


CPANI

The Commissioner
for Public Appointments
Northern Ireland

“Guardian of the Public Appointment Process”

ANNUAL REPORT 2016/17

www.publicappointmentsni.org



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1. Commissioner's Introduction


This report covers my first full year as Commissioner for Public Appointments. It has been a year of both progress and setback for the development of our public bodies.



Our public boards are the governing bodies for the organisations that deliver the bulk of our public services in Northern Ireland. The Northern Ireland Executive has adopted a policy on diversity which requires that the individuals appointed to sit

as non-executive directors and Chairs on these Boards are to be drawn from the full range of talent available in our society; in particular targets have been set to achieve equal representation of women on our public Boards. This approach ensures a good skills mix on our public boards. It also promotes a public perception that there is wide citizen representation in the decision making processes around how our public services are delivered. Improving diversity means attracting people with a greater range of experience and background, more women, younger people, people with disabilities and people from the LGBT communities. It is also important that our public boards are fairly representative of the different community backgrounds in Northern Ireland.

Having worked closely with the then Office of the First Minister and deputy First Minister (now The Executive Office, TEO) in promoting the need for greater diversity on public boards, I was delighted when in March 2016 the First and deputy First Ministers announced the Northern Ireland Executive targets for equal representation of women on public boards by 2020/2021. This policy was a formal recognition of the strength of the moral, business, economic and good governance arguments in favour of greater diversity at Board level and of equal representation of women in decision making roles. There was also a ground breaking aspect to these gender targets in that they were set separately for membership and Chairs of the boards. Gender equality targets specifically for




Chairs of public Boards are not established elsewhere in the UK or Ireland and the NI Executive was to be commended for this forward thinking approach.

The latest gender breakdown of the membership of public boards in Northern Ireland is 41% female; at Chair level the figure falls to 23% female representation. The NI Executive targets of equality of female/male representation by 2020/2021 were going to be challenging to meet but with the expected level of vacancies occurring between 2016 and 2021 they were achievable certainly for membership. Equality at Chair level would have been more difficult to obtain within the timeframe envisaged but with commitment certainly could have been reached relatively soon after.

The reporting year began, therefore, on an optimistic note. This optimism has faltered with the fall of the Northern Ireland Executive on 16 January 2017 followed by the fall of the Northern Ireland Assembly on 26 January 2017. Without Ministers to make new public appointments Government Departments may have to extend the tenures of current Board members and Chairs in order to allow public boards to continue to function. This situation will make it very difficult to achieve the equality targets within the set timeframe.

The public appointments reform agenda recognises that persistent failure to achieve a well-balanced and diverse Board undermines the functioning of the public body. Unfortunately, as a result of the political uncertainty it looks likely that the public appointments reform agenda may in part be stalled. I have no doubt that Government Departments and the Chairs and members of our public boards will continue to strive to develop high standards of corporate governance. It seems they may have to do so in difficult and disappointing political circumstances and without the full impetus of the public appointments reform agenda.

The work of my office has continued despite these political uncertainties. Since Autumn 2016 CPANI and TEO have been working collaboratively to build the measures necessary to realise the diversity targets. In the course of the reporting year CPANI has also continued to run its free and publicly available workshops. The aim of these is to help participants who may wish to apply better understand the public appointments process. The total attendance this year numbered 90 and the participants have come from a range of private, public and




community sector backgrounds. (The purpose and content of the workshops and access to them is described in more detail in section 8.2 of this report). This encouraging attendance indicates a healthy level of interest in participation on our public boards from people from diverse backgrounds. CPANI has also worked this year with the Queens University of Belfast to set up a mentoring scheme for post graduate students. Under this scheme seventeen post graduate students are paired with a mentor from a public board and in addition to having discussions with their mentor will also attend a number of board meetings. This initiative in particular will help encourage a younger group of people to consider board level participation.

The audits that I have carried out this year show that there is room for improvement in some Departmental appointment processes. The reports identified breaches of the Code of Practice for Ministerial Public Appointments by the Department of Health (DoH) and TEO, for which I have made recommendations. It is imperative that DoH, TEO and indeed all Government Departments implement these recommendations as a matter of course.


