

# CPANI

The Commissioner  
for Public Appointments  
Northern Ireland

“Guardian of the Public Appointment Process”

**ANNUAL REPORT 2015/16**

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# 1. Commissioner's Introduction


I took up the position of Commissioner for Public Appointments on 1<sup>st</sup> September 2015. The previous Commissioner John Keanie had left in July 2015; this report therefore covers part of the period of his tenure. I want to begin by paying tribute to John Keanie's work. I inherited from him an organisation that was well managed and had a high level of integrity at its core. John followed a



line of previous Commissioners who had also successfully championed reform of the public appointments system. And of course Northern Ireland Departments and their successive Ministers have been key to implementing those reforms. As Commissioner I can say with confidence that since the publication of the Nolan Report in 1995 we have come a long way in ensuring that our public appointments are made through a transparent and open process.

The Annual Report is also a good opportunity for me to publicly commend the work of the staff in CPA NI. Owing to their expert knowledge, commitment and professional integrity the members of this small team, Pat Neeson (Business and Policy Manager) and Patrick Longmore (Compliance Officer), contribute significantly and positively to Northern Ireland's public appointment process.

The three main functions of CPA NI are: the provision of advice and guidance to Departments and others; my regulatory role as Commissioner; and my complaint handling role. I have set myself two main priorities in carrying out my public functions. These are to improve diversity and combat under-



representation on the boards of public bodies and to promote good governance within our public bodies.


### **Advice to Departments and others**

I have continued the 'open door' policy of my predecessor. Strong and productive relationships with the Departments were already established on my arrival in post and I have worked to maintain and develop these. Departments regularly come to us to seek advice so that potential problems with competitions can be discussed and resolved before any mistakes are made or damage done. This approach is much more helpful to Departments, and ultimately to candidates for appointment, than CPA NI standing back, letting competitions run, and waiting to pick up mistakes and report on them in audits after the event.

As well as advice to Departments, my staff and I have engaged in a substantial outreach programme, advising a wide range of organisations on how their members can gear up for competing successfully in public appointment competitions. As part of this outreach CPA NI, with the collaboration of departmental officials, has run a number of openly advertised and well attended workshops entitled 'Demystifying the public appointments system'.

### **Regulation**

Regulation of public appointments is centred on my Code of Practice. CPA NI audits a number of competitions each year and follows these up with Departments to ensure that any recommendations for improvement have been implemented. My predecessor found this to be in general effective, with most recommendations being implemented, leading to improvements in procedures. I have further developed the process by taking a diversity risk based approach to my decision on which competitions to audit. Where the outcome of a competition process results in a poorly balanced public board there is the likelihood this competition will be audited. Departments have been informed of this new approach and in particular CPA NI highlights it with



Departments at the outset of a competition where the current Board is imbalanced.

My predecessor in his last Annual Report raised concerns that, when a third-party contractor has been used to administer competitions in place of Department officials, there had been an unacceptably high level of error leading to breaches of the Code. He cited examples of poor practice and indicated that lessons from earlier audits did not appear to have been learned, meaning that CPA NI was seeing the same mistakes repeated. The practice of using third-party contractors to administer public appointments seems set to increase. I intend to watch this development closely. It is important that The Executive Office (TEO - formally the Office of the First Minister and Deputy First Minister), with its responsibility for public appointment policy, and any other Department using the third-party contractor, ensures that the good work done by Departments in improving the public appointments system is not undermined.

## **Diversity**

John Keanie left office somewhat despairing of the slow progress towards appointing a more diverse range of people to our public boards. I have taken up this challenge and have made the achievement of diversity on public boards in Northern Ireland a priority for my tenure. In the first instance this means more women being appointed particularly as Chairs of our public boards. Succeeding in this area will, I am confident, lead to opening up our appointments system to other under-represented groups such as younger people and people with disabilities.

The arguments in favour of diversity on corporate boards both public and private have been well and often made. These arguments are not just around fairness and representative democracy; there is now good evidence to show that diversity in decision making roles in economic activity is good for business and the overall economy.

Public boards are responsible for the management of the major part of public spending in Northern Ireland. They are an important part of our social and political administration. If we get it right for these public bodies it sets a good example throughout our society. The need to bring more women into senior decision making roles is equally important for the private sector and for other public institutions such as the senior civil service and the judiciary.

A society in the 21<sup>st</sup> century that aspires to be economically successful, well administered and with a good level of well being enjoyed by its citizens will have men and women sharing the decision making roles in that society.


In this context the Northern Ireland Administration has taken an important step towards achieving a more progressive public sector. In March 2016 Northern Ireland Executive Ministers agreed ground breaking targets for the appointment of women to public bodies. It was announced that by 2017/18 there should be gender equality for appointments made in-year; and by end-year 2020/21 there should be gender equality for all appointees in post, reflected both in board membership and at chair level.

The Commissioner welcomed Executive agreement to the setting of targets for greater gender diversity in public appointments.



It is my intention to champion these new targets and I have already taken a number of measures in this respect. These include amendments to the Commissioner's Code, a new diversity risk based approach to selection of competitions for audit, the holding of workshops and enhanced advice to Departments on the steps necessary to improve application rates for women.





I am clear that without more diverse and balanced representation on our public boards we cannot say that the merit principle is being properly implemented within our public appointments system.

