Candidate Information Booklet

IRC159507
Internal Auditor
Staff Officer
Northern Ireland Civil Service

Completed Application Forms must be returned to HRConnect no later than 12 noon (UK time) on Friday, 12 October 2012
Communication between HRConnect and you

HRConnect will issue electronically as many competition communications as possible, you should therefore check your email account to make sure that you don't miss any important communications in relation to this competition. There may, however, still be a necessity to issue some correspondence by hard copy mail.
Each year the Northern Ireland Assembly authorises expenditure in excess of £16 billion on public services in Northern Ireland.

Northern Ireland Civil Service (NICS) departments are responsible for overseeing the allocation and management of this money through a wide range of public organisations, which include the departments, their agencies, non departmental public bodies and other arm’s length bodies, ensuring that the money is spent appropriately and that value for money is achieved in the delivery of services.

The Permanent Secretary of each department, who is designated as the Accounting Officer, is personally responsible to the NI Assembly for how this money is spent. They look to their Internal Auditors to provide them with assurance that money is being spent with regularity and propriety and that value for money is being obtained.

Effective internal audit services are a critical element of delivering strong public accountability and the role of internal audit is frequently recognised by the reports and recommendations of the NI Assembly Public Accounts Committee. Internal Audit needs to focus on key risk areas to assist the Accounting Officer by ensuring that appropriate systems of control are in place to achieve the department’s business objectives. It is therefore important that Internal Auditors recruited to the NICS are sufficiently qualified and competent to objectively provide the assurance required.

As an Internal Auditor within one of the NI departments you will be given the opportunity to audit a wide range of systems in a variety of environments, doing so in line with Government Internal Audit Standards (GIAS) and the standards of the Chartered Institute of Internal Auditors (IIA – UK & Ireland). You will also be supported and encouraged to pursue your continuous professional development.

I hope that this encourages you to apply for the posts within the NICS which are currently available.

Fiona Hamill
Treasury Officer of Accounts
Head of Internal Audit Profession
Department of Finance and Personnel (NI)
BACKGROUND

Internal Audit within central government primarily provides Accounting Officers (heads of departments and agencies), in an economical, efficient and effective manner, with an objective evaluation of, and opinion on, the overall adequacy and effectiveness of the organisation’s framework of governance, risk management and control.

It helps an organisation achieve its objectives by bringing a systematic, disciplined approach to evaluating and improving the effectiveness of its governance, risk management and control processes. Governance, risk management and control comprise the policies, procedures and operations established to ensure the achievement of objectives, the appropriate assessment of risk, the reliability of internal and external reporting and accountability processes, compliance with applicable laws and regulations, and compliance with the behavioural and ethical standards set for the organisation.

Internal Audit also provides an independent and objective consulting service specifically to help line management improve the organisation’s governance, risk management and control. The service applies the professional skills of internal audit through a systematic and disciplined evaluation of the policies, procedures and operations that management put in place to ensure the achievement of the organisation’s objectives, and through recommendations for improvement.

Both assurance and consulting work contribute to the opinion which Internal Audit provides on risk management, control and governance.

There are a number of individual departmental Internal Audit units within the NI Civil Service, each providing an Internal Audit service to their respective departments and agencies, and other relevant sponsored bodies.

All departmental Internal Audit units are required to comply with the Government Internal Audit Standards (GIAS) as issued by HM Treasury and the Department of Finance and Personnel (NI). Based primarily on the Institute of Internal Auditors’ International Standards GIAS and other associated Internal Audit guidance can be obtained on the AFMD website.

www.afmdni.gov.uk
JOB DESCRIPTION

There are currently a number of permanent posts.

SALARY

The salary scale applicable will be the Staff Officer scale £27,115 - £30,520 (under review).

For candidates holding GIAC the salary scale applicable will be Staff Officer Auditor (MIIA or BATS) £28,215 – £31,620 (under review).

For candidates who hold GIAC and MIIA or ADPA the salary scales applicable will be Staff Officer Auditor (MIIA and BATS) £29,315 – £32,720 (under review).

If not already held by successful applicants, Internal Auditors appointed will be required to work towards the achievement of the Government Internal Audit Certificate (GIAC). GIAC is a set standard of competence for the conduct of internal audit in the government environment. Its achievement is determined by the Head of Internal Audit. (Successful candidates who consider that they have been awarded GIAC must also produce satisfactory evidence of this in line with the Government Internal Audit Training and Development Handbook before being placed on the higher SO Internal Auditor scale.)

Staff appointed holding the Chartered Institute of Public Finance and Accountancy (CIPFA) Diploma in Public Audit (DPA) will be encouraged to undertake and complete paper 7 and the Professional Experience Journal of the Chartered Institute of Internal Auditors to achieve the PIIA qualification.

All other appointees will be encouraged to undertake the IIA’s Advanced Diploma (CMIIA) if not already held.