Alongside my statutory duty to undertake audit investigations, I am keen that my office works collaboratively with Departments in order to ensure that all public appointment processes are conducted to the highest standards and that the drive for greater diversity is effectively carried through. For example, the Department of Agriculture, Environment and Rural Affairs (DAERA) has worked closely with my team, and I have seen evidence of good work by the Department to widen the range of applicants coming forward. There has been an increase in the number of female applicants and consequently more women appointed to DAERA bodies which were previously perceived as traditionally male areas. This is a positive development not least because women are so heavily involved in the agricultural industries.

The planning for Board vacancies, the length of time taken to run a competition and the level and tone of communication with candidates are also important. There is evidence of inadequate planning in certain Departments and some competitions seem to take an inordinate period of time to complete. Such delays can create a poor image for the public sector. I intend for my office to undertake a piece of work to examine competitions over a number of years to establish the



average length of time taken to fill public appointment vacancies and to explore the scope for improvement in this area. Similarly we intend to work with Departments to encourage a more open, informative and friendly approach to communication with candidates.

In my previous Annual Report I set out the promotion of good governance in our public bodies as a main priority for my term of office. I share the vision of Northern Ireland as a place with an international reputation for being well administered with high standards of corporate governance with all the economic, inward investment and social benefits that entails. I suggested that in its practice and understanding of the importance of good governance the public sector should make itself a shining example for the private and other sectors to follow. It is somewhat difficult to maintain this advocacy in the present disappointing political environment of Northern Ireland. Nevertheless, it is at this time that such advocacy is most needed in order to maintain the confidence of citizens in our public administration and to provide a much needed degree of social stability.



Judena Leslie
Commissioner

2. Executive Summary

Section 1 - Commissioner's Introduction

- Improving the diversity of public boards.
- Ground breaking targets for equal representation of women on public boards.
- The public appointments reform agenda.
- Public appointment workshops and mentoring scheme.
- Findings of audit investigations.
- Evidence of good work by the Department of Agriculture, Environment and Rural Affairs.
- Succession planning for public boards.
- Requirement for good governance at board level.

Sections 3 and 4 - Vision, Values and Role of CPANI

These are set out for readers.

Section 5 – The Code of Practice

- Paragraph 3.6 now requires that the appointment plan must include details of the gender breakdown of the current membership of the board to which appointments are being made.
- Paragraph 3.44 of the updated Code requires Departments to provide the Minister, at the same time as the applicant summary, with a gender breakdown of the current membership of the board to which appointments are being made. The Department must also ensure that the Minister is aware of the agreed Executive targets for diversity in public appointments.
- Paragraph 3.45 of the Code now requires the Minister to record reasons for a decision not to appoint any of the appointable candidates. This requirement also applies to a decision relating to candidates on a reserve list.

Section 6 – Independent Assessors

- CPANI allocated Independent Assessors to 41 public appointment competitions.

- Role of Independent Assessors included acting as diversity champion.
- Increased focus on diversity throughout Independent Assessor training sessions.

Section 7 – Public Appointment Activity 2016/17

- 56 public appointment positions were advertised by Departments.
- There were 35 reappointments.
- 66 terms of appointment were extended in 2016/17.
- The Commissioner granted five exceptions to the Code, to three Departments.
- Two exceptions to the Code were not approved by the Commissioner.

Section 8 – CPANI Activity 2016/17

- Strong outreach programme continued by Commissioner.
- Commissioner spoke at many events.
- Successful delivery of CPANI workshop on public appointments.
- CPANI published two audit reports in 2016/17.
- Commissioner investigated one confidential complaint.
- Commissioner carried out a review of aspects of governance relating to the Northern Ireland General Teaching Council.

