

Advisory Committee on Business Appointments

Twentieth Annual Report 2018-2019 & 2019-2020¹

¹ This report was delayed due to caseload and staff resources. However, all cases advised on and taken up during this period have already been published on <u>ACOBA's website</u>.

Chairs' Foreword



This is my final report as Chair of the Advisory Committee on Business Appointments (the Committee), as my term came to an end in April 2020, when Lord Pickles took up the post.

The Committee's workload continues to reflect changes in the Government, with fewer cases in 2018-19 as a number of former ministers came to the end of the two year period in which the Business Appointment Rules applied. Subsequently, 2019-20 saw an increase in cases as a result of the change of administrations and larger numbers of ministers and senior Crown servants leaving office.

Reflecting on my tenure of the Committee, and the important work it does, I am most proud of the commitment of members and the robustness of the Committee's decisions under the framework set by the Government. The Committee has imposed conditions on every application it has advised on, to ensure probity as officials and ministers leave public service. Looking forward, I know the Committee will continue to consider how it can make best use of its limited resources within the current system; and continue its approach of the last few years in increasing transparency around its work. The information now available to members of the public about the Committee's decisions is a powerful tool in managing the integrity of employment following public service.

Finally, I would like to thank my fellow Committee members and our small secretariat, who serve the public through their diligent work and fair consideration of each case. I would also like to pay particular tribute to Baroness Liddell of Coatdyke and Lord German OBE who stepped down in 2019; and Terence Jagger CBE, who stepped down in March 2020, for their conscientious work and invaluable contributions to the Committee.

The Baroness Browning



I took up the role of Chair in April 2020. Though before my time, the reporting period for this report illustrates what I have seen since joining. significantly, the Committee is seeing an increased number of applications given the election and changes in the Government and we continue receive high numbers of complex applications. These require significant amount of time and resource to properly consider. It is also clear there remains a general unease about people moving between the public and private sectors, with the House of

Commons Public Administration and Constitutional Affairs Committee (PACAC) expressing concern about the lack of a statutory system with enforcement powers.

The current principles-based system is supported by the Government and allows for positive moves between government service and the private sector and other organisations.

I made clear at my pre-appointment hearing with PACAC in March 2020 that I intended to review the Committee's work and strengthen the approach where possible within the framework set by the Government. I feel strongly that now is the time to build on and extend transparency to maximise the Committee's impact within the current system. It will be made clearer to applicants that where there are significant overlaps with their time in office, they must demonstrate why it is proper for them to take up the proposed role consistent with the Government's Business Appointment Rules. Where the risks cannot be mitigated by conditions these applications will be deemed to be unsuitable. Retrospective applications will be unambiguously treated as breaches of the Rules. At the same time, the system should allow for prompt, predictable and consistent advice on appointments that are unremunerated or unrelated to an applicant's time in government; and allow the Committee to concentrate on the more complex applications.

The Rt. Hon Lord Pickles

Contents

Part 1 - The Committee's work during the reporting period	5
Applications received	5
People	5
Departments	6
Taken up appointments	7
Paid Vs Unpaid	8
Timescales - applications from former ministers	9
Timescales - applications from Crown servants	9
Retrospective applications & the Government's Business Appointment Rules	10
Improvements to the Business Appointments System	11
Improving governance	11
Consistency in approach	11
Freedom of Information Act 2000 - requests received and responded to	12
Significant judgment from the Information Rights Tribunal in relation to an	
information request concerning the former Prime Minister, Mr Tony Blair	12
Part 2 - The Committee's role and remit	13
The Business Appointments System	13
How does the Committee approach its decisions?	14
What will the Committee advise?	14
The ban on lobbying the Government	15
Waiting periods	16
What if a role is considered to be unsuitable?	16
What happens next	16
Transparency	17
Part 3 - The Committee's Membership and Expenditure	17
Membership	17
Staffing and expenditure	18
Annex A – Expanded department names	20
Annex B - Chronology of application process	21

