



# Annual Report and Accounts 2010-11



# **CIVIL SERVICE COMMISSION**

## **Annual Report and Accounts 2010-11**

Presented to Parliament pursuant to Paragraph 16(7)(b)  
of Schedule 1 of the Constitutional Reform and  
Governance Act 2010

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Please note that the Civil Service Commission was created as a statutory body on 11 November 2010.

Therefore this Annual Report covers the period from 1 April 2010 to 31 March 2011 during which the Civil Service Commissioners became part of the Civil Service Commission.

The Accounts in section 9 only cover the period from 11 November 2010 to 31 March 2011, that is, the part of the financial year for which the Civil Service Commission existed. Audited information on the Civil Service Commissioners' finances for the period from 1 April 2010 to 10 November 2010 can be found in the Cabinet Office Accounts.

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# 1. Introduction by the First Civil Service Commissioner



I took up my appointment as the joint First Civil Service Commissioner and Commissioner for Public Appointments on 1 April 2011. This annual report, therefore, is wholly about the considerable achievements of my predecessor, Janet Paraskeva. I am very grateful to her and to Mark Addison, who was interim First Commissioner from January to March 2011, for handing on the Commission in such good shape.

The year 2010/11 was a momentous one for the Civil Service Commissioners. 156 years after it was first recommended by Northcote and Trevelyan in their landmark report on the civil service, the Civil Service Commission was established in statute with a legal duty to uphold the principle of appointment to the civil service on merit on the basis of fair and open competition, and to hear complaints from civil servants under the Civil Service Code. Even more important, the core values of the civil service – Integrity, Honesty, Objectivity and Impartiality – and the principle of appointment on merit, were themselves enshrined in statute.

While this builds on the evolving work of the Civil Service Commissioners over more than 150 years, its significance should not be underestimated. The 2010 Constitutional Reform and Governance Act establishes once and for all the Commission's duty to uphold the values and principles of the civil service, independent of the government of the day. I am proud to be the first Commissioner to inherit this statutory role at the start of my term of office. I am determined to protect the legacy and fulfil the ambitions of those – previous Commissioners, politicians, civil servants and many others – who fought so hard and so long to bring it about.

Alongside these historic changes, this report shows that the normal work of the Commission has continued successfully. The report contains the initial findings of the 2011 audit of government departments' activities to promote and uphold the values of the Civil Service Code. There is some encouraging progress and signs that departments have acted on the findings of the previous audit in 2009. This is reinforced by the results of the most recent survey of civil service staff, which shows significant increases in civil servants' awareness of the Civil Service Code itself and of how to raise a concern under the Code.

There has also been some good progress in departmental compliance with the Commission's Recruitment Principles, which interpret the requirement that appointment to civil service posts should be on merit on the basis of fair and open competition. 62% of departments and Agencies were assessed as "low risk" in the most recent audit round in 2009/10, compared with 53% in 2008/9 and 18% back in 2005/6.

Recruitment to the civil service in 2010/11 reduced sharply against a backdrop of public expenditure constraints and a recruitment freeze. But it is encouraging that in those competitions which have been chaired by a Civil Service Commissioner, 41% of successful candidates have been women; while for competitions to the most senior jobs, the figure rises to 46%. Towards the end of 2010 the Cabinet Office was able to declare that half of main domestic government departments were now led by a woman Permanent Secretary. For someone like me, who has been associated with the civil service for over 37 years, this is a remarkable breakthrough and a tribute to the work of the civil service, supported by the Civil Service Commissioners, over many years. I know that Janet Paraskeva, my predecessor as First Civil Service Commissioner, took particular pleasure in these results, and it is a great tribute to her that so much progress was made on all fronts during her five years in office.

One of my early priorities has been to review the parallel system for Ministerial appointments to public bodies, for which, as joint Commissioner, I am also now responsible, and I have recently published a consultation paper with my proposals for reform. These learn from the experience of the principles-based system which the Civil Service Commissioners introduced for civil service appointments. I believe that over time there is scope for converging the best of both systems and for making the two regulatory systems together a powerful force promoting best practice in how to get the very best candidates appointed on merit from strong and diverse fields.



Sir David Normington GCB  
7 July 2011

## 2. Our role



## 2.1 A YEAR OF TRANSITION

Part 1 of the Constitutional Reform and Governance Bill 2010 was brought into effect in November 2010. Although the Act did not make any significant changes to the activities of the Civil Service Commissioners, it did see them established as a statutory body, the Civil Service Commission. The Commission is an independent non-departmental public body sponsored by the Cabinet Office.

For the period of this report, the Civil Service Commissioners operated as office holders under the Civil Service Order in Council 1995 from 1 April 2010 to 10 November 2010; from 11 November 2010 they formed the board of the Civil Service Commission.

There is more detail about the Constitutional Reform and Governance Act and the establishment of the Civil Service Commission in the section of this report 'Constitutional Reform and Governance Act 2010: the Civil Service Commission'.

## 2.2 WHO WE ARE

The Civil Service Commission comprises the Civil Service Commissioners and staff. It is independent of government and of the civil service.

Civil Service Commissioners are recruited on merit following public advertisement and a fair and open selection competition for a five year non-renewable term. From our different careers and interests we bring experience of the public, private and voluntary sectors, and a clear and independent perspective. This helps us to support a civil service that is effective, politically impartial, and that is true to its core values. During the period of this report we have taken forward a continuous professional development programme to strengthen our collective and individual skills.

Short biographies of each of the Commissioners are in the section of this report 'Meet the Commissioners'.

The Commissioners (Board members) during the period of this report were:

**Dame Janet Paraskeva**, First Civil Service Commissioner to 31 December 2010

**Mark Addison** Civil Service Commissioner and Interim First Civil Service Commissioner and Commissioner for Public Appointments from 1 January to 31 March 2011

**Dame Janet Gaymer QC** *ex officio* Civil Service Commissioner and Commissioner for Public Appointments to 31 December 2010

**Sir Michael Aaronson** CBE

**Adele Biss**

**Peter Blausten**

**Prof. Christine Hallett**

**Eliza Hermann**

**Bernard Knight** CBE

**Sir Neil McIntosh**

**Anthea Millett** CBE

**Ranjit Sondhi**

**Libby Watkins** DL

**Sir David Normington** has served as First Civil Service Commissioner and Commissioner for Public Appointments from 1 April 2011.

The First Commissioner is a three-day-a-week commitment and the other Commissioners two to eight days a month depending on the volume of work.

## 2.3 WHAT WE DO

The Civil Service Commission has two primary functions, as now detailed in the Constitutional Reform and Governance Act 2010.

First, we are responsible for upholding the principle that selection to appointments in the civil service must be on merit on the basis of fair and open competition.

Second, we hear and determine appeals raised by civil servants under the Civil Service Code. The Code describes the values of the civil service and is part of the contractual relationship between civil servants and their employer.

We also work with departments to help them promote the Code and the core values of the civil service. The Civil Service Commissioners took on this role in 2003 at the suggestion of the Committee on Standards in Public Life, and with the support of the Cabinet Secretary.

The core values of the civil service are integrity, honesty, objectivity, impartiality; and selection on merit. Everything the Commission does is directed towards upholding them.

## 2.4 WORKING WITH DEPARTMENTS AND AGENCIES

### LINK COMMISSIONERS

Each of the main government departments and the larger Agencies has a Commissioner who is linked to it.

The Link Commissioner regularly meets the Permanent Secretary or Agency Chief Executive. Often we will also meet the departmental Human Resources Director and sometimes the departmental Board. There are also meetings with the Government Heads of Profession.

These meetings explore current issues of common interest relating to our regulatory functions and help to give us a strategic overview of recruitment and other relevant activity in departments and agencies. Core topics for discussion at Link Commissioner meetings include:

- **Current and future senior recruitment competitions**
- **Any lessons learnt from recent competitions**
- **The results for the department under the Commissioners' compliance monitoring exercise for adherence to the Recruitment Principles**
- **Promotion of the Civil Service Code**
- **Appeals made under the Civil Service Code**
- **Findings from the Commissioners' audit concerning the Civil Service Code**

Link Commissioners are usually the first choice to chair competitions for the most senior posts in their link departments. This has given us the opportunity to gain a better understanding of the challenges and culture of our link departments.

We continue to value greatly the positive relationships we have with Permanent Secretaries, Human Resources Directors and Heads of Government Professions.

### COMMISSIONERS – HR DIRECTORS LIAISON GROUP

The liaison group, comprising a number of Commissioners and Human Resources Directors drawn from some of the main departments, continued to meet through the year. It is supported by a joint secretariat from the Civil Service Commission and the Civil Service Capability Group in the Cabinet Office.

During the course of the year the group considered many topics of mutual interest, including the effects of the civil service recruitment freeze; how best to utilise staff across the service; the extension, by invitation, of the Commissioners' role as chair of selection panels to some internal director level competitions; the advantages of bringing the regime for public appointments closer to the regime for civil service appointments; and the use of exceptions to the Commission's Recruitment Principles.

The group has continued to prove to be a valuable means of sharing experiences and perspectives, and for discussing issues of common interest between the Commission and departments.



## 2.5 SECRETARIAT SUPPORT

On 11 November 2010 the Civil Service Commissioners became the Board of the new statutory Civil Service Commission. From 1 January 2011 the two roles of First Civil Service Commissioner and Commissioner for Public Appointments were combined in a single dual post-holder.

In line with these changes, from January 2011 the Civil Service Commission and the Commissioner for Public Appointments have been supported by a joint secretariat. The secretariat provides a full range of support services to the dual post-holder, and to the Commission, including:

- **Policy development and delivery**
- **Audit of departmental compliance with the Recruitment Principles and the Civil Service Code**
- **Delegated decision making on appeals, complaints, exceptions and accreditation of Non Departmental Public Bodies**
- **Promotion of the Civil Service Code**
- **Administration and policy support to the Board and its committees**
- **Administrative support, business services, allocating competitions to Commissioners, providing secretaries for the most senior competitions, advice and guidance, collecting and analysing data and responding to enquiries**
- **Briefing for senior staff**
- **Communication of our regulatory role**

A number of members of the secretariat staff left the team in the last year and we are grateful for their support and hard work: John Chrzczonowicz, Policy Administrator; Kim McCarthy, Personal Assistant; Jo Hunter, Policy Adviser; Steve Pares, Policy Adviser and Ginny Randall, Policy Adviser. Anju Still completed her period on contract as office support manager. No new staff joined the secretariat in this period.

The current staff members of the joint secretariat, as at 1 July 2011, all civil servants on secondment, are:

**Richard Jarvis**, Chief Executive

**Alamgir Khan**, Business Support Manager

**Bill Brooke**, Principal Policy Adviser, Complaints, Accountability and Communications

**Diane Macfarlane**, Complaints Case Manager

**Elaine McNaughton**, Civil Service Recruitment Policy and Commissioner Support

**Leila Brosnan**, Principal Policy Adviser, Audit and Public Appointments Policy and Review

**Leroy Cargill**, Administration Officer

**Mariatu Turay**, Audit Policy and Contract Manager

**Nicola Carpenter**, Finance Officer

**Sharon Foster-King**, Principal Policy Adviser, Civil Service Recruitment Policy and Business Services

**Val Icton**, Support to dual post-holder, Chief Executive, and team

## 2.6 LINKS WITH OTHER GOVERNMENTS/INTERNATIONAL ORGANISATIONS

The Commission is pleased to be able to welcome a number of visitors from overseas governments and international organisations. Other governments often look to the UK as a model for achieving the fundamentals of civil administration: appointment on merit and adherence to ethical values that underpin the notion of political impartiality. We continue to find widespread international interest in our work as an example of good practice.

Please see the section of this report 'Timeline April 2010-March 2011' for the full list of visitors that we have received.

# 3. Timeline

## April 2010 – March 2011



This timeline details the activities of the Commissioners and the Commission in addition to the role of link meetings and chairing senior competitions. It also contains reference to significant developments relating to the work of the Commission during the period. Details of the competitions chaired by Commissioners during the period can be found in the appendix to this report 'Approval of appointments to the Senior Civil Service'.

## APRIL 10

- Constitutional Reform and Governance Act 2010 receives Royal Assent.
- Three new Commissioners take up their appointments: Adele Biss, Peter Blausten, and Eliza Hermann.
- Sharon Foster-King joins as Principal Policy Adviser (Recruitment).
- Visit from the Counsel of the Office of the Conflict of Interest Commissioner, Ontario.
- First Civil Service Commissioner and officials meet 30 senior members of the National Economic Development Board of Libya on a study tour organised by the Royal Institute of Public Administration.

## MAY 10

- Government announces civil service recruitment freeze.
- First Civil Service Commissioner and officials meet senior representatives of the National Personnel Authority of Japan.

## JUNE 10

- Officials meet with delegates from 10 countries, who are part of a study group organised by the International Training Centre of the International Labour Organisation.
- Officials meet with a Commissioner and the Secretary to the Commissioners from the Public Service Commission of The Gambia, on a visit organised by Governance and Management Service International.

## JULY 10

- Commissioners' Annual Report for 2009-10 published on-line.
- Commissioners produce a 'Question Time on Civil Service Values' at Civil Service Live event at Olympia.
- First Civil Service Commissioner and the Cabinet Secretary announce the winners of the Civil Service Art Competition.
- The Cabinet Office advertises the vacancy for joint post holder – First Civil Service Commissioner and Commissioner for Public Appointments

## AUGUST 10

- Commissioners accompany auditors on the first of a series of Compliance Monitoring visits under the Commission's Recruitment Principles.

## SEPTEMBER 10

- First Civil Service Commissioner and officials meet officials from the Japanese National Personnel Authority.
- Officials meet with the Chairman and a Staff Officer from the Union of Public Service Commission, New Delhi, on a visit organised by the Indian Embassy.

## OCTOBER 10

- The second civil service-wide staff survey is conducted; the survey contains three questions on the Civil Service Code.
- First Civil Service Commissioner and officials meet the Canadian Cabinet Secretary and colleagues.

## NOVEMBER 10

- Part 1 of the Constitutional Reform and Governance Act is brought into effect and the Civil Service Commission created as a statutory body.
- Revised Civil Service Code issued by the Cabinet Office.
- Commission sponsors the Cabinet Secretary's Award at the Civil Service Awards at Buckingham Palace, joint presentation to the winners by the First Civil Service Commissioner and the Cabinet Secretary.
- Government announces Sir David Normington as the preferred candidate for the dual role of First Civil Service Commissioner and Commissioner for Public Appointments from 2011.
- Public Administration Select Committee holds pre-appointment scrutiny of Sir David Normington for the dual role.
- Commission launches new secure area of its website for departmental Nominated Officers.
- First Civil Service Commissioner and officials meet with a delegation from the Bangladesh Public Service Commission, on a visit organised by the Bangladeshi High Commission.
- Officials meet with a delegation from the Public Service Commission of The Gambia, on a visit organised by Governance and Management Service International.
- First Civil Service Commissioner attends a seminar in Tokyo on regulating civil service recruitment, with her Japanese and German counterparts.

## DECEMBER 10

- First Civil Service Commissioner, Janet Paraskeva, and Commissioner for Public Appointments, Janet Gaymer, give evidence at a joint session before the Public Administration Select Committee.
- Dame Janet Paraskeva completes her five-year term of office as First Civil Service Commissioner.
- Dame Janet Gaymer QC completes her five-year term of office as Commissioner for Public Appointments and Civil Service Commissioner.
- HM The Queen approves the appointment of Sir David Normington as First Civil Service Commissioner and Commissioner for Public Appointments from April 2011.
- HM The Queen approves the appointment of Mark Addison as interim First Civil Service Commissioner and Commissioner for Public Appointments, January to March 2011.
- Officials met with officials from the Ministry of Internal Affairs and Communications of Japan, on a visit organised by the Japanese Embassy.

## JANUARY 11

- Mark Addison takes up his appointment as interim First Civil Service Commissioner and Commissioner for Public Appointments.
- Civil Service Commission staff merge into a new joint Secretariat with the staff of the Office of the Commissioner for Public Appointments.

## FEBRUARY 11

- Interim First Civil Service Commissioner and officials meet a delegation from the Maldives Civil Service Commission on a visit organised by the Foreign and Commonwealth Office and the Maldives High Commission.

