

# RECRUITMENT CODE

April 2012  
(Revised January 2017)

*Ensuring appointment on merit  
& safeguarding ethics*

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## **SECTION 1**

### **FOREWORD**

- 1.1** This Recruitment Code, published by the Civil Service Commissioners for Northern Ireland in April 2012, replaces the previous Code published in 2005. It provides advice and guidance on the interpretation and application of the principle of selection on merit, on the basis of fair and open competition, for posts in the Northern Ireland Civil Service (NICS).
- 1.2** The overall thrust and broad principles of the Code have not been changed. A number of amendments have, however, been made. These changes are aimed at providing greater clarity so that all those involved in the recruitment process may understand better the requirements of the Code and how these might be satisfied in practice.
- 1.3** In producing this Code, Commissioners examined a number of important issues including, in particular, our expectations; the circumstances necessary for these to be satisfied; and how the Code should be interpreted and applied. We also examined the arrangements for Ministerial involvement in appointments and the requirements of those appointments made by way of exception to the Merit Principle. We took account of changes in the wider environment which impact on recruitment to the NICS. In addition to reflecting on the views expressed during a formal consultation period, we examined and drew upon good practice in a number of other jurisdictions.
- 1.4** Civil Service Commissioners for Northern Ireland were first appointed in 1923. Commissioners are independent regulators of the Northern Ireland Civil Service (NICS). We are supported by staff assigned by the Secretary of State for Northern Ireland. Under the Civil Service Commissioners (Northern Ireland) Order 1999, Commissioners have a statutory duty to ensure that appointments to the NICS are made on merit, on the basis of fair and open competition (known as the Merit Principle). As regulators, Commissioners have an important role in seeking to ensure that recruitment decisions are free from personal or political

partiality. The legislation also requires Commissioners to publish and maintain a Recruitment Code on the interpretation and application of the Merit Principle, including the circumstances in which any exceptions might apply.

- 1.5** The first Recruitment Code was published in 1997 and over the years has been reviewed regularly and, as necessary, updated to reflect changes in the wider context within which it operates. In 2005, Commissioners introduced the first principle-based Code which recognised that it was for the NICS to determine the detail of how best to operate in accordance with the Merit Principle and to ensure that their policies and practices were consistent with the Code's requirements. The 2005 Code was, therefore, less prescriptive than previous Codes. This shift to a principle-based approach also reflected more accurately the Commissioners' role as guardians of the Merit Principle rather than as guardians of any particular policy, process or procedure. Commissioners are content that this principle-based approach remains appropriate and valid in going forward and the approach, therefore, has continued in this Code.
- 1.6** Commissioners will periodically revise this Code, as required, to ensure that it provides clarity and guidance in relation to any important developments, including changes in NICS recruitment policies and practices.
- 1.7** Commissioners have a statutory duty to safeguard the Merit Principle while the NICS, and individual Departments as the appointing authorities, have a duty to comply with the Merit Principle. The NICS and Departments must operate in accordance with the Merit Principle and with the Commissioners' requirements, as articulated in this Code. Commissioners scrutinise NICS recruitment policies and practices through a regular audit and review programme to determine to what extent they comply with the Merit Principle and the Code's requirements. The full range of activities undertaken by Commissioners in order to discharge their statutory responsibilities is set out in more detail in paragraph 2.3.
- 1.8** Commissioners perceived a need to review and refresh the 2005 version of the Code to take account of changes in the wider political, business and social environment and, therefore, the context for recruitment to the NICS. The return

of devolved powers to Northern Ireland, coupled with a significant reform agenda across the NICS, has changed substantially the context within which the NICS operates and created a demand for a wider range of skills and experience throughout the organisation, along with a need for greater ability to respond to local needs, challenges and circumstances.

- 1.9** This Code should be read in conjunction with all of Northern Ireland's equality and anti-discrimination legislation, the principles espoused therein, and the associated statutory Codes of Practice. In taking forward their statutory duty to safeguard the Merit Principle, Commissioners remain fully committed to promoting equality, diversity and good relations in all aspects of their work and to upholding the principle of selection on merit on the basis of fair and open competition. In developing this Code, Commissioners undertook an Equality and Human Rights screening of the proposed draft and, as a result, determined that a full equality impact assessment was not required. Nevertheless, all consultees were invited to identify any aspect of the revised Code which might have a differential impact on any Section 75 group. No such concerns were identified.
- 1.10** One particular issue was raised in relation to the need to ensure fair treatment of people with criminal convictions. After careful consideration of the points made, and in light of the fact that diversity, inclusivity and equality of opportunity for all are central pillars of the Recruitment Code, Commissioners concluded that the Code is sufficiently all-embracing and inclusive to address the concern.
- 1.11** This Code is mandatory for everyone involved in open recruitment and selection to the NICS. The principles expressed may be equally applicable across other employment sectors.
- 1.12** We believe firmly that adhering to this Code will ensure appointments to the NICS are made on merit, on the basis of fair and open competition. This adherence will ensure that the best people are recruited for the posts available and will promote an effective Civil Service which reflects the diversity of Northern

Ireland society (consistent with nationality requirements) and enjoys the confidence of the people it seeks to serve.

**1.13** Commissioners are grateful to all those who contributed to the consultation process and who, in so doing, helped shape and inform this Code.

A handwritten signature in black ink, appearing to read 'Brian Rowntree', with a stylized flourish at the end.

