

The **Charity** **Commission** for Northern Ireland

Charity Commission for Northern Ireland

Business Plan 2013-2014



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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.

2. About Us

This is the fourth Business Plan produced by the Charity Commission for Northern Ireland, as the independent regulator of charities in Northern Ireland.

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

The Charities Act (NI) 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 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 NDPB.

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

Looking back - 2012-2013

- Further liaison with DSD regarding technical aspects of the Charities Act (NI) 2008 and the Charities Bill.
- Continued communications activities resulting in over 30,527 unique visits to our website and 542 general enquiries about our role.
- Attending and delivering 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.
- Three statutory investigations initiated and ongoing.
- Further refinement and internal testing of online registration, registration processes and procedures pending the passing of the Charities Bill.
- Development, and submission to Equality Commission for approval, of a draft Equality Scheme and Action Plan detailing our commitment to equality across all of our work.
- Publication of second in a series of thematic reports looking at concerns about charity fundraising.

Looking forward -2013-2014

- Twenty test charity registrations completed with the registration system and processes going live for the first time and any initial issues or problems addressed.
- Full charity registration goes live, with charities coming forward to register with the Commission in a phased and managed way.
- Commencement of new powers contained in other parts of the Act.
- Recruiting and training new staff to ensure the organisation can deliver its legislative role.
- Developing our IT system to deliver an integrated service for the organisation and its users.
- Dealing with the ongoing volume of concerns about charities, often involving more complex or multiple issues.
- Production of further essential guidance relating to the running of a charity.
- Commencing a programme of work on charity accounting and annual reporting.

5. Strategic Context

Our 2013-2016 Corporate Plan provides further details of the environment in which the organisation operates. For business planning purposes the key considerations are the relevant Programme for Government objectives, analysis of stakeholders, and current planning assumptions.

5.1 Current planning assumptions and risks

The Commission has been monitoring the progress of the Charities Bill closely. The passing of the Bill will allow us to publish, and consult upon our Public Benefit and Registration Guidance. This will bring us into the first quarter of 2013-14 and thereafter the commencement of registration will be a landmark and long awaited development for the Commission. Any delays in this legislative process will have knock-on effects across other programmes of work.

The regulatory work of the Commission, in particular in relation 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 of 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.

We expect that during this year DSD will consult on and produce regulations on charity accounting. This will enable the Commission to commence another essential part of its work in annually monitoring and overseeing the work of registered charities. Any slippage in the Department's timetables will result in the Commission being unable to deliver planned work.

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

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 commence registration and deliver 770 charity registrations;
- to achieve satisfaction with public benefit guidance above 75%;
- to complete 130 investigations;
- to produce six reports on the findings of our investigations work.
- To ensure that 80% of concerns raised about charities will have their initial enquiry risk assessments completed within 30 days;
- to produce 13 pieces of external guidance;
- to achieve 30,000 hits on our website.

Internal

- to complete 90% of business plan actions;
- 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 as, "Building a strong and shared community" alongside "Delivering high quality and efficient public services". As a non-Departmental Public Body, 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 for our performance and use of public funds. The NDPB model allows us to work independently of government in our decision making but within the Department's broader strategy for charity law reform and regulation.

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

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 2013-2016. 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 2013-2014.

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 (NI) 2008. 1.3 To review the impact of the Charities Act (NI) 2008 as it is implemented.
Public benefit objective: to promote awareness and understanding of the operation of the public benefit requirement.	2.1 To develop a range of Public Benefit 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 To establish a compliance monitoring programme. 3.2 To investigate alleged charity misconduct and mismanagement. 3.3 To respond to Charity Tribunal decisions. 3.4 To develop and maintain partnerships with key stakeholder bodies. 3.5 To assist charity trustees in the effective control and management of charities.
Charitable resources objective: to promote the effective use of charitable resources.	4.1 To provide access to a range of information on effective use of resources.
Accountability objective: to enhance the accountability of charities to donors, beneficiaries and	5.1 To develop and maintain a register of charities. 5.2 To implement accounting regulations for Northern Ireland charities. 5.3 To hold and display other information relevant to charities.

the public.	
Delivery objective: to manage the Commission as an effective and efficient non departmental public body	<p>6.1 To maintain a flexible, responsive organisational structure and appropriate governance and management arrangements.</p> <p>6.2 To ensure staff are valued, recognised and appropriately skilled to meet business needs.</p> <p>6.3 To prioritise available resources to ensure appropriate systems and resources are in place to enable effective operation.</p>

