

Business Plan 2014-15



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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:** we will maintain independence in our decision making, 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 and taking responsibility for our decisions.
- **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 within the resources available to us.
- **Impartial:** we will exercise our powers and discretion in a way which is non-partisan and even-handed.
- **Transparent:** we will communicate with and listen to our stakeholders and will be clear about our actions, intentions and expectations.
- **Consistent:** we will act consistently in our decision making.

Looking forward: 2014-2015

- Focus on building the charity register by inviting forward 4,800 organisations to apply to register, receiving 2,300 completed applications and processing 1,900 decisions by year end;
- Relevant charity information made public through the online register of charities including details of activities and purposes.
- Commencement of new powers contained in other parts of the Charities Act (Northern Ireland) 2008.
- Training staff and developing an organisational culture to ensure the organisation can deliver its legislative role.
- Dealing with the ongoing volume of concerns about charities, often involving more complex or multiple issues.
- Production of further essential guidance and support relating to the running of a charity and registration.
- Commencing a programme of work on charity accounting and annual reporting.
- Managing schemes and other casework volume to meet the expectations of those who require decisions and consents under charity law.
- Dealing with Charity Tribunal cases as they arise and the intensive and complex legal work this will require.
- Ongoing development of our internal processes to implement these new areas of work once legislation has been brought into operation.
- Implementing the findings of an IT review, integrating a new IT workflow management system and ensuring that our other systems are fit for purpose.
- Rewriting of many of our existing processes once registration has begun as all our existing processes thus far are designed to work around the absence of a *register of charities in Northern Ireland*.

Key Milestones and Performance Targets

The key milestones over 2014-15 are:

- focus on building the charity register and deliver 1,900 charity registration decisions by year end;
- bring into operation interim annual reporting arrangements for registered charities from April 2014;
- begin monitoring and reporting on website hits on the charity register, and understanding of public benefit and registration guidance.
- assist the Department to develop statutory annual reporting and accounting regulations, and publish compliance guidance for trustees on exercising control and management of charities.

The Commission has prioritised its roles and believes registration, compliance monitoring and investigation of concerns are essential. All other activities are categorised as desirable, and if registration and enquiries take longer and more resources than planned for, then work such as the development of advice and research will be delayed.

2. About Us

The Charity Commission for Northern Ireland (CCNI) is a non-Departmental Public Body (NDBP), established by Royal Assent to deliver the legislative requirements of the Charities Act (Northern Ireland) 2008. We are sponsored by the Department for Social Development (DSD), as the independent regulator of charities in Northern Ireland.

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

- an integrated system of registration and regulation, and;
- the 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;
- public trust and confidence in charities is enhanced, and;
- appropriate charity governance is promoted.

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 charities operate in a climate of public trust and confidence through the provision of firm and fair regulation.

The Commission aims therefore to develop a regulatory framework which is not only about intervention and strong governance, but which, over the longer term, promotes standards and good practice. Our regulation is responsive to the charity sector, mindful of the need to promote the good work that charities do and geared towards protecting charities from abuse, misconduct and mismanagement.

It is also important that we develop effective relationships and work in partnership with those engaged in charitable activities. This will involve the provision of advice and guidance to assist charities with compliance monitoring issues but also requires development of an ethos which promotes confidence in public charitable giving, encourages sharing of best practice and ultimately helps to raise standards.

3. 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."

Our Aims

The Commission's objectives are set out in the Charities Act (NI) 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:** 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:** to promote the effective use of charitable resources.
5. **Accountability objective:** to enhance the accountability of charities to donors, beneficiaries and the public.
6. **Delivery objective:** to manage the Commission 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 to demonstrate best practice as a regulator and as a public body. We will ensure that in the performance of our role as the charity regulator for Northern Ireland we will be:

- **Independent:** we will maintain independence in our decision making, 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 and taking responsibility for our decisions.
- **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 within the resources available to us.
- **Impartial:** we will exercise our powers and discretion in a way which is non-partisan and even-handed.
- **Transparent:** we will communicate with and listen to our stakeholders and will be clear about our actions, intentions and expectations.

- **Consistent:** we will act consistently in our decision making.

4. Looking back, looking forward

2012 - 2013

- Further liaison with Department for Social Development regarding technical aspects of the Charities Act (Northern Ireland) 2008 and passing of the Charities Bill in January 2013.
- Continued communications activities resulting in over 30,500 unique visits to our website and 542 general enquiries about our role.
- Attended and delivered 29 seminars and workshops across Northern Ireland, aimed at increasing understanding of the role and powers of the Charity Commission.
- 67 concerns about charities received with 48 progressed to conclusion.
- Began a public consultation on the Commission's draft public benefit and registration guidance, involving hosting six consultation events.
- Three statutory investigations initiated and ongoing at year end.
- Further refinement and internal testing of online registration, registration processes and procedures in anticipation of Executive amendment to Charities Act (Northern Ireland) 2008.
- Developed and submitted a draft Equality Scheme and Action Plan detailing our commitment to equality across all of our work to Equality Commission for approval.
- Publication of second in a series of thematic reports looking at concerns about charity fundraising.

