


CPANI

The Commissioner
for Public Appointments
Northern Ireland

“Guardian of the Public Appointment Process”

Annual Report 2017/18

www.publicappointmentsni.org



Contacting Us

If this document is not in a format that meets your needs please contact the CPANI Office.
This document is also available from the CPANI website (www.publicappointmentsni.org)

You can contact us at the address below or by:

E-mail: info@publicappointmentsni.org

Telephone: 028 9052 4820

Commissioner for Public Appointments for Northern Ireland

Annexe B

Dundonald House

Stormont Estate

Belfast

BT4 3SB



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1. Commissioner's Introduction

This report covers my second year as Commissioner for Public Appointments. It has been a period of great uncertainty in Northern Ireland's public sphere given the lack of a functioning Executive and Assembly.



The impact of the political impasse on our public services has been pervasive including on our public appointments system. The optimism that was created in March 2016 when the Northern Ireland Executive announced a public appointments reform initiative, has not been realised. Despite the efforts of Departments the reforms, which included the creation of targets for equal representation of women on public boards, have not had the momentum they could have had with a fully functioning Administration and with Ministerial commitment. Without Ministers to make new public board appointments, Northern Ireland Departments have had to resort to making an unprecedented number of extensions to the tenure of existing Board members and Chairs. In 2016-2017 there were 66 extensions of tenure and 35 reappointments. The fall of the Executive has meant that in 2017/18 we have been notified of 173 extensions and 23 reappointments. Only 17 public appointment processes got underway between April 2017 and March 2018. This situation makes impossible the achievement of the equality targets within the set timeframe of 2020/2021.

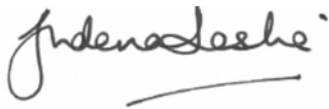
Notwithstanding, Departments and CPANI have continued to promote diversity in the new appointment processes for our public boards. CPANI has continued to deliver public appointment workshops the aim of which is to encourage a wider range of people to apply for a public appointment. This year we ran six half-day workshops with a total of sixty participants. CPANI has also promoted a QUB post graduate mentoring scheme which facilitates post graduate students



to participate in public board life. There is some evidence, looking at the range of experience and skill sets of individuals applying for our public board posts that awareness of public appointments is extending across an increasingly wide spectrum of people.

I will continue to advocate for the diversity and good governance agendas in our public appointments system, working with Departments and others towards the common goal of excellent public services for Northern Ireland.

I will also continue to vigorously pursue the non-partisan scrutiny role of my office to ensure that our public appointments are made in a fair, transparent way based on merit.



Judena Leslie
Commissioner

2. Executive Summary

Section 1 - Commissioner's Introduction

- The impact of the political impasse on the public appointments system and the targets for equal representation of women on public boards.
- The unprecedented number of extensions to the tenure of existing Board members and Chairs.
- Departments continue to promote diversity on public boards.
- Increasing awareness of public appointments across a wide spectrum of people.
- Commissioner's non-partisan scrutiny role.

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

These are set out for readers.

Section 5 – The Code of Practice

Introduction to the Code of Practice.

Section 6 – Independent Assessors

- This section explains the role of the Independent Assessors and how they are managed and trained.
- CPANI allocated Independent Assessors to 27 public appointment processes.
- Overview of the recruitment process to refresh the pool of Independent Assessors.

Section 7 – Public Appointment Activity 2017/18

- 56 public appointment positions were advertised by Departments.
- There were 23 reappointments.
- 173 terms of appointment were extended in 2017/18.
- The Commissioner granted nine exceptions to the Code, to three Departments.
- Two exceptions were not approved by the Commissioner.



Section 8 – CPANI Activity 2017/18

- Strong outreach programme continued by Commissioner.
- The Commissioner spoke at many events.
- Successful ongoing delivery of the CPANI workshop on public appointments.
- CPANI published three audit reports in 2017/18.
- Industrial tribunal case in relation to the claimant’s failure to be appointed to the Warrenpoint Harbour Authority.
- The Commissioner investigated one confidential complaint.
- Pilot graduate mentoring scheme in partnership with the QUB Graduate School.

