

**From:** [Hill, Janice](#) on behalf of [Sterling, David](#)  
**To:** [McFarlane, Iain](#)  
**Cc:** [Cooper, Trevor](#); [Coyne, Terence](#)  
**Subject:** HPRM: FW: Policy Group - Six Monthly Assurance Statement  
**Date:** 08 November 2012 16:08:47  
**Attachments:** [Policy Group Composite Statement Sept 2012.DOC](#)  
[Policy Group Composite Checklist for Sept 2012.DOC](#)

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Please see attached for advice and draft reply.

Many thanks

Janice

## Janice Hill

Permanent Secretary's Office

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**From:** Johnston, Iris  
**Sent:** 08 November 2012 15:30  
**To:** Hill, Janice  
**Cc:** Coyne, Terence; McAvera, Gerry; Johnston, Iris  
**Subject:** FW: Policy Group - Six Monthly Assurance Statement

Janice

Please see attached Six Monthly Assurance Statement from David Thomson on behalf of Policy Group.

Many thanks

Iris

**Iris Johnston**

Personal Secretary to David Thomson

Department of Enterprise, Trade & Investment

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**Department of Enterprise, Trade and Investment: Six Monthly Assurance Statement on the System of Internal Control - Period Ended 30 September 2012**

**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 30 September 2012 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. In relation to **Analytical Support Unit**, additional work was undertaken under an existing contract without recourse to CPD. This increased the value of the contract from £66,200 to £74,850. The extension was considered to be a Single Tender Action and retrospective approval was secured from the Accounting Officer in September 2012.
12. In relation to **Telecoms, Tourism & GSNI**, additional information **relating to the** Titanic Signature Building was submitted to the Commission in October 2012. The Commission's decision is awaited.
13. A follow up audit of Minerals Branch has been undertaken by IAS. There is ongoing engagement between Branch management and IAS in order to finalise the report. Indications are that the previous "limited" opinion should be revised to "satisfactory".
14. A number of actions were taken following receipt of the final report into the Telecoms project which was in receipt of Interreg IIIA funding.
15. In relation to **Energy Division**, the Department continues to seek 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 Craigavon Borough 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 been made.

16. In relation to **Emergency Planning**, an internal audit report was completed during the period. Although satisfactory, there are a number of issues to be agreed which I intend to bring forward following an inter-departmental meeting being held by OFMDFM later this month.
17. The biggest current risk to achieving the PfG and departmental objectives is staffing constraints. We have discussed these at the Top Management Group but a number of pressures have come to light in recent weeks, including Personal information relating to an individual unconnected to RHI redacted by the RHI Inquiry.
18. Emergency Planning is one of a number of general cross department issues which do not always have an identifiable home, with the risk that something will get overlooked.
19. We continue to review degree of oversight of the NITB and Invest NI and the extent to which we are properly overseeing the obligations which are contained in their respective management statements and financial memoranda.