Annexes

The Report ends with four annexes

- i. List, from each Government Department, of Bodies to which regulated and unregulated appointments are made
- ii. CPANI Operating Plan 1st April 2017 to 31st March 2018
- iii. Statement of Expenditure
- iv. List of events attended by the Commissioner



3. Vision and Values of CPANI

3.1. Vision

The CPANI 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 CPANI 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 CPANI

4.1. Legislation

The post of Commissioner was established in 1995 by the 'Commissioner for Public Appointments (Northern Ireland) Order' (the Public Appointments 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. CPANI 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.
- To ensure that applicants are treated, throughout the public appointment process, in a manner that is fair, considerate, consistent, open and transparent, with the goal of selecting the best candidates, on merit, for board service.
- To promote good governance including diversity in our public boards.


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 CPANI 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

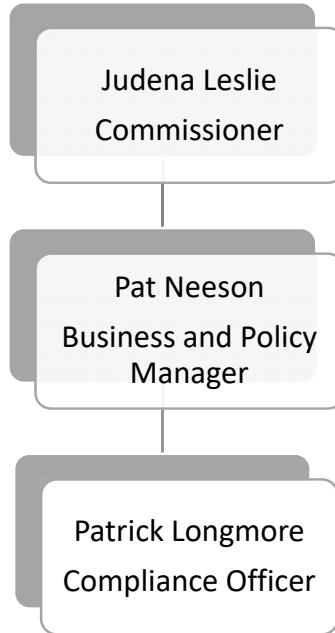


maintaining the principle of selection on merit in relation to public appointments.

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. CPANI Organisation Structure

The Commissioner operates with a team of two officers. In addition a team of around 30 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 Public Appointments 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’. CPANI 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 CPANI website (www.publicappointmentsni.org).

During the year to March 2017 three amendments to the Code have been made. These amendments will ensure that an appointing Minister is better informed on the gender breakdown of the membership of the Board to which they are appointing; and will clarify a Minister’s record keeping obligations should they choose to not to appoint to a Board.

- Paragraph 3.6 now requires that the appointment plan must include details of the gender breakdown of the current membership of the board to which appointments are being made.
- Paragraph 3.44 of the updated Code requires Departments to provide the Minister, at the same time as the applicant summary, with a gender breakdown of the current membership of the board to which appointments are being made. The Department must also ensure that the Minister is aware of the agreed Executive targets for diversity in public appointments.
- Paragraph 3.45 of the Code now requires the Minister to record reasons for a decision not to appoint any of the appointable candidates. This requirement also applies to a decision relating to candidates on a reserve list.



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'.

Annexe I gives the latest list of public bodies, supplied by the Departments, showing which are regulated and which are unregulated. In October 2016 The Executive Office wrote to the Commissioner to seek her views on a draft Prerogative Order proposing a number of changes to the Public Appointments Order. The changes included bringing a number of new bodies within the remit of CPANI. The Prerogative Order has not yet been made.

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

CPA NI allocated Independent Assessors to 41 public appointment competitions in 2016/17

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.


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 CPANI.

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

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 CPANI, with the Independent Assessor and/or included in subsequent training sessions. Also, the Commissioner regularly meets 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.

CPANI 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 relating to public appointment competitions.

6.4. Recruitment of Independent Assessors

Many of the current pool of Independent Assessors are due to finish their first term in 2017. The Commissioner is considering carrying out a recruitment competition to refresh the Independent Assessor pool.

7. Public Appointment Activity 2016/17

7.1. Appointments and reappointments

As the figures in the boxes show, 91 public appointment positions were available for appointment or reappointment during the year.

**56 public appointment positions
advertised in 2016/2017**

**Department Press Releases
showed 35 reappointments in
2016/2017**

7.2. Extensions

Over the year there were a total of sixty-six 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.

The Commissioner expressed concern in the previous Annual Report that some Departments were routinely extending the terms of public appointees. She took the view that this practice could undermine the objective of achieving greater diversity, and in particular greater representation of women on our public bodies. Unfortunately as a result of the fall of the NI Executive at the beginning of 2017 the practice of extending Board tenure is quickly become the norm with the Departments having no alternative in the absence of Ministers. Any continuation of this approach will have negative consequences for the achievement of the NI Executive equality targets. Going forward the Commissioner intends to monitor the making of extensions and will report in next year's Annual Report.

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.