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 2018 to 31st March 2019
- 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

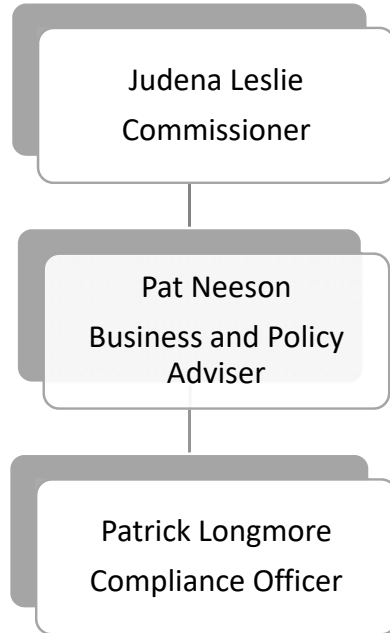


making public appointments, exercise her functions with the object of maintaining the principle of selection on merit in relation to public appointments.

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 32 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. Regulated and Unregulated Bodies

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 expertise, independence and experience in recruitment matters and on the Commissioner's Code. They also serve on the panels of unregulated appointment processes. They serve as full voting members of the panels and are required to be engaged from the planning stages of the appointment process.

CPANI allocated Independent Assessors to 27 public appointment processes in 2017/18

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.

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. Recruitment of Independent Assessors

In May 2017 CPANI launched a recruitment competition to refresh the Independent Assessor pool. Thanks in part to an extensive outreach programme there were 236 applications for the Independent Assessor posts (140 women

applicants / 96 men applicants). The selection panel interviewed 65 applicants over the course of 11 days.

Twenty-five new Independent Assessors were appointed in two tranches, additionally seven existing Independent Assessors were reappointed for a second term having undergone the full selection process. The new team has been trained and is operating well.



Pictured Left: The Commissioner pictured with some of the new pool of Independent Assessors.


It is encouraging to see such a high number of applications for this important role. The varied spread of applicants in terms of gender, age and location highlights the benefits a focused and extensive outreach programme can provide.

In undertaking this competition CPANI strove to achieve the high standards it expects of Departments when undertaking their public appointment processes. CPANI ensured there was regular communication with applicants, a friendly, informative and courteous tone of communication, transparency of the process throughout, and the provision of strong personal feedback to applicants. All of these factors ensured that all applicants were treated with respect throughout regardless of the outcome of their application.

6.3. 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 selection 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. This aspect of the Assessor role is specifically addressed at all training events to ensure all Assessors are adequately prepared for this new role and the Commissioner and team will continue to encourage and assist the Independent Assessors in any way they can.

6.4. Performance of Independent Assessors

After each appointment process, 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 selection panels.

7. Public Appointment Activity 2017/18

7.1. Appointments and Reappointments

As the figures in the boxes show, 79 public appointment positions were available for appointment or reappointment during the year.

**Department Press Releases
showed 23 reappointments in
2017/2018**

**56 public appointment positions
advertised in 2017/2018**

7.2. Extensions

Over the year there were a total of 173 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 fall of the Executive continues to have an adverse effect on public appointments. Since 01 April 2017, 173 terms of appointment have been extended rather than those positions being filled through open competition. In some cases an extension is not appropriate and the post has remained vacant. Wholesale extensions and vacancies in public appointments are a highly undesirable state of affairs. Departments are now being placed in the difficult position of having to either accept this situation or decide to initiate an appointment process in the expectation that there will be Ministerial engagement at some stage. The Commissioner recognises the exceptional circumstances of the current situation.