2013 – 2014 (as anticipated as of end March 14)

- Publication of a further two thematic reports looking at concerns common to charities.
- Completion of a test registration phase involving 20 charitable organisations.
- Began charity registration in December 2013 with the first charities successfully registered by the Commission.
- Introduction of a number of new powers, for example, powers which allowed the Commission to provide prior written consent to a charitable company's alteration of its governing document.
- Completion and publication of external guidance and forms on consents for charitable companies and cy-pres schemes.
- The making of Charity (Failed Appeals and Disclaimers) Regulations (Northern Ireland) 2013 in exercise of powers conferred on the Commission by sections 27(8) and 28(9) of the Charities Act (Northern Ireland) 2008.
- Ongoing work to investigate up to 80 concerns about charities received by the Commission.
- One statutory inquiry closed and two opened.
- Completion of a public consultation on the Commission's draft public benefit and registration guidance, and a further six consultation events hosted.
- Development and publication of final public benefit and registration guidance documents, including *Registering as a Charity in Northern Ireland* guidance and *The Public benefit requirement* statutory guidance.
- Publication of *Running your charity* guidance for charity trustees.

- Delivery of a public consultation on draft interim reporting requirements for registered charities and production of the final policy and guidance.
- Publication of an updated deemed list following the Charities Act 2008 (Transitional Provision) Order (Northern Ireland) 2013, which came into effect in August 2013).

Looking forward: 2014-2015

- Further progress on charity registration by inviting forward 4,800 organisations to apply to register, receiving 2,300 completed applications and processing 1,900 decisions by year end.
- Relevant charity information made public through the online register of charities including details of activities and purposes.
- Commencement of new powers contained in other parts of the Act.
- Training staff and developing an organisational culture to ensure the organisation can deliver its legislative role.
- Dealing with the ongoing volume of concerns about charities, often involving more complex or multiple issues.
- Production of further essential guidance and support relating to the running of a charity and registration.
- Commencing a programme of work on charity accounting and annual reporting.
- Managing schemes and other casework volume to meet the expectations of those who require decisions and consents under charity law.
- Dealing with Charity Tribunal cases as they arise and the intensive and complex legal work this will require.
- Ongoing development of our internal processes to implement these new areas of work once legislation has been brought into force.
- Implementing the findings of an IT review, integrating a new IT workflow management system and ensuring that our other systems are fit for purpose.
- Rewriting of many of our existing processes once registration has begun as all our existing processes thus far are designed to work around the absence of a *register of charities in Northern Ireland*.

Key Milestones and Performance Targets

The key milestones over the year are:

2014-15

- focus on building the charity register and deliver 1,900 charity registration decisions by year end;
- bring into operation interim annual reporting arrangements following commencement of registration in April 2014;
- begin monitoring and reporting on website hits on the charity register, and understanding of public benefit and registration guidance.

The Commission has prioritised its roles and believes registration, compliance monitoring and investigation of concerns are essential. All other activities are categorised as desirable, and if registration and enquiries take longer and more resources than planned for, then work such as the development of advice and research will be delayed.

5. Strategic Context

Our 2014-2017 Corporate Plan provides further details on 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.

5.1 Current business planning assumptions and risks

The passing of the Charities Act in January 2013 allowed us to publish and consult on our draft public benefit and registration guidance. The finalisation of public benefit guidance in the first quarter of 2013-14, and the commencement of registration in quarter 3 of 2013-14 were landmark developments for the Commission. The registration of charities and the introduction of accounting and reporting arrangements for registered charities will dominate CCNI's business activities. The Charities Act (Northern Ireland) 2008 is not yet fully commenced and the Commission is waiting for further powers to come into being as more provisions are brought into operation by DSD. Any delays in this legislative process will have consequential effects across other programmes of work.

The regulatory work of the Commission, in particular relating to investigations, also takes us into uncharted territory. Investigations are becoming more complex in nature, often involving multiple issues. The legal response involved, for example, in Charity Tribunal hearings, must be factored into our business plan. The frequency with which Tribunal cases will arise is extremely difficult to predict in advance, leading to the risk that insufficient resources will be in place.

During this year we will be progressing work on an integrated IT system. Not only will this enable the management of information and case work flows internally, but it will provide a portal for online interaction and exchange on information between the Commission and all charities. Failure to secure the appropriate system or loss of a strategic IT provider would present serious risks to the delivery of targets.

The Commission's interim reporting requirements programme is set to go live on 1 April 2014. This will enable the Commission to commence another essential part of its work in annually monitoring and overseeing the work of registered charities. Following on from the interim arrangements, we expect that DSD will consult on and produce full regulations on charity accounting and reporting. As the interim arrangements will have begun, the Commission will still be able to inspect annual reports but any slippage in the Department's timetable will impact on the Commission delivering future planned work.

