

2017 FREEDOM OF INFORMATION ATTACHMENTS

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2017	Nov	FOI/17/170	Steele review: safety at HM Prison Maghaberry	132-145

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**Northern Ireland
Assembly**

Assembly Office
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Stormont
BT4 3XX

t:02890520351

Rt Hon James Brokenshire MP
Secretary of State for Northern Ireland
Northern Ireland Office
Stormont House
Stormont Estate
BELFAST
BT4 3SH

Our Ref: RHI /161221-pmc

Date: 21 December 2016

Dear James,

**e: naomi.long@allianceparty.org or naomi.long@mli.niassembly.gov.uk
m: 07810396566**

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The second aspect of the scheme relates to allegations of corruption, in that the main beneficiaries of the failure to initiate cost controls and failure to act at the earliest opportunity to correct this are parties connected to the DUP, including a number of major donors to the party.

As you are aware, I have consistently called for the secrecy around party political donations in Northern Ireland to be addressed, and successfully amended the Northern Ireland (Miscellaneous Provisions) Act on Westminster to that effect. However, I believe that, in the current climate, with allegations of cronyism and corruption emerging almost daily, it is now incumbent on you as Secretary of State to lift the NI exemption. Only by doing so can any measure of public confidence be restored in politics at this time: failure to do so will directly contribute to the public perception of politics as entirely self-serving and corrupt and the Assembly as unfit for purpose.

My Westminster amendment had the support of all of the NI parties: furthermore, the DUP stated in their 2016 election manifesto that they would publish details of large donors in future. Alliance already do so on a voluntary basis. There is now no excuse for not proceeding to remove the exemption and a very compelling reason for doing so.

I look forward to your response to the issues raised and trust we can meet to discuss them soon.

Best Regards,

A handwritten signature in cursive script that reads "Naomi".

Naomi Long MLA
East Belfast Alliance Assembly Member
Leader of the Alliance Party

e: naomi.long@allianceparty.org or naomi.long@mia.niassembly.gov.uk
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Naomi Long MLA
Leader of the Alliance Party
Rm 279 Parliament Buildings
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Our Ref: MC/16/332
Your Ref: RHI/161221-pmc

4 January 2017

Dear Naomi,

On the separate point you raise about the transparency of political donations, I appreciate that Northern Ireland has changed significantly in recent years, and that some parties have been reflecting on their previous positions regarding donations and loans. I have therefore written to Party Leaders to seek views on whether the time is now right to move towards full transparency of political donations and loans in Northern Ireland and to implement a change to the rules as soon as possible, bringing Northern Ireland into step with the wider UK.

Yours ever,

RT HON JAMES BROKENSHIRE MP
SECRETARY OF STATE FOR NORTHERN IRELAND

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Secretary of State for Northern Ireland
Mr James Brokenshire MP
The Northern Ireland Office
Stormont House
Belfast
Northern Ireland
BT4 3SH

Date: 12/06/17

Dear

James,

As you will be aware from my previous correspondence to you, I have consistently called for the secrecy around party political donations in Northern Ireland to be ended, and successfully amended the Northern Ireland (Miscellaneous Provisions) Act at Westminster to that effect.

e: naomi.long@allianceparty.org or naomi.long@mli.niassembly.gov.uk
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The situation in Northern Ireland, where parties can receive huge donations yet not disclose them to the public, ought to have ended many years ago. However, now that the DUP are, in effect, wielding influence over the UK Government, continued secrecy around their finances is completely untenable.

My amendment to legislation allows for publication in line with UK law to be backdated to January 2014. You have the power to enact this with immediate effect: it is now incumbent on you to do so without further delay.

In doing so, not only would you be acting in the public interest, but it would strengthen confidence in your ability to take decisions without undue influence from the DUP and, as such, would start to restore trust with the other political parties of Northern Ireland in your party's role and impartiality.

I look forward to your response.

Best Regards,

A handwritten signature in black ink that reads "Naomi".

Naomi Long MLA
East Belfast Alliance Assembly Member
Leader of the Alliance Party



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Naomi Long MLA
Assembly Office
Rm 279 Parliament Buildings
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BT4 3XX

Our ref: MC/17/328

19 July 2017

Dear Naomi,

Thank you for your letter of 12 June relating


introduction of transparency for donations to Northern Ireland political parties.

As you will know, in January 2017, I wrote to party leaders in Northern Ireland to seek views on whether to move to full transparency for political donations and loans to Northern Ireland political parties. This was in line with this Government's consistent emphasis on seeing the confidentiality arrangements around donations and loans removed as soon as circumstances allowed. All parties that responded expressed the view that full transparency should be introduced. The parties were also asked about the date from which transparency should take effect. Only the Alliance Party proposed that transparency should be implemented retrospectively in response.

There remains widespread support for full transparency among the people of Northern Ireland and a welcome recognition by the parties of the importance of

transparency to the broader political process. In line with that aim, and consistent with the commitment made in the Conservative Party Manifesto for Northern Ireland, I set out in my Statement to the House on 3 July my intention to bring secondary legislation before Parliament that will provide for the publication of all donations and loans received by Northern Ireland parties. This will take effect in respect of donations and loans received on or after 1 July 2017. Having considered the representations of all parties, I did not believe it right to impose retrospective regulations on those who donated in accordance with the rules set out in law at the time.

As I indicated in my 3 July Statement, I intend to bring forward the secondary legislation to provide for full transparency shortly. I look forward to continued engagement with you and all other interested stakeholders over the coming months.

Yours ever,


**RT HON JAMES BROKESHIRE MP
SECRETARY OF STATE FOR NORTHERN IRELAND**



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To: Leaders of the Alliance Party, Democratic Unionist Party, Sinn Fein, Social Democratic and Labour Party, and Ulster Unionist Party

3 July 2017

Dear party leaders,

In January 2017, I wrote to party leaders in Northern Ireland to seek views on whether the time was now right to move to full transparency for political donations and loans to Northern Ireland political parties. All parties that responded expressed the view that full transparency should be introduced.

There remains widespread support for full transparency among the people of Northern Ireland and the Government has consistently emphasised its desire to see the confidentiality arrangements removed as soon as circumstances allow this. With this in mind, I intend therefore to bring secondary legislation before Parliament that will provide for the publication of all donations and loans received by Northern Ireland parties on or after 1 July 2017.

I wanted to advise you now of my intentions so that you can advise your potential donors and lenders that any donation or loan your party receives from them on or after 1 July 2017 will be liable for publication.

This is an important step which will ensure that the people of Northern Ireland will now have a full understanding of how their political parties and representatives are funded and which should result in increased confidence and support in the democratic process more widely.

Yours sincerely,

RT HON JAMES BROKENSHIRE MP
SECRETARY OF STATE FOR NORTHERN IRELAND

FW: GRADE C/EO PEOPLE ASSESSMENT

20 July 2017 at 15:16

From: [redacted] n Behalf Of Grade C E01 assessment
Sent: 07 October 2011 13:12
To: [redacted]
Subject: FW: GRADE C/EO PEOPLE ASSESSMENT

PERSONNEL AND OFFICE SERVICES DIVISION
LEGACY AND LITIGATION
HILLVIEW BUILDINGS
STORMONT ESTATE
BELFAST BT4 3SG

From: [redacted] n Behalf Of Grade C E01 assessment
Sent: 30 September 2011 14:27
To: [redacted]

Subject: GRADE C/EO PEOPLE ASSESSMENT

Dear All

Please see attached

Staff Notice

Launch Note to Staff

Launch Note to ICT Staff

Self Nomination Form

Self Nomination Form for ICT Staff

LMA Form

Line Managers Guide

LMA Appeal Process

LMA Rating Guide

Briefing Notes for Candidates

Grade C - FAQs















Pay & Assimilation - FAQs

Secondment to NIO letter

Roadshow Notice

Thank you

14 attachments

-  **GRADE C EO ASSESSMENT - FINAL AGREED STAFF NOTICE AT 30 SEPTEMBER.DOC**
50K
-  **GRADE C EO ASSESSMENT - LAUNCH NOTICE TO STAFF FINAL.DOC**
62K
-  **Grade C assessment - LAUNCH NOTE TO ICT STAFF FINAL.DOC**
62K
-  **GRADE C EO ASSESSMENT PROCESS - SELF NOMINATION FORM FINAL.DOC**
34K
-  **GRADE C EO ASSESSMENT - SELF NOMINATION FOR ICT STAFF - FINAL.DOC**
33K
-  **GRADE C EO ASSESSMENT - LMA FORM -FINAL.DOC**
92K
-  **GRADE C EO ASSESSMENT - LINE MANAGERS GUIDE - FINAL.DOC**
158K
-  **GRADE C EO ASSESSMENT - LMA APPEAL PROCESS FINAL.DOC**
37K
-  **GRADE C EO ASSESSMENT - LMA RATING GUIDE FINAL.DOC**
35K
-  **GRADE C EO ASSESSMENT - BRIEFING NOTES FOR CANDIDATES - FINAL.DOC**
145K
-  **Grade C - FAQs -FINAL.DOC**
62K
-  **PAY & ASSIMILATION - FAQs.DOC**
52K
-  **Grade C Assessment NICS Grade C on secondment to NIO FINAL.DOC**
62K
-  **GRADE C EO ASSESSMENT - ROADSHOWS NOTICE TO STAFF FINAL.DOC**
32K

STAFF NOTICE

DATED 30 SEPTEMBER 2011

FORMER NIO/COURT SERVICE GRADE C/EOs PEOPLE ASSESSMENT

Introduction

1. This paper sets out proposals for the Grade C/EO (General Administrative) people assessment process and subsequent placement of staff based on the outcome of the assessment exercise. It also sets out the position of former ICT Grade Cs, NIPS Grade C Psychologists, Grade C Instructors and Grade C Assistant Librarian.
2. The procedures contained in this Staff Notice are predicated on the Grade C/EO re-grading exercise being exceptional in order to meet the circumstances brought about by the devolution of justice functions. They do not represent a precedent and are without prejudice to existing career development/NICS promotion policy or any other policy under review.
3. These proposals have been the subject of consultation between the Management and Trade Union Sides of Central Whitley.

Exemptions from the Assessment Process

General Administrative Staff

4. Staff who previously served in the NICS or former NI Court Service as a substantive EO1 and staff who were promoted to EO after 1999 and were immediately regarded as an EO1 on 12 April 2010 (effective date of devolution) will not be included in the assessment exercise. Also excluded from the assessment exercise are staff who, in the most recent live generic competitions for Staff Officer (or higher), were listed but not

promoted (or whose names were carried over to that list from the last generic competition but one). Both these groups of staff will remain in their existing post if it has been assessed as EO1. If their current post is not assessed as EO1, former EO1s will be transferred to an EO1 post as a priority at the first available opportunity, followed by those in the second exempt group.

5. Staff who, in the most recent live generic competition, met the competency standard for Staff Officer (or higher) in their respective organisations, but were not listed, will not be required to undergo an assessment. These staff will be assimilated onto the list of those deemed to have met the competences for the EO1 grade in this Grade C/EO assessment exercise by applying the scoring ratio detailed in paragraph 14 below as set out in the Annex to this Staff Notice.

6. Alternatively, these staff may elect to appear before an assessment panel and be listed in accordance with the higher of their two scores.

ICT Grade

7. Staff who previously served in the NICS as a substantive ICT Level 4 will not be included in the assessment exercise.

A Promotion board to assess the suitability of candidates for promotion to ICT Level 5 was held by the Department of Finance and Personnel on behalf of all NI departments and NIO (both NICS and HCS) in September 2008. ICT Grade C staff were eligible to apply. The competition comprised of a two-stage process. The purpose of Stage 1 was to provide a pool of staff who met the competency standard for Staff Officer. Stage 2 consisted of specific vacancy notices issued by individual Departments/Agencies which focused on the specific technical skills required for individual posts.

ICT Grade C staff who have successfully passed Stage 1, have applied for a Stage 2 vacancy notice and had achieved the overall competition pass

mark will also be exempt from the People Assessment.

Both these groups of staff will remain in their existing post if it has been assessed as ICT Level 4. If their current post is not assessed as ICT Level 4, former ICT Level 4s will be transferred to an ICT Level 4 post as a priority at the first available opportunity, followed by those in the second exempt group.

8. ICT Grade C staff who are currently on the ICT Level 5 Pool who have not applied for a Stage 2 vacancy or who have applied but not achieved the overall competition pass mark, will not be required to undergo the Grade C People assessment. If, however they wish to progress to ICT Level 4, they will have to undergo an assessment against the professional and technical competency for ICT level 4.

Grade C Psychologist and Grade C Instructor

9. The position in respect of staff in the Grade C Psychologist and Grade C Instructor grades is that these staff will not be required to go through the people assessment in order to assimilate to the new NICS Grade titles of Assistant Psychologist and Instructor NIPS (analogous to EO1).

Grade C Assistant Librarian

10. The position of staff in this grade will be subject to a separate communication.

Method of Assessment

11. The objective of this process is to achieve the integration of former NICTS/NIO/PPS staff with the NICS Executive Officer 1 and 2 (ICT Level 4/3) grading structure and to meet current and future corporate needs. Grade C/EOs (including ICT Grade Cs), who wish to be re-graded, will be

assessed using a process that determines their level of competence against that of the EO1 (ICT Level 4) grade.

12. Staff who choose not to go forward for assessment, or those not meeting the competences for the EO1 (ICT Level 4) grade through this assessment, should be aware that the result will be a choice of remaining a Grade C/EO (including ICT Grade C) or being designated an EO2 (ICT 3). This will also have potential pay consequences. If these staff choose to remain a Grade C/EO (including ICT Grade C), they will be considered as EO2 (ICT Level 3) for posting purposes.

Line Manager's Assessment (LMA)/Interview Ratio

13. The process will comprise a LMA and an interview, assessing Grade C/EO staff against the 5 agreed competence criteria appropriate to the EO1 grade. For ICT staff there will be an extra competence to test professional and technical skills.
14. An overall scoring ratio of 40/60 will be applied - 40% of the overall score will be derived from the LMA and 60% from the interview. For Grade C/EO staff (including ICT Grade Cs), all 5 EO1 criteria will be assessed through the LMA and tested at interview. For ICT staff the additional technical skills criterion will be tested at interview only. A candidate must score 57 marks or higher out of 100 in their LMA to be eligible for interview.¹ A candidate's overall assessment will however comprise the combination of the score from the interview and LMA.

Merit Order Lists

15. All staff deemed to have met the competences of the EO1 grade will appear on a published list in alphabetical order and will be posted in merit

¹ This is equivalent to 40 out of 70 for the LMA in the previous competition.

order.

16. Three lists will be created, each representing the discrete business areas in the transferred functions (NICTS, DOJ and PPS). If the list of a business area has been exhausted it may use the lists from the other business areas to fill any EO1 vacancies. Each business area will hold a merit listing for the purpose of posting staff.
17. With regard to ICT grade C staff, the DOJ and PPS business areas will each produce a further list of staff in alphabetical order who have met the competences of ICT Level 4 and who will be posted in merit order.

Filling Posts

18. All posts assessed as EO1 (ICT 4) will be filled either under the arrangements detailed in paragraphs 4 to 8 above or from the lists produced from the Grade C/EO (including ICT Grade C) assessment. This process to create lists and use them to fill posts substantively in DoJ and the PPS should be completed by March 2012. After that date (or on completion of the exercise if beforehand) and once the placement of staff from the lists has taken place, remaining lists ("*call off*" lists) will be used to fill vacancies at the EO1 (ICT Level 4) grade within the three business areas.

Placement of Staff from Lists

19. The issue of matching staff assessed as meeting the competences for the EO1 (ICT Level 4) grade to suitable posts is the responsibility of the respective business areas. Staff will be re-graded on the date they take up their EO1 (ICT Level 4) post.
20. Subject to the provisions in paragraphs 4 to 8, merit lists will be used to draw off staff to match the number of posts assessed as EO1 and they will

be placed in posts in a way that minimises disruption to the business area. As far as possible business areas will ensure that staff in EO1 posts will remain in those posts or remain in their division subject to available posts and the merit principle.

Pay Consequential

21. Once staff are posted to a suitably graded post which matches their assessed grade (EO1, EO2, ICT Level 4 or ICT Level 3), the appropriate pay assimilation will be conducted under NICS HR Handbook – Section 3.1 Starting Pay On Re-Grading.

22. Grade C/EOs (including ICT Grade Cs) who chose to assimilate to the EO2 (ICT Level 3) grade and pay scale may revert to their former grade and pay scale under the following circumstances: if there is a clear and demonstrable detriment to their basic pay as a result of their initial posting following the people assessment, they will be allowed one opportunity to revert to their pre-assimilation grade and salary. Any Grade C (including ICT Grade C) who chooses to do so, having previously received an uplift in their pay upon assimilation, must agree a term of repayment for these arrears prior to reversion.

23. Staff who, following the people assessment did not meet the competences of the EO1 grade will be designated as EO2 for posting purposes. Should these staff be in an EO1 post at that time, they will remain in that post and receive the higher rate of pay until such time as a suitable EO2 post can be found for them.

ANNEX

PROCESS FOR FACTORING IN SCORES FROM A PREVIOUS COMPETITION TO THE PEOPLE ASSESSMENT MERIT LIST

This process is predicated on the fact that the score will have been arrived at by testing all criteria at interview and in the LMA, and the process takes account of the fact that the previous competition was on the basis of a 25/75 LMA/interview ratio and the proposal is to use a 40/60 ratio.

The process will be described using a worked example of a previous competition with an overall maximum mark of 280 (LMA=70, interview=210). A candidate in a previous competition scored 55 marks (out of 70) at LMA and 120 (out of 210) at interview – a total of 175.

New scoring 40/60

The LMA mark is multiplied by a factor of 1.6 (40% as opposed to 25%) and becomes 88 marks and the interview mark is reduced by a factor of 0.2 (60% as opposed to 75%) and becomes 96 marks. To take account of the reduction in the total available marks from 280 to 250 a further factor is applied which reduces the total by 0.1.

This gives a factored total of 166 out of 250.

This means this candidate would be assimilated to the merit list with a mark of 166 as opposed to 175.

FINAL

From

30 September 2011

To all former NIO Grade Cs and Court Service EOs.

Assessment of former NIO Grade Cs and Court Service EOs for EXECUTIVE OFFICER I

1. Introduction

- 1.1 As you will be aware from previous correspondence the Department of Justice and the Public Prosecution Service will be carrying out an assessment exercise which is the process by which Grade C/EO staff can assimilate onto the NICS Grading structure as EO1 or EO2 or equivalent. I am now launching the assessment exercise today with the intention that interviews will be held in November 2011.
- 1.2 The assessment process will comprise of three key stages - Self-Nomination, Line Manager's Assessment (LMA), and Interview.

2. Eligibility and Timetable

- 2.1 Those eligible to self-nominate will be Grade C staff who formerly worked in the NIO and EO staff who were substantive EO2s whenever the grades were amalgamated in the former Court Service in 1999.
- 2.2 Staff in the following categories do not need to put themselves forward for the assessment process as they are already considered to have met the competences of an NICS EO1:-
 - staff who were formally NICS EO1s;
 - staff who were substantive EO1s when the grades were amalgamated in 1999 or who were promoted to EO after this point in the former Court Service;
 - Former NIO Grade Cs and Court Service EOs who, in the most recent live generic competitions, met the competency standard for Staff Officer and/or DP equivalent in their respective organisations but were not listed; These staff may however, if they so wish, apply to be assessed and be placed on the Assessment Panel list in accordance with the higher of their two scores and;
 - Former NIO Grade Cs and Court Service EOs who in the most recent live generic competitions for Staff Officer and/or DP equivalent who were listed but not promoted or whose names were carried over to the list from the last generic competition but one.

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If you are not sure which group you fall into please ask us and we will be glad to help you. If you decide not to take part in the assessment process, you will be considered as EO2 (ICT Level 3) for posting purposes.

2.3 In line with the process outlined in 1.2 above, the timetable will be:

W/C 3 October	Roads shows to take place
1.00pm on 14 October	Closing Date for self-nominations
1.00 pm on 28 October	Closing Date for LMA Forms
During November	Assessment interviews to take place
December	Alphabetical List published
End of March 2012	Posts should be filled substantively

A separate note will issue outlining the arrangements for the Road shows.