## MARCH 11

- Commission launches the second audit of departments' policies and procedures to uphold and promote civil service values.
- Interim First Civil Service Commissioner and officials meet a delegation from the Indian Civil Service on a visit organised by the National School for Government.
- Mark Addison completes his appointment as interim First Civil Service Commissioner and Commissioner for Public Appointments.

# 4. Constitutional Reform and Governance Act 2010: the Civil Service Commission





## CIVIL SERVICE ORDER IN COUNCIL

Civil Service Commissioners were first appointed in 1855 following the Northcote-Trevelyan report, which identified patronage as one of the primary reasons for the inefficiency of the mid-19th century civil service, and for its public disrepute. The Commissioners were originally appointed to run a system of public examinations for entry to the civil service.

Prior to the passage of the Constitutional Reform and Governance Act the work of the Civil Service Commissioners was governed by the Civil Service Order in Council 1995, as amended. The civil service was historically managed under the Royal Prerogative and not through statute. The Constitutional Reform and Governance Act changed that.

## CIVIL SERVICE LEGISLATION

The Civil Service Commissioners have for many years supported calls for the constitutional position of the civil service, and the core values that underpin its work, to receive the protection of statute. This was also the conclusion that Northcote and Trevelyan reached in their landmark report of 1854.

The Commissioners have supported proposals for a Civil Service Act, most recently in evidence to the Public Administration Select Committee and the Joint Committee on the Draft Constitutional Renewal Bill. The civil service provisions in Part One of the Constitutional Reform and Governance Act derive from that process.

## PART ONE OF THE ACT: THE CIVIL SERVICE

The main provisions of Part One of the Act are as follows.

- Provides a definition of who is a civil servant.
  - Enshrines the core values of the civil service: integrity; honesty; objectivity; and impartiality.
  - Places an obligation on the Minister for the Civil Service to publish a Civil Service Code that requires civil servants to carry out their duties in line with these values.
  - Requires the selection for appointment to the civil service to be on merit on the basis of fair and open competition.
- Establishes the Civil Service Commission as a body corporate, so reinforcing its independence from the government of the day, with the role of:
    - Regulating recruitment to the civil service, principally through:
      - Publication of Recruitment Principles, that specify the Commission's determination of what selection on merit on basis of fair and open competition means and when exceptions to the principle may be allowed
      - Hearing and determining complaints from anyone who believes that there has been a breach of the Recruitment Principles
      - Reviews of recruitment policies and practices to ensure that the principle of section on merit on basis of fair and open competition is being applied and that compliance with the Recruitment Principles is not being undermined
    - Hearing and determining complaints from civil servants who believe that there has been a breach of the Civil Service Code.
    - Reporting publicly on the exercise of these functions.
  - Provides for the Minister for the Civil Service and the Commission to agree to the Commission taking on additional functions in relation to the civil service.
  - Formalises the current arrangements for Special Advisers as civil servants:
    - excepted from the principle of selection on merit as personal appointees of Ministers
    - excepted from the provisions on impartiality and objectivity recognising their allegiance is to the governing party and that they are not expected to retain the confidence of future administrations
    - appointed for the sole purpose of assisting Ministers, and therefore cannot exercise executive powers over civil servants;
    - governed by a Code of Conduct which the Minister for the Civil Service is obliged to publish.

The Act also contains Schedule 1 concerning the Civil Service Commission. This schedule outlines many aspects of how the Commission should be run; including how the First Civil Service Commissioner and the other Commissioners are to be appointed, their term of office, and their remuneration and allowances. It outlines the power of the Commission to hire staff, delegate its functions, and organise its affairs. The schedule requires the Commission to keep proper accounts and to report annually on its work.

A copy of the Act may be obtained at [www.legislation.gov.uk/ukpga/2010/25/contents](http://www.legislation.gov.uk/ukpga/2010/25/contents)

## **GOVERNANCE OF THE COMMISSION**

The Commission has agreed a Memorandum of Understanding with its sponsoring department, the Cabinet Office. The Memorandum came into effect on 11 November 2010 and is signed by the First Civil Service Commissioner and the Minister for the Cabinet Office.

The Memorandum explains the rights and responsibilities that have been agreed by the Commission and the Cabinet Office. It outlines in more detail what the Commission does, and how it works. The Memorandum sets out the way in which the government and the Commission will work together. The Commission, in discharging its functions, remains independent of the government and the civil service: the Commission and the government work in partnership to ensure the proper exercise of the Commission's functions, and through this support an effective, efficient and impartial civil service.

The Civil Service Commissioners and their staff form the Civil Service Commission. Civil Service Commissioners form the Board of the Commission.

The Board of the Commission has overall collective responsibility and decision making for the key policy frameworks governing the Commission's regulatory activities, as well as its governance, employment, risk control and accountability arrangements.

The day to day working practices of the Commission are decided by the Board and are detailed in documents known as Standing Orders.

The Memorandum of Understanding and the Standing Orders, and other information about the work of the Commission, may be obtained from the website <http://civilservicecommission.independent.gov.uk>.

## 5. Regulating Appointment on Merit



## 5.1 CHAIRING COMPETITIONS FOR SENIOR APPOINTMENTS

The Civil Service Commission contributes to the development of an effective and impartial civil service by giving assurance that appointments to the service are made on merit on the basis of fair and open competition.

For recruitment to the most senior grades in the civil service the Commission plays a direct and 'real-time' role. A Civil Service Commissioner oversees the whole recruitment process and chairs the selection panel for all Senior Civil Service pay bands 2 and 3, and Permanent Secretary appointments, where the vacancy is open to applicants outside the civil service.

In addition, under the terms of the 'Top 200 Protocol' agreed between the Commission and the Civil Service Senior Leadership Committee, we also chair competitions for the Top 200 posts in the civil service when the competition is restricted to applicants already in the civil service.

For most levels of recruitment outside the top tiers of the senior civil service (the top tier competitions are chaired by Commissioners) the Commission provide assurance by auditing compliance with its Recruitment Principles.

## 5.2 SUMMARY OF APPOINTMENTS

The number of 'open' competitions chaired by Civil Service Commissioners saw a dramatic drop during the course of the year. An 'open' competition is one where both existing civil servants and non-civil servants are able to apply. The vacancy is advertised publicly, and sometimes a specific search for suitable applicants is commissioned to ensure a strong and diverse field. As part of its plan to deliver £6bn of savings in 2010/11 the government announced a freeze on external recruitment to the civil service from 25th May 2010, with some limited exceptions.

During the reporting period, there were 32 appointments through 'open' competition to the Senior Civil Service which required the Commission's approval. This is a marked reduction from last year, when the comparable total was 74. In the year before that it had been 98.

The Commission also chaired competitions for 15 appointments only available to applicants from the civil service, under the terms of the Top 200 Protocol. Last year we chaired 9 such competitions. In the year before that it had been 16.

In addition we chaired internal competitions by invitation for 2 appointments at Senior Civil Service pay band 2 and one at payband 1. This is below the level at which a Commissioner will usually chair an internal competition.

We also chaired internal competitions for two Senior Civil Service pay band 3 (Director-General) contraction exercises. The departments were reducing the number of staff at this level and invited the Commission to provide a chair to ensure a rigorous, merit-based selection process.

This year there were 8 competitions when no appointment was made. This is the same number as last year. In total we chaired competitions for 65 appointments. This is a reduction on the total of 92 for last year, and 117 the year before that.

Thirteen appointments were made following 14 open competitions which the Commissioners chaired within the remit of the Senior Leadership Committee (SLC). The SLC reviews whether or not Permanent Secretary and Director General appointments should be filled through external recruitment (open competition), internal recruitment, or managed move. The Committee is chaired by the Cabinet Secretary as Head of the Civil Service. The First Civil Service Commissioner is a member.

## 5. REGULATING APPOINTMENT ON MERIT

There is quite a variation year on year in the number of successful candidates for open competitions that come from the civil service. Last year saw a decline; this year has seen an increase back to the level of the year before.

Year	Civil Service	Wider Public Sector	Private Sector	Voluntary/ Third Sector	Total
2006/07	35 (39%)	20 (22%)	35 (39%)	No data	90
2007/08	43 (41%)	24 (23%)	38 (36%)	No data	105
2008/09	62 (63%)	13 (13%)	23 (23%)	No data	98
2009/10	32 (43%)	12 (16%)	30 (41%)	No data	74
2010/11	21 (66%)	4 (12%)	6 (19%)	1 (3%)	32

*Sources of All Senior Appointees ('open' competitions)*

There is a similar fluctuation in the number of successful candidates who are women. Last year we noted a decline in the overall percentage of candidates through open competition who were women. This year the percentage has increased to 41%, the highest in five years, albeit of a much smaller number of competitions. For SLC level competitions the figure is even higher at 46%. During the course of this year the Cabinet Office calculated that half of the main domestic Departments of State were led by a female Permanent Secretary.

	SLC			Below SLC			All Senior		
	F	M	Total	F	M	Total	F	M	Total
2006/07	4 (24%)	13 (76%)	17	20 (27%)	53 (73%)	73	24 (27%)	66 (73%)	90
2007/08	8 (28%)	21 (72%)	29	17 (22%)	59 (78%)	76	25 (24%)	80 (76%)	105
2008/09	7 (23%)	23 (77%)	30	27 (40%)	41 (60%)	68	34 (35%)	64 (65%)	98
2009/10	7 (28%)	18 (72%)	25	10 (20%)	39 (80%)	49	17 (23%)	57 (77%)	74
2010/11	6 (46%)	7 (54%)	13	7 (37%)	12 (63%)	19	13 (41%)	19 (59%)	32

*Gender of senior appointments SLC and below ('open' competitions)*

## 5.3 COMPLIANCE MONITORING: THE APPROACH

The Commission is required under the Constitutional Reform and Governance Act 2010 to carry out whatever reviews of recruitment policies and practices it thinks are necessary to establish that the principle of recruitment on merit on the basis of fair and competition is being upheld, and is not being undermined. We do this through an audit of the recruitment policies and practices of government departments and agencies to posts below senior civil service pay band 2, to ensure their compliance with the Commission's Recruitment Principles.

Monitoring of compliance is contracted to DLA Piper, a specialist firm appointed after competitive tender, on clearly defined terms and under close supervision by the Commission. The compliance monitoring process is overseen by the Commission's Compliance Monitoring Standing Committee. The Committee determines how to select the departments and agencies to be visited and decides any topics for thematic review.

The 2009/10 assessment round was the second audit undertaken by the Commission's contractors, DLA Piper, under a 3-year contract. The 2009/10 assessment was based on a revised approach to compliance monitoring. This revised approach follows the Commission's Recruitment Principles in emphasising that it is for departments and agencies to put in place their own policies and procedures to ensure compliance with the Recruitment Principles. The audit is more output focused and less concerned with the minor details of process. It is aimed at enabling improvement. Significant elements of the revised approach include:

- **An improved self-assessment questionnaire for departments.**
- **Detailed analysis of a specific recruitment campaign selected by DLA Piper from a list supplied by the department.**
- **More on-site visits, with a view to visiting all organisations at least once in a four-year cycle.**
- **Greater involvement of Civil Service Commissioners in visits.**
- **Generic feedback to all departments and agencies of the major themes from the annual audit to supplement their individual follow up.**

### RISK-BASED SELF-ASSESSMENT

The Commission encourages departments and agencies to review the design and operation of their recruitment policies and procedures objectively against the requirements of the Commission's Recruitment Principles.

Compliance monitoring requires departments and agencies to carry out a risk-based self-assessment. As part of their self-assessment submission, departments and agencies must provide the Commission with a Certificate of Compliance, signed by their Permanent Secretary or Chief Executive. The Certificate declares whether or not their recruitment has complied with the Recruitment Principles. If there has been a failure to comply the department or agency must explain what remedial action has been taken or is proposed.

### ASSESSMENTS AND ON-SITE VISITS

The Commission, with our auditors, assess the departmental returns and supporting documentation against the risk of non-compliance with the Recruitment Principles.

A provisional assessment for each department is made of 'high', 'medium' or 'low' risk. In the light of these assessments a sample of organisations is chosen for follow-up visits. The intention of these visits is to look at the organisation's recruitment policies and procedures and examine a sample number of recruitment competitions. They are also an opportunity to discuss any issues face-to-face with members of the departmental human resources team.

Departments and agencies that receive an on-site visit are subsequently sent a report. The report includes recommended actions that the organisation should take to reduce its risk rating. Departments and agencies that have not been visited receive a letter addressing any particular issues revealed by their returns. Both the letters and the reports of visits also note areas of good practice.

In 2009/10, departments and agencies were also sent a 'generic feedback' report which highlighted a number of observations from the audit using actual case studies from the visits undertaken. This was to enable the sharing of examples of good practice, and to highlight any particular common areas of risk.



## 5.4 COMPLIANCE MONITORING: OUR FINDINGS FOR 2009/10

The Commission received returns from all 96 departments and agencies that were eligible.

Meetings were held with all organisations provisionally assessed as high risk. Visits were also made to a selection of other departments and agencies, selected against a number of criteria. Some were selected as they were border-line between risk profiles. In other cases it was concluded that there were particular aspects of the submission which warranted further examination. There were other organisations that had been provisionally assessed as medium or low risk, and there were indications of good practice with the possibility that these could be shared more widely via the generic feedback report. For the 2009/10 assessment round, Commissioners or representatives from the Commission accompanied DLA Piper on a significant number of the visits.

### ADJUSTMENTS

As a result of these meetings, the provisional risk rating was adjusted in 16 cases.

For four organisations, the risk rating moved upwards, from an initial rating of 'medium' to 'high', and one from 'low' to 'high'.

The principal shortcoming, and the reason for a high risk rating, was generally inadequate record-keeping, and in particular, non-completed assessment documentation.

Some specific examples to demonstrate why initial ratings were re-assessed as high risk are:

Failure of line managers responsible for recruitment processes to follow well laid out policies and procedures and lack of adequate checking mechanisms to ensure compliance with the Recruitment Principles.

- Significant gaps in completed documentation resulting in inadequate audit trails for many campaigns.
- Failure to retain relevant documentation or lack of clear documentation and/or lack of formal checks on the quality of records.
- Failure to record and manage exceptions appropriately and more widespread documentation and sign-off issues.
- Need to revise recruitment training to cover areas such as the Recruitment Principles, managing exceptions, and certain aspects of recruitment procedures, and ensuring effective monitoring of training needs and outcomes.

One risk rating was changed from 'low' to 'medium' because there was a failure to fully record and check procedures were being followed, rather than non-compliance with the Recruitment Principles; and some difficulty in assessing the practical application of some procedures due to gaps in the campaign files.

In five cases, organisations had their risk ratings reduced from 'high' after being visited. There were three organisations initially assessed as high that were reduced to medium. Two organisations were moved from high to low risk. Another five organisations moved from medium risk to low risk.

These downward adjustments happened as more or better information was provided at visits than had been made available at the self-assessment stage. We believe that these reductions indicate the value of on-site visits for both the Commission and for departments and agencies. They give a good indication that it was right to put more emphasis on visits in this audit round.

## FINAL RISK RATINGS

This table shows the final risk rating, as an actual and as a percentage of the total, in 2009/10 compared with previous assessment rounds.

Risk Rating	2005/06 Profile	2006/07 Profile	2007/08 Profile	2008/09 Profile	2009/10 Profile
High	15 (14%)	6 (5%)	6 (6%)	5 (5%)	7 (7%)
Medium	74 (68%)	78 (72%)	53 (49%)	40 (42%)	29 (30%)
Low	19 (18%)	25 (23%)	48 (45%)	51 (53%)	60 (62%)
Total	108 (100%)	109 (100%)	107 (100%)	96 (100%)	96 (100%)

The trend shows an improvement in the overall risk profile despite a small increase at high risk level.

The Commission was pleased to note that the number of organisations with a 'low' risk rating had risen again in 2009/10. Well over half of all organisations were rated as 'low' risk in the 2009/10 compliance monitoring round.

We did note an increased number of adjustments to initial risk profiles following the auditor's visits: 16 in 2009/10 in comparison to 4 in 2008/09. This can in part be explained by the increased number of visits undertaken during this audit year: 24 compared to 15 in the previous year. We cannot be sure however that this is the sole reason, and therefore we intend to maintain the level of visits to enable us to get a fuller picture of what may be behind these movements.

