



# Policy for the declaration and management of outside interests

**Revisions:**

<b>27.08.25</b>	<b>10.12.25</b>			

## Declaration and management of outside interests

### Purpose

The purpose of this policy is to ensure all Criminal Justice Inspection Northern Ireland (CJI) staff have a clear understanding of what might or does constitute a relevant outside interest and ensure that CJI takes a consistent approach to the management of outside interests.

All CJI staff are expected to meet the [Seven Principles of Public Life](#) (The 'Nolan Principles') and adhere to the [Northern Ireland Civil Service \(NICS\) Standards of Conduct \(6.01\)](#) and Code of Ethics that CJI defaults to. CJI staff must not misuse their official position or information acquired in the course of their official duties to further their private interests or those of others. The requirement to act with honesty and integrity is key to how any outside interests should be considered and managed.

Independence, impartiality and integrity are three of CJI's organisational values; every member of staff must uphold and must be seen to be upholding those values at all times.

This policy outlines types of outside interests, the expected standards when declaring and managing relevant outside interests, how to consider whether a perceived, potential or actual conflict exists and what action must be taken in those circumstances.

It applies to all permanent and temporary staff including those on probation, staff on fixed term appointments and Associate Inspectors.

The [NICS Standards of Conduct \(6.01 v 19\)](#) is the established document from which this CJI policy has been derived and adapted. The NICS Standards and Conduct and Code of Ethics should be read alongside each staff member's Terms and Conditions of employment and CJI's guidance on Gifts and Hospitality.

### Outside interests

1. The National Audit Office defines a conflict of interest as: *"A set of circumstances that creates a risk that an individual's ability to apply judgement or act in one role is, or could be, impaired or influenced by a secondary interest. It can occur in any situation where an individual or organisation (private or government) can exploit a professional or official role for personal or other benefit. Conflicts can exist if the circumstances create a risk that decisions may be influenced, regardless of whether the individual actually benefits. The perception of competing interests, impaired judgement or undue influence can also be a conflict of interest."*

The [Northern Ireland Audit Office Good Practice Guide on Conflicts of Interest \(March 2015\)](#) defined a conflict of interest as *'at it most basic, a conflict of interest arises when an individual has two different interests that overlap'*.

2. Individuals may not always realise they hold relevant outside interests which give rise to a conflict of interest. In most cases, there will likely be nothing wrong or unethical in relation to the circumstances leading to a conflict of interest arising, but when it does, immediate steps must be taken to resolve the matter so as to ensure adherence to the NICS Code of Conduct. Consideration of relevant outside interests and action to be taken must be managed through the correct process. It is good practice to encourage open discussion about the declaration and management of outside interests between individuals and Line Managers (and Senior Management Team as appropriate) to ensure regular consideration of the issues.

3. The starting point is to consider any 'relevant' outside interests. Relevance relates to whether an outside interest (financial or otherwise) could be thought to have a bearing on

or overlap with the individual's official role/duties. Individuals should be encouraged to err on the side of caution, but the onus is on the individual to consider what might be relevant and promptly declare it. This means that an objective judgement can be taken by Line Managers and the Chief Inspector about the actual relevance of such an interest, and it may be considered not to in fact be of relevance.

4. In addition to the individual's own interests, those of close family members (for example spouse/partner, adult children, parents and siblings) and close friends should form part of consideration of relevant outside interests. This is limited by the extent to which the member of staff can reasonably be expected to know of such interest. Such information is sensitive personal data and must be handled accordingly by all who come into contact with it.

5. The responsibility is on the individual to declare all interests that could be relevant. The decision-maker in a particular case (usually the Line Manager) should first make an assessment as to the relevance of each declared interest and, if considered relevant, whether it meets the definition of an actual, potential or perceived conflict of interest as follows:

- a. **Actual conflicts** - where there is a risk that a staff member's ability to apply judgement is or could be impaired or influenced by an extant secondary interest.
- b. **Potential conflicts** - where a staff member's ability to apply judgement or act in their role could be impaired or influenced by a secondary interest in the future.
- c. **Perceived conflicts** - where a staff member's ability to apply judgement or act in one role could reasonably be perceived as impaired or influenced by a secondary interest (i.e. it could cause a reasonable person to think there was a conflict of interest).

6. In some cases, the decision-maker may consider that the interest is relevant but presents no issue (i.e. it does not meet the definition of an actual, potential or perceived conflict of interest).