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 2013/2014				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.	CEO Head of Charity Services (HoCS) Head of Compliance & Enquiries (HoC&E) Head of Corporate Services (HoCoS)
	(ii) Meet/communicate regularly with key stakeholders.	√	√	√	√	Number of engagement meetings (Target 25 per annum).	CEO HoCS HoCoS
	(iii) Provide information for Assembly Committees/political representatives as required.	√	√	√	√	Meetings with members and officials of DSD Committee and MLAs (Target 10 per annum).	CEO 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 2013/2014				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 30,000 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 40%.	CO
(c) Make accessible via the web, key minutes and governance documents to ensure transparency and accountability.	(i) Regularly update website in line with publications scheme.	√	√	√	√	Website updated with minutes and governance documents within five working days of Board meeting.	CO
(d) Implement and monitor the operation of the participation strategy.	(i) Consult upon participation strategy.			√		Involvement in consultation process (numbers, demographics) and implementation begun.	CO

	(ii) Implement and monitor participation strategy.				√	Production of consultation analysis for each consultation process.	HoCoS
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Aim 1 Public confidence - To increase public trust and confidence in charities.

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

Objective	Actions	Target 2013/2014				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 Orders relating to registration and related functions.		√		√	Key new policies drafted with stakeholder input before Board approval. Policies adopted within 3 months of Commencement Order.	HoCS HC&E PO
	(ii) Development of interim manager internal processes.				√	Internal manual drafted.	HoC&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.	HoCoS HoCS HoC&E
	(iv) Prepare for future Commencement Orders as per timetable agreed with DSD.				√	Timetable developed. Project teams in place for each policy area of Commencement Orders.	HoCoS HoCS HoC&E
(b) Review internal procedures and processes as the Act is implemented.	(i) Commence redrafting of all manuals as necessary post registration.				√	Redesigned manuals operational.	HoCS HoC&E
	(ii) Commence redrafting of external guidance as necessary post registration.			√	√	Guidance redrafted and published on our website.	HoCS HoCoS

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

Corporate objective 1.3 To review the impact of the Act as it is commenced.

Objective	Actions	Target 2013/2014				Measurement /Target	Responsibility
		Q1	Q2	Q3	Q4		
(a) Develop and implement a research agenda incorporating impact measurement.	(i) Research agenda parameters discussed and agreed.	✓	✓			Research Strategy approved.	PO
(b) Implement a research agenda and report on findings and impact measurement.	(i) Data gathered and research conducted.			✓	✓	Implementation commenced as per targets in strategy. Research findings published citing prevalence of impacts. Report overall level of public trust and confidence in charities.	PO

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 Public Benefit guidance and advice.							
Objective	Actions	Target 2013/2014				Measurement /Target	Responsibility
		Q1	Q2	Q3	Q4		
(a) Consult on and publish public benefit guidance.	(i) Carry out consultation on new public benefit guidance.	√	√			Six regional consultation events conducted across a broad cross section of Northern Ireland.	HoCS
	(ii) Seek appropriate legal advice.	√	√			Legal advice obtained and integrated into guidance.	HoCS
	(iii) Redraft and publish guidance when consultation complete.			√		Public benefit guidance published on website and in hard copy.	HoCS
	(v) Monitor developing public benefit situation and Charities Act in England and Wales.	√	√	√	√	Regular policy briefings to Board.	HoCS
(b) Disseminate information and advice on the public benefit requirement.	(i) Organise sectoral events to explain public benefit requirement and guidance.			√	√	Four public benefit and registration information events organised.	HoCS

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 2013/2014				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%.	PO

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 2013/2014				Measurement /Target	Responsibility
		Q1	Q2	Q3	Q4		
(a) Establish a baseline of trustee understanding and awareness of public benefit requirement through the use of surveys.	(i) Include trustee awareness and understanding of public benefit requirement in research strategy.	√	√	√	√	Baseline established by quarter four.	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.