**BRIAN ROWNTREE, CBE**

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## **SECTION 2**

### **INTRODUCTION TO THE CODE**

#### **WHAT DO COMMISSIONERS DO?**

**2.1** Civil Service Commissioners for Northern Ireland were first appointed by Royal Warrant in 1923. Commissioners are appointed under the Northern Ireland Constitution Act 1973 which requires them to uphold the principle that selection for appointment to posts in the Northern Ireland Civil Service (NICS) should be on merit on the basis of fair and open competition (this principle is known as the Merit Principle). The Commissioners' primary concern is to regulate appointments made to the NICS by way of open competition, at all levels, to ensure that the Merit Principle is adhered to, both in spirit and in practice. Additionally, Commissioners may consider and determine appeals made by existing civil servants under the NICS Code of Ethics.

**2.2** While internal transfer and/or promotion are outside the remit of Commissioners, the broad principles set out in this Code reflect good practice and Commissioners consider they are applicable equally to internal appointments in order to safeguard the Merit Principle.

#### **DISCHARGING OF COMMISSIONERS' ROLES AND RESPONSIBILITIES**

**2.3** Commissioners discharge their statutory responsibilities by:

- maintaining the principle of selection on merit on the basis of fair and open competition in relation to selection for appointment;
- making General Regulations which prescribe the circumstances in which the Merit Principle shall not apply;

- publishing and maintaining a Recruitment Code on the interpretation and application of the Merit Principle;
- auditing recruitment policies and practices followed in making appointments to the Civil Service to establish whether the Recruitment Code is being observed; and
- requiring the publication of such information as they may specify relating to recruitment and to the use of permitted exceptions to the Merit Principle.

**2.4** In addition to the statutory responsibilities outlined in paragraph 2.3 above, Commissioners have a duty to promote equality of opportunity and good relations under Section 75 of the Northern Ireland Act 1998.

**2.5** Commissioners seek opportunities to promote their role in order to enhance understanding of the Merit Principle and open new channels of communication whereby those interested in the Commissioners' areas of responsibility can offer additional information and feedback.

**2.6** Commissioners contribute to the development of an effective and impartial Civil Service by carrying out the duties imposed on them by the 1999 Order. This contribution provides assurance to the public that appointments to the NICS are made on merit, on the basis of fair and open competition. If appointments are made on merit, it should follow that the Civil Service has selected, from those available, the best persons for the jobs and the duties of the posts should therefore be carried out more effectively.

**2.7** The Commissioners do not make appointments themselves. The Department of Finance (DoF) formerly known as the Department of Finance and Personnel (DFP), is responsible for determining the regulations for appointment to the NICS and for setting, and ensuring compliance with, NICS recruitment policy. Selection and appointment of staff is the responsibility of DoF and individual Departments. Some elements of the process have been contracted-out to



HRConnect. The role of Commissioners is to ensure that the Merit Principle is upheld throughout the NICS recruitment process. This Recruitment Code sets out the essential principles on which recruitment to the NICS must be based. Commissioners have a detailed authorisation process which must be followed for all open recruitment leading to appointment to the Senior Civil Service (SCS) – see paragraph 2.13. Commissioners currently chair SCS open recruitment competitions.

**2.8** Under Article 5 of the Civil Service Commissioners (Northern Ireland) Order 1999, the Commissioners may consider and determine appeals to them by existing civil servants under the NICS Code of Ethics. The Code sets out the core values of integrity, honesty, objectivity and impartiality which support good government and seek to ensure the achievement of the highest possible standards in all that the Civil Service does. This, in turn, helps the Civil Service to gain and retain the respect of Ministers, the Assembly, the public and its customers. Normally Commissioners would become involved only after the individual case has been considered by the Department. In exceptional circumstances, Commissioners may consider taking complaints direct from civil servants, should circumstances warrant such an approach. In line with the legislation, Commissioners publish, in their Annual Report, the number of appeals received each year under the Code of Ethics, together with a summary of the nature of such appeals.

## **WHO ARE THE CIVIL SERVICE COMMISSIONERS?**

**2.9** The first Civil Service Commissioners for Northern Ireland were appointed in 1923 by His Majesty the King. Commissioners themselves are appointed on merit following public advertisement and by fair and open competition. All Commissioners are independent of the NICS and this is fundamental to their role as regulators. They bring to the job wide experience from different backgrounds, careers and interests.

## RECRUITMENT CODE

**2.10** Commissioners have a statutory duty to prescribe and publish a Recruitment Code on the interpretation and application of the Merit Principle and the circumstances in which any exceptions to the Merit Principle may be permitted. This Code applies to appointments made other than by internal transfer or promotion and compliance with it is mandatory for all individuals and/or bodies involved in the recruitment and selection process for appointment to the NICS. By requiring Departments and Agencies to comply with the Code, Commissioners seek to promote public confidence in the process of recruitment to the NICS.

**2.11** It is the Commissioners' intention that this Code will contribute to the development of best practice in the field of recruitment and selection. It reflects, but does not replace, relevant employment legislation. All appointments made under this Code must also comply with all of Northern Ireland's equality and anti-discrimination legislation, the principles espoused therein, the associated statutory Codes of Practice and the NICS requirements for appointment prescribed by DoF under Article 4(2)(c) of the Civil Service (Northern Ireland) Order 1999.