### **Declaring interests**

7. All CJI staff must declare all relevant outside interests prior to accepting an appointment, work or employment, regardless of whether the offer and/or acceptance has been made verbally or in writing, and then as soon as possible on an ongoing basis thereafter.

8. The declaration of interests is a live process and must be completed before an offer of appointment, work or employment is made (including a secondment in), moving between roles (including a secondment out and where moves outside of CJI are temporary) and on an ongoing basis as necessary. The Business Support Team will issue an annual reminder to staff informing them of the need to confirm on an annual basis that their declaration of interests and register of interests' declarations are up to date (including a nil return).

9. When recruiting staff to CJI roles, all successful candidates are required to declare any relevant outside interests as part of the recruitment process, and to make clear that potential conflicts of interest will be explored with successful candidates following the interview process and before an offer of employment is made (as some outside interests may not be compatible with CJI roles). This will not, in the majority of cases, prevent employment in CJI, but is a measure that must be taken to ensure that appropriate mitigations can be put in place to manage any potential, perceived or actual conflicts from the first day of employment.

10. CJI will use the information provided by the applicant to explore the individual's ability to adhere to the CJI's Terms and Conditions of Employment, the Nolan Principles and the NICS Code of Conduct, including through testing actual, potential or perceived conflicts of interest in relation to the particular role being applied for following interview if the candidate is successful in line with the prevailing CJI Recruitment Principles. Appointment and subsequent employment in that role should be subject to resolution of any conflicts. CJI will follow a similar process in advance of agreeing inward secondments.

11. Individuals should not wait for any prompts to declare relevant outside interests. It is every employee's responsibility to declare interests prior to appointment and then as they arise thereafter. More information on the minimum expected standard for this is included under the section on 'the process for declaring outside interests'.

12. Below is a non-exhaustive list of types of interests that it might be necessary to declare. CJI may choose to add to this list or focus on interests which are likely to be most prevalent given their specific workforce context.

13. Individuals must declare any outside interests relevant to their CJI role against the following categories:

**a. Personal interests** - where a staff member has relevant close family or personal relationships (including from a work context) which could influence their objectivity. (see also paragraph 11 above).

**b. Financial interests** - where a staff member stands to gain financially from the work they are undertaking in the CJI or they can use their status to deliberately prevent someone else from gaining financially. This could also include where an individual has been declared bankrupt or their general financial status makes them more vulnerable to situations that could be seen to compromise their position.

**c. Political Interests** - where a staff member has undertaken relevant political activities which could affect their impartiality or could be perceived to impact their impartiality. This may include participating in political campaigning or making significant donations to a political candidate. Political interests must be considered on entry to CJI, taking into account the seniority and nature of the role and the individual's ability to adhere to the Nolan Principles and the NICS Code of Conduct and the NICS rules on political activity that CJI defaults to.

Previous political activity will not necessarily prevent candidates from being able to comply with CJI's impartiality requirements but should be considered as part of the declaration and management of interests' process. Where political interests are declared which may give rise to a concern about an individual's ability to uphold political impartiality, these should be referred to the Chief Inspector who may seek advice from the DoJ Sponsor Team or other sources of advice they may determine as relevant.

**d. Private shareholdings** - where a staff member holds shares in a business that CJI has a business relationship with.

**e. Outside occupations** – staff members must promptly declare all remunerated outside employment, work and appointments, whether or not considered relevant. Where work is not directly remunerated but may generate financial advantage for third parties, this should also be declared.

Where these roles might affect their work either directly or indirectly, Line Manager approval must be sought to either continue this work or before taking up any outside appointment, employment or work from CJI.

Line Managers need to apply the principles contained in the Acceptance of Outside Business Appointments, Employment or Self Employment by staff on leaving CJI (see Appendix 1) in deciding whether the outside employment can continue/be taken up. Specific consideration should be given to whether the role could be said to overlap with or draw on the knowledge or skills used in their CJI role as this will likely present a conflict of interest. Staff should complete the Model Application Form (Appendix 2) to assist with the consideration process.

Individuals must tell their Line Manager immediately of any changes in circumstances that may affect the permission they have been given. If the individual moves role within CJI, they must tell their new Line Manager (if applicable) about their additional employment and seek their approval. A written record of CJI's declaration of interest forms should provide the ability to record the consideration and approval. Any changes to the outside role, if agreed, should also be regularly considered.