Objective	Actions	Target 2013/2014				Measurement /Target	Responsibility
		Q1	Q2	Q3	Q4		
(a) Develop an interim annual monitoring programme for registered charities prior to accounting regulations being in place.	(i) Develop annual return form as the basis of an interim annual monitoring programme.	√	√			Draft interim policy and programme approved by Board.	HoC&E MCM
	(ii) Draft and consult with key stakeholders on annual monitoring programme, guidance, and annual return form.		√	√	√	Pre and full consultation exercises involving five regional events.	HoC&E MCM
	(iii) Work with DSD to ensure commencements to enable interim annual monitoring programme.		√	√	√	Section 70(2) commenced to enable Commission to request annual returns.	HoC&E MCM
(b) Produce guidance and interim annual return regulations.	(i) Produce finalised guidance on interim annual monitoring programme and annual return form.		√	√	√	Guidance published on the website.	HoC&E MCM
	(ii) Develop 2014/15 Annual Return Regulations under Section 70 (2) of the Act				√	Publication of 2014/15 Annual Return Regulations	CEX

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 2013/2014				Measurement /Target	Responsibility
(c) Implement interim compliance monitoring systems.	(i) Establish a group of registered charities to pilot annual return system.				√	Agreement of a cross section of registered charities to engage in testing.	HoC&E MCM
	(ii) Develop and 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

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.

Objective	Actions	Target 2013/2014				Measurement /Target	Responsibility
		Q1	Q2	Q3	Q4		
(a) Respond to problems identified either through compliance work or concerns.	(i) Instigate procedures where necessary.	√	√	√	√	Level of concerns about charities received: Assumption: 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.	HoC&E
	(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.	HoC&E

(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.	HoC&E EM
	(ii) Instigate enforcement action as required.	√	√	√	√	80% of compliance recommendations addressed by charity within agreed timescale.	HoC&E EM
	(iii) Pass on relevant cases to PSNI, ISA and other relevant authorities, as required.	√	√	√	√	Number of authorities notified.	HoC&E EM
	(iv) Twenty four month internal review of Inquiries Programme.	√		√		Outcome of internal review reported to Board.	HoC&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.	HoC&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 Respond to Charity Tribunal decisions.

Business Plan Objective	Actions	Target 2013/2014				Measurement /Target	Responsibility
		Q1	Q2	Q3	Q4		
(a) Respond within the prescribed time scale if a challenge is appropriate or incorporate implications of decisions into existing processes.	(i) On receipt of a notice of appeal or response from applicant, respond within prescribed timeframe.	√	√	√	√	Response within twenty eight days.	HoCoS
	(ii) Ensure sufficient preparation in advance of attendance at hearing.	√	√	√	√	Attend Charity Tribunal hearings, if required.	CEO HoC&E HoCS
	(iii) Implement Charity Tribunal decisions.	√	√	√	√	Relevant Commission decisions amended to reflect Tribunal decisions. Commission guidance and processes amended to reflect Tribunal decisions.	HoCoS

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 Develop and maintain partnerships with key stakeholder bodies.

Business Plan Objective	Actions	Target 2013/2014				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.	CEO
(b) Develop and review Memoranda of Understanding (MOU) with relevant key stakeholders.	(i) Review MOUs currently in place to ensure they are meeting needs.			√		Report on review to Board.	HoCoS
	(ii) Develop new MOUs, where necessary.	√	√	√	√	MOU drafted and approved by Board.	HoCoS

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: 3.5 To assist charity trustees in the effective control and management of charities.

Business Plan Objective	Actions	Target 2013/2014				Measurement /Target	Responsibility
		Q1	Q2	Q3	Q4		
(a) Develop guidance for trustees on exercising control and management of a charity.	(i) Develop and publish model governing documents.	√	√	√		Documents available on website and number of hits monitored.	HoCS
	(ii) Develop and publish guidance on Running a charity: good charity governance.		√	√	√	Guidance available on website and number of hits monitored.	HoCS
	(iii) Develop and publish Data protection, information security guidance.		√	√	√	Guidance available on website and number of hits monitored.	HoCoS
	(iv) Develop guidance on Starting a new charity.			√	√	Guidance drafted.	HoCS

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 2012/2013				Measurement /Target	Responsibility
		Q1	Q2	Q3	Q4		
(a) Develop and publish a range of advice and information relevant to the use of resources.	(i) Develop and publish guidance on Receipts & Payments Accounts and toolkit.			√	√	Guidance available on website and number of hits monitored. Volume of general enquiries responded to and monitored.	HoC&E MCM CO
(b) Provide links and sign posts to other helper organisations and sources of information.	(i) Build awareness and formalise appropriate links and sign posting.			√	√	Number of hits on guidance web page.	HoCS