## OBSERVATIONS FROM THE 2009/10 COMPLIANCE MONITORING ROUND

This was the first monitoring round conducted on the Commission's behalf by DLA Piper under the revised approach. DLA Piper made a number of general observations, which included:

- Most organisations have a robust infrastructure in place in terms of policies and procedures that, if followed, will support compliant recruitment.
- The principal shortcoming, and the reason for a high risk rating, is generally inadequate record-keeping, and in particular, non-completed assessment documentation that should underpin the decision making process.
- Part of the problem is line management not following the procedures, despite, in some cases, human resources departments' best efforts to get them to comply.
- In some cases, the procedures applied by departments and agencies may be unnecessarily demanding in terms of compliance, and may serve as a disincentive for line management to comply.

## 5.5 EXCEPTIONS TO APPOINTMENT ON MERIT ON THE BASIS OF FAIR AND OPEN COMPETITION

The Constitutional Reform and Governance Act, and before that, the Civil Service Order in Council, allows the Commission to except certain appointments from the principle of appointment on merit through fair and open competition where it believes this is justified by the needs of the civil service, or to enable the civil service to participate in a government employment initiative that major employers have been asked to participate in.

The Commission's Recruitment Principles lists a series of exceptions to the principle of selection on merit on the basis of fair and open completion which may sometimes be permitted. In most cases departments have delegated authority to use these exceptions. The Commission's explicit approval is required for the use of any of these exceptions for posts at Senior Civil Service pay band 2 and above, and for any post for an extension to the use of an exception beyond a two year period. During 2010/11 the Commission approved 170 such requests from departments, compared to 184 in 2009/10. These were:

- **40 extensions of short-term appointments without fair and open competition beyond the usual two years set out in the Recruitment Principles.**
- **2 short-term appointments of up to two years at pay band 2.**
- **4 extensions of an appointment of an individual with highly specialised skills beyond the usual two years.**
- **100 extensions of inward secondments from external organisations beyond the usual two years. Of these, 14 were staff in the Fire Service College and 4 in the Crown Prosecution Service where approval was only sought retrospectively – a practice that the Commission does not encourage.**
- **24 transfers into the civil service from other public bodies.**

The Commission can also, exceptionally, approve appointments in other circumstances that are justified by the needs of the civil service. One such case occurred in April 2010, for recruitment undertaken during 2009/10, when the Department of Work and Pensions alerted the Commission to the fact that a major recruitment exercise at administrative level to Jobcentre Plus had been halted due to the rapidly changing projections of load on Jobcentres following the economic downturn. The speed and depth of the recession following the global financial crisis were unique and in response Jobcentre Plus embarked upon a major recruitment exercise in order to be prepared to respond to projected rises in unemployment. This large scale recruitment exercise was designed and undertaken openly, fairly and based on merit but, because of urgent and changing workloads some successful applicants were appointed out of strict merit order. The subsequent departmental budgetary reductions and recruitment freeze meant that it was then impossible to address the issue of out-of-merit-order candidates who numbered around 1,300. In light of this unique situation, about which the department had kept the Commission informed throughout, the Commission exceptionally agreed to grant an exception for this recruitment exercise because the circumstances were justified by the needs of the civil service.

More generally, the Commission is aware that the transition to a new government, budgetary pressures and the recruitment freeze may have resulted in greater use of the Recruitment Principles exceptions by departments during this year. The Commission remains determined that such exceptions should only be used when there is a justified need and should not cause to undermine the principle of selection on merit on the basis of fair and open competition. We have asked DLA Piper to focus on the use of delegated exceptions in their current audit of departments' recruitment during 2010/11. We will be reviewing our exceptions regime, using the results of this audit and as part of a planned review of the Commission's Recruitment Principles during 2011/12.

## 5.6 COMPLAINTS UNDER THE COMMISSION'S RECRUITMENT PRINCIPLES

Individuals can complain if they believe the requirements of the Commission's Recruitment Principles have been breached. They should first complain to the department or agency concerned. If they are not satisfied with the response, they can bring their complaint to us. If we uphold a complaint, we make recommendations both in relation to the specific case and to guard against future breaches of the Recruitment Principles.

The Commission handled 20 complaints during the year. Last year the total was 16.

Three of the complaints brought to us this year are still under investigation. We will include them in our next Annual Report.

In the remaining 17 cases, no breach of the Recruitment Principles was identified. As a result of an investigation into a complaint, we have sometimes needed to write to departments and agencies to say that, while no breach of the Recruitment Principles had been identified, there were nonetheless areas relevant to recruitment where their practice or procedures could be improved.

Last year's report mentioned that four complaints received during 2009/10 were still under investigation. No breach of the Recruitment Principles was identified in any of these cases.

### NEW GUIDE ON RECRUITMENT COMPLAINTS

In May 2010, we published a new guide to bringing a complaint under the Recruitment Principles. There was a further revision in October 2010 at the time of the creation of the Civil Service Commission.

The guide is intended to be a clear, comprehensive, and easy to use resource for those who feel that something may have not have been right in a civil service recruitment campaign. It explains what the Commission is able to do and what information we need to have in order to investigate a complaint. It also outlines the service standards that the Commission will follow.

The guide was one result of an on-going process of reviewing our policies and practices for complaint handling to ensure we are achieving good practice. We will take this work forward in the coming year.

## 6. Upholding and promoting the Civil Service Values



## 6.1 ROLE OF THE CIVIL SERVICE COMMISSION

The Civil Service Code outlines the core values of the civil service and gives illustrations of the standards of behaviour expected from civil servants. It also explains the duties of departments to make civil servants aware of the Code and its values. Departments must consider concerns raised by civil servants under the Code and must ensure that civil servants are not penalised for raising concerns.

A new edition of the Code was issued by the Cabinet Office in November 2010. It contained a small number of revisions to reflect the implementation of Part 1 of the Constitutional Reform and Governance Act 2010.

Under the Act, and previously under the Civil Service Order in Council, the Civil Service Commission considers and investigates concerns raised by civil servants under the Civil Service Code. The Commission may then make recommendations about how the matter should be resolved.

A civil servant with a concern will usually raise it by talking to their line manager or someone else in the line management chain. If for any reason this would be difficult, they can raise the matter with one of their department's Nominated Officers. Nominated Officers are appointed to advise staff on the Code. Civil servants, who raise a concern but do not receive what they consider to be a reasonable response, may bring a complaint to the Civil Service Commission.

The Commission can also consider complaints from civil servants direct, and will do so if the circumstances require it. But we believe that it is in the best interests of all parties that difficulties should be resolved at the departmental or agency level when that is possible.

The Commission also works with departments to help them promote the Code and the core values. We took on this role in 2003 at the suggestion of the Committee on Standards in Public Life, and with the support of the Cabinet Secretary.

We have also worked during the year to review our own procedures for handling complaints to ensure that they meet good practice standards. We will take this review work forward in the coming year.

## 6.2 SUMMARY OF CODE CASES

The Commission dealt with 25 approaches this year concerning complaints under the Civil Service Code. This is the same number as was received in the previous year, 2009-10.

### UNDER INVESTIGATION

Five complaints remain under investigation at the end of the reporting period. In two cases we are in contact with the civil servants who brought these requests to seek further information to assist our initial assessments.

We will report the outcomes of these complaints in next year's Annual Report.

### INVALID COMPLAINTS

Each year the Commission receives a number of approaches requesting investigation of complaints under the Code which on examination do not fall within its scope.

We received thirteen approaches that were judged to be about human resources management issues. The Code does not cover these issues. They are specifically excluded by paragraph 18 in the 2010 edition of the Code.

There were three approaches from people who were not civil servants. The right of complaint under the Code only applies to civil servants. If a member of the public wishes to complain about the actions of a department or agency, or its civil servants, this should in most cases be done through the Parliamentary and Health Services Ombudsman.



## ANONYMOUS APPROACHES

We received one approach this year that was anonymous.

The Commission does not encourage anonymous approaches. Anonymity puts enormous barriers in the way of any successful investigation. It is difficult to exclude the possibility that an anonymous approach is motivated by malice. And it can be impossible to establish that the appeal request does indeed come from a civil servant.

## INSUFFICIENT EVIDENCE

The initial assessment of one complaint concluded that there was insufficient evidence to judge if it might be valid. Further information was sought from the civil servant who raised the concern. No further evidence to substantiate the claim was provided. The Commission concluded that there were insufficient grounds to warrant an investigation.

## DEPARTMENTAL PROCESSES (OR APPEAL WITHDRAWN)

One approach was from a civil servant who raised a concern about a change to departmental policy which the Commission determined did not fall within the scope of the Code.

One approach was from a civil servant who raised a concern about the appropriate use of resources. The Commission believed that there was a possible appeal under section 6 of the 2006 version of the Code relating to integrity, and specifically that civil servants should 'make sure public money and other resources are used properly and efficiently'. The Commission sought further background information from the department concerned. The department did not believe that there had been a breach of the Code, but reviewed its local policy and made changes which addressed the concerns of the civil servant who had raised the matter with the Commission. The concern was resolved to the satisfaction of the civil servant and therefore no further action was necessary and the complaint was considered to be withdrawn.

## 6.3 AUDIT OF DEPARTMENTS

### FIRST AUDIT IN 2009

In April 2009, with the support of the Cabinet Secretary, we commissioned the first full audit of departments' activities to promote and uphold the values in the Civil Service Code. The results of the audit were given in the Commissioners' Annual Report 2008-09, and the details of the outcomes of further analysis were given in last year's Annual Report.

The audit produced a great deal of useful information and examples of good practice. The Commission decided to give departments time to reflect on the results of the 2009 audit and to consider how they could apply the lessons and the examples of good practice in their own organisation. As a consequence, there was no audit in 2010 and the second audit was launched in March 2011.

### SECOND AUDIT MARCH 2011

The 2011 audit used the same methodology as the 2009 audit to allow comparison between the two. It is based upon a self assessment questionnaire developed by the Commission's audit consultants, DLA Piper from the "Best Practice Checklist" for promotion of the Civil Service Code drawn up by a group of Commissioners and Permanent Secretaries in 2007.

## INITIAL FINDINGS

A summary of the responses to the audit questionnaire is included as an appendix to this report 'Summary of findings of Civil Service Code audit'.

Many departments and agencies have provided supporting documentation and web links to illustrate how the values are promoted within their organisation. There has clearly been considerable effort by some organisations since our first audit in 2009. We have been provided with a quantity of good material which we wish to investigate in some depth. We will be taking this work forward over the summer. We will also be considering whether the results of the audit indicate where the Commission should best be applying its efforts going forward.

In presenting the results DLA Piper have given the percentage responses for all organisations and for Large, Medium and Small organisations.

Large	More than 2,500 staff (20 organisations covering over 424,000 staff)
Medium	500 to 2,500 staff (27 organisations covering some 35,000 staff)
Small	Less than 500 staff (16 organisations covering over 4,000 staff)

The 20 large organisations between them account for just over 80% of all civil servants.

We give here some first impressions of the results of this year's audit.

There were 29 questions in the 2011 audit. One of these was seeking factual information: 'Do you ever use shared services, recruitment agencies or consultants? This is a 'neutral' question; movement against the first audit benchmark could not be described as positive or negative. There was one new question, asking for information on the procedure that would be used to investigate a concern under the Code if the department did not have a specific Code-related procedure. A similar question had not been asked in 2009, and therefore no comparison could be made between the two sets of results. Regarding the 27 questions where direct and significant comparisons could be made between 2009 and 2011: there was positive movement on 16 questions; negative movement on 8; and effectively no movement on three.

In reporting the results of the 2009 audit, DLA Piper noted for a number of questions that the responses in departments' questionnaire returns were not always backed up by the supporting documentation that was supplied. For the 2011 audit, though nearly all the questions were the same, there was some sharpening of the language to try to address these gaps between what departments reported and what the evidence appeared to show. The initial impression from the audit returns for 2011 is that many of the negative movements can be explained by a more realistic self assessment this time around. Nevertheless, this realistic self-assessment indicated that there is still work to done by some departments and agencies in particular areas.

Initial analysis of the results of this year's audit indicates a number of areas where departments and agencies report improvements:

- **Over 75% of organisations with a policy statement on upholding and promoting the Civil Service Code say they have reviewed their policy in the two years since the last audit.**
- **Many more organisations, and 90% of large organisations, now say that their own mission and values statements reflect the values and standards in the Civil Service Code.**
- **Most organisations now report that they are actively publicising details of how staff may raise concerns under the Code.**
- **More organisations report that their general management training includes explicit references to the Code.**
- **More organisations, and 75% of large organisations, report that they explicitly refer to the Code in information given to candidates for advertised jobs.**

There are also areas where initial analysis of the results indicates that there is still work to do for many organisations:

- **More than a quarter of organisations report that they have no formal policy on upholding and promoting the Civil Service Code.**
- **Many organisations have no specific procedures for investigating complaints under the Code. Many rely on other procedures, and not all of these appear to be appropriate for investigating Code concerns.**
- **There still appears to be a lack of training in many cases for Nominated Officers and others with Code responsibilities.**
- **Fewer organisations, and many fewer large organisations, report that they give new recruits a hard copy of the Code, and while most report it is available electronically, there has even been a small decline here.**

## NEXT STEPS

We will continue our analysis of the results of the audit and the supporting material provided by departments over the summer. In the autumn we will circulate departments with further analysis, indicating the strengths and weaknesses across the civil service that have been revealed. We will provide examples of good practice that departments may wish to adopt or adapt for their own use.

The results for individual departments will also be fed back to them through the Link Commissioner meetings.

The Commission will also use the further analysis to consider whether there are further, or different, steps it needs to take to help departments promote the Code. We will be looking at whether small and medium organisations need different support from the larger organisations.

## 6.4 SUPPORT FOR NOMINATED OFFICERS

The 2009 audit indicated that more could be done to provide training and support for Nominated Officers and staff in Human Resources departments with responsibility for the Civil Service Code.

Last year we reported on work that was underway to develop a password protected dedicated area of our website for use by Nominated Officers. This was part of our contribution to help support Nominated Officers. This protected area of our website went live in November 2010.

It has four main sections:

- **Toolkit – bringing together a range of guidance material and information for Nominated Officers and trainers.**
- **Latest Information – a platform to flag up events and developments of interest.**
- **Reports and Surveys – somewhere to share findings from exercises, e.g. the Code audit.**

- **Forum – creating a ‘virtual community’, promoting interaction between the Commission and departments by generating discussion and providing an opportunity to share experiences.**

Nominated Officers and Human Resources representatives with responsibility for upholding and promoting the Civil Service Code from across 50 departments and agencies have been provided with unique usernames and passwords and given access to the site.

We will be expanding the range of material available from the protected area, incorporating feedback from Nominated Officers on what they would find useful.

The shape and scope of Human Resources support and provision cross the civil service is currently undergoing major change. We anticipate that the resources available on our site will provide flexible and adaptable support to the new ways of working.

## 6.5 CIVIL SERVICE STAFF SURVEY

Last year we reported on the results of the first civil service-wide staff survey and in particular the questions on the Civil Service Code. In October 2010 the second Civil Service staff survey was conducted. A similar set of questions was used and these again included three questions on the Civil Service Code.

A table comparing the results on the Civil Service Code questions from both 2009 and 2010 is shown below. The detailed staff survey results for each department have been published and are available on the government's data site: <http://data.gov.uk>.

Theme	Question Text	Civil Service 2009 Benchmark Score (% positive)	Civil Service 2010 Benchmark Score (% positive)
Civil Service Code	Are you aware of the Civil Service Code?	75%	81%
	Are you aware of how to raise a concern under the Civil Service Code?	44%	53%
	Are you confident that if you raised a concern under the Civil Service Code in [the organisation] it would be investigated properly?	58%	62%

Comparison between the two sets of results is very encouraging, showing generally positive improvement across the board. The results reflect the work that has been done by civil servants across departments and agencies to increase awareness of the Code. It reinforces the evidence provided by our own interaction with departments over the past two years. It appears that the 2009 audit was a real wake-up call for many departments and they have put a lot of energy into improving and promoting their Civil Service Code complaints processes, though there is scope for further improvement.

This direct information from civil servants on their knowledge of the Code complements the results of the Commission's own Civil Service Code audit. Our audit tells us what departments say they are doing, and the survey tells us what civil servants say they know and believe.

## 6.6 PROMOTION OF THE CIVIL SERVICE VALUES

Throughout the year, individual Commissioners have taken the opportunity of their 'link' meetings with Permanent Secretaries and Chief Executives to discuss the Code and the civil service values. In addition, the Commission has continued to support a number of other initiatives to promote the values to civil servants.

