

Business Plan

2012-2013

Contents	Page
1. Executive Summary	2
2. About Us	3
3. Strategic Context	5
4. Vision, Aims and Values	8
5. Strategic Aims and Corporate Objectives	10
6. Business Objectives, Actions and Measures	12
7. Annexes:	
1. Budget Breakdown 2012/13	34
2. Organisational Structure	36
8. Glossary	37

1. Executive Summary

Our vision

'A dynamic and well governed charities sector in which the public has confidence, underpinned by the Charity Commission for Northern Ireland's effective delivery of its regulatory and advisory role.'

Our aims

Public confidence

To increase public trust and confidence in charities.

Public benefit

To promote awareness and understanding of the operation of the public benefit requirement.

Compliance

To promote compliance by charity trustees with their legal obligations in exercising control and management of the administration of their charities.

Charitable resources

To promote the effective use of charitable resources.

Accountability

To enhance the accountability of charities to donors, beneficiaries and the public.

Delivery

To manage the Charity Commission for Northern Ireland as an effective and efficient non departmental public body.

Our Values

- **Independent:** maintain our operational independence, acting without fear or favour, in the public interest.
- **Accountable:** be proactive in accounting to all our stakeholders, which will include involving others on a continuous and appropriate basis.
- **Proportionate:** our actions, procedures and culture will be proportionate to the burden of regulation on charities of different sizes, to the degree of risk involved and to the potential impact.
 - **Fair:** exercise our powers and discretion in a way which is consistent, impartial and even handed.
 - **Transparent:** adopt a Freedom of Information culture from the outset.
- **Consistent:** act consistently in our decision making and aim to act as an exemplar, observing best practice.

2. About Us

The Charity Commission for Northern Ireland (CCNI) is the independent regulator of charities in Northern Ireland. The Commission is a non-departmental public body, established by Royal Assent in March 2009, to deliver the legislative requirements of the Charities Act (Northern Ireland) 2008, the "Act". The Commission is sponsored by the Department for Social Development (DSD).

The main objectives of the Charities Act (Northern Ireland) 2008 are to provide:

- an integrated system of registration and regulation; and
- supervision and support of registered charities.

The establishment of the Charity Commission for Northern Ireland in June 2009 as the vehicle for charity regulation aims to provide the structure and process through which:

- charities can demonstrate their contribution to society;
- the public can be assured regarding how charities are spending any donations; and
- Government can assist in the better governance of the charity sector.

The Commission has a crucial role to play in the development of charities, enabling them to meet modern expectations and obligations. It is essential that the Commission enables charities to operate in a climate of trust and respect by providing firm but fair regulation in which the public can have confidence. The Commission therefore aims to develop a regulatory framework which is not only about intervention and strong governance but which, over the longer term, establishes standards and promotes good practice across the sector.

Charity Commission for Northern Ireland Business Plan 2012-2013

Looking Back 2011- 2012

A number of programmes and activities were progressed during the year:

- The majority of new staff appointments joining in the first quarter;
- Provision of a corporate induction programme for new staff and delivery of a training programme;
- Development of 1-year Business Plan and agreed Corporate Plan;
- Implementation of a communications strategy resulting in up to 200 enquiries and 4,000 website hits per month and ongoing regional media coverage of investigations work;
- Further liaison with Department for Social Development regarding technical aspects of the Charities Act (Northern Ireland) 2008 and transition of powers;
- Commencement of development and publication of guidance for the general public and charities;
- Development of processes and procedures relating to various powers under Commencement Order 3;
- Publication of quarterly update of list of organisations in Northern Ireland which are charities for tax purposes;
- Liaison with other charity regulators to identify emerging practice in other jurisdictions;
- Further refinement and internal testing of online registration, registration processes and procedures pending Executive amendment to Charities Act (Northern Ireland) 2008;
- Implementation of investigation processes producing 40 concerns in the first six months with up to ten cases a month being closed;
- Transition to a rolling 3-year Corporate Planning process;
- Participation in DSD Premises Project Team to implement Ministerial decision on permanent premises outside Greater Belfast;
- Approval for procurement of Workflow Management IT system.

3. Strategic Context

The Commission's Corporate Plan provides further details of the environment in which the organisation operates. For business planning purposes the key considerations are the relevant Programme for Government objectives, analysis of stakeholders, and current planning assumptions.

3.1 Programme for Government objectives

As a Non Departmental Public Body (NDPB), the Commission operates independently and impartially whilst remaining accountable to the Minister for Social Development for its performance and use of public funds. The Commission's strategic direction will actively contribute to the strategic priorities of the draft Programme for Government 2011-2015 and will take into consideration any future changes to these.

Priority four of the Programme for Government is a commitment to building a strong and shared community. This priority includes, "building relationships between communities...encouraging active citizenship" as well as seeking to, "encourage greater involvement in sporting and pastoral activities to advance social cohesion and integration".

Following on from this, the Commission will take account of the Department for Social Development's Corporate Plan 2011-2015. This Plan sets out "tackling disadvantage and building sustainable communities" as strategic objectives of the Department during the period.

The approach of the Department in meeting this objective is to create a society which is "socially connected", by "encouraging and supporting positive engagement between people in communities".

The Department's Urban Regeneration and Community Development Group has been tasked with giving effect to this objective. The Group has identified five key areas which provide a focus for its activities, which includes, "*creating and developing social and charities legislation*".