## **Good Governance**

Good corporate governance has for many years been recognised as an essential reform for developing countries. However, in recent years the economic recession in developed countries has shown that many financial and other business entities in western countries operate with poor corporate governance and are overly prone to corporate scandals. One of the lessons highlighted in the various reports on the causes of the recession is that good corporate governance in the boardroom is essential for the sustainability of an organisation and the economy more widely.

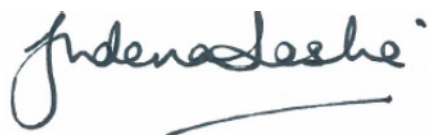
In the public sector the aim of a good public appointments process is to ensure that those appointed to the boards of our public bodies have the necessary skills, abilities and values. The objective is to have a high functioning board which will optimise the performance of the organisation as a whole.

Northern Ireland through its well developed education, regulatory, legal and administrative systems and indeed its small size with consequent ease of communication and small networks could aspire to the highest levels of corporate governance. This aspiration is supportive of the Northern Ireland Executive's vision of a shared future. My discussions with interested parties such as the leadership of the Institute of Directors, the Permanent Secretary of the Department of Finance and Personnel and the Auditor General for Northern Ireland suggest that there is a consensus around the role of good governance and diversity at board level in promoting an image of Northern Ireland that is attractive for investment and economic development. In the time to come I hope to work with interested parties to develop this thinking on the promotion of good corporate governance in Northern Ireland.

## Commissioner's Remit

In May 2014 the previous Commissioner submitted to the then OFMDFM his suggestions for strengthening and updating the Commissioner's legislation. The Department accepted most of the recommendations and undertook to update the legislation. It is somewhat disappointing that to date the legislation has not yet been drafted to incorporate the necessary provisions I would press The Executive Office to address this issue as a matter of urgency.

Finally, I am very conscious that in the public sector everyone must seek to do more with fewer resources and CPA NI is not immune from this. One of the best ways of achieving this is through greater sharing of information and expertise between organisations and individuals. CPA NI is committed to this approach.

A handwritten signature in black ink, reading "Judena Leslie". The signature is written in a cursive style with a long horizontal flourish underneath.

**Judena Leslie**  
**Commissioner**

## 2. Executive Summary

### **Section 1 - Commissioner's Introduction**

- Commissioner taking up challenge of increasing diversity.
- Diverse boards of public bodies sets a good example throughout society.
- Executive Ministers agreed ground breaking targets for the appointment of women to public boards.
- New diversity risk based approach to audit selection.
- Continuation of 'open door' policy of predecessor.
- Good governance at board level promotes an image of Northern Ireland attractive for investment and economic development.
- Lack of progress in updating legislation governing Commissioner's remit.
- Collaboration and sharing of information and expertise is a good way to do more with less.

### **Sections 3 and 4 – Vision, Values and Role of CPA NI**

These are set out for readers.

### **Section 5 – The Code of Practice**

- Important change to paragraph 3.52 to clarify that any reserve list appointment must take effect within a one year period from the date of the Minister's decision.
- Commissioner encourages Departments to treat competitions for unregulated bodies in a similar manner to those for regulated bodies. This approach provides consistency and an assurance to applicants.
- One of the competitions audited by CPA NI was well run, the other process was found to be unsatisfactory.



## **Section 6 – Independent Assessors**

- CPA NI allocated Independent Assessors to 47 public appointment competitions.
- New role as diversity champion for Independent Assessors.
- Increased focus on diversity throughout Independent Assessor training sessions.

## **Section 7 – Public Appointment Activity 2015/16**

- 148 public appointment positions were advertised by Departments.
- There were 84 reappointments.
- 73 terms of appointment were extended in 2015/16.
- The Commissioner granted seven exceptions to the Code, to five Departments.

## **Section 8 – CPA NI Activity 2015/16**

- Strong outreach programme continued by Commissioner.
- Commissioner spoke at many events.
- Successful development and delivery of CPA NI workshop on public appointments.
- CPA NI published two audit reports in 2015/16.
- Commissioner investigated two complaints. Details are provided in this section.

## **Annexes**

The Report ends with three annexes

- [I] List, from each Government Department, of Bodies to which regulated and unregulated appointments are made
- [II] CPA NI Operating Plan 1<sup>st</sup> April 2016 to 31<sup>st</sup> March 2017
- [III] Statement of Expenditure



## 3. Vision and Values of CPA NI

### 3.1 Vision

The CPA NI vision is that all public appointments are made on merit, in a fair and open manner and that opportunities to serve on the boards of public bodies are open to the widest possible field of candidates.

### 3.2 Values

The core values of CPA NI are those that are also expected of Ministers and their Departments in making public appointments. They are:

**Merit**

**Diversity**

**Equality of Opportunity**

**Openness, Transparency and Independence**

**Integrity**

**Proportionality**

**Respect**

## 4. Role of CPA NI

### 4.1 Legislation

The post of Commissioner was established in 1995 by the 'Commissioner for Public Appointments (Northern Ireland) Order' (the Order), which has been amended on two occasions to take account of the progressive devolution of powers and duties to the Northern Ireland Executive.

### 4.2 CPA NI Mission Statement

- to regulate and monitor the policies and procedures of Ministers and their Departments in making public appointments,
- to ensure that Departments operate systems that allow every citizen who has skills and experience to contribute and who has the motivation and integrity to serve, to put herself/himself forward for appointment, and
- to ensure that applicants are treated, throughout the public appointment process, in a manner that is fair, consistent, open and transparent, with the goal of selecting the best candidates, on merit, for board service.