Five exceptions were granted by the Commissioner, in three Departments, in the 2016/2017 year. These are set out in the following table.

| Department | Public Body | Nature of exception |
|-------------------|---|--|
| DAERA | Agri-Food and Biosciences Institute | Extension of time limit for reserve list. |
| DFC | Ministerial Advisory Group (MAG) for Architecture and the Built Environment | Appointment of interim Chair from within current membership. |
| DFC | NI Housing Executive | Appointment of an interim Chair. |
| DFC | NI Housing Executive | Appointment of an interim vice-Chair. |
| DFI | Warrenpoint Harbour Authority | Extension of time limit for reserve list. |

In addition two exceptions to the Code were not approved by the Commissioner.

| Department | Public Body | Nature of exception |
|-------------------|--------------------------------------|--|
| DFC | Sport NI | The then Minister appointed an interim Chair and vice Chair informing the Commissioner following the decision. Given the particular circumstances the Commissioner accepted the rationale for this approach. |
| DOH | Western Health and Social Care Trust | Appointment of an Interim Chair without the approval of the Commissioner. The Commissioner was not notified of the appointment nor was it publicised in line with the Code of Practice. |

8. CPANI Activity 2016/17

8.1. Introduction

The continuing 'open-door' approach of CPANI 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. CPANI will continue to offer this service to all who require it.

Commissioner's outreach included speaking at:

- **Young People on Boards Graduation event**
- **A visit by a delegation from the Armenian National Assembly**
- **Meeting of NI Assembly Women's Caucus**
- **Law Society Seminar**
- **Northern Ireland Rural Women's Network**



Pictured left: The Commissioner met with a delegation from the Armenian National Assembly.

The Commissioner has continued the CPANI outreach programme engaging with a wide range of organisations and individuals interested in public appointments. This outreach is intended to target currently under-represented groups, as well as 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.

Pictured right: The Commissioner attended the Young People on Board graduation event.



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:

- **Civil Service Commissioners**
- **QUB Graduate School**
- **Department for Communities Committee**

8.2. Public appointments workshops

As a means of encouraging a wider range of people to apply for a public appointment the Commissioner has set up a series of free, half day workshops that explain:

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

In this reporting year CPANI has delivered seven workshops with 90 participants. Feedback from participants has helped CPANI improve the format of the

workshop and we are considering further changes such as including mock interviews in order to make the events as useful and relevant as possible. The impact of these workshops in encouraging a wider range of people to apply for public appointments will be measured when new competitions get underway.

Information on the workshops can be accessed on the CPANI website - www.publicappointmentsni.org.

8.3. Business Planning

CPANI creates an Operating Plan each year, in which objectives are identified and for which resources are sought. The CPANI team conducts regular reviews of its performance against the plan and takes corrective action. The operating plan can be found at Annexe II of this report.


8.4. Audit and Compliance programme 2016/17

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

All audits can be viewed in full in the 'Investigations and Compliance' page of the website. Audit reports published in 2016/2017 are set out in the table below.

| Department | Public Body | Competition | Audit Report Date |
|-------------------|--|------------------------------|--------------------------|
| TEO | Strategic Investment Board (SIB) | Appointment of two members | June 2016 |
| DoH | South Eastern Health and Social Care Trust | Appointment of three members | January 2017 |

The audit of the SIB competition showed that despite considerable efforts by the Department at the outset of the appointment process only 34.5% of applicants were female. This points up to the need for the Department and the Board to carry out outreach work to explain and promote the work of SIB to a much wider audience in particular targeting women's networks. This work should commence now to prepare the way for any future vacancies. There are a number of public bodies in similar circumstances and I fully expect to see both



Departments and the public bodies who need to do so undertaking this outreach work. It is my intention to keep outreach by public bodies under review.

The audit of the South Eastern Health and Social Care Trust showed up disappointing standards in the administration of this public appointments process. In addition the balance of female representation on the board remained poor after the new appointments were made. DOH is sponsor to the largest number of public bodies and runs the largest number of public appointment competitions. DoH must improve the demonstrated standard of its administration of its public appointments processes. Failure to do so will have adverse consequences right across the health sector.