7.3. Exceptions to the Code

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

Nine exceptions were granted by the Commissioner, in three Departments, in the 2017/2018 year. These are set out in the following table.

| Department | Public Body | Nature of exception |
|------------|---|--|
| DAERA | Agri-Food and Biosciences Institute | Permanent Secretary to make appointments from a merit-ordered reserve list. |
| DFC | <ul style="list-style-type: none"> • Historic Monuments Council • NI Local Government Officers' Superannuation Committee • Charity Commission • Ulster Supported Employment Limited • Libraries NI | Permanent Secretary to initiate process in absence of a Minister. |
| DFE | Northern Regional College | Appointment of a temporary Chair. |
| DFE | Northern Regional College and South West Regional College | Composite appointment process - single selection panel to assess applications for both Boards. |
| DFE | NI Screen | Permanent Secretary to initiate process in absence of a Minister. |

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

| Department | Public Body | Nature of exception |
|------------|--------------------------------------|--|
| DOH | Business Services Organisation | Permanent Secretary made two appointments from a reserve list. |
| DOH | Western Health and Social Care Trust | Chair and three members serving more than ten years in post. |

8. CPANI Activity 2017/18

8.1. Introduction

The continuing 'open-door' approach of CPANI has strengthened existing relationships with Departments and ensures that potential problems with appointment processes 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:

- **CIPFA Chairs' Forum**
- **Downpatrick Soroptomist Society**
- **Health and Social Care non-executive director development day**
- **Women into Leadership conference**
- **Launch of CPANI / QUB Graduate mentoring scheme**

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.

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.

8.2. Public Appointments Workshop

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

- what is a public appointment 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 six workshops with 60 participants; to date over 185 people have attended this workshop. 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 appointment processes 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 2017/18

CPANI completed the following audits of public appointment processes 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.

| Department | Public Body | Competition | Report Date |
|------------|---|----------------------------|--------------|
| DfI | Warrenpoint Harbour Authority | Appointment of two members | June 2017 |
| DfC | Arts Council | Appointment of Chair | August 2018 |
| TEO | Northern Ireland Judicial Appointments Commission | Appointment of two members | January 2018 |


The audit of the Warrenpoint Harbour Authority highlighted a drop in female representation on the Board following the appointments. Despite being aware that the then current Warrenpoint Harbour Authority suffered from a low level of representation of women on its Board, the efforts made to tackle the lack of diversity were insufficient. The Department and Warrenpoint Harbour Authority should take steps to ensure that future public appointments will attract more applicants. This report identified nineteen instances of ‘less than best practice’ throughout the process for which recommendations were made. One applicant for this appointment process made an unsuccessful claim of discrimination against the then DfI minister to an Industrial Tribunal, this is dealt with in more detail at section 8.5 of this report.

The audit of the Arts Council found that the Department for Communities had conducted a well run appointment process with considerable effort in terms of planning and addressing diversity in evidence throughout.

The audit of the Northern Ireland Judicial Appointments Commission found good work by departmental officials and the selection panel, however breaches of the Code and instances of less than best practice were identified. Some of these were sufficiently significant to leave the Department open to challenge.

8.5. Industrial Tribunal

In this Industrial Tribunal case (Case ref 141/17 dated January 2017) the claimant presented a claim to the tribunal that she had been unlawfully discriminated against on grounds of her sex, contrary to the Sex Discrimination (NI) Order 1976 in relation to her failure to be appointed by the respondents to the position of



non-executive Director of Warrenpoint Harbour Authority. The Respondents were the then Minister and the Department for Infrastructure. The tribunal did not uphold the claim. It did, however, express concern about the quality of the appointment process. It stated that it shared concerns identified in the June 2017 CPANI audit report citing nineteen instances of 'less than best practice' relating to this recruitment process.

The tribunal stated that it had no doubt that the recommendations set out in the audit report 'must be fully and properly addressed in any future appointment process by the department.' The tribunal drew particular attention to the need for more 'detailed and accurate summaries prepared for the Minister.'

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 2017/18 show that the Department of Health handled one complaint and eleven challenges, and the Department for the Economy handled one challenge. Nine Departments handled no complaints or challenges.

In the 2017/18 year, one confidential complaint was submitted to the Commissioner for which the Commissioner undertook a detailed investigation. The details are as follows.

Department: The Department of Health

Public Body: The Northern Ireland Fire and Rescue Service

Nature of complaint: The complaint concerned the marking framework designed by the Department, the lack of recorded justification for the selection panel's assessment and the Department's handling of the initial complaint.

