p> <p><b><u>EPD</u></b>  Branch BCP's are in place and are reviewed and updated on a regular basis.  BDU's BCP was updated in February 2014.  A&amp;AF's BCP was reviewed and updated in September 2013 following establishment of this branch. EPU has developed a BCP for the branch following the amalgamation of SPU and EPAU.</p>			

## 2 – Legislative and Other Authorities

2.1	Yes	No	Partly
<p>Divisions/Units and Branches within the Group have the necessary legislative authority to undertake functions or activities and to spend money on those functions or activities.</p>			<p style="text-align: center;">✓</p> <p>Minerals Branch &amp; Sustainable Energy Branch</p>
<p><b>Comments:</b></p> <p><b><u>Energy Division:</u></b></p> <p><b>Energy Co-Ordination Branch</b> - No comment</p> <p><b>Markets Branches</b> – DSO scrutiny of legislation and inputs sought from DSO on related IME3 and other legislative issues. Contract in place for external legal spend. All legal contract work order requests subject to HOBs consideration to confirm quotes are reasonable prior to referral to HOD for spend approval.</p> <p><b>Renewable Electricity Policy &amp; Legislation Branch/Renewable Heat Branch/Sustainable Energy Branch</b> - Legislative authority is in place for Phase 1 of the Renewable Heat Incentive (1/11/12) and authority for Phase 2 will be taken forward during 2013/14 prior to the launch of the second phase. New NI Energy Bill will look again at energy objectives and duties for DETI and NIAUR to ensure they align with need for sustainability. New NI Offshore Renewable Energy Bill will look at overall regulatory regime for offshore renewable energy installations to include decommissioning, safety zones and extinguishment of public rights of navigation. Consultation process commenced March 2013. Offshore Bill put on hold as issues around liabilities need to be resolved. New Energy Bill needed to give powers for energy efficiency obligation; duties and obligations of Department and Regulator; small-scale feed-in tariff; enforcement of licences; transfer and assignment of licences and gas storage.</p> <p>2.2 – Regulation needed to transpose Energy Efficiency Directive.</p> <p><b><u>TT &amp; GSNI</u></b></p> <p><b>Telecoms</b> Branch derives its legal authority from the Communications Act 2003.</p> <p><b>Minerals</b> - Legislative Authority is grounded in current NI Minerals &amp; Petroleum legislation. Considerable work has been on-going throughout the period to facilitate the preparation of a stock paper of where matters stand in relation to the incomplete transposition/implementation in NI of EU Directive CCS/CDD 2009/31/EC – the Carbon Capture &amp; Storage Directive. Liaison is on-going with DSO, DECC &amp; Irish counterparts to fully inform the position to enable DETI to recommend a preferred option. The aim is to complete transposition before the EU Commission's next Report due in March 2015.</p> <p><b>Tourism</b> - Guidance from and adherence to NI Tourism Order 1992.</p> <p><b><u>ASU:</u></b> no comment</p> <p><b><u>EPD</u></b></p> <p>All branches, where appropriate, have the necessary legislation in place:</p> <p><b>IPU</b> under the Industrial Development (NI) Order 1982, and in relation to the NI Science Park under the Northern Ireland Science Park Foundation Limited (Funding) Order (NI) 1999. Legislative cover for BDU spend on social economy activity is provided under the Financial Provisions Act 2009</p> <p><b>BDU:</b> legislative cover for spend on social economy activity is provided under the Financial Provisions Act 2009.</p>			

2.2	Yes	No	Partly
Divisions/Units and Branches within the Group have obtained necessary DFP approvals for expenditure (where appropriate).	✓		
<p><b>Comments:</b></p> <p><b><u>Energy Division:</u></b>  <b>Energy Co-Ordination Branch</b> – No Comment  <b>Markets Branches</b> - All necessary approvals (internal &amp; external) obtained for expenditure on tripartite “Isles2” Grid Study.  DETl and DFP approval of gas extension Business Case DETl Casework, DFP, and NI Executive approval for gas extension to the West subvention funding.  <b>Renewable Electricity Policy &amp; Legislation Branch/Renewable Heat Branch/Sustainable Energy Branch:</b> DFP approval received on 29 October 2013 for the external consultancy review of the costs and benefits of the 40% renewable electricity target. Consultants appointed in February 2014.</p> <p><b><u>TT &amp; GSNI</u></b>  <b>Telecoms</b> Branch seeks DFP approvals when required e.g. most recent DFP approval given for NI Broadband Improvement project for which contract was awarded in February 2014. A Strategic outline Case is currently being developed in relation to NI's allocation under Superfast Extension Programme (SEP) and will be forwarded to DFP in the next few weeks.  <b>MAPB/GSNI</b> - No approvals required  <b>Tourism</b> - Not Applicable. No grants paid by Tourism Policy Branch</p> <p><b><u>ASU:</u></b> No DFP approvals were necessary in the 6 month period being considered</p> <p><b><u>EPD</u></b> – No comment</p>			

