



Corporate Plan 2012-2015

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1 Chair and Chief Executive Introduction

We are pleased to introduce the Charity Commission for Northern Ireland's 2012-15 Corporate Plan. The period of this plan will see the introduction and development of comprehensive charity regulation in Northern Ireland for the very first time. It will also be the period in which the Charity Commission, as a new public body, grows and develops as an effective and efficient deliverer of services to the public and to the charity sector.

The Commission, which was established in 2009 with the appointment of seven Commissioners, has now recruited staff and is assuming its main functions under the Charities Act (Northern Ireland) 2008, the "Act". The systems and processes which are needed for the effective running of the organisation will continue to develop and be kept under review for effectiveness during the three-year period of this plan.

The implementation of new legislation brings both challenges and exciting potential. Charities will feel the full force of the difficult economic climate while this plan is implemented and the Charity Commission will seek to build and reinforce public trust and confidence in the vital contribution they make. The Commission recognises and welcomes the time and money that hundreds of thousands of people voluntarily contribute to charities in Northern Ireland. Our aim is to support this work by ensuring that charities are well run and accountable.

The Commission currently provides a list of organisations allocated charitable tax status by HMRC. This is an interim measure until a legislative amendment allows for the various corporate objectives relating to a public register of charities as set out in this plan to be actioned. The public register of charities will, for the first time, allow the public in Northern Ireland to see who is and is not a bona fide charitable organisation, along with information on their governance arrangements, financing and activities. We will also use our powers to intervene robustly if things go wrong and charities and their assets are at risk.

Introducing any new legal requirements takes time and new procedures need to bed in and become familiar. The Commission will work with charities to make them aware of their obligations and will implement systems to make compliance as straightforward as possible.

This rolling three year plan has been developed following initial consultation with our key stakeholders. We intend to continue our work in this way, co-operating with all those who can help us deliver our objectives successfully.

By the end of 2014-15 we hope that the Charity Commission for Northern Ireland will be an established part of life in Northern Ireland. It will be a well-run organisation in which the public can have confidence and a guarantor of the concept of charity, which has for centuries held a privileged place in our society.



Tom McGrath CBE
Chief Commissioner



Frances McCandless
Chief Executive

2 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.

3 About us

This is the second three-year rolling Corporate Plan produced by the Charity Commission for Northern Ireland. The Commission is the new independent regulator of charities in Northern Ireland established by Royal Assent in March 2009 to deliver the legislative requirements of the Charities Act (Northern Ireland) 2008. It is a non departmental public body (NDPB) and is sponsored by the Department for Social Development (DSD).

The Charities Act (Northern Ireland) 2008 introduced a new regulatory framework for the charitable sector in Northern Ireland. The previous framework, administered in Northern Ireland by Government, did not provide for any form of registration and only made limited provisions for enforcement generally. The main objectives of the 2008 Act were to introduce:

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

The aim of these changes is to provide a structure and process through which:

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

It was decided by the Northern Ireland Assembly that these functions would be best performed at arm's length from the Department, hence the Charity Commission for Northern Ireland now exists by statute as the ongoing vehicle for charity regulation.

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 and 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. It will be responsive to the charity sector, mindful of the need to promote the good work that charities do, but also taking into consideration the need to protect charities from misuse, abuse and mismanagement. It is important that it develops effective relationships and works in partnership with those engaged in charitable activities. This will involve the provision of advice and guidance to assist charities with compliance issues alongside the development of an ethos which promotes confidence in public charitable giving, encourages sharing of best practice and ultimately helps to raise standards.

Looking back

2009 - 2010

This period was one of transition in charity regulation and legislation. DSD had a range of responsibilities and functions under the Charities Act (Northern Ireland) 1964, the Charities (Northern Ireland) Order 1987 and the House to House Charitable Collections Act (Northern Ireland) 1954. These functions and responsibilities will gradually transfer to the Commission, as the various parts of the Charities Act (Northern Ireland) 2008 are brought into force. Set up activities included the appointment of Commissioners and initial consultation on draft Public Benefit Guidance.

2010 - 2011

With the Chief Executive in place from 1 April 2010, the Commission began to prepare for the new regulatory regime through a number of actions:

- Development of 1-year Corporate/Business Plan;
- Development of staff plan and recruitment of permanent staff;
- Development and implementation of a communications strategy;
- Development and launch of a new website;
- Liaison with Department for Social Development regarding technical aspects of the Charities Act (Northern Ireland) 2008 and transition of powers;
- Liaison with HMRC, and transfer of data on organisations in Northern Ireland which are charities for tax purposes;
- Liaison with other charity regulators;
- Development and internal testing of online registration, registration processes and procedures;
- Development of investigation processes and procedures;
- Development of key policies such as Fraud, Complaints about our Services, Financial Procedures, and Registration priority;
- Establishment of independent financial systems for CCNI;
- Development of 3-year Corporate Plan 2011–2014 commenced;
- Initial scoping for bespoke IT business management system;
- Liaison with DSD regarding permanent premises.