The organisation is now completing its start-up phase and has designed a staffing structure appropriate to the effective delivery of its statutory functions, for which increased funding was provided by DSD. The new structure will enable the Commission to meet the challenge of registering all existing charities in Northern Ireland whilst undertaking its other functions and continuing to run as an efficient and accountable public body.

The Commission has a corporate risk register and assurance processes in place to allow the Board to manage risks and ensure responses to emerging issues that could affect the delivery of corporate and business plans and ultimately the Commission's statutory remit.

The Commission has prioritised its roles and believes registration and investigation of concerns are essential. All other statutory activities are desirable and if registration and enquiries take longer and more resources than planned, then work such as development of advice, consents, research and compliance monitoring will be delayed.

5.2 Measurement

This plan will be measured using a range of indicators and methods as set out in our corporate plan. Progress against targets will be reported to the Board of Commissioners and the sponsor department on a quarterly basis.

Our key targets over the next year include:

External

- to deliver 1,900 charity registration decisions;
- to achieve satisfaction with public benefit guidance above 75%;
- to undertake up to 130 investigations into concerns every year (depending on the number of concerns received and whether CCNI can deal with them);
- to produce up to six reports on the findings of our investigations work every year;
- 80% of concerns about charities to have their initial enquiry risk assessments completed within 30 days;
- to produce 28 pieces of guidance for charities and the public;
- monitoring and compliance systems in place for December 2014 and implementation thereafter; and
- achieve 60,000 hits on our website every year.

Internal

- to complete 100% of business plan actions on schedule;
- to ensure an appropriate staffing structure is in place to deliver the corporate plan;
- to manage the organisation within 1% budget;
- to ensure an integrated IT system is implemented;
- to manage staff sickness absence within 3%;
- to pay 90% of suppliers within 10 days.

5.3 Programme for Government objectives

The NI Executive's Programme for Government 2011- 2015 sets priorities such as "building a strong and shared community" alongside "delivering high quality and efficient public services." As a non-Departmental Public Body (NDPB), our role contributes to the delivery of these objectives.

Our status dictates that we operate independently and impartially while remaining accountable to the Minister for Social Development in relation to our performance and use of public funds. The NDPB model allows us to work independently of government in our decision making but within the DSD's broader strategy for charity law reform and regulation.

The Commission's strategic direction therefore actively contributes to the DSD's Corporate Plan objectives. Specifically, our statutory functions will assist the Department in its commitment to increase sustainability in the broad community sector.

Through the Programme for Government and Department for Social Development's commitments, Government acknowledges the important economic and social contribution that the charitable sector makes to Northern Ireland society.

The Concordat between Government and Northern Ireland's voluntary and community recognises the importance of a close working relationship between both parties in achieving positive social, economic, cultural and environmental outcomes. Government also wants to ensure public and private funds flowing into the sector are used appropriately and for the charitable purpose of the organisation.

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

5.4 Stakeholders

The Commission will continue to work closely through ongoing formal and informal communications with groups that have an important role to play with us. These include, but are not limited to:

- The general public;
- The charitable sector;
- The media;
- The Minister and Department for Social Development;
- The Northern Ireland Assembly;
- Other charity regulators: the Charity Commission for England and Wales (CCEW), the Office of the Scottish Charity Regulator (OSCR), the Department of Justice in the Republic of 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.

6. 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 2014-2017. 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 2014-2015.

Strategic Aim	Corporate Objective
Public confidence objective: to increase public trust and confidence in charities.	1.1 To communicate the work of the Commission effectively. 1.2 To implement the relevant sections of the Charities Act (Northern Ireland) 2008. 1.3 To review the impact of the Charities Act (Northern Ireland) 2008 as it is implemented. 1.4 Use appropriate legal powers and participate in Tribunal/Court processes as necessary.
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.
Compliance objective: to promote compliance by charity trustees with their legal obligations in exercising control and management of the administration of their charities.	3.1 Establish a compliance monitoring programme for registered charities. 3.2 Investigate alleged misconduct and mismanagement in charities. 3.3 Develop and maintain partnerships with key stakeholder bodies. 3.4 Promote compliance by supporting trustees in the effective control of charities.
Charitable resources objective: to promote the effective use of charitable resources.	4.1 Provide access to a range of information on effective use of resources.
Accountability objective: to enhance the accountability of charities to donors, beneficiaries and the public.	5.1 Develop and maintain a register of charities. 5.2 Implement accounting regulations for Northern Ireland charities. 5.3 Hold and display other information relevant to charities.