### 4.3 What does the Commissioner do?

The Commissioner regulates and monitors the compliance of Departments with the Commissioner's 'Code of Practice for Public Appointments in Northern Ireland' (the Code). She also provides advice and guidance on the process of selection for public appointments and she investigates complaints.

### 4.4 How does the Commissioner regulate public appointments?

The Order, which can be viewed on the CPA NI website on the 'Our Role' page, sets out formally the statutory duties of the Commissioner as:

1. The Commissioner shall in the manner she considers best calculated to promote economy, efficiency and effectiveness in the procedures for

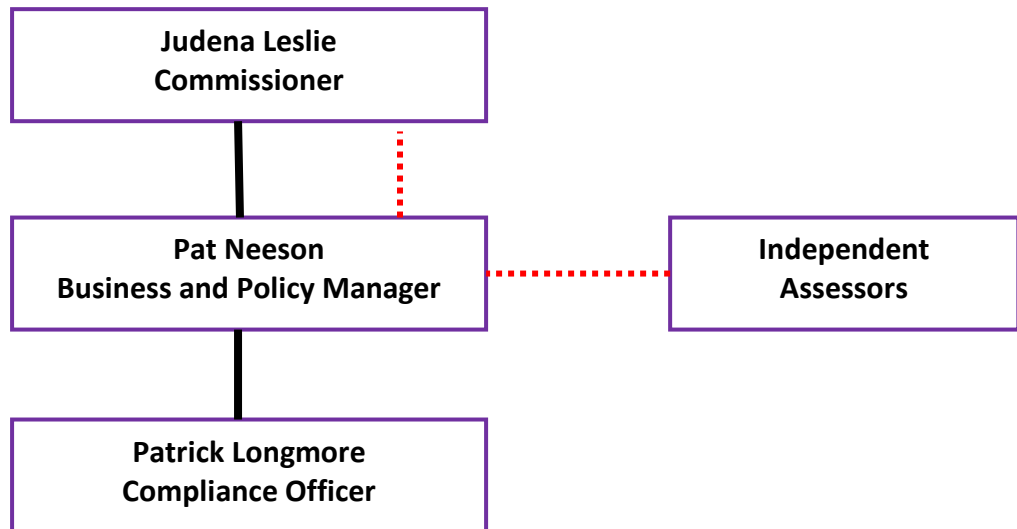


making public appointments, exercise her functions with the object of maintaining the principle of selection on merit in relation to public appointments.

2. The Commissioner shall prescribe and publish a Code of Practice on the interpretation and application by Departments of Government on the principle of selection on merit for public appointments and shall adopt and publish from time to time such additional guidance as the Commissioner shall think fit.
3. The Commissioner shall carry out an audit to review the policies and practices of Departments in making public appointments to establish whether the Code of Practice referred to in paragraph 2 is being observed.
4. The Commissioner may require any Department to publish such summary information relating to selection for public appointments as she may specify in writing.
5. The Commissioner may from time to time conduct an inquiry into the policies and practices pursued by a Department in relation to any public appointment or description of any public appointment.
6. The Commissioner shall publish an annual report which shall include -
  - a. information as to the application by Departments of the principle of selection on merit in relation to public appointments and as to the observance by Departments of the Code of Practice, and
  - b. an account of the audit of policies and practices of Departments in making public appointments.

#### 4.5 CPA NI Organisation Structure

The Commissioner operates with a team of two officers. In addition a team of around 34 Independent Assessors is managed by the Commissioner. Section 6 of this report deals with Independent Assessors.





## 5. The Code of Practice

### 5.1 Introduction

The Order requires the Commissioner to ‘prescribe and publish a Code of Practice on the interpretation and application by Departments of the principle of selection on merit for public appointments’. CPA NI regulates and monitors the work of the Departments to ensure they comply with the Code.

### 5.2 Changes to the Code

The Commissioner amends the Code from time to time to ensure that it is up-to-date and relevant. The latest version of the Code is available on the Home Page of the CPA NI website [www.publicappointmentsni.org](http://www.publicappointmentsni.org).


The Code was updated in September 2015, paragraph 3.52 was amended to clarify that any reserve list appointment must take effect within a one year period, from the date of the Minister’s decision.

Additional guidance, interpretation and answers to questions about the Code and the public appointment process in general can be found in the ‘Frequently Asked Questions’ section of the website.

### 5.3 Regulated and Unregulated Competitions

Public appointments can be ‘regulated’ by the Commissioner or ‘unregulated’.

As mentioned in previous reports, the Commissioner continues to encourage Departments to treat unregulated competitions in a manner similar to regulated ones, and to employ an Independent Assessor, allocated by CPA NI. This provides an assurance to the public that all public appointment competitions are dealt with in a consistent and fair manner, whether they are officially regulated or not. In the year to end of March 2016, most unregulated



public appointment competitions were run ‘in accordance with the principles of the Code’, and included an Independent Assessor on the panel, appointed by the Commissioner.

Annexe 1 gives the latest list of public bodies, supplied by the Departments, showing which are regulated and which are unregulated.

#### **5.4 Compliance with the Code in 2015/16**

Two audit reports were published in the 2015/2016 year. One found that the competition was well run and the Department was commended by CPA NI for the positive actions taken. The second audit investigation found that the public appointment process was an unsatisfactory one. In addition to three breaches of the Code the outcome in terms of diversity was poor.

All audit reports can be viewed in full in the ‘Investigations and Compliance’ page of the website.