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.

Looking Forward

In the coming year the Charity Commission for Northern Ireland will continue to focus on increasing public trust and confidence in charities and begin to promote the effective use of charitable resources. As a relatively new organisation the Commission has set out high aspirations in terms of vision and values and a challenging range of objectives and targets for the three-year planning period 2012-2015. In the coming year our focus as a new organisation will be on ensuring our systems are effective and new programmes are brought forward on a timely basis to implement the legislation and deal with all issues - intended and unintended - which are raised by it.

As systems are established, issues resolved and experience accumulated, we will provide further added value for the public and to the charitable sector in the later years of this plan. We envisage this will include, as indicated in the corporate objectives, a greater output of regulation, information and advice.

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. The charity sector is a complex environment, and the nature of CCNI is key given its role, responsibilities and powers.

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, under which the Commission operates. For the purposes of this corporate 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** is to promote awareness and understanding of the operation of the public benefit requirement.
3. **Compliance objective** is 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.

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.

4 Governance and accountability

Board

The current Commissioners were appointed by the Minister for Social Development on 1 June 2009 (with the Legal Commissioner later appointed in November 2009). Whilst Commissioners are selected by Ministerial Appointment, the Commission is an arm's-length body, responsible for the structure, recruitment and appointment of its own staff, including the Chief Executive and Senior Management Team.

The Commission has a Board comprising a Chief Commissioner, a Deputy Chief Commissioner and up to five Charity Commissioners, all on a part-time basis. At least one Charity Commissioner must be a barrister or solicitor of at least 7 years standing.

The Board has responsibility for CCNI's overall strategy and future direction.

The current Commissioners are:

Chief Charity Commissioner	Mr Thomas McGrath
Deputy Chief Charity Commissioner	Ms Paddy Sloan
Legally Qualified Charity Commissioner	Ms Rosemary Connolly
Charity Commissioner	Mr Walter Rader
Charity Commissioner	Mr Philip McDonagh
Charity Commissioner	Ms Angila Chada
Charity Commissioner	Mr Paul Cavanagh

The Board is supported by an Audit and Risk Committee and a Human Resources and Remuneration Committee.

Committees

Audit and Risk Committee

The Audit and Risk Committee supports the Board in its responsibilities regarding issues of risk, control and governance and associated assurances. Its overseeing role includes, but is not limited to, internal and external audit, the Commission's financial statements and risk management.

Human Resources and Remuneration Committee

The Human Resources and Remuneration Committee supports the Board in its responsibilities regarding issues of staff resource and staff performance, including, but not limited to, recruitment, staff structure, remuneration and resource, human resource policies and practice and legislative compliance.

Chief Executive

The role of the Chief Executive carries with it the designation of Accounting Officer by the Departmental Accounting Officer of the sponsor Department. The Accounting Officer is personally responsible for safeguarding public funds for which they have charge, for ensuring propriety and regularity in the handling of those public funds and for the day-to-day operations and management of the Charity Commission for Northern Ireland.

In particular, the role involves the following responsibilities:

- Planning, establishing and monitoring, in agreement with the Sponsor Department and the Commission's Board, CCNI's corporate and business plans in support of wider strategic aims and the outcomes and targets contained in its current Public Service Agreement;
- Advising the Board on discharging its responsibilities;
- Managing risk and resources: ensuring that a system of risk management is maintained to inform decisions on financial and operational planning to help achieve objectives and targets, and to ensure that an effective programme, project management and contract management system is maintained;
- Accounting for the Commission's activities.

Operational activity

Operational management of CCNI is carried out by a senior management team led by the Chief Executive, Frances McCandless. The Chief Executive is supported by the Head of Charity Services, Punam McGookin, and Head of Corporate Services & Compliance, Aubrey McCrory. This team makes decisions involving day-to-day operations and implements the programmes and policies arising from the Board's decisions.

The Charities Act (Northern Ireland) 2008 lays out the operational areas of work for the Commission. As part of the transition from the previous system of charity law to the new regulatory framework, administered by the Commission, a series of commencement orders will enact the primary legislation laid down in the Charities Act (Northern Ireland) 2008. These areas of work will include a portfolio of programmes, regulation and assurance:

- Registration programme for all charities;
- Annual monitoring and compliance programme for all registered charities;
- Casework programme;
- Investigations function;
- Interim Manager;
- Tribunal Process;
- Official Custodian;
- Removing/Suspending Trustees and/or employees;
- Closures for registered charities;
- Regulation of fundraising.

Equality and disability

The Charity Commission for Northern Ireland is committed to the fulfilment of its Section 75 obligations, under the Northern Ireland Act 1998, in all aspects of its work. The Commission will work with the Equality Commission for Northern Ireland to deliver a programme of work to pave the way for the development of an equality scheme, in line with its requirements, during the life of this Corporate Plan. Responsibility for the effective development, implementation, maintenance and review of the equality scheme lies with the Chair and Chief Executive.