3. Self-Nomination Arrangements

3.1 All staff who consider that they meet the eligibility requirements and the selection criteria/competences and who wish to participate in the assessment process must complete the self-nomination form (attached at Annex A) and forms must be returned to gradecas@dojni.x.gsi.gov.uk. Only applications made on the self-nomination form will be accepted and no other papers should be attached. An electronic version of the self nomination form can be obtained from the intranet or by contacting gradecas@dojni.x.gsi.gov.uk.

3.2 A Candidate's Brief is provided for all candidates and it is important that all candidates read this carefully. This can be obtained from the intranet or by contacting gradecas@dojni.x.gsi.gov.uk.

3.3 Your self nomination form must be signed by your line manager. The completed self-nomination form must be returned to gradecas@dojni.x.gsi.gov.uk as soon as possible and not later than **1.00pm on Friday 14 October**.

3.4 Late application of self nomination forms **will not** be accepted.

3.5 Candidates who, because of a disability, are unable to complete the self-nomination form should contact thegradecas@dojni.x.gsi.gov.uk.

4. Line Manager's Assessment

4.1 A Line Manager's Assessment (LMA) must be completed for all candidates who self-nominate to determine if they are eligible to progress to the interview stage in the assessment process. This will also contribute to the candidate's overall score.

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- 4.2 In order to be invited to the next stage of the assessment process, candidates must achieve a total LMA score of **57** (out of a possible **100**) or above in respect of all the 5 criteria in the LMA.
- 4.3 LMA Guidance and the LMA Form are available on the intranet. In addition you may wish to contact the dedicated mailbox - gradecas@dojni.x.gsi.gov.uk.
- 4.4 LMA's must be completed and returned to gradecas@dojni.x.gsi.gov.uk In view of this candidates are instructed to ask their line managers to commence the LMA process as soon as they decide to self-nominate.
- 4.5 Late submission of LMA's will not be accepted.
5. **Interview Procedures**
 - 5.1 Candidates will be interviewed by a panel consisting of 3 members and it is anticipated that the panel will be chaired by a Deputy Principal (DP). The panels whenever possible will comprise of both NICTS and other DOJ staff.
 - 5.2 Panel members will not have access to your self-nomination form, performance management reports or LMA score.
 - 5.3 Candidates will be interviewed against the selection criteria/competences for the EOI grade, as set out in the NICS Core Competence Framework. Equal weight will be applied to each of the selection criteria/competences. There is no minimum passmark for each competence. Each selection criterion/competence will be marked out of a total 30. This gives an overall maximum interview score of **150**.
 - 5.4 Staff who work part-time or job-share will be treated at interview in the same way as full-time staff. The availability of part-time/job-share posts will not be considered by the interview panel.
6. **At the end of the Interview**
 - 6.1 At the end of each interview the panel will assess the information presented by the candidate at interview against each selection criterion/competence. A score will then be allocated against each selection criterion/competence and a total interview score derived accordingly.
 - 6.2 Following the interview process your interview score will be added to the score achieved in the LMA. You should note that the interview will account for 60% of the marks available and the LMA 40%.

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7. Appeals

- 7.1 The appeals process for the LMA is set out in the Briefing Notes for Candidates.

8. Availability

- 8.1 It is intended that interviews will take place in November 2011. Candidates will be notified of details as soon as possible. It is important that candidates make every effort to be available as it may not be possible to provide an alternative time and/or date.
- 8.2 If you decide to self-nominate, but for good reason you will not be available at any time during this period, you should complete the relevant part of the self-nomination form.

9. Feedback

- 9.1 Candidates will have the opportunity to receive feedback on their performance at interview. This request for feedback should be made to the gradecas@dojni.x.gsi.gov.uk after the results of the assessment have been notified.

10. Withdrawal from the assessment

- 10.1 Candidates who withdraw from the assessment after the closing date for the receipt of the self-nomination form will not be readmitted at a later stage.

11. Contact

- 11.1 Should you have any queries please contact gradecas@dojni.x.gsi.gov.uk.

12. Conclusion

I am conscious that you have been waiting a long time for this process to start. Thank you for your patience. Please make full use of the help and guidance available to you through the Road shows, FAQs and other material. If you have any questions which we have not covered please ask.

**NORTHERN IRELAND CIVIL SERVICE
SELF-NOMINATION FORM
ASSESSMENT OF FORMER NIO GRADE Cs AND COURT SERVICE EOs
TO NICS EO1**

Name:		Telephone Number (in full):	
Department:		E-mail Address:	
Branch:		Payroll Number:	
Full Office Address:			

This form must be fully completed. No other paper should be submitted. The form should be completed clearly in black ink. The form should be signed and dated below and passed to the relevant Line Manager (i.e. for former NIO Grace C's it will be B2 or analogous or above and for EO staff in Court Service, Staff Officer or analogous or above) for signature. The signed form may be submitted electronically by scanning it and returning via the relevant Line Managers email account. Paper copies of the signed form may also be submitted.

I note that any person, or any person who assists in, knowingly or recklessly providing false information at interview, or interfering with or compromising the assessment process in any way, will be withdrawn from the assessment (where appropriate) and will face disciplinary action which may include dismissal.

I wish to nominate for the forthcoming EO1 assessment process.

Candidate's Signature: **Date:**

I have noted the individual's decision to self-nominate for this assessment.

Line Manager Signature: **Date:**

Print name: **Tel No:**

Completed Self-Nomination Forms should be returned to gradecas@dojni.x.gsi.gov.uk to arrive not later than 1.00PM on Friday 14 October

As interviews are due to commence in November I am unavailable for interview on the following date(s)/ time:

Date(s) _____
Reason _____

FINAL

From [REDACTED]

30 September 2011

To all ICT Level 3/C staff

Assessment of former NIO Grade Cs for ICT LEVEL 4

1. Introduction

1.1 As you will be aware from previous correspondence the Department of Justice and the Public Prosecution Service will be carrying out an assessment exercise which is the process by which Grade C/EO staff can assimilate onto the NICS Grading structure as ICT Level 3 or ICT Level 4. I am now launching the assessment exercise today with the intention that interviews will be held in November 2011.

1.2 The assessment process will comprise of three key stages - Self-Nomination, Line Manager's Assessment (LMA), and Interview.

2. Eligibility and Timetable

2.1.1 Those eligible to self-nominate will be Grade C/ICT Level 3 staff who formerly worked in the NIO. Staff who previously served in the NICS as a substantive ICT Level 4 will not be included in the assessment exercise.

2.1.2

2.1.3 A Promotion board to assess the suitability of candidates for promotion to ICT Level 5 was held by the Department of Finance and Personnel on behalf of all NI departments and NIO (both NICS and HCS) in September 2008. ICT Grade C staff were eligible to apply. The competition comprised of a two-stage process. The purpose of Stage 1 was to provide a pool of staff who met the competency standard for Staff Officer. Stage 2 consisted of specific vacancy notices issued by individual Departments/Agencies which focused on the specific technical skills required for individual posts. ICT Grade C staff who have successfully passed Stage 1, have applied for a Stage 2 vacancy notice and had achieved the overall competition pass mark will also be exempt from the People Assessment.

2.1.4 Both these groups of staff will remain in their existing post if it has been assessed as ICT Level 4. If their current post is not assessed as ICT Level 4, former ICT Level 4s will be transferred to an ICT Level 4 post as a priority at the first available opportunity, followed by those in the second exempt group.

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2.1.5 ICT Grade C staff who are currently on the ICT Level 5 Pool who have not applied for a Stage 2 vacancy or who have applied but not achieved the overall competition pass mark, will not be required to undergo the Grade C People assessment. If, however they wish to progress to ICT Level 4, they will have to undergo an assessment against the professional and technical competency for ICT level 4. If you are not sure which group you fall into please ask us and we will be glad to help you.

2.2 In line with the process outlined in 1.2 above, the timetable will be:

W/C 3 October	Roads shows to take place
1.00pm on 14 October	Closing Date for self-nominations
1.00 pm on 28 October	Closing Date for LMA Forms
During November	Assessment interviews to take place
December	Alphabetical List published
End of March 2011	Posts should be filled substantively

A separate note will issue outlining the arrangements for the Road shows.

2.3 You will be entitled to self nominate for the assessment exercise and as interviews are due to commence in November you should indicate on the Self Nomination Form when you **would not** be available for interview. If you decide **not to self nominate** and not participate in the assessment process you will be posted as an ICT Level 3.

3. Self-Nomination Arrangements

3.1 All staff who consider that they meet the eligibility requirements and the selection criteria/competences and who wish to participate in the ICT Level 4 assessment process must complete the self-nomination form (attached at Annex A) and return to gradecas@dojni.x.gsi.gov.uk at the address below. Only applications made on the appropriate self-nomination form will be accepted and no other papers should be attached.

3.2 You are also eligible to apply for the general administrative EO1 assessment. The details for the general competition are on the intranet. If you were successful and posted to a general administrative EO1 post, the ICT allowance will be lost immediately without mark time arrangements. If you wish to nominate for the general administrative EO1 assessment you should access and complete the appropriate self nomination form which can be found on the intranet. Self nomination forms must be completed and returned to gradecas@dojni.x.gsi.gov.uk by 1.00 pm on Friday 14 October.

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3.3 A Candidate's Brief is available on the intranet and it is important that all candidates read this carefully.

3.4 Candidates who, because of a disability, are unable to complete the self-nomination form should contact gradecas@dojni.x.gsi.gov.uk

4. Line Manager's Assessment

4.1 A Line Manager's Assessment (LMA) **must** be completed for all candidates who self-nominate to determine if they are eligible to progress to the interview stage in the assessment process. This will also contribute to the candidate's overall score.

4.2 In order to be invited to the next stage of the assessment process, candidates must achieve a total LMA score of 57 (out of a possible 100) or above in respect of all the 5 criteria in the LMA.

4.3 4.4 LMA's must be completed and returned to gradecas@dojni.x.gsi.gov.uk, by 1.00 pm on Friday 28 October. In view of this candidates are instructed to ask their line managers to commence the LMA process as soon as they decide to self-nominate.

4.5 Late submission of LMA's will not be accepted.

5. Interview Procedures

5.1 Candidates will be interviewed by a panel consisting of 3 members and it is anticipated that the panel will be chaired by _____, IS Personnel, DFP and two other members of the ICT discipline.

5.2 Panel members will not have access to your self-nomination form, performance management reports or LMA score.

5.3 Candidates will be interviewed against the selection criteria/competences for the EO1 grade and will be tested against an additional Professional and technical competence for the grade.

5.4 Staff who work part-time or job-share will be treated at interview in the same way as full-time staff. The availability of part-time/job-share posts will not be considered by the interview panel.

6. At the end of the Interview

6.1 At the end of each interview the panel will assess the information presented by the candidate at interview against each selection criterion/competence. A score will then be allocated against each

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selection criterion/competence and a total interview score derived accordingly.

- 6.2 Following the interview process your interview score will be added to the score achieved in the LMA. You should note that the interview will account for 60% of the marks available and the LMA 40%.

7. Appeals

- 7.1 The appeals process for the LMA is set out in the Briefing Notes for Candidates.

8. Availability

- 8.1 It is intended that interviews will take place in November 2011. Candidates will be notified of details as soon as possible. It is important that candidates make every effort to be available as it may not be possible to provide an alternative time and/or date.

- 8.2 If you decide to self-nominate, but for good reason you will not be available at any time during this period, you should complete the relevant part of the self-nomination form.

9. Feedback

- 9.1 Candidates will have the opportunity to receive feedback on their performance at interview. This request for feedback should be made to the gradecas@dojni.x.gsi.gov.uk after the results of the assessment have been notified.

10. Withdrawal from the assessment

- 10.1 Candidates who withdraw from the assessment after the closing date for the receipt of the self-nomination form will not be readmitted at a later stage.

11. Contact

- 11.1 Should you have any queries please contact gradecas@dojni.x.gsi.gov.uk or

**Hillview Buildings
Stormont Estate
BT4 3SG**

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12. Conclusion

I am conscious that you have been waiting a long time for this process to start. Thank you for your patience. Please make full use of the help and guidance available to you through the Road shows, FAQs and other material. If you have any questions which we have not covered please ask.

[REDACTED]

[REDACTED]

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ANNEX A

**NORTHERN IRELAND CIVIL SERVICE
SELF-NOMINATION FORM
ASSESSMENT OF FORMER NIO GRADE Cs TO ICT LEVEL 4**

Name:		Telephone Number (in full):	
Department:		E-mail Address:	
Branch:		Payroll Number:	
Full Office Address:			

This form must be fully completed. No other paper should be submitted.

The form should be completed clearly in black ink. The form should be signed and dated below and passed to the relevant Line Manager (i.e. for former NIO Grade C's it will be B2 or analogous or above and for EO staff in Court Service, Staff Officer or analogous or above) for signature. **The signed form may be submitted electronically by scanning it and returning via the relevant Line Managers email account. Paper copies of the signed form may also be submitted.**

I note that any person, or any person who assists in, knowingly or recklessly providing false information at interview, or interfering with or compromising the assessment process in any way, will be withdrawn from the assessment (where appropriate) and will face disciplinary action which may include dismissal.

I wish to nominate for the forthcoming EOI assessment process.

Candidate's Signature: **Date:**

I have noted the individual's decision to self-nominate for this assessment.

Line Manager Signature: **Date:**

Print name: **Tel No:**

Completed Self-Nomination Forms should be returned to gradecas@dojni.x.qsi.gov.uk [REDACTED], Hillview Buildings, Stormont Estate, BT4 3SG to arrive not later than 1.00PM on Friday 14 October. As interviews are due to commence in November I am unavailable for interview on the following date(s)/ time:

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**Date(s)
Reason**

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NORTHERN IRELAND CIVIL SERVICE
SELF-NOMINATION FORM
ASSESSMENT OF FORMER NIO GRADE Cs AND COURT SERVICE EOs
TO NICS EOI

Name:		Telephone Number (in full):	
Department:		E-mail Address:	
Branch:		Payroll Number:	
Full Office Address:			

This form must be fully completed. No other paper should be submitted.

The form should be completed clearly in black ink. The form should be signed and dated below and passed to the relevant Line Manager (i.e. for former NIO Grace C's it will be B2 or analogous or above and for EO staff in Court Service Staff Officer or analogous or above) for signature. The signed form may be submitted electronically by scanning it and returning via the relevant Line Managers email account. Paper copies of the signed form may also be submitted.

I note that any person, or any person who assists in, knowingly or recklessly providing false information at interview, or interfering with or compromising the assessment process in any way, will be withdrawn from the assessment (where appropriate) and will face disciplinary action which may include dismissal.

I wish to nominate for the forthcoming EOI assessment process.

Candidate's Signature: **Date:**

I have noted the individual's decision to self-nominate for this assessment.

Line Manager Signature: **Date:**

Print name: **Tel No:**

Completed Self-Nomination Forms should be returned to gradecas@dojni.x.gsi.gov.uk to arrive not later than 1.00PM on Friday 14 October

As interviews are due to commence in November I am unavailable for interview on the following date(s)/ time:

Date(s) _____
Reason _____

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NORTHERN IRELAND CIVIL SERVICE
SELF-NOMINATION FORM
ASSESSMENT OF FORMER NIO GRADE Cs AND COURT SERVICE EOs
TO NICS EOI

Name:		Telephone Number (in full):	
Department:		E-mail Address:	
Branch:		Payroll Number:	
Full Office Address:			

This form must be fully completed. No other paper should be submitted.

The form should be completed clearly in black ink. The form should be signed and dated below and passed to the relevant Line Manager (i.e. for former NIO Grace C's it will be B2 or analogous or above and for EO staff in Court Service Staff Officer or analogous or above) for signature. **The signed form may be submitted electronically by scanning it and returning via the relevant Line Managers email account. Paper copies of the signed form may also be submitted.**

I note that any person, or any person who assists in, knowingly or recklessly providing false information at interview, or interfering with or compromising the assessment process in any way, will be withdrawn from the assessment (where appropriate) and will face disciplinary action which may include dismissal.

I wish to nominate for the forthcoming EOI assessment process.

Candidate's Signature: **Date:**

I have noted the individual's decision to self-nominate for this assessment.

Line Manager Signature: **Date:**

Print name: **Tel No:**

Completed Self-Nomination Forms should be returned to gradecas@dojni.x.gsi.gov.uk to arrive not later than 1.00PM on Friday 14 October

As interviews are due to commence in November I am unavailable for interview on the following date(s)/ time:

Date(s) _____
Reason _____

FINAL

**NORTHERN IRELAND CIVIL SERVICE
SELF-NOMINATION FORM
ASSESSMENT OF FORMER NIO GRADE ICT Cs TO NICS ICT LEVEL 4**

Name:		Telephone Number (in full):	
Department:		E-mail Address:	
Branch:		Payroll Number:	
Full Office Address:			

This form must be fully completed. No other paper should be submitted.

The form should be completed clearly in black ink. The form should be signed and dated below and passed to the relevant Line Manager (i.e. for former NIO Grace C's it will be B2 or analogous or above and for EO staff in Court Service, Staff Officer or analogous or above) for signature. The signed form may be submitted electronically by scanning it and returning via the relevant Line Managers email account. Paper copies of the signed form may also be submitted.

I note that any person, or any person who assists in, knowingly or recklessly providing false information at interview, or interfering with or compromising the assessment process in any way, will be withdrawn from the assessment (where appropriate) and will face disciplinary action which may include dismissal.

I wish to nominate for the forthcoming EOI assessment process.

Candidate's Signature: **Date:**

I have noted the individual's decision to self-nominate for this assessment.

Line Manager Signature: **Date:**

Print name: **Tel No:**

Completed Self-Nomination Forms should be returned to gradecas@doini.x.qsi.gov.uk. And arrive not later than 1.00PM on Friday 14 October

As interviews are due to commence in November I am unavailable for interview on the following date(s)/ time:

Date(s) _____
Reason _____

**FINAL
RESTRICTED STAFF**

**LINE MANAGER'S ASSESSMENT FOR FORMER NIO GRADE C AND COURT
SERVICE EO STAFF FOR EO1**

NAME OF CANDIDATE:	
PAYROLL No:	GRADE:
DEPARTMENT/AGENCY:	
BRANCH NAME & ADDRESS:	
NAME(S) OF ASSESSING MANAGER(S)	

FINAL LMA SCORE:

Signed
Line Manager: _____ **Date:** _____

Print Name: _____

Signed
Countersign. _____ **Date:** _____
Officer:

Print Name: _____

I agree / *do not agree with the assessment – (*please complete Action Sheet at Annex A)

Signed
Candidate: _____ **Date:** _____

Print Name: _____

Please forward completed forms to
gradecas@dojni.x.gsi.gov.uk

**FINAL
RESTRICTED STAFF**

Candidate's Name: _____ Payroll Number: _____

LINE MANAGER'S ASSESSMENT OF CAPABILITY

Line Managers and Countersigning Officers must have read the LMA guidance on completion of the LMA form and have been informed of the process and of their roles and responsibilities by the Monitoring Officer prior to completion

SELECTION CRITERIA/COMPETENCIES FOR EOI	MARK	BRIEF SUMMARY OF EVIDENCE LINE MANAGER HAS TAKEN INTO ACCOUNT
SERVICES	<u>20</u>	
PEOPLE	<u>20</u>	
RESOURCES	<u>20</u>	

**FINAL
RESTRICTED STAFF**

Candidate's Name: _____ Payroll Number: _____

**INFORMATION AND
COMMUNICATION**

20

**PROGRAMME AND PROJECT
MANAGEMENT**

20

Total Score (out of 100)

Please ensure all pages of the LMA are returned to gradecas@dojni.x.gsi.gov.uk when the assessment process is completed.

NOTE: Where there has been a disagreement over the LMA score the LMA Action Sheet must be completed and returned to address above as soon as possible.