This is recognition by Government of the important economic and social contribution that the charitable sector makes to Northern Ireland society. The Charity Commission's role is to promote a

Charity Commission for Northern Ireland Business Plan 2012-2013

dynamic and well governed charity sector in which the public can have trust and confidence and in doing so encourages active citizenship as per priority four of the draft Programme for Government.

The Commission's role, furthermore, assists in "building sustainable communities" and promoting a society which is "socially connected", as per the objectives of the Department for Social Development. The Commission does this through promoting public trust and confidence in charities, assisting them to demonstrate their public benefit and specific charitable purposes.

It is important that government agencies build collaborative relationships between themselves and with the sector to achieve positive social, economic, cultural, and environmental outcomes within our communities. Government also wants to be sure that public and private funds flowing into the sector are used appropriately and that they are used for the charitable purpose of the organisation.

Government has expressed a desire that government agencies coordinate their activities, wherever possible, to avoid duplication and minimise compliance costs to the sector. This extends to ensuring that the sector has access to appropriate advice and support concerning regulatory obligations. Information held on the Register of Charities will allow for much easier communication with the sector than has been previously possible.

For business planning purposes, key considerations are the Commission's perception of its internal and external situation and assumptions about the implementation of the Charities Act (Northern Ireland) 2008. This plan is written on the assumption there will be an amendment to the Charities Act (Northern Ireland) 2008 in place during 2012-13 but the timing and nature of this is beyond the control of the Commission. Targets for 2012-13 may need to change accordingly, depending upon when the legislative amendment is put in place. CCNI has also assumed a series of Commencement Orders will be progressed as indicated by DSD to enable the Commission to assume additional powers in a staged and managed way.

The Chief Executive and Board are responsible, within the terms of the Management Statement and Financial Memorandum (MSFM) agreed with DSD and DFP, for the Commission's management, performance and future development. The MSFM details the governance arrangements between the Commission and DSD.

3.2 Stakeholders

The Commission will continue to work closely through ongoing formal and informal communications with key external stakeholders. These include, but are not limited to:

- The general public;
- The charitable sector;
- The media;
- The Department for Social Development (DSD);
- The Northern Ireland Assembly and Executive;
- Other regional charity regulators: the Charity Commission for England and Wales (CCEW), the Office of the Scottish Charity Regulator (OSCR), Department of Justice in Ireland and other international regulators;
- Other regulatory and law enforcement bodies such as Her Majesty's Revenue & Customs (HMRC), the Police Service of Northern Ireland (PSNI), and Companies House;
- Umbrella bodies within the charitable sector;
- Legal and accounting professional bodies;
- Funding bodies;
- Local business organisations.

3.3 Current Planning Assumptions

For business planning purposes, key considerations are the Commission's perception of its internal and external situation and assumptions about the implementation of the Charities Act (Northern Ireland) 2008. This plan is written on the assumption there will be an amendment to the Charities Act (Northern Ireland) 2008 in place for 2012-13 but the timing and nature of this is beyond the control of the Commission. CCNI has also assumed a series of Commencement Orders will be progressed as indicated by DSD to enable the Commission to assume additional powers in a staged and managed way.

4. Vision, aims and values

Our Vision

The Commission's vision is to deliver, in partnership with other key stakeholders in the charitable sector:

"A dynamic and well governed charities sector in which the public has confidence, underpinned by the Commission's effective delivery of its regulatory and advisory role."

Delivery of this vision will take the concerted effort of a number of different players in the charities sector in the short, medium and long term. CCNI is only one player in a complex environment although the nature of its role, responsibilities and powers make it a key player.

Our Aims

The Commission's objectives are set out in the Charities Act (Northern Ireland) 2008, and the Management Statement and Financial Memorandum (MSFM) with DSD and the Department of Finance and Personnel (DFP), through which the Commission operates. For the purposes of this business plan we are treating these objectives as the Commission's overarching aims beneath which will sit strategic, measurable and time-bound objectives, targets and actions.

1. **Public confidence objective** is to increase public trust and confidence in charities;
2. **Public benefit objective** to promote awareness and understanding of the operation of the public benefit requirement;
3. **Compliance objective** to promote compliance by charity trustees with their legal obligations in exercising control and management of the administration of their charities;
4. **Charitable resources objective** is to promote the effective use of charitable resources;
5. **Accountability objective** is to enhance the accountability of charities to donors, beneficiaries and the public;
6. **Delivery objective*** is to manage the CCNI as an effective and efficient non departmental public body.

Charity Commission for Northern Ireland Business Plan 2012-2013

*The sixth objective is not directly defined in the legislation or MSFM but clearly is necessary to enable the Commission to fulfil the other five objectives.

Our Values

The Commission aspires to be respected and valued in the execution of its functions and will ensure that in the performance of our role as the Charity Regulator for Northern Ireland we will be:

- **Independent:** we will maintain our operational independence, acting without fear or favour, in the public interest.
- **Accountable:** we will be proactive in accounting to all our stakeholders, which will include involving others on a continuous and appropriate basis.
- **Proportionate:** our actions, procedures and culture will be proportionate to the burden of regulation on charities of different sizes, to the degree of risk involved and to the potential impact.
- **Fair:** we will exercise our powers and discretion in a way which is consistent, impartial and even handed.
- **Transparent:** we will adopt a Freedom of Information culture from the outset.
- **Consistent:** we will act consistently in our decision making and will also aim to act as an exemplar, observing best practice.