Delivery objective: to manage the Commission as an effective and efficient non departmental public body	<ul style="list-style-type: none">6.1 To maintain a flexible, responsive organisational structure with appropriate governance and management arrangements.6.2 Ensure staff are valued, recognised and appropriately skilled to meet business needs.6.3 Prioritise available resources to ensure appropriate systems and resources are in place to enable effective operation.
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7. 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 the Commission effectively.							
Business Plan Objective	Actions	Target 2014-2015				Measurement /Target	Responsibility
		Q1	Q2	Q3	Q4		
(a) Communicate with a range of stakeholders using the methods identified in the Commission's communications strategy.	(i) Continue to implement, monitor and evaluate communication plan and associated yearly communication planner.	√	√	√	√	Quarterly performance against targets measured and reported.	Board Chief Exec (CEX) Head of Charity Services (HCS) Head of Compliance & Enquiries (HC&E) Head of Corporate Services (HCoS)
	(ii) Meet/communicate regularly with key stakeholders.	√	√	√	√	Number of engagement meetings (Target 50 per annum).	Board CEX HCS HC&E
	(iii) Provide information for Assembly Committees/political representatives as required.	√	√	√	√	Meetings with members and officials of DSD Committee and MLAs (Target 15 per annum).	Board CEX Communications Officer (CO)

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

Corporate objective 1.1 To communicate the work of the Commission effectively.

Business Plan Objective	Actions	Target 2014-2015				Measurement /Target	Responsibility
		Q1	Q2	Q3	Q4		
(b) Develop and manage 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 60,000 per annum), average pages per visit (target 5.0 per visitor).	CO
	(ii) Ongoing promotion of website to stakeholders and through networks.	√	√	√	√	Inclusion of website address in 100% of printed materials and promotional activities. New website visitor rate of at least 50%.	CO
(c) Implement and monitor the operation of the participation strategy.	(i) Consult on participation strategy.	√	√			Involvement in consultation process (numbers, demographics).	HCS Policy Manager (PO) CO
	(ii) Plan and undertake consultation exercises to achieve aims of participation strategy			√	√	Production of consultation analysis for each consultation process	HCS Policy Manager (PO) CO

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

Corporate objective 1.2 Implement the relevant sections of the Charities Act (Northern Ireland) 2008.

Objective	Actions	Target 2014-2015				Measurement /Target	Responsibility
		Q1	Q2	Q3	Q4		
(a) Develop and review relevant programmes, processes and procedures to deliver sections of the Act as they are commenced.	(i) Implement policy development programme in line with commencement of provisions relating to registration and related functions.	√	√	√	√	Key new policies drafted with stakeholder input before Board approval. Policies adopted within 4 months of Commencement Order.	HCS HC&E PO
	(ii) Development of external guidance on Interim Manager processes.	√	√	√		External guidance published.	HC&E EM
	(iii) 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.	HCS HC&E HCoS
	(iv) Prepare for future commencement of provisions as per timetable agreed with DSD.	√	√	√	√	Timetable developed. Project teams in place for each policy area of Commencement Orders.	HCS HC&E
(b) Review internal procedures and processes as the Act is implemented.	(i) Commence redrafting of manuals as necessary post registration.		√	√	√	Programme Teams identify areas of work to be revised. Redesigned manuals operational.	HCS HC&E
	(ii) Commence redrafting of external guidance as necessary post registration.	√	√	√	√	Guidance redrafted and published on our website.	HCS HCoS

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

Corporate objective 1.3 To review the impact of the Charities Act (Northern Ireland) 2008 as it is commenced.

Objective	Actions	Target 2014-2015				Measurement /Target	Responsibility
		Q1	Q2	Q3	Q4		
(a) Implement a research agenda and report on findings and impact measurement.	(i) Data gathered and research conducted.	√	√	√	√	Implementation commenced as per targets in strategy. Publication of research reports including findings about the impact of charity legislation. Report overall level of public trust and confidence in charities.	HCS PO
(b) Evaluate research findings and liaise with charity sector to inform policy development agenda	(i) Update policy development programme in light of research findings			√	√	New needs identified and programmes included in policy development programme.	HCS PO

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

Corporate objective 1.4 Use appropriate legal powers and participate in Tribunal/Court processes as necessary.

Objective	Actions	Target 2014-2015				Measurement /Target	Responsibility
		Q1	Q2	Q3	Q4		
(a) Make legal decisions, respond to challenges and incorporate rulings, and seek legal clarifications when necessary	(i) Make decisions using statutory powers in relation to casework and investigations	✓	✓	✓	✓	Number of decisions appealed	Board HCS HC&E
	(ii) On receipt of a notice of appeal or response from applicant, respond within prescribed timeframe.	✓	✓	✓	✓	Response within twenty eight days.	CEX HCS HC&E HCoS
	(iii) Ensure sufficient preparation in advance of attendance at hearing.	✓	✓	✓	✓	Attend Charity Tribunal hearings, if required.	CEX HCS HC&E HCoS
	(iv) Implement Charity Tribunal decisions.	✓	✓	✓	✓	Relevant Commission decisions amended to reflect Tribunal decisions. Commission guidance and processes amended to reflect Tribunal decisions.	CEX HCS HC&E HCoS