**FINAL
RESTRICTED STAFF**

LMA ACTION SHEET - ANNEX A

Candidate's Name: _____ Payroll Number: _____

PART A: LMA SCORE DISAGREED		Tick as appropriate	
INITIAL LMA SCORE			
DISAGREED – NOT APPEALED		Y/N	
DISAGREED – APPEAL TO COUNTERSIGNING OFFICER <i>(Copy to gradecas@dojni.x.gsi.gov.uk)</i>			
Payroll No.			
Signed Candidate:		Date:	
Print Name:			
Signed Line Manager:		Date:	
Print Name:			
PART B: APPEAL TO COUNTERSIGNING OFFICER		Tick as appropriate	
UPHELD - REVISED LMA SCORE:			
DISALLOWED – NO FURTHER APPEAL			
DISALLOWED – APPEAL TO MONITORING OFFICER <i>(Copy to gradecas@dojni.x.gsi.gov.uk)</i>			
Signed Candidate:		Date:	
Print Name:			
Countersign. Officer:		Date:	
Print Name:			
PART C: APPEAL TO MONITORING OFFICER		Tick as appropriate	
UPHELD - REVISED LMA SCORE:			
DISALLOWED – NO FURTHER APPEAL			
DISALLOWED – APPEALED TO PERSONNEL OFFICER <i>(Copy to gradecas@dojni.x.gsi.gov.uk)</i>			
Signed Candidate:		Date:	
Print Name:			
Countersign. Officer:		Date:	
Print Name:			

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**ASSESSMENT OF FORMER NIO GRADE Cs AND
COURT SERVICE EOs FOR EXECUTIVE OFFICER 1
AND ICT LEVEL 4**

LINE MANAGERS ASSESSMENT

Guidance for Managers

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LINE MANAGER'S ASSESSMENT

1. Introduction

- 1.1 A Line Manager's Assessment is used as part of the overall assessment process and should be completed for all staff who self-nominate to determine if they are suitable for the EO1 grade and ICT Level 4.
- 1.2 The LMA is based on the selection criteria/competences for Executive Officer 1 as detailed in the NICS Core Competence Framework. In order to be invited to the next stage of the assessment process, candidates must achieve a total LMA score of 57 (out of a possible 100) or above in respect of all the 5 criteria in the LMA.
- 1.3 You should use the completion of the LMA and subsequent discussion with the candidate as an opportunity to assist in their preparation for the interview and ensure they are not intimidated by the terminology. For example, you might describe that a "project" is a task with a start date, milestones and an end date with the evaluation of the success of the task and lessons learned being considered at completion – formal project management tools and methodology are often not required.

2. Line Managers Assessment Process

- 2.1 The LMA is focused on the extent to which you have displayed evidence of capability of performing effectively at the Executive Officer 1 grade. It is not necessarily about your effectiveness in your current grade. This distinction is fundamental to the assessment process.
- 2.2 If the current Line Manager did not manage the candidate through all of the 12 months prior to this assessment, he/she should confer with the candidate's previous Line Manager(s) and arrive at an agreed assessment. In these instances a decision may be made as to the most appropriate person to complete the LMA (Annex A). The signed form may be submitted electronically by scanning it and returning via the relevant Line Managers email account. Paper copies of the signed form may also be submitted.
- 2.3 If the Line Manager is unable to score a selection criterion/competence because the candidate has not had the opportunity to demonstrate capability in that particular area, he/she should take into account the candidate's involvement in other relevant work/activities and examine these to determine if the candidate has demonstrated the necessary behaviours to enable the selection criterion/competence to be scored. If the Line Manager is still unable to score a criterion/competence, he/she should consult with the candidate's previous Line Manager to

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determine if the candidate formerly had the opportunity to demonstrate capability and arrive at an agreed assessment. In all circumstances it is important that the evidence that has been taken into account, to allow the Line Manager to score the selection criterion/competence, is recorded on the LMA.

- 2.4 Candidates are assessed using the selection criteria/competences for Executive Officer 1, and the completed LMA should be copied to the candidate within 10 working days of the Line Manager having received it. Assessment by Line Manager is facilitated by the following step-by-step process:-

Read the performance criteria for each selection criterion/competence as set out in Annex B.

- i. For each selection criterion/competence, you should consider the candidate's work and behaviour. Think about the evidence that you (or a previous Line Manager(s), if appropriate) have observed the candidate undertaking and displaying in relation to the selection criteria/competences. Consider only what has been observed and can be described. Avoid drawing inferences from peripheral events or hearsay evidence.
 - ii. In considering each selection criterion/competence, please note that the candidate is not expected to have displayed capability of all of the selection criteria/competences, only those which are relevant to his/her post. The Line Manager should, however, score the candidate based on whatever evidence is available. This may require the Line Manager to examine other activities the candidate has been involved in, or consult a previous Line Manager to determine if the candidate has displayed the behaviours.
 - iii. Consider whether these demonstrate capability to perform effectively at Executive Officer 1 (not in the current grade) and use the rating scale on the following page to determine the assessment of the candidate.
 - iv. When you have rated each of the selection criteria/competences using the rating scale, then the total score should be calculated.
 - v. Finally, when you have completed the assessment, the results should be reviewed to ensure all sections have been completed.
- 2.5 The LMA is completed by the relevant Line Manager and countersigned by the next Line Manager. The Monitoring Officer (ie the next Line Manager above the Countersigning Officer) must be satisfied that all those involved in the completion of LMAs within his/her area of responsibility have a common understanding of the process and of their roles and responsibilities. This should involve the Monitoring Officer organising reporting style conferences.

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Rating	Brief Descriptor	Capability to Perform at Executive Officer 1
20	Outstanding	Candidate is capable of consistently exceeding the requirements for effective performance at Executive Officer 1 to the extent that he/she would demonstrate the selection criterion/competence to an exceptional degree.
17-19	Very Good	Candidate is capable of frequently exceeding the requirements for effective performance at Executive Officer 1 to the extent that he/she would demonstrate the selection criterion/competence to a very high degree.
14-16	Good	Candidate is capable of meeting, and in some cases exceeding, the requirements for effective performance at Executive Officer 1 to the extent that he/she would demonstrate the selection criterion/competence to a high degree.
11.4-13	Acceptable	Candidate is capable of meeting the requirements for effective performance at Executive Officer 1 to the extent that he/she would demonstrate the selection criterion/competence to an acceptable degree.
8-11.3	Just Below Standard	Candidate is capable of only partially meeting the requirements for effective performance at Executive Officer 1, but with continued development, may demonstrate the selection criterion/competence satisfactorily.
4-7	Not Yet Acceptable	Candidate is not capable of meeting the requirements for effective performance at Executive Officer 1 and requires significant further development to demonstrate the selection criterion/competence satisfactorily.
1-3	Not Acceptable	Candidate's capability falls well below the requirements required for effective performance at Executive Officer 1 and is unlikely to demonstrate the selection criterion/competence satisfactorily without a great deal of further development.

3. The Role of Managers

3.1 The Reporting Officer must have read the written briefing on the completion of the Line Manager's Assessment (LMA) form and have been informed of the process and of their roles and responsibilities by the Monitoring Officer prior to the completion of the LMAs. The Reporting Officer must:-

- complete the LMA in line with the guidance notes provided, forward to the Countersigning Officer and return to the candidate within 10 working days;
- be prepared to use all of the ratings/scores available;

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- base his/her assessment on evidence of the candidate's capability to perform effectively at the next higher level. It is not about effectiveness at the current level;
- ensure that the assessment has been completed fairly and accurately and that a consistent approach has been applied throughout the assessment;
- have evidence to justify the rating/scores awarded;
- discuss and, where possible, agree the assessment with the Countersigning Officer;
- pass a copy of the completed LMA to the candidate and arrange a meeting to take place within 5 working days to discuss and agree the content of the LMA and, where necessary, attempt to resolve any differences of opinion;
- ensure that if agreement is reached, the candidate signs the LMA, and the Reporting Officer returns it to Personnel Branch. If the LMA is not agreed and the candidate decides to pursue a formal grievance the Line Manager should advise Personnel that this is the case.
- ensure that if agreement cannot be reached the candidate is advised of their recourse to the formal Grievance Procedure.

3.2 The **Countersigning Officer** is defined as the next Line Manager, above the Reporting Officer, in the candidate's Line Management chain. Countersigning Officers must have received written briefing on completion of the LMA form and have been informed of the process and of their roles and responsibilities by the Monitoring Officer prior to the completion of the LMAs. The Countersigning Officer must:-

- meet with the Reporting Officer(s) for whom they have responsibility prior to the completion of the LMA to discuss the assessment and to ensure a consistent approach is adopted;
- ensure that Reporting Officers carry out their assessments in a timely, effective and fair manner and that a consistent approach has been applied throughout the assessment;
- discuss and, where possible, agree the assessment with the Reporting Officer; and
- ensure that where the Reporting Officer and Countersigning Officer fail to reach an agreement, the Countersigning Officer should record his/her markings on the LMA. The Countersigning Officer's markings will prevail;

3.3 The **Monitoring Officer** is defined as the next Line Manager and should be at least one grade above the Countersigning Officer. The

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Monitoring Officer must have received written briefing on the completion of the LMA form. The Monitoring Officer must:-

- be satisfied that all those involved in the completion of LMAs have a common understanding of the process and of their roles and responsibilities. This should involve the Monitoring Officer organising reporting style conferences;

4. Appeals Process

- 4.1 If after discussion with the Line Manager the candidate considers that one or more of the ratings are an inaccurate assessment, he/she can have the right of appeal as outlined in the following paragraph.

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5. Appeals Process and Summary Timetable

Step	Action	Working Days
1	LMA issued by Departmental HR (DHR) to be completed and copied to the candidate within 10 working days.	10
2	Line Manager will arrange a meeting with the candidate to discuss and agree the content of the LMA within 5 working days (a). If LMA agreed, return completed form to DHR. If LMA not agreed advise candidate of right of appeal. If no appeal received with Countersigning Officer within 5 working days (b), return completed LMA to DHR. If an appeal is received, the Line Manager should advise DHR as soon as possible that the candidate is appealing the LMA.	(a) 5
		(b) 5
3	Countersigning Officer will deal with the appeal and inform the candidate of outcome of appeal within 10 working days. If LMA agreed return completed LMA to DHR. If no appeal received within 5 working days, return LMA to DHR.	10
4	Candidate can appeal to the Monitoring Officer within 5 working days.	5
5	Monitoring Officer will inform the candidate of outcome of appeal within 15 working days and return completed LMA to DHR.	15
	Total	50
6	Candidate can write to DHR.	

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TIMESCALES SHOULD BE STRICTLY ADHERED TO.

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ANNEX A

**LINE MANAGER'S ASSESSMENT FOR FORMER NIO GRADE C/ICT AND
COURT SERVICE EO STAFF FOR EOI**

NAME OF CANDIDATE:	
PAYROLL No:	GRADE:
DEPARTMENT/AGENCY:	
BRANCH NAME & ADDRESS:	
NAME(S) OF ASSESSING MANAGER(S)	

FINAL LMA SCORE:

Signed Line Manager: _____ **Date:** _____

Print Name: _____

Signed Countersign. Officer: _____ **Date:** _____

Print Name: _____

I agree / *do not agree with the assessment – (*please complete Action Sheet at Annex A)

Signed Candidate: _____ **Date:** _____

Print Name: _____

Please forward completed forms to

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Candidate's Name: _____ Payroll Number:

LINE MANAGER'S ASSESSMENT OF CAPABILITY

Line Managers and Countersigning Officers must have read the LMA guidance on completion of the LMA form and have been informed of the process and of their roles and responsibilities by the Monitoring Officer prior to completion

SELECTION CRITERIA/COMPETENCIES FOR EOI	MARK	BRIEF SUMMARY OF EVIDENCE LINE MANAGER HAS TAKEN INTO ACCOUNT
SERVICES	<u>20</u>	
PEOPLE	<u>20</u>	
RESOURCES	<u>20</u>	

FINAL

Candidate's Name: _____ Payroll Number: _____		
INFORMATION AND COMMUNICATION	<u>20</u>	
PROGRAMME AND PROJECT MANAGEMENT	<u>20</u>	

Total Score (out of 100)	
---------------------------------	--

Please ensure all pages of the LMA are returned to gradecas@dojni.x.gsi.gov.uk when the assessment process is completed.

NOTE: Where there has been a disagreement over the LMA score the LMA Action Sheet must be completed and returned to address above as soon as possible.

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LMA ACTION SHEET - ANNEX A			
Candidate's Name: _____		Payroll Number: _____	
PART A: LMA SCORE DISAGREED			Tick as appropriate
INITIAL LMA SCORE			
DISAGREED – NOT APPEALED			Y/N
DISAGREED – APPEAL TO COUNTERSIGNING OFFICER <i>(Copy to gradecas@dojni.x.gsi.gov.uk)</i>			
Payroll No.			
Signed Candidate:		Date:	
Print Name:			
Signed Line Manager:		Date:	
Print Name:			
PART B: APPEAL TO COUNTERSIGNING OFFICER			Tick as appropriate
UPHELD - REVISED LMA SCORE:			
DISALLOWED – NO FURTHER APPEAL			
DISALLOWED – APPEAL TO MONITORING OFFICER <i>(Copy to gradecas@dojni.x.gsi.gov.uk)</i>			
Signed Candidate:		Date:	
Print Name:			
Countersign. Officer:		Date:	
Print Name:			
PART C: APPEAL TO MONITORING OFFICER			Tick as appropriate
UPHELD - REVISED LMA SCORE:			
DISALLOWED – NO FURTHER APPEAL			
DISALLOWED – APPEALED TO PERSONNEL OFFICER <i>(Copy to gradecas@dojni.x.gsi.gov.uk)</i>			
Signed Candidate:		Date:	
Print Name:			
Countersign. Officer:		Date:	
Print Name:			

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ANNEX B

**EXTRACT FROM THE CORE COMPETENCY
FRAMEWORK**

**EXECUTIVE OFFICER I AND II
& ANALOGOUS GRADES**

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1. Services

UNIT OF COMPETENCE

1.1 Deliver and maintain services.

OVERVIEW

This unit is about ensuring activities meet the requirements of the Branch and its customers. It is about delivering and maintaining day to day operations and involves looking for ways to improve work activities.

PERFORMANCE CRITERIA

- (a) Agrees requirements with customers and explains expected standards of service to staff.
- (b) Ensures work activities and services delivered satisfy organisational quality and cost requirements and improves services to satisfy customer requirements in line with current legislation and internal policies and procedures.
- (c) Makes full use of the Department's computer system to assist delivery of services to the customer.
- (d) Notes factors which may cause operations to be disrupted or are obstacles to improvement and takes appropriate measures to minimise their effect. Implements corrective action without delay and informs appropriate staff and customers of any changes which affect them.

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1. Services

UNIT OF COMPETENCE

1.2 Contribute to the planning and implementation of changes in services, operations and systems to meet customer needs.

OVERVIEW

This unit refers to the ability to identify and make recommendations for improvements in service delivery, taking account of the needs of customers and about communicating these changes appropriately.

PERFORMANCE CRITERIA

- (a) Assesses feedback from customers and proposals for improvements and passes these on to the appropriate person with a reasoned evaluation.**
- (b) Implements changes in services, products and systems and communicates relevant details of implementation plan promptly to those concerned.**
- (c) Clearly sets out objectives and performance measures prior to the implementation of change and reviews such changes accordingly.**

FINAL

2. Resources

UNIT OF COMPETENCE

2.1 Contribute to the planning, allocation, monitoring, evaluation and control of resources.

OVERVIEW

This unit is about planning and using resources effectively and efficiently.

PERFORMANCE CRITERIA

- (a) Produces recommendations and plans which indicate clearly the benefits to be achieved from the effective use of resources and comply with organisational policies, customer and legal requirements.
- (b) Monitors trends and changes and where actual use of resources deviate from that planned, takes prompt corrective action. Passes on recommendations for improving resource usage to the relevant people.
- (c) Monitors quality of resources and maintains consistency in product.

FINAL

3. People

UNIT OF COMPETENCE

3.1 Contribute to the development of teams and individuals to encourage innovation and improve performance.

OVERVIEW

This unit is about making a contribution to developing the knowledge and skills of the team to ensure that they produce the best possible results. It is about helping to identify the development needs of the team and its members, planning to meet these needs and actioning appropriate development activities to improve team performance.

PERFORMANCE CRITERIA

- (a) Identifies staff's development needs and associated training required and ensures needs identified are consistent with team objectives.**
- (b) Ensures plans reflect the identified development needs of staff.**
- (c) Makes arrangements for the delivery of appropriate and cost effective training and development taking account of existing knowledge and skills and Branch requirements.**
- (d) Monitors post-training progress of individuals and teams and evaluates training against its original objectives and business requirements.**
- (e) Provides all staff with equality of opportunity to develop themselves to improve performance to meet business objectives.**
- (f) Motivates and enables all staff to participate in improvement activities.**
- (g) Provides opportunities that stimulate involvement and supports innovative and creative behaviour.**

FINAL

3. People

UNIT OF COMPETENCE

3.2 Plan, allocate, monitor and evaluate work carried out by teams, individuals and self.

OVERVIEW

This unit is about making the best use of the team and its members so that they can achieve work objectives. It includes allocating work, agreeing objectives and setting out plans. It also involves monitoring and evaluating the work of the team and its members and providing feedback to them on their performance.

PERFORMANCE CRITERIA

- (a) Allocates and delegates work to optimise the use of available resources and existing competence of staff and ensures that Departmental objectives and priorities are achieved.
- (b) Regularly updates work objectives with the relevant individuals to take into account individual, team and organisational changes. Defines and communicates team and individual objectives and standards of performance.
- (c) Gives timely feedback, in sufficient detail, on progress and work performance in a manner, level and pace appropriate to the individual/team. Feedback recognises performance and achievement, offers constructive suggestions and encouragement for improved future performance.
- (d) Identifies poor performance in a timely manner and brings it to the attention of the member of staff concerned and agrees an appropriate course of action.

FINAL

3. People

UNIT OF COMPETENCE

3.3 Create, maintain and enhance effective working relationships.

OVERVIEW

This unit is about developing, maintaining and enhancing effective working relationship with customers, colleagues and other stakeholders. It also involves minimising the potential for conflict and dealing with conflict should it arise.

PERFORMANCE CRITERIA

- (a) Takes time to establish and maintain honest and constructive working relationships with customers, colleagues and other stakeholders. Shows sensitivity towards others makes and honours promises and undertakings to others.**
- (b) Provides opportunities for customers, colleagues and other stakeholders to discuss challenges or issues, encouraging them to offer their views and ideas and assists staff to contribute to the decision making process.**
- (c) Deals with any difference of opinion in a way which avoids offence and maintains respect. Promptly identifies conflict with and between staff and takes action to resolve it.**
- (d) Actions and records employment or customer related matters in compliance with organisational and legal requirements.**

FINAL

3. People

UNIT OF COMPETENCE

3.4 Contribute to the assessment of own development and develop self to improve job performance and fulfil future potential.

OVERVIEW

This unit is about developing knowledge and skills to meet objectives and improve performance. This involves assessing current performance, identifying and agreeing development needs and objectives and taking action to have the need met.

PERFORMANCE CRITERIA

- (a) Establishes current level of competence and identifies development needs linked to business requirements.**
- (b) Sets personal development objectives which are realistic, achievable and challenging in terms of anticipated competence and updates these at regular intervals with line manager.**
- (c) Undertakes appropriate and agreed training and development activities to achieve agreed objectives.**
- (d) Leads by example, demonstrating the importance of development by scheduling time for development activities.**
- (e) Compares feedback with own perceptions of performance and uses it to improve future performance.**

FINAL

4. Information and Communication

UNIT OF COMPETENCE

4.1 Seek, evaluate and communicate information in a clear, concise, relevant and timely manner to meet customer needs.

OVERVIEW

This unit is about the efficient management of information within your area of responsibility. It covers gathering the information you need and communicating information and advice to others in a way that is easily understood, is timely and has considered the audience in the communication process.

PERFORMANCE CRITERIA

- (a) Accurately identifies appropriate information requirements, collects information on time, uses and provides information to meet customer needs.
- (b) Uses sources of information effectively and reviews information regularly for sufficient, accurate and reliability. Considers alternative information sources.
- (c) Collects accurate and relevant information and updates information according to organisational requirements.
- (d) Records, stores information in such a way that is can be retrieved promptly. Uses accepted formats, systems and procedures.
- (e) Identifies inadequacies in information and obtains additional information.
- (f) Communicates clearly and concisely both orally and in writing. Tailors communication methods to the needs of the customer/audience.
- (g) Displays good listening skills, checking and clarifying during face to face communication.
- (h) Uses IT systems to improve information and communication processes.