Part 1 - The Committee's work during the reporting period



Applications received

- 1. The Committee considered a total of 142 and 204 cases in 2018-19 and 2019-20 respectively. These cases related to Ministers and senior officials from 22 and 21 different government departments respectively.
- 2. In 2018-19 there was a significant fall in cases from the previous year and in 2019-20 the Committee saw an increase in applications following the change of Prime Minister, a general election and subsequent changes in the Government.
- 3. This is consistent with previous trends for the Committee to receive more applications following changes in government, and for applications to slow down when those who left government (most notably former ministers), are no longer required to make applications to the Committee².
- 4. Applications to the Committee are a small proportion of the total cases considered under the Government's Business Appointments Rules. The majority of cases are considered in departments, with only the most senior officials and former ministers receiving independent advice from the Committee.
- 5. The Committee currently has no remit to oversee these decisions which are the responsibility of the relevant department. Departments are expected to publish decisions about senior Civil Servants alongside other transparency documentation quarterly³. However, the Committee's secretariat provides advice to departments on its application of the Government's Rules, and welcomes such approaches.

People



6. During 2018-19, the number of individual ministers submitting applications remained similar to the previous year (29 individuals in 2017-18 and 25 in 2018-19). There was subsequently a significant increase (44%) in the number of individual ministers approaching the Committee for advice in 2019-20 (rising from 25 to 36 individuals).

² Former ministers are required to make applications under the Rules for two years on leaving office.

³https://www.gov.uk/government/collections/how-to-publish-central-government-transparency-data#senior-civil-servants'-business-appointment-applications

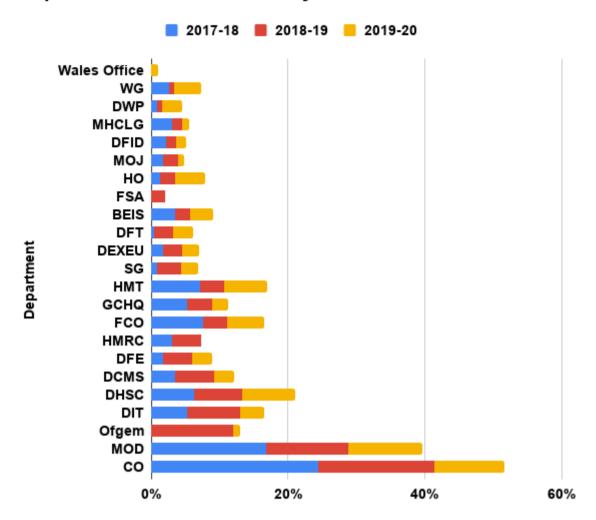
Table 1 - Individuals and application numbers		
2018-19	2019-20	
51 applications from 25 former ministers	97 applications from 36 former Ministers	
91 applications from 43 Crown servants	108 applications from 39 Crown servants	
Total: 142 applications from 68 applicants	Total: 205 applications from 75 applicants	

- 7. Table 1 above indicates that former ministers are more likely to make multiple applications in the first year after leaving office. This is illustrated further in 2019-20 when there was an even larger increase in the number of applications made (90% more) relative to the number of individual ministers making applications (44% more).
- 8. The numbers for Crown servants have remained similar, although there was an increase in multiple applications from individual Crown servants.

Departments

- 9. The highest proportion of applications came from the Cabinet Office and the Ministry of Defence. These two departments have been responsible for the largest proportion of the Committee's work for a number of years (as shown in the graph below).
- 10. There has been some variation in relation to caseload from individual departments. In particular, changes in senior leadership at Ofgem led to an unusually large number of applications from this department in 2018-19, carrying into 2019-20, but in much lower numbers.