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 2014-2015				Measurement /Target	Responsibility
		Q1	Q2	Q3	Q4		
(a) Promote public benefit and registration guidance.	(i) publish public benefit and registration guidance, tool kit and model governance documents. .	√	√	√	√	Number of hits on public benefit guidance and tool kit published on website. 80% of public benefit general enquiries responded to within 5 working days. Number of charities using model documents at registration.	Board HCS Casework Manager (CM) PM
	(ii) Monitor developing public benefit situation and Charities Act in England and Wales.	√	√	√	√	Regular policy briefings to Board.	HCS PM
(b) Disseminate information and advice on the public benefit requirement.	(i) Organise sectoral events to explain public benefit requirement and guidance.	√	√	√	√	10 public benefit and registration information events organised.	Board HCS CM PM

Aim 2 Public benefit							
To promote awareness and understanding of the operation of the public benefit requirement.							
Corporate objective: 2.2 Review the effectiveness of guidance and advice produced.							
Objective	Actions	Target 2014-2015				Measurement /Target	Responsibility
		Q1	Q2	Q3	Q4		
(a) Monitor the introduction and usage of the public benefit guidance and review after an appropriate period.	(i) Work with charity sector network bodies and with professional advisers to disseminate information.	√	√	√	√	Satisfaction with public benefit guidance above 75%. Evaluation of event feedback. Analysis of registration applications needing reworking.	HCS PM

Aim 2 Public benefit							
To promote awareness and understanding of the operation of the public benefit requirement.							
Corporate objective: 2.3 Monitor awareness of the public benefit requirement.							
Objective	Actions	Target 2014-2015				Measurement /Target	Responsibility
		Q1	Q2	Q3	Q4		
(a) Report Trustee awareness and understanding of public benefit requirement through use of surveys.	(i) Include trustee awareness and understanding of public benefit requirement in research strategy.	√	√	√	√	Net change in reported level of awareness. Net change in reported level of understanding.	HCS PO

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 for registered charities.

Objective	Actions	Target 2014-2015				Measurement /Target	Responsibility
		Q1	Q2	Q3	Q4		
(a) Implement interim compliance monitoring systems.	(i) Undertake pilot of interim annual return system.	√	√			Agreement of a cross section of registered charities to engage in testing.	HC&E Monitoring & Compliance Manager (MCM)
	(ii) Test compliance monitoring systems including online processes and procedures.	√	√			Interim processes and procedures will be in place. Staff will be trained and systems operational. Clearance of snag list items within one month.	MCM ICT Officer (ICT)
(b) Develop an interim compliance monitoring programme.	(i) develop processes and procedures for compliance monitoring to include monitoring of public benefit requirement, and produce relevant guidance considering stakeholder needs.			√	√	Agreement of a full risk based interim monitoring approach. Guidance will be available and published on the website.	HC&E MCM

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 2014-2015				Measurement /Target	Responsibility
		Q1	Q2	Q3	Q4		
(c) Prepare for implementation of full compliance monitoring.	(i) Input to joint DSD/ Commission working group	√	√	√	√	Attendance at events and development of policy positions.	HC&E MCM
	(ii) Review interim guidance and produce final compliance monitoring guidance including monitoring of public benefit requirement.			√	√	Processes and procedures developed to monitor compliance with annual reporting and accounting regulations.	HC&E MCM

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 and mismanagement in charities.

Objective	Actions	Target 2014-2015				Measurement /Target	Responsibility
		Q1	Q2	Q3	Q4		
(a) Respond to problems identified either through compliance work or external concerns about the misconduct and mismanagement of charities.	(i) Instigate procedures where necessary.	√	√	√	√	Level of concerns about charities received: Assumption: process up to 130 per annum. Key Service Standards met as set out in relevant manual - 80% concerns acknowledged within five days, 80% of initial enquiry risk assessments completed within 30 days.	Board HC&E EM
	(ii) Review classification and measurement of preliminary enquiries	√	√			Feedback to Board on concern handling	HC&E EM
	(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.	HC&E 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: 3.2 Investigate alleged charity misconduct and mismanagement.

Business Plan Objective	Actions	Target 2014-2015				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.	√	√	√	√	Communicate required action to charities within 30 working days of final risk assessment.	HC&E EM
	(ii) Instigate enforcement action as required.	√	√	√	√	80% of compliance recommendations addressed by charity within agreed timescale.	HC&E EM
	(iii) Pass on relevant cases to PSNI, ISA and other relevant authorities, as required.	√	√	√	√	Number of cases/authorities notified.	HC&E EM
	(iv) Three year internal review of Inquiries Programme.	√		√		Outcome of internal review reported to Board.	HC&E 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.	√		√		Two thematic reports published on our website.	HC&E EM MCM 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: 3.3 Develop and maintain partnerships with key stakeholder bodies.