Salary will be within the above scales within which pay progression will be as per current NICS/ pay policy. Starting salary will normally be the minimum of the scale. If the successful candidate is an existing civil servant, normal pay on promotion / regrading arrangements will apply.

LOCATION

While most of the posts will be located in the Greater Belfast area, including Bangor, applicants should be prepared to serve anywhere in Northern Ireland. Candidates appointed to the Department of Justice (DoJ) should be prepared to visit NI Prison Service establishments.

On occasion overnight stays may be required. The posts may also entail occasional travel outside Northern Ireland, usually to Great Britain.
TRANSPORT
As applicants are required to travel on official duty, successful candidates must have access to a form of transport, which will enable them to fulfil their responsibilities.

HOLIDAYS
In addition to the 12 public and privilege holidays the annual leave allowance will be 25 days.

Working Hours
A normal working week will be 5 days totalling 37 hours. Most offices operate a flexi working system.

FURTHER APPOINTMENTS
This competition will be used to fill a number of Internal Auditor (SO) vacancies in NI Civil Service departments over the coming year.

FURTHER INFORMATION
If you require any further details about the work of Internal Auditors please contact Michael Matthews on Tel: 02890 526 072.

If you have any questions about the competition process, you should contact HRConnect on 0800 1 300 330 or email: recruitment@hrconnect.nigov.net
KEY RESPONSIBILITIES

The successful candidates will report to the Audit Manager or Head of Internal Audit and the main duties and responsibilities will include:

- Planning a programme of internal audit assignments, identifying and assessing key risks and agreeing a Terms of Reference for each audit assignment;

- Recording, evaluating and testing risk management and internal control processes using appropriate audit skills, techniques and judgement;

- Agreeing audit findings, conclusions and recommendations with management;

- Formally reporting findings and opinions to audit clients;

- Assisting the Audit Manager and the Head of Internal Audit in the provision of a consulting service (including advice and guidance) to help management improve risk management, control and governance, including system development work; and

- Any other relevant duties as required of the post.
ELIGIBILITY CRITERIA

Applicants must, by the closing date for applications:

1a) i) Hold, one of the following qualifications and have membership of the relevant Institute:

- The Institute of Internal Auditors Diploma or Advanced Diploma (PIIA or CMIIA);
- The Chartered Institute of Public Finance and Accountancy (CIPFA) Diploma in Public Audit (DPA) or Advanced Diploma in Public Audit (ADPA);

and

1a) ii) Have at least 2 years practical experience, gained within the last 5 years, of applying risk/systems based audit principles.

OR

1b) i) Be a full current member of one of the following bodies:-

- The Institute of Chartered Accountants in Ireland;
- The Institute of Chartered Accountants in Scotland;
- The Institute of Chartered Accountants in England and Wales;
- The Chartered Institute of Management Accountants;
- The Association of Chartered Certified Accountants;
- The Chartered Institute of Public Finance and Accountancy;
- Institute of Certified Public Accountants in Ireland.

and

1b) ii) Have at least 2 years practical experience gained with the last 5 years of carrying out audit work of which at least 1 year of must have been practical experience of applying risk/systems based internal audit principles.

AND

2) A sound understanding of risk, control and corporate governance principles and its impact on the work of Internal Audit, and experience of auditing controls to manage risks in a variety of systems/environments.

Applicants must demonstrate on their application form how they meet either eligibility criterion 1a or 1b above and eligibility criterion 2 above.

Candidates **must** present the appropriate certificates at interview stage.
Applications will also be considered from applicants with relevant formal qualifications considered by the selection panel to be of an equivalent or higher standard to those stated.

**Relevant or equivalent** qualifications: give the type of qualification and date awarded (the date awarded is the date on which you were notified of your result by the official awarding body). If you believe your qualification is equivalent to the one required, the onus is on you to provide the panel with details of modules studied etc so that a well-informed decision can be made.

**Please note:**

- You should ensure that you provide evidence of your experience in your application form, giving length of experience, examples and dates as required.
- It is not sufficient to simply list your duties and responsibilities.
- The Department will not make assumptions from the title of the applicant's post or the nature of the organisation as to the skills and experience gained.
- If you do not provide sufficient detail, including the appropriate dates needed to meet the eligibility criteria, the selection panel will reject your application.
- **ONLY** the details provided by you in your application form (the employment history and eligibility criteria) will be provided to the selection panel for the purpose of determining your eligibility for the post.
- The Department may decide to interview only those applicants who appear, from the information available, to be most suitable in terms of relevant experience and ability.
- Further information on the Core Competences for this grade can be accessed through [www.nicsrecruitment.gov.uk](http://www.nicsrecruitment.gov.uk)
PERSON SPECIFICATION

CORE COMPETENCES

The Core Competence Framework, which is grade specific, describes what people need to do in order to be effective at work. It is not enough to just have the knowledge and skills to do our jobs. Competence is about what people actually do, it is about how you apply or demonstrate the knowledge and skills whilst carrying out your tasks. Demonstrated competence is observable and measurable.