FINAL

4. Information and Communication

UNIT OF COMPETENCE

4.2 Analyse and exchange information to solve problems, make decisions, influence and gain the commitment of others.

OVERVIEW

This unit is about effective two-way communication, ensuring that the content of the message is accurate and conveys all necessary points, enhancing the decision-making process to meet organisational needs.

PERFORMANCE CRITERIA

- (a) Presents current, relevant, accurate and concise oral and written advice and information.
- (b) Identifies the purpose of communication, presents advice and information in a manner which promotes understanding so that the message is conveyed effectively to the appropriate people.
- (c) Supports advice by reasoned argument and evidence that is consistent with organisational policies.
- (d) Demonstrates the capacity to actively listen and respond to the needs of others by acknowledging their contributions and discussing these constructively.
- (e) Clearly identifies what information is required and supplies relevant information in the form requested.
- (f) Uses information to support decisions, influence and gain the commitment of others.
- (g) Uses persuasive arguments to influence others to accept a different point of view.

5. Programme & Project Management

UNIT OF COMPETENCE

5.1 Contributes to the delivery of projects.

OVERVIEW

This unit is about contributing to the successful delivery of a specific project within timescales and to budget.

PERFORMANCE CRITERIA

- (a) Manages production of Programme and Project Management documentation.**
- (b) Uses Programme and Project Management techniques to clearly define tasks, and track progress against key performance indicators.**
- (c) Communicates the performance measures and methods for monitoring, assessing and reviewing the progress of the project to the relevant stakeholders, ensuring peer reviews are organised in line with organisational requirements.**
- (d) Engages with experts and stakeholders when required as part of the project.**

5. Programme & Project Management

UNIT OF COMPETENCE

5.2 Contributes to the evaluation of the success of a Project.

OVERVIEW

This unit is about contributing to the evaluation of the success of a project, ensuring all knowledge is captured and documented to inform future similar projects.

PERFORMANCE CRITERIA

- (a) Contributes to the evaluation of key successes and challenges of the project.
- (b) Supports the identification of the key lessons learnt from the project, analysing risks that were realised and their impact.
- (c) Ensures the successes, challenges and lessons learnt are documented using Programme and Project Management agreed documentation and appropriately stored for future use.
- (d) Supports the communication of success, challenges and lessons learnt to the appropriate stakeholders.

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**GRADE C/EO - PEOPLE ASSESSMENT
LMA APPEAL/TIMESCALE SUMMARY**

Step	Action	Working Days
1	LMA issued by Departmental HR (DHR) to be completed and copied to the candidate within 10 working days.	10
2	Line Manager will arrange a meeting with the candidate to discuss and agree the content of the LMA within 5 working days (a). If LMA agreed, return completed form to DHR. If LMA not agreed advise candidate of right of appeal. If no appeal received with Countersigning Officer within 5 working days (b), return completed LMA to DHR. If an appeal is received, the Line Manager should advise DHR as soon as possible that the candidate is appealing the LMA.	(a) 5
		(b) 5
3	Countersigning Officer will deal with the appeal and inform the candidate of outcome of appeal within 10 working days. If LMA agreed return completed LMA to DHR. If no appeal received within 5 working days, return LMA to DHR.	10
4	Candidate can appeal to the Monitoring Officer within 5 working days.	5
5	Monitoring Officer will inform the candidate of outcome of appeal within 15 working days and return completed LMA to DHR.	15
	Total	50
6	Candidate can write to DHR.	

TIMESCALES SHOULD BE STRICTLY ADHERED TO.

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People Assessment for EO I

LMA RATINGS GUIDE

Rating	Brief Descriptor	Capability to Perform at Executive Officer I
20	Outstanding	Candidate is capable of consistently exceeding the requirements for effective performance at the Executive Officer I grade to the extent that he/she would demonstrate the selection criterion/competence to an exceptional degree.
17-19	Very Good	Candidate is capable of frequently exceeding the requirements for effective performance at the Executive Officer I grade to the extent that he/she would demonstrate the selection criterion/competence to a very high degree.
14-16	Good	Candidate is capable of meeting, and in some cases exceeding, the requirements for effective performance at the Executive Officer I grade to the extent that he/she would demonstrate the selection criterion/competence to a high degree.
11.4-13	Acceptable	Candidate is capable of meeting the requirements for effective performance at the Executive Officer I grade to the extent that he/she would demonstrate the selection criterion/competence to an acceptable degree.
8-11.3	Just Below Standard	Candidate is capable of only partially meeting the requirements for effective performance at the Executive Officer I grade, but with continued development, may demonstrate the selection criterion/competence satisfactorily.
4-7	Not Yet Acceptable	Candidate is not capable of meeting the requirements for effective performance at the Executive Officer I grade and requires significant further development to demonstrate the selection criterion/competence satisfactorily.
1-3	Not Acceptable	Candidate's capability falls well below the requirements required for effective performance at the Executive Officer I grade and is unlikely to demonstrate the selection criterion/competence satisfactorily without a great deal of further development.

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BRIEFING NOTES FOR CANDIDATES

**ASSESSMENT OF
FORMER NIO GRADE Cs and COURT SERVICE EOs
FOR EXECUTIVE OFFICER I and ICT LEVEL 4**

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BRIEFING NOTES FOR CANDIDATES

These notes provide guidance for candidates wishing to self-nominate for assessment as Executive Officer I grade.

Briefing is provided on the following:

- 1. Self-Nomination Process**
- 2. Line Manager's Assessment**
- 3. Interview Process**
- 4. Overall Scoring Process**
- 5. ICT Staff**

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1. SELF-NOMINATION PROCESS

- 1.1** The purpose of the self-nomination stage is for you to consider in the first instance, whether or not you meet the specified assessment criteria/competences for the Executive Officer I grade and secondly, for you to indicate your intention to participate in the process. You should note that if you are eligible to apply for this assessment and either decide not to self-nominate or fail to reach the required standard you will automatically become an Executive Officer II for posting purposes.
- 1.2** If you consider that you meet the eligibility requirements and the specified assessment criteria/competences you can self-nominate to be considered for Executive Officer I grade by completing and returning the self-nomination form.
- 1.3** Completed forms must be forwarded via your line manager in order to let them know you have nominated yourself for assessment and that they will be required to complete a Line Manager's Assessment.

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2. LINE MANAGER'S ASSESSMENT

2.1 Introduction

- 2.1.1 A Line Manager's Assessment (LMA) is used as part of the overall assessment process and must be completed for everyone who is eligible for assessment and has self-nominated.
- 2.1.2 The LMA is based on the assessment criteria/competences for the Executive Officer I grade and is scored out of a maximum of 100. For you to be eligible to progress to the interview stage you must achieve a total LMA score of 57 or above.

2.2 LMA Assessment Process

- 2.2.1 The LMA is focused on the extent to which you have displayed evidence of capability of performing effectively at the Executive Officer I grade. It is not necessarily about your effectiveness in your current grade. This distinction is fundamental to the assessment process.
- 2.2.2 If your current Line Manager did not manage you through all of the 12 months prior to this assessment, he/she should confer with your previous Line Manager(s) and arrive at an agreed assessment. In these instances a decision may be made as to the most appropriate person to complete the LMA.
- 2.2.3 If your Line Manager is unable to score an assessment criterion/competence because you have not had the opportunity to demonstrate capability in that particular area, he/she should take into account your involvement in other relevant work/activities and examine these to determine if you have demonstrated the necessary behaviours to enable the assessment criterion/competence to be scored. If your Line Manager is still unable to score an assessment criterion/competence, he/she should consult with your previous Line Manager to determine if you formerly had the opportunity to demonstrate capability, and arrive at an agreed assessment. In all circumstances it is important that the evidence that has been taken into account, to allow your Line Manager to score the assessment criterion/competence, is recorded on your LMA.
- 2.2.4 You are assessed using the assessment criteria/competences for the Executive Officer I grade, and the LMA should be completed and copied to you.
- 2.2.5 In deciding whether you demonstrate the capability to perform effectively at the Executive Officer I grade, your line manager will use the NICS Core Competence Framework, in conjunction with the rating guide at Annex A, to determine a rating for each criterion.

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2.2.6 Your LMA will normally be completed by your relevant Line Manager and will be countersigned by the next Line Manager. The Monitoring Officer (i.e. the next Line Manager above the Countersigning Officer) must be satisfied that all those involved in the completion of LMAs within his/her area of responsibility have a common understanding of the process and of their roles and responsibilities. This should involve the Monitoring Officer organising reporting style conferences.

2.3 Appeals Process and Summary Timetable

2.3.1 If after discussion with your Line Manager you consider that one or more of the ratings are an inaccurate assessment, you can appeal to the Countersigning Officer within 5 working days of the date your Line Manager discussed your LMA with you.

2.3.2 Your appeal must be in writing and must contain specific evidence to support why you consider that a higher rating is appropriate. The Countersigning Officer (or equivalent) will decide whether or not your appeal should be upheld and will inform you in writing of the outcome within 10 working days of receipt.

2.3.3 If the Countersigning Officer feels that, having considered the evidence you have submitted, a higher marking should be awarded they should discuss this with the Reporting Officer and if necessary amend your LMA. The Countersigning Officer has the overriding right to amend your LMA if he/she considers it appropriate to do so.

2.3.4 If any areas of disagreement still exist you can formally appeal to the Monitoring Officer, or where appropriate the next Line Manager, in writing within 5 working days of receiving the outcome of your appeal from the Countersigning Officer. Your appeal must contain specific evidence to support why you consider a higher rating is appropriate. At this stage of the appeals process you can also request an interview with the Monitoring Officer.

If you do not request an interview, the Monitoring Officer may decide to interview you to ensure the following:-

Standards: - Was performance assessed fairly?

Evidence: - Was evidence ignored, overlooked, distorted or misinterpreted?

Procedure: - Was your LMA completed in accordance with agreed procedures?

Other: - Is there some other reason for the disagreement?

If an interview is necessary you may be accompanied by a Trade Union representative or a work colleague.

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If the Monitoring Officer or, where appropriate, the next Line Manager, feels that your concerns have some grounds, the Reporting and/or Countersigning Officer should be invited in writing to reconsider your LMA and if necessary amend it. The Monitoring Officer has the overriding right to amend your LMA if he/she considers it appropriate to do so.

The Monitoring Officer will inform you of the outcome of your appeal in writing within 15 working days of receipt of your appeal.

- 2.3.5 If your appeal cannot be resolved to your satisfaction you can forward a written submission to your Departmental HR stating the particulars of the unresolved disagreement.
- 2.3.6 Departmental HR will not normally intervene where your dissatisfaction relates to a disagreement about the individual or overall markings on your LMA or related comments. However Departmental HR may intervene where there has been inappropriate comments made which relate to your domestic, health, family or personal circumstances or Trade Union activity or where there has been procedural shortcomings in the completion of the LMA.
- 2.3.7 In any discussion with Departmental HR you may be accompanied by a TUS representative or a work colleague.
- 2.3.8 The above procedures do not override your right of appeal to the Head of Department which exists at present under the provisions of 9.1 of Section 6.10 (Standards of Conduct) in Part 6 of the NICS HR Handbook. However, the appeals procedure should always be fully exhausted before the right of appeal to the Head of Department is used.
- 2.3.9 A summary of the appeal process, and the timescales involved, are set out in Annex B.

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3. INTERVIEW PROCESS

3.1 Interview Method

- 3.1.1 The interview process will be criteria/competence based. This method of interviewing uses a structured interview to ask you about your previous experience and gives you the opportunity to demonstrate your ability in the assessment criteria/competences being tested.
- 3.1.2 You will be interviewed against the assessment criteria/competences for the Executive Officer I grade (i.e. Services, People, Resources, Information and Communication and Programme and Project Management) as set out in the NICS Core Competence Framework. These assessment criteria/competences, and detail what an individual needs to possess to be effective in the Executive Office 1 grade. The performance criteria for each selection criterion/competence as set out in Annex C. You will be interviewed against the selection criteria/competences. Equal weight will be applied to each of the selection criteria/competences. There is no minimum passmark for each competence. Each selection criterion/competence will be marked out of a total 30. This gives an overall maximum interview score of 150.
- 3.1.3 Panel members will not have access to your self-nomination form, performance management reports or LMA score.
- 3.1.4 Please note that you are not allowed to bring any documents or any other material into the interview.

3.2 Interview Questions

- 3.2.1 For each assessment criterion/competence you will be asked **one** lead experience-based question, followed by a series of shorter secondary experience-based questions, most of which will be linked to the initial question/example. All of the questions will be linked to the specific criterion/competence for the Executive Officer I grade. **It is therefore, important that your examples relate well to these criteria.** You should also note that the secondary questions are pre-set and as such you should not expect the next question on each occasion to always follow on from, or relate to, your previous response. You can find the criteria listed in the DFP website <https://irecruit-ext.hrconnect.nigov.net/pages/content.aspx?Page=nicos-core-competencies>.
- 3.2.2 In the interview, when asked the lead question for each assessment criterion/competence, you will be expected to provide only a succinct outline of your example. If, for instance, for the lead question you were asked to provide "an example of an occasion you used resources efficiently", you **may** respond something along the following lines:

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“A good example of this was when I worked in Branch A. At that time I had responsibility for a total of B resources and I was tasked with assisting with the delivery of C within a timescale of D.”

However it is important to remember that the panel members require enough context to be able to understand what happened.

- 3.2.3 The secondary questions may cover issues such as ‘who did you consult?’, ‘what did you take into account?’
- 3.2.4 Please note that in the interview process, everyone must be asked the same lead questions, and the panel members also have the flexibility to ask additional probe questions at the interview.
- 3.2.5 You should also note that an overall score is derived for the assessment criteria/competence as a whole and the interview is not, therefore, scored on a question by question basis. However, evidence provided under one assessment criterion/competence will be scored for that competence only.
- 3.2.6 In response to the lead questions and secondary questions candidates should ensure they make best use of all time available. However, given the time constraints candidates should be prepared for the panel to control the interview, and this may on occasions require them to cut short some answers, where they feel it is necessary.
- 3.2.7 Where you are unable to provide a response be prepared for the panel to ask you to describe how you would do something.

3.3 Preparing for Interview

- 3.3.1 In preparation for interview, you should think of any examples you feel are appropriate for Executive Officer I grade and relate to the Executive Officer I assessment criteria/competences being tested. Although you are not being asked to prepare a written self-nomination form it will still be beneficial to write your examples, and the steps you took, down on paper. It is preferable to use recent examples rather than something that happened a long time ago. Examples from your work are the most relevant to consideration for appointment to Executive Officer I; however, you may also use examples from previous employment or from experiences outside work, for instance, from professional or voluntary work. In all cases the emphasis should be on examples that demonstrate the behaviours being sought.
- 3.3.2 Don't be intimidated by the terminology in the competences which are being tested. For example, a project is a task with a start date, milestones and an end date with evaluation of the success of the task and lessons learned at the end. You do not need to have been involved in a major project using formal project management tools and

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methodology to demonstrate this competence. Consider examples from your work and relate them to the competences. The discussion with your line manager about the Line Manager's Assessment should help you to think about examples of your work and how they relate to the competences.

- 3.3.3 You should get used to discussing examples/answers in the first person, I did this, and I did that. You should also be as specific and as results-focused as possible.
- 3.3.4 Above all, remember that the interview panel is seeking evidence that you are capable of effective all round performance at the Executive Officer I grade.

3.4 At the Interview

- 3.4.1 The interview panel will begin by putting you at ease, introducing themselves and explaining how the interview will run. All questions you will be asked by the panel will relate to the assessment criteria/competences for the Executive Officer I grade and the assessment criteria/competences will run in the following order - Services, People, Resources, Information and Communication and Programme and Project Management.
- 3.4.2 Interviews are scheduled to last 35 minutes and you will be asked one lead experience-based question, followed by a series of shorter secondary experience-based questions, most of which will be linked to the initial question/example. Some questions may require shorter/longer answers than others, depending upon your example, and this is a normal part of the process.

3.5 Tips and Advice for the Interview

- 3.5.1 Some important pointers for the interview are as follows: -
- The interview process works best where you have one sufficiently strong example that can withstand questioning around the core competence, although you may refer to another example where you feel it is appropriate. However, you are advised to be aware of the need for time management when introducing additional examples.
 - Remain focused and listen carefully to the question being asked. Try and respond only to that question. If you don't understand the question, ask for clarification. However, you should note that in some instances, given the specific wording of the question(s), the panel may simply repeat the question asked as it may not be possible to reword or rephrase.
 - Answer the questions based on your own experience and by using the first person.

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- Don't be afraid of silence for a few seconds while you think through your answer.
- Sell yourself! Be positive and show your enthusiasm for the job.

3.5.2 The following is a list, compiled by panel members from assessment competitions already held, setting out the reasons they felt some candidates failed to perform well. Trying to avoid these will help you prepare for the interview.

- Failure to read the briefing notes and core competence framework in detail
- Lack of preparation
- Selection of poor example/examples which lacked depth
- Selection of a low level example not commensurate with grade
- Examples not robust enough to withstand secondary questions
- Didn't listen to/answer the question asked
- Candidate did not highlight/were reluctant to highlight personal role
- Didn't answer question because they had a pre-determined answer they wanted to deliver
- Didn't demonstrate in evidence provided that they were ready for the higher grade
- Use of jargon/abbreviations made the example hard to follow
- Didn't make good use of time allocated despite knowing the number of questions to be asked and the time available

3.6 AT THE END OF THE INTERVIEW

3.6.1 At the end of the interview you will have the opportunity to add to any of your answers. If you think you can improve on your previous answers or give additional information, do so briefly and concisely at this point. If you have nothing to add, do not talk simply because you feel you must.

3.6.2 At the end of each interview the panel will assess the evidence presented by you at the interview against each of the assessment criteria/competences. A score will then be allocated for each individual criterion/competence and a total interview score derived accordingly.

4. OVERALL SCORING PROCESS

4.1.1 Following the interview process, the score achieved at interview, which will represent a maximum of 60% of the total marks available will be added to the score achieved in the LMA, which will represent a maximum of 40% of the total marks available.

4.1.2 Candidates will then be listed in merit order within their panel according to their total overall score.

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5. ICT GRADE C STAFF

- 5.1.1** ICT Grade C staff have received a separate note about the assessment process. The following paragraphs highlight a number of specific issues that ICT Grade C staff should consider as well as reading the other sections of this briefing note.
- 5.1.2** Staff who previously served in the NICS as a substantive ICT Level 4 will not be included in the assessment exercise.
- 5.1.3** A Promotion board to assess the suitability of candidates for promotion to ICT Level 5 was held by the Department of Finance and Personnel on behalf of all NI departments and NIO (both NICS and HCS) in September 2008. ICT Grade C staff were eligible to apply. The competition comprised of a two-stage process. The purpose of Stage 1 was to provide a pool of staff who met the competency standard for Staff Officer. Stage 2 consisted of specific vacancy notices issued by individual Departments/Agencies which focused on the specific technical skills required for individual posts.
- 5.1.4** ICT Grade C staff who have successfully passed Stage 1, have applied for a Stage 2 vacancy notice and had achieved the overall competition pass mark will also be exempt from the People Assessment. Both these groups of staff will remain in their existing post if it has been assessed as ICT Level 4. If their current post is not assessed as ICT Level 4, former ICT Level 4s will be transferred to an ICT Level 4 post as a priority at the first available opportunity, followed by those in the second exempt group.
- 5.1.5** ICT Grade C staff who are currently on the ICT Level 5 Pool who have not applied for a Stage 2 vacancy or who have applied but not achieved the overall competition pass mark, will not be required to undergo the Grade C People assessment. If, however they wish to progress to ICT Level 4, they will have to undergo an assessment against the professional and technical competency for ICT level 4.