Business Plan Objective	Actions	Target 2014-2015				Measurement /Target	Responsibility
		Q1	Q2	Q3	Q4		
(a) Maintain regular liaison with key stakeholders, for example, other statutory bodies and charity sector intermediaries.	(i) Maintain ongoing relationship with key stakeholders identified in Communications Strategy.	√	√	√	√	MOUs will be in place where appropriate. Strategic interactions recorded through high level stakeholder engagement spreadsheet.	Board CEO
(b) Develop and review Memoranda of Understanding (MOU) with relevant key stakeholders.	(i) Review MOU's currently in place to ensure they are meeting needs.	√		√		Report on review to Board.	HCoS
	(ii) Develop new MOUs, where necessary.	√	√	√	√	MOU drafted and approved by Board.	Board HCoS

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: 3.4 Promote compliant by supporting trustees in the effective control of charities

Business Plan Objective	Actions	Target 2014-2015				Measurement /Target	Responsibility
		Q1	Q2	Q3	Q4		
(a) Develop compliance guidance for trustees on exercising control and managements of a charity	(i) Develop and publish guidance on Running your charity (to include Section 88 Remuneration of Trustees).	√	√	√	√	Guidance available on website and number of hits monitored.	HC&E MCM CO

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.							
Business Plan Objective	Actions	Target 2013/2014				Measurement /Target	Responsibility
		Q1	Q2	Q3	Q4		
(a) Provide links and sign posts to other regulators, helper organisations and sources of information provided on the website.	(i) Build awareness of helper groups and formalise appropriate links and sign posting online.	√	√	√	√	Guidance available on website and number of hits monitored. Volume of general enquiries responded to monitored. Feedback from helper groups.	HCoS CO
(b) Develop and publish a range of advice and information relevant to the use of charitable resources.	(i) Develop and publish guidance on Receipts & Payments Accounts and toolkit, and Starting a New Charity	√	√	√	√	Number of hits on guidance web page.	HC&E MCM CO

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 2014-2015				Measurement /Target	Responsibility
		Q1	Q2	Q3	Q4		
(a) Implement the Registration Programme.	(i) Implement registration priority policy to register existing HMRC-(Deemed List) and new organisations.	√	√	√	√	Selected organisations notified within two weeks of beginning of each tranche.	HCS CM
(b) Make available an up-to-date public register of charities on the website.	(i) Populate register as each registration case is finalised.	√	√	√	√	Invite 4,800 organisations to apply to register, receiving 2,300 completed applications and process 1,900 decisions by year end. Up-to-date register available to public as each registration decision is made.	HCS CM

Aim 5 Accountability

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

Corporate objectives: 5.2 Implement accounting regulations for Northern Ireland charities.

Objective	Actions	Target 2014-2015				Measurement /Target	Responsibility
		Q1	Q2	Q3	Q4		
(a) Work with Charity SORP committee on development of charity accounting formats	Attendance and input to Charity SORP consultation events	√				Key issues identified and taken forward with DSD Commission staff participate in NI SORP events.	HC&E MCM
(b) Work jointly with DSD on development of NI accounting and reporting regulations	Develop plans for a joint public consultation with DSD on regulations	√	√	√	√	Agreement of joint public consultation on DSD proposals for accounting and reporting regulations.	HC&E MCM

Aim 5 Accountability							
To enhance the accountability of charities to donors, beneficiaries and the public.							
Corporate objectives: 5.3 Hold and display information relevant to charities.							
Objective	Actions	Target 2014-2015				Measurement /Target	Responsibility
		Q1	Q2	Q3	Q4		
(a) Develop registers and relevant lists of charity information as required by the Act	Produce and maintain a range of information as relevant sections of the Act are commenced e.g. Trustees, governing documents, purposes, areas of activity, annual reporting timescales, register of mergers and closures.	√	√	√	√	Number of hits on key register pages including annual reporting, register of mergers list of orders and schemes register of removed trustees	HC&E HCoS ICT

Aim 6 Delivery

To manage the Charity Commission for Northern Ireland as an effective and efficient non-Departmental Public Body.

Corporate objective: 6.1 Maintain a flexible, responsive organisational structure and appropriate governance and management arrangements.