These posts are at Staff Officer level in the NICS. Further information on the Core Competences for this grade can be accessed through www.nicsrecruitment.gov.uk.

INTERVIEW CRITERIA

In addition to satisfying the eligibility criteria applicants will also be expected to display the following qualities and skills at interview:

1. Professional /Technical Knowledge and Skills

Experience and knowledge of the following:

   a) Practical application of system / risk based audit principles, including the identification of risks and controls in a variety of environments;
   b) Understanding of risk, control and corporate governance principles and their impact on the work of Internal Audit.

(Marks available 40, with a min standard of 24 marks required)

2. Policy and Strategy

The ability to contribute to the formulation of an internal audit strategy and to develop appropriate long term and short term assignment plans to ensure its implementation.

(Marks available 20)

3. Services

The ability to identify the needs of customers and to provide an effective audit service which meets their changing needs.

(Marks available 20)
4. Resources

The ability to identify, prioritise and plan the use of audit resources to complete a programme of audit assignments. The ability to produce recommendations which ensure resources are used effectively.

(Marks available 20)

5. People

The ability to create, maintain and enhance effective working relationships and to persuade and influence management at all levels. The ability to lead and manage audit teams.

(Marks available 20)

6. Information and Communication

The ability to seek, organise and analyse information and to exercise good judgement /decision making and to produce constructive and innovative solutions to meet the needs of all customers. The ability to communicate information effectively, both orally and in writing.

(Marks available: 20)

7. Programme and Project Management

The ability to support the delivery of a programme of work and evaluates its success.

(Marks available 20)

Overall Marks available - 160 Overall Pass Mark - 96

Candidates will only be considered successful at interview where they have reached the required minimum standard (Criteria 1) and overall pass mark of 96.

COMPETENCE BASED INTERVIEWS

Selection panels will design questions to test the applicant’s knowledge and experience in each of the above areas and award marks accordingly.

INTERVIEWS

It is intended that interviews for this post will take place in Belfast during week commencing 12 November 2012.
INTERVIEW GUIDANCE FOR APPLICANTS

If this is your first experience of a competence-based interview, bear in mind that it does not require you to:

- Talk through previous jobs or appointments from start to finish;
- Provide generalised information as to your background and experience; or
- Provide information that is not specifically relevant to the competence the question is designed to test.

A competence-based interview does however require you to:

- Focus exclusively, in your responses, on your ability to fulfill the competences required for effective performance in the role; and
- Provide specific examples of your experience in relation to the required competence areas.

In preparation for the interview you may wish to think about having a clear structure for each of your examples, such as:

- Situation – briefly outline the situation;
- Task – what was your objective, what were you trying to achieve;
- Action – what did you actually do, what was your unique contribution;
- Result – what happened, what was the outcome, what did you learn.

The panel will ask you to provide specific examples from your past experience in relation to each of the competences. You should therefore come to the interview prepared to discuss in detail a range of examples which best illustrate your skills and abilities in each competence area. You may draw examples from any area of your work / life experiences.
**SELECTION PROCESS**

**The Merit Principle**

In accordance with the Office of the Civil Service Commissioners’ Recruitment Code, appointments to the NICS are made under the ‘merit principle’, where the best person for any given post is selected in fair and open competition.

Further information on the Civil Service Commissioners can be found at [www.nicscommissioners.org](http://www.nicscommissioners.org).

**Making your application:**

The application form is designed to ensure that applicants provide the necessary information to determine how they meet the competition requirements and the eligibility/shortlisting criteria.

**Guidance for Applicants**

- The space available on the application form is the same for all applicants and must not be altered.
- We will not accept CVs, letters, additional pages or any other supplementary material in place of or in addition to completed application forms, unless it is specifically requested in the application form and candidate information booklet, eg an organisational chart.
- Should an organisational chart be required this must be submitted to HRConnect by the closing date for applications.
- Applicants must complete the application form in either typescript font size 12, or legible, block capitals using black ink.
- Applicants must not reformat application forms.
- Information in support of your application will not be accepted after the closing date for receipt of applications.
- HRConnect will not examine applications until after the closing deadline;
- Do not use acronyms, complex technical detail etc. Write for the reader who may not know your employer, your branch or your job.
- Write down clearly your personal involvement in any experience you quote. Write “I” statements e.g. I planned meetings, I managed a budget, I prepared a presentation. It is how you actually carried out a piece of work that the panel will be interested in.
- The examples you provide should be concise and relevant to the criteria. This is very important as the examples which you provide may be checked out at interview and you may need to be prepared to talk about these in detail if you are invited to interview. It is your unique role the panel are interested in, not that of your team or division.
Application Form Submission