## 6. Independent Assessors

### 6.1 Role of the Independent Assessor

Independent Assessors play an important part in the public appointment process. They serve on every regulated public appointment recruitment panel, bringing expertise, independence and experience in recruitment matters and on the Commissioner's Code. They also serve on the panels of unregulated competitions. They serve as full voting members of the panels and are required to be engaged from the planning stages of the recruitment competition.

**CPA NI allocated Independent Assessors to 47 public appointment competitions in 2015/16**

They help the Department to get the planning and documentation right and to sift and short-list candidates. They take part in interviews. They also jointly approve, with the other panel members, the applicant summaries that go to the Minister recommending candidates suitable for appointment.

Independent Assessors have a duty to challenge the panel and the Department when they identify deviation from the Code and from best-practice, and to refer the problem to the Department and to the Commissioner as necessary. After each competition, the Independent Assessor completes a review of the competition, highlighting to the Commissioner any points of concern. All issues raised by the Independent Assessor are followed up by CPA NI.

All Independent Assessors are committed to the merit principle and to fair treatment of candidates. They have open access to the Commissioner and her team to ensure that difficulties encountered by Departments and panels are dealt with promptly and effectively.



## **6.2 Independent Assessors - Diversity Champions**

The Commissioner has made the policy of increasing diversity on public boards a key priority of her tenure.

The Independent Assessor has an important role to play in promoting this approach and is in a position to encourage recognition, at appointment panel level, of the benefits of diversity. The Commissioner has now tasked each Independent Assessor to take on the role of diversity champion in each public appointment process in which he or she is involved. Specific training was held in-year for the pool of Independent Assessors to prepare them for this new role and the Commissioner and staff will continue to encourage and assist the Independent Assessors in any way they can.

## **6.3 Performance of Independent Assessors and feedback from Departments**

CPA NI conducted three training sessions, with an increased focus on diversity, for Independent Assessors during the year, to ensure they are up-to-date on Code changes and all other matters effecting public appointment competitions.

After each competition, the Department completes a short evaluation, for the Commissioner, of the part played by the Independent Assessor. Any matters of concern are raised, by CPA NI, with the Independent Assessor and/or included in subsequent training sessions. Also, the Commissioner meets, twice a year, the officers, from all Departments, who work on public appointments; they have the opportunity to raise matters concerning them, including the performance of Independent Assessors on their recruitment panels.

## 7. Public Appointment Activity 2015/16

### 7.1 Appointments and reappointments

As the figures in the boxes show, 232 public appointment positions were available for appointment or reappointment during the year.

**148 public appointment positions advertised in 2015/2016**

**Department Press Releases showed 84 reappointments in 2015/2016**

### 7.2 Extensions

Over the year there were a total of seventy-three extensions of appointment. Extensions should be made only in exceptional circumstances and for a short period. All extensions by Departments are required to be notified to the Commissioner, together with the reason for the extension; a public announcement is also required for all extensions.

For the majority of the extensions the Departments complied with these requirements, however this was not always the case. The Commissioner would once again remind all Departments of their obligations when making extensions and encourage Departments to discuss extension requirements with CPA NI in advance of implementing them.

### 7.3 Exceptions to the Code

Departments wishing to depart from any aspect of the Code in a particular competition must obtain written permission from the Commissioner to do so. Every case is carefully considered and exceptions are not granted lightly.

Seven exceptions were granted by the Commissioner, in five Departments, in the 2015/2016 year. These were:

DEPARTMENT	PUBLIC BODY	NATURE OF EXCEPTION
DEL	Governing Body of the South Eastern Regional College	Appointment of a temporary Chair
DEL	Governing Body of Belfast Metropolitan College	Appointment of a temporary Chair
DETI	General Consumer Council	Creation of a reserve list, subsequent to the Ministerial decision, to fill unforeseen vacancy
DOE	Council for Nature Conservation and the Countryside	Creation of a reserve list, subsequent to the Ministerial decision, to fill unforeseen vacancy
DOJ	Northern Ireland Policing Board	Extension of time limit for reserve list
DOJ	Police Rehabilitation and Retraining Trust	Extension of time limit for reserve list
DSD	Northern Ireland Housing Executive	Appointment of temporary members

## 8. CPA NI Activity 2015/16

### 8.1 Introduction

The continuing 'open-door' approach of CPA NI has strengthened existing relationships with Departments and ensures that potential problems with competitions are resolved at the earliest opportunity. This approach is more helpful to Departments and

ultimately to candidates for appointment. CPA NI will continue to offer this service to all who require it.

#### Commissioner's outreach included speaking at:

- the North South Inter-Parliamentary Association;
- the Foyle Women's Information Network AGM;
- the Assembly Speaker's Female Participation in Public Life event;
- the CIPFA Annual Governance and Leadership Conference; and
- the launch of the UJ research report on Gender Equality at Executive Level in the NI Public Sector.



The Commissioner addressed many groups and organisations including the Foyle Women's Information Network.

The Commissioner's policy of making herself and her officials available to organisations, to explain what public appointments are, how to identify opportunities and how to go for them, resulted in many requests for meetings and for the Commissioner to speak at events.

**Commissioner met with a wide range of organisations and individuals including:**

- **The Northern Ireland Youth Forum**
- **The Equality Commission**
- **Institute of Directors**



The Commissioner met with Paul Terrington and Gordon Milligan from the Institute of Directors.