5. Strategic Aims and Corporate Objectives

The corporate objectives required to deliver each of our overarching aims have been developed as part of the Commission’s Corporate Plan 2012-2015. Detailed business objectives, actions, targets and associated operational performance measures for each element of our activity have been identified as part of the business planning process for 2012-2013.

Timescales relating to the opening of the Charity Register and Public Benefit Guidance are subject to the passage of legislation through the Northern Ireland Assembly. Timescales are uncertain; the current plan is based on legislation passing through before the elections in the spring of 2011. Actions which would be affected by any delay in bringing forward an amendment to the Act have been highlighted for ease of reference.

Strategic Aim	Corporate Objective
Public confidence objective is to increase public trust and confidence in charities.	1.1 To communicate the work of CCNI effectively. 1.2 To implement the relevant sections of the Charities Act (Northern Ireland) 2008.
Public benefit objective to promote awareness and understanding of the operation of the public benefit requirement.	2.1 To develop a range of guidance and advice. 2.2 To review the effectiveness of guidance and advice produced. 2.3 To monitor awareness of the public benefit requirement.

Charity Commission for Northern Ireland Business Plan 2012-2013

Strategic Aim	Corporate Objective
<p>Compliance objective to promote compliance by charity trustees with their legal obligations in exercising control and management of the administration of their charities.</p>	<p>3.1 To establish a compliance monitoring programme. 3.2 To investigate alleged misconduct. 3.3 To develop and maintain partnerships with key stakeholder bodies.</p>
<p>Charitable resources objective is to promote the effective use of charitable resources.</p>	<p>4.1 To provide access to a range of information on effective use of resources.</p>
<p>Accountability objective is to enhance the accountability of charities to donors, beneficiaries and the public.</p>	<p>5.1 To develop and maintain a register of charities. 5.2 To implement accounting regulations for Northern Ireland charities.</p>
<p>Delivery objective* is to manage the CCNI as an effective and efficient non departmental public body</p>	<p>6.1 To maintain a flexible, responsive organisational structure and appropriate governance and management arrangements. 6.2 Ensure CCNI staff are valued, recognised and appropriately skilled to meet business needs. 6.3 Ensure appropriate systems and resources are in place to enable effective operation.</p>

6. Business Objectives, Actions and Measures

Aim 1 Public confidence - To increase public trust and confidence in charities. Corporate objective 1.1 To communicate the work of CCNI effectively							
Business Plan Objective	Actions	Target 2012/2013				Measurement /Target	Responsibility
		Q1	Q2	Q3	Q4		
(a) Communicate with a range of stakeholders using the methods identified in the CCNI communications strategy.	(i) Continue to implement and monitor communication plan.	√	√	√	√	Quarterly performance achievement of 7 key measures in Communications plan (target 95% achieved).	CEO HoCSC CO
	(ii) Meet/communicate regularly with key stakeholders.	√	√	√	√	Number of engagement meetings (Target 25 per annum).	CEO HoCS HoCSC
	(iii) Provide information for Assembly Committees/political representatives as required.	√	√	√	√	Meetings with members and officials of DSD ctte and MLAs (Target 10 per annum).	CEO CO
	(iv) Develop and implement a customer/client care policy.	√	√	√		Annual customer survey - overall 75% satisfaction.	HoCSC PO

Charity Commission for Northern Ireland Business Plan 2012-2013

Aim 1 Public confidence - To increase public trust and confidence in charities.							
Corporate objective 1.1 To communicate the work of CCNI effectively							
Business Plan Objective	Actions	Target 2012/2013				Measurement /Target	Responsibility
		Q1	Q2	Q3	Q4		
(b) To develop the website as the primary means of communication with the public and other stakeholders.	(i) Keep website up to date with news and most recent guidance.	√	√	√	√	Overall web visits (target 10,000 per annum), average pages per visit (target 5.0 per visitor).	CO
	(ii) Ongoing promotion of website to stakeholders and through networks.	√	√	√	√	% of press clippings reproducing web addresses (target 80%).	CO
(c) Make accessible via the web, key minutes and governance documents to ensure transparency and accountability.	(i) Regularly update website in line with publications scheme.	√	√	√	√	Website updated with minutes and governance documents within 5 working days.	CO
(d) Develop and implement a participation strategy.	(i) Develop participation strategy.			√		Strategy developed and published.	CO
	(ii) Consultation on and implementation of participation strategy once registration begins.				√	Involvement in consultation process (numbers, demographics) and implementation	CO

Charity Commission for Northern Ireland Business Plan 2012-2013

						begun.	
--	--	--	--	--	--	--------	--

Aim 1 Public confidence - To increase public trust and confidence in charities.