Percentage of applications received from each department across last three years



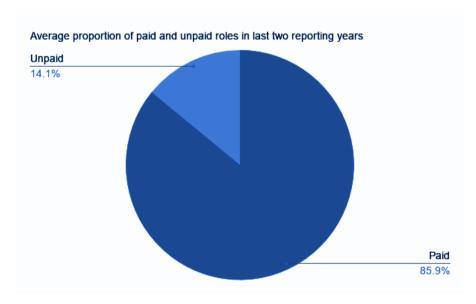
Taken up appointments

11. Not all applications that come to the Committee for advice will be taken up. Applications may be withdrawn during the process or not taken up having received advice, for a variety of reasons. These might include for example: the applicant applied speculatively and the role did not transpire, or in the case of some applicants, they return to government office. However, it is also the case that applications are not taken up as a result of the Committee advising the application is unsuitable. Further, in the early part of the current reporting year, some people have indicated that the Covid-19 public health crisis has had an impact on roles due to commence in 2020.

Table 2 - Numbers of applications not taken up				
Reporting year	2017-18 (of 230)	2018-19 (of 142)	2019-20 (of 204)	
Not taken up	53	14	41	
Withdrawn	12	16	18	

Paid Vs Unpaid

12. The Rules apply to paid and unpaid appointments or employment. The majority of applications considered in the last two reporting years were for paid appointments or employment. Around 14% of the applications across both reporting years related to unpaid positions (this is down from 21% in the year 2017-18).



- 13. It should be noted that the risk profile related to unpaid roles⁴ is usually significantly different to paid roles. It is the Committee's experience that where a role is unpaid, it reduces both the real and perceived risk that an applicant:
 - made decisions or took action in office in the expectation of the unpaid role
 - may exploit privileged access to insight and contacts gained in office to the unfair benefit of themselves or those they intend to represent in the unpaid role.

8

⁴ Which included roles such as a trustee and non-executive director.

Timescales - applications from former ministers



- 14. The Committee provides its advice directly to former ministers. The Government's Business Appointments Rules state the Committee aims to provide its advice within 15 working days from receipt of the required information, recognising complex applications will take longer.
- 15. In 2018-19 there was an increase in performance against the service standard from the previous year, rising from 49% to 57%. This was in part due to a reduction in the overall number of applications. In 2019-20 the figure was 44%, against an increase in caseload.
- 16. The Committee has historically recorded the service standard from the date of receipt of the application. However, given the Committee now requires additional information from relevant government department(s) on applications from former ministers, this service standard is not a meaningful measure of the timescales necessary.
- 17. Table 3 below shows that the majority of applications are completed within 15 working days of receipt of the information requested by the Committee's secretariat from the relevant department(s).

Table 3 - Applications advised on within 15 working days of receiving information required from the relevant government department(s)		
2018-19	86%	
2019-20	72%	

Timescales - applications from Crown servants

18. The Committee advises the Government⁵ in the case of former Crown servants. These applications are countersigned and assessed by the relevant department(s) before being submitted to the Committee for consideration. The Committee aims to provide advice to the relevant decision maker within 20 working days of receipt of a completed application.



⁵ Advice is provided to the Foreign Secretary if the applicant is from the Diplomatic Service; to the Defence Secretary for most Ministry of Defence staff, both civilian and military; to the First Ministers of Scotland and Wales in the case of applications from the Devolved Administrations; to the relevant Permanent Secretary if the applicant is a Special Adviser; and to the Prime Minister for all other Crown servants.

- 19. In 2018-19 performance against this standard was 79%, falling to 61% in 2019-20, reflecting both limited Committee resources in that year and an increase in caseload overall. The majority of cases were advised on within an additional 5 working days of receipt.
- 20. The Committee will review and monitor its service standards to ensure what it reports is informative and meaningful to the public and applicants.