- Please refer to the Candidate Information Booklet before completing an application.
- All parts of the application form must be completed by the applicant before this application can be considered. Failure to do so may result in disqualification.
- All applications must be received by the advertised closing date. Late applications or applications received by fax or by email will not be accepted. Applicants using Royal Mail should note that 1st class mail does not guarantee next day delivery. It is also the responsibility of the applicant to ensure that sufficient postage has been paid to return the form to HRConnect. HRConnect will not accept any application where they are asked to pay any shortfall in postage.
- Only the employment history, eligibility and shortlisting sections will be made available to the panel.
- Applicants are encouraged to submit online applications wherever possible. However, all requests for hard copy application packs are welcomed and all applications will be treated equally regardless of whether they are hard copy or online.
- When completing the online application, your information is saved as you move through the pages. You may leave the application at any time, providing you have clicked on the 'Save & Continue' button. Once your application has been submitted the option to edit will no longer be available.
- Please note - the session timeout for the online application is 40 minutes, if you do not save or change page within this time you will automatically be logged out and any unsaved work will be lost.

Please do not attempt to reformat application forms as this will result in disqualification.

Changes in personal circumstances

Please ensure HRConnect are informed immediately of any changes in personal circumstances.

Communication between HRConnect and you

HRConnect will issue electronically as many competition communications as possible, you should therefore check your email account to make sure that you don’t miss any important communications in relation to this competition. There may, however, still be a necessity to issue some correspondence by hard copy mail.

Further appointments from this competition

Where a further position in the NICS is identified which is considered broadly similar to that outlined in this candidate information booklet, consideration will be given to filling the position from this competition. The merit list resulting from this competition will be valid for a period of up to one year.
**Disability Requirements**

We will ask on the application form if you require any reasonable adjustments, due to disability, to enable you to attend any part of the assessment process. Details of any disability are only used for this purpose and do not form any part of the selection process. If you have indicated on your application that you have a disability and are successful in the selection process and are being considered for appointment, you may be required to outline any adjustments you consider necessary in order for you to take up an appointment. If you wish to discuss your disability requirements further, please contact HRConnect.

**Equal Opportunity Monitoring Form**

Please note, this form is regarded as part of your application and failure to complete and return it will result in disqualification.

For guidance on completing the Monitoring Form and to read the NICS Equal Opportunities Policy Statement please refer to page 21.

All applications for employment are considered strictly on the basis of merit.

As men are currently known to be under represented within this grade across the NICS, applications from men would be particularly welcome.

The Northern Ireland Civil Service is an equal opportunities employer.

**Assessment Information**

It is HRConnect policy that all candidates invited to attend for assessment bring sufficient documentation to satisfy the eligibility and the Nationality and Vetting requirements. Further details regarding acceptable documentation will be issued with an invitation to attend for assessment.

You should ensure that these documents are readily available.

**Nationality Requirements**

HRConnect must ensure that you are legally entitled to work in the United Kingdom. The Staff Officer Internal Auditor posts are classified as Non-Public Service, therefore certain nationality requirements apply. Applicants must be either:

(i) A UK national; or  
(ii) A Commonwealth citizen; or  
(iii) A British Protected Person; or  
(iv) An EEA national; or  
(v) A Swiss National; or  
(vi) A person who is not an EEA or Swiss national, but is a family member of an EEA national who has moved to the UK from another EEA Member State for an approved purpose.
For further guidance on Nationality requirements please see Annex A.

Advice on Nationality for (i), (ii) and (iii) above may be obtained from the Home Office website, www.ind.homeoffice.gov.uk.

**Vetting Procedures**

1. Baseline Personnel Security Standard

For Staff Officer Internal Auditor posts in the NICS the level of vetting is a Baseline Standard. For this check you will be required to provide the following:

a) Your passport **OR**

b) A document verifying your permanent National Insurance number (e.g. P45, P60 or National Insurance card) **AND** your birth certificate which includes the names of your parents (long version).

c) Other acceptable documents are listed on www.ind.homeoffice.gov.uk.

d) A specimen signature at any assessment event and have this validated against passport, driving licence, application form etc.

We will organise a Criminal Record Check on all applicants to be carried out by AccessNI. The category of AccessNI check required for this post is:

**Basic Disclosure Certificate**

You should not put off applying for a post because you have a conviction. We deal with all criminal record information in a confidential manner, and information relating to convictions is destroyed after a decision is made.

For more information, the address of the AccessNI website is: [http://www.accessni.gov.uk/](http://www.accessni.gov.uk/). Those applicants who are being considered for appointment will be contacted by HRConnect, normally after interview/test, and will be asked to complete the AccessNI application form. This can be downloaded from the AccessNI website. Guidance notes of the completion of the form are also included on the website. Please note that a request to complete this form should not be seen as a guarantee of an offer of appointment. Failure to complete the above form and return it within the specified time will be regarded as ‘no longer interested in the position’ and your application will be withdrawn.

Criminal Record information is subject to the provisions of the Rehabilitation of Offenders (NI) Order 1978.