**Significant Internal Control Problems**

20. None to report.



**Head of Group**

**Date: 8 November 2012**

## 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:</u></b></p> <p><b>Markets Branches – Gas and Electricity - Electricity Markets</b> – Review of responses to SEM Committee consultation on FUI/SEM integration completed July 2012. Detailed discussions underway with DCENR and RAs on new market design options. <b>Electricity and Gas Markets</b> - Divisional Business Plans agreed for 2011/12, on which progress is formally reported. Fortnightly meetings with Head of Division to report on progress. IME3 Project Implementation Steering Group established with NIAUR and has regular meetings.</p> <p><b>Energy Co-Ordination Branch</b> Divisional Business Plan agreed and progress against targets reported to HoD on a quarterly basis.</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> Corporate and Divisional Plan Targets agreed Individual projects are managed under the PRINCE2 methodology, with clearly defined milestones and deliverables. <b>Tourism:</b> Tourism Policy Branch Plan in place. All project specific targets in place and monitored on ongoing basis. <b>Minerals:</b> N/A</p> <p><b><u>ASU</u></b></p> <p>The ASU Business Plan for 2012/13, which incorporates work requests from DETI Business Areas, was finalised on 30 May 2012.</p> <p><b><u>EPD</u></b></p> <p>A full Divisional Plan for 2011/12 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
<p>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>	✓		
<p><b>Comments:</b></p> <p><b><u>Energy:</u></b></p> <p><b>Markets Branches – Gas and Electricity</b> - Joint Steering Group monitors progress on All-island Energy Market targets and priorities. Project Boards for ISLES and BioMara Interreg IVA projects monitor progress e.g. Isles completed on schedule end 2011, with BioMara now due to complete by end 2012. DETI working with NIAUR, DECC and EC for IME2 compliance.</p> <p>Progress against targets monitored through: Branch Progress meetings with Grade 5 and HOBs; individually with Grade 5; and through Divisional Business Plan and SEF Implementation Plan reporting. Response to EC Reasoned Opinion letters in respect of IME3 for gas and electricity issued via DECC. Awaiting Commission response and progressing outstanding issues in the interim.</p> <p><b>Energy Co-Ordination Branch</b> Progress against 2012/13 targets to end September currently being compiled.</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> Risk register formally reviewed and updated on a quarterly basis. In addition, highlight reports are produced on a regular basis for those projects following Prince2 project management for the SRO/ Project Board/s. Furthermore, project management issues logs are updated on weekly/ fortnightly basis as appropriate. Progress on all projects contributing to Programme for Government commitments is input to the ISNI delivery tracking system on a monthly basis. In addition, progress in respect of those projects which are part-funded through the ERDF Competitiveness Programme is reported through System 2007. <b>Tourism:</b> These include Oversight &amp; liaison meetings, Management liaison/performance monitoring meetings, including financial/corporate governance issues. Formal advisory groups eg TAG continue to meet now on a quarterly basis following the opening of the Titanic Signature Building. As the project has moved from the construction phase into the operational phase a new Risk Register will be developed in conjunction with key stakeholders. <b>Minerals:</b> N/A</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></p> <p>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
<p>Divisions within the Group have reviewed their respective responsibilities/entries in the relevant <b>Building-Specific Business Continuity Plan</b> and taken appropriate action to maintain upkeep.</p>	✓		