Retrospective applications and the Government's Business Appointment Rules

- 21. A retrospective application is one where an appointment or employment has been taken up or announced before the Committee has provided its full and final advice. This is a breach of the Government's Rules.
- 22. The Committee needs to be free to offer the most appropriate advice in any situation without the obvious constraints which occur (perceived or otherwise) if an appointment or employment has already been announced, or the applicant has already signed a contract or taken up the role.
- 23. There may be unusual or extenuating circumstances where the Committee may choose to consider the retrospective application. This will not be the norm. In these cases, the Committee will still make it clear it is not acceptable to submit an application retrospectively.
- 24. The Committee deploys transparency to hold individuals to account, publishing the correspondence concerned. The Committee takes this approach in order to draw attention to the failure to submit an application and to encourage wider compliance with the Government's Rules. The Committee's transparent approach leads to welcomed scrutiny by members of the public and the media who know to expect to see advice published on ACOBA's website for taken up appointments.
- 25. Where the Committee has received a retrospective application, it will: make it clear in its advice that retrospective cases will not be accepted and that a failure to seek advice is a breach of the Rules. It will also consider on a case by case basis how the public interest is best served. For example, the Committee may consider the risks presented on the face of the application to be so significant that it will provide full and final advice to ensure such risks do not go without consideration and mitigation.
- 26. There were 8 such applications received retrospectively during the reporting period from 1 Minister and 7 Crown servants and from 5 different departments: the Cabinet Office, the Crown Prosecution Service, the Department of International Trade, the Foreign and Commonwealth Office and the Ministry Of Defence.

What happens if an applicant ignores or breaches the Government's Rules?

27. The Committee will report breaches of the Rules to the Government or, where appropriate, to the Devolved Governments. It is a matter for them to determine what appropriate action to take. The Committee will publish details of any breach on its website as part of its commitment to transparency.

Improvements to the Business Appointments System

28. The Committee has continued to consider how it can function as effectively as possible within the Government's business appointments system. In doing so, it has reflected back to the Cabinet Office, as the owner of the Rules, where there is evidence from its work that there is room for improvement.

Improving governance

- 29. Awareness of the Rules and the underpinning principles is paramount, including transparency about how the process is applied in practice.
- 30. The Committee recommended to the Public Administration and Constitutional Affairs Committee (PACAC) that Non-Executive Directors on departmental boards should have responsibility for the oversight of the Rules. It is now a requirement for all departments to ensure that their Audit and Risk Committees monitor compliance issues relating to the Rules at regular intervals. The Committee and its Secretariat met and discussed the Rules with some of the responsible Non-Executive Directors and their teams, in March 2019. The Committee hopes this will provide leadership, raise the profile of the Rules within departments and help facilitate improved governance at all levels.

Consistency in approach

- 31. The Committee is concerned that the lack of a consistent, clear and transparent process for some senior public office holders has the potential to damage the integrity of the business appointment system as a whole.
- 32. For the Committee's part it has responded by publishing more information than ever to help applicants and members of the public understand how the Committee has reached its decisions. It continues to review its processes to understand how it can minimise any gaps in the information available. The Committee has recommended to the Cabinet Office that departments should be encouraged to follow suit in relation to increasing the information that is available regarding the work done on business appointments applications considered within departments.
- 33. The Committee has observed a gap in the transparency of the Government's approach with regard to employees of arm's length bodies, who are not employed under the Civil Service Management Code, and thereby not subject to the same Rules. The Committee understands that arm's length bodies can have equivalent arrangements in place and that it is for sponsoring departments to agree with arm's

length bodies how they will address propriety of outside appointments and it will differ between bodies. However, the Committee notes there is no standard requirement across arm's length bodies to make an application or publish the outcome of any consideration or decisions made upon leaving public office (unlike Senior Civil Servants). The Committee has raised this with the Cabinet Office who will build consideration of this issue into its ongoing work with public bodies.

34. The Committee would also argue for a strong and robust assessment of how the principles contained in the Rules, and in particular transparency, are currently being applied in arm's length bodies. The Committee understands the limited resources available and would suggest the Government takes a risk based approach to prioritise those where assurance is most needed, such as major regulatory bodies.

Freedom of Information Act 2000 - requests received and responded to

- 35. As a public authority, the Committee is required to respond to requests for information in accordance with the Freedom of Information Act 2000 (FOIA).
- 36. The Committee received 13 requests for information in 2018-19. This compares with 21 received in 2017-18. The Committee responded to 10 requests in the reporting year and carried 3 forward into 2019-20.
- 37. During 2019-20 the Committee received 12 requests and responded to 15, including 3 carried from the year previously. No requests were carried into 2020-21.
- 38. During each reporting year there was one request for an internal review of the response. The Information Commissioner's Office (ICO) received one complaint about the Committee's application of FOIA in the reporting period. The ICO ruled in favour of the Committee's approach in October 2019. The ICO's decision can be found here.