## **8.2 Outreach**

The Commissioner has continued the CPA NI outreach programme engaging with a wide range of organisation and individuals interested in public appointments. This outreach is intended to target currently under-represented groups, as well people from a wider business, industry and third sector background, to inform them of the opportunities available across the boards of public bodies. This is designed to tackle the problem of under-representation faced by Departments and the boards for which they are responsible.



### **8.3 Workshops**

As a result of this outreach work CPA NI has developed and delivered a workshop entitled 'Demystifying the public appointments process'. The free workshop is open to anyone interested in applying for a public appointment and explains to attendees:

- what an appointment is and why you should consider applying;
- what the appointment process entails and how to complete an application; and
- how long the process takes and who makes the final decision.

The workshops are delivered by Pat Neeson (CPA NI) in conjunction with Michael Ferguson (Department of Education) and Catherine Synnott (Department for the Economy). The workshop has proven to be very popular and demand for places has been high. This workshop will enable people interested in contributing to society through a public appointment to gain an insight into the process and the opportunities available, and will ultimately encourage fresh applicants to apply.

Feedback from the workshops has been positive and CPA NI will continue to develop and deliver these workshops to the public. In particular we are considering how we could collaborate with other relevant organisations to deliver a workshop specifically aimed at preparing for Board Chair appointments.

### **8.4 Business planning**

CPA NI creates an Operating Plan each year, in which objectives are identified and for which resources are sought. The CPA NI team conducts regular reviews of its performance against the plan and takes corrective action.

In the 2015/16 year CPA NI achieved most of its Operating Plan objectives. The brief period without a Commissioner and the changeover of Commissioners

with the introduction of a new approach and priorities resulted in a small number of objectives not being met. The outstanding objectives have been incorporated into the 2016/17 Operating Plan which is included at Annexe II of this report and can also be found on the website on the ‘Publications’ page.

### **8.5 Audit and compliance programme 2015/16**

CPA NI completed the following audits of public appointment recruitment competitions during the year. Departments are required to deal with all issues identified.

All audit can be viewed in full in the ‘Investigations and Compliance’ page of the website.


#### **Audit reports:**

<b>Department</b>	<b>Public Body</b>	<b>Competition</b>	<b>Audit Report Date</b>
DETI	Health and Safety Executive for Northern Ireland	Appointment of three members	June 2015
DSD	Northern Ireland Housing Executive	Appointment of three members	December 2015

In addition to the CPA NI audit programme, the Permanent Secretary of each Department submits an ‘Annual Compliance Statement’ to the Commissioner.

### **8.6 Dealing with complaints**

The Commissioner has a duty to investigate complaints about public appointment processes. In most cases, she will require the complainant to have referred the complaint, in the first instance, to the Department concerned. If the complainant is dissatisfied with the Department’s handling of



the complaint, he/she may refer it to the Commissioner for investigation.

Each Department reports, annually, to the Commissioner, details of complaints and challenges received and handled by them. The Departmental reports for 2015/16 show that five Departments handled a total of eight complaints, and eight Departments handled a total of thirty-seven challenges.

In the 2015/16 year, two complaints were submitted to the Commissioner. The Commissioner undertook a detailed investigation in both cases. The details are as follows.

**Department:** Department for Regional Development

**Public Body:** Londonderry Port and Harbour Commissioners

**Nature of Complaint:** The complaint concerned councillor appointments to the Londonderry Port and Harbour Commission, the limited interview assessment undergone by applicants and the complainant's belief that the Minister made the appointment decision on the basis of party political affiliations.

**Date complaint received by CPA NI:** 25<sup>th</sup> September 2015

**Outcome:** The investigation found one breach of the Code and failings on the part of the selection panel, the Department and the Minister.

**Department:** Department of Health, Social Services and Public Safety

**Public Body:** Northern Ireland Fire and Rescue Service.

**Nature of Complaint:** The complaint related to a decision by the Minister not to fill a district councillor vacancy from a reserve list.

**Date complaint received by CPA NI:** 15<sup>th</sup> March 2016

**Outcome:** Four breaches of the Code were identified along with one instance of poor practice.

With the agreement of the complainants, the complaint reports have been published in full on the CPA NI website.

### **8.7 The CPA NI Website, [www.publicappointmentsni.org](http://www.publicappointmentsni.org)**

The website which has been refreshed and updated continues to function as a much used source of information on public appointments and on the work of CPA NI. It contains information on the role of CPA NI, the latest version of the Code and unabridged versions of CPA NI reports (the only exception being that complaint reports are published anonymously if the complainant asks for this).

The Homepage now contains a 'Latest' column in which the latest changes, reports, and 'Frequently Asked Questions' are flagged up.

A diversity section has been added to the website containing examples of positive outcomes and good practices.

## ANNEXE I

List, from each Government Department, of bodies to which regulated and unregulated appointments are made.