Under amendments made to the Disability Discrimination Act in 2006, the Charity Commission must take into account the need to promote positive attitudes towards disabled people, and to encourage participation by disabled people in public life. The Commission is committed to developing and implementing a Disability Action Plan during the life of this Corporate Plan.

Freedom of Information and Publication Scheme

The Freedom of Information Act 2000 has created a statutory right of access to public information. As a public body, CCNI has an obligation to provide information, and is committed to doing so, where available and no exemption applies.

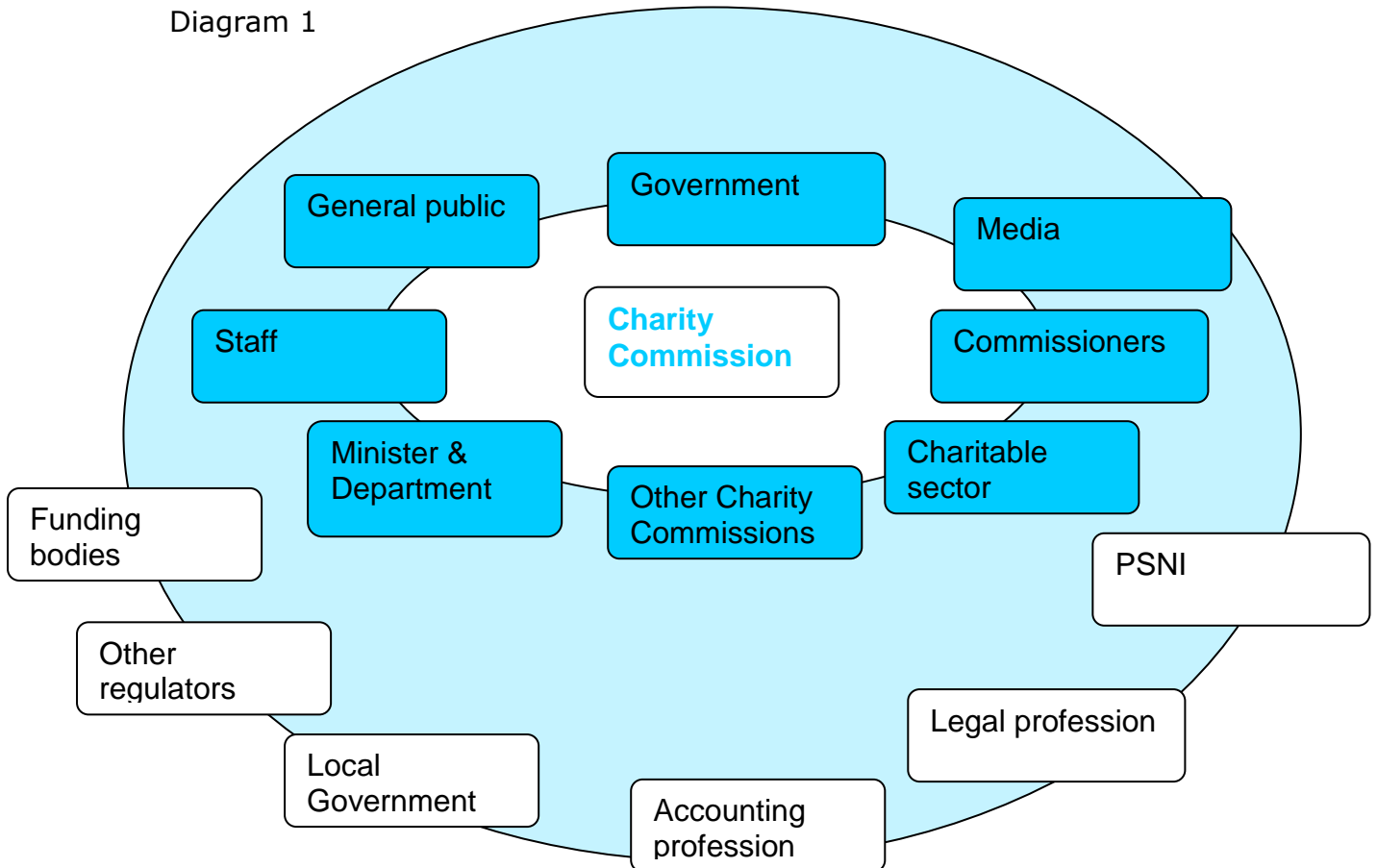
The Act requires us to produce a Publication Scheme. By 'publication' we mean information that is available to the public in a variety of formats, for example, printed reports or information on web pages. CCNI has developed and published a Publication Scheme, which will be progressed within the life-time of this Corporate Plan.

5 Strategic context

Operating environment

There are many people and organisations that interact within the Charity Commission's operating environment. These are summarised in diagram 1 below:

Diagram 1



Since it was established in June 2009, the Commission has met with many groups and individuals to build an understanding of the current environment and consider stakeholders' needs and expectations.