### CIVIL SERVICE LIVE

The Civil Service Commissioners have been pleased to participate in Civil Service Live events, starting with the first in April 2008. This year we produced a 'Question Time on Civil Service Values' at Civil Service Live in London in July 2010.

Janet Paraskeva, the First Civil Service Commissioner chaired the session with panel members Sir Gus O'Donnell, the Cabinet Secretary; Civil Service Commissioner, Adele Biss; Howell James, Director of Corporate Affairs at Barclays Bank; and, Sue Gray, Director of the Private Offices Group and Head of Propriety and Ethics in the Cabinet Office.

These Question Time sessions continue to be an effective way of raising and discussing ethical issues that can challenge civil servants in their working lives. The panellists bring a variety of views and experiences to the discussions, from inside and outside the service. At Olympia there were wide ranging topics that included how civil servants could feel safe speaking up in the face of widespread job cuts; the importance of the government showing its support for civil servants; the significance of civil service legislation; the rights and wrongs of leaking; maintaining values when services are contracted out; and ethics and value for money.

### CIVIL SERVICE AWARDS

The Commission was again pleased to sponsor the Cabinet Secretary's Award at the Civil Service Awards. Now in their fifth year, the awards celebrate and recognise individuals and teams who have shown outstanding achievement in delivering excellence in public service and showcasing innovation. The Cabinet Secretary's Award is presented to an individual or team who have displayed the core civil service values of honesty, integrity, objectivity and impartiality in their work.

The First Civil Service Commissioner, Janet Paraskeva, announced the individual winner, Amy Rees, Governor of HM Prison Brixton; Sir Gus O'Donnell, announced the team winner, the Collaborative Procurement Team, Pan-Government Energy.

2010 was a particularly special year for the awards. This year's winners were announced at a ceremony at Buckingham Palace in the presence of HM The Queen and HRH The Duke of Edinburgh, who hosted a reception afterwards.

### CIVIL SERVICE ART COMPETITION

Dame Janet Paraskeva and Sir Gus O'Donnell announced the winner of the Civil Service Art Competition "Your Space", at Civil Service Live at Olympia on 8 July 2010.

The competition was launched at Civil Service Live North West in December 2009 and was open to all UK civil servants. It sought original art works in any medium representing what it means to be a civil servant, underpinned by the civil service values of Honesty, Integrity, Impartiality and Objectivity.

Over 90 high quality entries were received, from which the Your Space sifting panel short-listed 16 works. All the short-listed entries were on show at Civil Service Live. The competition was judged by Janet Paraskeva, Sir Gus O'Donnell, and Sue Tilley. Sue, a civil servant for 30 years, has very strong connections to the art world and is particularly known as model and muse to Lucian Freud.

The judges selected Sukhpal Grewal's striking abstracts, Red 1, as the winner. Sukhpal works in Jobcentre Plus. Three other artists were highly commended by the judges: Julian Mitchell, Jobcentre Plus, for his portrait of Anthony Green; J F Reis, Crown Prosecution Service, for his painting, Four Civil Service Values; and Rebecca Harrison, Jobcentre Plus, for her sculpture, Honesty. Visitors to Civil Service Live were invited to vote for the short-listed entry they liked most. The People's Choice winner was Stella Hender, Jobcentre Plus, for her portrait of Alan the Big Issue Seller.

The Commission was delighted to be invited to sponsor a competition that provided such an imaginative way of promoting the core civil service values.

# 7. Meet the Commissioners







### **DAME JANET PARASKEVA DBE**

Janet became the First Commissioner on 1 January 2006. She was appointed Chair of the Child Maintenance and Enforcement Commission in November 2007. She is Chair of the Olympic Lottery Distributor and was until recently a non-executive board member of the Serious Organised Crime Agency and chair of CEOP the Child Exploitation and Online Protection Centre. She has also served as an independent member of the Consumer Council for Water. She was the Law Society's Chief Executive from 2000 until August 2006 and led a shake-up of its governance and operational systems to restore its credibility as a front-line regulator for solicitors and to establish separately its role as the professional body to represent the profession. Earlier appointments included Director for England of the National Lottery Charities Board, Chief Executive of the National Youth Agency and non-executive director of a community NHS trust. She has also been one of HM Inspectors of Education, a member of the Youth Justice Board, a magistrate and a ChildLine council member. Janet's five year non-renewable term as First Civil Service Commissioner finished on 31 December 2010. She has been appointed by the Prime Minister as a member of the Inquiry Panel investigating UK involvement in detainees in overseas counter terrorism operations, led by Sir Peter Gibson. Janet was created a Dame of the Order of the British Empire in the Queen's Birthday Honours list in June 2010 and a member of the Privy Council in July 2010.



### **SIR DAVID NORMINGTON GCB**

David became the First Civil Service Commissioner, and Commissioner for Public Appointments, on 1 April 2011, following an open recruitment exercise conducted in line with the Civil Service Commission's Recruitment Principles. He was confirmed in the post following pre-appointment scrutiny by the Public Administration Select Committee of the House of Commons. David was Permanent Secretary at the Home Office from January 2006 to December 2010. His early career in the civil service involved a range of jobs in the fields of employment, training and industrial relations, and included a time as Principal Private Secretary to the Secretary of State for Employment. He moved through a series of senior positions in the Department for Education, and the Department for Education and Employment, including Director for Personnel and Corporate Services, and Director General for Schools. In 2001 he was appointed Permanent Secretary at the Department for Education and Skills, a post he held until the end of 2005 when he joined the Home Office. As Permanent Secretary, David made a particular specialism of senior leadership development and human resources. In 2008 he chaired a special steering group that reported to the Cabinet Secretary on workforce and reward strategy for the Senior Civil Service. He is a Fellow of the Chartered Institute of Personnel and Development. He received a KCB in 2005 and was appointed GCB in the 2011 New Year's Honours list.



### **MARK ADDISON CB**

Mark holds non-executive roles at the National Archives and Salix Finance. He left the civil service in 2006 as Director General, Operations and Service Delivery, Defra. He was from 1998 to 2001 Chief Executive, Crown Prosecution Service and before that held posts in the Cabinet Office, the Health and Safety Executive, No 10 and the Department of Employment.

Mark was appointed as a Civil Service Commissioner on 4 April 2007 and he acted as Interim First Civil Service Commissioner, and Commissioner for Public Appointments, from January to March 2011.



### **DAME JANET GAYMER DBE QC**

Janet became a Civil Service Commissioner on 1 January 2006, when she was also appointed the Commissioner for Public Appointments. In the latter capacity, she regulated ministerial appointments to designated public bodies in England and Wales and certain posts in Northern Ireland.

She took up the appointments on stepping down as Senior Partner of Simmons & Simmons, a City-based international law firm. Previously, she was a member of the Employment Tribunals Service Steering Board, Chair of the Employment Tribunal System Taskforce, and a member of the Council of ACAS.

Janet's five year non-renewable term as Commissioner for Public Appointments, and Civil Service Commissioner, finished on 31 December 2010. She is currently one of the independent lay members of the Speaker's Committee for the Independent Parliamentary Standards Authority and a member of the Board of the Financial Ombudsman Service.

Janet was created a Dame of the Order of the British Empire in the Queen's Birthday Honours list in June 2010.



### **ADELE BISS**

Adele has been a non-executive director of various private and public sector companies, most recently Eurostar International Limited and Engine, a marketing and media services group. Over forty years her career has included founding and running a PR business and, later, a Corporate and Public Affairs consultancy. She has been chairman of the British Tourist Authority and English Tourist Board, a governor of Middlesex University and a Council Member of University College London (UCL).

Her early experience was in brand marketing at Unilever and in marketing and communications at Thomson Holidays.

Adele was appointed as a Civil Service Commissioner on 1 April 2010.



### **ANTHEA MILLETT CBE**

Anthea has held a number of appointments and posts in the public sector, most recently as Chairman of Avon, Gloucestershire and Wiltshire Strategic Health Authority from 2002 to 2006.

Her earlier career spanned secondary education, HM Inspectorate of Schools, and initial teacher training as Chief Executive of the Teacher Training Agency from 1995 to 1999. She has also chaired the Wiltshire Health Authority, led the Green Paper Quality Assurance Unit at DfES and, latterly, has acted as Chairman for the Wiltshire Primary Care Trust.

Anthea was appointed as a Civil Service Commissioner on 4 April 2007.



### **BERNARD KNIGHT CBE**

Bernard has spent most of his career in local government. In 2007 he retired from Bolton Metropolitan Borough Council where he was Chief Executive for 10 years. Before that he was Chief Executive of West Lancashire Council from 1990 to 1997.

He has been a non-executive director of a Training and Enterprise Council and Business Link, and a Governor of a Further Education College and Secondary School. He is currently the Chair of Trafford Housing Trust and a Board Member and Trustee of the Halle Concerts Society.

Bernard was appointed as a Civil Service Commissioner on 4 April 2007.



### **PROFESSOR CHRISTINE HALLETT**

After an initial spell as a civil servant, Christine spent most of her career as an academic working in the field of social policy. She was Principal and Vice-Chancellor of the University of Stirling, Scotland from 2003-2010. She is a Fellow of the Royal Society of Edinburgh, a Governor of Bournemouth University and Chair of the Board of Trustees of UKCISA (the UK Council for International Student Affairs).

Christine was appointed as a Civil Service Commissioner on 9 July 2008.



### **ELIZA HERMANN**

Eliza is currently a Non Executive Director of Brightpoint, a private-sector distributor of mobile phones throughout the world, and of NHS Hertfordshire, where she chairs the Finance & Performance Committee.

Her earlier career comprised more than 20 years commercial and human resources experience in the international oil and gas industry. At Amoco and subsequently BP, she led projects in Asia, Europe, the Middle East, the countries of the former Soviet Union, and in North and South America. Most recently from 2001 to 2008 she served as Vice President Human Resources at BP's global headquarters in London.

Eliza was appointed as a Civil Service Commissioner on 1 April 2010.





### **LIBBY WATKINS DL**

Libby is currently Vice President of the Upper Tribunal, Asylum and Immigration Chamber. She practised at the Bar in London before serving as Senior Crown Counsel and later Registrar of the Supreme Court in Bermuda. Accompanying her diplomat husband, she lived in Pakistan, Canada and Swaziland where she became involved with various NGOs and charities. A former member of the National Lottery Charities Board, later Community Fund, Libby also chaired the Wales Committee.

She is a member of the Lord Chancellor's Advisory Committee on the Appointment of JPs in Gwent. She is a Bencher of Gray's Inn. A Welsh speaker, she is a Deputy Lieutenant of Gwent.

Libby was appointed as a Civil Service Commissioner on 4 April 2007.



### **SIR MICHAEL AARONSON CBE**

Michael is Chairman of Frimley Park Hospital NHS Foundation Trust, a non-executive director of Oxford Policy Management Ltd, and a Co-Director of cii –the Centre for International Intervention- at the University of Surrey, where he is also a Professorial Research Fellow. A visiting fellow at Nuffield College, Oxford, he also lectures at the UK Defence Academy and is a Senior Adviser to NATO on civil/military cooperation.

Mike spent 16 years in HM Diplomatic Service. He was subsequently International Director of Save the Children and, from 1995-2005, Chief Executive. Mike was appointed as a Civil Service Commissioner on 4 April 2007.



### **SIR NEIL MCINTOSH**

Neil completed a term as inaugural Chairman of the Judicial Appointments Board for Scotland. He pursued a career in Local Government in Scotland, latterly as Chief Executive of Strathclyde Regional Council until 1996, and has subsequently been engaged in a range of public appointments including involvement as a member of the UK Electoral Commission, Convener of the Scottish Council for Voluntary Services and Trustee of the National Museums of Scotland.

Neil was appointed as a Civil Service Commissioner on 9 July 2008.



### **PETER BLAUSTEN**

Peter Blausten is Group Human Resources Director of Morgan Crucible plc. Previously, he was an independent consultant advising on private equity acquisitions, and on organisation development. He was Group HR Director of BAA plc, and held senior roles with US broker Charles Schwab & Co, British Airways plc, and Ford Motor Company. He was a research associate at Ashridge Business School and a member of the CBI's Employment Policy Committee. He is a Council member of the Institute of Employment Studies and a senior consultant at the Senior Directors' Unit.

Peter was appointed as a Civil Service Commissioner on 1 April 2010.



## **RANJIT SONDHI**

Ranjit trained as a physicist, is an experienced community action worker, and has served on a number of national public bodies since the late 1980s. He has been a member of the Independent Broadcasting Authority and of the Radio Authority; a deputy Chairman of the Commission for Racial Equality; Chairman of the Refugee Employment Training and Education Forum; member of the Lord Chancellor's Advisory Committee on Legal Education and Conduct; member of the Home Secretary's Race Equality Advisory Panel; trustee of the National Gallery; and a governor of the BBC with special responsibility for the English regions. He was a senior lecturer at the University of Birmingham in the Community and Youth Studies department from 1985 to 2007.

Currently, he is Chairman of the Heart of Birmingham Teaching Primary Care Trust; member of the Tenant Services Authority; trustee of the Baring Foundation; Chairman of Sampad, a South Asian Arts organisation; trustee of the National Education Trust; and lay member of the Council of the University of Birmingham.

Ranjit was appointed as a Civil Service Commissioner on 4 April 2007.

Signed by  
**Dr Richard Jarvis**  
7 July 2011

## 8. Appendices





## 8.1 APPROVAL OF APPOINTMENTS TO THE SENIOR CIVIL SERVICE

**SENIOR LEADERSHIP COMMITTEE APPOINTMENTS (EXTERNAL COMPETITIONS – PERMANENT SECRETARIES, DIRECTORS GENERAL, CHIEF EXECUTIVES, PAY BAND 3)**

DEPARTMENT	POST TITLE	APPOINTEE	PREVIOUS EMPLOYMENT
CHILD MAINTENANCE AND ENFORCEMENT COMMISSION	CHIEF EXECUTIVE	NOEL SHANAHAN	Chief Executive DVLA
COMMUNITIES AND LOCAL GOVERNMENT	PERMANENT SECRETARY	ROBERT KERSLAKE	Chief Executive, Homes and Communities Agency
COMMUNITIES AND LOCAL GOVERNMENT	DIRECTOR GENERAL FINANCE AND CORPORATE SERVICES	NO APPOINTEE THROUGH THIS COMPETITION	
DEPARTMENT FOR ENVIRONMENT, FOOD AND RURAL AFFAIRS	PERMANENT SECRETARY	BRONWYN HILL	Director General, Major Projects and London, Department for Transport
DEPARTMENT OF HEALTH	PERMANENT SECRETARY	UNA O'BRIEN	Director General, Policy and Strategy, Department of Health
DEPARTMENT OF HEALTH	CHIEF MEDICAL OFFICER	SALLY DAVIES	Interim Chief Medical Officer
DEPARTMENT FOR TRANSPORT	PERMANENT SECRETARY	LIN HOMER	Chief Executive, UK Border Agency
DEPARTMENT FOR BUSINESS, INNOVATION AND SKILLS	DIRECTOR GENERAL AND CHIEF ECONOMIC ADVISER	TERA ALLAS	Chief Economist & Director of Transport Analysis, Department for Transport
FOREIGN AND COMMONWEALTH OFFICE	LEGAL ADVISER	IAIN MACLEOD	Director and Head of Division, Central Advisory Division, Treasury Solicitor's Department
MINISTRY OF DEFENCE	CHIEF OF DEFENCE MATERIEL	BERNARD GRAY	Chair of Magalia and Group GTI
OFFICE OF FAIR TRADING	EXECUTIVE DIRECTOR, GOODS SERVICES, MERGERS & POLICY	CLIVE MAXWELL	Senior Director, Services Sector, Office of Fair Trading
OFFICE OF FAIR TRADING	EXECUTIVE DIRECTOR, INFRASTRUCTURE, CARTELS, CONSUMER MARKETS AND POLICY	ROBERT LASLETT	Director, Private Pensions & Chief Analyst, Department for Work and Pensions
WELSH ASSEMBLY GOVERNMENT	DIRECTOR GENERAL, HEALTH & SOCIAL SERVICES/CHIEF EXECUTIVE NHS WALES	DAVID SISSLING	Chief Executive Abertawe Bro Morgannwg University Health Board
WELSH ASSEMBLY GOVERNMENT	DIRECTOR GENERAL, PUBLIC SERVICES AND LOCAL GOVERNMENT DELIVERY	JUNE MILLIGAN	Acting Director General, Public Service and Local Government Delivery, Welsh Assembly Government