2.3	Yes	No	Partly
Divisions/Units and Branches within the Group have obtained necessary Ministerial and / or Casework Committee approval for expenditure.	✓		
<p><b>Comments:</b></p> <p><b><u>Energy Division:</u></b>  <b>Energy Co-Ordination Branch</b> - Casework Committee approval secured in respect of Business Case for the appointment of external legal advisers from 1 April 2014.  <b>Markets Branches</b> – Electricity and Gas Markets (see 2.2 above)  <b>Renewable Electricity Policy &amp; Legislation Branch/Renewable Heat Branch/Sustainable Energy Branch</b> – Ministerial approval received 29 July 2013 for £25k to contribute to the total cost of the appointment of consultants by DECC to assist in the development of a long term strategy for building renovation and to carry out an evaluation of the regulatory and non-regulatory barriers to energy efficiency as required by the Energy Efficiency Directive – work still ongoing. Ministerial and EU approval received in August 2013 for the small scale ROC banding review. Work completed February 2014. Ministerial approval received 7 October for the external consultancy review of the costs and benefits of the 40% renewable electricity target.</p> <p><b><u>TT &amp; GSNI</u></b>  <b>Telecoms</b> Branch seeks Ministerial and Casework approvals when required. The most recent approvals were sought in relation to the NI Broadband Improvement Project.  <b>MAPB/GSNI</b> - Procedures followed where appropriate  <b>Tourism</b> - A DETI/NITB Casework Committee is operational. The Casework Committee will be involved in the scrutiny of NITB cases which require DFP and/or Ministerial approval.</p> <p><b><u>ASU</u></b> – No Ministerial or Casework Committee approvals were necessary in the 6 month period being considered.</p> <p><b><u>EPD</u></b>: Advice sought and procedures followed when required.</p>			

## 3 – Economic Appraisal, Post Project Evaluation and Consultancy

3.1	Yes	No	Partly
Divisions/Units and Branches within the Group produce business cases before committing public funds. Such business cases contain, where appropriate, economic appraisals conducted with proportionate effort in accordance with Departmental guidance.	✓		
<p><b>Comments:</b></p> <p><b><u>Energy Division:</u></b>  <b>Energy Co-Ordination Branch</b> - No Comment  <b>Markets Branch – Gas Markets</b> - Strategic Outline Case and Outline Business Case prepared and DETI Casework approval obtained in relation to proposals for subvention funding for gas network extension.  <b>Electricity Markets</b> – Strategic Outline Case prepared for use of ERDF funding to undertake a programme of grid strengthening. SOC being reviewed by Energy Division Economist prior to submission to DFP.  <b>Renewable Electricity Policy &amp; Legislation Branch/Renewable Heat Branch/Sustainable Energy Branch</b> Business case for appointing consultants to undertake a small scale ROC banding review was approved by the Minister on 5 August.  Business case for appointing consultants to undertake a review of the cost and benefits of the 40% renewable electricity target analysis was approved by the Minister on 7 October.  Consultants appointed in February 2014. Business case for approval to contribute to the appointment of consultants by DECC to undertake an evaluation into barriers to energy efficiency as required by the Energy Efficiency Directive was approved by the Minister on 2 July 2013. Consultants appointed September 2013.</p> <p><b><u>TT &amp; GSNI:</u></b>  <b>Telecoms</b> Branch completes Business cases including economic appraisals when required. A Strategic Outline Case is currently being developed in relation to NI's allocation under the Superfast Extension Programme.  <b>MAPB/GSNI</b> - Business cases prepared as appropriate and reflect Departmental guidance.  <b>Tourism</b> - Business cases prepared as appropriate and reflect Departmental guidance</p> <p><b><u>ASU:</u></b>  The main area of ASU spend relates to the DETI Research Programme 2012-15, which has an overarching business case, approved by David Thomson on 14<sup>th</sup> May 2012. This covers the individual projects under the research agenda which do not require separate business cases. An EA for the purchase of four SPSS licences was completed in Q4 2014 and was approved by Shane Murphy and also by the Accounting Officer in line with CPD guidance.</p> <p><b><u>EPD:</u></b> EPD currently has a number of areas of business to which public funds are committed.</p>			