Charity Commission for Northern Ireland Business Plan 2012-2013

Corporate objective 1.2 To implement the relevant sections of the Charities Act (Northern Ireland) 2008.							
Objective	Actions	Target 2012/2013				Measurement /Target	Responsibility
		Q1	Q2	Q3	Q4		
(a) Develop relevant policies and procedures to deliver the relevant sections of the act as they are commenced	(i) Implement policy development programme in line with Commencement Orders covering Cy Pres, Ex Gratia Payments, S57 Land, Legal Implementation re S22 Investigations, Public Benefit, Monitoring and Compliance, and Registration.	√	√	√	√	Policies and procedures will be drafted with input from stakeholders before approval by the Board. Policies adopted within 3 months of commencement order.	HoCSC HoCS PO
	(ii) Train staff on policies and processes and establish programme arrangements.	√	√	√	√	100% staff attendance at awareness events. Implementation programme in place within 3 months of policy adoption.	HoCSC HoCS
	(iii) Begin preparation for further commencement orders & input to DSD policy making process.	√	√	√	√	Timetable developed. Policy issues taken forward as a result of partnership working with DSD.	HoCSC HoCS

Charity Commission for Northern Ireland Business Plan 2012-2013

Aim 2 Public benefit							
To promote awareness and understanding of the operation of the public benefit requirement.							
Corporate objective: 2.1 To develop a range of guidance and advice.							
Objective	Actions	Target 2012/2013				Measurement /Target	Responsibility
		Q1	Q2	Q3	Q4		
(a) Draft, consult on and publish public benefit guidance.	(i) When outcome of legislative process in Assembly is known, draft revised guidance.		√	√		Draft revised guidance approved by Board within 2 months of legislative process concluding.	HoCS
	(ii) Carry out consultation on new public benefit guidance.				√	Number of regional consultation events.	HoCS
	(iii) Seek appropriate legal advice.		√	√		Legal advice obtained and integrated.	HoCS
	(iv) Publish guidance when consultation complete.				√	Number of hits on relevant web site page.	HoCS
	(v) Monitor developing public benefit situation and Charities Act in England and Wales.	√	√	√	√	Regular policy briefings to Board.	HoCS
(b) Disseminate information on public benefit requirement to sectoral organisations.	(i) Organise sectoral events to explain public benefit requirement and guidance.				√	Number of events Attendee satisfaction with public benefit information above 75%.	HoCS

Aim 2 Public benefit							
To promote awareness and understanding of the operation of the public benefit requirement.							
Corporate objective: 2.1 To develop a range of guidance and advice.							
Objective	Actions	Target 2012/2013				Measurement /Target	Responsibility
		Q1	Q2	Q3	Q4		
	(ii) Work with charity sector network bodies and with professional advisers to disseminate information.				√	Survey of stakeholder satisfaction with dissemination of information.	PO
(c) Provide advice on the public benefit requirement.	(i) Respond to queries as required.				√	Responded to queries within 5 working days Target 600 enquiries per annum.	HoCS
	(ii) Develop FAQ's/podcast for website to address frequently asked questions.				√	Number of podcast hits on website.	CO

Aim 3 Compliance To promote compliance by charity trustees with their legal obligations in exercising control and management of the administration of their charities. Corporate objective: 3.1 Establish a compliance monitoring programme.							
Objective	Actions	Target 2012/2013				Measurement /Target	Responsibility
		Q1	Q2	Q3	Q4		
(a) Develop, consult and implement an annual monitoring programme for registered charities.	(i) Develop internal processes and procedures following consultation on accounting guidelines.		√			Draft high level process approved by Board within 2 months of outcome of DSD consultation.	HoCSC
	(ii) Work with SORP Committee on development of charity accounting formats.	√	√	√	√	Attendance at SORP Committee. Issues taken forward with DSD following Committee working.	CEO HoCSC
	(iii) Develop and consult with key stakeholders on return forms and online submission processes.			√		Survey of stakeholder satisfaction with proposed submission processes.	HoCSC
	(iv) Internally test online monitoring processes and procedures.			√	√	Clearance of snag list within 1 month.	HoCSC

Aim 3 Compliance							
To promote compliance by charity trustees with their legal obligations in exercising control and management of the administration of their charities.							
Corporate objective: 3.1 Establish a compliance monitoring programme.							
Objective	Actions	Target 2012/2013				Measurement /Target	Responsibility
		Q1	Q2	Q3	Q4		
	(v) Carry out external testing of online monitoring return processes.			√	√	Involvement of sample organisations across the income bands.	HoCSC
	(vi) Make appropriate adjustments to Monitoring and Compliance programme.				√	Clearance of snag list within 1 month.	HoCSC
	(vii) Draft guidance				√	Survey of stakeholder satisfaction with proposed submission processes.	HoCSC
(b) Develop and publish guidance on monitoring and compliance.	(i) Consult with stakeholders for clarity and ease of use.				√	Guidance will be published and available for use within 3 months of consultation ending.	HoCSC
	(ii) Publish guidance on web.				√	Number of hits on website page.	CO

Aim 3 Compliance							
To promote compliance by charity trustees with their legal obligations in exercising control and management of the administration of their charities.							
Corporate objective: 3.2 Investigate alleged misconduct.							
Objective	Actions	Target 2012/2013				Measurement /Target	Responsibility
		Q1	Q2	Q3	Q4		
(a) Respond to problems identified either through compliance work or external complaints about the mismanagement of charities.	(i) Instigate procedures where necessary.	√	√	√	√	Level of concerns about charities received: Target 120 per annum. Key Service Standards met as set out in relevant manual - 80% concerns acknowledged within 5 days, 80% enquiries risk assessed within 30 days.	HoCSC
	(ii) Monitor and review sources of referral for investigation and adjust communication accordingly.	√		√		Number of concerns received from the public; other agencies and other charity regulators.	HoCSC