Significant judgment from the Information Rights Tribunal in relation to an information request concerning the former Prime Minister, Mr Tony Blair

- 39. In the 2017-18 Annual Report, the Committee reported on the ICO's decision to uphold the Committee's application of FOIA in one case. The ICO's decision had been appealed by the requester and at the time, this continued to be subject to the appeals procedure.
- 40. This particular FOIA request related to information held in 2015, relating to correspondence the Committee had with the former Prime Minister, Mr Tony Blair between 2005 and 2009. The information request led to correspondence and various appeals between the requester, the ICO and the Committee.
- 41. The First-tier Tribunal (the Tribunal)⁶ promulgated its decision in November 2018. The judgment found that the particular case of Mr Blair was special and

_

⁶ (General Regulatory Chamber) Information Rights

therefore, in these specific circumstances, disclosure was in the public interest. <u>The release of information is on the Committee's website</u>. The Committee welcomed the Tribunal's findings that it was important for the Committee not to lose its safe space to discuss matters in confidence with former ministers.

Part 2 - The Committee's role and remit

42. The Advisory Committee on Business Appointments (the Committee) is an independent, advisory, non-departmental public body, sponsored by the Cabinet Office. The Committee was established by the then Prime Minister, Harold Wilson, in 1975 to provide advice on applications from the most senior Crown servants who wish to take up outside appointments after leaving Crown service. Since 1995, following a recommendation by the Committee on Standards in Public Life, it has also provided advice to former ministers taking up appointments after leaving office.

The Business Appointments System

- 43. The Rules seek to protect the integrity of the Government, while enabling individuals to move to roles outside of government service. The Committee's role is to apply the Rules at the most senior levels of the Government, whilst departments do so at all other levels.
- 44. The Rules are set by the Government; including all aspects of the Rules, including their content, amendment and enforcement. Successive governments have taken the view it is in the public interest that people with experience of public administration/government should be able to move into business or other sectors, start a new career or resume a former one. However, it is equally important that when a former official takes up a particular appointment or employment that there should be no cause for any suspicion of impropriety.
- 45. The Rules are a set of principles. There are two main sets: the Rules for Former Ministers and The Rules for Civil Servants, though their purpose is the same to avoid any reasonable concerns that:
 - an applicant might be influenced in carrying out his or her official duties in office by the hope or expectation of future employment; or
 - on leaving office an official or an organisation might improperly exploit or gain from privileged access to contacts in the Government or sensitive information such as that relating to unannounced or proposed developments in policy, knowledge of which may affect the prospective employer or any competitors; or commercially valuable or sensitive information about any competitors.

- 46. Applications from all Crown servants below Director General (Senior Civil Service pay band 2 and below) are considered by their employing department, in line with Cabinet Office guidance.
- 47. The Committee's role is to provide advice independently of the Government on applications from the most senior level of Crown servants (those at Senior Civil Service Pay Band 3 and above) and from all former ministers.
- 48. Relevant codes of conduct⁷ set out that former Crown servants and Ministers must seek and abide by the Committee's advice. Former officials are expected to uphold the highest standards of propriety and act in accordance with the 7 Principles of Public Life and the codes of conduct in place during their time in office.

How does the Committee approach its decisions?

- 49. The chronology of the application process for cases considered by the Committee for Crown servants and former ministers is set out in Annex B. The main difference is that applications for former ministers come to the Committee directly, and the Secretariat seek views from the appropriate department(s); whereas applications from former Crown servants usually come from the applicant's employing department with a countersignature and a recommendation to the Committee.
- 50. When making a decision, the Committee must strike a balance between any justified public concern about the circumstances of an outside appointment as set out in the Government's Rules; and the right of individuals to earn a living after leaving the Government, reflecting the law against the restraint of trade. The Committee's role is to help ensure there is no reasonable cause of impropriety in an outside appointment; it is not the Committee's role to prevent any criticism of an appointment.