These audits show that there is scope for real improvements in both the outreach work necessary for public bodies and the administration of the public appointments process.

8.5. 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 2016/17 show that no complaints were received, and three Departments handled a total of seven challenges.

In the 2016/17 year, one confidential complaint was submitted to the Commissioner for which the Commissioner undertook a detailed investigation.

8.6. Review of governance arrangements

The Commissioner carried out a review of the governance arrangements of a public body sponsored by the Department of Education.



8.7. The CPANI Website

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

ANNEXE I – List of Public Bodies

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

Department of Agriculture, Environment & Rural Affairs (DAERA)

| DAERA Regulated | DAERA Unregulated |
|---|--|
| <ul style="list-style-type: none">• Agricultural Wages Board for NI• Agri-Food and Biosciences Institute• Council for Nature Conservation and the Countryside• Fishery Harbour Authority (NI)• Livestock and Meat Commission for NI | <ul style="list-style-type: none">• Agri-Food Strategy Board (sponsored jointly with DfE)• CAFRE College Advisory Group• TB Strategy Partnership Group |

Department for Communities (DfC)

| DfC Regulated | DfC Unregulated |
|--|--|
| <ul style="list-style-type: none"> • Architecture & Built Environment Ministerial Advisory Group for NI • Armagh Observatory & Planetarium Board of Governors • Armagh Observatory & Planetarium Management Committee • Arts Council of NI • Charities Advisory Committee • Charity Commission for NI • Historic Buildings Council • Historic Monuments Council • Libraries NI • Local Government Staff Commission • National Museums NI • NI Local Government Officers' Superannuation Committee • NI Museums Council • NI Housing Executive Board • Sport NI • Ulster Supported Employment Ltd | <ul style="list-style-type: none"> • Vaughan's Charity Trustees • W5 Ltd |

Department of Education (DE)

| DE Regulated | DE Unregulated |
|---|---|
| <ul style="list-style-type: none">• Comhairle Na Gaelscolaiochta• Council for Catholic Maintained Schools• Diocesan Education Committees of the Council for Catholic Maintained Schools• Education Authority• General Teaching Council for NI• NI Council for Integrated Education• NI Council for the Curriculum, Examinations and Assessment• Youth Council for NI | <ul style="list-style-type: none">• Exceptional Circumstances Body• Middletown Centre for Autism Ltd |

Department for the Economy (DfE)

| DfE Regulated | DfE Unregulated |
|--|--|
| <ul style="list-style-type: none"> • Certification Officer for NI • CITB – Construction Skills NI • Consumer Council • Governing Bodies of Further Education Colleges <ul style="list-style-type: none"> – Belfast Metropolitan College – Northern Regional College – North West Regional College – South Eastern Regional College – Southern Regional College – South West College • Health & Safety Executive • Invest NI • Labour Relations Agency • NI Screen • St Mary's University College • Stranmillis University College • Tourism NI | <ul style="list-style-type: none"> • Agri-Food Strategy Board (jointly sponsored with DAERA) • Catalyst NI • Fair Employment Tribunal • Industrial Tribunals • Industrial Court • NI Co-operation Overseas • Reinstatement Committee for Reserve Forces in Civil Employment |

Department of Finance (DoF)

| DoF Regulated | DoF Unregulated |
|---|--|
| <ul style="list-style-type: none"> • NI Authority for Utility Regulation • NI Building Regulations Advisory Committee • Legal Services Oversight Commissioner • NI Statistics Advisory Committee • Lay Observer for NI | <ul style="list-style-type: none"> • NI Civil Service Pension Board |



Department for Infrastructure (Dfi)

| Dfi Regulated | Dfi Unregulated |
|--|-----------------|
| <ul style="list-style-type: none">• Belfast Harbour Commissioners• Drainage Council for Northern Ireland• Londonderry Port and Harbour Commissioners• NI Transport Holding Company• NI Water• Warrenpoint Harbour Authority | |