3.2	Yes	No	Partly
Divisions/Units and Branches within the Group conduct post project evaluations to consider the effectiveness of expenditure. All post project evaluations have been completed on schedule.			 Minerals Branch, Telecoms Branch & Sustainable Energy Branch
<p><b>Comments:</b></p> <p><b><u>Energy Division:</u></b>  <b>Energy Co-Ordination Branch</b> - No Comment  <b>Markets Branches</b> – No PPEs due for completion in this period for Electricity Markets Branch. PPEs completed on the FMA and KPMG gas network and business case studies in March 2011 and Feb 2013 respectively. PPE complete for ISLES study.  <b>Renewable Electricity Policy &amp; Legislation Branch/Renewable Heat Branch/Sustainable Energy Branch</b> - The following PPEs were active during this period:-            PPEs on outstanding Interreg 3A projects completed in September / October 2013.            PPE on small scale FIT analysis underway..            PPE on Craigavon Borough Council legal advice now complete.            PPEs on Onshore Renewable Electricity Action Plan's Strategic Environmental Assessment and Habitats Regulations Appraisal.</p> <p><b><u>TT &amp; GSNI</u></b>  <b>Telecoms</b> PPEs normally undertaken and completed on schedule. PPE for Avanti Satellite contract was outstanding at the last six monthly assurance report. However, an independent, evaluation has now been completed externally by Cogent Management Consulting.  <b>Minerals/GSNI</b> - Some additional analysis of the outcomes of the Deep Geothermal Energy Project is currently being undertaken with a view to establishing the scope for further informing DGE policy going forward – PPE is now expected to be finalised in quarter ending 30 September 2014.  <b>Tourism</b> - Post-project evaluations conducted as required.</p> <p><b><u>ASU</u></b>            Three PPE's have been completed and approved by Shane Murphy during the last six months.</p> <p><b><u>EPD</u></b>            Branches are aware of the need to undertake post-project evaluations. Mechanisms are in place across the division to ensure that post-project evaluations are carried out once current ongoing projects have come to a conclusion.</p>			

3.3	Yes	No	Partly
<p>Divisions/Units and Branches within the Group comply with the Department's guidance on the use of consultants. This includes the completion of business cases in line with the Department's guidance to both justify the use of consultants and to define the scope and outputs of the consultancy exercise.</p>	✓		
<p><b>Comments:</b></p> <p><b><u>Energy Division:</u></b>  <b>Energy Co-Ordination Branch</b> - No comment  <b>Markets Branches</b> - Business case and approvals granted to conduct a technical review of secondary fuel stocking requirements to be held by generators. SOC completed by Electricity Markets Branch for grid strengthening proposal. Business Case prepared and approved by Minister for tendering of gas extension OBC.  <b>Renewable Electricity Policy &amp; Legislation Branch/Renewable Heat Branch/Sustainable Energy Branch</b> - Business case for appointing consultants to undertake a small scale ROC banding review was approved by the Minister on 5 August.  Business case for appointing consultants to undertake a review of the cost of the 40% renewable electricity target analysis was approved by the Minister on 7 October. Consultants appointed in February 2014.  Business case for approval to contribute to the appointment of consultants by DECC for an evaluation into barriers to energy efficiency as required by the Energy Efficiency Directive was approved by the Minister on 2 July 2013. Consultants appointed September 2013.</p> <p><b><u>TT &amp; GSNI</u></b>  <b>Telecoms</b> Branch complies with Departmental guidance on the use of consultants.  <b>MAPB/GSNI</b> - Proper process undertaken in compliance with DETI guidance.  It has not been possible to progress the on-going Strategic Environmental Assessment of the Internal Waters of NI within the timelines originally envisaged. This is due to the need to address representations made regarding "fracking" and the need to consider the impact of a "Minimum Principles for Shale Gas Exploration/Development paper issued by the EU Commission in January 2014. This has impacted on budget management for this contract – any resultant budgetary issues will be addressed in forthcoming monitoring rounds.  <b>Tourism</b> - Proper process undertaken in compliance with DETI guidance.</p> <p><b><u>ASU</u></b> – No consultancy expenditure has been required within the specified period and therefore no business cases for consultancy expenditure have been completed.</p> <p><b><u>EPD</u></b>  The Division appoints consultants/external contractors in line with guidance and advice is sought, as appropriate, before any activity to procure commences.</p>			

## 4 – Monitoring of Expenditure

4.1	Yes	No	Partly
Divisions/Units and Branches within the Group review financial reports reviewed to monitor expenditure against budget.	✓		
<p><b>Comments:</b></p> <p><b><u>Energy Division:</u></b>  <b>Energy Co-Ordination Branch</b> - No comment  <b>Markets Branch – Gas and Electricity Markets</b> – ISLES2 project spend monitored in conjunction with SEUPB. Wayleave costs monitored against reports and ongoing caseload. Legal contract expenditure monitor maintained.  <b>Renewable Electricity Policy &amp; Legislation Branch/Renewable Heat Branch/Sustainable Energy Branch:</b> No comment</p> <p><b><u>TT &amp; GSNI</u></b>  <b>Telecoms Branch</b> reviews and monitors expenditure against budget on a regular monthly basis. HOD is also updated on spend through monthly Budget reporting exercise and on quarterly monitoring rounds  <b>Minerals</b> - In addition to routine financial monitoring and profiling, the service under the Service Level Agreement between NERC/BGS &amp; DETI is formally reviewed every quarter by the Grade 5, and by MAPB in liaison with the Director, GSNI.  A new SLA has now been agreed for the 2014 -2017 period .  <b>Tourism</b> - Financial monitoring through monthly profiling, monitoring rounds on a quarterly basis.</p> <p><b><u>ASU</u></b> – no comment</p> <p><b><u>EPD:</u></b> Finances (Resource Admin and programme expenditure) are monitored on a monthly and quarterly basis. All transactions and profiling/re-profiling are undertaken at this time. Appropriate staff within the Division have been trained on Account NI procedures.  <b>IPU</b> : Bi-annually finance checks are carried out on NISP Connect as part of ERDF drawdown.</p>			