<b>Department of Agriculture, Environment &amp; Rural Affairs (DAERA)</b>	
REGULATED	UNREGULATED
<ul style="list-style-type: none"> <li>• Agricultural Wages Board for NI</li> <li>• Agri-Food and Biosciences Institute</li> <li>• Council for Nature Conservation and the Countryside</li> <li>• Fishery Harbour Authority (NI)</li> <li>• Livestock and Meat Commission for NI</li> </ul>	<ul style="list-style-type: none"> <li>• Agri-Food Strategy Board (sponsored jointly with DfE)</li> <li>• CAFRE College Advisory Group</li> <li>• TB Strategy Partnership Group</li> </ul>
<b>Department for Communities (DfC)</b>	
REGULATED	UNREGULATED
<ul style="list-style-type: none"> <li>• Architecture &amp; Built Environment Ministerial Advisory Group for NI</li> <li>• Armagh Observatory &amp; Planetarium Board of Governors</li> <li>• Armagh Observatory &amp; Planetarium Management Committee</li> <li>• Arts Council of NI</li> <li>• Charities Advisory Committee</li> <li>• Charity Commission for NI</li> <li>• Historic Buildings Council</li> <li>• Historic Monuments Council</li> <li>• Libraries NI</li> <li>• Local Government Staff</li> </ul>	<ul style="list-style-type: none"> <li>• Office of the Social Fund Commissioner</li> <li>• Vaughan's Charity Trustees</li> <li>• W5 Ltd</li> </ul>

<p>Commission</p> <ul style="list-style-type: none"> <li>• National Museums NI</li> <li>• NI Local Government Officers' Superannuation Committee</li> <li>• NI Museums Council</li> <li>• NI Housing Executive Board</li> <li>• Sport NI</li> <li>• Ulster Supported Employment Ltd</li> </ul>	
<b>Department of Education (DE)</b>	
<b>REGULATED</b>	<b>UNREGULATED</b>
<ul style="list-style-type: none"> <li>• Comhairle Na Gaelscolaiochta</li> <li>• Council for Catholic Maintained Schools</li> <li>• Diocesan Education Committees of the Council for Catholic Maintained Schools</li> <li>• Education Authority</li> <li>• General Teaching Council for NI</li> <li>• NI Council for Integrated Education</li> <li>• NI Council for the Curriculum, Examinations and Assessment</li> <li>• Youth Council for NI</li> </ul>	<ul style="list-style-type: none"> <li>• Middletown Centre for Autism Ltd</li> <li>• Exceptional Circumstances Body</li> </ul>
<b>Department for the Economy (DfE)</b>	
<b>REGULATED</b>	<b>UNREGULATED</b>
<ul style="list-style-type: none"> <li>• Certification Officer for NI</li> <li>• CITB – Construction Skills NI</li> <li>• Consumer Council</li> <li>• Governing Bodies of Further Education Colleges</li> </ul>	<ul style="list-style-type: none"> <li>• Fair Employment Tribunal</li> <li>• Industrial Tribunals</li> <li>• Industrial Court</li> <li>• NI Commissioner for Employment &amp; Skills</li> </ul>

<ul style="list-style-type: none"> <li>– Belfast Metropolitan College</li> <li>– Northern Regional College</li> <li>– North West Regional College</li> <li>– South Eastern Regional College</li> <li>– Southern Regional College</li> <li>– South West College</li> <li>• Health &amp; Safety Executive</li> <li>• Invest NI</li> <li>• Labour Relations Agency</li> <li>• NI Screen</li> <li>• St Mary's University College</li> <li>• Stranmillis University College</li> <li>• Tourism NI</li> </ul>	<ul style="list-style-type: none"> <li>• Agri-Food Strategy Board (jointly sponsored with DAERA)</li> <li>• NI Co-operation Overseas</li> <li>• NI Science Park</li> <li>• Reinstatement Committee for Reserve Forces in Civil Employment</li> </ul>
<b>Department of Finance (DoF)</b>	
REGULATED	UNREGULATED
<ul style="list-style-type: none"> <li>• NI Authority for Utility Regulation</li> <li>• NI Building Regulations Advisory Committee</li> <li>• NI Statistics Advisory Committee</li> </ul>	<ul style="list-style-type: none"> <li>• Lay Observer for NI</li> <li>• Ministerial Advisory Council on Public Sector Reform</li> <li>• NI Civil Service Pension Board</li> </ul>
<b>Department for Infrastructure (Dfi)</b>	
REGULATED	UNREGULATED
<ul style="list-style-type: none"> <li>• Belfast Harbour Commissioners</li> <li>• Drainage Council for Northern Ireland</li> <li>• Londonderry Port and Harbour Commissioners</li> <li>• NI Transport Holding Company</li> <li>• NI Water</li> <li>• Warrenpoint Harbour Authority</li> </ul>	

<b>Department of Health (DoH)</b>	
REGULATED	UNREGULATED
<ul style="list-style-type: none"> <li>• Business Services Organisation</li> <li>• Health and Social Care Board</li> <li>• Health and Social Care Trusts               <ul style="list-style-type: none"> <li>– Belfast HSC Trust</li> <li>– Western HSC Trust</li> <li>– Southern HSC Trust</li> <li>– Northern HSC Trust</li> <li>– South Eastern HSC Trust</li> <li>– NI Ambulance Service Trust</li> </ul> </li> <li>• NI Blood Transfusion Service</li> <li>• NI Fire and Rescue Service</li> <li>• NI Guardian Ad Litem Agency</li> <li>• NI Medical and Dental Training Agency</li> <li>• NI Practice and Education Council for Nursing and Midwifery</li> <li>• NI Social Care Council</li> <li>• Patient and Client Council</li> <li>• Public Health Agency</li> <li>• Regulation and Quality Improvement Authority</li> <li>• Safeguarding Board for NI</li> </ul>	<ul style="list-style-type: none"> <li>• Pharmaceutical Society</li> </ul>
<b>Department of Justice (DOJ)</b>	
REGULATED	UNREGULATED
<ul style="list-style-type: none"> <li>• Criminal Justice Inspection NI</li> <li>• NI Policing Board</li> <li>• NI Police Fund</li> <li>• Office of the Police Ombudsman</li> </ul>	<ul style="list-style-type: none"> <li>• Independent Monitoring Boards</li> <li>• Planning and Water Appeals Commissions</li> <li>• Police Rehabilitation and</li> </ul>