<p><b>Comments:</b></p> <p><b><u>Energy:</u></b></p> <p><b>Markets Branches – Gas and Electricity – no comment</b>  <b>Energy Co-Ordination Branch</b>  no comment  <b>Renewable Electricity Policy &amp; Legislation Branch/Renewable Heat Branch/Sustainable Energy Branch – no comment</b></p> <p><b><u>TT &amp; GSNI</u></b></p> <p><b>Telecoms:</b> Building-specific BCP is reviewed and responsibilities noted.  <b>Tourism &amp; Minerals:</b> N/A</p> <p><b><u>ASU</u></b></p> <p>Work priorities of the predecessor SPES division are included within the Netherleigh BCP. ASU has provided a Business Impact Analysis questionnaire to assist with updating the Netherleigh BCP and has also developed its own BCP following the DETI reorganisation.</p> <p><b><u>EPD</u></b></p> <p><b>EPD</b> reviews the Business – Specific BCP and responsibilities are noted and updates made as required. A Netherleigh Business Continuity Steering Committee is being set up to look at how the Business – Specific BCP is regularly reviewed and updated. A representative from EPD will be sitting on this group and will feed back to the Division on a regular basis. Business-specific BCP is reviewed/ updated as necessary.</p>			

1.4	Yes	No	Partly
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><b>Comments:</b></p> <p><b><u>Energy:</u></b></p> <p><b>Markets Branches – Gas and Electricity</b> - Work ongoing to ensure new staff are aware of arrangements.</p> <p><b>Energy Co-Ordination Branch</b> Branch-level BCP updated September 2012. Alan Chowney represents Energy Division on the Netherleigh Business Continuity Group and feeds into validation and testing exercises.</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 BCP in place and this is reviewed and updated on a regular basis. The BCP was updated in October 2012 to reflect changes in staffing within Unit, stakeholder contacts information with regard to contract changes, decant building arrangements and critical resource considerations in event of requirement to activate plan. <b>Tourism:</b> Tourism Policy Branch BCP updated - 12/06/12. <b>Minerals:</b> N/A</p> <p><b><u>ASU</u></b></p> <p>ASU developed its own BCP following the DETI reorganisation. This is regularly reviewed and also updated with any staff changes.</p> <p><b><u>EPD</u></b></p> <p>Branch BCP's are in place and are reviewed and updated on a regular basis, most recently in November 2011. IPU - Continuity plans were updated in May 2012 to reflect the structure of the branch and new start in February 2012. BDU's BCP was updated in May 2012. PELU's BCP was reviewed and updated in April 2012.</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;">✓ Energy</p>
<p><b>Comments:</b></p> <p><b><u>Energy:</u></b></p> <p><b>Markets Branches – Gas and Electricity</b> - Minister has given approval to put in place legislation to give authority for harmonisation of gas arrangements with ROI under the CAG project. DSO scrutiny of legislation such as IME3 Regulations, and inputs sought from DSO on subsequent IME3 and other legislative issues. Also Ministerial approval obtained for IME3 Regulations. Contract in place for external legal spend. All work order requests subject to HOBs consideration to confirm quotes are reasonable prior to referral to HOD for spend approval</p> <p><b>Energy Co-Ordination Branch</b> No comment</p> <p><b>Renewable Electricity Policy &amp; Legislation Branch</b></p> <p><b>Renewable Heat Branch/Sustainable Energy Branch</b> Legislative authority will be required on the Renewable Heat Incentive, and may be required on feed-in tariffs and various legislative actions to support offshore renewables. These will be taken forward in 2012/13. LCM to extend Renewable Heat Incentive powers to Northern Ireland was approved by the Northern Ireland Assembly 14 March 2011. The DECC Energy Bill was then appropriately amended and received Royal Assent on 18/10/11. Subordinate legislation for the implementation of the NI RHI is currently being drafted. New NI Energy Bill will look again at energy objectives and duties for DETI and NIAUR to ensure they align with need for sustainability. Ministerial and Executive approval for an LCM for EMR powers achieved. LCM memorandum drafted. LPS advice sought. Liaison with DECC and DSO in respect of NI clauses on going.</p> <p><b><u>TT &amp; GSNI</u></b></p> <p><b>Telecoms:</b>Main powers flow from Section 149 of the Communications Act 2003. <b>Tourism:</b>Guidance from and adherence to NI Tourism Order 1992. Staff aware and following Departmental legislation regarding spend etc. <b>Minerals:</b>Legislative Authority is grounded in current NI Minerals &amp; Petroleum legislation.</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: <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>			