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ANNEX A

LMA RATINGS GUIDE

Rating	Brief Descriptor	Capability to Perform at Executive Officer I
20	Outstanding	Candidate is capable of consistently exceeding the requirements for effective performance at the Executive Officer I grade to the extent that he/she would demonstrate the assessment criterion/competence to an exceptional degree.
17-19	Very Good	Candidate is capable of frequently exceeding the requirements for effective performance at the Executive Officer I grade to the extent that he/she would demonstrate the assessment criterion/competence to a very high degree.
14-16	Good	Candidate is capable of meeting, and in some cases exceeding, the requirements for effective performance at the Executive Officer I grade to the extent that he/she would demonstrate the assessment criterion/competence to a high degree.
11.4-13	Acceptable	Candidate is capable of meeting the requirements for effective performance at the Executive Officer I grade to the extent that he/she would demonstrate the assessment criterion/competence to an acceptable degree.
8-11.3	Just Below Standard	Candidate is capable of only partially meeting the requirements for effective performance at the Executive Officer I grade, but with continued development, may demonstrate the assessment criterion/competence satisfactorily.
4-7	Not Yet Acceptable	Candidate is not capable of meeting the requirements for effective performance at the Executive Officer I grade and requires significant further development to demonstrate the assessment criterion/competence satisfactorily.
1-3	Not Acceptable	Candidate's capability falls well below the requirements required for effective performance at the Executive Officer I grade and is unlikely to demonstrate the assessment criterion/competence satisfactorily without a great deal of further development.

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ANNEX B

LMA APPEAL/TIMESCALE SUMMARY

Step	Action	Working Days
1	LMA issued by Departmental HR to be completed and copied to the candidate within 10 working days.	10
2	Line Manager will arrange a meeting with the candidate to discuss and agree the content of the LMA within 5 working days (a). If LMA agreed, return completed form to Personnel. If LMA not agreed advise candidate of right of appeal. If no appeal received with Countersigning Officer within 5 working days (b), return completed LMA to Personnel. If an appeal is received, the Line Manager should advise Personnel as soon as possible that the candidate is appealing the LMA.	(a) 5
		(b) 5
3	Countersigning Officer will deal with the appeal and inform the candidate of outcome of appeal within 10 working days. If LMA agreed return completed LMA to Personnel. If no appeal received within 5 working days, return LMA to Personnel.	10
4	Candidate can appeal to the Monitoring Officer within 5 working days.	5
5	Monitoring Officer will inform the candidate of outcome of appeal within 15 working days and return completed LMA to Personnel.	15
	Total	50
6	Candidate can write to Departmental HR.	

TIMESCALES SHOULD BE STRICTLY ADHERED TO.

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ANNEX C

EXTRACT FROM THE CORE COMPETENCY FRAMEWORK

**EXECUTIVE OFFICER I AND II
& ANALOGOUS GRADES**

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1. Services

UNIT OF COMPETENCE

1.1 Deliver and maintain services.

OVERVIEW

This unit is about ensuring activities meet the requirements of the Branch and its customers. It is about delivering and maintaining day to day operations and involves looking for ways to improve work activities.

PERFORMANCE CRITERIA

- (a) Agrees requirements with customers and explains expected standards of service to staff.
- (b) Ensures work activities and services delivered satisfy organisational quality and cost requirements and improves services to satisfy customer requirements in line with current legislation and internal policies and procedures.
- (c) Makes full use of the Department's computer system to assist delivery of services to the customer.
- (d) Notes factors which may cause operations to be disrupted or are obstacles to improvement and takes appropriate measures to minimise their effect. Implements corrective action without delay and informs appropriate staff and customers of any changes which affect them.

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1. Services

UNIT OF COMPETENCE

1.2 Contribute to the planning and implementation of changes in services, operations and systems to meet customer needs.

OVERVIEW

This unit refers to the ability to identify and make recommendations for improvements in service delivery, taking account of the needs of customers and about communicating these changes appropriately.

PERFORMANCE CRITERIA

- (a) Assesses feedback from customers and proposals for improvements and passes these on to the appropriate person with a reasoned evaluation.
- (b) Implements changes in services, products and systems and communicates relevant details of implementation plan promptly to those concerned.
- (c) Clearly sets out objectives and performance measures prior to the implementation of change and reviews such changes accordingly.

FINAL

2. Resources

UNIT OF COMPETENCE

2.1 Contribute to the planning, allocation, monitoring, evaluation and control of resources.

OVERVIEW

This unit is about planning and using resources effectively and efficiently.

PERFORMANCE CRITERIA

- (a) Produces recommendations and plans which indicate clearly the benefits to be achieved from the effective use of resources and comply with organisational policies, customer and legal requirements.
- (b) Monitors trends and changes and where actual use of resources deviate from that planned, takes prompt corrective action. Passes on recommendations for improving resource usage to the relevant people.
- (c) Monitors quality of resources and maintains consistency in product.

FINAL

3. People

UNIT OF COMPETENCE

3.1 Contribute to the development of teams and individuals to encourage innovation and improve performance.

OVERVIEW

This unit is about making a contribution to developing the knowledge and skills of the team to ensure that they produce the best possible results. It is about helping to identify the development needs of the team and its members, planning to meet these needs and actioning appropriate development activities to improve team performance.

PERFORMANCE CRITERIA

- (a) Identifies staff's development needs and associated training required and ensures needs identified are consistent with team objectives.
- (b) Ensures plans reflect the identified development needs of staff.
- (c) Makes arrangements for the delivery of appropriate and cost effective training and development taking account of existing knowledge and skills and Branch requirements.
- (d) Monitors post-training progress of individuals and teams and evaluates training against its original objectives and business requirements.
- (e) Provides all staff with equality of opportunity to develop themselves to improve performance to meet business objectives.
- (f) Motivates and enables all staff to participate in improvement activities.
- (g) Provides opportunities that stimulate involvement and supports innovative and creative behaviour.

FINAL

3. People

UNIT OF COMPETENCE

3.2 Plan, allocate, monitor and evaluate work carried out by teams, individuals and self.

OVERVIEW

This unit is about making the best use of the team and its members so that they can achieve work objectives. It includes allocating work, agreeing objectives and setting out plans. It also involves monitoring and evaluating the work of the team and its members and providing feedback to them on their performance.

PERFORMANCE CRITERIA

- (a) Allocates and delegates work to optimise the use of available resources and existing competence of staff and ensures that Departmental objectives and priorities are achieved.**
- (b) Regularly updates work objectives with the relevant individuals to take into account individual, team and organisational changes. Defines and communicates team and individual objectives and standards of performance.**
- (c) Gives timely feedback, in sufficient detail, on progress and work performance in a manner, level and pace appropriate to the individual/team. Feedback recognises performance and achievement, offers constructive suggestions and encouragement for improved future performance.**
- (d) Identifies poor performance in a timely manner and brings it to the attention of the member of staff concerned and agrees an appropriate course of action.**

FINAL

3. People

UNIT OF COMPETENCE

3.3 Create, maintain and enhance effective working relationships.

OVERVIEW

This unit is about developing, maintaining and enhancing effective working relationship with customers, colleagues and other stakeholders. It also involves minimising the potential for conflict and dealing with conflict should it arise.

PERFORMANCE CRITERIA

- (a) Takes time to establish and maintain honest and constructive working relationships with customers, colleagues and other stakeholders. Shows sensitivity towards others makes and honours promises and undertakings to others.**
- (b) Provides opportunities for customers, colleagues and other stakeholders to discuss challenges or issues, encouraging them to offer their views and ideas and assists staff to contribute to the decision making process.**
- (c) Deals with any difference of opinion in a way which avoids offence and maintains respect. Promptly identifies conflict with and between staff and takes action to resolve it.**
- (d) Actions and records employment or customer related matters in compliance with organisational and legal requirements.**

FINAL

3. People

UNIT OF COMPETENCE

3.4 Contribute to the assessment of own development and develop self to improve job performance and fulfil future potential.

OVERVIEW

This unit is about developing knowledge and skills to meet objectives and improve performance. This involves assessing current performance, identifying and agreeing development needs and objectives and taking action to have the need met.

PERFORMANCE CRITERIA

- (a) Establishes current level of competence and identifies development needs linked to business requirements.**
- (b) Sets personal development objectives which are realistic, achievable and challenging in terms of anticipated competence and updates these at regular intervals with line manager.**
- (c) Undertakes appropriate and agreed training and development activities to achieve agreed objectives.**
- (d) Leads by example, demonstrating the importance of development by scheduling time for development activities.**
- (e) Compares feedback with own perceptions of performance and uses it to improve future performance.**

FINAL

4. Information and Communication

UNIT OF COMPETENCE

4.1 Seek, evaluate and communicate information in a clear, concise, relevant and timely manner to meet customer needs.

OVERVIEW

This unit is about the efficient management of information within your area of responsibility. It covers gathering the information you need and communicating information and advice to others in a way that is easily understood, is timely and has considered the audience in the communication process.

PERFORMANCE CRITERIA

- (a) Accurately identifies appropriate information requirements, collects information on time, uses and provides information to meet customer needs.**
- (b) Uses sources of information effectively and reviews information regularly for sufficient, accurate and reliability. Considers alternative information sources.**
- (c) Collects accurate and relevant information and updates information according to organisational requirements.**
- (d) Records, stores information in such a way that is can be retrieved promptly. Uses accepted formats, systems and procedures.**
- (e) Identifies inadequacies in information and obtains additional information.**
- (f) Communicates clearly and concisely both orally and in writing. Tailors communication methods to the needs of the customer/audience.**
- (g) Displays good listening skills, checking and clarifying during face to face communication.**
- (h) Uses IT systems to improve information and communication processes.**

FINAL

4. Information and Communication

UNIT OF COMPETENCE

4.2 Analyse and exchange information to solve problems, make decisions, influence and gain the commitment of others.

OVERVIEW

This unit is about effective two-way communication, ensuring that the content of the message is accurate and conveys all necessary points, enhancing the decision-making process to meet organisational needs.

PERFORMANCE CRITERIA

- (a) Presents current, relevant, accurate and concise oral and written advice and information.**
- (b) Identifies the purpose of communication, presents advice and information in a manner which promotes understanding so that the message is conveyed effectively to the appropriate people.**
- (c) Supports advice by reasoned argument and evidence that is consistent with organisational policies.**
- (d) Demonstrates the capacity to actively listen and respond to the needs of others by acknowledging their contributions and discussing these constructively.**
- (e) Clearly identifies what information is required and supplies relevant information in the form requested.**
- (f) Uses information to support decisions, influence and gain the commitment of others.**
- (g) Uses persuasive arguments to influence others to accept a different point of view.**

FINAL

5. Programme & Project Management

UNIT OF COMPETENCE

5.1 Contributes to the delivery of projects.

OVERVIEW

This unit is about contributing to the successful delivery of a specific project within timescales and to budget.

PERFORMANCE CRITERIA

- (a) Manages production of Programme and Project Management documentation.
- (b) Uses Programme and Project Management techniques to clearly define tasks, and track progress against key performance indicators.
- (c) Communicates the performance measures and methods for monitoring, assessing and reviewing the progress of the project to the relevant stakeholders, ensuring peer reviews are organised in line with organisational requirements.
- (d) Engages with experts and stakeholders when required as part of the project.

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5. Programme & Project Management

UNIT OF COMPETENCE

5.2 Contributes to the evaluation of the success of a Project.

OVERVIEW

This unit is about contributing to the evaluation of the success of a project, ensuring all knowledge is captured and documented to inform future similar projects.

PERFORMANCE CRITERIA

- (a) Contributes to the evaluation of key successes and challenges of the project.
- (b) Supports the identification of the key lessons learnt from the project, analysing risks that were realised and their impact.
- (c) Ensures the successes, challenges and lessons learnt are documented using Programme and Project Management agreed documentation and appropriately stored for future use.
- (d) Supports the communication of success, challenges and lessons learnt to the appropriate stakeholders.

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ASSESSMENT OF FORMER NIO GRADE CS AND COURT SERVICE EOS FOR EXECUTIVE OFFICER I – FREQUENTLY ASKED QUESTIONS

GENERAL INFORMATION

1. How many EO1/ICT4 posts are there available?

Answer: After staff in the respective substantive grades have been posted there will be approximately 60 EO1 posts in the DOJ Core (including NIPS) and 40 posts in NICTS as well as 8 ICT4 posts.

2. Who are eligible to go for the EO1/ICT4 Assessment?

Answer: The eligibility criterion is set out in both the Staff Notice and Karen Pearson's note of 30 September launching the assessment exercise. If you have any queries please do not hesitate to contact the dedicated mailbox.

LINE MANAGER ASSESSMENT

3. What percentage of marks will count for the line manager assessment towards my overall assessment score?

Answer: An overall scoring ratio of 40/60 will be applied - 40% of the overall score will be derived from the LMA and 60% from the interview. For Grade C/EO staff (including ICT3), all 5 EO1 criteria will be assessed through the LMA and tested at interview.

For ICT staff the technical skills criterion will be tested at interview only.

A candidate must score 57 marks or higher out of 100 in their LMA to be eligible for interview. The total marks available at interview are 150. A candidate's overall assessment will however comprise the combination of the score from interview and LMA.

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4. Can I appeal against my line manager's assessment?

Answer: Yes. Details about the appeals process are available in the Briefing Notes to Candidate's which is on the Intranet.

ASSESSMENT INTERVIEW

5. Where can I access the EO1 Competence Framework?

Answer: A copy is included as an Annex to the Briefing Notes for Candidates and is also available on the DFP website.

6. Will there be training for sitting on a competence based interview for those going for the assessment?

Answer: Specific training will not be available. However Briefing Notes for Candidates has a section dealing with tips and advice for the interview and you should also take the opportunity to talk to your line manager and colleagues about how best to prepare for the interview.

7. Will the panel members be trained in competence based interviewing?

Answer: All panel members will have been trained.

8. What information will the panel have about me, for example, will they have copies of the line manager assessment and my Performance Reports?

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Answer: The panel will not have access to either your line manager assessment form or your Performance Reports. The panel will mark you solely on the answers you give at interview.

POSTING OF STAFF

9. I am an EO2/Grade C in an EO1 post, but I do not want to go for the people assessment, can I stay in my post?

Answer: No. The objective of this process is to achieve the integration of our staff with the NICS grading structure to meet current and future corporate needs. In addition, we cannot block the opportunity of filling the EO1 post to those who passed the assessment.

10. What happens if I do not have to sit the people assessment for EO1 and my post is graded as EO2?

Answer: You will be moved into an EO1 post. As far as possible business areas will ensure that staff will remain in their business area subject to available posts and the merit principle.

11. What happens if I pass the people assessment for EO1 and my post is graded as EO2?

Answer: All staff deemed to have met the competences of the EO1 grade will appear on a published list in alphabetical order and will be posted in a way that minimises disruption to the business area and is compatible with the merit principle.

12. How long will the list last for and will it be used to fill vacancies in other NI departments?

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Answer: The purpose of the people assessment is to fill posts in DOJ core/NI Court Service and Public Prosecution Service and not the wider NICS. There will be three lists, DOJ core/NICTS and Public Prosecution Service. If one of these lists is exhausted, the business area can call upon the other lists to fill posts. This process to create lists and use them to fill posts substantively in DOJ and PPS should be completed by March 2012. After that date (or on completion of the exercise if beforehand) and once the placement of staff from the lists has taken place, remaining lists ("call off" lists) will be used to fill vacancies at the EO1 (ICT Level 4) grade within the business area.

13. If I am successful, is there a possibility I will be moved to another business area within DOJ core. Or to Courts/PPS?

Answer: The merit lists will be used to draw off staff to match the number of posts assessed as EO1 and they will be placed in posts in a way that minimises disruption to the business area. As far as possible business areas will ensure that staff in EO1 posts will remain in those posts or remain in their Division subject to available posts and the merit principle. There will be three lists, DOJ core/NICTS and Public Prosecution Service. If one of these lists is exhausted, the business area can call upon the other lists to fill posts.

14. If I pass but I am not high enough on the merit list to be posted, will I be able to apply for EO1 posts on HRConnect which are being filled by lateral transfer?

Answer: No. Once the assessment has taken place you are only able to apply for posts at your substantive grade, unless the post is a general trawl which is open to staff irrespective of their current grade. This Grade C/EO re-grading exercise is exceptional in order to meet the circumstances brought about by the devolution of justice functions.

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15.If I keep my Grade C status can I apply for EO1 posts on HRConnect?

Answer: No. Prior to devolution, and for a transitional period following devolution, Grade C staff could apply for EO1 posts and it was up to the importing department to determine their suitability. Karen Pearson's note of 30 July 2010 explained that this transitional arrangement would end when the outcome of the Grade C post and people assessment is known. There were separate transitional arrangements for Grade C (EO) staff.

16.If I am in an EO1 post and pass the assessment but I am not high enough on the merit list for immediate posting, will I be moved?

Answer: The merit lists will be used to draw off staff to match the number of posts assessed as EO1 and they will be placed in posts in a way that minimises disruption to the business area. As far as possible business areas will ensure that staff in EO1 posts will remain in those posts or remain in their division subject to available posts and the merit principle.

17.I am in an EO1 post and I have passed the assessment and appeared on the merit list, do I have to remain in the post I am in, or can I ask for a career development move?

Answer: In line with usual practice you should discuss any transfer requests with your line manager. As was stated in the Staff Notice the placement of staff in posts will be handled in a way that minimises disruption to the business area. As far as possible business areas will ensure that staff in EO1 posts will remain in those posts or remain in their division subject to available posts and the merit principle.

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18. I am an EO2 in an EO1 post, if I am unsuccessful in the assessment will I be able to refuse EO2 posts which I am offered?

Answer: We will consider the circumstances of the refusal and whether it is reasonable.

19. I am in an EO2 post, if I am successful will I be able to refuse EO1 posts which I am offered and if so, how many refusals can I make?

Answer: Generally you will only get one offer, however, we will consider the circumstances of the refusal and whether it is reasonable, and may offer another posting if one is available.

20. In moving me to a new post which matches my grade, will I be guaranteed the same hours and location?

Answer: There is no guarantee that the same hours and location will be available. As far as possible business areas will ensure that staff in EO1 posts will remain in those posts or remain in their division subject to available posts and the merit principle.

21. Following the assessment can I ask where I am on the merit list?

Answer: Absolutely

PAY ISSUES

22. I am an EO2 in a post which has been assessed as an EO1 post. How will my back pay be assessed and when will I get it?

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Answer: There is a document entitled Assimilation and Retrospective pay on the intranet which advises you of how back pay will be calculated based on where you currently are on the EO2/Grade C payscale. We are working with HRConnect to see when we can get the payments made. It is envisaged that NICTS and NI Prison Service staff will receive their back pay at the same time.

23. I am an EO2/EO in an EO2 post. If I am assessed as EO1 will I get pay backdated to 12 April 2010?

Answer: No. The pay assimilation onto the higher salary will take effect from the date you move into an EO1 post.

24. I am an EO2 in an EO2 post and I don't want to apply for the assessment, what does this mean for me in terms of my salary?

Answer: Your salary will be unaffected; you have already been assimilated onto the appropriate pay scale for your grade.

25. I transferred to the NICS EO2 grade on assimilation and I do not want to go for the assessment/have not passed the assessment, can I revert to my grade C payscale?

Answer: Grade C/EOs who chose to assimilate to the EO2/ICT Level 3 grade and pay scale may revert to their former grade and pay scale under the following circumstances: if there is a clear and demonstrable detriment to their basic pay as a result of their initial posting following the people assessment, they will be allowed one opportunity to revert to their pre-assimilation grade and salary. Any member of staff, who chooses to do so, having previously received an uplift in their pay upon assimilation, must agree a term of repayment for these arrears prior to reversion.

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EXEMPTIONS

26. I was previously a substantive EO1, do I have to sit the people assessment?

Answer: No. You are an EO1 and will be given priority in terms of posting to an EO1 post.

27. I sat the most recent B2/SO board and have been listed, but not placed, do I have to sit the people assessment?

Answer: No. You will be considered to be an EO1 and given priority in terms of posting to an EO1 post.

28. I passed the last B2/Staff Officer board, but was not listed. Do I have to do the EO1 assessment?

Answer: You have a choice to make. You will be assimilated onto the list of those deemed to have met the competences for the EO1 grade in this assessment exercise by applying a factored score from that competition. Or you can elect to appear before an assessment panel and be listed in accordance with the higher of the two scores. If you fall into this category you will have received an individual note setting out your "factored" score.