## EXCEPTIONS TO THE MERIT PRINCIPLE

**2.12** Article 4(2) of the Civil Service Commissioners (Northern Ireland) Order 1999 states that the Commissioners may, with the approval of the Secretary of State, prescribe, in General Regulations or by directions, the circumstances in which the principle of selection on merit on the basis of fair and open competition shall not apply. The Commissioners' objective in permitting exceptions is to provide flexibility where it can be justified as necessary and appropriate to meet the business needs of the NICS. However Commissioners will require to be satisfied why it is not reasonably practicable for the Department to make the appointment in question through open competition and in accordance with the Merit Principle. Commissioners monitor, scrutinise and challenge all requests

submitted to them and must be satisfied, on a case-by-case basis, that appointment by exception is warranted. The categories of exception are set out in the Commissioners' General Regulations 2007 which should be read in conjunction with paragraphs A.12 to A.31 of Appendix A to this Code.

## **COMMISSIONERS' STATUTORY ROLE IN APPOINTMENTS TO THE SENIOR CIVIL SERVICE**

**2.13** The Commissioners' statutory role relates to appointments to the NICS by open competition. Article 6 of the Civil Service Commissioners (Northern Ireland) Order 1999 provides that any appointment to the Senior Civil Service (SCS) made through open competition requires the written approval of the Commissioners. This approval role extends also to any appointment to the SCS made as an exception to the Merit Principle – see paragraph 2.12 and Appendix A paragraphs A.12 to A.31. The SCS is the top-level leadership cadre within the NICS and includes all those at Grade 5 and above. Commissioners have a detailed authorisation process which must be followed for all open competitions leading to appointment to the SCS whether on the basis of a permanent, fixed term or part-time contract or by way of secondment. Where applicable, Commissioners will seek a clear assurance of the fixed-term or temporary nature of these appointments.

## **MONITORING THE APPLICATION OF MERIT**

**2.14** Under Article 4(4) of the Civil Service Commissioners (Northern Ireland) Order 1999, Commissioners have a statutory duty to audit recruitment policies and practices followed in making appointments to the NICS to establish whether the Recruitment Code is being observed. This audit function is one of the key mechanisms to assure adherence to the Merit Principle. An Audit and Review Strategic Programme and Annual Audit Plan focuses on issues which provide information as to how, and to what extent, the Merit Principle is being interpreted and applied.

**2.15** While assuring adherence to the Merit Principle is the primary purpose of the audit and review process, the outcomes provide a basis for discussions between Commissioners and senior representatives of the NICS to help determine future arrangements for adherence to the Merit Principle and the supporting principles in the Recruitment Code. Audit and Review seeks to:

- provide assurance of Departmental and NICS-wide adherence to the Merit Principle, identifying any weaknesses / areas of concern for priority action;
- provide advice on good practice and opportunities for improvement; and
- communicate findings, conclusions and recommendations in an open and consultative way.

**2.16** Commissioners advise the NICS of the outcomes of each audit and review and monitor the implementation of key recommendations by the NICS, as necessary.

**2.17** Audit and Review summary reports are published on the Commissioners' website. Summary findings from the audits, together with key outcomes against the recommendations, are published as part of the Commissioners' Annual Report.

## **MINISTERIAL ROLE IN APPOINTMENTS**

**2.18** The application of the Merit Principle and this Recruitment Code serve to reassure the public that all appointments to the NICS are made on merit, in fair and open competition. Ministers will be similarly reassured that those who will work closely with them on a day-to-day basis are so appointed.

**2.19** On an exceptional basis, namely the appointment of the Head of the Civil Service or a Permanent Secretary, or a very limited number of other SCS posts located outside this jurisdiction, the appropriate Minister(s) may wish to be involved. It is important that any such involvement should be accommodated within a process which ensures that individual appointments are made on the

basis of merit, free from personal or political partiality. Appointments made in this manner will reassure the public that those appointed may serve Ministers of different political backgrounds and, in so doing, safeguard the impartiality of the Civil Service. It is essential to put in place arrangements which provide that recruitment decisions are made in an open and transparent manner thereby ensuring that the person appointed is selected on merit through fair and open competition and through a process which adheres to the requirements of the Commissioners' Recruitment Code.

**2.20** Commissioners have set out guidance on the Ministerial role in the process for appointments to the Senior Civil Service at Appendix A to this Code.

## SECTION 3

### COMMISSIONERS' RECRUITMENT PRINCIPLES

- 3.1** Commissioners have identified four Principles which they believe underpin the concept and practical application of recruitment on the basis of merit. It is intended that these Principles should form the basis of the NICS approach to recruitment policy and practice and should be observed by all those involved in the recruitment process.
- 3.2** Although it is for the NICS to establish the appropriate means to apply the Principles in practice, some guidance has been provided to illustrate the Commissioners' views on the application of their recruitment Principles. Each Principle is set out below, together with a brief explanation.

#### **PRINCIPLE 1: Appointments should be made on merit**

- Merit has been and remains the core Principle on which appointments must be made. Making appointments on merit, on the basis of fair and open competition, is critically important to an effective and impartial Civil Service.
- Merit means the appointment of the best available person. No-one should be appointed to a job unless they are competent to do it and the job must be offered to the person who demonstrates that they would do it best.
- This Principle accords with the Civil Service Commissioners (NI) Order 1999 which gives Commissioners a statutory duty to maintain the Principle that "...a person shall not be appointed to...the Civil Service unless the selection...was made on the basis of merit in fair and open competition."