Charity context

Charities make a significant contribution to Northern Ireland. They improve society by providing diverse activities and services that range, for example, from small community groups working at grass roots level to umbrella bodies, from arts and cultural organisations to groups providing health and environmental services.

Over 6,572 organisations from Northern Ireland are accepted as a charity by Her Majesty's Revenue and Customs for tax purposes.

The Commission, through its registration and monitoring and compliance activities, will be able to build a better understanding of the sector's diversity, size, location, beneficiaries, activities and income levels, as well as the longer term impact of regulation on public confidence.

While it is important for us as an organisation to have access to the information that we are collecting, it is equally important to make the information publicly available, in keeping with our objective of enhancing the accountability of charities to donors, beneficiaries and the public. As such, information will be made available on our website when we collect and collate it and we will encourage the public to make use of it. We will also consider ways in which the combined information that we collect can be used for research and information purposes.

Since our establishment, we have become increasingly aware that charities are coming under more pressure to improve their efficiency and accountability, deliver services to high standards, and demonstrate that they are providing value for money. We have an important role to educate and assist charities, and are mindful of the high number of volunteers contributing to the sector in matters of governance and management. We will undertake this role ourselves and also in partnership with other agencies, both government and non-government, that have skills and resources in this area.

The public

The public is a key stakeholder in the charitable sector. Members of the public receive services and provide funds, support and resources (including time and expertise through volunteering). The public do not currently have access to information about charities on a large scale and those charities that do want to divulge financial information currently are under no obligation to do so. One of the Commission's key functions is to make information about charities available to the public through the development of the Charity Register. Information required for registration (such as trustee details) and annual return information (including annual accounts), will be made available via the Commission's online Register. The online Register will have a search facility that will enable the public to search for information about registered charities using a number of search criteria.

We believe that the availability of information on the Register will enable the public to develop a greater degree of understanding about the charities with which they interact, and will assist to enhance trust and confidence in the sector.

The Government

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 Programme for Government 2011-2015 five strategic priorities.

Priority four of the Programme for Government focuses on building a strong and shared community. This includes, "building relationships between communities" and "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 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 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 and assisting them in demonstrating their public benefit and specific charitable purposes.

This is recognition by Government of the important economic and social contribution that the charitable sector makes to Northern Ireland society. 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.

Government agencies

Many government agencies interact with charities. Charities can be recipients or providers of government services, providers of information, subjects of regulatory intervention, or partners working in particular communities. We will work cooperatively with these agencies to ensure that the services available are well integrated and coordinated.

It is important for government agencies that charities are transparent, well managed and effective. They also need good data on the sector so that appropriate policy is developed. They will increasingly be looking to the Commission to be a leading source of information and guidance on issues relating to the sector.

Financial/Economic

The current harsh economic climate will undoubtedly have an impact on the charitable sector in terms of its ability to deliver services, on the type of services it is required to provide to meet demands, and the need to promote good financial practice.

Organisations will have to individually and collectively deal with the challenges a weak economic environment brings. These may include withdrawal of some services, a fall in income from the public sector

and from the general public, and the governance challenges of managing staff in a downturn, which may include redundancies and wage reductions. Nevertheless it is certain that the sector will continue to play a vital role in Northern Ireland society.

Regulation

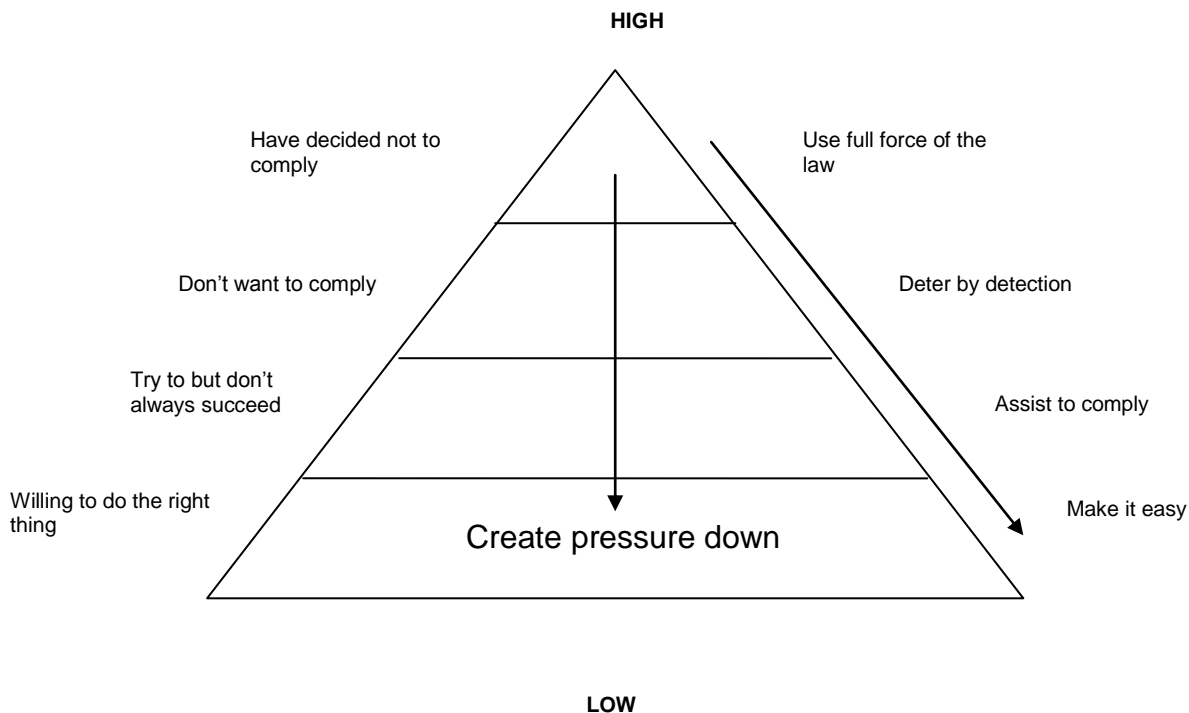
The Charity Commission for Northern Ireland aims to take a modern, risk-based approach to regulation. We intend to reduce the burden of regulation on charities, wherever possible, whilst still ensuring that the law is fully implemented. We will combine this with a 'smart' approach to monitoring and regulation to encourage maximum compliance with the most cost-effective use of our own resources.