## 5 - Procurement

5.1	Yes	No	Partly
All procurement activity by Divisions/Units and Branches within the Group is undertaken in accordance with the procedures in place and by officers with the necessary delegated purchasing authority.	✓		
<p><b>Comments:</b></p> <p><b><u>Energy Division:</u></b>  <b>Energy Co-Ordination Branch</b> - No comment  <b>Markets Branch - Electricity and Gas Markets</b> –DFP- CPD assistance utilized in tendering exercises. All staff familiar with best practice procurement guidance. All PPA/PDPs updated to ensure staff participating in procurement exercises receive mandatory procurement and contract management training.  <b>Renewable Electricity Policy &amp; Legislation Branch/Renewable Heat Branch/Sustainable Energy Branch:</b> No comment</p> <p><b><u>TT &amp; GSNI</u></b>  <b>Telecoms</b> Branch complies with Departmental guidance  <b>MAPB/GSNI</b> - Procedures followed in accordance with published guidance.  <b>Tourism</b> - Monitored and completed by admin team, with appropriate authorisation DP/G7.</p> <p><b><u>ASU</u></b> – no comment</p> <p><b><u>EPD:</u></b> The Division fully complies with procurement policy and has worked closely with Central Procurement Directorate to ensure that tendering arrangements are in line with best practice and represent value for money. CPD oversees all procurement activity and sits on all selection panels.</p>			

5.2	Yes	No	Partly
<p>Appropriate arrangements are in place to ensure that all assets within the Group are properly safeguarded and controlled against unauthorised use or disposal.</p>	✓		
<p><b>Comments:</b></p> <p><b><u>Energy Division:</u></b>  <b>Energy Co-Ordination Branch</b> - No comment  <b>Markets Branches</b> – No comment  <b>Renewable Electricity Policy &amp; Legislation Branch/Renewable Heat Branch/Sustainable Energy Branch:</b> No comment</p> <p><b><u>TT &amp; GSNI</u></b>  <b>Telecoms</b> Branch assets are safeguarded and regular checks are undertaken to ensure compliance.  <b>MAPB/GSNI</b> - Asset register in place and inspected annually.  <b>Tourism</b> - DETI own land at Ulster American Folk Park. Rent of £2k paid via BACs on yearly basis. Request for payment, monitoring and retention of receipts carried out by admin team.</p> <p><b><u>ASU:</u></b> ASU, by its nature, has minimal physical assets.</p> <p><b><u>EPD:</u></b> The majority of assets in the Division are IT related and all hardware is listed on the IT Assets database maintained by Corporate Services. Staff are also encouraged to update the Global Address List with details of the IT equipment allocated to them.</p> <p>EPD has participated in the DETI assessment of data security in terms of how information is held and transferred, providing an opportunity to review branch security procedures where necessary.</p>			

5.3	Yes	No	Partly
Divisions/Units and Branches within the Group have obtained prior approval from the Accounting Officer for the procurement of consultants by single tender action.	✓		
<p><b>Comments:</b></p> <p><b><u>Energy Division:</u></b>  <b>Energy Co-Ordination Branch</b> - No comment  <b>Markets Branches</b> – No comment  <b>Renewable Electricity Policy &amp; Legislation Branch/Renewable Heat Branch/Sustainable Energy Branch:</b> No comment</p> <p><b><u>TT &amp; GSNI:</u></b>  <b>Telecoms</b> Branch obtains necessary approvals on procurement by single tender action  <b>Minerals</b> - Not applicable to MAPB for this period.  <b>Tourism</b> - Branch aware of requirement to seek prior approval from Accounting Officer but only arises in exceptional circumstances.</p> <p><b><u>ASU</u></b> – No comment</p> <p><b><u>EPD</u></b> – no comment</p>			

## 6 – Staff

6.1	Yes	No	Partly
(a) Authority, responsibility and accountability within the Group are clearly defined so that decisions are made and actions taken by appropriate people.	✓		
(b) Staff within the Group are made fully aware of their job responsibilities.	✓		
<p><b>Comments:</b></p> <p><b><u>Energy Division:</u></b>  <b>Energy Co-Ordination Branch</b> - No comment  <b>Markets Branch</b> - All financial approvals completed under delegated limits procedures.  <b>Renewable Electricity Policy &amp; Legislation Branch/Renewable Heat Branch/Sustainable Energy Branch</b> - No comment</p> <p><b><u>TT &amp; GSNI</u></b>  <b>Telecoms</b> branch ensures that authority, responsibility and accountability are clearly defined and that staff are made aware.  <b>MAPB/GSNI</b> - Branch authorities and responsibilities are defined in the Branch Procedures Manual, last updated (V3) 6 August 2013.  MAPB procedures require to be reviewed/enhanced to take account of the evolving and expanding nature of processes pertaining to Petroleum and Minerals Licensing activities and MAPB information management and dissemination.  Work in these areas is on-going by MAPB.  <b>Tourism</b> - Staff responsibilities, authority, responsibility and accountability, all clearly defined in TPB in ....  (a) Operating Plan/Branch Plan/PPAs  (b) Regular Branch meetings  (c) Regular informal contact  (d) Timely completion of annual reports</p> <p><b><u>ASU</u></b> – PPA's/PDP's are drafted in line with targets in the Branch Operating Plan.</p> <p><b><u>EPD:</u></b> Personal Performance Agreements/PDPs are drafted in line with targets in Branch, Divisional and Operating Plans. Lines of authority are well defined and regular Branch and Divisional monitoring of progress against targets ensures responsibility for delivery is further embedded. The previous EPAU Team, which had no G7 lead, now report to the G7 in EPU</p> <p>Regular branch meetings are undertaken, plus HOBs meet collectively with HoD on a regular basis. HoD also has detailed fortnightly work planning meetings with each Branch.</p>			