Aim 3 Compliance							
To promote compliance by charity trustees with their legal obligations in exercising control and management of the administration of their charities.							
Corporate objective: 3.2 Investigate alleged misconduct.							
Objective	Actions	Target 2012/2013				Measurement /Target	Responsibility
		Q1	Q2	Q3	Q4		
(b) Act on findings and take remedial action as appropriate to each case.	(i) Agree actions as required in each case.	√	√	√	√	% cases closed within 9 months. Implementation of remedial actions undertaken.	HoCSC
	(ii) Instigate enforcement action as required.	√	√	√	√	% compliance recommendations addressed by charity within agreed timescale.	HoCSC EM
	(iii) Pass on relevant cases to PSNI, ISA and other relevant authorities as required.	√	√	√	√	Number of authorities notified.	HoCSC EM
	(iv) 6 month internal review of Inquiries Programme.	√		√		Outcome of internal review reported to Board.	HoCSC EM
(c) Share lessons arising from investigations and compliance work that will benefit the more effective operation of charities.	(i) Develop guidance/lessons learned reports based on compliance cases to share with other charities.			√		Guidance/lessons learnt reports published. Stakeholder survey % satisfaction with reports.	HoCSC EM

Aim 3 Compliance							
To promote compliance by charity trustees with their legal obligations in exercising control and management of the administration of their charities.							
Corporate objective: 3.3 To develop and maintain partnerships with key stakeholder bodies.							
Objective	Actions	Target 2012/2013				Measurement /Target	Responsibility
		Q1	Q2	Q3	Q4		
(a) Develop Memoranda of Understanding (MOU) with relevant key stakeholders.	(i) Put in place MOUs with other relevant bodies.	√		√		MOUs will be in place.	CEO
	(ii) Review MOU's currently in place to ensure they are meeting needs.			√		Report on review to board.	CEO

Aim 4 Charitable resources

To promote the effective use of charitable resources.

Corporate Objective: 4.1 To provide access to a range of information on effective use of resources.

Objective	Actions	Target 2012/2013				Measurement /Target	Responsibility
		Q1	Q2	Q3	Q4		
(a) Develop and establish a range of advice and information relevant to the use of resources.	(i) Identify priority agenda for new guidance development.			√		Uptake of stakeholder suggestions to inform agenda.	HoCSC HoCS
	(ii) Develop guidance with sectoral input.		√	√	√	Stakeholder survey 75% satisfaction with range of guidance provided.	HoCS
	(iii) Implement policy and roll out associated guidance on ex-gratia payments.	√				Volume of enquiries responded to. Number of hits on web page.	HoCS
	(iv) Implement policy and roll out associated guidance on S57 Land disposition.	√	√			Volume of enquiries responded to. Number of hits on web page.	HoCS
(b) Provide links and sign posts to other helper organisations and sources of information.	(i) Map helper organisations and sources of information.		√			Stakeholder satisfaction.	HoCS
	(ii) Build awareness and formalise appropriate links and sign posting.			√	√	Number of hits on web page.	HoCS

Charity Commission for Northern Ireland Business Plan 2012-2013

Aim 5 Accountability							
To enhance the accountability of charities to donors, beneficiaries and the public.							
Corporate objectives: 5.1 To develop and maintain a register of charities.							
Objective	Actions	Target 2012/2013				Measurement /Target	Responsibility
		Q1	Q2	Q3	Q4		
(a) Implement the Registration Programme.	(i) Test online registration with 20 test organisations and make appropriate adjustments.				√	Involvement of sample organisations across the income bands.	HoCS
	(ii) Implement registration priority policy to register existing HMRC and new organisations.					Selected organisations notified within 2 weeks of beginning of each tranche.	HoCS
	(iii) Publish registration guidance.				√	Number of hits on web page.	HoCS
(b) Make publically available an up-to-date register of charities on the website.	(i) Publish HMRC list alongside register while full register is in development.	√	√	√	√	The register will be publicly available and updated on a quarterly basis.	HoCS
	(ii) Publish registered charities on website once full registration begins.					Number of web page hits.	HoCS

Charity Commission for Northern Ireland Business Plan 2012-2013

Aim 5 Accountability							
To enhance the accountability of charities to donors, beneficiaries and the public.							
Corporate objectives: 5.2 To implement accounting regulations for Northern Ireland charities.							
Objective	Actions	Target 2012/2013				Measurement /Target	Responsibility
		Q1	Q2	Q3	Q4		
(a) Work jointly with DSD on development and consultation on NI charity accounting regulations.	(i) Liaise with DSD colleagues on timelines, process and issues.	√				Policy issues taken forward during engagement with DSD's development of appropriate accounting regulations.	HoCSC HoCS
	(ii) Publicise consultation through website and networks.		√	√		80% planned communications activities undertaken on time.	MCM
	(iii) Liaise with DSD on outcome of consultation.			√	√	Meetings with DSD.	MCM
(b) Develop and publish guidance.	(i) Draft guidance in line with outcome of consultation.			√	√	Guidance developed and published within 3 months of end of consultation.	HoCSC HoCS
	(ii) Publish guidance.				√	Number of web page hits.	HoCS