**OTHER SENIOR APPOINTMENTS MADE THROUGH OPEN COMPETITION – PAY BAND 2**

DEPARTMENT	POST TITLE	APPOINTEE	PREVIOUS EMPLOYMENT
CABINET OFFICE	EXECUTIVE DIRECTOR OF STRATEGY AND MANAGEMENT INFORMATION	KATHARINE DAVIDSON	Efficiency and Reform Group, Cabinet Office
CHARITY COMMISSION	CHIEF EXECUTIVE OFFICER	SAM YOUNGER	Interim Chief Executive, Bell Educational Trust Commission
DEPARTMENT FOR BUSINESS, INNOVATION AND SKILLS	HEAD OF PORTFOLIO MANAGEMENT, STAKEHOLDER EXECUTIVE	ANTHONY ODGERS	Global Co-Head of Restructuring Advisory Group, Deutsch Bank
DEPARTMENT OF ENERGY AND CLIMATE CHANGE	SCIENCE AND INNOVATION DIRECTOR	PAUL HOLLINSHEAD	Head of Industrial Alignment & Wealth Creation, Defence Evaluation and Research Agency

## OTHER SENIOR APPOINTMENTS MADE THROUGH OPEN COMPETITION – PAY BAND 2 (CONTINUED)

DEPARTMENT	POST TITLE	APPOINTEE	PREVIOUS EMPLOYMENT
DEPARTMENT FOR EDUCATION	DIRECTOR OF COMMUNICATIONS	JAMES FRAYNE	Company Director, Media Consultancy
DEPARTMENT FOR ENVIRONMENT, FOOD AND RURAL AFFAIRS	CHIEF EXECUTIVE, RURAL PAYMENTS AGENCY	MARK GRIMSHAW	Managing Director, Child Support Agency
DEPARTMENT FOR ENVIRONMENT, FOOD AND RURAL AFFAIRS	CHIEF EXECUTIVE, ANIMAL HEALTH AGENCY	CATHERINE BROWN	Chief Executive, Animal Health
DEPARTMENT FOR ENVIRONMENT, FOOD AND RURAL AFFAIRS	FINANCE DIRECTOR, RURAL PAYMENTS AGENCY (Competition run twice)	NO APPOINTEE	
FOOD STANDARDS AGENCY	DIRECTOR OF OPERATIONS	ANDREW RHODES	Director of Products and Service, DVLA
FOREIGN AND COMMONWEALTH OFFICE	CHIEF INFORMATION OFFICER	DAVID MEYER	Deputy Chief Information Officer, Ministry of Defence
FOREIGN AND COMMONWEALTH OFFICE	BRITISH CONSUL GENERAL, NEW YORK	DANNY LOPEZ	Director, London Development Agency
HM TREASURY	GENERAL COUNSEL ASSET PROTECTION AGENCY	LUCY WYLDE	Partner, Slaughter and May
HM TREASURY	CHIEF EXECUTIVE, INFRASTRUCTURE UK	NO APPOINTEE	
MINISTRY OF DEFENCE	CHIEF OPERATING OFFICER, UK HYDROGRAPHIC OFFICE	IAN MONCRIEFF	Interim Chief Operating Officer, UK Hydrographic Office
MINISTRY OF JUSTICE	FINANCE DIRECTOR	CRAIG WATKINS	Director, Corporate Services, Youth Justice Board
MINISTRY OF JUSTICE	FINANCE DIRECTOR, NATIONAL OFFENDER MANAGEMENT SERVICE	CAMILLA TAYLOR	Finance Director, Identity and Passport Service
OFQUAL	CHIEF EXECUTIVE	GLENYS STACEY	Chief Executive, Standards for England
OFFICE OF RAIL REGULATION	CHIEF EXECUTIVE	RICHARD PRICE	Chief Economist and Director of Corporate Performance, Department for Environment, Food and Rural Affairs
OFGEM	SUSTAINABLE ENERGY POLICY PARTNER	NO APPOINTEE	
OFWAT	DIRECTOR OF POLICY AND COMMUNICATIONS	MARIAN SPAIN	Director of Strategy, Energy Saving Trust
WELSH ASSEMBLY GOVERNMENT	DIRECTOR SKILLS HIGHER EDUCATION & LIFELONG LEARNING GROUP	OWEN EVANS	Director, Business in the Community, Wales
SCOTTISH GOVERNMENT	CHIEF EXECUTIVE, SCOTTISH DEVELOPMENT INTERNATIONAL	NO APPOINTEE	
WELSH ASSEMBLY GOVERNMENT	CHIEF INSPECTOR, ESTYN	ANN KEANE	Acting Chief Inspector, Estyn

## SENIOR LEADERSHIP COMMITTEE INTERNAL COMPETITIONS FOR SENIOR APPOINTMENTS AT PAY BAND 3 LEVEL

DEPARTMENT	POST TITLE	APPOINTEE
CABINET OFFICE	CHIEF OPERATING OFFICER	IAN WATMORE
CABINET OFFICE	CHIEF PROCUREMENT OFFICER	JOHN COLLINGTON
CABINET OFFICE	ADVISER TO PM ON FOREIGN & DEFENCE POLICY, NATIONAL SECURITY SECRETARIAT	JULIAN MILLER
CABINET OFFICE	HEAD OF INTELLIGENCE, SECURITY & RESILIENCE, NATIONAL SECURITY SECRETARIAT	OLIVER ROBBINS
CABINET OFFICE	DIRECTOR GENERAL, CIVIL AND PUBLIC SERVICES REFORM	NO APPOINTEE
DEPARTMENT FOR BUSINESS, INNOVATION AND SKILLS	DIRECTOR GENERAL, KNOWLEDGE AND INNOVATION	ADRIAN SMITH
DEPARTMENT FOR BUSINESS, INNOVATION AND SKILLS	PERMANENT SECRETARY	MARTIN DONNELLY
FOREIGN AND COMMONWEALTH OFFICE	PERMANENT UNDER SECRETARY AND HEAD OF DIPLOMATIC SERVICE	SIMON FRASER
HOME OFFICE	PERMANENT SECRETARY	HELEN GHOSH
MINISTRY OF DEFENCE	DIRECTOR GENERAL, DEFENCE ACADEMY	PETER WATKINS
MINISTRY OF DEFENCE	DIRECTOR GENERAL, SECURITY POLICY	TOM MCKANE
MINISTRY OF DEFENCE	CHIEF EXECUTIVE, DEFENCE ESTATES	NO APPOINTMENT MADE
MINISTRY OF DEFENCE	2 <sup>ND</sup> PARLIAMENTARY UNDER SECRETARY	JON DAY
MINISTRY OF JUSTICE	DIRECTOR GENERAL, FINANCE	ANN BEASLEY
SCOTTISH GOVERNMENT	DIRECTOR GENERAL, FINANCE	ALYSON STAFFORD
WELSH ASSEMBLY GOVERNMENT	DIRECTOR GENERAL, STRATEGIC PLANNING, FINANCE AND PERFORMANCE	MICHAEL HEARTY

## INTERNAL SENIOR LEVEL CONTRACTION EXERCISES CHAIRED BY THE COMMISSIONERS ON REQUEST

DEPARTMENT	POSTS
SCOTTISH GOVERNMENT	Directors General: 3 appointees
PARLIAMENTARY COUNSEL OFFICE	Pay Band 3: 4 appointees

## OTHER COMPETITIONS CHAIRED BY THE COMMISSIONERS ON REQUEST – INTERNAL COMPETITIONS PAYBAND 2 LEVEL

DEPARTMENT	POST TITLE	APPOINTEE
FOOD STANDARDS AGENCY	DIRECTOR OF FOOD SAFETY	ALISON GLEADLE
MINISTRY OF JUSTICE	DIRECTOR GENERAL SECURITY POLICY	OLIVER MORLEY
TREASURY SOLICITOR'S DEPARTMENT	LEGAL DIRECTOR, DEPARTMENT OF CULTURE, MEDIA AND SPORT	STEPHEN AMOS

## OTHER COMPETITIONS CHAIRED BY THE COMMISSIONERS ON REQUEST – EXTERNAL COMPETITION PAYBAND 1 LEVEL

DEPARTMENT	POST TITLE	APPOINTEE
DEPARTMENT OF HEALTH	HEAD OF NEWS	NO APPOINTEE

## 8.2 SUMMARY OF FINDINGS OF THE CIVIL SERVICE CODE AUDIT

In 2009 DLA Piper carried out, on our behalf, an audit of departments' and agencies' practices in promoting the Code and dealing with concerns raised under it. The audit took the form of a questionnaire to which departments and agencies responded and, where appropriate, also provided supporting documentation, exemplifying their practices. In the light of the report the Commissioners drew up a series of recommendations and examples of good practice. These were circulated to all departments and agencies in January 2010.

The Commission asked DLA Piper to repeat the audit this year to allow an assessment of the extent of progress over the two years since the first audit.

The audit contains 29 questions in 5 sections:

- Policy
- Procedures
- Guidance and Training
- Recruitment
- Induction

63 employing organisations responded, representing some 460,000 civil servants. This is a slightly higher response rate than in 2009 (58 responses). Nearly 20% of respondents this time are different to those who responded in 2009.

In presenting the results DLA Piper have given the percentage responses for All organisations and for Large, Medium and Small organisations.

Large	More than 2,500 staff (20 organisations covering over 420,000 staff)
Medium	500 to 2,500 staff (27 organisations covering some 35,000 staff)
Small	Less than 500 staff (16 organisations covering over 4,000 staff)

This means that the 20 largest organisations employ more than 90% of the total number of Civil Servants in all the respondent organisations, and just over 80% of all civil servants in the civil service.

We include here a summary of the questionnaire responses with some commentary from DLA Piper based on their initial consideration of the returns.

## POLICY

### QUESTION 1

*Do you have a formal statement of policy for how your department or Agency upholds and promotes the Code's values and standards?*

Audit Year	All		Large		Medium		Small	
	Yes %	No %	Yes %	No %	Yes %	No %	Yes %	No %
2011	73	27	90	10	62	38	69	31
2009	81	19	100	0	64	36	81	19

% of All Civil Servants in Respondent Organisations	Yes	95	No	5
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While most organisations feel that they have a formal policy for upholding and promoting the Code, the proportion has slightly declined since 2009, with more than a quarter having no policy. This may reflect the slightly different make up of the response group compared to 2009. As most large organisations have a policy, this does mean that 95% of civil servants in the organisations that responded are covered.

### QUESTION 2

*Has the Board specifically considered and approved this policy?*

Audit Year	All		Large		Medium		Small	
	Yes %	No %	Yes %	No %	Yes %	No %	Yes %	No %
2011	76	24	78	22	69	31	82	18
2009	89	11	90	10	100	0	77	23

% of All Civil Servants in Respondent Organisations	Yes	72	No	28
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Most organisations have approved their policy at Board level, although the proportion has slightly declined. This may partly be because there is greater awareness that this does not mean just approving a general review of the Staff Handbook, of which the Code forms a part.

### QUESTION 3

*When was this policy last reviewed?*

(2009 figures shown in brackets)

	Within the last year %	1-2 years ago %	2-5 years ago %	More than 5 years ago %
All	58 (32)	18 (36)	22 (17)	2 (15)
Large	61 (30)	22 (40)	17 (15)	0 (15)
Medium	50 (35)	19 (29)	25 (29)	6 (7)
Small	64 (31)	9 (38)	27 (8)	0 (23)
% of All Civil Servants in Respondent Organisations	83	8	5	4

Where they have a policy, a majority have reviewed it within the last year and more than 75% within the last two years, covering more than 90% of civil servants in respondent organisations.

**QUESTION 4**

*Have you specifically identified any key areas of work or work processes where adherence to values and standards in the Code could be at risk?*

Audit Year	All			Large			Medium			Small		
	Yes %	Partly %	No %	Yes %	Partly %	No %	Yes %	Partly %	No %	Yes %	Partly %	No %
2011	21	11	68	35	10	55	15	8	77	12	19	69
2009	21	19	60	35	10	55	14	31	55	13	12	75

% of All Civil Servants in Respondent Organisations	Yes	42	Partly	22	No	36
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Only a minority of respondents have made an attempt to identify areas in their organisation where adherence to the Code's values and standards may be at particular risk. As in 2009, most of these were in large or medium size organisations; so the proportion of civil servants in organisations that have positively identified risk areas rises to just over 40%.

**QUESTION 5**

*Does your Mission and Values statement clearly reflect the values and standards in the Code?*

Audit Year	All			Large			Medium			Small		
	Yes %	Partly %	No %	Yes %	Partly %	No %	Yes %	Partly %	No %	Yes %	Partly %	No %
2011	70	24	6	90	10	0	63	27	10	56	38	6
2009	52	32	16	65	15	20	41	45	14	50	37	13

% of All Civil Servants in Respondent Organisations	Yes	95	Partly	4	No	1
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Nearly all respondents felt their own statements of Mission and Values at least partly reflect the Code's core values, with a particular improvement over 2009 responses amongst large and medium size organisations.



## PROCEDURES

### QUESTION 6

Are the values and standards in the Code integrated in your departmental or Agency management codes and guidance?

Audit Year	All			Large			Medium			Small		
	Yes %	Partly %	No %	Yes %	Partly %	No %	Yes %	Partly %	No %	Yes %	Partly %	No %
2011	85	11	4	95	5	0	81	15	4	81	13	6
2009	89	9	2	100	0	0	82	13	5	88	12	0

% of All Civil Servants in Respondent Organisations	Yes	95	Partly	4	No	1
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The great majority of organisations, covering 98% of staff in respondent organisations, feel that their internal management codes and guidance fully integrate the standards and values in the Civil Service Code. Where they gave documentation in support, this mostly showed explicit references to the Code in the Staff Handbook or management guidance documents.

### QUESTION 7

Do you have a separate written procedure specifically for use when staff wish to raise concerns under the Code?

Audit Year	All		Large		Medium		Small	
	Yes %	No %	Yes %	No %	Yes %	No %	Yes %	No %
2011	42	58	50	50	42	58	31	69
2009	90	10	95	5	86	14	88	12

% of All Civil Servants in Respondent Organisations	Yes	67	No	33
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In 2009 most respondents said they had a specific procedure for dealing with concerns raised under the Code. However, their comments and, where provided, supporting documentation showed that very few actually did have a procedure that was specific to the Code. Some said they used, or would use, their Whistleblowing or Grievance procedures.

So in this audit we asked a similar question but also asked them to say what other procedure(s) they used if they did not have a specific procedure for Code concerns.

The responses show that less than half of respondents in fact have a procedure specific to the Code, although in terms of civil servants covered this rises to 67%. Of those who do not, more than half say they would use their Whistleblowing procedure. Some (but by no means all) Whistleblowing procedures that were submitted specifically cover Code concerns as well.

Returns covering around 25% of civil servants in respondent organisations, say either that they might or would use their Grievance or another procedure, frequently their Disciplinary procedure, instead of Whistleblowing. Neither of these is considered appropriate, especially the latter.

**QUESTION 8**

If you do not have a specific procedure for dealing with Code concerns, what procedure do, or would, you use? (Note: figures do not add to 100% as some organisations said they would potentially use different procedures according to the circumstances.)

All			Large			Medium			Small		
Whistleblowing %	Grievance %	Other %	Whistleblowing %	Grievance %	Other %	Whistleblowing %	Grievance %	Other %	Whistleblowing %	Grievance %	Other %
53	35	21	55	40	25	46	15	23	56	63	13

% of All Civil Servants in Respondent Organisations	Whistleblowing	31	Grievance	26	Other	24
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**QUESTION 9**

How do you investigate concerns raised under the Code?

This was a free text question. Departments were asked to briefly describe their procedures, or provide a copy of any document that described the procedure. The following table represents DLA Piper's evaluation of the information that was supplied.

Audit Year	All		Large		Medium		Small	
	Broadly satisfactory %	Not fully satisfactory %	Broadly satisfactory %	Not fully satisfactory %	Broadly satisfactory %	Not fully satisfactory %	Broadly satisfactory %	Not fully satisfactory %
2011	29	71	41	59	27	73	11	89
2009	39	61	42	58	45	55	25	75

% of All Civil Servants in Respondent Organisations	Broadly satisfactory	66	Not fully satisfactory	34
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**QUESTION 10**

Do you advise staff who raise a concern under the Code that if they do not believe they have received a reasonable response they may make an appeal to the Civil Service Commission?