Department of Health (DoH)

| DoH Regulated | DoH Unregulated |
|---|---|
| <ul style="list-style-type: none">• Business Services Organisation• Health and Social Care Board• Health and Social Care Trusts<ul style="list-style-type: none">– Belfast HSC Trust– Western HSC Trust– Southern HSC Trust– Northern HSC Trust– South Eastern HSC Trust– NI Ambulance Service Trust• NI Blood Transfusion Service• NI Fire and Rescue Service• NI Guardian Ad Litem Agency• NI Medical and Dental Training Agency• NI Practice and Education Council for Nursing and Midwifery• NI Social Care Council• Patient and Client Council• Public Health Agency• Regulation and Quality Improvement Authority• Safeguarding Board for NI | <ul style="list-style-type: none">• Health and Social Care Pension Board• Pharmaceutical Society |

Department of Justice (DoJ)

| DoJ Regulated | DoJ Unregulated |
|--|--|
| <ul style="list-style-type: none">• Criminal Justice Inspection NI• NI Policing Board• NI Police Fund• Office of the Police Ombudsman for NI• Probation Board NI• Royal Ulster Constabulary George Cross Foundation• Police Rehabilitation and Retraining Trust• NI Law Commission• Advisory Committee on Justices of the Peace• Independent Assessor of Police Service of Northern Ireland Recruitment Vetting | <ul style="list-style-type: none">• Independent Monitoring Boards• Parole Commissioners• Prisoner Ombudsman for NI |

The Executive Office (TEO)

| TEO Regulated | TEO Unregulated |
|--|---|
| <ul style="list-style-type: none">• Commissioner for Children and Young People• Commissioner for Older People• Commission for Victims and Survivors for NI• Ilex Urban Regeneration Company Ltd• Maze/Long Kesh Development Corporation• NI Judicial Appointments Commission• Office of the Police Ombudsman for NI• Strategic Investment Board Limited | <ul style="list-style-type: none">• Attorney General for NI• Commissioner for Public Appointments• Inquiry into Historical Institutional Abuse• NI Community Relations Council• Victims and Survivors Service |

ANNEXE II – Operating plan


CPANI Operating Plan 1st April 2017 to 31st March 2018

| Key targets | Measure | Actions |
|--|--|--|
| <p>1. CPA Code of Practice</p> <p>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> | <ul style="list-style-type: none"> • Monitor the implementation of the Code in recruitment processes. • Liaise closely with Department Public Appointment Units and recruitment practitioners including Independent Assessors. • Amend Code and produce guidance as necessary. |
| <p>2. Audit and Compliance Monitoring</p> <p>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> | <ul style="list-style-type: none"> • Develop a risk based audit selection process with an emphasis on diversity risk. • Carry out an audit programme based on the diversity risk analysis. • Report on findings, produce recommendations and publish. • Carry out diversity spot checks on competitions that are considered high risk. • Monitor Advertisements, Press Releases and other documents as necessary. |

| Key targets | Measure | Actions |
|--|---|--|
| <p>3. Complaints</p> <p>To conduct effective inquiries 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> | <ul style="list-style-type: none"> • Investigate and report on complaints presented to CPA NI. • Follow up necessary action with Departments. |
| <p>4. Annual Report</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> | <ul style="list-style-type: none"> • Collate relevant information for the year and publish annual report. • Provide FM/dFM with an advance copy of report. • Present report to NI Assembly. |
| <p>5. Advice and Guidance</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> | <ul style="list-style-type: none"> • Provide regular updates, advice, guidance and training to Independent Assessors, Departmental representatives and other relevant parties. • Provide advice to Departments and others on the pursuit of diversity within public appointments. • Provide an “open door” for queries from all sources. • Maintain a system for handling, managing and recording all queries. |

| Key targets | Measure | Actions |
|---|--|--|
| <p>6. Independent Assessors</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> | <ul style="list-style-type: none"> • Manage, train, allocate and monitor a team of Independent Assessors. • Provide training and advice to enable Independent Assessors to play a role as diversity champions within the appointments process. • Provide all necessary forms of support and guidance to Independent Assessors. • Implement effective administrative procedures and records with regard to the management of the Assessors. |
| <p>7. Budget</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> | <ul style="list-style-type: none"> • Implement effective, efficient and accurate processes of budgetary and financial management. • Process payments, in a timely and accountable manner, using Account NI. • Ensure that all procurement is compliant with the regulations stipulated by OFMDFM sponsor branch. • 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. |