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:</u></b></p> <p><b>Markets Branches – Gas and Electricity</b> All necessary approvals (internal &amp; external) obtained for expenditure on tripartite “Isles” Offshore Grid Study for completion by end 2011 and “BioMara” research study for completion end 2012. DFP approval of gas extension Strategic Outline Business Case (SOC) obtained prior to going to OBC stage. DETI Minister’s approval obtained to tender via DFP for the Gas Network Extension OBC. DETI Casework approval for submission to DFP re gas subvention funding.</p> <p><b>Energy Co-Ordination Branch</b> DFP approval secured in respect of new legal contract from 1 April 2011.</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> Procedures followed where required. No DFP approvals were sought in this reporting period. <b>Tourism:</b> N/A. No grants paid by Tourism Policy Branch. Where additional bids for money were sought iro Titanic Signature Building (TSB) the necessary DETI Casework, Finance Branch and DFP guidance was sought and obtained. <b>Minerals</b> :N/A</p> <p><b><u>ASU</u></b></p> <p>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:</u></b></p> <p><b>Markets Branches – Gas and Electricity</b> – (see 2.2 above).  <b>Energy Co-Ordination Branch</b>  Casework Committee/Minister’s approval secured in respect of new legal contract from 1 April 2011.  <b>Renewable Electricity Policy &amp; Legislation Branch/Renewable Heat Branch/Sustainable Energy Branch</b> - Ministerial and DFP approval received in February 2010 for £85k spend on consultancy on options for future support for renewable electricity generation. EU, Ministerial and DFP approval received in August and September for £80k for consultancy to develop Offshore Renewable Energy Regional Locational Guidance.  Ministerial and EU approval received in September and August respectively for £65k to appoint external consultants to undertake work to establish a long term vision, to 2050, for energy in Northern Ireland.  All approvals are in place (Casework, Ministerial, DFP and EU State Aid) for the introduction of the Renewable Heat Incentive.  EU State aid approval for the NIRO 2013 order being drafted during this period.</p> <p><b><u>TT &amp; GSNI</u></b></p> <p><b>Telecoms:</b> Advice sought and procedures followed where required. One project was taken to casework on 11 June 2012 i.e. the 2Mbps Universal Service Commitment project. The project has not yet been submitted for DFP and Ministerial sign-off. <b>Tourism:</b> Advice sought and procedures followed where appropriate. <b>Minerals:</b> N/A</p> <p><b><u>ASU</u></b> – no comment</p> <p><b><u>EPD</u></b></p> <p>Advice sought and procedures followed when required.</p>			