Charity Commission for Northern Ireland Business Plan 2012-2013

Aim 6 Delivery							
To manage the Charity Commission for Northern Ireland as an effective and efficient non departmental public body.							
Corporate objective: 6.1 To maintain a flexible, responsive organisational structure and appropriate governance and management arrangements.							
Objective	Actions	Target 2012/2013				Measurement /Target	Responsibility
		Q1	Q2	Q3	Q4		
(a) Establish and implement robust operational structures and processes to deliver CCNI services.	(i) Develop, implement and review operational systems and processes via assurance framework.	√	√	√	√	Quarterly assurance statements completed within 2 weeks of quarter end.	CEO HoCS HoCSC
	(ii) Address findings arising from review of staff structure to ensure meeting current operational needs.	√	√			Recommendations to Board implemented within 6 months.	CEO HoCS HoCSC
(b) Implement and maintain robust internal corporate processes to ensure CCNI is an effective and accountable organisation.	(i) Review performance against business plan targets on a monthly basis.	√	√	√	√	Report to Board quarterly and sponsor department monthly.	HoCSC
	(ii) Roll out and implement assurance and quality management policy.	√				Assurance procedures followed, 100% staff attendance at awareness sessions.	HoCSC
	(iii) Roll out and implement file management, asset management and data integrity policies.	√	√			100% staff attendance at awareness sessions; procedures checked quarterly through assurance mechanisms.	HoCSC

Aim 6 Delivery To manage the Charity Commission for Northern Ireland as an effective and efficient non departmental public body. Corporate objective: 6.1 To maintain a flexible, responsive organisational structure and appropriate governance and management arrangements.							
	(iv) Ongoing review of implementation of audit recommendations.	√	√	√	√	Quarterly reports to A&R ctte on steps taken.	HoCSC FAO
	(v) Review and update Corporate risk register as required.	√	√	√	√	Quarterly updates to A&R ctte.	HoCSC
	(vi) Implement and monitor the Corporate Governance framework.	√	√	√	√	Corporate Governance Framework in place and monitoring/ evaluation procedures established.	CEO HoCSC HoCS
	(vii) Review Corporate Governance Framework.		√			Report to Board annually.	CEO Board
(c) Continue to develop and maintain appropriate Corporate Governance structures.	(i) Regular Board, Audit and Risk, and Human Resources and Remuneration Committee Meetings.	√	√	√	√	Board meeting held 6 times per year and committee meetings 4 times per year.	CEO Board HoCSC
	(ii) Performance appraisal for Commissioners.	√	√			Report to DSD annually.	Board

Aim 6 Delivery

Charity Commission for Northern Ireland Business Plan 2012-2013

To manage the Charity Commission for Northern Ireland as an effective and efficient non departmental public body. Corporate objective: 6.1 To maintain a flexible, responsive organisational structure and appropriate governance and management arrangements.							
Objective	Actions	Target 2012/2013				Measurement /Target	Responsibility
		Q1	Q2	Q3	Q4		
	(iii) Produce Annual Report in line with MSFM.	√	√			Accounts submitted on time to NIAO, clean audit report, annual report laid before Assembly and published.	Board CEO
(d) Maintain robust business planning and reporting mechanisms.	(i) Review and develop business planning and reporting mechanisms.		√			Business planning and reporting reviewed quarterly.	HoCSC
	(ii) Commence development of business plan 2013-2014.			√		Workshop and papers developed within timescale. Development of annual and 3 year projected budget.	HOCS
	(iii) Seek required approvals for 2013-2014 business plan.			√	√	Sign off by Board, submission to DSD for approval in December.	CEO

Charity Commission for Northern Ireland Business Plan 2012-2013

Aim 6 Delivery To manage the Charity Commission for Northern Ireland as an effective and efficient non departmental public body. Corporate objective: 6.1 To maintain a flexible, responsive organisational structure and appropriate governance and management arrangements.							
Objective	Actions	Target 2012/2013				Measurement /Target	Responsibility
		Q1	Q2	Q3	Q4		
(e) Maintain strong working relationships with sponsor department.	(i) Meet with DSD on regular basis and maintain contact on specific issues as required.	√	√	√	√	Monthly liaison and accountability meetings and quarterly policy and research meetings held with sponsor department. Twice-yearly meetings between Chief Executive and Permanent Secretary. Meet with Minister annually.	Board CEO
	(ii) Review of compliance with MSFM.		√		√	Report to Board twice per year.	CEO

Aim 6 Delivery							
To manage the Charity Commission for Northern Ireland as an effective and efficient non departmental public body.							
Corporate objective: 6.2 Ensure CCNI staff are valued, recognised and appropriately skilled to meet business needs.							
Objective	Actions	Target 2012/2013				Measurement /Target	Responsibility
		Q1	Q2	Q3	Q4		
(a) Implement appropriate HR policies and procedures.	(i) Implement and report on HR policies and procedures.	√			√	Staff absence level below 3% per annum. 90% 6 and 12 month Performance Reviews completed within 5 weeks of deadline. HR procedures monitored through assurance framework.	HoCSC
	(ii) Provide further guidance and refresher training to staff.	√		√		Bi-monthly staff development events.	FAO

Aim 6 Delivery To manage the Charity Commission for Northern Ireland as an effective and efficient non departmental public body. Corporate objective: 6.2 Ensure CCNI staff are valued, recognised and appropriately skilled to meet business needs.							
(b) Maintain a commitment to equality and good relations in the workplace through development of appropriate policies.	(i) Ongoing promotion and consideration of equality and good relations obligations in policy making.	√	√	√	√	Policies developed, in place, and monitored. Measures to promote disability duties in place.	PO
	(ii) Prepare integrated equality scheme and action plan for ECNI approval.	√	√			Submission of schemes and plan within ECNI timescale.	HoCSC PO
	(iii) Implement approved integrated equality scheme and action plan.				√	Submission of progress report to ECNI satisfaction. 100% staff attendance at awareness raising sessions.	HoCSC PO