Audit Year	All		Large		Medium		Small	
	Yes %	No %	Yes %	No %	Yes %	No %	Yes %	No %
2011	92	8	95	5	92	8	88	12
2009	89	11	95	5	86	14	87	13

% of All Civil Servants in Respondent Organisations	Yes	98	No	2
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Nearly all organisations said they did advise staff of their right to appeal to the Commission.

**QUESTION 11**

*Do you regularly publicise details of how staff may raise concerns on matters relating to the Code?*

Main figures show actual response rates. Figures in brackets are DLA Piper interpretation.

Audit Year	All		Large		Medium		Small	
	Yes %	No %	Yes %	No %	Yes %	No %	Yes %	No %
2011	65 (44)	35 (56)	80 (55)	20 (45)	54 (38)	46 (62)	63 (38)	37 (62)
2009	36	64	60	40	27	73	19	81

% of All Civil Servants in Respondent Organisations	Yes	56 (53)	No	44 (47)
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There was an apparently large increase in the number of organisations who said they did regularly publicise details of how staff could raise Code concerns. However, many do not publish reminders but only rely on the information being available on their intranet.

**QUESTION 12**

*Do you monitor and report on concerns raised formally under the Code?*

Audit Year	All		Large		Medium		Small	
	Yes %	No %	Yes %	No %	Yes %	No %	Yes %	No %
2011	84	16	90	10	73	27	88	12
2009	64	36	80	20	59	41	50	50

% of All Civil Servants in Respondent Organisations	Yes	96	No	4
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The proportion of organisations which said they monitored and reported on concerns raised under the Code has increased significantly, though many say they have never actually had a case.

**QUESTION 13**

*Do you have a role in your HR department that has explicit responsibility for helping to ensure the Code is promoted and upheld?*

Audit Year	All		Large		Medium		Small	
	Yes %	No %	Yes %	No %	Yes %	No %	Yes %	No %
2011	52	48	80	20	42	58	31	69
2009	53	47	60	40	45	55	56	44

% of All Civil Servants in Respondent Organisations	Yes	88	No	12
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As in 2009, only just over half of respondents say they have an identified role in the HR department with responsibility for the Code. Often the responsible person is the HR Director or Head of HR. Positive responses was more frequent from larger departments and agencies and overall cover 88% of civil servants in the audit.

## GUIDANCE AND TRAINING

### QUESTION 14

Does the person in your HR department with explicit responsibility for helping to ensure the Code is promoted and upheld receive specific training for this role?

Audit Year	All		Large		Medium		Small	
	Yes %	No %	Yes %	No %	Yes %	No %	Yes %	No %
2011	34	66	27	73	38	62	43	57
2009	34	66	31	69	38	62	33	67

% of All Civil Servants in Respondent Organisations	Yes	49	No	51
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As in 2009, only about a third of HR staff with responsibility for promoting the Code receive any specific training.

### QUESTION 15

Do your Nominated Officers for the Civil Service Code receive specific training for this role?

Audit Year	All		Large		Medium		Small	
	Yes %	No %	Yes %	No %	Yes %	No %	Yes %	No %
2011	35	65	41	59	32	68	33	67
2009	29	71	35	65	21	79	33	67

% of All Civil Servants in Respondent Organisations	Yes	55	No	45
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Most Nominated Officers do not receive specific training for this role, although there was a small overall improvement on the 2009 response and some evidence that a few organisations had consulted the Cabinet Office. Several organisations said they had found helpful advice from the Commission's secure website.

### QUESTION 16

What support and feedback do you give to your Nominated Officers for the Civil Service Code?

Audit Year	All			Large			Medium			Small		
	Specific %	Unclear %	None %	Specific %	Unclear %	None %	Specific %	Unclear %	None %	Specific %	Unclear %	None %
2011	16	36	48	35	20	45	12	42	46	0	44	56
2009	13	27	60	29	24	47	0	35	65	7	22	71

% of All Civil Servants in Respondent Organisations	Specific	58	Unclear	20	None	22
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Only half of respondents said they had any such arrangements.

**QUESTION 17**

*Do you give special guidance to staff who might need to be particularly vigilant in relation to the values and standards in the Code e.g. staff in private offices, press offices, procurement?*

Audit Year	All		Large		Medium		Small	
	Yes %	No %	Yes %	No %	Yes %	No %	Yes %	No %
2011	58	42	80	20	50	50	44	56
2009	53	47	75	25	41	59	44	56

<b>% of All Civil Servants in Respondent Organisations</b>	<b>Yes</b>	<b>87</b>	<b>No</b>	<b>13</b>
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Just over half of respondents – but 80% of large organisations and giving a total coverage of 87% of civil servants in the audit – said they gave special guidance on Code matters to some groups of staff. In general these groups did not go beyond the examples given in the question – private offices, press offices, procurement.

**QUESTION 18**

*Does your general management training include explicit reference to the responsibility of managers to promote and uphold the values in the Code?*

Audit Year	All			Large			Medium			Small		
	Yes %	Partly %	No %	Yes %	Partly %	No %	Yes %	Partly %	No %	Yes %	Partly %	No %
2011	40	33	27	45	35	20	48	33	19	24	29	47

<b>% of All Civil Servants in Respondent Organisations</b>	<b>Yes</b>	<b>60</b>	<b>Partly</b>	<b>31</b>	<b>No</b>	<b>9</b>
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In the 2009 audit we asked separately about management training at senior, middle and junior management levels. Respondents generally gave much the same answer at each level. So this year we asked simply whether their general management training explicitly covered promoting and upholding the Code and whether it included training in how to handle concerns raised under the Code.

Only two fifths of organisations said they specifically provided Code – related training for managers as part of their general management training. However, these cover 60% of civil servants in the audit.

**QUESTION 19**

*Do you train your managers in how to handle concerns raised under the Code?*

Audit Year	All			Large			Medium			Small		
	Yes %	Partly %	No %	Yes %	Partly %	No %	Yes %	Partly %	No %	Yes %	Partly %	No %
2011	27	38	35	45	35	20	23	35	42	12	47	41
2009	22	30	48	26	37	37	23	27	50	13	27	60

<b>% of All Civil Servants in Respondent Organisations</b>	<b>Yes</b>	<b>60</b>	<b>Partly</b>	<b>22</b>	<b>No</b>	<b>18</b>
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There was a small improvement in the proportion of organisations, mainly larger ones, which say they do train their managers in how to handle concerns raised under the Code. But in general training in this area is limited. In some cases this is because the organisation says that Nominated Officers handle, or would handle any cases.

## RECRUITMENT

### QUESTION 20

*Do you refer explicitly to the Civil Service Code or the core values in the Code in the information given to candidates about advertised jobs?*

Audit Year	All			Large			Medium			Small		
	Yes %	Sometimes %	No %	Yes %	Sometimes %	No %	Yes %	Sometimes %	No %	Yes %	Sometimes %	No %
2011	50	13	37	75	10	15	35	15	50	44	12	44
2009	41	19	40	50	20	30	32	18	50	44	19	37

% of All Civil Servants in Respondent Organisations	Yes	58	Sometimes	26	No	16
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There has been a slight improvement in meeting this recommendation, mainly among larger organisations, of which 75% now make available a copy of the Code to candidates before selection. But overall only half do so. It is more common when the recruitment is at Senior Civil Service level.

### QUESTION 21

*Do your selection criteria for recruitment clearly reflect the values in the Code?*

Audit Year	All			Large			Medium			Small		
	Yes %	Sometimes %	No %	Yes %	Sometimes %	No %	Yes %	Sometimes %	No %	Yes %	Sometimes %	No %
2011	72	15	13	75	10	15	81	11	8	56	25	19
2009	69	19	12	75	15	10	68	18	14	62	25	13

% of All Civil Servants in Respondent Organisations	Yes	64	Sometimes	32	No	4
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Most respondents say that their selection criteria do reflect the Code. However, as in 2009, some respondents gave positive responses because they said they conformed to the Civil Service Commission's Recruitment Principles and they felt that these effectively enshrined the values in the Civil Service Code. Others said their selection criteria were based around their competency framework and this in turn reflected Code values

### QUESTION 22

*Does your training for staff involved in selection include explicit reference to the values in the Code?*

Audit Year	All			Large			Medium			Small		
	Yes %	Sometimes %	No %	Yes %	Sometimes %	No %	Yes %	Sometimes %	No %	Yes %	Sometimes %	No %
2011	45	10	45	55	5	40	42	8	50	37	19	44
2009	36	17	47	40	15	45	41	14	45	25	25	50

% of All Civil Servants in Respondent Organisations	Yes	45	Sometimes	14	No	41
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There has been a modest improvement in the proportion of organisations which say that their training for recruiters includes explicit reference to the Code Values. But it is still less than half.



**QUESTION 23**

*Do you ever use shared services, recruitment agencies or consultants?*

Audit Year	All		Large		Medium		Small	
	Yes %	No %	Yes %	No %	Yes %	No %	Yes %	No %
2011	90	10	90	10	92	8	87	13
2009	95	5	100	0	95	5	87	13

% of All Civil Servants in Respondent Organisations	Yes	97	No	3
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Nearly all organisations make at least some use of shared services, agencies or recruitment consultants.

**QUESTION 24**

*Do you ensure that guidance and training for shared services, recruitment agencies or consultants explicitly include reference to the values in the Code?*

Audit Year	All			Large			Medium			Small		
	Yes %	Partly %	No %	Yes %	Partly %	No %	Yes %	Partly %	No %	Yes %	Partly %	No %
2011	52	21	27	72	6	22	29	33	38	64	21	15
2009	47	20	33	65	20	15	38	14	48	36	28	36

% of All Civil Servants in Respondent Organisations	Yes	70	Partly	3	No (or do not use)	27
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Just over half say they ensure that these people are specifically made aware of the values in the Code (though this rises to nearly three quarters in large organisations). Several organisations said, as in 2009, that they felt this was covered by the fact that contractors have to abide by the Cabinet Office framework agreement, which includes a requirement to comply with the Code.

## INDUCTION

### QUESTION 25

*Is a hard copy of the Code included in the papers given to new entrants?*

Audit Year	All			Large			Medium			Small		
	Yes %	Sometimes %	No %	Yes %	Sometimes %	No %	Yes %	Sometimes %	No %	Yes %	Sometimes %	No %
2011	61	8	31	35	10	55	61	8	31	94	6	0
2009	64	8	28	60	10	30	64	9	27	69	6	25

% of All Civil Servants in Respondent Organisations	Yes	33	Sometimes	21	No	46
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A majority of respondents say they give new entrants a hard copy of the Code. However, the proportion of large organisations that do so has declined so that only a third of civil servants in the audit are in organisations that follow this practice. This might be because of differences in the make up of the respondent group or possibly owing to cost saving measures. It is notably more common in smaller organisations, perhaps because recruitment numbers are fewer.

### QUESTION 26

*If not, are new entrants directed to a copy of the Code available electronically e.g. on your Intranet?*

Audit Year	All			Large			Medium			Small		
	Yes %	Sometimes %	No %	Yes %	Sometimes %	No %	Yes %	Sometimes %	No %	Yes %	Sometimes %	No %
2011	75	12.5	12.5	70	15	15	80	10	10	100	0	0
2009	76	14	10	75	12.5	12.5	75	12.5	12.5	80	20	0

% of All Civil Servants in Respondent Organisations	Yes	76	Sometimes	18	No	6
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Of those who do not provide a hard copy, most provide an electronic link to the Code on-line.

### QUESTION 27

*Do written contracts for new entrants explicitly refer to the Code?*

Audit Year	All			Large			Medium			Small		
	Yes %	Sometimes %	No %	Yes %	Sometimes %	No %	Yes %	Sometimes %	No %	Yes %	Sometimes %	No %
2011	76	3	21	85	0	15	73	4	23	69	6	25
2009	66	3	31	80	0	20	58	6	36	56	6	38

% of All Civil Servants in Respondent Organisations	Yes	94	Sometimes	1	No	5
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The proportion of respondents who say they include explicit reference to the Code in their written contracts of employment has now gone up to 76%, covering 94 % of civil servants in the audit.

**QUESTION 28**

*Do new entrants have to sign a statement saying that they have read and understood the Code?*

Audit Year	All			Large			Medium			Small		
	Yes %	Sometimes %	No %	Yes %	Sometimes %	No %	Yes %	Sometimes %	No %	Yes %	Sometimes %	No %
2011	45	5	50	25	5	70	58	4	38	50	6	44
2009	34	2	64	45	0	55	32	5	63	25	0	75

% of All Civil Servants in Respondent Organisations	Yes	16	Sometimes	2	No	82
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There has been some increase in the proportion of respondents who ask new entrants to sign a specific statement to say they have read and understood the Code. As with giving out hard copies of the Code, the small organisations do best in this area. So only 16% of civil servants covered by the audit are in organisations that follow the Commission's recommended practice in this area.

**QUESTION 29**

*Does your Induction training explicitly include reference to the Code?*

Audit Year	All			Large			Medium			Small		
	Yes %	Sometimes %	No %	Yes %	Sometimes %	No %	Yes %	Sometimes %	No %	Yes %	Sometimes %	No %
2011	73	10	17	65	5	30	77	11.5	11.5	75	12.5	12.5
2009	76	3	21	70	0	30	77	5	18	81	6	13

% of All Civil Servants in Respondent Organisations	Yes	80	Sometimes	2	No	18
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Most organisations said that they explicitly cover the Code in their induction training. A number of organisations make the good practice of including the Code in a checklist of items that the manager must cover with new entrants.

## 9. Annual Accounts



## GOVERNANCE REPORTS, FINANCIAL STATEMENTS AND NOTES

The Civil Service Commission accounts provided here cover the period 11 November 2010 to 31 March 2011.

The period 1 April 2010 to 10 November 2010 is accounted for in the Cabinet Office Resource Accounts for 2010-2011. Information on the period 1 April 2010 to 10 November 2010 when the Civil Service Commissioners were supported by part of the Cabinet Office, and before the Civil Service Commission was created, is provided in this report on page 76.

As this is the first year of financial reporting of the Civil Service Commission as a statutory body there are no prior year comparatives to report.

### CHIEF EXECUTIVE'S REPORT

The Chief Executive of the Civil Service Commission is Richard Jarvis. Richard is responsible for the overall effectiveness and efficiency of the Civil Service Commission. He is head of the administrative team and principal policy adviser to the Commissioners on all matters relating to their role.

### MANAGEMENT COMMENTARY

While the Civil Service Commission has only existed since 11 November 2010 it continues the regulatory work previously done by the Civil Service Commissioners. Our audited accounts (page 69 to 79) cover the period during which the Commission has existed as an independent executive Non Departmental Public Body (eNDPB) to the end of the financial year, and on page 60 we indicate the Civil Service Commissioners' financial position up to 10 November 2010. For the period 1 April 2010 to 10 November 2011 the Civil Service Commissioners were supported by a unit within the Cabinet Office and our accounts for that period are included in the Cabinet Office resource accounts.

The Commission has a small budget, £ 1.37 million for 2011/12 (of which £99.4k is payable to the Cabinet Office for corporate services). This is our first full year as an independent eNDPB. (For the period from 11 November 2010 to 31 March 2011 our budget was £485,000). This budget provides for the First Civil Service Commissioner, 11 Commissioners and 13 staff. The Commission regulates the recruitment of about 40,000<sup>1</sup> civil servants a year, and in 2010/11 Commissioners personally chaired 61 recruitment competitions for the most senior staff.

Our main items of expenditure are Commissioners' costs (£81k), staffing costs (£214k) and the contract with the auditor that we use to monitor the compliance of departments with the Recruitment Principles (£67k). All our funding is provided by the Cabinet Office as grant-in-aid. Following the creation of the Commission as a statutory body in November 2010 the Secretariat supporting the Commissioners was re-organised and merged with the Secretariat supporting the Commissioner for Public Appointments. The secretariats originally jointly had 14.8 staff (whole time equivalents) but the joint Secretariat has reduced to the equivalent of 12.6 staff (whole time equivalent). We have finished the year within our budget and the accounts have been prepared under a direction issued by Cabinet Office under the Constitutional Reform and Governance Act 2010.

<sup>1</sup> In the year to 31/3/2010 39,005 civil servants were recruited, source: Office for National Statistics Statistical Bulletin Civil Service Statistics 2010.