6.2	Yes	No	Partly
Guidance and instructions are disseminated to appropriate staff.	✓		
<p><b>Comments:</b></p> <p><b><u>Energy Division:</u></b>  <b>Energy Co-Ordination Branch</b> - No comment  <b>Markets Branches</b> – No comment  <b>Renewable Electricity Policy &amp; Legislation Branch/Renewable Heat Branch/Sustainable Energy Branch:</b> No comment</p> <p><b><u>TT &amp; GSNI</u></b>  <b>Telecoms</b> Branch disseminates guidance and instructions to all staff both by email and regular monthly branch meetings.  <b>MAPB/GSNI</b> - Staff instructions are set out in the Branch Procedures Manual, last updated (V3) 6 August 2013. MAPB's procedures manual requires further refinement to take account of emerging process as referenced under 6.1. Regular team meetings are held to disseminate information.  <b>Tourism</b> - Guidance and instructions are disseminated to appropriate staff by email and there is ongoing review of the Branch procedures manual.</p> <p><b><u>ASU</u></b> – no comment</p> <p><b><u>EPD:</u></b> All staff have access to the e-mail system regarding receipt of instructions. Where necessary any issues are raised and discussed at either the regular Branch/Team or HOB meetings; or in the context of the monthly divisional Team Brief.</p>			

6.3	Yes	No	Partly
Staff are adhering to guidance on gifts and hospitality and records are kept of the receipt of gifts and hospitality. Gifts & hospitality registers are complete and up to date.	✓		
<p><b>Comments:</b></p> <p><b><u>Energy Division:</u></b>  <b>Energy Co-Ordination Branch</b> - Divisional hospitality register controlled centrally and updated on a six-monthly basis.  <b><u>Markets Branches:</u></b> Divisional hospitality register maintained centrally.  <b>Gas and Electricity Markets</b> No offers of gifts and hospitality accepted in reporting period.  <b>Branch/Renewable Heat Branch/Sustainable Energy Branch:</b> No comment</p> <p><b><u>TT &amp; GSNI</u></b>  <b>Telecoms</b> Branch adheres to guidance on gifts and hospitality  <b>MAPB/GSNI</b> - DETI procedures followed  <b>Tourism</b> - Gifts and hospitality information/receipts for Branch held on TRIM.</p> <p><b><u>ASU</u></b>  ASU has its own Gifts and Hospitality register which is maintained regularly. The register is circulated annually and all staff are reminded of their obligations under the guidance.</p> <p><b><u>EPD:</u></b> A gift/hospitality register is maintained by the Division. It is circulated bi-annually and staff are reminded of their obligations under the guidance. Once the update of the register is completed, the latest position is forwarded to HOD to either note or for any action required.</p>			

6.4	Yes	No	Partly
Line Managers are aware of their responsibilities to actively manage staff attendance and are adhering to and implementing sick absence procedures in a timely manner.	✓		
<p><b>Comments:</b></p> <p><b><u>Energy Division:</u></b>  <b>Energy Co-Ordination Branch</b> - No comment  <b>Markets Branches</b> - No issues arising in reporting period. All line managers familiar with HR Connect attendance management procedures.  <b>Renewable Electricity Policy &amp; Legislation Branch/Renewable Heat Branch/Sustainable Energy Branch:</b> No comment</p> <p><b><u>TT &amp; GSNI</u></b>  <b>Telecoms</b> Branch complies with sick absence procedures  <b>MAPB/GSNI</b> - Absences recorded by line management as appropriate and return to work interviews conducted in a timely manner. (GSNI records these through the NERC/BGS system).  <b>Tourism</b> - Absences recorded by line management as appropriate and return to work interviews conducted in a timely manner, as per HR Connect procedures.</p> <p><b><u>ASU</u></b> – no comment</p> <p><b><u>EPD:</u></b> All staff are aware of, and are fully implementing, Departmental procedures. Returns to work interviews are completed within the necessary timeframes.</p>			