Should you wish to take up an outside business appointment, employment or self-employment after leaving CJI, you may be required to apply for permission to do so. Further information on the circumstances when this may be relevant is can be found within the [NICS Standards of Conduct \(6.01\)](#) Section Eight and Annex Four. Staff should complete the Model Application Form (Appendix 2) if required to assist with the consideration process.

**f. Voluntary roles** - although CJI supports the performance of a wide range of voluntary roles in the wider public and third sectors, in some cases these roles may create a conflict with an individual's CJI role. For example, where a staff member works in a CJI role that holds regulatory, inspection, communication or procurement responsibilities for the organisation the staff member has a voluntary role for, or where they may have access to information which could be of benefit to the organisation for which they volunteer.

**g. Previous employment, appointment or other outside roles** - where an individual has previously held roles, or formed close working relationships, that might be relevant to their current role (in particular on entry to CJI and in the early years of their CJI career). This should also include any elected roles (e.g. Parish or local Councillor) and may need to be considered on joining in terms of the individual's ability to adhere to the NICS Code of Conduct, and in line with the NICS rules on political activity set out in the NICS Staff Handbook and other CJI policies.

**h. Business interests** - where an individual holds an interest in any organisation (including directorships) which they could use their position within CJI to further.

**i. Insider dealing** - Insider dealing is a serious criminal offence under the Criminal Justice Act 1993. If in the course of an individual's work, they come into possession of information that could be used for financial gain (or other types of gain) this must be treated in the strictest of confidence. It may be necessary to declare any interests that put an individual in a position where they could benefit from holding certain information.

**j. Procurements** - where relevant staff members have direct or indirect financial, economic or other personal interest which might be perceived to compromise their impartiality and independence in the procurement process.

**k. Any other relevant interests** - individuals should include any other interests they hold which might reasonably be perceived as relevant to their responsibilities as a public servant employed by CJI.

## Resolving conflicts of interest

14. Once an actual, potential or perceived relevant outside interest has been raised, the decision-maker, usually the individual's Line Manager, will need to decide what action to take in response. This should be agreed in conversation with the individual who has made the declaration where possible and then be formally recorded. The following is a non-exhaustive list of the type of action that may be taken:

- a. **Agreement that there is no conflict of interest (or perceived conflict of interest)** - it may be that the decision-maker and staff member decide that there is in fact no conflict of interest to be found. If this is the case, then no additional action is likely to be necessary.
- b. **Exclusion from the activity** - it may be that the only reasonable step to take to eliminate the risk is to have the staff member concerned remove themselves from the work, activity, relationship etc. that is causing the conflict of interest. All actual conflicts of interest must be resolved in this manner. Examples of actions include changing responsibilities, recusal from work or decision-making, divestment or ending a role.
- c. **Continue with the activity but implement actions to mitigate any real or potential risk** - what actions are necessary will be entirely dependent on the nature of the conflict of interest and the level of risk, however it might include things such as closer monitoring, revisions to existing work plans, or the additional disclosure of all relevant information to others involved in the decision-making process.

15. Any actual conflicts of interest must be resolved in a way which removes the conflict. Potential or perceived conflicts of interest may exist in some circumstances, provided that effective mitigations are put in place. The assessments, considerations and actions agreed should be properly documented to ensure a clear audit trail.

16. In thinking through an assessment, the decision-maker will want to consider, for example, how the decision would be explained to a Judge or defended publicly, and how it would look from the perspective of a member of the public. The Line Manager must agree what is proposed with the Chief Executive/Deputy Chief Inspector or Chief Inspector whose decision is final.

## Rules for CJI Employee Public Servants – private Occupations

### Types of private work which cannot be undertaken

17. Staff may wish to undertake a private occupation while retaining their CJI employment. As a guideline, the following information outlines the types of private work which **cannot** be undertaken by CJI staff:

- a. work which would occupy your time or attention, or render you unavailable for duty during normal official hours;
- b. work identified in any way with the activities of a political party, group or organisation (in line with the NICS Standards of Conduct paragraph 19.1 and Annex 8);
- c. work of an educational, literary or scientific nature involving the use of information acquired by you in your official capacity or from official sources, except where it has previously been published, unless you have received the permission of CJI to undertake such work;
- d. work of a nature conflicting with your duty to your employment with CJI or your role as a public servant;

- e. work which may ultimately have to be reviewed by you or any member of CJI acting in an official capacity;
- f. work, related to your function, which a public [or civil] servant might otherwise justifiably undertake, but which could involve unfair competition with persons wholly dependent on such work for a livelihood;
- g. work which would involve the use of CJI property, tools, equipment or materials; and
- h. work which is, or might be, inconsistent with your position as a public servant and may expose CJI to public criticism.