**Additional security requirements for Department of Justice (DOJ) posts.**

2. In addition to 1 above, for posts in the DOJ, successful candidates will require to be cleared to Counter Terrorist Check (CTC) level. This involves the completion of a security questionnaire.
Order of Merit

The selection panel will assess candidates against the interview criteria. Those candidates who meet the required standard(s) and pass mark will be deemed suitable for appointment. The selection panel will then list those suitable for appointment in order of merit with the highest scoring applicant ranked first. HRConnect will allocate a candidate (or candidates) to a vacancy (or vacancies) in the order listed. The order of merit is valid for one year.
GENERAL INFORMATION

Pensions:

New entrants who join the Northern Ireland Civil Service (NICS) are eligible to join the NICS pension scheme, the Principle Civil Service Pension Scheme (NI) [PCSPS(NI)] – NUVOS arrangement. Pension is an important part of the reward package for civil servants and, on average, employers pay more than 18% of pay towards pension costs. As well as providing you with an easy and secure way to help you provide for your retirement, the PCSPS(NI) also provides dependants and ill health benefits.

We offer all new employees the choice of either:

- Nuvos - a high quality, index-linked defined benefit pension scheme with a tiered member contribution rate. From 1 April 2012 an individual's contribution rate will be determined by their annual full-time equivalent rate of pensionable earnings. The table below shows the contributions payable.

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<thead>
<tr>
<th>Full-time pay range</th>
<th>Contribution rate 2012-13</th>
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<tbody>
<tr>
<td>Up to £15,000pa</td>
<td>3.5%</td>
</tr>
<tr>
<td>£15,001 - £21,000</td>
<td>4.1%</td>
</tr>
<tr>
<td>£21,001 - £30,000</td>
<td>4.7%</td>
</tr>
<tr>
<td>£30,001 - £50,000</td>
<td>5.1%</td>
</tr>
<tr>
<td>£50,001 - £60,000</td>
<td>5.5%</td>
</tr>
<tr>
<td>Over £60,000</td>
<td>5.9%</td>
</tr>
</tbody>
</table>

Your employing Department also makes contributions; or

- Partnership - a stakeholder type money purchase arrangement with an employer contribution. The employer basic contribution is based on your age, and this is paid regardless of whether you choose to contribute. You do not have to contribute if you do not wish to, but if you do your employing Department will match your contributions up to an additional 3% of pay. Your employing Department will also pay a further contribution, of 0.8% of pay, to the PCSPS (NI) to cover you for Death in Service benefits.

If you previously worked for an employer covered by the PCSPS (NI) arrangements, different conditions and contribution rates may apply. These can be viewed under the Questions and Answers document on the Civil Service Pensions website at:

If you already have a PCPS (NI) pension in payment, you should be aware that the pension scheme rules prevent members from receiving more by way of pay and pension combined on re-employment than they were earning as salary before they retired. This is called “abatement”. If you want to know more about how this may affect you, please contact Civil Service Pensions at:

Waterside House,  
75 Duke Street,  
Londonderry,  
BT47 6FP;  
Tel: 028 7131 9000;  
Email: cspensions.cpg@dfpni.gov.uk  

If you left the NICS with an early retirement, severance or redundancy package then your existing benefits may be affected if you accept this post. If your service was enhanced (increased) when you left then you will not be able to build up benefits in the defined benefit scheme during the period that is covered by the enhancement included in your existing benefits. If you opt to join the Partnership arrangement, employer contributions will not be payable for this enhancement period but you will be able to contribute if you wish. If you are receiving a pension or annual compensation payment then this may be reduced during your re-employment. If you received a top-up payment under the early severance temporary arrangements then your pay may be reduced during your re-employment. If you want to know more about this, please contact Civil Service Pensions.

You may be able to transfer a pension with your current or a previous employer into the PCPS (NI). Information on Transfers In can be found in the New Entrant Pack which you should receive on taking up employment.

**Feedback**

The Northern Ireland Civil Service is committed to ensuring that the processes used to recruit and select staff are fair and in accordance with the principles of the Civil Service Commissioners Code. We are consequently committed to providing feedback in respect of decisions taken in determining eligibility/shortlisting as well as at interview. Feedback in respect of eligibility/shortlisting will be communicated automatically to those candidates who fail to satisfy any criteria. All requests for feedback are welcome.

THIS INFORMATION PACK DOES NOT FORM PART OF CONDITIONS OF EMPLOYMENT
Completed application forms should be sent to the HRConnect Recruitment Team:

HRConnect  
PO Box 1089  
2nd Floor  
The Metro Building  
6-9 Donegall Square South  
Belfast  
BT1 9EW

**NOTE:** Late applications or applications received by fax or by email will not be accepted.

**Contact Details:**

If you have any queries regarding the competition process please contact HRConnect at the address above or by:

**Email:** Recruitment@HRConnect.nigov.net  
**Tel:** 0800 1 300 330  
**Fax:** 028 9024 1665
EQUAL OPPORTUNITIES

Policy Statement

The Northern Ireland Civil Service Equal Opportunities Policy statement is set out below.