Date complaint received by CPANI: 24th January 2018


Outcome: The investigation found four breaches of the Code and failings on the part of the selection panel and the Department.

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).

8.8. QUB Graduate Mentoring Scheme

Following an expression of interest from postgraduate research students at Queen's University Belfast the Commissioner met with representatives from the QUB Graduate School with a view to providing a workshop on the public appointments recruitment process, during this meeting it was proposed that a mentoring scheme would provide an excellent partnership opportunity between the Graduate School and relevant departments, facilitated by CPANI. CPANI agreed to initiate a pilot scheme.



The objectives of the scheme are as follows.

- To provide postgraduate research students with an increased knowledge of public governance.
- To increase postgraduate research students' awareness of relevant skills for public sector, committee and management careers.
- To develop links and networks between researchers and public sector departments.
- To increase engagement of the diverse community represented by postgraduate students in the NI public sector.

The scheme launched on 27th April 2017 and paired 17 graduate students with a mentor from a public board. It was envisaged that mentees would have between four and six meetings with their mentor over the course of 12 months, such meetings could potentially coincide with the public board meetings. Following feedback from both mentors and mentees a second scheme is planned with the potential to extend this further.

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">• CAFRE College Advisory Group• NI TB Eradication Partnership |

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• WhoWhatWhereWhenWhy (W5) Ltd |

Department of Education (DE)

| DE Regulated | DE Unregulated |
|---|---|
| <ul style="list-style-type: none">• Comhairle Na Gaelscolaíochta• 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 Inc • 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 • 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 | <ul style="list-style-type: none"> • Advisory Committee on Justices of the Peace • Independent Assessor of Police Service of Northern Ireland Recruitment Vetting • 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 (Lay member) • 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 • NI Community Relations Council • Victims and Survivors Service |

ANNEXE II – Operating Plan

CPANI Operating Plan 1st April 2018 to 31st March 2019


| Activity | What we will do and by when |
|--|--|
| <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. This includes 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. This takes place through a number of mechanisms: the audit and complaints procedures and the internal CPANI policy development process.• To effect any necessary changes to the Code arising from these mechanisms.• Liaise closely with Department Public Appointment Units and recruitment practitioners including Independent Assessors. |

| Activity | What we will do and by when |
|--|---|
| <p data-bbox="191 305 636 334">2. Audit and Compliance Monitoring</p> <p data-bbox="191 378 1014 529">A CPANI 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 data-bbox="1062 305 1875 756" style="list-style-type: none"> <li data-bbox="1062 305 1875 545">• We will conduct audits to review the policies, practices and actions of Departments in making public appointments. This audit programme is based on the CPANI risk analysis which has an emphasis on diversity factors. We will report on findings, produce recommendations and publish. Such reports will issue promptly at end of each audit. <li data-bbox="1062 561 1787 630">• Carry out diversity spot checks on competitions that are considered high risk. <li data-bbox="1062 646 1854 756">• To conduct regular compliance checks on documentation and processes used and issued by Departments, including Advertisements and Press Releases. |
| <p data-bbox="191 773 359 802">3. Complaints</p> <p data-bbox="191 846 1035 997">To conduct effective inquiries into department policies, practices and actions on any public appointment process. The establishment, maintenance, publication and implementation of an effective and objective complaints system.</p> | <ul data-bbox="1062 773 1808 846" style="list-style-type: none"> <li data-bbox="1062 773 1808 802">• Investigate and report on complaints presented to CPANI. <li data-bbox="1062 818 1671 846">• Follow up necessary action with Departments. |

| Activity | What we will do and by when |
|--|--|
| <p>4. Annual Report</p> <p>The provision and publication of a comprehensive annual report which serves the requirements of the internal and external stakeholders of CPANI, 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 First Minister and deputy First Minister with an advance copy of report before the proposed publication date. • Present report to NI Assembly following publication. |
| <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. To provide 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. • To provide an update on any relevant developments in public appointment diversity policy to the Public Appointments Forum. • Provide an “open door” for queries from all sources. • Maintain a system for handling, managing and recording all queries. |