What will the Committee advise?

- 51. The Committee assesses the risks under the Rules, in any given case, and tailors its advice to mitigate those concerns. To mitigate potential risks to the Government's integrity associated with appointments or employment, the Committee applies delays, conditions and restrictions. In the reporting period, the Committee advised that conditions be applied in every case considered.
- 52. Reflecting the Rules, advice typically includes conditions which prevent the use of privileged information and contacts gained from an applicant's time in office; and a ban on lobbying the Government (including in relation to bids and contracts).
- 53. The Committee's approach to the advice will depend on how complex the case is. Where there is a significant overlap with the applicant's time in office, applications are more likely to pose significant risks under the Rules. In these cases the Committee will want to consider:

_

⁷ The Ministerial Code, the Civil Service Management Code, The Code of Conduct for Special Advisers, The Queen's Regulations and the Diplomatic Service Code

- if a waiting period is required to put a gap between the applicant's time in office and taking up the role.
- additional restrictions where there are risks associated with information and contacts gained in office, conditions which prevent working on specific matters may be considered.
- the suitability of the role if conditions cannot mitigate the risks, the Committee may advise that the role is unsuitable.

The ban on lobbying the Government

- 54. The Government's Rules explain that a lobbying ban will usually be applied to outside appointments.
- 55. As a general principle, former ministers and the most senior Crown servants are required to observe a twoyear ban on lobbying the Government. The Committee will rarely waive or shorten the lobbying ban as it considers this to be an important condition in guarding against the risk, either real or perceived, that a former Crown servant miaht influence minister a government decision or policy to serve their own interests or the interests of their employer. The lobbying ban

"...[applicants] should not engage in communication with Government (including Ministers, special advisers and officials/ public office holders) - wherever it takes place – with a view to influencing a Government decision, policy or contract award/ grant in relation to their own interests, or the interests of the organisation by which they are employed, or to whom they are contracted or with whom they hold office."

was applied for two years in all cases considered in the reporting period.

56. However, the Rules permit the Committee to qualify the lobbying ban to make it clear this restriction need not prevent applicants from communicating with the Government on matters that are an integral part of the normal course of business for their new employers, where appropriate. In each case considered in the reporting year, the Committee considered whether the particular activity raised any propriety issues that the Committee must mitigate. As a general principle the Committee considers any contact with the Government, directly or indirectly, must only occur where it could not reasonably be perceived as lobbying.

Waiting periods

- 57. The Government's Rules sets out that former Cabinet members of the Government and departmental Permanent Secretaries and their equivalents are subject to a minimum three month waiting period after leaving office. While this waiting period can be waived if justified by the circumstances of the case, the Committee chose not to do so in any of the cases it considered during the reporting period given the lack of exceptional circumstances.
- 58. The Committee can also recommend a longer waiting period where there are risks associated with the application. Additionally, the Committee can and will recommend the appointment or employment is unsuitable where conditions cannot adequately mitigate the risks presented.
- 59. The Rules allow for a department to continue to pay former Crown servants who are required to observe a waiting period before taking up an outside role. However, whether a payment of this nature is appropriate or given is a matter for the Government and does not impact the Committee's decision, neither does the Committee give such advice.

What if a role is considered to be unsuitable?

60. The Committee has seen a small number of cases in the reporting period which raised significant risks under the Rules and would have been considered unsuitable had the applicant proceeded with their application as initially described. In some cases, the Committee explained it was minded to advise the application was unsuitable, and those applications were subsequently withdrawn. In other cases the applicant revised the role. The Committee then advised a number of conditions that would appropriately mitigate the reduced risks presented by the amended application. This may include imposing a waiting period to ensure there is a suitable gap between leaving office and taking up the role; or restricting the breadth of the role and activities/responsibilities.