29. I passed the last B2/Staff Officer board, how will my marks be adjusted to reflect the difference in weighting between the EO1 assessment and the board?

Answer: The process for factoring the scores from previous competitions is set out in the DFP Staff Notice. Staff will also have received a note from your HR Division detailing their "factored" score and how it was calculated.

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ICT SPECIFIC QUESTIONS

30. How many ICT Level 4 posts are in DOJ?

Answer: After staff who are respective substantive ICT Level 4 have been posted there will be approximately 8 ICT Level 4 posts in DOJ Core.

31. When will the ICT Level 4 assessments take place?

Answer: We hope to hold the assessments in November

32. Will there be one panel interviewing all ICT Level 3 staff (DOJ/PPS) and how will the panel be comprised?

Answer: There will be one panel to interview all ICT staff comprised of panel members from the ICT discipline.

33. I am in an ICT Level 4 post, however, I have not passed the assessment/am not sufficiently high in the merit list to be posted – will I be moved?

Answer: The merit lists will be used to draw off staff to match the number of posts assessed as ICT Level 4 and they will be placed in posts in a way that minimises disruption to the business area. As far as possible business areas will ensure that staff in ICT Level 4 posts will remain in those posts or remain in their division subject to available posts and the merit principle.

34. If I pass but don't get posted, can I transfer out of DOJ as an ICT Level 4?

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Answer: The purpose of the people assessment is to fill posts in DOJ/PPS and not the wider NICS. ICT Level 3 staff have also been eligible to go for the current ICT Level 4 promotion competition in the NICS and might be posted outside of the DOJ/PPS as a result of that competition.

35. If I passed the last admin B2/Staff Officer board, do I have to sit the ICT Level 4 assessment?

Answer: The B2/Staff Officer board was for the general administrative grade and the answer at Q.3 applies to these staff for appointment to general administrative posts. As set out in the Staff Notice ICT Grade C staff who are currently on the ICT Level 5 Pool who have not applied for a Stage 2 vacancy or who have applied but not achieved the overall competition pass mark, will not be required to undergo the Grade C People assessment. If, however they wish to progress to ICT Level 4, they will have to undergo an assessment against the professional and technical competency for ICT level 4.

36. I passed the last ICT Level 5 board, but was not listed; will I have to sit the ICT Level 4 assessment?

Answer: A Promotion board to assess the suitability of candidates for promotion to ICT Level 5 was held by the Department of Finance and Personnel on behalf of all NI departments and NIO (both NICS and HCS) in September 2008. ICT Grade C staff were eligible to apply. The competition comprised of a two-stage process. The purpose of Stage 1 was to provide a pool of staff who met the competency standard for Staff Officer.

Stage 2 consisted of specific vacancy notices issued by individual Departments/Agencies which focused on the specific technical skills required for individual posts. ICT Grade C staff who have successfully passed Stage 1, have applied for a Stage 2 vacancy notice and had achieved the overall competition pass mark will also be exempt from the People Assessment. ICT Grade C staff who are currently on the ICT Level 5 Pool who have not

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applied for a Stage 2 vacancy or who have applied but not achieved the overall competition pass mark, will not be required to undergo the Grade C People assessment. If, however they wish to progress to ICT Level 4, they will have to undergo an assessment against the professional and technical competency for ICT level 4.

37. What happens if I am successful in both the assessment and DFP's promotion board? If I am posted to an ICT Level 4 post following the assessment, will I be removed from the promotion list?

Answer: No. If you are posted from the DFP promotion board you will be removed from the assessment list. If however, you are placed in an ICT Level 4 post following the assessment, you can remain on the DFP promotion board list.

38. How will my new salary be calculated if I am posted off the assessment/promotion board?

Answer: The document entitled Assimilation and Retrospective Pay advises you of how your pay will be calculated if you are posted from the assessment. The normal rule of 9% increase in salary, or the minimum of the scale of the post you have been promoted into will apply.

39. Have funds been identified to retrain staff that have to move post as a result of this process?

Answer: The merit lists will be used to draw off staff to match the number of posts assessed as ICT Level 4 and they will be placed in posts in a way that minimises disruption to the business area. It will be for individuals with their line managers to identify necessary training and other development tools as

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part of the normal Personal Development Plan, regardless of whether they move post or not.

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S/PERSONAL SECRETARIES SPECIFIC QUESTIONS

40. What grade have the Senior and Personal Secretaries posts been assessed as?

Answer: These posts have been assessed as EO2 posts following a review throughout the NICS.

41. If I am successful in the EO1 assessment, can I remain in a secretarial post as an EO1?

Answer: No. The assessment is for general administrative EO1 posts and you would have to leave your discipline to take up the post.

42. I am on the EO2 pay scale, if I pass the EO1 assessment and get posted to an administrative post what will happen to my typing and proficiency allowances?

Answer: You will have your typing skills allowance removed. Your proficiency allowances will continue to be paid on a mark time basis.

43. I am on the Grade C pay scale, if I pass the EO1 assessment and get posted to an administrative post what will happen to my typing and proficiency allowances?

Answer: Staff on the Grade C pay scale will have all typing allowances removed from salary – typing skills will be removed permanently and proficiencies will then be paid on a mark time basis.

44. On assimilation I regraded to the S/PS grade and recently sat proficiency tests to determine my entitlement to allowances. Will

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my allowance be paid from the date I passed the test or 12 April 2010?

45. Answer: The allowances will be backdated to 12 April 2010.

ASSISTANT PSYCHOLOGISTS

46. What grade has my post been assessed at?

Answer: All the Assistant Psychologists posts have been assessed as analogous to EO1 posts. As you were recruited directly to this specialist post you do not have to sit an assessment and will be deemed as analogous to EO1 from the 12 April 2010.

NIPS INSTRUCTORS

47. What grade has my post been assessed at?

Answer: All the NIPS Instructors posts have been assessed as analogous to EO1 posts. As you were recruited directly to this specialist post you do not have to sit an assessment and will be deemed as analogous to EO1 from the 12 April 2010.

ASSIMILATION PROJECT – FREQUENTLY ASKED QUESTIONS

16 December 2010

This set of FAQs is designed to help you decide whether to move to the NICS grade and pay scale or to remain on your NIO grade and pay scale. It is only relevant to staff who were in post in the Northern Ireland Office when policing and justice functions were devolved. If you joined the Department of Justice on or after 12 April 2010 you have already been appointed to a NICS grade and pay scale and NICS terms and conditions apply to you. This document does not cover the MOJ terms and conditions. The Northern Ireland Office has written separately to the relevant staff.

You should all have received an individual letter which sets out your salary details and your options. Confirmation of your choice should be returned to Pay Service / NI Prison Service by 21 January 2011. You can reply by e-mail to Pay.Service@dojni.x.gsi.gov.uk or by returning your Options reply slip to Pay Service, Hillview Buildings, Stormont Estate. Staff in PPS and staff who have transferred to DFP and OFMDFM should also return their Options reply slip to Hillview Buildings. A separate note has issued to staff in NI Courts and Tribunal Service.

Prisons staff can reply by e-mail to centralpaybr@dojni.x.gsi.gov.uk or by returning your Options reply slip to Central Pay Branch, NI Prison Service, Dundonald House, Stormont Estate.

You should also read the full list of pay and non pay issues which detail changes to your terms and conditions which can be found on the Intranet at Personnel Help, Pay and Pensions. TUS have been consulted on all of these issues and the vast majority were agreed. A small number were not agreed but TUS were content that we move forward with the assimilation process.

Roadshows are being held by DoJ core, NI Prison Service and PPS week commencing 10 January 2011. You are welcome to attend one of these events within your work area but there is no obligation to do so.

If you have a question about assimilation which is not addressed below, or you have not received an Options letter, or you think the information contained in your letter is incorrect please e-mail the appropriate address above.

SECTION 1 – OPTIONS EXERCISE

What are my options and when do I need to make my decision?

You have one month to consider your options which will depend on your circumstances. Details can be found in your individual Options Letter. In summary, the options for staff who were employed by the Northern Ireland Office at devolution and are now working within the Department of Justice, PPS, DFP, and OFMDFM are:

NICS staff in DoJ – can (1) opt to move to NICS grade and pay scale or (2) retain NIO grade and pay scale. If you choose Option (1) now, which means moving to the equivalent or next highest pay point on the relevant NICS pay scale, you will receive arrears, if applicable, backdated to 12 April 2010. If you choose Option (2) you will remain on your current grade, pay point and pay scale. You can opt to transfer at a later date but you will need to write to HR Connect (or NI Prison Service) to action this and this will only take effect from the date your letter is received i.e. there will be no backdating. You do not have the option of moving to an MOJ grade and pay scale.

NICS staff in NIO – can (1) opt to move to NICS grade and pay scale or (2) retain NIO grade and pay scale. If you choose Option (1) now you will receive arrears, if applicable, backdated to 12 April 2010. If you choose Option (2) you will remain on your current grade, pay point and pay scale.

The Northern Ireland Office has written to you separately to offer you the option of changing your contract of employment to HCS and (3) opting in to the NIO/MoJ Deal. You may also (4) defer your decision. If you transfer your contract of employment now this will take effect from 12 April 2011. If you transfer at a later date this will take effect from 12 April 2012. There will be no further opportunity to transfer your contract of employment beyond this date and you will be required to return to the

NICS at the end of your current secondment unless you have received written confirmation of an extension.

HCS staff in DoJ – can change your contract of employment to NICS and (1) opt to move to NICS grade and pay scale or (2) retain NIO grade and pay scale. If you choose Option (1) now you will receive arrears, if applicable, backdated to 12 April 2010. If you choose Option (2) you will remain on your current grade, pay point and pay scale. The Northern Ireland Office has written to you separately to offer you the option of retaining your HCS status and (3) Opting in to the NIO/MoJ Deal or (4) Opting out of the NIO/MoJ Deal. You may also (5) defer your decision. If you transfer your contract of employment now this will take effect from 12 April 2011. If you transfer at a later date this will take effect from 12 April 2012. There will be no further opportunity to transfer your contract of employment beyond this date and you will be required to return to NIO at the end of your current secondment unless you have received written confirmation of an extension.

HCS staff in NIO – can change your contract of employment to NICS [only if you have previously received confirmation of DFP approval] and (1) opt to move to NICS grade and pay scale or (2) retain NIO grade and pay scale. If you choose Option 1 now you will receive arrears, if applicable, backdated to 12 April 2010. You must make your decision now as this opportunity will not be afforded to you again.

The Northern Ireland Office has written to you separately to offer you the option of retaining your HCS status and (3) Opting in to the NIO/MoJ Deal or (4) Opting out of the NIO/MoJ Deal.

What happens if I do not reply?

You will remain on your NIO grade and pay scale and your status will remain unchanged. We cannot change your terms unless you ask us to.

SECTION 2 – PROTECTIONS

What is my contractual position on protections?

Terms and conditions are protected on the following basis:

For those whose transfer is provided for in the The Northern Ireland Act 1998 (Devolution of Policing and Justice Functions) Order 2010 Transfer Order, the Transfer of Undertaking (Protection of Employment) Regulations 2006 (TUPE) applies. Staff in this group are NI Courts and Tribunal Service staff, NICS staff in DoJ on 12 April 2010, and HCS staff in DoJ who elect to change status to NICS.

For those whose transfer is not provided for in the legislation because it deals only with posts and functions which transferred to the Department of Justice, the applications of the Cabinet Office Statement of Practice (COSOP) on staff transfers in the public sector which is founded upon the provisions of TUPE applies. Staff in this group are PPS staff, NICS staff in NIO on 12 April 2010, and staff who transferred to OFMDFM (EIS) on devolution.

For those who reverted to DFP, their secondment to NIO having been deemed to be severed, will also be treated as if COSOP did apply. Staff in this group are staff in CSO, DSO, and on loan from DFP to the Compensation Agency.

Why are some terms and conditions changing while others remain the same?

There are three categories of terms:

- Transferred following consultation: where there are no protections but Management Side and Trade Union Side have reached an agreement through consultation
- Transferred and Protected: contractual terms which are protected
- Transferred but not Protected: where there was an ongoing review prior to devolution unconnected to the transfer

The full list of terms and conditions is on the Intranet as referred to in the Introduction.

How long do the protections last?

If you remain at your existing grade in NIO or move to the equivalent grade in DoJ or the wider NICS, you will retain your protections. There is no time limit on the protected terms while you remain at your existing level. The protections cease on

promotion. Protected terms can be reviewed but not in consequence of the creation of the Department of Justice and PPS.

SECTION 3 – ASSIMILATION

How will I be assimilated to NICS grade and pay scales?

A list of grades was attached to your Options letter which set out all of the former NIO grades and their equivalent NICS grade. The majority of staff will move to the equivalent or next highest point on the NICS scale for their grade. Staff moving to the AA and AO scales will move on the basis of their service history.

My salary is above the maximum of the pay scale I wish to move to. Will my pay be reduced?

No. If you move to NICS pay scales, you will continue to receive your salary at its current level on a mark time basis. You will be aligned to your new pay scale once the maximum exceeds your personal salary.

If I retain my NIO grade and salary will I automatically move to NICS pay scales once their maximum exceeds my personal salary?

No. You need to formally request a transfer to NICS grade and pay scale or no action will be taken.

My salary is above the maximum of the pay scale I wish to move to. If I am promoted in the future how is my pay calculated?

If your substantive basic salary is higher than the maximum of the equivalent NICS pay scale you will mark time on your existing pay. In such a case, the NICS pay band maximum will be considered to be your substantive salary and any increases to this will erode the mark time element of your pay. If you are successful on a promotion board, your pay on promotion will be calculated on the mark time salary at that time. However, if this calculation results in a figure which exceeds the band maximum of the higher grade, you will retain your existing pay on mark time or move to the maximum of the scale, if this is more beneficial. This arrangement is solely in relation to mark time pay which results from assimilation to NICS scales.

If you are in receipt of mark time pay for any other reason, Starting Pay on Promotion will be based on your lower substantive basic rate of pay. However if the lower grade salary with the mark time element is higher than starting pay on promotion, the lower grade salary will be retained on a mark time basis.

SECTION 4 – ACCOUNTANTS

What are the options for Accountants?

Grade A and B1 Accountants can (1) remain in your current NIO grade and pay scale with your accountancy allowance or (2) assimilate to the Grade 7 and Deputy Principal pay scales respectively in which case your allowances will be consolidated prior to assimilation.

Grade B2 and C Accountants can (1) remain in your current NIO grade and pay scale with your accountancy allowance or (2) assimilate to the Staff Officer and Executive Officer pay scales respectively in which case your allowances will be set aside. You will then move across to the corresponding point on the Accountancy pay scales.

SECTION 5 – AUDITORS

What are the options for Auditors?

Grade B2 Auditors can (a) remain in your current NIO grade and pay scale with your auditor allowance or (b) assimilate to the Staff Officer pay scale in which case your allowances will be set aside. You will then move across to the corresponding point on the Auditor pay scales.

SECTION 6 – GRADE C STAFF

Are Grade Cs being assimilated now or will this happen after the people assessment?

Former substantive EO1s (and equivalent specialist grades) are being given the choice of assimilating to EO1 or remaining Grade C. All other Grade C staff are being given the choice of assimilating to EO2 or remaining Grade C.

What happens if I am a former substantive EO1 and my post is EO2?

You can choose to be assimilated to EO1, rather than remain Grade C, but we will need to conduct an exercise with local management to determine what happens in respect of people and posts to minimise disruption to the business area. We envisage the process of matching people and posts will take some time. Nothing will change overnight or without consultation with TUS.

What happens if I assimilate to EO2 and my post is EO1 and I do not wish to take part in the people assessment?

We will need to conduct an exercise with local management to determine what happens in respect of people and posts to minimise disruption to the business area. We envisage the process of matching people and posts will take some time. Nothing will change overnight or without consultation with TUS.

What happens if I do not have to sit the people assessment for EO1 or I pass the people assessment for EO1 and my post is graded as EO1?

Your name will be added to the list of staff who will be considered for EO1 posts. If you are subsequently posted to the post you currently occupy or a different post at EO1 level you would be assimilated to the EO1 scale from this future date.

What happens if I do not have to sit the people assessment for EO1 or I pass the people assessment for EO1 and my post is graded as EO2?

Your name will be added to the list of staff who will be considered for EO1 posts. If you are subsequently posted to a different post at EO1 level you would be assimilated to the equivalent or next highest point on the EO1 scale from this future date. If you remain in your current post you will continue at the grade and pay scale you chose as part of the options exercise.

SECTION 7 – TYPISTS AND SECRETARIES

What are the options for D1 Typists?

You can (1) retain your NIO grade and pay scale (2) be assimilated on the basis of your length of service as a typist to the NICS Typist grade and receive your former typing allowances (3) be assimilated on the basis of your length of service as a D1 Typist to NICS Administrative Officer grade.

What are the options for Grade C former Personal Secretaries?

You can (1) retain your NIO grade and pay scale (2) have your consolidated allowances removed from your existing salary, assimilate to the EO2 pay scale and have your allowances reinstated.

What are the options for Grade C former Senior Personal Secretaries?

You can (1) retain your NIO grade and pay scale (2) assimilate to the EO2 pay scale and start to receive the allowances you formerly received as a Personal Secretary.

What happens if I did not previously hold typing allowances?

We are arranging with CAL to provide typing exams for those staff who wish to sit them. If you choose to sit these exams at this first opportunity and are successful the allowances will be backdated to 12 April 2010. If you choose not to sit the exams now or you are unsuccessful, the allowances will only be payable from the future date upon which the exams are passed.

SECTION 8 – NON PAY TERMS

What changes have been made to Non Pay Terms and Conditions?

Three days contractual paternity leave and childcare vouchers for those previously in receipt are transferred and protected.

Your current eligibility for Promotion Boards has been transferred with you, following consultation, for one more round of boards. Thereafter, NICS policy will apply.

The majority of non pay terms follow NICS policy although there are some transitional arrangements in some cases. You are advised to read all of the relevant terms which can be found on the Intranet as mentioned in the Introduction.

SECTION 9 – GENERAL QUERIES

When will we receive payment?

Work is ongoing to build and test the elements on HR Connect and a lot of work needs to be carried out internally by Pay Sections. It is our intention to endeavour to pay all staff in March 2011, if there is any delay, we will let you know immediately. You should not make any commitments on the basis of an expected salary and there will be no advances paid to staff.

How is Starting Pay on Promotion / Temporary Promotion calculated?

The NICS apply 9% to your current salary if you are Grade 7 or below and then move you to the equivalent or next highest point or the band minimum on the higher pay scale, whichever is more beneficial.

Staff who were on temporary promotion prior to 12 April and remained on temporary promotion after this date who move to the NICS grade will move to the equivalent or next highest point on the NICS pay scale for this initial period. Staff who retain their NIO grade will not be impacted.

Future periods of temporary promotion or substantive promotion for all staff will be at a rate of 9% on the basis of your substantive salary.

Do I continue to get Revised Environmental Allowance?

Yes. However, this was under review prior to devolution, and staff will be informed of any future changes. Any changes to REA will be discussed with TUS.

Do I still get considered for an annual Non Consolidated Performance Payment?

No. Under TUPE you have the right to be considered for a bonus but you do not have the right to receive a bonus. It is Management Side's position that this scheme will no longer operate.

Do I still get considered for a Special Bonus?

Yes. The NICS runs a Special Bonus Scheme for staff below the Senior Civil Service. The overall envelope for the scheme is 0.2% of paybill and this is managed locally within Directorates.

I am on a career break. What happens to my pay on return to work?

When you return from career break you will be asked whether you want to move to the equivalent grade and pay scale or retain your NIO grade and pay scale. If you retain your NIO grade your pay on return will be calculated by using the NIO pay increases in the intervening period. If you move to NICS grade and pay scale your pay will be calculated by using the NIO pay increases up to and including 2009 and NICS pay increases in future years.

I am a member of the Senior Civil Service. What are my options?