<p>for NI</p> <ul style="list-style-type: none"> <li>• Probation Board NI</li> <li>• Royal Ulster Constabulary George Cross Foundation</li> <li>• NI Law Commission</li> <li>• Advisory Committee on Justices of the Peace</li> <li>• Independent Assessor of Police Service of Northern Ireland Recruitment Vetting</li> </ul>	<p>Retraining Trust</p> <ul style="list-style-type: none"> <li>• Prisoner Ombudsman for NI</li> </ul>
<b>The Executive Office</b>	
<b>REGULATED</b>	<b>UNREGULATED</b>
<ul style="list-style-type: none"> <li>• Commissioner for Children and Young People</li> <li>• Commissioner for Older People</li> <li>• Commission for Victims and Survivors for NI</li> <li>• Ilex Urban Regeneration Company Ltd</li> <li>• Maze/Long Kesh Development Corporation</li> <li>• NI Judicial Appointments Commission</li> <li>• Office of the Police Ombudsman for NI</li> <li>• Strategic Investment Board Limited</li> </ul>	<ul style="list-style-type: none"> <li>• Attorney General for NI</li> <li>• Commissioner for Public Appointments</li> <li>• Inquiry into Historical Institutional Abuse</li> <li>• NI Community Relations Council</li> <li>• Victims and Survivors Service</li> </ul>

## ANNEXE II

CPA NI Operating Plan 1<sup>st</sup> April 2016 to 31<sup>st</sup> March 2017

KEY TARGET	MEASURES	ACTIONS
<p><b>CPA Code of Practice</b> To prescribe and publish, and update as necessary, a Code of Practice on the interpretation and application by Departments of the principle of selection on merit for public appointments.</p>	<p>The effective maintenance, development and promotion of the Code of Practice and associated guidance.</p>	<p>Monitor the implementation of the Code in recruitment processes.</p> <p>Liaise closely with Department Public Appointment Units and recruitment practitioners including Independent Assessors.</p> <p>Amend Code and produce guidance as necessary.</p>
<p><b>Audit and Compliance Monitoring</b> To conduct audits to review the policies, practices and actions of Departments in making public appointments.</p> <p>To conduct regular compliance checks on documentation and processes used and issued by Departments, including Advertisements and Press Releases.</p>	<p>A CPA NI programme of audit, and a compliance monitoring regime, designed to ensure that appointment processes are carried out effectively, fairly, openly, efficiently and proportionately and in line with the Commissioner's Code.</p>	<p>Develop a risk based audit selection process with an emphasis on diversity risk.</p> <p>Carry out an audit programme based on the diversity risk analysis.</p> <p>Report on findings, produce recommendations and publish.</p> <p>Carry out diversity spot checks on competitions that are considered high risk.</p>

KEY TARGET	MEASURES	ACTIONS
		Monitor Advertisements, Press Releases and other documents as necessary.
<p><b>Complaints</b></p> <p>To conduct effective inquires into Department policies, practices and actions on any public appointment process.</p>	<p>The establishment, maintenance, publication and implementation of an effective and objective complaints system.</p>	<p>Investigate and report on complaints presented to CPA NI.</p> <p>Follow up necessary action with Departments.</p>
<p><b>Annual Report</b></p> <p>To publish an annual report.</p>	<p>The provision of a comprehensive annual report which serves the requirements of the internal and external stakeholders of CPA NI, including the political and administrative systems of Government and the general public.</p>	<p>Collate relevant information for the year and publish annual report.</p> <p>Provide FM/dFM with an advance copy of report.</p> <p>Present report to NI Assembly.</p>
<p><b>Advice and Guidance</b></p> <p>To provide advice and guidance in the conduct of effective and fair public appointment procedures that are compliant with the Code.</p>	<p>The provision of prompt and high quality responses to queries on the Code and its application, from panel chairs, Independent Assessors and other relevant parties.</p>	<p>Provide regular updates, advice, guidance and training to Independent Assessors, Departmental representatives and other relevant parties.</p> <p>Provide advice to Departments and others on the pursuit of diversity within public appointments.</p> <p>Provide an “open door” for queries from all sources.</p> <p>Maintain a system for</p>

KEY TARGET	MEASURES	ACTIONS
		handling, managing and recording all queries.
<p><b>Independent Assessors</b></p> <p>To manage, train, allocate, and monitor a pool of suitably trained individuals that Departments use to meet the policy requirement of independent assessment in the public appointment process.</p> <p>These Assessors are independent of Government and the Commissioner.</p>	<p>The effective management of a trained, competent and experienced team of Independent Assessors who provide an effective and efficient service in all public appointment recruitment processes.</p>	<p>Manage, train, allocate and monitor a team of Independent Assessors.</p> <p>Provide training and advice to enable Independent Assessors to play a role as diversity champions within the appointments process.</p> <p>Provide all necessary forms of support and guidance to Independent Assessors.</p> <p>Implement effective administrative procedures and records with regard to the management of the Assessors.</p>
<p><b>Budget</b></p> <p>In co-operation with OFMDFM NSMC Joint Secretariat, to establish, implement and monitor the CPA NI budgetary process and financial regime.</p>	<p>Adherence to all financial and budget guidance issued by OFMDFM, and successful management of the budgetary and financial processes set out in the Financial Memorandum and other relevant documents.</p>	<p>Implement effective, efficient and accurate processes of budgetary and financial management.</p> <p>Process payments, in a timely and accountable manner, using Account NI.</p> <p>Ensure that all procurement is compliant with the regulations stipulated by OFMDFM sponsor branch.</p>