Proportionality and informed assessment of risk will underpin our approach to carrying out our work. Where we judge risks to be low we will apply lighter touch regulation and will make advice and guidance widely available through our website to enable charities dealing with common, low-risk issues to improve their own practice. Where risks are high, we will ensure robust monitoring and investigation and provide targeted advice and guidance as required.

We will encourage maximum compliance by seeking to create the right incentives for charities to comply with the law. We will support high levels of compliance amongst those charities which are willing and monitor overall compliance in a cost-effective way. This multi-tiered approach is reflected in the 'regulatory pyramid' ¹ diagram 2 shown below.

Diagram 2

¹ Sparrow, Malcolm (2000) *The Regulatory Craft: Controlling Risks, Solving Problems and Managing Compliance*.
Brookings Institution Press



At the most basic level of promoting compliance we will enable those willing to comply to do so by providing the appropriate systems and information. At the next level (deter by detection) we will review compliance by sampling the annual monitoring returns of charities, enabling us to look closely at their activities, governance and finances. At the peak of the pyramid we will use our legal powers to institute inquiries and take remedial action where necessary. We will co-operate with other agencies in doing so, where relevant, to ensure effective use of resources.

Public body

The Commission has in place with its sponsor department, a Management Statement and Financial Memorandum (MSFM) that explains the broad framework within which the Commission will operate. The Commission works with the Voluntary and Community Unit of the Department for Social Development, which has responsibility for the overall policy framework and for legislative implementation in this area in Northern Ireland. During the period of this Corporate Plan, we expect the remainder of the 2008 Act to be implemented, requiring drafting, consultation and the development of new procedures as remaining regulations are introduced.

As a public body CCNI also has a general responsibility to take account of relevant policy priorities of the Northern Ireland

Executive, whilst maintaining our operating independence and delivering public best value.

Key developments which are particularly relevant to CCNI as a public body include:

- Expectations on all public bodies to put arrangements in place that support best value. This will involve CCNI seeking to continuously improve its performance in every area of our activity and maximising the value for money of all our activities;
- The likelihood of constraints on available funding for public services in Northern Ireland influencing the scale and scope of our activities. This will however:
 - encourage us in our existing commitment to create strong links and partnerships with umbrella bodies and other regulators to maximise delivery of services to the charitable sector;
 - challenge us to find innovative ways of reaching charities and our other stakeholders;
 - reinforce our drive to develop a risk-based approach to regulation.

6 Corporate objectives

In order to deliver our vision of 'a regulatory framework in which the public have confidence and in which charities can grow and flourish, clear in the knowledge of their rights and responsibilities,' we have detailed CCNI's corporate objectives as part of the Commission's operational planning arrangements. These set out what we are trying to achieve by way of impact, how we will do it, when we will take action to deliver the objective, how we might measure success and who is responsible.