- Diversity, inclusivity and equality of opportunity are central to the Merit Principle and these should be embraced fully during recruitment processes.

**PRINCIPLE 2: Appointment processes should be fit for purpose**

- All recruitment processes and practices adopted by the NICS should be fit for purpose, consistent with appointment on merit, on the basis of fair and open competition, and commensurate with good practice.
- This Principle extends to all aspects of recruitment including job analysis, defining job and person specifications, advertising the vacancy and the use of appropriate assessment processes.
- Excellence in recruitment policy, management and practice is a business benefit.
- Commissioners welcome and support innovative approaches to ensuring that appointment processes deliver against the Merit Principle.

**PRINCIPLE 3: Appointment processes should be fair and applied with consistency**

- Fair means that there is no bias in the assessment of candidates. Selection processes must be objective, impartial and applied consistently.
- Commissioners oppose wholly any form of unlawful discrimination, direct or indirect, active or passive and expect the NICS to adopt a

vigorous approach to ensure that this does not arise.

- The NICS has an obligation to treat candidates fairly, to a consistent standard and in a consistent manner. Selection processes and the manner in which they are applied must be demonstrably fair and underpinned by real commitment to diversity, inclusivity, and equality of opportunity.

**PRINCIPLE 4: Appointments should be made in an open, accountable and transparent manner**

- Open means that job opportunities must be advertised publicly and potential candidates given reasonable access to information about the job and its requirements, and about the selection process.
- Confidence is enhanced by the transparency and openness of the manner with which the NICS deals with candidates at all stages of the recruitment process. Such confidence requires open and active communication on the processes to be adopted, the methods for assessment and the arrangements for constructive feedback.
- By requiring Departments and Agencies to comply with this Code, Commissioners contribute to the development of an effective and impartial Civil Service and expect this to provide assurance to the public that appointments to the NICS are made on merit, on the basis of fair and open competition.



## **SECTION 4**

### **REQUIREMENTS OF THE CODE**

**4.1** Commissioners are committed to the concept of a principle-based Recruitment Code. The guidance set out below offers insight into the requirements of the Code and how the Principles should be applied.

**4.2** This guidance is structured under a number of headings. Each statement represents an expectation of what should happen in practice and illustrates the type of areas Commissioners will seek to review in discussions with senior management and practitioners in the NICS and through the Audit and Review Programme.

#### **Attracting Candidates**

**4.3** Attracting the widest possible pool of candidates of the calibre to meet the needs of the NICS is central to upholding the Merit Principle. Commissioners expect to see evidence of an active approach to implementation of the Merit Principle through:

- recruitment policies and practices which are developed and promoted to advance an agenda for diversity, inclusivity and equality of opportunity and which specifically target under-representation;
- clear decisions on the appropriateness of the approach adopted in any recruitment competition. This should include explicit and early consideration of diversity and outreach measures and action to identify and, as appropriate, remove potential barriers to broad appeal across the community as part of competition planning;
- measures to ensure that career opportunities in the NICS are understood by, and accessible to, a wide spectrum of the community;

- measures to ensure that due regard is paid to the potential for unfair treatment of those who are not given the opportunity to be considered for appointment. Particular attention should be paid to this issue when considering making further appointments from an existing Merit List; and
- measures to ensure the terms of appointment(s) are confined to the employment status set out for candidates in the competition documentation, to include reference to whether the appointment is, for example, permanent, temporary, fixed term or by way of secondment.

### **Advertising / Quality and Range of Information**

**4.4** Commissioners and the NICS are obliged, by law, to ensure that recruitment is made through fair and open competition. The advertising of vacancies is a key area where the Commissioners seek assurance. Expected practice includes:

- open and clear communication of vacancies and, in particular, where it is known at the outset of a competition that more than one vacancy exists, details should be communicated clearly to potential candidates in all advertising and candidate information;
- clear decisions, with supporting documentation, on the use of advertising / information and other channels which are appropriate to the vacancy under consideration and accessible to all potential applicants;
- accessible candidate information and briefing materials which are free from bias and correspond with both the job and person specifications and the assessment process to be followed; and
- clear and transparent communication as to the terms of appointment to include reference to, for example, whether the appointment will be permanent, temporary, fixed term or by way of secondment, as applicable.

## **Selection and Assessment Processes**

**4.5** The selection and assessment processes used and the manner in which they are deployed in practice are important dimensions of the Merit Principle.

Commissioners expect to find practices which include:

- an active emphasis on ensuring that adverse impact and diversity issues are considered and addressed, as appropriate, in advance of competitions;
- job descriptions and person specifications, informed and supported by job analysis, which are identified, considered and endorsed by appropriate sponsors at the earliest stage and reflected consistently throughout the selection process;
- selection criteria which are clear, objective and fair and derived from a clear focus on the key requirements of the job description and person specification. Such criteria should also promote principles of diversity, inclusivity and equality of opportunity;
- use of good practice documentation which complies with legislation, is free from bias and which demonstrates a consistent approach throughout the selection process;
- use of assessment processes which comply with requirements of fairness, are free from bias, are in line with good practice, and are appropriate to the demands and level of the post concerned; and
- appointments to positions made on an order of merit basis, including those competitions which result in more than a single appointment.