Aim 6 Delivery							
To manage the Charity Commission for Northern Ireland as an effective and efficient non departmental public body.							
Corporate objective: 6.3 Ensure appropriate systems and resources are in place to enable effective operation							
Objective	Actions	Target 2012/2013				Measurement /Target	Responsibility
		Q1	Q2	Q3	Q4		
(a) Complete the development and roll out of an operational IT system to manage the workflow of CCNI's portfolio of services.	Work with CPD to procure supplier and establish contract arrangements.	√				Identify supplier within available budget.	HoCSC
	Manage IT development contract.	√	√	√	√	Meet key project milestones set out in PID.	HoCSC
	Test and sign off IT development.		√	√		Snag list cleared.	HoCSC
	Roll out and training of staff new IT workflow system.			√	√	Work Flow management system development completed, rolled out and meeting needs.	HoCSC

Aim 6 Delivery							
To manage the Charity Commission for Northern Ireland as an effective and efficient non departmental public body.							
Corporate objective: 6.3 Ensure appropriate systems and resources are in place to enable effective operation							
Objective	Actions	Target 2012/2013				Measurement /Target	Responsibility
		Q1	Q2	Q3	Q4		
(b) Establish appropriate robust IT systems.	(i) Work with DFP specialist staff to develop understanding of system needs and assess options.	√	√			IT systems in place and meeting needs.	HoCSC
	(ii) Secure appropriate IT provision.	√	√	√	√	Action plan developed.	HoCSC
(c) Maintain robust financial forecasting and budgeting processes.	(i) Forecasting and budgeting processes in place and meeting needs.	√	√	√	√	Review budget vs forecast monthly/ quarterly. Report to A&R Committee and Board on spend.	HoCSC

Aim 6 Delivery							
To manage the Charity Commission for Northern Ireland as an effective and efficient non departmental public body.							
Corporate objective: 6.3 Ensure appropriate systems and resources are in place to enable effective operation							
Objective	Actions	Target 2012/2013				Measurement /Target	Responsibility
		Q1	Q2	Q3	Q4		
	(ii) Quarterly drawdown to DSD.	√	√	√	√	Draw down completed within 10 days of quarter end.	FAO
	(iii) Provide appropriate training to staff.	√	√	√	√	Staff % satisfaction with awareness and training provided.	FAO
	(iv) Monitor for adequate systems of internal control.	√	√	√	√	Assurance monitoring completed quarterly.	CEO HoCSC
	(v) Liaise with internal and external audit to demonstrate accountability.	√	√	√	√	Provide information as required. Internal and external audit attendance at Audit and Risk Committee quarterly.	CEO HoCSC FAO

7. Annex 1:

7.1. Budget breakdown 2012/2013

The revenue budget for 2012-2013 has been calculated at approximately £861,000, plus a capital budget of £169,000

Our budget reflects the fact that we are still developing as an organisation, and not all commitments can be predicted with absolute accuracy. In particular, key variables identified at the outset are:

- as yet uncertain volume of applications for registration;
- anticipated, as yet uncertain, volume of appeals to CCNI and potentially the Charity Tribunal;
- uncertain volume and complexity of investigations;
- the impact of other regulations being commenced.

The most substantial part of the budget will be invested in staff to deliver our services to charities and the public.

In summary we anticipate that our £859,608 budget allocation for 2012-2013 will be expended as follows:

Budget heading	2012-13 Anticipated budget	2011-12 Allocated budget
Commissioner Remuneration	£20,700	£18,000
Staff Remuneration	£568,402	£499,672
Staff/Commissioner Non Remuneration Costs	£33,000	£39,000
IT Costs	£90,200	£89,431
Facilities/Premises Costs	£60,698	£47,271
General Running costs	£23,000	£17,000
Programme Delivery Costs	£65,000	£89,626
Total	£861,000	£800,000

Key assumptions to the budgets can be found at Annex 1.

Staffing

CCNI's current staffing structure was agreed in July 2010 with the objective of the full complement of staff being in place for April 2011. The staffing structure, detailed in Annex 2 below, is based on the most effective use of the limited resources available.

Charity Commission for Northern Ireland Business Plan 2012-2013

Budget 2012/13 key assumptions

Annex 1: Budget 2012/13 key assumptions

CCNI's budget 2011/13 has been developed based on anticipated business needs to the progress of the Charities Act (Northern Ireland) 2008 and the following specific assumptions. The budget implications of any further legislative amendments will be identified as part of ongoing budget monitoring, and future corporate and business planning.

Staff Costs:

It has been assumed that the 2011-12 business plan complement of staff will remain in place by April 2012. Two additional EOII posts will be recruited as per agreed eventual staffing structure to reflect anticipated workloads in 2012/13. The salary costs reflect the 2011/12 NICS equivalent Pay Increase for all staff. Pension provision for directly employed staff is estimated at 21% pending agreement on superannuation provision. Starting salaries are based at the bottom of relevant scales, unless exceptional circumstances pertain. Employer's National Insurance contribution is estimated at 13.8%.