18. In case of doubt, you should contact your Line Manager and/or the CJI Business and Communications Manager for advice.

### **Additional rules to be applied to public sector work**

19. If you wish to undertake any private work (paid or unpaid) with another public sector body (including a Government Department) you must first advise and obtain approval in advance from CJI's Chief Inspector and Chief Executive to do so.

20. You can obtain this approval by notifying the Chief Inspector and Chief Executive in writing, outlining the position you wish to accept, a description of the role and work involved; the expected or anticipated time commitment, any likely changes and whether the position is paid or unpaid. You should also outline the anticipated impact and acceptance of an outside position may have on your role within CJI and how you propose to mitigate the impact/s.

21. It is important that you advise the Chief Inspector and Chief Executive if the work is paid or unpaid. Paid work includes a fee, payment or other compensation other than travel and subsistence expenses.

22. You should also outline how you will manage any possible conflict of interest (actual, perceived or potential) with your role in CJI.

23. Where approval is granted, you must tell your Line Manager immediately of any changes in circumstance that may affect the permission you have been given. Should you move roles within CJI, you must tell your new Line Manager about your additional employment/outside position and seek their approval.

The Chief Executive will regularly review any approvals and the implementation of this policy and business impact with individual staff members, as required.

24. You should inform your Line Manager as soon as possible of any changes to your outside role and if agreed, this should be regularly reviewed.

25. Failure to disclose a relevant outside interest could result in action being taken in line with the NICS Discipline policy which CJI follows.

### **Absences from the workplace to undertake paid work in another public sector post**

26. Following a policy change applied to the NICS Code of Conduct Section 6 from 1 December 2025, with effect from 4 December 2025 CJI staff wishing to undertake paid work in another public sector post must apply for unpaid leave.

Staff are no longer permitted to use their personal leave allowance or Time off in lieu (TOIL) for this type of work and previous agreements to use annual leave and or TOIL no longer apply. The exception to this change is where a staff member is working on behalf of the Electoral Commission at a polling station or with counting duties during local or general elections.

In these circumstances staff may still use a portion of their personal annual leave allowance or TOIL (see example).

This change strengthens the guidance and aligns with our financial principles which require us to avoid double payment from the public purse.

Requests for unpaid leave should be made in advance to and agreed by CJI's Chief Executive and notified to the Chief Inspector.

**Example:**

- A member of staff works full time and works five full days per week;
- Annual leave allowance is 6 weeks (30 days);
- No carry forward of annual leave from the previous leave year;
- Number of public and privilege holidays is 12 days;
- Statutory paid leave entitlement is 28 days.

**Calculation**

30 days annual leave	Plus	12 days public & privilege holidays	Less	28 days statutory paid leave	Equals	14 days
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27. In this example, the remaining balance of 14 days leave is portion of your personal annual leave allowance from which days may be used to undertake the maximum number of paid work on behalf of the Electoral Commission in a polling station or at a count centre during local or general elections.

28. CJI expects all staff to take their allocated public and privilege holiday allowance on the designated days except where they fall on a non-working day for staff on reduced hours/partially retired working patterns or a known business requirement must be met and written agreement has been reached between a staff member and their Line Manager in advance.

29. You must advise your Line Manager and Chief Executive in advance of all days you will be engaged in external work, employment or an appointment and mark these days on your electronic calendar for CJI business planning purposes. Non-compliance may lead to disciplinary action being taken.

30. There is no entitlement to the timing of unpaid leave for the purpose of undertaking other paid work and requests will be considered in advance accordance with normal procedures and subject to business needs. Requests must not be made retrospectively.

## **Pensions Abatement**

31. Staff who undertake work for another public sector body or Government Department, and who are considered to be an employee of that organisation, should consider if pensions abatement may be appropriate depending on the terms and conditions of their employment.