## Training

**4.6** Commissioners regard appropriate training for all those involved in recruitment as fundamental to ensuring adherence to the four Principles of this Code. In practice, Commissioners expect:

- training to cover not only the structure of the process, but also the skills of those involved and the recruitment context, including equality and diversity considerations, outreach measures and that which ensures understanding and knowledge of current and any forthcoming legislation;
- arrangements to be in place to ensure that appropriate training is available and delivered on a timely basis to all those involved in the recruitment and selection process;
- recent and relevant training to be delivered to an appropriate and consistent standard reflecting current good practice with an awareness of new approaches. This includes training on the roles, responsibilities and functions of the key contributors at each stage of the recruitment process. Such training should be undertaken by each contributor and panel member participating in a recruitment competition and should be refreshed regularly; and
- the content and effectiveness of training to be monitored regularly and evaluated by the NICS and the necessary follow-up action taken.

## Management Arrangements

**4.7** Commissioners recognise that management arrangements for recruitment in general, and for specific competitions, will demonstrate how effectively the Code is being applied. HRConnect has a key role in managing and delivering some elements of the recruitment process and it will be important to ensure that this

role is understood by all those involved. Commissioners expect to find evidence of:

- measures to ensure that policies and practices comply with legislation and are consistent with the Merit Principle;
- adequate controls in place to ensure that appropriate processes are adopted and delivered;
- measures to ensure that all those involved in the process are appropriate and that the process for their involvement and their specific roles and responsibilities are clearly defined and understood;
- measures to ensure the recording of panel members' declaration of interest, including knowledge of candidates, either personal or professional;
- senior NICS management involvement in ongoing monitoring of the effectiveness of NICS recruitment policies, including issues of equality, diversity and adverse impact;
- effective post-competition evaluation to identify and disseminate lessons learned from individual competitions;
- proactive measures to regularly monitor and evaluate recruitment policies and practices so as to identify and implement any improvements which would further promote and support the principles of this Code; and
- measures to ensure that the appointment process is not subject to undue delay, with reasons for any such delay recorded.

## **Documentation**

**4.8** Within competitions, Commissioners will seek evidence:

- of proper completion and retention of all records, clearly supporting each stage of the process; and
- that documentation and its use is available and accessible for the purposes of audit and review.

## **Communication**

### **4.9 Commissioners will seek evidence that:**

- panels are provided with professional HR expertise and guidance at key stages of the recruitment and selection process;
- there is effective communication between the various stakeholders involved during each stage of the recruitment and selection process and a clear and shared understanding of their respective roles and responsibilities;
- there is a commitment to fair, open, timely and effective communication to candidates, including clear, meaningful and appropriate feedback;
- there are opportunities for panel members or other key contributors to raise concerns they may have about any aspect of a competition; and
- enquiries and/or complaints are dealt with in an efficient, appropriate and timely manner.

**APPENDIX A****COMMISSIONERS' APPROVAL PROCESSES****APPOINTMENTS TO POSTS IN THE SENIOR CIVIL SERVICE (SCS)**

**A.1** Article 6 of the Civil Service Commissioners (Northern Ireland) Order 1999 sets out that no appointment may be made to any post in the Senior Civil Service (SCS) filled through open competition (or those made under the exceptions below) without the written approval of the Commissioners, whose decision shall be final. This includes any appointment to the SCS in respect of which Ministers have declared that they wish to have a direct involvement in the recruitment process. Commissioners will publish details of competitions in which there has been Ministerial involvement in their Annual Report.

**A.2** Commissioners' authorisation for SCS appointments will be granted solely in respect of the opportunity as defined in the competition documentation. Any change in employment status, which has not been communicated openly to candidates as an opportunity in the competition documentation will require justification by the NICS and authorisation by Commissioners, for example, conversion from a temporary, fixed term or secondment arrangement to a permanent appointment.

**MINISTERIAL ROLE IN THE PROCESS FOR APPOINTMENTS TO THE SENIOR CIVIL SERVICE (SCS)**

**A.3** The application of the Merit Principle and this Recruitment Code serve to reassure the public, the Northern Ireland Assembly and Ministers that all appointments are made on merit, in fair and open competition. This is important in order to safeguard the impartiality of the Civil Service and to ensure that Ministerial involvement in the NICS recruitment and selection processes is managed appropriately within NICS policies and procedures and adheres to the Commissioners' SCS Authorisation process. As adverted to in paragraph 2.19 of this Code, the appropriate Minister(s) may wish to be involved in the recruitment process on an exceptional basis, namely the appointment of the

Head of the Civil Service or a Permanent Secretary, or a very limited number of other SCS posts located outside this jurisdiction. This section sets out guidance on the involvement of Ministers in such circumstances. If a Minister(s) is to be involved in the recruitment process, the Department will be required to ensure that appropriate training is provided in line with the requirements of paragraph 4.6.

**A.4** Ministerial involvement can be properly accommodated within a selection process which is appropriately managed within established NICS policies and procedures. This will ensure that individual appointments are made on the basis of merit, free from personal or political partiality, and that the appointee is able to continue to serve Ministers of different political backgrounds. This is essential in order to safeguard the impartiality of the Civil Service and to ensure that recruitment decisions are appropriately managed and meritorious. The Recruitment Code is designed to provide these safeguards, and applies to all appointments to the Civil Service, within the context of the following guidance.

### **Appointment of the Head of the Northern Ireland Civil Service**

**A.5** The post of Head of the Northern Ireland Civil Service (HOCS) is unique in terms of its duties and responsibilities and its relationship to the Executive. This has implications for the recruitment process. In recognition of this, the NICS have engaged with Commissioners with a view to providing assurance that any arrangements made to appoint a HOCS through open competition safeguard the Merit Principle.