| Activity | What we will do and by when |
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| <p>6. Independent Assessors</p> <p>The effective management and monitoring of a trained, competent and experienced team of Independent Assessors who provide an effective and efficient service in all public appointment recruitment processes. These Assessors are independent of Government and the Commissioner.</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. • Create a new system for the payment of Independent Assessors. |
| <p>7. Budget</p> <p>In co-operation with TEO Sponsor branch, to establish, implement and monitor the CPANI budgetary process and financial regime. To adhere to all financial and budget guidance issued by TEO, and successfully manage 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 TEO sponsor branch. • Ensure that the necessary resources are secured to meet the full requirements of CPANI and its customers, allowing for levels of complaints, issues arising from audit and compliance work, ad hoc legal advice and research requirements. |

| Activity | What we will do and by when |
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| <p>8. Liaison with stakeholders including provision of relevant information to the public.</p> <p>To raise the profile of CPANI 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 CPANI and of the right to avail of the CPANI 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. Maintain strong working links with Ministers, SPAds and MLAs When NI Executive and Assembly are restored.</p> | <ul style="list-style-type: none"> • Maintain strong working links with Ministers, Special Advisors and MLAs when NI Executive and Assembly are restored. • 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. This will include meeting with under-represented groups to provide information on public appointments. • The provision of workshops to promote understanding of the public appointment system and provide support to potential applicants with a focus on under-represented groups. Continue to work with Departments in the delivery of the workshops. • Development of CPANI website to ensure it provides relevant information in a user friendly and engaging format. • Contribute to the development and implementation of The Executive Office (TEO) strategy for promoting the NI Executive gender equality targets. • Liaise with TEO on actions to deliver the strategy. • Participate in the strategy delivery committee sub groups. |

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| | <ul style="list-style-type: none">• Support and extend new Mentoring Scheme involving collaboration between the Queen's University Belfast and Northern Ireland's public sector.• Develop mentoring scheme to University of Ulster. |
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| Activity | What we will do and by when |
|--|--|
| <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. To provide an efficient and effective service to the Commissioner and all stakeholders.</p> | <ul style="list-style-type: none"> • Monitor progress in line with each business plan key target, measure and action. This will be done on a quarterly basis. • 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> | <ul style="list-style-type: none"> • To provide a commitment to the objectives of the Northern Ireland Executive Asset Management Strategy. This is to be reviewed annually to determine any action needed. |
| <p>11. Information Management</p> <p>To ensure all information managed and stored by CPANI is in line with all relevant legislative requirements and Departmental policies.</p> | <ul style="list-style-type: none"> • Monitor information assurance procedures. • Continue to implement data sharing arrangements with all Departments. • Ensure compliance with the General Data Protection Regulation (GDPR). |

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 2017/2018

| | |
|------------------------|----------------|
| Rent | £12,090 |
| Assessor Recruitment | £5,625 |
| Cleaning | £4,113 |
| Assessor Fees | £3,900 |
| Maintenance | £3,899 |
| Energy Costs | £3,550 |
| Other Premises Costs | £1,868 |
| Contingencies | £1,796 |
| Assessor Training | £1,675 |
| Hospitality | £1,162 |
| Assessor Travel | £1,056 |
| Computers/IT/Phones | £496 |
| Subscriptions | £335 |
| Travel and Subsistence | £289 |
| Annual Report | £204 |
| TOTAL | £42,058 |

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 attendance

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

- Alternative Miss Ulster Event
- Chief Executives' Forum - Gender Inequality Event
- CIPFA Annual Governance & Leadership Conference
- CIPFA Chairs Forum
- CIPFA Diversity Breakfast
- Downpatrick Soroptimist International Monthly Event
- Independent Assessor Induction Session
- Inspire Event for Young Women
- Inspirational Women Event
- Joint Commissioners' Meeting
- QUB Graduate Mentoring Scheme launch
- NICS Public Appointments Forum
- Public Appointments Workshop
- Women into Leadership Conference
- Women's Leadership Initiative