“The Northern Ireland Civil Service (NICS) is committed to providing equality of opportunity. It is our policy that all eligible persons shall have equal opportunity for employment and advancement in the NICS on the basis of their ability, qualifications and aptitude for the work. Everyone has a right to equality of opportunity and to a good and harmonious working environment and atmosphere in which all workers are encouraged to apply their diverse talents and in which no worker feels under threat or intimidated. This right is protected in many instances by legislation.

In order to provide a high quality service to the people of Northern Ireland the NICS needs to recruit, retain and promote the best available people. Our equal opportunities policy is central to this strategy. We aim to foster a culture which encourages every member of staff to develop his or her full potential and which rewards achievement. Creating a working environment where individual differences are valued and respected enables all staff to give of their best and helps us to respond more effectively to the needs of the people we serve.

The NICS seeks to maintain the confidence of the whole community. It will continue to promote equality of opportunity and fair participation within the framework of the law and will strive to achieve a workforce that is broadly representative of the society which it serves.

It is the responsibility of all staff to be aware of and to apply this policy. Both Management and Trade Union Side are fully committed to the policy and will endeavour to ensure its full implementation.”

Equal Opportunities Monitoring

Equality monitoring is the process of collecting, storing and analysing information that is relevant to and necessary for the purpose of promoting equality of opportunity between different categories of persons. This section sets out what information is collected, the reasons for doing so and what it is used for.

You should note that the Monitoring Form is regarded as part of your application and failure to fully complete and return it will result in disqualification. The Monitoring Form will be processed separately and neither the form nor the details contained in it will be available to those considering your application.
Legislative Context

This section explains the reasons for gathering this information by setting out the legislative background.

Gender

The Sex Discrimination (NI) Order 1976 (as amended) makes it unlawful to discriminate against an individual on the grounds of his or her sex. Information on gender is also necessary to enable the completion of the annual statutory monitoring return, as required by the Fair Employment and Treatment (NI) Order 1998. Section 75 of the Northern Ireland Act 1998 requires public authorities in carrying out their functions in NI to have due regard to the need to promote equality of opportunity between men and women generally.

Age

The Employment Equality (Age) Regulations (NI) 2006 make it unlawful for employers and others to discriminate on grounds of age. Section 75 of the Northern Ireland Act 1998 requires public authorities in carrying out their functions in NI to have due regard to the need to promote equality of opportunity between persons of different age.

Community Background

The Fair Employment and Treatment (NI) Order 1998 outlaws discrimination on the basis of religious belief or political opinion. The information requested in the Community Background section of the monitoring form is required in connection with the requirements of the above Order and to enable the completion of the annual statutory monitoring return to the Equality Commission for NI.

Section 75 of the Northern Ireland Act 1998 requires public authorities in carrying out their functions in NI to have due regard to the need to promote equality of opportunity between persons of different religious belief and political opinion. Following guidance issued in July 2007 by the Equality Commission for NI the NICS has decided to use “community background” information as a proxy for political opinion.

Disability

Section 75 of the Northern Ireland Act 1998 requires public authorities in carrying out their functions in NI to have due regard to the need to promote equality of opportunity between persons with a disability and persons without. The Disability Discrimination Act 1995 (the DDA) provides protection for disabled persons against discrimination on the grounds of disability.

The DDA defines disability as a “physical or mental impairment, which has a substantial and long term adverse effect on a person’s ability to carry out normal day-to-day activities.”
This definition is interpreted as follows:-

Physical Impairment: this includes, for instance, a weakening of part of the body (eyes, ears, limbs, internal organs etc) caused through illness by accident or from birth. Examples would be blindness, deafness, paralysis of a leg or heart disease.

Mental Impairment: this includes mental ill health and what is commonly known as learning disability.

Substantial: put simply, this means the effect of the physical or mental impairment on ability to carry out normal day to day activities is more than minor or trivial. It does not have to be a severe effect.

Long-term adverse effect: the effect has to have lasted or be likely to last overall for at least 12 months and the effect must be a detrimental one. A person with a life expectancy of less than 12 months is of course covered if the effect is likely to last for the whole of that time.

A normal day to day activity: this is something which is carried out by most people on a fairly regular and frequent basis such as washing, eating, catching a bus or turning on a television. It does not mean something so individual as playing a musical instrument to a professional standard or doing everything involved in a particular job.

**What sort of effect must there be?**

The person must be affected in at least one of the respects listed in the DDA: mobility; manual dexterity; physical co-ordination; continence; ability to lift, carry or otherwise move everyday objects; speech; hearing or eyesight; memory or ability to concentrate, learn or understand; or perception of risk of physical danger.