**A.6** Whilst responsibility for the development of the recruitment and selection process rests with the NICS under the general management and control provisions set out in the Civil Service (Northern Ireland) Order 1999, it is the role of Commissioners to satisfy themselves that the process has been properly applied in relation to the appointment of the HOCS and that the person to be appointed has been selected on merit, in fair and open competition.



**A.7** The NICS recruitment process for the appointment of the HOCS includes the potential active involvement of the First Minister and deputy First Minister (FM&dFM) in the recruitment and selection decision-making process. Where it is intended that there should be active involvement on the part of the FM&dFM, this will be accommodated within the NICS established process. As with all SCS competitions, Commissioners will continue to exercise their authorisation and approval function through the 4-Stage Authorisation process. This allows Commissioners to discharge their statutory role to approve all appointments to situations in the SCS.

### **Appointment of Permanent Secretary and a small number of other positions in the SCS**

**A.8** In the appointment of a Permanent Secretary, or a very limited number of other SCS posts located outside this jurisdiction, the Minister may declare an interest and an involvement within the process. As noted above, responsibility for the recruitment and selection process falls within the NICS general management and control provisions as set out in the Civil Service (Northern Ireland) Order 1999. In the case of the appointments envisaged in this paragraph, Ministerial involvement is not deemed as active involvement in the recruitment and selection decision-making process, and may extend to:

- consulting in relation to the planning of the recruitment exercise;  
and / or
- endorsing the lead candidate.

**A.9** Where the Minister(s) has contributed to the planning of a recruitment exercise the Minister may brief the selection panel and / or each of the shortlisted candidates. If the Minister avails of the opportunity to brief shortlisted candidates, each briefing shall be standardised and confined to setting out the Minister's expectations of the role and its responsibilities and will be overseen by the relevant Civil Service Commissioner.

- A.10** It is important to be clear that ownership of, and responsibility for, all final decisions rest with the panel. If Ministerial endorsement of the lead candidate is required this must be identified in all advertising and candidate information. In line with the selection process for posts in the SCS, all relevant documentation, including the panel's agreed merit list, must be referred to the Commissioners for approval before the name of the lead candidate is referred to the Minister(s).
- A.11** The candidate recommended for appointment must be the one placed first in order of merit by the selection panel. Where Ministerial endorsement is required, the Minister should be advised in writing only of the candidate placed first on the merit list. In order to ensure that appointments are made on the basis of merit, free from personal or political partiality, the Minister(s) should not meet the lead candidate prior to appointment. Only the lead candidate will be approved by the Commissioners for appointment, unless he/she does not accept the offer of appointment. In that event, the position may be offered to individual reserve candidates in order of merit but only after Ministerial endorsement and Commissioner approval have been obtained.
- A.12** The Minister(s) must decide whether or not to endorse the appointment; this decision should be recorded and forwarded to the Commissioners' Secretariat. Following the Minister's(s') endorsement, the Commissioners' final approval must be sought before an offer of appointment can be issued.
- A.13** In the event that a Minister(s) decides not to endorse the appointment of a lead candidate, the Minister(s) must record, in writing to the Department, his/her justification for not accepting the lead candidate. The Department concerned must then inform Commissioners that the competition has been terminated and of any fresh proposals for filling the post, as appropriate. In those circumstances, Commissioners may reserve the right to decline to take part in any subsequent competition.
- A.14** In considering the application of exceptions to the Merit Principle, Departments should bear in mind their continuing obligation to ensure compliance with

relevant employment and equality legislation when carrying out selection and appointment procedures. Regard should be paid to the potential for unfair treatment of those who are not given the opportunity to be considered for the appointment in question.

### **Categories of exception to appointment on merit**

**A.15** Regulation 3 of the General Regulations 2007 permits appointments to be made other than in accordance with the Merit Principle in the following circumstances:

- (a) where the person is appointed on secondment;
- (b) where the person to be appointed holds a situation in another Civil Service of the Crown;
- (c) where the person to be appointed is, or has recently been, employed on functions which have been or are being transferred to the Crown;
- (d) where the person to be appointed is of proven distinction and exceptional reasons relating to the business needs of the Civil Service provide justification for the appointment;
- (e) where the person has been selected for an appointment under Government programmes or initiatives; and
- (f) where the person has previously held a situation in the Civil Service and is being reinstated (this provision may be used only to reinstate former civil servants following a period of parliamentary candidature or membership).

**A.16** Appointments within the above categories may be made only in the circumstances described in this Code.

**A.17** When a Department makes an appointment under one of the categories at paragraph A.15, the circumstances and the reasons must be recorded clearly.

**Regulation 3(a) – Where the person is appointed on secondment**

**A.18** For the purposes of this exception, “secondment” means a voluntary transfer from a permanent employer for a fixed period which does not sever the employment relationship of the person seconded with the permanent employer. Any proposed secondment to the SCS under Regulation 3(a) will require the written approval of the Commissioners.

**A.19** It is possible to select a person for appointment on inward secondment in an open competition on the basis of the Merit Principle, that is, where the option of secondment has been offered clearly to all candidates. Secondments in any other circumstances can be made only in accordance with the provisions set out below. Observance of these provisions may be subject to scrutiny in the course of the Commissioners’ audit of recruitment practices.