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

3.1	Yes	No	Partly
<p>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>	✓		
<p><b>Comments:</b></p> <p><b><u>Energy:</u></b></p> <p><b>Markets Branches – Gas and Electricity - Gas Markets</b> - Business Case for Common Arrangements for Gas prepared, based on updated cost benefit analysis by NIAUR and CER– Revised CBA published April 2009. External review by Poyry and ERINI confirmed findings and broad benefits of CBA. Regulators review ongoing implementation costs set against CBA. 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> – Approval received for Single Tender Action for procurement of external technical assessment of IME3 Art 9 (9) Limited Disapplication option. Business cases completed and DETI Casework approval obtained for Energy Storage study.</p> <p><b>Energy Co-Ordination Branch</b> No comment</p> <p><b>Renewable Electricity Policy &amp; Legislation Branch/Renewable Heat Branch/Sustainable Energy Branch -</b> Business case for approval to appoint external consultants to undertake work to establish a long term vision, to 2050, for energy in Northern Ireland was approved by the Minister on 5 September. Business case for appointing consultants to undertake analysis for a small scale FIT being drafted – for approval in next period.</p> <p><b><u>TT &amp; GSNI</u></b></p> <p><b>Telecoms:</b> Telecoms Branch is aware of this requirement and adheres to the guidance. During the period no business cases were required. <b>Tourism:</b> Business cases reflect Departmental guidance. NITB may ask Tourism Policy Branch for advice. Results reported to ACB on a monthly basis. Independent appraisals carried out ensuring VFM. <b>Minerals:</b>N/A.</p> <p><b><u>ASU</u></b></p> <p>Business cases for the renewal of access to a database of company information (FAME) and for the provision of economic forecasting services have been completed during the period.</p> <p>The main area of ASU spending relates to the DETI Research Programme 2012-15, which has an overarching business case, approved by David Thomson on 14 May 2012. This covers the individual projects under the research agenda, which do not require separate business cases.</p> <p><b><u>EPD</u></b></p> <p>EPD currently has a number of areas of business to which public funds are committed.</p>			

3.2	Yes	No	Partly
<p>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.</p>	✓		✓ TT & GSNI (Minerals) & Energy & EPD
<p><b>Comments:</b></p> <p><b>Energy:</b></p> <p><b>Markets Branches – Gas and Electricity</b> PPEs completed for work on Common Arrangements for Gas CBA by Poyry Consultants and ERINI and on DMD Wayleave contract which ended February 2009. No PPEs due for completion in this period for Electricity Markets Branch. PPE completed on the gas network study in March 2011. A PPE for the Energy Storage Study was completed with technical input from GSNI, after final Energy Storage Study reports received. The gas network extension OBC was completed in mid September 2012 and a PPE on the tender will be completed. PPEs completed for the ERINI study on mutualisation (assumed that the final report will not be received from ERINI – note: final payment to ERINI not made), and for the Energy Efficiency Levy.</p> <p><b>Energy Co-Ordination Branch</b> No comment</p> <p><b>Renewable Electricity Policy &amp; Legislation Branch/Renewable Heat Branch/Sustainable Energy Branch -</b> The following PPEs were active during this period:- PPE of 5 outstanding Interreg 3A projects still delayed due to other higher priority work but now underway. PPE on CEPA EMR study delayed due to other higher priority work. PPEs on the offshore Regional Locational Guidance and Appropriate Assessment completed.</p> <p><b>TT &amp; GSNI</b></p> <p><b>Telecoms:</b> Telecoms Branch is aware of and follows this requirement. A detailed spreadsheet identifying due dates for completion of all project PPEs has been developed and circulated, and a rolling programme implemented for the completion of PPEs by assigned staff. <b>Tourism:</b> Post-project evaluations conducted as required. PPE's are built into TSB Operator's contract to ensure visitor numbers and trends are captured and evaluated to ensure VFM. This monitoring information is captured and shared with funders. <b>Minerals:</b> PPEs for the Tellus2 project and Deep Geothermal Projects, which ended in March 2011 are in progress</p> <p><b>ASU</b> - A PPE for the 2011-12 Subscription to FAME company database was approved by David Thomson on 30 August 2012.</p> <p><b>EPD</b></p> <p>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</u></b></p> <p><b>Markets Branches – Gas and Electricity</b> Business case and approvals granted to conduct a technical review of secondary fuel stocking requirements to be held by generators. No Business Cases completed in this period for Electricity Markets Branch. Business case for the Single Tender Action for external assessment of the IME3 Limited Disapplication completed and approved. Business case prepared and approved by Minister for tendering of gas extension OBC.</p> <p><b>Energy Co-Ordination Branch</b> No comment</p> <p><b>Renewable Electricity Policy &amp; Legislation Branch/Renewable Heat Branch/Sustainable Energy Branch</b> - Business case for approval to appoint external consultants to undertake work to establish a long term vision, to 2050, for energy in Northern Ireland was approved by the Minister on 5 September. Business case for appointing consultants to undertake analysis for a small scale FIT being drafted – for approval in next period.</p> <p><b><u>TT &amp; GSNI</u></b></p> <p><b>Telecoms:</b> Telecoms Branch follows guidance on the use of consultants when appointing consultancy contracts. No business cases were completed by Telecoms Branch during this reporting period in relation to consultancy assignments. <b>Tourism:</b> Proper process undertaken in compliance with DETI guidance. Division not responsible for the direct appointment of consultants/external contractors etc but is involved in the oversight of how such contracts are awarded by third parties involved in the wider Titanic Quarter project. DETI works in an advisory capacity and maintains the role of lead contact in respect of additional works and future planning schemes re public realm. <b>Minerals:</b> N/A</p> <p><b><u>ASU</u></b> – no comment</p> <p><b><u>EPD</u></b></p> <p>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</u></b></p> <p><b>Markets Branches – Gas and Electricity - Electricity Markets</b>– ISLES and BioMara project spend monitored in conjunction with EU Programmes and SEUPB. Wayleave costs monitored against reports and ongoing caseload.  <b>Gas Markets</b> – Claim for significant additional costs by consultant involved in completing the 2010 Gas Network Extension Study resolved, resulting in agreement to pay around 20% of full claim, with full study costs less than next acceptable tender. Legal contract expenditure monitor maintained.  <b>Energy Co-Ordination Branch</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></p> <p><b>Telecoms:</b> Monthly exercises undertaken on financial monitoring, reviewing past expenditure and forecasting future requirements. HOD is also updated on spend through monthly Budget reporting exercise. <b>Tourism:</b> Financial monitoring through monthly profiling, monitoring rounds on a quarterly basis.  <b>Minerals:</b> N/A</p> <p><b><u>ASU</u></b> – no comment</p> <p><b><u>EPD</u></b></p> <p>Finances (DRC 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. IPU - Bi-annually finance checks are carried out on NISP Connect as part of ERDF drawdown.</p>			