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 2013/2014				Measurement /Target	Responsibility
		Q1	Q2	Q3	Q4		
(a) Implement the Registration Programme.	(i) Test online registration with 20 test organisations and make appropriate adjustments.			√	√	Processes and systems altered to reflect lessons from test phase. Twenty registration processes completed.	HoCS
	(ii) Publish registration guidance.			√		Number of hits on web page.	HoCS
	(iii) Implement registration priority policy to register existing HMRC and new organisations.			√	√	Selected organisations notified within two weeks of beginning of each tranche.	HoCS
(b) Make publically available an up-to-date register of charities on the website.	(i) Populate register as each registration case is finalised.			√	√	770 charities registered Up-to-date register available to public as each registration decision is made.	HoCS

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 2013/2014				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 all official SORP consultation events.	HoC&E MCM
(b) Work jointly with DSD on development of NI charity accounting regulations.	Develop plans for a joint public consultation with the DSD on accounting regulations.			√	√	Agreement of joint public consultation on DSD proposals for accounting regulations.	HoC&E HoCS

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 2013/2014				Measurement /Target	Responsibility
		Q1	Q2	Q3	Q4		
(a) Establish and implement robust operational structures and processes to deliver our services.	(i) Develop, implement and review operational systems and processes via assurance framework.	√	√	√	√	Quarterly assurance statements completed within two weeks of quarter end.	CEO HoCS HoCoS
(b) Implement, review and maintain robust internal corporate processes to ensure we are an effective and accountable organisation.	(i) Review performance against business plan targets on a monthly basis.	√	√	√	√	Report to Board and sponsor department quarterly.	HoCoS
	(ii) Roll out and implement assurance and quality management policy.	√	√	√	√	Assurance procedures followed, 100% staff attendance at awareness sessions.	HoCoS
	(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.	HoCoS

(c) Continue to develop and maintain appropriate Corporate Governance structures.	(i) Regular Board, Audit and Risk, and Human Resources and Remuneration Committee Meetings.	√	√	√	√	Board meeting held six times per year and committee meetings four times per year. MSFM compliance is reviewed twice yearly and governance manual developed and in use.	CEO Board HoCoS
	(ii) Performance appraisal for Commissioners.	√	√			Report annually to DSD.	Chief Commissioner
	(iii) Complete Annual Report in line with MSFM.	√	√			Accounts submitted on time to NIAO, clean audit report, Annual Report laid before Assembly and published on website.	HoCoS
	(iv) MSFM compliance reviewed twice yearly.		√		√	Review completed and recommendations made to Board twice a year.	HoCoS
(d) Maintain robust business planning and reporting mechanisms.	(i) Review and develop business planning and reporting mechanisms.	√	√	√	√	Business plan reporting reviewed quarterly. 90% business plan measures and targets achieved.	HoCoS
	(ii) Commence development of 2014-2015 business plan.			√		Workshop and papers developed within timescale. Development of annual and 3 year projected budget.	HoCoS
	(iii) Seek required approvals for 2014-2015 business plan.			√	√	Sign off by Board, submission to DSD for approval in Dec.	HoCoS

(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.	Board CEX SMT HoCoS
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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 2013/2014				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.	HoCoS FAO
	(ii) Provide further guidance and refresher training to staff.				√	Monthly internal staff development sessions.	HoCoS
(b) Deliver the Equality Scheme and Action Plan commitment to equality and good relations in the work place and in service delivery.	(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.	CEO Board HoCoS
	(ii) Implement approved integrated equality scheme and action plan.	√	√	√	√	Submission of progress report to ECNI satisfaction. 100% staff attendance at awareness raising sessions.	CEO HoCoS
(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.	HoCoS

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.