SCS members of staff will receive a letter shortly. There will be no impact on your basic pay but you still have the choice of remaining on the NIO SCS pay scale or transferring to NICS SCS pay scale. HCS SCS in DoJ and NICS SCS in NIO also have the option of transferring their contract of employment. You should also read the pay and non pay terms on the Intranet.

SECTION 10 – RETAINING NIO GRADE AND PAY SCALE

What are the consequences of remaining on my NIO grade and scale?

Staff who choose to retain their former NIO pay scale will not receive any revalorisation i.e. the pay points will remain unchanged from the 2009 rates in the future. This is sometimes referred to as a "cost of living" increase. Even if the NICS

were to receive revalorisation only, and no progression, the revalorisation would still not apply to former NIO legacy scales.

The Options letter states that progression will be in accordance with NICS progression arrangements. This means whatever progression system is applied to the NICS will apply equally to former NIO legacy scales.

Once a member of staff on NIO pay scales reaches their pay band maximum, they will remain on this point.

Any member of staff who retains their NIO pay and grade under the options exercise can change their mind and transfer to NICS pay scales but once this decision has been made, staff will not be able to revert to their former NIO grade and scale. This would only be effective from the date this request is received by HR Connect i.e. there will be no backdated payments.

How are my allowances affected?

Differences which arise as a consequence of your choice, subject to your circumstances, are as follows:

Accountancy Allowance for Grade A and B1 – continues to be payable (although it would be consolidated before assimilation if you chose to move to the equivalent NICS grade)

Accountancy Allowance for Grade B2 and C – continues to be payable (although a pay lead is available if you chose to move to the equivalent NICS grade so your allowance would not be taken into consideration as part of assimilation)

Auditor Allowance for Grade B2 – continues to be payable (although a pay lead is available if you chose to move to the equivalent NICS grade so your allowance would not be taken into consideration as part of assimilation)

Typing Allowances – are not available to typists, Personal Secretaries and Senior Personal Secretaries who retain NIO grade although your salary may still contain previously consolidated typing allowances (but will be available if you choose to move to the equivalent NICS grade)

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From [REDACTED]

30 September 2011

To all NICS Grade Cs on secondment to NIO

Assessment of former NIO Grade Cs and Court Service EOs for EXECUTIVE OFFICER I

1. Introduction

1.1 As you will be aware from previous correspondence the Department of Justice and the Public Prosecution Service will be carrying out an assessment exercise which is the process by which Grade C/EO staff can assimilate onto the NICS Grading structure as EO1 or EO2 or equivalent. I am now launching the assessment exercise today with the intention that interviews will be held in November 2011.

1.2 The assessment process will comprise of three key stages - Self-Nomination, Line Manager's Assessment (LMA), and Interview.

As you were a former NIO Grade C you are eligible to participate in the assessment exercise. However you should be aware that the purpose of the people assessment is to fill posts in DOJ/PPS. If you were successful and offered a post you would have to return to the DOJ, NICTS or PPS. You will not be eligible to be posted from the assessment exercise in NIO.

2. Eligibility and Timetable

2.1 Those eligible to self-nominate will be Grade C staff who formerly worked in the NIO and EO staff who were substantive EO2s whenever the grades were amalgamated in the former Court Service in 1999.

2.2 Staff in the following categories do not need to put themselves forward for the assessment process as they are already considered to have met the competences of an NICS EO1:-

- staff who were formally NICS EO1s;
- staff who were substantive EO1s when the grades were amalgamated in 1999 or who were promoted to EO after this point in the former Court Service;
- Former NIO Grade Cs and Court Service EOs who, in the most recent live generic competitions, met the competency standard for Staff Officer and/or DP equivalent in their respective organisations but were not listed; These staff may however, if they so wish, apply to be

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assessed and be placed on the Assessment Panel list in accordance with the higher of their two scores and;

- Former NIO Grade Cs and Court Service EOs who in the most recent live generic competitions for Staff Officer and/or DP equivalent who were listed but not promoted or whose names were carried over to the list from the last generic competition but one.

If you are not sure which group you fall into please ask us and we will be glad to help you. If you decide not to take part in the assessment process, you will be considered as EO2 for posting purposes.

2.3 In line with the process outlined in 1.2 above, the timetable will be:

W/C 3 October	Roads shows to take place
1.00pm on 14 October	Closing Date for self-nominations
1.00 pm on 28 October	Closing Date for LMA Forms
During November	Assessment interviews to take place
December	Alphabetical List published
End of March 2012	Posts should be filled substantively

A separate note will issue outlining the arrangements for the Road shows. However as you may be unable to attend the Road shows I have attached all the associated literature:

- Self Nomination Form;
- Briefing note for Candidates (including the EO1 competencies);
- Guidance for Line Managers for the Assessment/Ratings Guide and EO1 competencies; and
- Frequently asked Questions

If you work in the London office, we will make separate arrangements to brief you on the process.

3. Self-Nomination Arrangements

3.1 All staff who consider that they meet the eligibility requirements and the selection criteria/competences and who wish to participate in the assessment process must complete the self-nomination form (attached at Annex A). Forms must be returned to gradecas@dojni.x.qsi.gov.uk. Only applications made on the self-nomination form will be accepted and no other papers should be attached. An electronic version of the self nomination form can be obtained by e-mailing gradecas@dojni.x.qsi.gov.uk.

3.2 A Candidate's Brief is provided for all candidates and it is important that all candidates read this carefully. This can be obtained from the intranet or by contacting gradecas@dojni.x.qsi.gov.uk

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3.3 Your self nomination form must be signed by your line manager. The completed self-nomination form must be returned to gradecas@dojni.x.gsi.gov.uk as soon as possible and not later than 1.00pm on Friday 14 October.

3.4 Late application of self nomination forms **will not** be accepted.

3.5 Candidates who, because of a disability, are unable to complete the self-nomination form should contact gradecas@dojni.x.gsi.gov.uk, or [REDACTED]

4. Line Manager's Assessment

4.1 A Line Manager's Assessment (LMA) **must** be completed for all candidates who self-nominate to determine if they are eligible to progress to the interview stage in the assessment process. This will also contribute to the candidate's overall score.

4.2 In order to be invited to the next stage of the assessment process, candidates must achieve a total LMA score of 57 (out of a possible 100) or above in respect of all the 5 criteria in the LMA.

4.3 LMA Guidance and the LMA Form are available on the intranet. These can be also be obtained by contacting gradecas@dojni.x.gsi.gov.uk.

4.4 LMA's must be completed and returned to gradecas@dojni.x.gsi.gov.uk, or [REDACTED] by 1.00pm on Friday 28 October. In view of this candidates are instructed to ask their line managers to commence the LMA process as soon as they decide to self-nominate.

4.5 Late submission of LMA's **will not** be accepted.

5. Interview Procedures

5.1 Candidates will be interviewed by a panel consisting of 3 members and it is anticipated that the panel will be chaired by a Deputy Principal (DP). The panels will comprise of both NICTS and other DOJ staff. A separate list will be drawn up for the DOJ Core/NIPS and one for the NICTS.

5.2 Panel members **will not** have access to your self-nomination form, performance management reports or LMA score.

5.3 Candidates will be interviewed against the selection criteria/competences for the EOJ grade, as set out in the NICS Core Competence Framework. Equal weight will be applied to each of the selection criteria/competences. There is no minimum passmark for

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each competence. Each selection criterion/competence will be marked out of a total 30.

- 5.4 Staff who work part-time or job-share will be treated at interview in the same way as full-time staff. The availability of part-time/job-share posts will not be considered by the interview panel.

6. At the end of the Interview

- 6.1 At the end of each interview the panel will assess the information presented by the candidate at interview against each selection criterion/competence. A score will then be allocated against each selection criterion/competence and a total interview score derived accordingly.
- 6.2 Following the interview process your interview score will be added to the score achieved in the LMA. You should note that the interview will account for 60% of the marks available and the LMA 40%.

7. Appeals

- 7.1 The appeals process for the LMA is set out in the Briefing Notes for Candidates.

8. Availability

- 8.1 It is intended that interviews will take place in November 2011. Candidates will be notified of details as soon as possible. It is important that candidates make every effort to be available as it may not be possible to provide an alternative time and/or date.
- 8.2 If you decide to self-nominate, but for good reason you will not be available at any time during this period, you should complete the relevant part of the self-nomination form.

9. Feedback

- 9.1 Candidates will have the opportunity to receive feedback on their performance at interview. This request for feedback should be made to the gradecas@dojni.x.qsi.gov.uk after the results of the assessment have been notified.

10. Withdrawal from the assessment

- 10.1 Candidates who withdraw from the assessment after the closing date for the receipt of the self-nomination form will not be readmitted at a later stage.

11. Contact

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11.1 Should you have any queries please contact gradecase@dojni.x.qsi.gov.uk or



The View Buildings
Stormont Estate
BT4 3SG

12. Conclusion

I am conscious that you have been waiting a long time for this process to start. Thank you for your patience. Please make full use of the help and guidance available to you through the Road shows, FAQs and other material. If you have any questions which we have not covered please ask.




NORTHERN IRELAND CIVIL SERVICE
SELF-NOMINATION FORM

**ASSESSMENT OF FORMER NIO GRADE Cs AND COURT SERVICE EOs
TO NICS EOI**

Name:		Telephone Number (in full):	
Department:		E-mail Address:	
Branch:		Payroll Number:	
Full Office Address:			

This form must be fully completed. No other paper should be submitted.

The form should be completed clearly in black ink. The form should be signed and dated below and passed to the relevant Line Manager (i.e. for former NIO Grade C's it will be B2 or analogous or above and for EO staff in Court Service, Staff Officer or analogous or above) for signature. **The signed form may be submitted electronically by scanning it and returning via the relevant Line Managers email account. Paper copies of the signed form may also be submitted.**

I note that any person, or any person who assists in, knowingly or recklessly providing false information at interview, or interfering with or compromising the assessment process in any way, will be withdrawn from the assessment (where appropriate) and will face disciplinary action which may include dismissal.

I wish to nominate for the forthcoming EOI assessment process.

Candidate's Signature: **Date:**

I have noted the individual's decision to self-nominate for this assessment.

Line Manager Signature: **Date:**

Print name: **Tel No:**

Completed Self-Nomination Forms should be returned to gradecas@dojni.x.gsi.gov.uk, [redacted] Hillview Buildings, Stormont Estate, BT4 3SG to arrive not later than 1.00PM on Friday 14 October

As interviews are due to commence in November I am unavailable for interview on the following date(s)/ time:

Date(s) _____
Reason _____

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STAFF NOTICE

DATED 30 SEPTEMBER 2011

**ASSESSMENT OF FORMER NIO GRADE CS AND COURT SERVICE EOs
FOR EXECUTIVE OFFICER I
ROAD SHOWS**

As outlined in [REDACTED] note of 30 September a number of Road Shows have been arranged to explain the process. We would encourage all relevant staff and their line managers to attend one of these Road Shows. You will also be able to draw on the documentation on the Intranet such as Frequently Asked Questions material, associated guidance as well as using the dedicated mail box to ask any specific question or query you or your line managers might have.

The details of the Road Shows are as follows:-

WEDNESDAY 5 OCTOBER – BLOCK B CONFERENCE ROOM CASTLE BUILDINGS, STORMONT ESTATE

- 10:00am – 11.30am
- 1.30pm – 3.00pm

THURSDAY 6 OCTOBER – MAY CHAMBERS IN BELFAST

- 10:00am – 11.30am
- 1.30pm – 3.00pm

FRIDAY 7 OCTOBER – MAY CHAMBERS IN BELFAST

- 10:00am – 11.30am
- 1.30pm – 3.00pm

MONDAY 10 OCTOBER – CRAIGAVON COURT OFFICE

- 10:00am – 11.30am
- 1.30pm – 3.00pm

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Staff giving the presentations will be available from 1.00pm at the Road Show venues to speak with anyone who has a specific individual query. Separate Road Show arrangements have been made for staff in NIPS Establishments, PPS staff and staff on secondment to the NIO working in the London office. To assist with the arrangements for the Road shows we would be grateful if you could please send an email to the dedicated mailbox confirming which Road show you wish to attend.

The mailbox address is: -gradecas@dojni.x.gsi.gov.uk

Please attend if you can.

(1) Information Management Policy Annex B section 4. (CM 2876326)

Are emails considered records?

The same rules apply to email as to any other form of correspondence.

Attachments to email are often important documents. It is for the individual to decide if an email and/or attachments meet the criteria for retention, depending on their business content, context and importance.

(<https://niointranet.org.uk/task/saving-emails-to-trim/>)

(2) Internet & Email Usage Policy section 11: Storing Emails (CM 2885278)

11. STORING EMAILS

11.1 To enable compliance with a wide range of statutory duties and responsibilities, including audit, Freedom of Information Act, Data Protection Act and the Public Records Act, the NIO has a duty to keep a permanent record of all significant documents. E-mails should be retained which:

- provide the only evidence of the origin of and/or date of receipt of an attached document which needs to be retained;
- record decisions or provide authority for action;
- are required to maintain business continuity;
- might be needed for administrative, accounting, audit, research or historical purposes;
- might be needed to prove whether an activity or transaction took place; and/or
- need to be retained should an Access to Information (FOI/DPA) request be submitted until the request and any appeal have been dealt with.

11.2 You should catalogue emails with the relevant protective marking into a suitable container in your Electronic Documents Records Management System (EDRMS) e.g. TRIM. Paper copies of emails need only be retained where the EDRMS has a lower protective marking than the protective marking of the email; such copies must be filed in a registered file.



MANAGEMENT BOARD – 15 January 2016

EMAIL AS A CORPORATE RECORD

Purpose

To seek support for maintaining existing policies and practices in the management of email as departmental records

Background

The changes to the IT software in the NIO will impact on the way staff manage information. Managing information is a corporate responsibility.

The department should be framing guidance to staff on the use of new IT hardware and software. This guidance should include clear direction to staff on how to support corporate management of records, including email.

At present the NIO requires its staff to take responsibility for saving business email as records in TRIM. This responsibility is detailed in both the Email Usage Policy and the Records & Information Management Policy.

The current practice for email retention is 90 days, this works well and staff are used to it – so there is no reason to change it. Technically there will be no difficulties applying this limit to both Outlook and Gmail. All that is needed is the direction to the IT supplier to apply this limit.

Without these restrictions the new technologies may create some particular risks to the department:

No set limit on the size of individual email accounts. The danger for the NIO of the potential retention of unlimited emails in individual user accounts is that this removes an important inducement to saving to TRIM. If staff believe they can find an email in their account at any time in the future they will be much less inclined to save email as records in TRIM, no matter how easy the task. The high turnover of staff in the NIO is reason enough to highlight the risk to the department in this approach.

Retention of important information in Google Drive accounts. The availability of Google Drive as a place to store information poses a risk to the department. Unless saved to the Corporate Fileplan i.e. TRIM, such information cannot be effectively managed or considered to be corporate or departmental records. In which case its value as information to the department may be lost. However as long as it is in NIO dedicated storage space it is an NIO responsibility, with all the risks attached to holding information the department cannot easily locate or dispose of.¹

¹ Although not easily identifiable or retrievable, unstructured information held on departmental systems is still legally the property and responsibility of the department.



Use of Instant Messaging as an alternative to email. Instant messaging is likely to be a very useful tool. Although this is not a problem, it is important that staff recognise the difference between it and email. That is that communications in Instant Messaging are meant to be ephemeral. There is no reason to retain these messages. However any matters of significance to the department should be communicated by email and saved as records.

RECOMMENDATIONS

1. The department should continue the present approach and set size limits to all email accounts and impose automatic deletion at 90 days.
2. Guidance around use of the new technologies must make clear to staff their responsibility for saving (sent and received) email that meets the records criteria outlined in the Email and Records & Information Management policies.
3. Guidance should highlight the responsibilities and risks in not saving to TRIM.
4. Provision of Instant Messaging should ensure that messages once sent or read are automatically deleted.
5. Guidance to staff on the use of Instant Messaging should make clear their responsibility to use email for all matters of substance.

Included below at **Annex A** are some salient points on the importance of managing email as records, from Sir Alex Allan's [Review of Government Digital Records](#).



Annex A: Review of Government Digital Records

The responsibility of departments to ensure proper records capture, access and disposal was reinforced in Sir Alex Allan's recent review for the Cabinet Secretary, of the position across government on managing digital records. <https://www.gov.uk/government/publications/government-digital-records-and-archives-review-by-sir-alex-allan>

In his Review Sir Alex stresses the importance of good records management to support good government, to comply with the Public Records and the Civil Service Code, and to provide accountability for government conduct². He also cited recent requirements to supply records to public inquiries, as well as embarrassing instances of departments providing incomplete material due to poor records management.³

In the section '**Issues going forward; and dealing with the past**' Sir Alex raises the accountability problems caused by poor management of emails as records. He notes that departments are aware of problems and have moved to new technologies which have improved storage and sharing capacities, but he observes that issues remain with saving emails. He adds "Even with improved systems, there will be a need to ensure the appropriate culture is embedded That will be easier if common tools and common processes are adopted and backed up by sustained and co-ordinated top down support and encouragement."⁴

There is a further section on **Emails** (paragraphs 60-63), as well as reference to email capture in the section on **Private Offices** (paragraphs 64-66); all of which deal with the importance of email as corporate records.

(4) Guidance on Email Deletion Get It Filed! (CM 2911416)

GUIDANCE TO STAFF ON EMAIL DELETION

From: [REDACTED]
Sent: 22 February 2017 11:09
To: DG_NIO ALL STAFF
Subject: GET IT FILED!



² Review paragraphs 6 – 8;

³ Review paragraphs 10 - 11

⁴ Review paragraph 30



Dear Colleagues,

90 DAY RULE FOR EMAIL RETENTION

Please remember to TRIM all emails of importance, don't leave them in Outlook!
As you are aware the NIO has a policy of deleting emails after 90 days.
Don't be caught out!

WHY

There are sound business reasons for saving emails in the departmental records store.

- Accountability for our decisions
- Corporate Memory to support future business
- Historical Record for the public
- Transparency of government business

WHAT

We should retain information that is used to support and inform decision making, for example: project documentation or evidence supporting policy development.

Other *examples* include:

- Submissions to senior management and to ministers and their responses;
- Terms of Reference, Memoranda of Understanding and other agreements; committee papers, records of meetings, reports;
- Correspondence, consultations/discussions with external stakeholders;
- Official correspondence; Parliamentary business; FOI & DPA requests & responses;
- Memos, internal records of business discussions and records of commercial transactions;
- Financial information; HR and management information.

COSTS & BENEFITS

We are accountable for the information we create and keep and are responsible for managing it.

The department carries a legal responsibility for all information on its systems and also pays for its storage.

Information appropriately selected, titled and saved is of value to the department in conducting its business and in meeting statutory obligations.

If you have any problems or need additional folders please contact your LIM (see below) or email the Fileplan Mailbox.

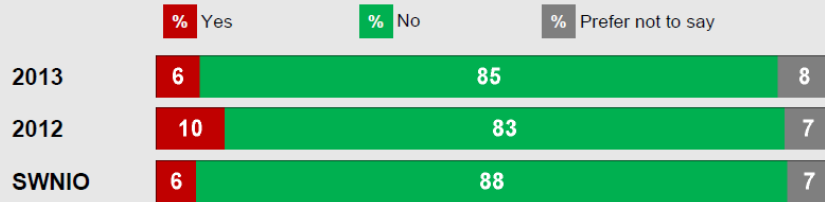
Name **Location** **Division / Unit**



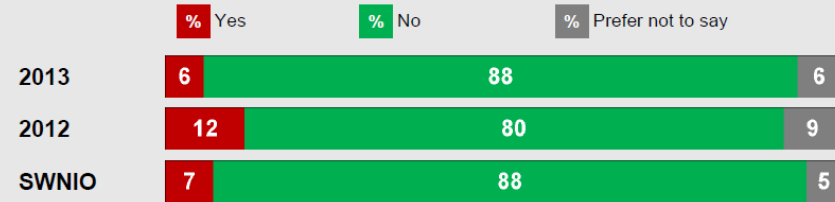
All questions by theme

Discrimination, harassment and bullying

E01. During the past 12 months, have you personally experienced discrimination at work?



E03. During the past 12 months, have you personally experienced bullying or harassment at work?