Objective	Actions	Target 2014-2015				Measurement /Target	Responsibility
		Q1	Q2	Q3	Q4		
(a) Establish and implement robust operational structures and processes to deliver our services	(i) Review performance against business plan targets on a monthly basis.	√	√	√	√	Report to Board quarterly and sponsor department monthly.	Board HCoS
	(ii) Implement assurance checks and statements in line with risk appetite.	√	√	√	√	Assurance procedures followed, quarterly assurance check completed within two weeks of quarter end. 100% staff attendance at awareness sessions.	CEX HCoS
	(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.	HCoS

(b) Continue to develop and maintain appropriate Corporate Governance structures to ensure we are an effective and accountable organisation..	(i) Regular Board, Audit and Risk, and Human Resources and Remuneration Committee Meetings.	√	√	√	√	Board meeting held six times per year, A&R committee four and HR&R two meetings per year. MSFM compliance is reviewed twice yearly and governance manual developed and in use.	Board CEX HCoS
	(i) Develop, implement and review operational systems and processes via assurance framework.	√	√	√	√	Quarterly assurance statements completed within two weeks of quarter end.	
	(ii) Performance appraisal for Commissioners.	√	√			Report annually to DSD.	Board CEX
	(iii) Report Annual Report in line with MSFM.	√	√			Accounts submitted on time to NIAO, clean audit report, Annual Report laid before Assembly and published on website.	Board CEO HCoS
	(iv) MSFM compliance reviewed twice yearly.		√		√	Review completed and recommendations made to Board twice a year.	Board HCoS
(c) Establish a robust corporate and business plan, and maintain reporting mechanisms.	(i) Review and develop business planning and reporting mechanisms.	√	√	√	√	Business plan reporting reviewed quarterly. 100% business plan measures and targets achieved.	HCoS
	(ii) Commence development of 2015-2016 business plan.			√		Workshop and papers developed within timescale. Development of annual and 3 year projected budget.	HCoS

	(iii) Seek acquired approvals for 2015-2016 business plan.			√	√	Sign off by Board, submission in Dec to DSD for approval.	HCoS
(d) 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 five working days of Board meeting.	CO
(e) Maintain strong working relationships with sponsor department.	(i) Meetings held with the sponsor department on a regular basis and further liaison as required.	√	√	√	√	Monthly liaison and accountability meetings, quarterly policy and research meetings with sponsor department. Twice-yearly meetings between Chief Executive and Permanent Secretary. Meet with Minister annually.	HCoS

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 staff are valued, recognised and appropriately skilled to meet business needs.

Objective	Actions	Target 2014-2015				Measurement /Target	Responsibility
		Q1	Q2	Q3	Q4		
(a) Implement and review HR policies to ensure compliance with current legislation and practice.	(i) Implement and report on HR policies and procedures.	√	√	√	√	Staff absence level below 3% per annum.90% six and 12 month Performance Reviews completed within five weeks of deadline.	Board HCoS FAM
	(ii) Provide further guidance and refresher training to staff.	√	√	√	√	Monthly internal staff development sessions.	HCoS
(b) Deliver the Equality Scheme and Action Plan commitment to equality and good relations.	(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.	Board CEX HCoS
	(ii) Implement approved integrated equality scheme and action plan.	√	√	√	√	Submission of progress report to ECNI satisfaction. 100% staff attendance at awareness raising sessions.	CEX HCoS
(c) Meet identified skills needs through appropriate training for staff and Commissioners.	(i) Carry out training needs analysis and deliver agreed training plan.	√	√	√	√	90 % satisfaction with awareness and training provided.	HCoS

Aim 6 Delivery

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

Corporate objective: 6.3 Prioritise available resources to ensure appropriate systems and resources are in place to enable effective operation.

Objective	Actions	Target 2014 -2015				Measurement /Target	Responsibility
		Q1	Q2	Q3	Q4		
(a) Integrated IT system (InITs) developed and implemented.	(i) Software build.	√	√	√	√	Second and Third phase of software delivered.	HCoS
	(ii) Implementation.		√	√	√	Workflow system in place.	HCoS
	(iii) Test phases and staff training.		√	√	√	Staff trained and system meeting needs.	HCoS
(b) Manage strategic development and delivery of IT systems.	(i) Implement finding of review of future IT needs and delivery options.	√	√	√	√	IT strategy in place.	HCoS
	(ii) MOU monitoring and reporting.	√	√	√	√	No. of outages/ incidents. Mean time to fix outages.	HCoS
(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.	Board CEX HCoS