KEY TARGET	MEASURES	ACTIONS
		Ensure that the necessary resources are secured to meet the full requirements of CPA NI and its customers, allowing for levels of complaints, issues arising from audit and compliance work, ad hoc legal advice and research requirements.
<p><b>Liaison with stakeholders</b></p> <p>To raise the profile of CPA NI and its functions, within and without the political and administrative systems of Government, in order to:</p> <ul style="list-style-type: none"> <li>– promote public appointment opportunities to a wide field of potential candidates;</li> <li>– promote diversity in public appointments in particular to promote the Executive targets for gender equality at Board member and Board chair levels.</li> <li>– increase public confidence in the fairness and openness of the public appointments system;</li> <li>– ensure that the public is aware of the independent functions</li> </ul>	<p>An increased awareness, by all internal and external stakeholders, of public appointment opportunities and of a fair and open merit-based recruitment process.</p> <p>Promotion of the NI Executive gender targets for appointment of members and Chairs of public boards.</p>	<p>Maintain strong working links with Ministers, SPAds and MLAs.</p> <p>Maintain strong working links with senior Civil Service and Department contacts, and other bodies eg NI public sector Chairs Forum, Institute of Directors, Women’s groups, Professional and Business networks.</p> <p>Continue to work in partnership with Departments on the promotion and development of public appointments.</p> <p>Continue proactive outreach programme that includes the provision of workshops to help candidates understand and prepare for the application process, that informs and includes such</p>

KEY TARGET	MEASURES	ACTIONS
<p>provided by CPA NI and of the right to avail of the CPA NI complaints procedure.</p>		<p>groups as women, young people, people with a disability, ethnic minorities and people from a wider business, industry and third sector background; by this means help to tackle the problems of under-representation faced by Departments in achieving greater strength through diversity on boards, problems illustrated by the diversity figures in the 'OFMDFM Public Bodies &amp; Public Appointments Annual Report'.</p> <p>Monitor the progress made on recommendations from the Commissioner's January 2014 Diversity Report; monitor the progress against the Executive gender equality targets.</p> <p>Continue a training programme with input from Departments on the Public Appointments application process for external stakeholders.</p> <p>Develop a strategy for promoting the NI Executive gender equality targets.</p>

KEY TARGET	MEASURES	ACTIONS
<p><b>Administrative Support</b> To plan and co-ordinate the work of the Commissioner's office to meet the Business Plan targets in the most effective, efficient and value-for-money manner.</p>	<p>The provision of an efficient and effective service to the Commissioner and all stakeholders.</p>	<p>Regularly monitor progress in line with each business plan key target, measure and action.</p> <p>Fulfil the requirements of the sponsor branch as set out in the Memorandum of Understanding and other relevant documents.</p> <p>Manage the Commissioner's diary.</p> <p>Ensure that all Personal Performance Agreements are up to date and in line with current procedures.</p> <p>Ensure that all staff are provided with appropriate training opportunities to help them fulfil their respective roles and meet their business objectives.</p> <p>Address the ongoing absence of administrative support staff and resultant work pressures.</p>
<p><b>Northern Ireland Executive Asset Management Strategy</b> To provide a commitment to the objectives of the Northern Ireland</p>	<p>A commitment to the objectives of the Northern Ireland Executive Asset</p>	<p>This is to be reviewed annually to determine any action needed.</p>

KEY TARGET	MEASURES	ACTIONS
Executive Asset Management Strategy.	Management Strategy.	
<p><b>Information Management</b></p> <p>To ensure all information managed and stored by CPA NI is in line with all relevant policy.</p>	<p>Manage information in accordance with all relevant legislation requirements and Departmental policies.</p>	<p>Monitor information assurance procedures.</p> <p>Continue to implement data sharing arrangements with all Departments.</p>




## ANNEXE III

### STATEMENT OF EXPENDITURE

Whilst being independent of the Government and the Civil Service in the exercise of its statutory functions, CPA NI is part of the OFMDFM financial and resource management arrangements. The Commissioner, as a statutory post holder described as 'Senior Accountable Officer', has a duty to ensure that all resources are used economically, efficiently and effectively. All expenditure and procurement by CPA NI is routinely monitored and is in line with OFMDFM guidance and requirements.

#### CPA NI Costs 2015/2016

Rent	£12,090.00
Maintenance	£5,791.41
Maintenance administration fees	£1,052.15
Cleaning	£2,005.20
Energy Costs	£4,454.57
Hospitality	£76.91
Other Premises Costs	£181.51
Public Awareness / Engagement	£497.60
Computers/IT/Phones	£620.88
Contingencies	£1,169.07
Independent Assessors	£3,322.69
Annual Report	£256.05
Travel and Subsistence	£931.75
Subscriptions	£335.00
<b>TOTAL</b>	<b>£32,784.79</b>



The Statement of Expenditure above does not include remuneration which is as follows:

The Commissioner is contracted to commit 75 days per year to her post and receives remuneration of £23,877. The seconded officers who make up the Commissioner's staff are remunerated at their respective Civil Service rates.