7.1	Yes	No	Partly
Where applicable, appropriate procedures are in place to monitor the NDPB's adherence to its Management Statement and Financial Memorandum.	✓		
<p><b>Comments:</b></p> <p><b><u>Energy Division:</u></b>  <b>Energy Co-Ordination Branch - N/A</b>  <b>Markets Branches – N/A</b>  <b>Renewable Electricity Policy &amp; Legislation Branch/Renewable Heat Branch/Sustainable Energy Branch: N/A</b></p> <p><b><u>TT &amp; GSNI</u></b>  <b>Telecoms – Not applicable</b>  <b>Minerals - Not applicable</b>  <b>Tourism -</b> Monitoring of NDPBs' adherence to MSFMs is carried out on quarterly and yearly basis and recorded appropriately. This is carried out through quarterly oversight meetings, regular technical meetings and by on site visits. NITB's MSFM has been revised based on a DFP model MSFM and has been operational since 24 March 2014.</p> <p><b><u>ASU</u> – N/A</b></p> <p><b><u>EPD:</u></b> IPU - Quarterly NISP/DETI liaison meetings are held to ensure compliance. A Memorandum of Understanding is in place with NISP. In addition bi-annual meetings are held between NISP Connect and DETI and progress reports accompany financial checks.</p>			

7.2	Yes	No	Partly
<p>From the monitoring performed the Department is satisfied that the NDPBs have been adhering to the requirements of the Financial Memorandum and there are no significant problems.</p>	✓		
<p><b>Comments:</b></p> <p><b><u>Energy Division:</u></b>  <b>Energy Co-Ordination Branch – N/A</b>  <b>Markets Branches – N/A</b>  <b>Renewable Electricity Policy &amp; Legislation Branch/Renewable Heat Branch/Sustainable Energy Branch: N/A</b></p> <p><b><u>TT &amp; GSNI</u></b>  <b>Telecoms – Not applicable</b>  <b>Minerals - Not applicable</b>  <b>Tourism - Internal Audit Service (IAS) undertake regular audits of NITB. The following in the last 6 months:</b>  A final IAS report issued on 10 October 2013 on the Tourism Events Programme provided a satisfactory response.  A final IAS report issued on 27 January 2014 on the Debt Management Processes provided a satisfactory response.  A final follow up report on Procurement within NITB was issued on 17 February 2014. The follow up review concluded that the limited opinion remained applicable.  NITB has put in place a Governance Action Plan detailing how they intended to address each action. Progress has been made on the majority of the issues raised and any outstanding ones are subject to an ongoing senior management monitoring and review process via the NITB Governance Action Plan with updates provided at the DETI/NITB O &amp; L meetings and the NITB and Departmental Audit Committees.  Branch is satisfied that all relevant information to monitor adherence to the MSFM is forthcoming from NDPBs as and when required.</p> <p><b><u>ASU – N/A</u></b></p> <p><b><u>EPD:</u></b> IPU - Financial checks and Article 13 checks are carried out as per terms of ERDF funding.</p>			

7.3	Yes	No	Partly
Departmental procedures are followed in relation to the establishment and operation of External Delivery Organisations (EDOs) / Third Party Organisations (TPOs) that distribute funds on behalf of the Department.	✓		
<p><b>Comments:</b></p> <p><b><u>Energy Division:</u></b>  <b>Energy Co-Ordination Branch</b> - No comment  <b>Markets Branches</b> - No comment  <b>Renewable Electricity Policy &amp; Legislation Branch/Renewable Heat Branch/Sustainable Energy Branch:</b> N/A – Energy Division did not fund any TPOs since April 2011.</p> <p><b><u>TT &amp; GSNI</u></b>  <b>Telecoms, Minerals &amp; Tourism</b> – N/A</p> <p><b><u>ASU</u></b> – N/A</p> <p><b><u>EPD:</u></b> Departmental procedures as outlined above are followed by the Division.</p>			

7.4	Yes	No	Partly
Divisions/Units and Branches within the Group that distribute money via External Delivery Organisations (EDOs) / Third Party Organisations (TPOs) have adequate monitoring systems in place.	✓		
<p><b>Comments:</b></p> <p><b><u>Energy Division:</u></b>  <b>Energy Co-Ordination Branch</b> - No comment  <b>Markets Branches</b> – No comment  <b>Renewable Electricity Policy &amp; Legislation Branch/Renewable Heat Branch/Sustainable Energy Branch:</b> N/A</p> <p><b><u>TT &amp; GSNI</u></b>  <b>Telecoms, Minerals &amp; Tourism</b> – N/A</p> <p><b><u>ASU</u></b> – N/A</p> <p><b><u>EPD:</u></b> BDU: Expense of social economy activity is closely monitored.</p>			