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</u></b></p> <p><b>Markets Branches – Gas and Electricity - Electricity and Gas Markets –</b> DFP- CPD assistance utilized in tendering for gas extension studies, electricity grid SEA study contract, Energy Efficiency Levy PPE contract and IME3 Act 9 (9) assessment study (no responses received). (See also sections 3.3 and 5.3). Also DFP/CPD utilised for tender for gas extension OBC. 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.</p> <p><b>Energy Co-Ordination Branch</b> No comment</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> Procedures followed in accordance with published guidance There has been one procurement exercise completed in this reporting period – Consultancy support for BDUK 2mbps USC and 3G/4G projects. <b>Tourism:</b> Monitored and completed by admin team, with appropriate authorisation DP/G7. Compliance with procurement policy and where necessary consults with Central Procurement Directorate. No such contracts awarded directly by the Division during the reporting period. <b>Minerals:</b> N/A</p> <p><b><u>ASU</u></b> – no comment</p> <p><b><u>EPD</u></b></p> <p>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
Appropriate arrangements are in place to ensure that all assets within the Group are properly safeguarded and controlled against unauthorised use or disposal.	✓		
<p><b>Comments:</b></p> <p><b><u>Energy</u></b></p> <p><b>Markets Branches – Gas and Electricity</b> no comment  <b>Energy Co-Ordination Branch</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></p> <p><b>Telecoms:</b> Checks are made on branch assets to ensure compliance.  <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. Branch IT assets database maintained by Corporate Services kept updated. <b>Minerals:</b> N/A</p> <p><b><u>ASU</u></b></p> <p>ASU, by its nature, has minimal physical assets.</p> <p><b><u>EPD</u></b></p> <p>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. 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.	✓	✓ ASU	
<p><b>Comments:</b></p> <p><b><u>Energy</u></b></p> <p><b>Markets Branches – Gas and Electricity - Electricity Domestic Markets –</b> ERINI study on mutualisation of energy assets and IME3 Art 9(9) technical study – Single Tender Action approval obtained in both cases. IME3 Act 9 (9) study was tendered via CPD, and no responses obtained.</p> <p><b>Energy Co-Ordination Branch</b> No comment</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> Telecoms Branch is aware of and adheres to this requirement. During this reporting period a retrospective STA was completed to cover increased costs incurred by a contract extension in December 2011 for legal services in the development of the contract for the successor to the Remote Broadband Services scheme. <b>Tourism:</b> No such contracts have been appointed by Titanic team. <b>Minerals:</b> Not applicable to MAPB for this period.</p> <p><b><u>ASU</u></b></p> <p>Retrospective approval from the Permanent Secretary was sought in relation to a contract with FDI Intelligence where additional work was sought under the contract, without recourse to CPD, which increased the cost from £66,200 to £74,850. The extension was considered to be an STA and retrospective approval was secured in September 2012.</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</u></b></p> <p><b>Markets Branches – Gas and Electricity</b> - All financial approvals completed under delegated limits procedures  <b>Energy Co-Ordination Branch</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></p> <p><b>Telecoms:</b> Lines of authority are well defined and understood by staff across the unit. Staff are aware of their responsibilities through updates to PDPs/PPAs, dissemination of relevant information through divisional and staff briefings and corporate electronic messaging systems  We have appropriate levels of separation in respect of financial procedures (approvals/authorisations/payment) for each project. We also have named personnel for the management of specific project risks. <b>Tourism:</b> Operating Plan/Branch Plan/PPAs, Regular Branch meetings, Regular informal contact  Timely completion of annual reports, Lines of authority well defined etc.  Staff Review requested to look at additional areas of work, specifically around Titanic. <b>Minerals:</b>_N/A</p> <p><b><u>ASU</u></b></p> <p>No comment</p> <p><b><u>EPD</u></b></p> <p>Personal Performance Agreements/PDPs for 2012/13 are linked to 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. 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. PELU 2011/12 performance reviews have been completed.</p>			