What happens next

- 61. The Committee publishes its advice in all cases where it is aware that the appointment or employment has been taken up. It is the applicant's responsibility to inform the Committee they have taken up the role; and to abide by the Committee's advice as is required by the relevant codes of conduct.
- 62. The Committee's advice letters make public as much detail as it is able to, after taking into account its responsibilities under data protection and freedom of information legislation. This means members of the public should be aware of:
 - the information provided by the applicant;
 - the information provided by the relevant government department(s);
 - the risks identified by the Committee and its consideration of these; and
 - the conditions the Committee has decided are necessary to mitigate the risks identified.

Transparency

- 63. The Rules are a set of principles and it is only through transparency that those involved in the business appointments process (including applicants, government departments, outside employers and the Committee) are accountable to the public.
- 64. The Committee has increased the level of information available about its work in recent years in particular around the information given by applicants and the reasons for its decisions.
- 65. When the Committee is made aware that a minister has joined, or subsequently left ministerial office, the Chair will write to remind them of the need to seek advice on all outside appointments for a two-year period after leaving office. Following the change in Prime Minister in July 2019, the Chair wrote to all ministers the following month, to remind them of the Rules and the Committee's role.
- 66. However, due to reduced resources in the Secretariat, publications on the ACOBA website have not been sufficiently timely in the reporting period; including a delay in publishing this report. As this is an area of utmost importance to the Committee, the Secretariat has now increased its resources to enable it to prioritise this area of its work. The Committee will be looking to further increase transparency around its work in 2021.

Part 3 - The Committee's Membership and Expenditure

Membership

- 67. The Committee had nine members during the reporting period, all of whom are appointed by the Prime Minister. Members are appointed for a single non-renewable term of five years. Three members are political appointees; nominated by the three largest political parties; and a further six are independent members, appointed following fair and open competition, in accordance with the Cabinet Office' Public Appointments Governance Code (as was the appointment of Baroness Browning as Chair of the Committee, following her earlier political party nomination to the Committee).
- 68. The 2019-20 reporting year saw changes to the membership of the Committee as the tenure of two political appointees came to an end in 2019:

- The Lord (Larry) Whitty, succeeded the previous Labour Party member, Baroness (Helen) Liddell of Coatdyke
- Mike Weir, Scottish National Party member, succeeded the previous Liberal Democrats Party member Lord (Michael) German OBE

Additionally, there were six independent members:

- Sir Alex Allan KCB
- Jonathan Baume
- Dr Susan Liautaud
- Terence Jagger CBE
- Richard Thomas CBE LLD
- John Wood

The membership of the Committee for the 2018-19 reporting year was as below:

- Sir Alex Allan KCB, independent member
- Baroness (Angela) Browning, Conservative Party member and Chair
- Jonathan Baume, independent member
- Lord (Michael) German OBE, Liberal Democrats Party member
- Dr Susan Liautaud, independent member
- Terence Jagger CBE, independent member
- Baroness (Helen) Liddell of Coatdyke, Labour Party member
- Richard Thomas CBE LLD, independent member
- John Wood, independent member
- 69. The tenure of Baroness Browning, Conservative Party member and Chair came to an end in March 2020. **The Rt Hon Lord (Eric) Pickles**, was nominated as the Conservative Party member and was subsequently appointed as Chair, following a fair and open competition, in accordance with the Cabinet Office Public Appointments Governance Code. Further, three independent members' terms came to an end during 2020: Sir Alex Allan KCB, Terence Jagger CBE and John Wood.
- 70. The Committee has a <u>Code of Practice</u> and it maintains a <u>register of its</u> <u>members' interests</u>, both of which are available on its website. Committee members follow a strict policy of declaring any individual interests related to a case and, if necessary, recusing themselves. Recusals are recorded in the Committee's advice letter to applicants where relevant.