The Commission ends the financial year with a variance from the budget of £74k (under spent). This is because in May 2010 the government implemented a freeze on recruitment from outside the civil service other than frontline posts and business critical posts with Secretary of State approval; this reduced the number of the most senior appointments for Commissioners to directly regulate. In addition, there was a reduction in cost of the interim First Civil Service Commissioner, for January-April, as a result of his dual appointment as Commissioner for Public Appointments.

The Cabinet Office has agreed our budget and business plan for 2011-12 and our three year corporate plan and these can be viewed on our website: <http://civilservicecommission.independent.gov.uk> We have therefore prepared these accounts on the assumption that the Civil Service Commission is a going concern.

The Commission has no assets of any value and we use the assets and services of the Cabinet Office under a Service Level Agreement and for a per capita charge. For the period ending 31 March 2011 this charge was met in full from within the original 2010-2011 Commission budget. The accounting policy note (on page 75) in the accounts explains that the Commission has no pension liabilities. All our staff are currently seconded from government departments and from 1 January 2011 Commissioners' appointments are no longer pensionable. (The First Commissioner appointment was pensionable but this ceased 31/12/2010, no other Commissioner's appointment was pensionable).

The Commission is a regulator and thus does not have targets. Our remit is to:

- uphold the principle that selection to appointments in the civil service must be on merit on the basis of fair and open competition.
- hear and determine appeals raised by civil servants under the Civil Service Code.

The Commissioners record any interests such as company directorships and other significant interests in our Register of Interests which is available on our website. The Commission has complied with the cost allocation and charging requirements set out in HM Treasury and Office of Public Sector Information guidance.

### **Information on environmental, social and community issues**

The Civil Service Commission is responsible for upholding the principle that selection to appointments in the civil service must be on merit on the basis of fair and open competition. We also hear and determine appeals raised by civil servants under the Civil Service Code. The Code describes the values of the civil service and is part of the contractual relationship between civil servants and their employer. In both these activities we positively contribute to the values and diversity of the Civil service.

The Civil Service Commission has adopted the Cabinet Office's equality and diversity approach where everyone is treated with fairness and respect and feels valued for who they are and the contribution they make. The Commission has a Code of Practice for Commissioners that requires them to observe the highest standards of integrity, honesty, objectivity and impartiality and a Code of Practice for staff which requires them to offer the highest standards of conduct and service to the public.



The Civil Service Commission is committed to improving the work/life balance for its staff and we value diversity. We try to accommodate different work patterns and our staff may join the Cabinet Office's diversity networks:

- **Cabinet Office Black and Asian staff (COBAN)**
- **Cabinet Office Christian Network**
- **Carers' Network**
- **Disability in the Cabinet Office (DisCO)**
- **Rainbow Network (lesbian, gay, bisexual and transgender staff)**
- **Spark (Dyslexia) Network**
- **Women's Network**

The Civil Service Commission contributes to the Cabinet Office's commitment to making an ongoing contribution to the goals, priorities and principles of the UK Government Sustainable Development Strategy, Securing the Future. In particular reducing the amount of energy we use along with the associated CO<sub>2</sub> emissions and costs and buying sustainable goods, works and services:

- **reducing the total amount of waste we generate; and**
- **increasing the amount we recycle.**

The Civil Service Commission has adopted the Cabinet Office's policy on volunteering which aims:

- **to encourage staff to participate in volunteering activity in the community;**
- **to enable staff to build their skills through practical experience.**
- **Staff are eligible for up to five days paid leave per year for volunteering activity as part of their Personal Development Plan.**

### **Policy on Payment of Suppliers**

Payment of the Commission's suppliers is carried out by the Cabinet Office and it is not possible to separately identify the payment of the Commission's suppliers from those of the Cabinet Office. The terms of contract are usually payment within 30 days of receipt of a valid invoice. During the year the Cabinet Office paid 99.8 per cent of invoices within 30 days. On 1 May 2010 the then Prime Minister committed government organisations to speed up the payment process, paying suppliers wherever possible within 5 days. During the year the Cabinet Office paid 76.3 per cent of invoices within 5 days.

### **Personal Data Related Incidents**

There were no protected personal data related incidents reported to the Information Commissioner's Office during the year.

## Risks and uncertainties

The Commission maintains a risk register which is regularly reviewed by the Audit and Risk Committee and by the Board. As the regulator for recruitment to the civil service our principal risks and uncertainties are:

- Government/civil service/departmental policy initiatives and/or practice changes including European legislation
- The Commission's own policy and/or practice unintentionally undermines confidence in our regulatory framework

All the identified risks have agreed risk controls and mitigation including reliance on legislation and a clear Ministerial Code, our regulatory approach and instruments becoming more clear to departments since the introduction of Recruitment Principles in 2009. The risk controls also include maintaining close and productive links with the Cabinet Office and other government departments, including Cabinet Office as our sponsor department and through Commissioners' link roles.

## Statement on the Disclosure of Relevant Audit Information

Insofar as the Accounting Officer is aware:

- there is no relevant audit information of which the auditors are unaware; and
- the Accounting Officer has taken all steps that he ought to have taken to make himself aware of any relevant audit information and to establish that the auditors are aware of that information.

### Dr Richard Jarvis

Chief Executive, Civil Service Commission

7 July 2011

## Financial information for the period 1 April 2010 to 10 November 2010 relating to the Civil Service Commissioners

The information provided here covers the period 1 April 2010 to 10 November 2010 when the Civil Service Commissioners were supported by the Cabinet Office, and before the Civil Service Commission was created as an independent executive non-departmental public body.

This table does not form part of the Civil Service Commission's accounts and has not been audited. The information provided here is subject to confirmation by the audited resource accounts of the Cabinet Office.

First Commissioner's pay and related costs	£88k
Commissioners' fees*	£90k
Commissioners' travel and subsistence costs	£8k
Staff pay and related costs	£286k
Consultancy costs (including compliance monitoring )	£181k
Other administration costs	£54k
<b>Total</b>	<b>£706.6k</b>
<i>Share of Independent Offices central costs</i>	<i>60% of £21k</i>
<b>Final Total</b>	<b>£706.6</b>

\*£1,600 per senior competition chaired and a pro rata amount equivalent to an annual fee of £8,000 to cover all work, excluding competitions, based on an average of 20 days work a year.

## REMUNERATION REPORT

The Commission does not have a Remuneration Committee because all staff are currently on secondment from the civil service.

The Chief Executive was appointed by the First Commissioner with the approval of the Cabinet Office.

The First Commissioner is a part time office holder; Commissioners are all part time fee-paid office holders. All pension arrangements for staff are dealt with by their home department in the civil service. All pension arrangements relate to defined contribution pension schemes. Contributions are charged in the income and expenditure account as they become payable in accordance with the rules of the arrangements.

Board Member emoluments (all served throughout the year except where stated) – see table overleaf.

As an independent eNDPB the Civil Service Commission is audited by the Comptroller and Auditor General. The remuneration of the external auditors was £7,600, which related to the provision of the statutory audit of the 2010-11 accounts.

Period 11 November 2010 to 31 March 2011		
Senior Management	Salary to nearest £5000 payband	Benefits in kind  (to nearest £100)
Dr Richard Jarvis	25-30*	0

No bonus was payable in the period 11/11/2010 to 31/3/2011.

\*This pro rata figure would be equivalent to a range of £60-65K per annum

### Board fees paid to commissioners

Period 11 November 2010 to 31 March 2011	
Commissioners	Fees Paid to nearest £5000 payband*
Janet Paraskeva	15-20
Mark Addison	15-20
Adele Biss	0-5
Anthea Millett	0-5
Bernard Knight	0-5
Christine Hallett	0-5
Eliza Hermann	0-5
Libby Watkins	0
Mike Aaronson	0-5
Neil McIntosh	0-5
Peter Blausten	0-5
Ranjit Sondhi	0-5

\*These fees are pro-rata to reflect the period covered. They are equivalent to three day week rates per annum for the First Commissioner of £110-115k for November and December, and of £85-90k for January to March. For Commissioner they are equivalent to £5-10k per annum.

## 9. Annual Accounts

The total fees payable to Commissioners for the period 11 November 2010 to 31 March 2011 for chairing competitions were £15k: £6k paid in year and £9k earned and accrued for at year end. These are treated as related party transactions in note 7.

Dame Janet Paraskeva served as First Commissioner to 31 December 2010.

Mark Addison served as a Commissioner to 31 December 2010 and as First Commissioner (and Commissioner for Public Appointments) from 1 January 2011 to 31 March 2011.

Libby Watkins is a member of the judiciary and therefore receives no fees from the Commission.

Until 31 December 2010 Dame Janet Gaymer was an *ex officio* Board member of the Commission in her capacity as the Commissioner for Public Appointments, Dame Janet Gaymer received no fees from the Commission.

No bonuses or benefits in kind were received in year.

### Pension Benefits

Senior Management	Accrued pension at pension age as at 31 March 2010 and related lump sum	Real increase in pension and related lump sum at pension age	CETV at 31 March 2011	CETV at 31 March 2010	Real increase in CETV	Employer contribution to partnership pension account
	£000	£000	£000	£000	£000	Nearest £100
Dame Janet Paraskeva*	47	0	868	863	0	0
Dr Richard Jarvis	17 plus 50-55 Lump Sum	0	218	268	0	0

\*The First Commissioners role was pensionable up to 31 December 2010 when Dame Janet Paraskeva was in this role. From January 2011 Commissioner appointments, including the First Commissioner, are no longer pensionable.

### Note

The Chief Executive's pension as shown has accrued in his role as a Civil Servant and he is on secondment to the Commission. The Commission itself does not provide a pension for the Chief Executive.

## STATEMENT OF THE COMMISSION'S AND THE ACCOUNTING OFFICER'S RESPONSIBILITIES

Under the Constitutional Reform and Governance Act 2010 the Civil Service Commission is required to prepare, for each financial year, resource accounts detailing the resources acquired, held or disposed of during the year and the use of resources by the department during the year. The accounts are prepared on an accruals basis and give a true and fair view of the state of affairs of the Civil Service Commission and of its income and expenditure, changes in taxpayers' equity and cash flows for the financial year.

In preparing the accounts, the Accounting Officer is required to comply with the requirements of the *Government Financial Reporting Manual (FReM)* and in particular to:

- observe the Accounts Direction issued by Cabinet Office, including the relevant accounting and disclosure requirements, and apply suitable accounting policies on a consistent basis;
- make judgements and estimates on a reasonable basis;
- state whether applicable accounting standards as set out in the Government Financial Reporting Manual have been followed, and disclose and explain any material departures in the accounts; and
- prepare the accounts on a going concern basis.

The Accounting Officer of the Cabinet Office has designated the Chief Executive as Accounting Officer of the Civil Service Commission. The responsibilities of an Accounting Officer, including responsibility for the propriety and regularity of the public finances for which the Accounting Officer is answerable, for keeping proper records and for safeguarding the Civil Service Commission's assets, are set out in guidance published by the Cabinet Office and by HM Treasury.



## STATEMENT ON INTERNAL CONTROL YEAR ENDING 31 MARCH 2011

### *Scope of responsibility*

The Civil Service Commission is an independent executive Non Departmental Public Body sponsored by the Cabinet Office that was created on 11 November 2010 by the commencement of Part 1 of the Constitutional Reform and Governance Act 2010. The Civil Service Commission continued the work of the Civil Service Commissioners. The Commission Board is chaired by the First Civil Service Commissioner and comprises 11 Commissioners who are members of the Board. The Board is supported by a Secretariat that is headed by a Chief Executive and has 12 members of staff. Together, the Board and Secretariat constitute the Civil Service Commission.

As Accounting Officer, I have responsibility for maintaining a sound system of internal control that supports the achievement of the Civil Service Commission's policies, aims and objectives, whilst safeguarding the public funds and departmental assets for which I am personally responsible, in accordance with the responsibilities assigned to me in Managing Public Money. The Commission has a risk register which has been agreed by the Commission's Audit and Risk Committee (ARC), the Board of the Commission and the Cabinet Office. The Commission follows Cabinet Office guidelines and procedures and has its own its Standing Orders which are available on our website: <http://civilservicecommission.independent.gov.uk> and which include Commissioner and Staff codes of practice, delegations and standing committee structures.

### *The purpose of the system of internal control*

The system of internal control is designed to manage risk to a reasonable level rather than to eliminate all risk of failure to achieve policies, aims and objectives; it can therefore only provide reasonable and not absolute assurance of effectiveness. The system of internal control is based on an ongoing process designed to identify and prioritise the risks to the achievement of the Commission's policies, aims and objectives, to evaluate the likelihood of those risks being realised and the impact should they be realised, and to manage them efficiently, effectively and economically. The system of internal control has been in place since the creation of the Civil Service Commission on 11 November 2010 and has been followed for the period to 31 March 2011 and up to the date of authorisation of the Annual Report and accounts. Cabinet Office guidelines and procedures have been observed for the whole of 2010/11 and this annual report and accounts accords with HM Treasury guidance.

### *Capacity to handle risk*

The Civil Service Commission has a risk register in place that has been assessed and considered at senior management level and at Board level. The risk register has been scrutinised, discussed and ratified at both Audit and Risk Committee and the full Board. The risks are owned either by the Chief Executive or the relevant team leader. Team leaders ensure that members of staff are trained and equipped to manage risk. Where staff members require training or skills outside their normal areas of responsibility the Civil Service Commission ensures that this is provided. The organisation is sufficiently small that good practice can be shared by way of a monthly meeting and internal bulletins to all members of staff.

ARC supports the Board of the Commission in its responsibilities for issues of risk control and governance, it does this by reviewing whether proportionate assurances for meeting the Board's and Accounting Officer's responsibilities are available and by reviewing the reliability and integrity of these assurances. ARC is attended by the Chief Executive, a number of Commissioners, internal audit and the National Audit Office. ARC reports to the Commission Board and meets every 3-4 months. The risk register is considered at each ARC meeting and is kept by the Secretariat for the Commission and is available to all staff and Commissioners. The Commissioners, Chief Executive, team leaders and the staff of the Commission all contribute to the compilation of the risk register.

### *The risk and control framework*

The Commission's risks were identified by the Commissioners, by me, as Accounting Officer and by my senior management team and they were ratified by the Audit and Risk Committee and the Commission's Board. The risks have been ranked according to 'Likelihood', 'Impact' and 'Severity'. We have also assessed what actions are in place, or need to be taken, to mitigate the organisational risks identified.

As a new organisation we had to consider the risks that related to setting up the Commission as well as on-going operational risks once we became established:

- As we achieved our initial objectives, many of our 'start-up' risks ceased to be relevant and could be replaced with on-going operational risks;
- These on-going operational risks also include reputational risks and risks to our infrastructure, including maintenance of IT and protection of our information;
- As an on-going process any risk is identified, evaluated and controlled by me and my senior management team under a delegation from the Board and following advice from ARC;
- Any changes to the assessment and evaluation of risk have to be ratified by ARC and the full Board;
- ARC and the full Board lead on determining and evaluating the Civil Service Commission's risks.

These risks are communicated to staff by team leaders, at monthly Secretariat meetings and in the risk register.

We have reviewed our procedures for Information Security against those used by the Cabinet Office and against the advice provided by the Information Commissioner and we have registered with the Information Commissioner and have asked internal audit to look at these procedures next year. Line managers check to ensure compliance with Cabinet Office procedures as outlined in the weekly reports that we receive from the Cabinet Office. The annual budget is set in agreement with Cabinet Office and expenditure against budget is reviewed regularly by the Secretariat senior managers and monthly by the Commission Board. We produce a monthly board report on Commission activities which is scrutinised by the full Board of the Commission at each Board meeting. We have published our delegations on our website and these were agreed by the full Board of the Commission and were reviewed in year by the Secretariat's business support team.

Risk management is embedded in the activity of the organisation by constructing roles and team responsibilities that are closely aligned to specific areas of Commission work outlined in our Business Plan, which in turn are aligned to specific risks. Our business plan, corporate three year plan and our risk register were agreed by the Board of the Commission and by the Cabinet Office.

### *Review of effectiveness*

As Accounting Officer, I have responsibility for reviewing the effectiveness of the system of internal control.

All of our support activities are provided by Cabinet Office. I have engaged an internal audit team and consulted them, and the National Audit Office, regularly on matters of internal control. NAO and internal audit attend all ARC meetings and we have agreed a work plan with internal audit for 2011-12.