**What happens if the effects are reduced by medication or other treatment?**

Broadly speaking, the effects that matter are those that would be present if there was no medication or treatment taking place. The exception is people who wear spectacles or contact lenses when what matters is the effect that remain while the spectacles or contact lenses are being used.

**Are there any types of condition covered by special provisions in the DDA?**

Yes, because some people with particular conditions might not otherwise be counted as disabled. These are provisions covering:
Recurring or fluctuating conditions such as arthritis, where the effects can sometimes be less than substantial, which are treated as continuing to have a substantial adverse effect so long as that effect is likely to recur;
Conditions which progressively deteriorate, such as motor neuron disease, which count as having a substantial effect from the first time they have any
effect at all on ability to carry out normal day to day activities even if it is not substantial, so long as there is eventually likely to be a substantial adverse effect; and

People with cancer, HIV, or multiple sclerosis are deemed to be disabled people from the point of diagnosis, regardless of whether or not they have any symptoms.

**Are any conditions not covered?**

Yes, the following conditions specifically do not count as impairments:
- Addiction to or dependency on alcohol, nicotine or any other substance (unless resulting from the substance being medically prescribed);
- Seasonal allergic rhinitis (e.g. hay fever) unless it aggravates the effect of another condition;
- Tendency to set fires, or steal, or physically or sexually abuse other persons;
- Exhibitionism and voyeurism;
- Severe disfigurements consisting of tattoos, non-medical body piercing or attachments to such piercing are not treated as having substantial adverse effects.

**What if someone has recovered from a disability?**

Much of the DDA also applies to people who have had a disability in the past (for example, someone who was disabled by mental ill health) but have now fully recovered. People who were registered disabled under the Disabled Persons (Employment) Act (NI) 1945 both on 12 January 1995 and 2 December 1996 will be regarded as having had a disability in the past if they do not in any case fall within the definition of the DDA.

**Race**

The Race Relations (NI) Order 1997 makes it unlawful to discriminate on grounds of colour, race, nationality or ethnic or national origin. Section 75 of the Northern Ireland Act 1998 requires public authorities in carrying out their functions in NI to have due regard to the need to promote equality of opportunity between persons of different racial group.

**Sexual Orientation**

The Employment Equality (Sexual Orientation) Regulations (NI) Order 2003 makes it unlawful for employers and others to discriminate on the grounds of sexual orientation. In order to monitor the effectiveness of NICS policies information is gathered on sexual orientation. Section 75 of the Northern Ireland Act 1998 requires public authorities in carrying out their functions in NI to have due regard to the need to promote equality of opportunity between persons of different sexual orientation.

**Marital Status & Dependents**

Section 75 of the Northern Ireland Act 1998 requires public authorities in carrying out their functions in NI to have due regard to the need to promote
equality of opportunity between persons of different marital status and between persons with dependants and persons without.

**Use of Monitoring Information**

Monitoring information is used to enable the NICS to assess the effectiveness of its EO policies and to determine the impact (if any) of various policies and procedures on different categories of staff. In addition to this internal focus community background and gender information on both staff and applicants is used to complete the annual statutory monitoring return to the Equality Commission.

**Confidentiality of Monitoring Information**

As with other forms of personal data, the obtaining, use, storage and disclosure of monitoring information is covered by the Data Protection Act 1998 (DPA). Monitoring information is held on computer and is protected by a high level of security. Access to this data is restricted to those NICS staff, employees of HRConnect and Trade Union officials whose duties make it necessary for them to have it. Misuse of monitoring information is viewed as a disciplinary offence.

The confidentiality of community background information is also protected through regulations made under the Fair Employment and Treatment (NI) Order 1998 (FETO). These make it a criminal offence, subject to specific exceptions, for an employer or employee to disclose information on the community background of an individual which has been obtained or used for the purposes of monitoring under FETO.

The release of an individual’s monitoring information is permitted by legislation as part of prospective or actual proceedings under equality legislation, e.g. where another individual has made a complaint of alleged discrimination.

Many people from all backgrounds in Northern Ireland and beyond are interested in the profile of the NICS workforce and the candidates who apply for jobs. For this reason the NICS regularly publishes data in the form of statistical summaries, graphs etc. On occasions it may also be necessary to use monitoring information to answer questions from Assembly Members, MPs and MEPs or to respond to requests for information under the Freedom of Information Act. In all cases where information is made public, the format of presentation will be such that it will not be possible to identify any individual's information.
ANNEX A

Nationality

(i) ‘UK National’ means a person who is a British citizen (including persons from the Channel Islands and the Isle of Man), a British subject under Part IV of the British Nationality Act 1981 having the right of abode in the UK or a British Dependent Territories citizen acquiring his/her citizenship from connection with Gibraltar.