7. Budget (Subject to outcome of Light Touch Review)

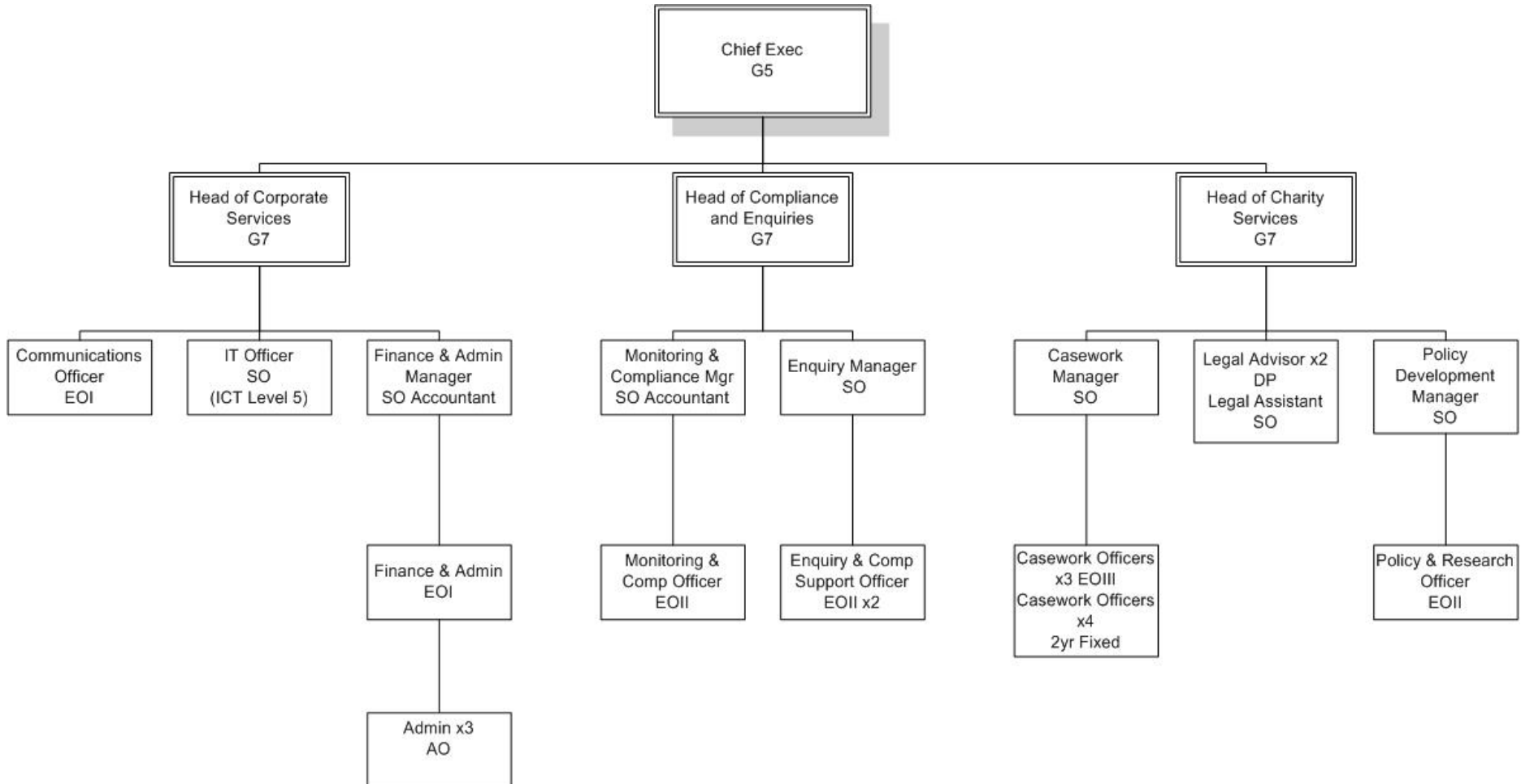
Source of income: 100% Grant in Aid from the Department for Social Development

Item	2013/14 Baseline	2014/15
Commissioners Remuneration	£20,700	£20,700
Staffing Costs	£964,007	£1,138,268
Staff/Commissioner Non-Remuneration Costs	£53,375	£55,438
IT Costs	£91,630	£157,000
Premises Costs	£62,949	£72,911
General Running Costs	£22,750	£42,969
Programme Delivery Costs	£100,500	£159,500
TOTAL REVENUE COSTS	£1,315,911	£1,646,785
Capital Costs		
Total Capital Costs	£251,000	£149,000
Overall Total	£1,558,911	£1,795,785

Budgeting Assumptions

- It is assumed the NICS 2014/15 pay settlement will be followed by a pay freeze.
- All Light Touch Review assumptions about resource allocation remain unchanged, in particular that four secondees will end in November 2016-17.
- All Light Touch Review assumptions about resource consumption remain unchanged, in particular that there will be no provision for annual increase in Commissioners or related costs. Maternity Cover to end of December 14, one recruitment per year of replacement staff members, training will reflect identified needs and essential refresher training, IT budget will increase to reflect Integrated System support from CCEW and IT Assist, No migration to Account NI for accounts, Rates costs with inflationary increase. Stationery based on a small uplift on previous years budget for staff usage. Telephony based on current call costs. Legal and Professional services includes £120k. £2.5k printing annual report/plans, £15k on consultation related activity. 10% increase in events and hospitality per annum, No change investigation and interviewee costs, minor equipment to cover repairs and renewals, equipment replacement.
- CCNI will remain at its current premises at Loughview, Lurgan and there will be no change in the current rent charge after the passing of the first break point in the lease.
- Overall capital allocation for InITs project will remain and IT support will be provided continue with CCEW and IT Assist on current cost basis.

8. Staff Structure



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

Our 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 our activities is available from:

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