<p>1) Increase public trust and confidence in charities.</p> <p>1.1 To communicate the work of CCNI effectively. 1.2 To implement the relevant sections of the Charities Act (Northern Ireland) 2008.</p>	<p>2) Promote awareness and understanding of the operation of the public benefit requirement.</p> <p>2.1 To develop a range of guidance and advice. 2.2 To review the effectiveness of the guidance and advice produced. 2.3 To monitor awareness of the public benefit requirement.</p>
<p>3) Promote compliance by charity trustees with their legal obligations in exercising control and management of the administration of their charities.</p> <p>3.1 Establish a compliance monitoring programme. 3.2 Investigate alleged misconduct. 3.3 To develop and maintain partnerships with key stakeholder bodies.</p>	<p>4) 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>5) 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>6) Manage the CCNI as an effective and efficient non-departmental public body.</p> <p>6.1 To maintain a flexible, responsive organisational structure with 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>

Strategic Aim 1						
Public confidence						
To increase public trust and confidence in charities.						
What we aim to do	Actions we will carry out	When we plan to do it			How we will measure success	Who is responsible
		2012/2013	2013/2014	2014/2015		
1.1 To communicate the work of CCNI effectively	a) Communicate with a range of stakeholders using the methods identified in the CCNI communications strategy.	√	√	√	Report against performance measures in the annual communications plan. Report overall level of public trust and confidence in Charities	Board CEO HoCSC HoCS
	b) To develop the website as the primary means of communication with the public and other stakeholders.	√	√	√	Report web traffic and timeliness of updates to the web site as part of the communications plan.	CO
	c) Make accessible via the web, key minutes and governance documents to ensure transparency and accountability.	√	√	√	Regular review of website to ensure relevant and up-to-date documents are available and accessible.	CO
	d) Develop and implement a participation strategy.	√	√	√	A strategy will be adopted and published, containing key indicators for working with a range of stakeholders	HoCSC

Strategic Aim 1						
Public confidence						
To increase public trust and confidence in charities.						
What we aim to do	Actions we will carry out	When we plan to do it			How we will measure success	Who is responsible
		2012/2013	2013/2014	2014/2015		
1.2 To implement the relevant sections of the Charities Act (Northern Ireland) 2008.	a) Develop relevant policies, procedures and programmes to deliver the relevant sections of the act as they are commenced.	√	√	√	Timeliness of development of policy, procedures and programmes. Number of staff trained and programme-level targets being achieved.	HoCSC HoCS
	b) Plan for and begin regulation of public charitable collections and fund raising for charitable institutions.			√	System for regulation of fundraising in place and work will begin.	HoCS

Strategic Aim 2						
Public benefit						
To promote awareness and understanding of the operation of the public benefit requirement.						
What we aim to do	Actions we will carry out	When we plan to do it			How we will measure success	Who is responsible
		2012/2013	2013/2014	2014/2015		
2.1 To develop a range of guidance and advice.	a) Draft, consult on and publish public benefit guidance.	√			Public benefit guidance available and published on website.	HoCS
	b) Disseminate information on public benefit requirement to sectoral organisations	√	√	√	Provide a number of sectoral-based presentations/events as well as website publications.	HoCS
	c) Provide advice on the public benefit requirement.	√	√	√	Respond to all queries regarding public benefit requirement.	HoCS
2.2 To review the effectiveness of guidance and advice produced.	a) Monitor the introduction and usage of the public benefit guidance and review after an appropriate period.			√	Review the information provided in registration applications with regard public benefit to identify issues. Analyse results of survey to establish usefulness of the guidance.	HoCS
2.3 To monitor awareness of the public benefit requirement.	a) Establish a baseline of trustee understanding and awareness of public benefit requirement through survey.			√	Report on the results of a survey to establish baseline knowledge of Trustees.	HoCS

**Strategic Aim 3
Compliance**

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

What we aim to do	Actions we will carry out	When we plan to do it			How we will measure success	Who is responsible
		2012/2013	2013/2014	2014/2015		
3.1 Establish a monitoring and compliance programme.	a) Develop, consult and implement an annual monitoring programme for registered charities.	√	√	√	Programmes, processes and procedures will be in place. Staff will be trained and systems operational.	HoCSC
	b) Develop and publish guidance on monitoring and compliance.	√	√		Guidance will be published and available for use.	HoCSC
3.2 Investigate alleged misconduct.	a) Respond to problems identified either through compliance work or external complaints about the mismanagement of charities.	√	√	√	Complaints about charities and identified compliance issues will have been followed up.	HoCSC
	b) Act on findings and take remedial action as appropriate to each case.	√	√	√	Appropriate remedial actions will have been taken where necessary.	HoCSC

**Strategic Aim 3
Compliance**

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

What we aim to do	Actions we will carry out	When we plan to do it			How we will measure success	Who is responsible
		2012/2013	2013/2014	2014/2015		
	c) Share lessons arising from investigations and compliance work that will benefit the more effective operation of charities.	√	√	√	Lessons learnt and best practice sharing will be in place and publicly available.	HoCSC
3.3 To develop and maintain partnerships with key stakeholder bodies.	a) Maintain regular liaison with key stakeholders, for example, other statutory bodies and charity sector intermediaries.	√	√	√	CCNI will have engaged with stakeholders to take on board views, opinions and to find common areas of work that are mutually beneficial.	CEO
	b) Develop Memoranda of Understanding (MOU) with relevant key stakeholders.	√	√	√	MOUs will be in place.	CEO

Strategic Aim 4**Charitable resources**

To promote the effective use of charitable resources.