**A.20** A person may be seconded to a post in the NICS, otherwise than on the basis of the Merit Principle, where:

- (i) the secondment is arranged:
  - (a) by approaching a number of suitable organisations and inviting them to nominate individuals for consideration, after which those nominated must be considered fairly and selected on merit; or
  - (b) by participation in an exchange scheme with a specific organisation or group of organisations; or
  - (c) by identification of an individual(s) for a post(s) requiring specific skills and knowledge and / or requiring an immediate response to unforeseen circumstances.

**and**

- (ii) the secondee is assessed via an approved process as being capable of undertaking effectively the duties of the post he or she has been selected to fill and records are kept as to how that assessment has been made.

**A.21** Departments can make appointments under Regulation 3(a) without the approval of Commissioners provided the individual(s) are below SCS and the appointment will last no longer than two years. Any such appointments must be made in accordance with the provisions set out in A.20. In exceptional circumstances, the Department may, with Commissioner approval, extend the secondment beyond two years. Extension beyond three years will only be permitted by the Commissioners where a very short period of time is required to complete a piece of work and there are proper reasons to demonstrate why its completion within three years has not been possible.

**A.22** The duration of SCS appointments made by way of a secondment under Regulation 3(a) will be approved in-line with the requirements set out in paragraph A.21 above.

**A.23** A person who has completed a secondment must not be re-appointed as a secondee by way of Regulation 3(a) (secondment) for a period of at least that of the original secondment.

**Regulation 3(b) – Where the person to be appointed holds a situation in another Civil Service of the Crown**

**A.24** This provision may be used to enable persons to be appointed on a temporary or permanent basis to the NICS from another Civil Service of the Crown on exceptional grounds relating to the business needs of the NICS. Only those originally selected on Merit on the basis of fair and open competition may be

appointed under this provision. In cases involving the proposed appointment of individuals into the SCS, the prior written approval of the Commissioners will be required. Temporary appointments made under this category of exception should be for a limited period in line with the relevant business need.

**Regulation 3(c) – Where the person to be appointed is, or has recently been, employed on functions which have been or are being transferred to the Crown**

**A.25** This provision may be used where the function in which a person is, or has recently been, employed is being transferred to the Crown. In cases involving the proposed transfer of individuals into the SCS, the prior written approval of the Commissioners will be required.

**Regulation 3(d) – Where the person to be appointed is of proven distinction and exceptional reasons relating to the business needs of the Civil Service provide justification for the appointment**

**A.26** With the prior written approval of the Commissioners, a person may be appointed to employment in the NICS without open competition, where:

- (i) the person is of proven distinction;
- (ii) the appointment is justified by exceptional reasons relating to the business needs of the NICS;

**and**

- (iii) the appointee is assessed formally as being capable of undertaking effectively the duties of the post he or she has been selected to fill and records are kept as to how that assessment has been made.

**A.27** This exception may be appropriate in circumstances when the requirements of Regulation 3(a) (Inward Secondments) might otherwise have been satisfied but it is not possible to second the individual concerned from a permanent employer.

**A.28** Applications to use this exception will be considered individually by the Commissioners, each on its merits. In order to satisfy the proven distinction requirement, Commissioners would expect the individual to be recognised for their excellence and/or unique abilities in a particular field and where such expertise is not otherwise available within the NICS. When considering such requests, Commissioners will expect to be presented with a strong and clear case of both the compelling business need within the NICS along with a detailed consideration of how the specific knowledge, skills and attributes of the identified individual would enable him/her to meet the business requirements. Commissioners will need to be persuaded that an appointment by way of this exception is both necessary and appropriate and of the reasons why it is not possible to make the appointment by way of an open competition. If an appointment were to be approved under this exception, Commissioners will seek a clear assurance of the fixed term and temporary nature of this appointment. The Department involved would be expected to make appropriate arrangements to ensure that an effective skills transfer takes place in a timely way and/or to fill the post on a permanent capacity by way of an open competition at the earliest opportunity, where appropriate.

### **Regulation 3(e) – Where the person has been selected for an appointment under Government programmes or initiatives**

**A.29** From time to time, provision may be made for appointments in the context of a particular and current Government programme or initiative. Examples include those programmes designed to assist, for instance, the unemployed or people with disabilities who often have difficulty in gaining employment through the normal competitive process. Commissioners accept that the NICS should be able to employ people in supported employment programmes should they wish to do so, adapting the principles of this Code, as appropriate. Any appointments made under this category of exception should be for a limited period in line with the requirements of the relevant programme or initiative.

**A.30** The selection procedures used in determining who to appoint within the specified programmes or initiatives must be demonstrably fair and based on the requirements of the post. Records must be kept on how suitability for appointment has been assessed.

**Regulation 3(f) – Where the person has previously held a situation in the Civil Service and is being reinstated**

**A.31** This provision may be used only to reinstate former civil servants following a period of parliamentary candidature or membership. Only former civil servants who resigned from the Civil Service in order to pursue parliamentary candidature or membership should be considered under this provision.