6.2	Yes	No	Partly
Guidance and instructions are disseminated to appropriate staff.	✓		
<p><b>Comments:</b></p> <p><b><u>Energy</u></b></p> <p><b>Markets Branches – Gas and Electricity</b> no comment  <b>Energy Co-Ordination Branch</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></p> <p><b>Telecoms:</b>All staff have access to and are competent in accessing departmental IT systems. Issues discussed through regular formal and informal team meetings and briefings. <b>Tourism:</b>Review of procedures manual currently underway. All staff have access to HR Connect; TRIM etc and instructions are conveyed via outlook or in person where appropriate.  <b>Minerals:</b>N/A</p> <p><b><u>ASU</u></b> – no comment</p> <p><b><u>EPD</u></b></p> <p>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</u></b></p> <p><b>Markets Branches – Gas and Electricity</b> Divisional hospitality register maintained centrally. <b>Electricity Markets</b> - No offers of gifts or hospitality within reporting period. <b>Gas Markets</b> – no offers of hospitality accepted during the reporting period.</p> <p><b>Energy Co-Ordination Branch</b> Divisional hospitality register controlled centrally and updated on a six-monthly basis.</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> Reminders issued regularly to staff asking them to complete the register and <u>to the best of our knowledge</u> staff adhere to the guidance.</p> <p><b>Tourism:</b> Gifts and hospitality information/receipts for Branch held on TRIM.</p> <p><b>Minerals:</b> N/A</p> <p><b><u>ASU</u></b></p> <p>ASU has its own Gifts and Hospitality register which is maintained regularly.</p> <p><b><u>EPD</u></b></p> <p>A gift/hospitality register is maintained by the Division. It is circulated quarterly and all 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
<p>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>	✓		
<p><b>Comments:</b></p> <p><b><u>Energy</u></b></p> <p><b>Markets Branches – Gas and Electricity</b> No issues arising in reporting period. All line managers familiar with HR Connect attendance management procedures</p> <p><b>Energy Co-Ordination Branch</b> No comment</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> Telecoms Branch line managers are aware of their responsibilities and have been implementing procedures. <b>Tourism:</b> Regular review of HR Connect procedures. Absences recorded by line management as appropriate. Staff aware of Departmental procedures governing good management of staff practice. Attendance register kept updated and HR Connect kept updated etc. <b>Minerals:</b> N/A</p> <p><b><u>ASU</u></b> – no comment</p> <p><b><u>EPD</u></b></p> <p>All staff are aware of, and are fully implementing, Departmental procedures. Return 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</u></b></p> <p><b>Markets Branches – Gas and Electricity &amp; Energy Co-Ordination Branch</b> N/A</p> <p><b>Renewable Electricity Policy &amp; Legislation Branch/Renewable Heat Branch/Sustainable Energy Branch - No comment</b></p> <p><b><u>TT &amp; GSNI</u></b></p> <p><b>Telecoms:</b> Staff within Telecoms Branch are aware of the need for appropriate procedures in relation to the monitoring of NDPBs (but do not currently need to implement them as they do not support any NDPBs)</p> <p><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. Not applicable for Titanic &amp; 2012 Projects. <b>Minerals:</b> N/A</p> <p><b><u>ASU</u></b> – N/A</p> <p><b><u>EPD</u></b></p> <p><b>IPU -</b> 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</u></b></p> <p><b>Markets Branches – Gas and Electricity N/A</b>  <b>Energy Co-Ordination Branch N/A</b>  <b>Renewable Electricity Policy &amp; Legislation Branch/Renewable Heat Branch/Sustainable Energy Branch - no comment</b></p> <p><b><u>TT &amp; GSNI</u></b></p> <p><b>Telecoms:</b> See 7.1 <b>Tourism:</b> Branch is satisfied that all relevant information to monitor adherence to the MSFM is forthcoming from NDPBs as and when required. Not applicable for Titanic &amp; 2012 Projects. <b>Minerals - N/A</b></p> <p><b><u>ASU</u></b> – N/A</p> <p><b><u>EPD</u></b></p> <p><b>IPU</b> - 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</u></b></p> <p><b>Markets Branches – Gas and Electricity - Electricity Markets-</b> NIE Limited was put in place as Trustee for the distribution of funds to defray the Energy Efficiency Levy (EEL) in 2004/05 and 2005/06. The Department used the same means to defray the EEL in 2007/08 and as such NIE Limited remained classed as a TPO, with the existing monitoring arrangements continuing where spend occurs. However no further EEL defrayal is planned and a final audit of the account was completed by Ernst and Young for NIE in June 2011. The EEL trust fund account was closed in January 2011.</p> <p><b>Energy Co-Ordination Branch</b> no comment</p> <p><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></p> <p><b>Telecoms:</b> Telecoms Branch is aware of the procedures but do not currently need to implement them as they do not support any EDOs or TPOs. <b>Tourism</b> - N/A <b>Minerals</b> : N/A</p> <p><b><u>ASU</u></b> – N/A</p> <p><b><u>EPD</u></b></p> <p>A contract was awarded to Social Enterprise Northern Ireland (SENI) to design, manage and deliver the Social Economy Work Programme (SEWP) commencing 1 October 2012. Arrangements are being put in place to validate all related expenditure and to monitor all programme activity.</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</u></b></p> <p><b>Markets Branches – Gas and Electricity - Electricity Markets</b> - Contract awarded in March 2010 for completion of Energy Efficiency levy PPEs and work was completed in May 2010. A final audit of the remaining amount in the account was completed by Ernst and Young for NIE in June 2011.</p> <p><b>Energy Co-Ordination Branch</b> no comment</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><u>Telecoms:</u></b> See 7.3 <b>Tourism &amp; Minerals</b> - N/A</p> <p><b><u>ASU</u></b> – N/A</p> <p><b><u>EPD</u></b></p> <p>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</u></b></p> <p><b>Markets Branches – Gas and Electricity - Gas Markets</b> – no active Letters of Offer or grant funding of gas projects at present. <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</p> <p><b>Energy Co-Ordination Branch</b> no comment</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><u>Telecoms:</u></b> Telecoms Branch have various monitoring and claims inspection procedures in place to monitor disbursement of monies and have developed grant skills of staff within the unit; Monitoring and claims inspection activities have been reviewed by DETI IAS and recommendations incorporated into procedures as appropriate; Appropriate levels of separation in respect of financial procedures (approvals/authorisations/payment) are in place for each project. There are also named personnel for the management of specific project risks; A number of staff have completed the CIPFA “Fraud Awareness for Grant Funders” training course; seven members of staff have completed CIPFA training in Vouching of Grants and Verification Visits; and, documentation and monitoring arrangements for Next Generation Access, Broadband Fund and Logon-Ni programme have also been agreed with DETI European Programmes Branch (Managing Authority for the ERDF programme) as part of the projects designation procedures and to ensure compliance with auditing procedures. All Telecoms Branch staff have either attended, or will attend as required, mandatory training provided by the DETI Managing Authority in relation to EU. <b><u>Tourism:</u></b> In relation to monies allocated towards the Titanic Special Projects re additional works, liaison with NITB and CPD ensure that monies represent Value for money. In addition the appropriate legal documentation has been put in place to support decisions etc. <b><u>Minerals:</u></b> N/A etc.</p> <p><b><u>ASU</u></b> – N/A</p> <p><b><u>EPD</u></b></p> <p>Arrangements to be put in place with Invest NI Claims Inspectorate to verify expenditure in relation to the Social Economy Work Programme.</p>			