What we aim to do	Actions we will carry out	When we plan to do it			How we will measure success	Who is responsible
		2012/2013	2013/2014	2014/2015		
4.1 To provide access to a range of information on the effective use of resources.	a) Develop and publish a range of advice and information relevant to the use of resources.	√	√	√	Information and advice will have been developed and published and be publicly available for use.	HoCSC HoCS
	b) Provide links and sign posts to other helper organisations and sources of information.	√	√	√	Links will be available on our website and CCNI will have sign posted organisations to other helper agencies and sources of information.	HoCSC

Strategic Aim 5 Accountability						
To enhance the accountability of charities to donors, beneficiaries and the public.						
What we aim to do	Actions we will carry out	When we plan to do it			How we will measure success	Who is responsible
		2012/13	2013/14	2014/15		
5.1 To develop and maintain a register of charities.	(a) Implement the Registration Programme.		√	√	Registration programme will be open, applications received and processed through to decision.	HoCS
	(b) Monitor and review the Registration Programme.			√	Review completed and any lessons learned implemented.	HoCS
	(c) Make publically available an up-to-date register of charities on the website.		√	√	The register will be publicly available.	HoCS
	(d) Make publically available via the register, information on charities' compliance with the requirements of the legislation to enhance accountability.			√	Registered charity information will be available on the website.	HoCSC

**Strategic Aim 5
Accountability**

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

What we aim to do	Actions we will carry out	When we plan to do it			How we will measure success	Who is responsible
		2012/13	2013/14	2014/15		
5.2 To implement accounting regulations for Northern Ireland charities.	(a) Work jointly with DSD on development and consultation on NI charity accounting regulations.	✓			CCNI will have contributed to DSD's work on the development of appropriate accounting regulations.	HoCSC
	(b) Develop and publish guidance.	✓	✓		Guidance will have been developed and published.	HoCSC
	(c) Incorporate accounting requirements into annual monitoring.		✓	✓	Adherence to the accounting regulations will form part of the monitoring programme.	HoCSC

Strategic Aim 6 Delivery						
To manage the Charity Commission for Northern Ireland as an effective and efficient non-departmental public body.						
What we aim to do	Actions we will carry out	When we plan to do it			How we will measure success	Who is responsible
		2012/13	2013/14	2014/15		
6.1 To maintain a flexible, responsive organisational structure and appropriate governance and management arrangements.	(a) Establish and implement robust operational structures and processes to deliver CCNI services.	√	√	√	Operational systems and procedures are established, being followed and meeting the needs of charity services.	CEO HoCS HoCSC
	(b) Implement and maintain robust internal corporate processes to ensure CCNI is an effective and accountable organisation.	√	√	√	Corporate processes are in place and being followed.	HoCSC
	(c) Continue to develop and maintain appropriate corporate governance structures.	√	√	√	Further corporate governance structures are in place.	CEO
	(d) Maintain robust business planning and reporting mechanisms.	√	√	√	Business planning and reporting is appropriate and timely. % overall Business plan measures and targets achieved.	HoCSC
	(e) Maintain strong working relationship with sponsor department.	√	√	√	Meetings held with the sponsor department on a regular basis and further liaison as required.	Board CEO

**Strategic Aim 6
Delivery**

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

What we aim to do	Actions we will carry out	When we plan to do it			How we will measure success	Who is responsible
		2012/2013	2013/2014	2014/2015		
6.2 Ensure CCNI staff are valued, recognised and appropriately skilled to meet business needs.	(a) Implement appropriate HR policies and procedures.	√	√	√	HR policies are in place, being followed and meeting needs. Staff absence <3%	HoCSC
	(b) Review HR policies and procedures to ensure compliance with current legislation and practice.	√		√	Review completed, changes implemented.	HoCSC
	(c) Maintain a commitment to equality and good relations in the workplace through development of appropriate policies.	√	√	√	Policies developed, in place, and monitored, commitment evident.	Board All staff
	(d) Meet identified skills needs through appropriate training.	√	√	√	Training and learning needs audit completed and training identified/delivered.	HoCSC

Strategic Aim 6 Delivery						
To manage the Charity Commission for Northern Ireland as an effective and efficient non-departmental public body.						
What we aim to do	Actions we will carry out	When we plan to do it			How we will measure success	Who is responsible
		2012/2013	2013/2014	2014/2015		
6.3 Ensure appropriate systems and resources are in place to enable effective operation.	(a) Complete the development and roll out of an operational IT system to manage the workflow of CCNI's portfolio of services.	√			Work management system development completed, rolled out and meeting needs.	HoCSC
	(b) Establish appropriate robust IT systems.	√	√	√	IT systems in place and meeting needs.	HoCSC
	(c) Maintain robust financial forecasting and budgeting processes.	√	√	√	Forecasting and budgeting processes in place and meeting needs. Budget spend within 1% variance at year end.	HoCSC

7 Resources

Financial

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 £861,000 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
GeneralRunning 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.

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%.