(ii) ‘Commonwealth Citizen’ means any person who has the status of a Commonwealth citizen under the British Nationality Act 1981, not covered by the ‘UK Nationality’ definition above. This includes British Dependent Territories citizens (other than Gibraltarians), British Overseas citizens, and from 1986 those persons in the category British National (Overseas).

(iii) ‘British Protected Person’ means a member of any class of persons declared to be British Protected Persons by Order in Council under the British Nationality Act 1981, or by virtue of the Solomon Islands Act 1978.

(iv) ‘EEA National’ means a national of one of the following countries:

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N.B. nationals from Switzerland also have the same free movement and employment rights.

‘Family member of an EEA national’ means:

(i) That national’s spouse*; or
(ii) A direct descendant (child, grandchild etc.) of that national or his/her spouse who is under 21 years of age or is their dependent; or
(iii) A dependent relative in the ascending line (parent, grandparent etc) of the EEA national or his/her spouse.

*Note: ‘Spouse’ does not include a party to a marriage of convenience and in the case of EEA national vocational students; family members are restricted to spouses and dependent children only.

** Non-exempt Bulgarian and Romanian nationals are required to be registered under the Worker Authorisation Scheme prior to appointment. Guidance on this can be obtained from the Home Office website www.ind.homeoffice.gov.uk.
ANNEX B
CIVIL SERVICE COMMISSIONERS

CSC
NI
CIVIL SERVICE COMMISSIONERS
FOR NORTHERN IRELAND

AN INTRODUCTION
Ensuring appointment on merit
And safeguarding ethics

WHO ARE WE?

Mr Brian Rowntree, CBE (Chairperson)
Mrs Vilma Patterson, MBE
Dr Raymond Mullan, OBE
Ms Marian Matchett, CBE
Mr James Scholes

LOCATION
Our Office is in Windsor House.
The full address is:

5th Floor
Windsor House
Bedford Street
Belfast
BT2 7SR

OPENING HOURS
The Office is open from 9.00am to 5.00pm,
Monday to Friday, except Public and Bank Holidays.

How to contact us

• write to us at the address at the top of the page
• telephone us on 028 9054 9151
• fax us at 028 9054 9414
• visit us at www.nicscommissioners.org
Annex B

CIVIL SERVICE COMMISSIONERS

WHAT ARE WE HERE TO DO?

Civil Service Commissioners are appointed by the Crown to uphold the principle that selection for appointment to posts in the Civil Service should be on merit on the basis of fair and open competition.

WHERE DO WE GET OUR AUTHORITY FROM?

Commissioners derived their responsibilities from prerogative Orders made by the Secretary of State. Our authority currently derives from the Civil Service Commissioners (NI) Order 1999.

HOW DO WE DO IT?

We do it by:

- making General Regulations.
- publishing and maintaining a Recruitment Code setting out the essential principles and procedures on which recruitment to the Northern Ireland Civil Service must be based. Departments and Agencies must follow this Code. A copy is available online at: www.nicscommissioners.org
- it is inevitable that occasions will arise when special circumstances lead to Departments needing to depart from the Merit Principle. The Commissioners have set out the circumstances in which they are prepared to look at requests to depart from the Merit Principle. These ‘exceptions’ must be notified to, and in some instances approved by, the Commissioners before an appointment can be made.
- auditing recruitment policies and practices followed by Departments and Agencies in making appointment to the Northern Ireland Civil Service. Each year, the Commissioners decide on a particular aspect of recruitment to examine in detail (an audit) and request management consultants to carry out independent investigations on their behalf. The results of these audits are published in the Commissioners’ Annual Report.
- requiring Departments and Agencies to publish information about their recruitment activity.
approving procedures for appointment, through open competition, to the Senior Civil Service in Northern Ireland.

hearing and determining appeals under the Northern Ireland Civil Service Code of Ethics. Under the Civil Service Commissioners (NI) Order 1999, we have been assigned the role of providing an independent appeals mechanism for Northern Ireland civil servants. The Code of Ethics sets out the constitutional framework within which civil servants work and the values they are expected to uphold. Details of the number and nature of the appeals received by the Commissioners are published each year in our Annual Report.

WHAT CAN WE DO FOR YOU?

If you have ever applied for a post in the Northern Ireland Civil Service, you can be assured that, whether or not you were successful, the Department or Agency was obliged to make that appointment in accordance with directions for good practice set out by the Commissioners.

We are concerned that civil servants are not fully aware of the appeals mechanism under the Code of Ethics. We would strongly encourage any civil servant who believes that he or she has been asked to act in a way which

- is illegal, improper or unethical;
- is in breach of constitutional convention or a professional code;
- may involve a possible maladministration; or
- is otherwise inconsistent with the Code

to report the matter in accordance with procedures laid down in the Northern Ireland Civil Service Pay and Conditions Code or Departmental guidance.

Where the matter has been reported in the appropriate manner and a civil servant believes the response does not represent a reasonable response to his or her concerns, s/he may report the matter in writing to the Civil Service Commissioners.