For respondents who selected 'Yes' to question E01.

E02. On which of the following grounds have you personally experienced discrimination in the past 12 months? (multiple selection)

	Response count
Age	--
Caring responsibilities	--
Disability	--
Ethnic background	--
Gender	--
Gender reassignment or perceived gender	--
Grade, pay band or responsibility level	--
Main spoken/written language or language ability	--
Religion or belief	--
Sexual orientation	--
Social or educational background	--
Working location	--
Working pattern	--
Any other grounds	--
Prefer not to say	--

Please note: Counts of fewer than ten responses are suppressed and replaced with '--'

For respondents who selected 'Yes' to question E03.

E04. Who were you bullied or harassed by at work in the past 12 months? (multiple selection)

	Response count
A colleague	--
Your manager	--
Another manager in my part of the Office	--
Someone you manage	--
Someone who works for another part of the Office	--
A member of the public	--
Someone else	--
Prefer not to say	--

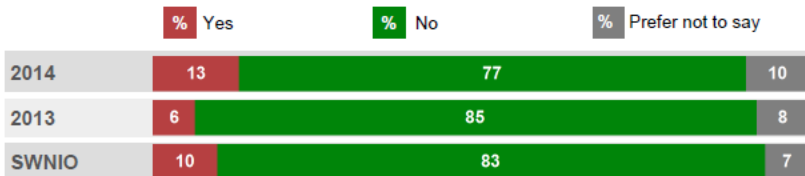
Please note: Counts of fewer than ten responses are suppressed and replaced with '--'

All questions by theme

↔ indicates statistically significant difference from comparison
^ indicates a variation in question wording from your previous survey

Discrimination, harassment and bullying

E01. During the past 12 months, have you personally experienced discrimination at work?



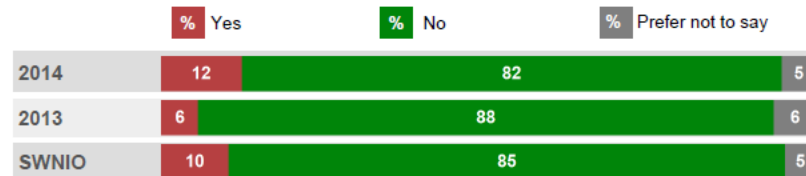
For respondents who selected 'Yes' to question E01.

E02. On which of the following grounds have you personally experienced discrimination in the past 12 months? (multiple selection)

Response	Count
Age	--
Caring responsibilities	--
Disability	--
Ethnic background	--
Gender	--
Gender reassignment or perceived gender	--
Grade, pay band or responsibility level	--
Main spoken/written language or language ability	--
Religion or belief	--
Sexual orientation	--
Social or educational background	--
Working location	--
Working pattern	--
Any other grounds	--
Prefer not to say	--

Please note: Counts of fewer than ten responses are suppressed and replaced with '--'

E03. During the past 12 months, have you personally experienced bullying or harassment at work?



For respondents who selected 'Yes' to question E03.

E04. Who were you bullied or harassed by at work in the past 12 months? (multiple selection)

Response	Count
A colleague	--
Your manager	--
Another manager in my part of the Office	--
Someone you manage	--
Someone who works for another part of the Office	--
A member of the public	--
Someone else	--
Prefer not to say	--

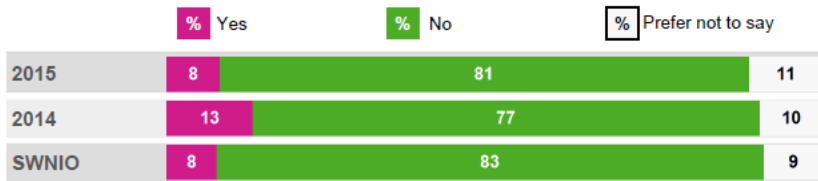
Please note: Counts of fewer than ten responses are suppressed and replaced with '--'

All questions by theme

↔ indicates statistically significant difference from comparison
^ indicates a variation in question wording from your previous survey

Discrimination, harassment and bullying

E01. During the past 12 months, have you personally experienced discrimination at work?



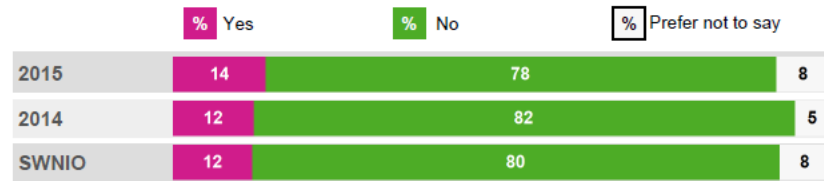
For respondents who selected 'Yes' to question E01.

E02. On which of the following grounds have you personally experienced discrimination at work in the past 12 months? (multiple selection)

Ground	Response Count
Age	--
Caring responsibilities	--
Disability	--
Ethnic background	--
Gender	--
Gender reassignment or perceived gender	--
Grade, pay band or responsibility level	--
Main spoken/written language or language ability	--
Religion or belief	--
Sexual orientation	--
Social or educational background	--
Working location	--
Working pattern	--
Any other grounds	--
Prefer not to say	--

Please note: Counts of fewer than ten responses are suppressed and replaced with '--'

E03. During the past 12 months, have you personally experienced bullying or harassment at work?



For respondents who selected 'Yes' to question E03.

E04. Who were you bullied or harassed by at work in the past 12 months? (multiple selection)

Response	Response Count
A colleague	--
Your manager	--
Another manager in my part of the Office	--
Someone you manage	--
Someone who works for another part of the Office	--
A member of the public	--
Someone else	--
Prefer not to say	--

Please note: Counts of fewer than ten responses are suppressed and replaced with '--'



Scotland Office



Wales Office
Swyddfa Cymru



Northern
Ireland
Office

Returns : 94

Response rate : 83%

Civil Service People Survey 2016

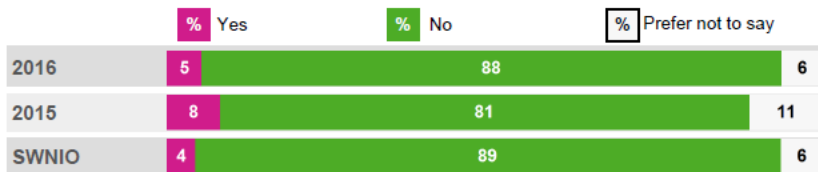
Northern Ireland Office

All questions by theme

↔ indicates statistically significant difference from comparison
^ indicates a variation in question wording from your previous survey

Discrimination, harassment and bullying

E01. During the past 12 months, have you personally experienced discrimination at work?



E03. During the past 12 months, have you personally experienced bullying or harassment at work?



For respondents who selected 'Yes' to question E03.

E05. Did you report the bullying and harassment you experienced?

Results for this question have been suppressed as there are fewer than ten responses

For respondents who selected 'Yes' to question E03.

E06. In your opinion, has this issue been resolved?

Results for this question have been suppressed as there are fewer than ten responses

For respondents who selected 'Yes' to question E01.

E02. On which of the following grounds have you personally experienced discrimination at work in the past 12 months? (multiple selection)

	Response Count	
Age	--	--
Caring responsibilities	--	--
Disability	--	--
Ethnic background	--	--
Gender	--	--
Gender reassignment or perceived gender	--	--
Grade, pay band or responsibility level	--	--
Main spoken/written language or language ability	--	--
Religion or belief	--	--
Sexual orientation	--	--
Social or educational background	--	--
Working location	--	--
Working pattern	--	--
Any other grounds	--	--
Prefer not to say	--	--

For respondents who selected 'Yes' to question E03.

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A colleague	--	--
Your manager	--	--
Another manager in my part of the Office	--	--
Someone you manage	--	--
Someone who works for another part of the Office	--	--
A member of the public	--	--
Someone else	--	--
Prefer not to say	--	--

Please note: Counts of fewer than ten responses are suppressed and replaced with '--'



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SAFETY REVIEW TEAM

**The Rt Hon Paul Murphy MP
Secretary of State for Northern Ireland
Northern Ireland Office
Block B
Castle Buildings
Belfast
BT4 3SG**

29 August 2003

Dear Secretary of State

REVIEW OF SAFETY AT HMP MAGHABERRY

When you appointed us on 7 August you gave us the following terms of reference:

“to consider, in consultation with prison management, staff, their unions, prisoners and other interested groups and taking account of relevant practice in other jurisdictions, the options for improving conditions at Maghaberry Prison, particularly as they relate to safety, for all prisoners and staff, remembering the Prison Service’s statutory obligations as set out in s. 75 of the Northern Ireland Act 1998, and bearing in mind the lessons of the past and the new environment created by the Good Friday Agreement, and to make recommendations to the Secretary of State for Northern Ireland”.

You asked us to report by the end of August and made it clear that what you wanted was a set of recommendations, not a weighty tome. We have taken you at your word. An account of the consultation exercise we carried out and our recommendations are contained in three Appendices to this letter covering options in relation to separation, other issues which came up and a list of the individuals and groups who helped us.

You will see that we have concluded in Appendix A that separation of paramilitary prisoners is necessary in the interest of safety. We reached this view after much soul-searching and on the basis that the Government will never again concede complete control of the wings to prisoners as happened at Maze. We have not spelt out how separation should be arranged within the prison. That is a matter for the Prison Service and the Governor but we are satisfied, from discussions with prison management, that suitable arrangements can be made. We hope that separation outside the wings, for example, in education, can be avoided. Otherwise the regime for separated prisoners could be affected.

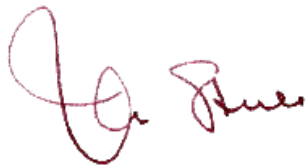
The issues set out in Appendix B all in one way or another relate to safety within the prison. In particular we believe that the regular delivery of a comprehensive regime makes a huge contribution to safety. We hope that the Government will ensure that the resources necessary for this will be made available.

We are very grateful to all those listed in Appendix C who gave us freely of their time and expertise. The Governor of Maghaberry, in particular, could not have been more helpful in facilitating our work in the prison.

There is one point not covered in the Appendices which we wish to raise with you. Unlike Great Britain, Northern Ireland does not have a Prison Ombudsman. We believe that such a post could make a valuable contribution to defusing the tensions which are bound to arise in prisons.

Finally, we should like to mention the contribution made by our Secretary. He arranged our programme and made the necessary appointments, provided us with papers and information and took a full part in our discussions. We could not have managed without him.


We would of course be happy to discuss our report with you.



John Steele



Kevin Donaghy



Barry Dodds

APPENDIX A

OPTIONS RAISED DURING CONSULTATION

1. Maintain Status Quo

Very difficult to do, particularly if, as is likely, protests become more widespread or escalate and the number of paramilitary prisoners continues to increase. Prison staff might well be put at even more risk. And we note in passing that it is only for so long that the system can go on returning prisoners from the special secure unit after punishment in the full knowledge that they will foul their cells to the detriment of everyone on the wing.

2. A Degree of Separation.

The only method of achieving this which the Review Team has identified would involve placing clusters of Republicans and Loyalists in cells at each end of a landing with ordinary criminals in between. Control of movement between the two halves of the wing would bring some increase in safety but would be unlikely to lead to the end of protests for separation. In addition, ordinary criminals would be even more open to bullying and recruitment than at present.

3. Use Cell Blocks At Maze.

Removing protesting prisoners to the Maze, where we understand two blocks remain functional, would be likely to lead to Maze-style segregation for both Republican and Loyalist prisoners. It would constitute a big backward step for the Prison Service and would be seen as such in the community.

4. Use of Magilligan.

High security prisoners could be moved from Maghaberry to the H block accommodation at Magilligan on separation with the lower risk Magilligan prisoners replacing them at Maghaberry. This would permit Maghaberry to operate as an integrated establishment. However, “Maze at Magilligan” would again be a step backwards. We note in passing that Magilligan is currently working well.

5. Compounds.

The establishment of compounds with military guards might well be welcomed by paramilitary prisoners and would permit Maghaberry to operate normally but in every other way would be unacceptable.

6. Religious Separation.

If Maghaberry was separated on religious lines the paramilitary prisoners might well feel safer but the ordinary criminals would have been delivered into their hands.

7. Separation By Paramilitary Affiliation.

This could provide a safer environment provided:

- staff remain on landings;
- normal lock-ups are applied;
- and
- prisoners have the option of mixed accommodation.

In other words, Maze-style segregation is out of the question on safety grounds and the Government and Prison Service would have to make it clear beyond doubt that 24 hour unlock and the withdrawal of staff are not negotiable. The staff involved would require special training

and strong support. Prisoners would be subject to punishment for misbehavior, perhaps using the Port Laoise model of loss of visits or television for a period instead of cellular confinement. In serious cases removal of a prisoner to another jurisdiction might be considered.

ISSUES WHICH AROSE DURING REVIEW

RESOURCES

1. Staffing Levels.

In recent times the Governor of Maghaberry has not been able to provide a full regime to prisoners, particularly those on remand. This seems to derive from recent protests and high levels of sick absence as well as an inefficient shift system. The Director General has told the Review Team that steps are being taken to improve attendance management and to deal with the high levels of sick absence. The Review Team welcomes this but wishes to emphasise that an irregular regime and long lock-ups work against the safety of prisoners and staff.

2. Fine Defaulters.

Fine defaulters consume a lot of resources which could be used more beneficially. The Secretary of State should find a way of dealing with them other than imprisonment, for example community service. In the meantime they should go to Magilligan rather than Maghaberry.

3. Detainees.

A number of detainees are held in Mourne House. The Review Team suggests that urgent steps are taken to deal with them outside the prison system.

STAFF

1. Morale

In general the morale of staff in Maghaberry is not high. The leaking of large numbers of their names and addresses has not helped. Neither has a subsequent incursion of Republican dissident supporters into Dundonald House. And these were compounded by what the staff see as foot-dragging and penny-pinching on security precautions at their homes. The pipe bomb attacks at the homes of several officers has emphasized the dangers. In addition, staff feel they do not receive credit for what they do and that management does not always support them as fully as they might. The Review Team's report may not help matters as it will be seen by many as another concession to prisoners. These issues together constitute a leadership/management challenge of a high order and a concerted strategy should be drawn up, involving Headquarters and the prison, to address it.

2. Prison Officers Association

Relationships are poor between the two local Maghaberry Committees of the Prison Officers Association and the Governor. So are the relationships between the POA at regional level and Prison Service Headquarters. This is unhelpful all round and steps should be taken to rectify matters. A good start was made during the Review when the POA responded positively to a Headquarters proposal for a review of the regimes, task lines, shift patterns etc.

3. Confidence

The Governor should do everything in his power to build up the confidence of staff, especially those who deal with paramilitary prisoners. Training, sympathetic management, close support and help after serious incidents, as well as regular change of work area, can all play a part.

4. Recruiting

When recruiting recommences a special effort should be made to recruit from the nationalist community. This may not be easy but the effort should be made.

REGIME

1. Doubling.

The Review Team considers that the cells in Maghaberry prison are unsuitable for holding two prisoners, except perhaps those serving very short sentences, and hope that the Governor will work towards a substantial reduction in this practice.

2. Remand/Sentenced.

At present sentenced prisoners and those on remand are held separately. The Review Team considers that greater efficiency in regime delivery might be achieved if they could be held together.

3. Bureaucracy.

It should not be necessary to apply every day for prescribed medication. Nor should it be necessary to fill in a form if you want to go to church. And an efficient letter censoring process should be regarded as a priority.

4. Newspapers.

Newspapers for prisoners can only be ordered and paid for at a newsagent in Maghaberry village where some nationalist families feel uncomfortable because of loyalist flags and symbols. A second supplier should be identified at a neutral location.

5. Drugs.

It is never going to be possible to eliminate drugs from a prison but every effort should continue to be made to do so. A drug-free area or areas should be established.

SECURITY

1. Cameras.

The Review Team considers that the closed circuit television system should be upgraded and extended throughout the prison.

2. Reserve accommodation.

At present there is little reserve accommodation available in the Northern Ireland Prison system (other than Maze which will soon become unavailable). This needs to be rectified as soon as possible either by accelerating a proposed new build at Maghaberry or by arranging other emergency measures.

3 Searching.

The Review Team was told that prisoners are not searched on return from workshops and that x-ray and metal detector machines are often turned off. This needs to be rectified.

4. Staff Security

Staff consider that their security could be improved if staff and visitors did not enter the prison at the same gates and if the staff car park could not be seen by visitors. The Review Team considers these fears to be not unreasonable in all the circumstances and suggests the Governor examines ways of meeting them. Similarly staff feel that security precautions at their homes are being implemented too slowly. The Northern Ireland Office should examine ways of speeding things up.

5. Quakers

At present Quaker staff are required to enter the visits area through the search box with prisoners. This can be an unpleasant experience and staff should be permitted to revert to entering with visitors.

VISITS

Family visits should be a pleasant and beneficial experience for all concerned. There is, however, at present a whole complex of problems associated with family visits at Maghaberry leading to much dissatisfaction and anger. There are problems getting through to the prison to make a booking, problems with queuing at the gate in all weathers, problems of timing, problems relating to the environment in visits and, last but not least, problems relating to the passive drug dogs and the use of closed visits. In addition, families allege that prison officers'

attitude to them is very much less than satisfactory. The Review Team has discussed the situation with the Director General and suggested to him that these problems are urgent and that closer management and training should be put in place immediately.

COMMUNICATION

1. Public Relations.

The general public in Northern Ireland harbour a number of misconceptions about prisons here. These range from “too soft” and “the prisoners get whatever they want” to “the prisoners are victimized by a sectarian staff”. The Prison Service should draw up a plan to inform the public about the realities of life in prison for staff and inmates. This would lead to greater understanding of the role of prison officers and make it more difficult to justify prison-related protests and street demonstrations. It may be appropriate to engage a public relations consultant/agency.

2. Prisoner Support Groups.

At present the Prison Service appears to have little communication with political and other groups representing the interests of prisoners. The Review Team believes that building constructive relationships with such groups at Headquarters and establishment levels could be useful for both the Service and the prisoners.

APPENDIX C

List of Consultees

Director General, Northern Ireland Prison Service

Director of Prison Operations, Northern Ireland Prison Service

Governor of Maghaberry Prison

Deputy Governor of Maghaberry Prison and Management Team

National Chairman of Prison Officers Association

Chairman of Prison Officers Association (NI)

Members of Maghaberry Prison Officers Association Committee

Members of Mourne House Prison Officers Association Committee

Area Chairmen and Secretaries of the Prison Officers Association

Chairman and members of the Prison Governors Association

Chairman and members of the Board of Visitors at Maghaberry

Representatives of the Northern Ireland Public Service Alliance

Maghaberry Chaplains

Maghaberry Education Staff

Head of Psychology at Maghaberry

Maghaberry Probation Staff

Individual members of staff at Maghaberry

Individual prisoners at Maghaberry (over 100 separate consultations)

Governor and senior members of staff during visit to Magilligan Prison

Individual prisoners at Magilligan

Governor and members of staff during visit to Hydebank Wood

Representatives of Prisoners Families

Northern Ireland Association for the Care and Resettlement of Offenders

Ex Prisoners Interpretative Centre

Prisoners Aid Networking Group

Ulster Political Research Group

Alliance Party

Social Democratic and Labour Party

Ulster Unionist Party

Sinn Fein

Progressive Unionist Party

Democratic Unionist Party

United Kingdom Unionist Party

Quakers

Irish Republican Prisoners Welfare Association

Loyalist Commission

Governor and senior staff during visit to Port Laoise Prison

Director General, Irish Prison Service

Director of Operations, Irish Prison Service

Written submissions to the Review Team (as at 28 August 2003)

Alliance Party

British Irish Rights Watch

Sinn Fein

Board of Visitors Maghaberry

Extern

Progressive Unionist Party

Individual Prisoners

Individual members of Prison Staff

Northern Ireland Association for the Care and Resettlement of Offenders

Ulster Political Research Group

Prisoners Aid Networking Group

Father Denis Faul

Principal Psychologist at Hydebank Wood

Head of Psychology at Maghaberry Prison

Dungannon and South Tyrone Borough Council

Law Centre (NI)

Ex Prisoners Interpretative Centre

Ex-prisoners Assistance Committee Ltd