Staffing and expenditure

71. The Committee's secretariat support is provided by the Civil Service Commission and three full time members of staff. The Committee's expenditure figures are published in the Civil Service Commission's audited Accounts.⁸

⁸ http://civilservicecommission.independent.gov.uk/publications/annual-reports/

- 72. The Committee's total expenditure was circa £326,000 and £317,000 respectively in 2018-19 and 2019-20, a reduction from the previous reporting year (total expenditure was circa £388,000 in 2017-2018).
- 73. Staff costs remain the largest element of the Committee's expenditure at circa £171,000 and £208,000 each year respectively (£218,000 in 2017-18, due to reduced resources in each year). This is expected to rise in 2020-21 with an increase in resources to accommodate the likely increase in workload.
- 74. Second to staffing costs are those related to accommodation and other overheads that are paid to the Cabinet Office for the Committee's proportion of the Civil Service Commission's total overheads such as accommodation, utilities and IT costs.
- 75. The Committee members' honoraria, which has remained unchanged per person for some years (£8,000 per annum for the Chair and £3,000 per annum for members) accounted for £32,000 each reporting year.

Annex A – Expanded department names

BEIS	The Department for Business, Energy and Industrial Strategy
CO	The Cabinet Office
DCMS	The Department for Digital, Culture, Media and Sport
DExEU	The Department for Exiting the European Union
DfID	The Department for International Development
DfE	The Department for Education
DfT	The Department for Transport
DHSC	The Department of Health and Social Care
DIT	The Department for Trade
DWP	The Department for Work and Pensions
FCO	The Foreign and Commonwealth Office
FSA	The Financial Services Authority
GCHQ	Government Communications Headquarters
HMRC	Her Majesty's Revenue and Customs
НО	The Home Office
MHCLG	The Ministry of Housing, Communities and Local Government
HMT	Her Majesty's Treasury
MOD	The Ministry of Defence
MOJ	The Ministry of Justice
OFGEM	Office of Gas and Electricity Markets
SG	The Scottish Government
WG	The Welsh Government
WO	The Office of the Secretary of State for Wales

Annex B

Applications from former Crown servants

Applicant completes application parts 1 & 2 of the application form and submits internally for the countersigning officer at the relevant department and their HR department to consider



Department completes application form and sends to ACOBA



ACOBA considers information provided and makes any necessary additional requests for information



ACOBA considers the application; and comes to a majority view on the appointment and conditions that should be applied to the appointment, under the Government's Business Appointment Rules



ACOBA provides applicant with provisional recommendation

The applicant is asked to confirm if they are content with the provisional advice: the conditions attached to the appointment. This is an opportunity for the applicant to ask questions or provide further information where necessary. In some cases, an applicant may meet with ACOBA.



ACOBA's recommendation is made to the Prime Minister, or the appropriate decision maker in the case⁹



Once a final decision is made, the department and applicant are informed

The department is responsible for notifying the new employer of ACOBA's advice.



Applicant is asked to inform ACOBA if/when the appointment is taken up/announced



⁹ Advice is provided to the Foreign Secretary if the applicant is from the diplomatic service; to the Defence Secretary for most Ministry of Defence staff, both civilian and military; to the First Ministers of Scotland and Wales in the case of staff working in those Devolved Administrations; to the relevant Permanent Secretary if the applicant is a Special Adviser; and to the Prime Minister for all other Crown servants

If notified or made aware the appointment is taken up, ACOBA's advice is published on it's website

Applications from former Ministers

Applicant completes application form and sends to ACOBA



ACOBA consults the Permanent Secretary of applicant's former department(s)

Where appropriate, other relevant departments may also be contacted.



ACOBA considers information provided and makes any necessary additional requests for information



ACOBA considers the application; and comes to a majority view on the appointment and conditions that should be applied to the appointment under the Government's Business Appointment Rules



ACOBA provides applicant with provisional recommendation

The applicant is asked to confirm if they are content with the provisional advice: the conditions attached to the appointment. This is an opportunity for the applicant to ask questions or provide further information where relevant. In some cases, an applicant may meet with ACOBA.



ACOBA's final advice is sent to the applicant



ACOBA informs prospective employer of ACOBA's advice



Applicant is asked to inform ACOBA if/when the appointment is taken up/announced



If notified or made aware the appointment is taken up, ACOBA's advice is published on its website