**APPENDIX B****COMMISSIONERS' AUDIT OF RECRUITMENT POLICIES AND PRACTICES****Introduction**

- B.1** Article 4(4) of the Civil Service Commissioners (Northern Ireland) Order 1999 requires Commissioners to audit recruitment policies and practices followed in making appointments to situations in the Northern Ireland Civil Service (NICS) to establish whether the Recruitment Code is being observed.
- B.2** The objective of the audit and review process is to ensure that NICS recruitment and supporting systems are designed and operated in accordance with the Commissioners' Recruitment Code. Audits and reviews may examine any part of the recruitment systems; these may focus on individual Departments or be carried out on a cross-Departmental basis. The audit and review process may include review of individual competition files.
- B.3** Audits and reviews will examine the extent to which the recruitment and supporting systems of the NICS comply with the main principles set out in this Code as follows:
- (1) appointments should be made on merit;
  - (2) appointment processes should be fit for purpose;
  - (3) appointment processes should be fair and applied with consistency; and
  - (4) appointments should be made in an open, accountable and transparent manner.
- B.4** This Code contains illustrations of the Commissioners' requirements as to how these principles should be applied in practice and the assessment of their

application is the core purpose of the audit and review process. Commissioners accept that NICS recruitment practices need to evolve and to keep abreast of good practice in every sense and they do not wish to limit such scope by prescribing a fixed process for recruitment. As such the dynamic nature of recruitment systems are acknowledged and indeed encouraged. The key issue for Commissioners, and the audit and review process, is that the core principles are maintained irrespective of the method of delivery.

## **Definition of Audits and Reviews**

**B.5** Audits are objective and systematic evaluations of NICS selection and recruitment policies and practices against the Recruitment Code. They also provide information, observations and recommendations for the purpose of promoting improvement in performance and outcomes. The Commissioners support the principle of proportionate regulation and, to that end, recognise that audits can and should range widely in scope and approach from comprehensive assessments and evaluations to lighter touch reviews, studies and surveys.

## **Audit and Review Procedures**

**B.6** Departments and Agencies must co-operate with all audits and reviews undertaken by or on behalf of the Commissioners and any contracts or arrangements with parties outside of the NICS for relevant recruitment services must include a requirement for the external provider to do so. Audits and Reviews will be undertaken in a professional manner, in a spirit of improvement and with the goal of sharing knowledge, good practice and ensuring adherence to the principles of this Code.

**B.7** Audits and Reviews will be undertaken in line with the guidance issued by Commissioners. Advance notice will be given of the intention to examine a particular area of recruitment or a specific Department/Agency. This notice will be given to the Department of Finance, and any relevant Department who will agree with the Commissioners' Secretariat the extent of their involvement and

that of the external provider(s) of HR services to the NICS in the audit and review process.

- B.8** Audits and Reviews will be conducted in an efficient manner and the audit steps will be set out clearly in advance of commencement. Information will be sought from Departments and Agencies and relevant external provider(s) of HR services to the NICS in advance of on-site visits and adequate time made available to enable preparation of the information.
- B.9** At the conclusion of an audit, the findings and recommendations will be discussed with the NICS. Before such reports are finalised those whose work has been audited will also have the opportunity to comment in respect of matters of factual accuracy. The required response to audit reports will include detailed Action Plans setting out how recommendations will be taken forward. These responses should address any necessary actions as a result of the Audit Report and detail the related outcomes and the timescales within which these will be implemented. Dof will be responsible for following up issues of general principle. Permanent Secretaries will be responsible for taking action on issues within their Department. Major issues arising out of audits will also be raised by, and with, Commissioners at appropriate meetings with Permanent Secretaries.
- B.10** At the conclusion of a review, a more streamline and less formal approach can be adopted. Commissioners will address key issues / concerns identified during a review, and make recommendations, as appropriate, via engagement with Corporate HR which will result in agreed follow-up actions, as appropriate.
- B.11** Commissioners will publish a summary of audits and reviews on their website and include an account of the audit of recruitment policies and practices in their annual report reflecting specific audit findings, recommendations and their implementation as appropriate.

## APPENDIX C

## **COMMISSIONERS' REQUIREMENTS FOR THE PUBLICATION OF RECRUITMENT INFORMATION**

### **Introduction**

**C.1** Article 4(5) of the Civil Service Commissioners (Northern Ireland) Order 1999 provides that information relating to recruitment must be published in accordance with any requirements which the Commissioners may specify.

**C.2** On an annual basis, DoF should publish information on all recruitment competitions which have been held to appoint staff to the NICS. The information to be published, and the publication period, are matters for determination by Commissioners and may change over time in response to changing circumstances and requirements. The current requirements are set out in paragraph C.3 below. A copy of the published information should be forwarded to the Commissioners in a timely way.

### **Information to be published**

**C.3** The information, as set out below, should relate to all appointments, including appointments which require Commissioners' approval:

- (a) evidence to provide assurance that systems are in place in the NICS to ensure that selection for appointment is made in accordance with the Recruitment Code;
- (b) evidence to provide assurance that recruitment policies and practices in the NICS are subject to regular internal monitoring;
- (c) details of the appointments made under Regulation 3 (Exceptions) of the Commissioners' General Regulations 2007;

- (d) statistical summaries, in a format which the Commissioners may specify, of all recruitment activity during the publication period, including analyses by all categories covered by Section 75 of the Northern Ireland Act 1998;
- (e) any actions or initiatives undertaken in the reporting year to attract candidates, and advance a recruitment-related agenda for diversity, inclusivity and equality of opportunity and which specifically target areas of under-representation;
- (f) a report on the outcomes as a result of any such actions or initiatives referred to at (e) above; and
- (g) any other relevant information in a specified format regarding recruitment and selection as Commissioners may require.