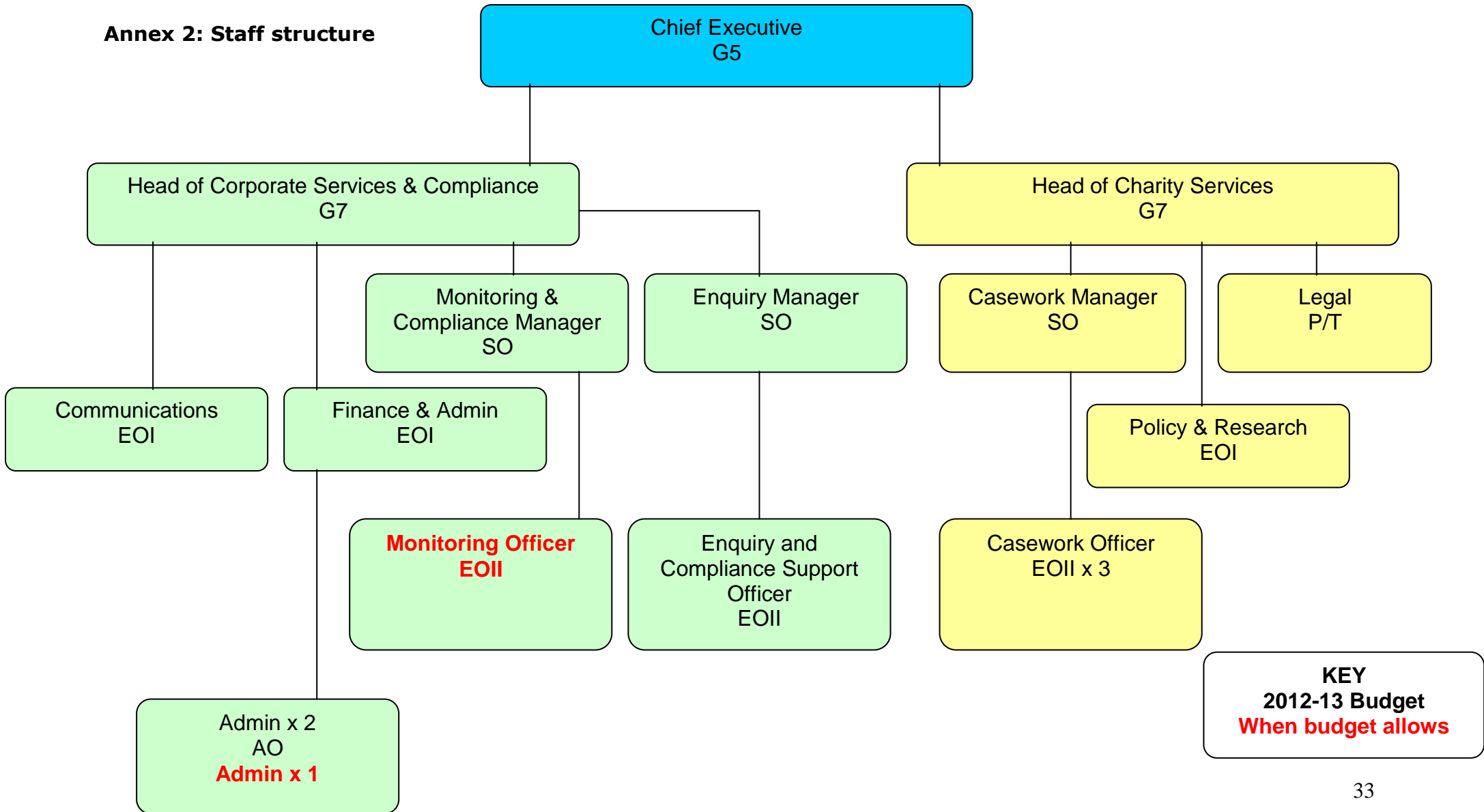
Commissioner allowances:

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.

Annex 2: Staff structure



KEY
 2012-13 Budget
 When budget allows

Annex 3: Glossary

CCEW	Charity Commission for England and Wales
CCNI	Charity Commission for Northern Ireland
CE	Chief Executive
CO	Communications officer
DFP	Department of Finance and Personnel
DSD	Department for Social Development
HoCS	Head of Charity Services
HoCSC	Head of Corporate Services & Compliance
HMRC	Her Majesty's Revenue and Customs
HR	Human Resources
IT	Information Technology
MSFM	Management Statement and Financial Memorandum
NDPB	Non-Departmental Public Body
NIAO	Northern Ireland Audit Office
NICVA	Northern Ireland Council for Voluntary Action
OSCR	Office of the Scottish Charity Regulator
PSA	Public Service Agreement
PSNI	Police Service for Northern Ireland

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The Charity Commission for Northern Ireland (CCNI) is the new regulator of charities in Northern Ireland. It is a non-departmental public body sponsored by the Department for Social Development.

CCNI's vision is to create

'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'.

Further information about CCNI's activities is available from:

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