32. Staff are responsible for clarifying the impact on their pension of any change that would result in a permanent or temporary increase or decrease to their pensionable pay, excluding any normal pay rise payable to all staff. Staff should check the [Civil Service Pensions \(Northern Ireland\)](#) website for information on 'abatement' and how any increase in pensionable pay can affect pension benefits.

## **Tax Implications and other Salary Deductions**

33. Staff who undertake work for another body for which they are paid, should consider what tax and other salary deductions may apply. Staff are responsible for clarify this position with [HM Revenue and Customs \(HMRC\)](#) and making the necessary self-assessment returns and arrangements to make any payments/deductions that apply. Deductions applied by CJI will only relate to the salary which they are paid for their CJI employment.

## **Annual declarations and publication**

34. All CJI staff will need to confirm on an annual basis that their declarations of interest are up to date (including a nil return). Declaration of interests will be made available for scrutiny by the CJI Audit and Risk Assurance Committee (ARAC). This process continues to apply if CJI staff are on secondment. It will also apply to all Associate Inspectors/temporary appointments.

35. CJI must provide assurances in its Annual Reports and Accounts (ARA) of the robustness of their policies for the declaration and management of outside interests. [CJI's Declaration and Register of Interests](#) is publicly available on the CJI website and updated annually. Where considered appropriate, CJI's Business Manager will notify its DoJ Sponsor Team and its ARAC of any outside appointments held by staff. CJI may also choose to notify the DoJ Permanent Secretary and/or Minister of Justice.

## **Data protection and privacy**

36. United Kingdom data protection law requires that data controller organisations must identify a lawful basis for the collection and use of personal data relating to CJI and the outside interests of its staff including the Chief Inspector. Data controllers are also required to ensure that their processing of personal data is proportionate, lawful and fair. Any and all personal data gathered in relation to declarations of interest will be handled in accordance with the UK General Data Protection Regulation (UK GDPR) and the Data Protection Act 2018 (the [UK's Data Protection Legislation](#)).

37. Consideration of requests for release of any specific data contained within declarations will need to be considered in line with the [Freedom of Information Act 2000](#) (the FoI Act) and wider legislation relating to personal data. Similarly, proposals for publication by CJI will be considered in line with the same principles, to reflect that outside interests are personal data and therefore any publication needs to be considered alongside the right of the individual about how that data is used.

**This policy will be reviewed by the CJI Chief Executive every two years or more frequently should an issue arise that requires it.**

## **Appendix I**

### **Rules on the Acceptance of Outside Business Appointments, Employment or Self-Employment by staff members during their CJI employment or after leaving CJI**

#### ***1. Introduction***

1.1 The rules apply to all CJI staff who propose to take up an outside business appointment, employment or self-employment during or up to two years after the last day of paid Service.

#### ***2. Aim***

2.1 The aim of the rules is to maintain public trust in CJI and its staff in particular:

- a. to avoid any reasonable concerns that the advice and decisions of a CJI staff member might be influenced by the hope or expectation of future employment with a particular firm or organisation; or
- b. to avoid the risk that on leaving CJI, a former staff member might improperly exploit privileged access to contacts or sensitive information; or
- c. to avoid the risk that a particular firm or organisation might gain an improper advantage by employing someone who, in the course of their role, has had access to:
  - I. information relating to unannounced or proposed developments in policy, knowledge of which may affect the prospective employer or any competitors; or
  - II. commercially valuable or sensitive information about any competitors.

2.2 Applications may be approved unconditionally, or approved subject to a waiting period or other conditions. The imposition of conditions does not imply anything improper in a CJI staff member's relationship with the prospective employer, or by self-employment. Rather, it is an indication that accepting a position while remaining in CJI's employment or an immediate move from CJI to the employer, or self-employment without conditions, might be open to criticism or misinterpretation.

#### ***3. Who Must Apply, When and How***

3.1 The requirement to seek approval applies to all serving CJI staff and former staff members, and remains in force up to either 12 months or two years after the last day of paid service, depending on grade and/or if any of the circumstances set out at paragraph 4.2 apply.

3.2 These rules apply whether or not the business appointment, employment or self-employment is full-time, part-time or fee-paid employment in the United Kingdom, or overseas.