## 9. Annual Accounts

I have been advised on the implications of my review of the effectiveness of the system of internal control by the Board and the Audit and Risk Committee and a plan to ensure continuous improvement of the system is being developed.

While the Commission is very new, I consider that the processes, checks and controls provided by the Board, the Audit and Risk Committee and the business support team have been effective.

Finally, as an independent Cabinet Office sponsored executive NDPB, the Commission follows the Cabinet Office internal control processes and this provides further assurance. No significant internal control issues have been identified in this year.

**Dr Richard Jarvis**

Chief Executive

Civil Service Commission

7 July 2011

## THE CERTIFICATE AND REPORT OF THE COMPTROLLER AND AUDITOR GENERAL TO THE HOUSES OF PARLIAMENT

I certify that I have audited the financial statements of the Civil Service Commission for the year ended 31 March 2011 under the Constitutional Reform and Governance Act 2010. These comprise the Statement of Comprehensive Net Expenditure, Statement of Financial Position, Statement of Cash Flows, Statement of Changes in Taxpayers' Equity and the related notes. These financial statements have been prepared under the accounting policies set out within them. I have also audited the information in the Remuneration Report that is described in that report as having been audited.

### Respective responsibilities of the Commission, Accounting Officer and auditor

As explained more fully in the Statement of the Commission's and Accounting Officer's Responsibilities, the Commission and the Accounting Officer are responsible for the preparation of the financial statements and for being satisfied that they give a true and fair view. My responsibility is to audit, certify and report on the financial statements in accordance with the Constitutional Reform and Governance Act 2010. I conducted my audit in accordance with International Standards on Auditing (UK and Ireland). Those standards require me and my staff to comply with the Auditing Practices Board's Ethical Standards for Auditors.

### Scope of the Audit of the Financial Statements

An audit involves obtaining evidence about the amounts and disclosures in the financial statements sufficient to give reasonable assurance that the financial statements are free from material misstatement, whether caused by fraud or error. This includes an assessment of: whether the accounting policies are appropriate to the Civil Service Commission's circumstances and have been consistently applied and adequately disclosed; the reasonableness of significant accounting estimates made by the Civil Service Commission; and the overall presentation of the financial statements. In addition I read all the financial and non-financial information in the Annual Report to identify material inconsistencies with the audited financial statements. If I become aware of any apparent material misstatements or inconsistencies I consider the implications for my certificate.

In addition, I am required to obtain evidence sufficient to give reasonable assurance that the expenditure and income reported in the financial statements have been applied to the purposes intended by Parliament and the financial transactions conform to the authorities which govern them.

### Opinion on Regularity

In my opinion, in all material respects the expenditure and income have been applied to the purposes intended by Parliament and the financial transactions conform to the authorities which govern them.

### Opinion on financial statements

In my opinion:

- the financial statements give a true and fair view of the state of the Civil Service Commission's affairs as at 31 March 2011 and of its net expenditure for the year then ended; and
- the financial statements have been properly prepared in accordance with the Constitutional Reform and Governance Act 2010 and directions issued thereunder.

## Opinion on other matters

In my opinion:

- the part of the Remuneration Report to be audited has been properly prepared in accordance with Cabinet Office directions issued under the Constitutional Reform and Governance Act 2010; and
- the information given in the 'Chief Executive's Report and management commentary' for the financial year for which the financial statements are prepared is consistent with the financial statements.

## Matters on which I report by exception

I have nothing to report in respect of the following matters which I report to you if, in my opinion:

- adequate accounting records have not been kept; or
- the financial statements and the part of the Remuneration Report to be audited are not in agreement with the accounting records or returns; or
- I have not received all of the information and explanations I require for my audit; or
- the Statement on Internal Control does not reflect compliance with HM Treasury's guidance.

## Report

I have no observations to make on these financial statements.

*Amyas C E Morse  
Comptroller and Auditor General  
National Audit Office  
157-197 Buckingham Palace Road  
Victoria  
London  
SW1W 9SP  
14 July 2011*

**Statement of Comprehensive Net Expenditure for the period ended 31st March 2011**

	Note	2010-11 £000
<b>Expenditure</b>		
Staff costs	2	295
Other Expenditures	3	208
<b>Income</b>		
Income from Other Government Departments	4	(92)
<b>Net Expenditure</b>		<b>411</b>
Interest Payable / Receivable		-
<b>Net Expenditure After Interest</b>		<b>411</b>
<b>Total Comprehensive Expenditure for the period ended 31 March 2011</b>		<b>411</b>

The notes on pages 73 to 79 form part of these accounts



## Statement of financial position as at 31 March 2011

2010-11

	Note	£000
<b>Non-current assets</b>		
Property, plant and equipment	-	
Intangible assets	-	
Other non-current assets	-	
<b>Total Non-current Assets</b>		-
<b>Current assets</b>		
Trade and other receivables	5	1
Cash and cash equivalents	-	
<b>Total current assets</b>		<u>1</u>
<b>Total assets</b>		1
<b>Current liabilities</b>		
Trade and other payables	6	(56)
<b>Total current liabilities</b>		<u>(56)</u>
<b>Total assets less current liabilities</b>		(55)
<b>Non-current liabilities</b>		
Other payables	-	
<b>Total non-current liabilities</b>		-
<b>Assets less liabilities</b>		<u><u>(55)</u></u>
<b>Taxpayer's equity</b>		
I&E Reserve		<u>(55)</u>
<b>Total taxpayers' equity</b>		<u><u>(55)</u></u>

The notes on pages 73 to 79 form part of these accounts

**Signed:**

**Dr Richard Jarvis (Chief Executive)**

7 July 2011

## Statement of cash flows for the period ended 31 March 2011

2010-11

	Note	£000
<b>Cash flows from operating activities</b>		
Net Surplus	2, 3 and 4	(411)
Adjustment for non-cash transactions		-
(Increase)/Decrease in trade and other receivables	5	(1)
Increase/(Decrease) in trade payables	6	56
<b>Net cash outflow from operating activities</b>		<b>(356)</b>
<b>Cash flows from investing activities</b>		
<b>Net cash outflow from investing activities</b>		<b>-</b>
<b>Cash flows from financing activities</b>		
Grants from parent department		356
<b>Net financing</b>		<b>356</b>
<b>Net increase / (Decrease) in cash and cash equivalents in the period</b>		<b>-</b>
<b>Cash and Cash equivalents at the beginning of the period</b>		<b>-</b>
<b>Cash and Cash equivalents at the end of the period</b>		<b>-</b>

The notes on pages 73 to 79 form part of these accounts

**Statement of Changes in Taxpayers Equity for the period ended 31 March 2011**

	I & E Reserve	Total Reserves £000
Note		
Opening Balance	-	
<b>Changes in Taxpayers equity for 2010-11</b>		
Grants from Parent department	356	356
Comprehensive Net Expenditure for the year	(411)	(411)
<b>Balance at 31st March 2011</b>	<b>(55)</b>	<b>(55)</b>

The notes on pages 73 to 79 form part of these accounts

## NOTES TO THE ACCOUNTS FOR THE YEAR ENDED 31 MARCH 2011

### 1. Statement of Accounting Policies

#### *Basis of preparation*

As an independent executive non departmental public body (NDPB), the Civil Service Commission's financial statements have been prepared in accordance with the Accounts Direction given by the Minister for the Cabinet Office, which is the Civil Service Commission's sponsoring department. They meet the requirements of the Government Financial Reporting Manual (FRM) issued by HM Treasury. The accounting policies contained in the FRM apply International Financial Reporting Standards (IFRS) as adapted or interpreted for the public sector context. Where the FRM permits a choice of accounting policy, the accounting policy which is judged to be most appropriate to the particular circumstances of the Civil Service Commission for the purpose of giving a true and fair view has been selected. The particular policies adopted by the Civil Service Commission are described below. They have been applied consistently in dealing with items that are considered material to the accounts.

#### *Going concern*

The financial statements have been prepared on the basis that the Commission is a going concern. The Commission is a statutory body created by the Constitutional Reform and Governance Act 2010. The Commission's budget, business plan for 2011-12 and corporate plan for 2011-12 through to 2013-14 have been agreed by the Cabinet Office.

#### *Comparative Information*

This is the first year that the Civil Service Commission has existed as a statutory body so no comparative information has been provided.

### 1.1 Accounting convention

These accounts have been prepared under the historical cost convention modified to account for the revaluation of property, plant and equipment, intangible assets and inventories.

The preparation of financial statements requires management to make judgments, estimates and assumptions that affect the amounts reported for assets and liabilities as at the date of the Statement of Financial Position and amounts reported for income and expenditure during the year. However, the nature of estimation means that actual outcomes could differ from those estimates. In the process of applying the Commission's accounting policies, management has made the following judgments, apart from those involving estimations, which have the most significant effect on the amounts recognised in the financial statements:

#### 1.2 Income

Re-charges. Under a Memorandum of Understanding the Commission receives the services of staff who also support the office of the Commissioner for Public Appointments (which is part of the Cabinet Office). For these accounts we have assumed that each member of staff spends 35% of their time on public appointments work and 65% of their time on Commission work. Therefore all staff and related costs such as training are apportioned, and a recharge of 35% is invoiced to the Cabinet Office, this is shown above as a (notional) income. These percentages were based on information provided by staff in August 2010 and they will be revised in early 2012.

#### 1.3 Staff Costs

This figure represents 100% of staff costs for the period 11 November 2010 to 31 March 2011. 35% of those costs are then re-charged to the Cabinet Office and this re-charge is accounted for as income in these accounts.

## **1.4 Other Expenditure**

Competition fees. Commissioners receive two different types of fees. "Board fees" are accounted for under emoluments in the Remuneration Report in these accounts. The fees here, "Competition fees", are paid for each day that a Commissioner chairs a recruitment competition and these fees are treated as related party transactions.

## **1.5 Property, plant and equipment**

No property, plant or equipment of any value is owned by the Commission, but if it were then it would be recognised initially at cost and thereafter carried at fair value less depreciation and impairment charged.

Cost comprises the amount of cash paid to acquire the asset and includes any costs directly attributable to making the asset capable of operating as intended. Any cost of capital charge associated with the item of property, plant or machinery is not capitalised. The capitalisation threshold for expenditure on property, plant and equipment is £5,000.

## **1.6 Depreciation**

The Commission holds no assets with a residual value so information on depreciation has not been provided.

## **1.7 Intangible assets**

The Commission owns no intangible assets.

## **1.8 Leases**

The Commission holds no leases. Premises and equipment, including IT equipment, are supplied by the Cabinet Office to the Commission under a Memorandum of Understanding.

## **1.9 Financial assets**

The Memorandum of Understanding with the Cabinet Office ensures that the Commission has no financial assets.

## **1.10 Cash and cash equivalents**

Cash in the statement of financial position comprises cash in hand. The Commission does not hold a bank account or cash. Cash is held on our behalf by the Cabinet Office under a Memorandum of Understanding.

## **1.11 Payables**

Payables are recognised at cost, which is deemed to be materially the same as the fair value. Where the time value of money is material, payables are subsequently measured at amortised cost.

A financial liability is de-recognised when the contract that gives rise to it is settled, sold, cancelled or expires.

## **1.12 Grant in Aid**

As the Commission is an independent executive non-departmental public body, Grant in Aid is treated as financing from the sponsoring department. This is recognised as a credit into general reserves and is treated on a cash (rather than accruals) basis in accordance with guidance given in the FReM.

## **1.13 Programme expenditure**

The Commission has no programme expenditure.

### 1.14 Pensions

The Commission does not have a pensions scheme because all staff are on secondment from the Civil Service and the recharge from the parent departments include any employer pension contributions.

### 1.15 Value Added Tax

The Commission is not registered for VAT.

### 1.16 Financial Instruments

As the cash requirements of the Commission are met through Grant-in-Aid provided by the Cabinet Office, financial instruments play a more limited role in creating and managing risk than would apply to a non-public sector body. The majority of financial instruments relate to contracts to buy non-financial items in line with the Commission's expected purchase and usage requirements and the Commission is therefore exposed to little credit, liquidity or market risk.

### 1.17 Operating Segments

The Commission is considered to provide a single function, oversight of civil service appointments, and in terms of IFRS is considered to be a single operating segment. Management reporting and decision making is carried out on the basis of a single segment and therefore it is not considered that any further segmental analysis is necessary to meet the requirements of IFRS.

### 1.18 Changes in Accounting Policy

#### IFRS changes issued but not effective until future periods

It has been determined that the following new IFRS's are relevant to Civil Service Commission but will have no significant impact on the financial statements:

New IFRSs:

- IFRS 9 – Financial Instruments

Amendments to IFRSs:

- IFRS 7 – Financial Instruments Disclosures
- IAS1 – Presentation of Financial Statements

#### *Significant FReM changes expected for 2011-12*

It has been determined that the following proposed 2011/12 FReM changes are relevant to Civil Service Commission but will have no significant impact on the financial statements:

Chapter 3 Parliamentary Accountability

Chapter 11 Income and Expenditure



## 2. Staff Numbers and Related Costs

### Staff costs

	Total £000	Staff on secondment from the Civil Service £000	Commissioners £000
Wages and salaries	235	166	69
Social security costs	22	14	8
Other pensions costs	38	34	4
<b>Total</b>	<b>295</b>	<b>214</b>	<b>81</b>

### Staff numbers

The average number of full time equivalent seconded staff and Commissioners during the period 11/11/2010 to 31/3/2011 were:

	Total	Staff on secondment from the Civil Service	Commissioners
Directly employed	0	0	0
Inward secondments	12.6	12.6	0
Office holders	11.4	0	11.4
<b>Total</b>	<b>24</b>	<b>12.6</b>	<b>11.4</b>

### 3. Other Expenditure

	Note	2010-11 £000
<b>Other Expenditure</b>		
Accommodation and utilities	99	
IT costs	-	
Consultancy	71	
Supplies and services	4	
Other staff related costs	3	
Travel, subsistence and hospitality	8	
Audit fee	8	
Competition fees paid to Commissioners	15	
<b>Total Other Expenditure</b>		<b>208</b>
<b>Non-cash items</b>		<b>-</b>
<b>Total non-cash items</b>		<b>-</b>
<b>Total</b>		<b>208</b>

Note: £67k of the Consultancy figure above relates to the audit of departments' compliance with the Recruitment Principles.

### 4. Income

	2010-11 £000
<b>Administration</b>	
Income from Other Government Departments	92
<b>Total</b>	<b>92</b>

**5. Trade Receivables and Other Assets**

Period ending  
31 March 2011  
£000

**Amounts falling due within one year**

Trade receivables	-
Prepayments and accrued income	1
<b>Total</b>	<b>1</b>

Period ending  
31 March 2011  
£000

**Amounts falling due after more than one year**

<b>Total</b>	<b>-</b>
--------------	----------

Note: The total of this balance is with bodies external to government.

**6. Trade Payables and Other Liabilities**

Period ending 31  
March 2011  
£000

**Amounts falling due within one year**

Trade payables	26
Other payables	-
Accruals and deferred income	30
<b>Total</b>	<b>56</b>

Period ending 31  
March 2011  
£000

**Amounts falling due after more than one year**

<b>Total</b>	<b>-</b>
--------------	----------

**Note:**

£13k relates to balances with other central government bodies and the remainder with bodies external to government.

## 7. Related Party Transactions

The Civil Service Commission is an independent executive NDPB funded by the Cabinet Office. The Commission has had a small number of transactions with other government departments such as the Government Equalities Office.

The Commissioners receive two types of fees: Board Member fees each month and fees for competitions. Their competition fees have been treated as related party transactions in these accounts. The total amount of Competition Fees received by Commissioners in the reporting period was £6k, the accrued amount for Competition Fees payable to Commissioners at year end is £9k.

Services are provided to the Commission from the Cabinet Office under a Service Level Agreement for a per capita charge of £99k for the period ending 31 March 2011. This charge has been treated as a related party transaction.

No manager or other related parties has undertaken any material transaction with the NDPB during the year.

## 8. Events after the Reporting Period

Sir David Normington took up appointment as the joint First Civil Service Commissioner and Commissioner for Public Appointments on 1 April 2011.

In accordance with the requirements of IAS 10, events after the reporting period are considered up to the date on which the accounts are authorised for issue. This is interpreted as the date of the Certificate and Report of the Comptroller and Auditor General. There are no material events to report.





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