Commissioner allowances:

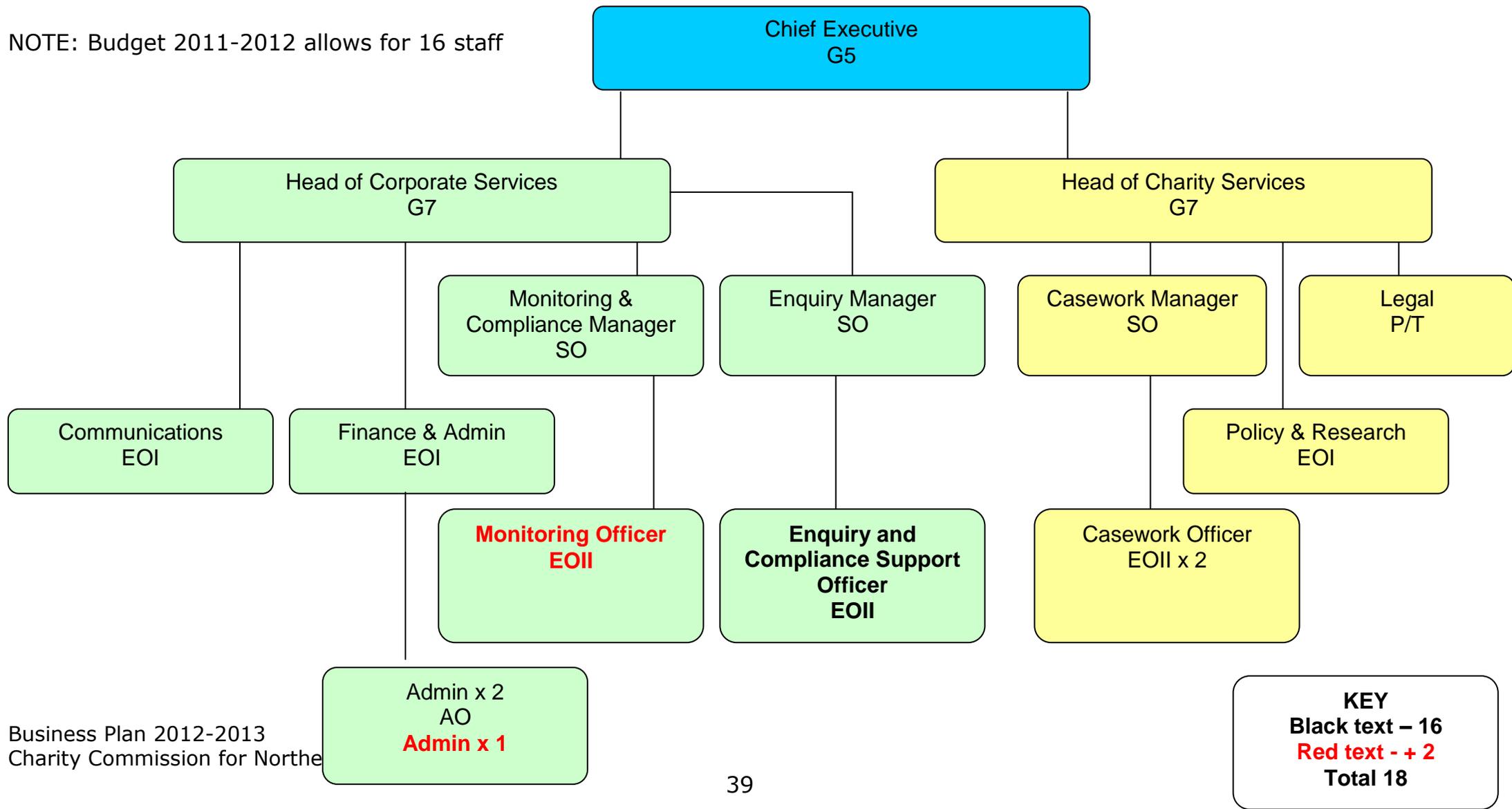
Commissioner allowances are estimated at £18,000 based on agreed allowances payable to Chief Commissioner at £5,000, Deputy Chief Commissioner at £3,000 and others at £10,000 (in total). Provision has been made for a potential increase which has been estimated at 15% in the 2012/13 budget.

Running costs:

Administration costs have been budgeted on the basis of the actual costs incurred for 2011/12 with provision for registration-related activities which will depend on legislative amendment. The rental cost is an actual based on costs for rent, rates, service charge and premises running costs for premises at Loughview, Lurgan.

7.2 Annex 2: Staff Structure

NOTE: Budget 2011-2012 allows for 16 staff



KEY
 Black text – 16
 Red text - + 2
 Total 18

8. Glossary

CCEW	Charity Commission for England & Wales
CCNI	Charity Commission for Northern Ireland
CEO	Chief Executive Officer
CIO	Charitable Incorporated Organisation
CO	Communication Officer
DCRGA	Department for Community, Equality and Gaeltacht Affairs (Ireland)
DEL	Department for Education and Learning
DFP	Department of Finance and Personnel
DSD	Depart for Social Development
HoCS	Head of Charity Services
HoCSC	Head of Corporate Services and Compliance
HR	Human Resources
HMRC	Her Majesty's Revenue and Customs
ISA	Independent Safeguarding Authority
IT	Information Technology
NIAO	Northern Ireland Audit Office
OSCR	Office of the Scottish Charity Regulator
PSNI	Police Service for Northern Ireland
SORP	Statement of Recommended Practice

ISBN 978-0-9567272-7-5

Business Plan 2012-2013
Charity Commission for Northern Ireland