3.3 Before accepting any new business appointment, employment or self-employment all serving or former CJI staff must consider whether or not an application under the rules is required, and approach their Line Manager or the CJI Chief Executive in the first instance as early as possible. CJI's process for will have a process in place for handling business appointments/employment applications. This involves completion of an application form which will need to be countersigned by the appropriate Line Manager, and a decision made by either a Grade 7 or above, depending upon the applicant's grade, their role and whether or not they are still employed in CJI, see paragraphs 7.1 to 7.2. The applicant should send

the completed application form to their Line Manager, who will arrange for the application to be countersigned and processed.

3.4 An application form is available for downloading from the ISO Process Map [DN: application form in development].

3.5 Notification of decisions on applications will be made through the CJI Chief Executive/Chief Inspector.

#### **4. When Approval is Required**

4.1 Applications must be made by serving or former CJI staff:

a. If they are equivalent to Senior Civil Service (SCS) Grade 5, applications are required when a staff member is remaining in their post or during the two-year period after leaving office, if the individual's circumstances match one or more of those outlined at paragraph 4.2.

c. If they are Inspector Grade and below, the Rules normally apply during their employment or for one year after the individual's last day of paid service, if the individual's circumstances match one or more of those outlined at paragraph 4.2.

4.2 Circumstances for applications at SCS Grade 5 equivalent and below:

a. If they have had any official dealings with their prospective employer during either the last year, or two years of CJI employment depending on their grade (see paragraphs 7.1 to 7.4); or

b. If they have had official dealings of a continued or repeated nature with their prospective employer at any time during their period of CJI employment; or

c. If they have had access to commercially sensitive information of competitors of their prospective employer in the course of their duties; or

d. if their official duties during either the last year, or last two years of CJI employment, depending upon their grade (see paragraphs 7.1 to 7.4) have involved advice or decisions benefiting their prospective employer, for which the offer of employment could be interpreted as a reward, or have involved developing policy, knowledge of which may be of benefit to the prospective employer; or

e. if they are to be employed (or self-employed) on any consultancy basis and they have had any dealings of a commercial nature with outside bodies or organisations in either the last year or two years of their CJI employment depending on their grade (see paragraphs 7.1 to 7.4); or

f. the applicant has been involved in developing policy affecting their prospective employer, or have had access to unpublished CJI Inspection Programmes/unannounced Departmental/Government policy or other privileged information affecting their prospective employer, at any time in either the last year or two years of employment in CJI, depending upon their grade (see paragraphs 7.1 to 7.4); or

g. they have been responsible for regulatory, or any other decisions, affecting their prospective employer, at any time in either their last year or last two years in the CJI depending on their grade (see paragraphs 7.1 to 7.4); or

h. the proposed appointment or employment would involve making representations to, or lobbying CJI on behalf of, a new employer.

4.3 In circumstances where an individual is undertaking a role on a temporary promotion immediately prior to leaving CJI, it will be the temporary grade that will determine how the Rules are to be applied.

4.4 An individual should contact CJI's Chief Executive and Chief Inspector and if required, submit an application before any commitment is made to take up an outside business appointment, employment or self-employment. Only in exceptional circumstances should an individual make a retrospective application(s). Exceptional circumstances may be for example due to a family crisis, or sickness.

## **5. Applications**

5.1 CJI's Chief Executive must ensure that application forms are completed for all requests for approval of appointments which fall within these rules.

For this purpose:

a. the applicant must be asked to supply:

- i. full details of the proposed employment;
- ii. details of any official dealings with a prospective employer or with any other related organisation, including any competitors of the prospective employer; and

b. CJI must ensure that the application is fully completed and that they seek the comments of a countersigning officer who can verify, as far as possible, the information supplied by the applicant. The countersigning officer is normally the applicants' last Line Manager, who has knowledge of the staff member's previous role and responsibilities.

5.3 CJI must retain records of all applications received and any conditions imposed on individual applications.

## **6. Terms of Approval**

6.1 Applications under these rules will be approved either:

a. unconditionally; or

b. subject to conditions which may apply for up to two years during their employment with CJI or from the final day in Civil Service employment. Approval will not normally be given to start a paid appointment with a new employer before agreement is reached with the CJI Chief Inspector and Chief Executive or completion of the last day of paid employment with CJI.