7.5	Yes	No	Partly
Divisions/Units and Branches within the Group that distribute money in the form of grant have adequate monitoring (claims inspection) systems in place to ensure that the grant is used for the purposes intended by the Department.	✓		
<p><b>Comments:</b></p> <p><b><u>Energy Division:</u></b>  <b>Energy Co-Ordination Branch</b> - No comment  <b>Electricity Markets</b> – See comments at 7.3 and 7.4 above, otherwise not applicable – no existing contracts or Letters of Offer in place with external parties  <b>Gas Markets</b> – no active Letters of Offer or grant funding of gas projects at present  <b>Renewable Electricity Policy &amp; Legislation Branch/Renewable Heat Branch/Sustainable Energy Branch:</b> The Renewable Heat Premium Payment scheme pays grant to domestic installers. During a site visit a discrepancy was discovered between the submitted paperwork and the installed technology. Further investigation showed that a particular installer had installed a number of non MCS accredited technologies. This was reported to Internal Audit on 6/11/13. To date, all but one of the installations has subsequently been accredited. It has been agreed with Internal Audit that if the remaining installation does not get accreditation, we will seek repayment of the grant.</p> <p><b><u>TT &amp; GSNI</u></b>  <b>Telecoms</b> Branch has vouching and verification procedures in place. In relation to the NIBIP, these are supplemented by additional verification procedures as set down by UK Government as one of the main funders.  <b>Minerals</b> - Not applicable  <b>Tourism</b> - Not applicable</p> <p><b><u>ASU</u></b> – N/A</p> <p><b><u>EPD:</u></b> BDU: Agreed systems are in place to enable vouching of claims to be undertaken by Invest NI on behalf of DETI in relation to Social Enterprise NI.</p>			

7.6	Yes	No	Partly
Divisions/Units and Branches within the Group that make payments to the Voluntary and Community Sector enter details on the DSD database.			
<p><b>Comments:</b>  <b><u>Energy</u></b> – no comment</p> <p><b><u>TT &amp; GSNI</u></b> – <b>Telecoms</b> – N/A  <b>Minerals</b> – N/A  <b>Tourism</b> – N/A</p> <p><b><u>ASU</u></b> – N/A</p> <p><b><u>EPD</u></b> – no comment</p>			

## 8 – Internal and External Audit Reports

8.1	Yes	No	Partly
<p>Internal and external audit reports relating to the activities of the Group have not revealed any significant weaknesses.</p>			<p style="text-align: center;">✓</p> <p style="text-align: center;">Sustainable Energy Branch</p>
<p><b>Comments:</b></p> <p><b><u>Energy Division:</u></b>  <b>Energy Co-Ordination Branch</b> - No comment  <b>Electricity and Gas Markets</b> – No comment  <b>Renewable Electricity Policy &amp; Legislation Branch/Renewable Heat Branch/Sustainable Energy Branch:</b> DETI continues to seek clawback of £198,747 from Craigavon Borough Council Protective Writ served on CBC in November 2011. Ongoing updates/meetings still in place with CBC. CBC continues to pursue through their insurance company. No repayment has yet been made. DETI wrote to CBC in November seeking a further update on the timescale for resolution of the issues.</p> <p><b><u>TT &amp; GSNI</u></b>  <b>Telecoms</b> Branch Following Internal audit on Interreg III A programme Telecoms Branch has trained staff in project management and engages suitable technical assistance when required. It also retains appropriate project documentation  <b>Minerals</b> - Internal Audit Report IAS 23/10 – follow up report June 2012 refers: IAS 23/10 follow up report upgraded GSNI/MAPB from an original “limited” opinion to “satisfactory”. All of the 26 recommendations contained in the report have now been implemented save for one very minor “low” risk recommendation. Final ‘satisfactory’ report received 6 April 2013; internal follow-up meeting held 6 June 2013.  <b>Tourism</b> - No significant weaknesses identified to date.</p> <p><b><u>ASU</u></b>  As outlined in a previous Assurance Statement the Internal Audit Service follow up report in July 2012 did not reveal any significant weaknesses. One low risk recommendation was identified on branch payments (dating and signing of invoices). A subsequent follow up by Internal Audit in June 2013 reviewed a sample of ASU’s payments and concluded that everything was in order. In July 2013 Internal Audit also reviewed a sample of performance monitoring returns and supporting documents from ASU. No significant weaknesses were identified.</p> <p><b><u>EPD:</u></b> IPU - KPMG completed a report August 11 which highlighted three areas of low risk between NISP and DETI.</p>			