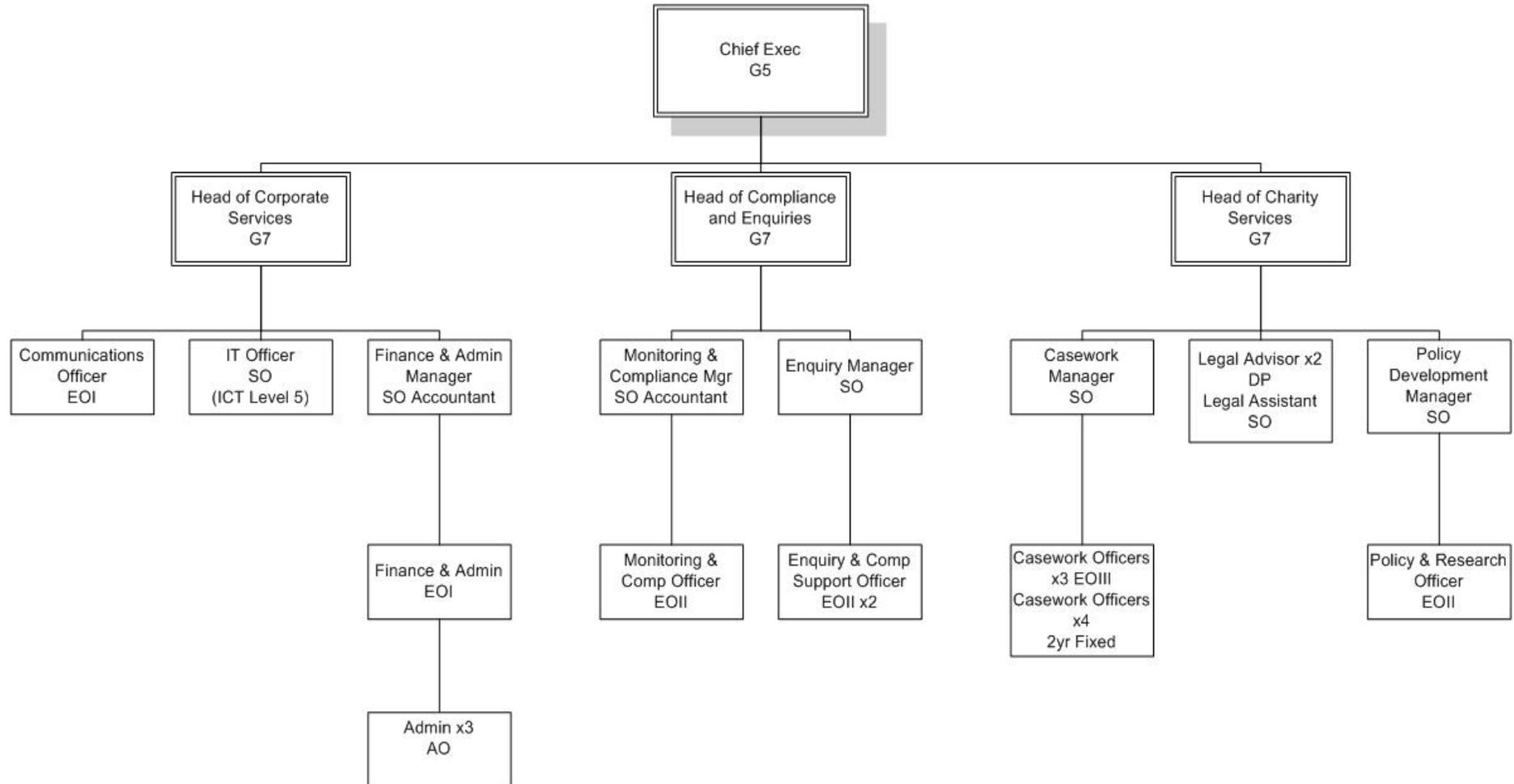
Objective	Actions	Target 2012/2013				Measurement /Target	Responsibility
		Q1	Q2	Q3	Q4		
(a) Integrated IT system (InITs) developed and implemented.	(i) Software build.	√	√	√	√	Initial phase of software delivered.	Board CEO
	(ii) Implementation commences.		√	√	√	Workflow system in place.	HoCoS
	(iii) Test phase and staff training.		√	√	√	Staff trained and system meeting needs.	HoCoS
(b) Manage strategic development and delivery of IT systems.	(i) Review future IT systems and delivery.			√	√	IT strategy in place.	HoCoS
	(ii) MOU monitoring and reporting.	√	√	√		No. of outages/ incidents. Mean time to fix outages.	HoCoS
(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.	HoCoS
(d) Review premises to ensure continuing to meet needs.	Carry out review of needs, costs and lease obligations.			√		Report to Board and DSD.	HoCoS

7. Budget

Source of income: 100% Grant in Aid from DSD

Item	2012/13 Baseline	2013/14
Commissioners Remuneration	£20,700	£20,700
Staffing Costs	£682,598	£905,187
Staff/Commissioner Non-Remuneration Costs	£33,000	£60,375
IT Costs	£100,200	£156,950
Premises Costs	£60,698	£70,949
General Running Costs	£23,000	£40,250
Programme Delivery Costs	£65,000	£163,500
TOTAL REVENUE COSTS	£985,196	£1,417,911
Capital Costs		
Total Capital Costs	£12,000	£289,000
Overall Total	£997,196	£1,706,911

8. Staff Structure



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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.

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:

www.charitycommissionni.org.uk

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