| Key targets | Measure | Actions |
|--|---|---|
| <p>8. Liaison with stakeholders</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"> – promote public appointment opportunities to a wide field of potential candidates; – promote diversity in public appointments in particular to promote the Executive targets for gender equality at Board member and Board chair levels. – increase public confidence in the fairness and openness of the public appointments system; – ensure that the public is aware of the independent functions provided by CPA NI and of the right to avail of the CPA NI complaints procedure. | <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> | <ul style="list-style-type: none"> • Maintain strong working links with Ministers, SPAds and MLAs. • 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. • Continue to work in partnership with Departments on the promotion and development of public appointments. • 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 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 & Public Appointments Annual Report’. |



| | | |
|--|--|--|
| | | <ul style="list-style-type: none">• Monitor the progress made on recommendations from the Commissioner’s January 2014 Diversity Report; monitor the progress against the Executive gender equality targets.• Continue a training programme with input from Departments on the Public Appointments application process for external stakeholders.• Develop a strategy for promoting the NI Executive gender equality targets. |
|--|--|--|

| Key targets | Measure | Actions |
|--|--|--|
| <p>9. Administrative Support</p> <p>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> | <ul style="list-style-type: none"> • Regularly monitor progress in line with each business plan key target, measure and action. • Fulfil the requirements of the sponsor branch as set out in the Memorandum of Understanding and other relevant documents. • Manage the Commissioner's diary. • Ensure that all Personal Performance Agreements are up to date and in line with current procedures. • Ensure that all staff are provided with appropriate training opportunities to help them fulfil their respective roles and meet their business objectives. • Address the ongoing absence of administrative support staff and resultant work pressures. |
| <p>10. Northern Ireland Executive Asset Management Strategy</p> <p>To provide a commitment to the objectives of the Northern Ireland Executive Asset Management Strategy.</p> | <p>A commitment to the objectives of the Northern Ireland Executive Asset Management Strategy.</p> | <p>This is to be reviewed annually to determine any action needed.</p> |

| Key targets | Measure | Actions |
|--|---|--|
| <p>11. Information Management</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> | <ul style="list-style-type: none"> • Monitor information assurance procedures. • Continue to implement data sharing arrangements with all Departments. |

ANNEXE III – Statement of expenditure

Whilst being independent of the Government and the Civil Service in the exercise of its statutory functions, CPANI is part of the TEO 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 CPANI is routinely monitored and is in line with TEO guidance and requirements.

CPANI Costs 2016/2017

| | |
|------------------------|----------------|
| Rent | £12,090 |
| Maintenance | £7,773 |
| Assessor Training | £5,033 |
| Assessor Recruitment | £4,443 |
| Cleaning | £4,066 |
| Energy Costs | £3,538 |
| Contingencies | £1,982 |
| Computers/IT/Phones | £895 |
| Travel and Subsistence | £640 |
| Other Premises Costs | £541 |
| Third Party Research | £450 |
| Subscriptions | £335 |
| Annual Report | £220 |
| Hospitality | £147 |
| TOTAL | £42,153 |

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.



ANNEXE IV – Events attended

List of events attended by the Commissioner and the Business and Policy Manager.

- Ambassadors Forum
- Meeting with a delegation of members of the Armenian National Assembly
- Balmoral Show
- CIPFA Annual Governance and Accountability Conference
- Departmental Contact Seminar
- DfC Committee
- Institute of Directors Annual Dinner
- Institute of Directors Developing Committee
- Law Society Seminar
- Northern Ireland rural Women's Network Event
- Ombudsman Association AGM
- Ombudsman Association Casework Group
- Public Appointments Workshops
- TEO Committee
- Victims and Survivors Service Seminar
- Women's Leadership initiative
- Women's Entrepreneurship Day
- Young People on Boards Graduation event