8.2	Yes	No	Partly
<p>Recommendations arising from internal and external audit reports and PAC hearings are implemented and implementation is monitored by Heads of Division.</p>	✓		
<p><b>Comments:</b>  <b>Energy Division:</b>  <b>Energy Co-Ordination Branch</b> – N/A  <b>Markets Branches</b> – No issues or reports arising in reporting period.  <b>Renewable Electricity Policy &amp; Legislation Branch/Renewable Heat Branch/Sustainable Energy Branch:</b> All issues identified for Sustainable Energy Branch in Internal Audit reports have been actioned. HOD to write to CBC seeking repayment of overpayment in respect of Renewable Powered Visitors Centre Project.</p> <p><b>TT &amp; GSNI</b>  <b>Telecoms</b> Branch implements all appropriate recommendations  <b>MAPB/GSNI</b> - Internal Audit Report IAS 23/10 – follow up report June 2012 refers: IAS 23/10 follow up report upgraded GSNI/MAPB from an original “limited” opinion to “satisfactory”. All of the 26 recommendations contained in the report have now been implemented save for one very minor “low” risk recommendation. Final ‘satisfactory’ report received 6 April 2013; internal follow-up meeting held 6 June 2013.  <b>Tourism</b> - Tourism Policy Branch adheres to guidance issued by DFP.</p> <p><b>ASU</b> : ASU implemented all recommendations which were the responsibility of the unit, following an Internal Audit report on the previous SPES division carried out in 2011. As noted at 8.1 above, an Internal Audit follow up report in July 2012 found that a recommendation on processing payments had been partially implemented. From July 2012 EPD admin and ASU reviewed processes for invoices and added supplementary checks to ensure procedures were being followed. A subsequent follow up in June 2013 by Internal Audit, which sampled a number of ASU payments, concluded that everything was in order</p> <p><b>EPD:</b> Recommendations are monitored by Heads of Division.</p>			

9.1	Yes	No	Partly
<p>Appropriate arrangements are in place within Divisions/Units and Branches in the Group to ensure that all data is correctly classified, held, transmitted and transported in line with guidance provided by the Security Advisory Unit in OFMDFM and, where appropriate, supplemented by additional advice and guidance from Human Resources and Central Support Division.</p>	✓		
<p><b>Comments:</b></p> <p><b><u>Energy Division:</u></b>  <b>Energy Co-Ordination Branch</b> - A checklist for all Divisional staff was developed and is circulated alongside a reminder about the full guidance on a regular basis. On-going Divisional security checks now in place and HoD updated accordingly.  <b>Electricity Markets</b> – HOB has received Cabinet Office Information Asset Owner accredited training. Online records management training package also completed by all staff in Branch.  <b>Renewable Electricity Policy &amp; Legislation Branch/Renewable Heat Branch/Sustainable Energy Branch:</b> No comment</p> <p><b><u>TT &amp; GSNI</u></b>  <b>Telecoms</b> Branch has appropriate arrangements in place. All staff have also completed the recent online training in relation to changes in the classification of documents.  <b>Minerals</b> - As part of the wider NICS/DETI “Legacy Project”, work is on-going within MAPB to migrate information historically held on “G” Drive into Trim system. The quality of systems for Information Management &amp; Retrieval within MAPB needs to be improved particularly in relation to MAPB’s capacity to comply with FOI/EIR provisions and requests. Work is on-going in this area with advice and support by IMU.  <b>Tourism</b> - All data is managed, classified, etc in accordance with information management and information security guidelines.</p> <p><b><u>ASU</u></b> – no comment</p> <p><b><u>EPD:</u></b> All data held are categorised at “Restricted” or lower level in accordance with approved NICS EDRMS. All data are stored centrally to approved EDRMS with appropriate access permissions within file-plan agreed with DETI Departmental Information Manager.  As part of a departmental rollout programme, members of staff using laptops or other portable devices have had the appropriate security enhancements implemented by the DETI IT team</p>			

## 10 – Other Issues

10.1	Yes	No	Partly
<p>Apart from the issues raised above, there are no significant control or other matters arising within the Group which could adversely affect the signing of the biannual SIC.</p>		<p style="text-align: center;">✓ Minerals Branch</p>	
<p><b>Comments:</b></p> <p><b><u>Energy Division:</u></b>  <b>Energy Co-Ordination Branch</b> - No comment  <b>Markets Branches</b> – No comment  <b>Renewable Electricity Policy &amp; Legislation Branch/Renewable Heat Branch/Sustainable Energy Branch:</b> No comment</p> <p><b><u>TT &amp; GSNI</u></b>  <b>Telecoms</b> - None  <b>Minerals</b> - MAPB functions and activities a pro pos Mineral &amp; Petroleum Licensing in NI are primarily informed by the enacting legislation available to DETI, i.e. Mineral Development Act (NI) 1969 (MDA 1969) Petroleum (Production) Act (NI) 1964; and 2010 Hydrocarbon Regulations. Unquestionably the volume and complexity of MAPB's work has continued to increase substantially in this reporting period particularly in relation to the work required to help inform and formulate DETI/NI policy on potential fracking and to deal with the resultant AQs, CORs, TOFs, briefing and FOI/EIR requests received. Notwithstanding the challenges presented by this and the need to bring the CCS/CDD Directive transposition to fruition, there is a need to review DETI's current Petroleum &amp; Minerals Legislation and policies to ensure that they continue to provide an appropriate framework for the regulation and support of mineral, oil &amp; gas exploration and development in Northern Ireland. Over and above this, there is a pressing need to develop greater liaison and stronger relationships with DECC counterparts, other NI Departments and others .  <b>Tourism</b> - Not applicable</p> <p><b><u>ASU</u></b> – no significant control or other matters have been identified.</p> <p><b><u>EPD:</u></b> At this point there are no significant matters arising within the Division which would significantly affect the signing of the six monthly SIC</p>			