## 8 – Internal and External Audit Reports

8.1	Yes	No	Partly
Internal and external audit reports relating to the activities of the Group have not revealed any significant weaknesses.			 Energy (Sustainables)
<p><b>Comments:</b></p> <p><b><u>Energy:</u></b></p> <p><b>Markets Branches – Gas and Electricity - Electricity and Gas Markets –</b> Internal audits in 2011 of ESB/NIE transaction, Climate Change Levy and IME3, revealed no significant weaknesses.  <b>Energy Co-Ordination Branch</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 monthly updates/meetings still in place with CBC. CBC continues to pursue through their insurance company. No repayment has yet been made.</p> <p><b><u>TT &amp; GSNI</u></b></p> <p><b>Telecoms:</b> Telecoms &amp; ACB continue to pursue allegations made against a company that received a grant under InterregIIIA. <b>Tourism:</b> BIT Reviews of procedures of Tourism Policy Branch processed in October 2008 did not identify any weaknesses.            KPMG on behalf of Internal Audit have recently carried out a review and audit of the TSB project. The Consultants made a positive report following their external visit to Titanic Foundation Limited (TFL). <b>Minerals:</b> N/A</p> <p><b><u>ASU</u></b></p> <p>Most recent Internal Audit Service follow-up report did not reveal any significant weaknesses. A finding was recorded on branch payments (dating and signing of invoices) which was graded at low risk by Internal Audit Service was found to have been partially implemented. EPD, who manage payments for ASU, have reviewed procedures for processing invoices. In addition, ASU have introduced supplementary checks to ensure procedures are being followed correctly.</p> <p><b><u>EPD</u></b></p> <p>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>	✓		✓ ASU
<p><b>Comments:</b></p> <p><b><u>Energy:</u></b></p> <p><b>Markets Branches – Gas and Electricity</b> no comment  <b>Energy Co-Ordination Branch</b> N/A  <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.</p> <p><b><u>TT &amp; GSNI</u></b></p> <p><b>Telecoms:</b> Recommendations made by IAS have been implemented and are monitored by HOB and reported to HOD. European Programmes Branch carries out quarterly Drawdown verification checks and as yet there have been no issues arising. <b>Tourism:</b> Tourism Policy Branch adheres to guidance issued by DFP. <b>Minerals:</b> N/A</p> <p><b><u>ASU</u></b></p> <p>ASU have implemented all recommendations which are the responsibility of the unit, following the Internal Audit report on the previous SPES division.</p> <p>As noted at 8.1 above, an Internal Audit follow up report found that a recommendation on processing payments had been partially implemented. EPD and ASU have reviewed processes for invoices and added supplementary checks to ensure procedures are being followed.</p> <p><b><u>EPD</u></b></p> <p><b>IPU</b> - The recommendations to address these have been implemented.</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:</u></b></p> <p><b>Markets Branches – Gas and Electricity - Electricity Markets</b> – HOB has received Cabinet Office Information Asset Owner accredited training.</p> <p><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. Regular Divisional security checks now in place and HoD updated accordingly.</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> All data held by Telecoms Branch is categorised at “Restricted” or lower level in accordance with approved NICS Guidance. All data is stored centrally to approved Guidance with appropriate access permissions within file-plan agreed with DETI Departmental Information Manager Stored 3<sup>rd</sup> party personal data comprises basic identifier detail such as name/address/telephone number/s only and is generated typically as a consequence of complaint/enquiry management. If additional data is required to be gathered Telecoms Branch liaise with the Departmental Information Manager to ensure best practice guidelines are followed. Data transmission by e-mail (no 3<sup>rd</sup> party courier arrangements or use of alternative storage media for data transportation) Data security arrangements have also been discussed with and security enhancements implemented as part of a roll-out programme by DETI IT Branch for those members of staff using laptops or other portable devices. All laptops are Iron-key protected. <b>Tourism:</b> All data is managed, classified, etc in accordance with information management and information security guidelines. <b>Minerals:</b> N/A</p> <p><b><u>ASU</u></b> – no comment</p> <p><b><u>EPD</u></b></p> <p>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.</p> <p>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>			

10.1	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><b>Comments:</b></p> <p><b><u>Energy:</u></b></p> <p><b>Markets Branches – Gas and Electricity</b> no comment  <b>Energy Co-Ordination Branch</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></p> <p><b>Telecoms:</b> Telecoms Branch is not aware of any significant control or other matters arising within the Branch which could adversely affect the signing of the quarterly SIC. <b>Tourism:</b> There are no significant matters arising within the Titanic team to report during this period. <b>Minerals:</b> N/A</p> <p><b><u>ASU</u></b> – no comment</p> <p><b><u>EPD</u></b></p> <p>At this point there are no significant matters arising within the Division which would significantly affect the signing of the six monthly SIC.</p>			