6.2 Conditions may include:

- a. a waiting period before taking up the appointment/employment/self-employment;
- b. an absolute or qualified ban on the involvement of the applicant in dealings between the prospective employer and CJI;
- c. a ban on the involvement of the applicant in dealings between the prospective employer and a named competitor (or competitors) of that employer;
- d. in the case of consultancies, a requirement to seek official approval before accepting commissions of a particular nature, or from named employers;
- e. if the Decision Officer (normally the CJI Chief Inspector and/or Chief Executive) believes that the appointment/employment/self-employment is unsuitable, they may

add advice to its recommendation that the application be subject to a waiting period of up to two years and that advice will be available for publication;

f. a two-year ban may be applied by the Decision Officer on lobbying CJI on behalf of the applicant's new employer, which can be modified/reduced if justified due to the particular circumstances of an individual application.

6.3 In cases where it is proposed to impose a waiting period or other conditions, applicants should be given the opportunity of having an interview with the Decision Officer if they so choose, before a final decision is made.

## **7. Procedures for Dealing with Applications**

7.1 The Rules apply during employment or for two years or one year after the last day of paid CJI employment.

7.1.2 The CJI Chief Inspector and Chief Executive have the discretion to waive this minimum waiting period if the appointment/employment/self-employment is one, which is unconnected with the applicant's official knowledge and no questions of propriety or public concern arise.

7.1.3 As a general principle, there will also be a two-year ban on the applicant, lobbying CJI on behalf of their new employer. Former CJI senior management should not engage in communication with CJI with a view to influencing a CJI decisions or policy in relation to their own interests, or the interests of their new employer or any organisation to which they are contracted. The Chief Inspector may decide to modify/reduce this ban if it is justified to do so, based on the circumstances of an individual application.

### **7.2 Staff grades equivalent to CJI Inspector and below**

7.2.1 The Rules normally apply during a CJI's staff member's employment or for one year after the individual's last day of paid service, however CJI has discretion to apply the Rules up to two years if there is an exceptional case for doing so. An application is only required if the individual's circumstances match one or more of those outlined in paragraph 4.2. Applications are considered by and a decision made by the relevant Line Manager, or the CJI Chief Executive.

7.2.2 CJI's Business and Communications Manager will provide advice on whether or not an application is required.

7.2.3 Where a case appears to sit outside the policy, the case should be referred to the CJI Chief Inspector who may seek further information or guidance from CJI's Sponsor Team if required.

7.2.4 When referring cases to the CJI Chief Inspector, Line Managers must submit:

- a. a copy of a completed and countersigned application form; and
- b. a covering email, giving their own assessment of the application, including the outcome of any consultations with competitors of the prospective employer and their proposed or recommended course of action.

## **8. Reporting Offers of Employment**

8.1 If, under the rules, approval is required and an approach has been made from an outside employer, all serving and former CJI staff members are required to report such approaches to either their Line Manager or the CJI Chief Executive.

8.2 Staff concerned with procurement or contract work should report any such approach or offer of employment, particularly when it emanates from an outside employer/organisation with whom they or their staff have had official dealings, whether or not they are considering taking it up.

## **9. Making Staff Aware of the Rules**

9.1. While Line Managers will draw to the attention of staff the existence of existing CJI Policies and Procedures and the NICS Staff HR Handbook where it applies, Line Managers should take special care to explain to staff recruited from outside the public sector their position under the rules on appointment and include a copy of the Policy for the declaration and management of outside interests within staff induction packs. The Chief Executive should remind all staff of the rules:

- i. on retirement;
- ii. on resignation;
- iii. at the end of a limited-period appointment; and
- iv. Voluntary Exit.

9.2. Line Managers should take every opportunity, provided by letters of notification of offers of outside appointments or resignation/retirement, and requests for references, to check whether an application under the Rules is necessary.

## **9.3 Transparency**

9.3.1 In addition to notifying the CJI staff member/former staff member of the outcome of their application, CJI must also inform prospective employers of any conditions which have been attached to the approval of the business appointment, employment or self-employment.

9.2.2 CJI should make public on its website summary information in respect of applications from staff equivalent to SCS Grade 5 and above. This summary information should include the applicant's name, current/former role, grade, new appointment details and any restrictions imposed upon them. Before publishing information on the CJI website the CJI Chief Executive needs to ensure compliance with the Data Protection Act.

**Appendix 2****Model Application Form v1****Part 1: To be completed by the applicant**

<b>Name</b> (inc. any titles/decorations:		
<b>Payroll number</b>		
<b>Last/Present Grade &amp; Job Title</b>		
<b>Date of birth</b>		
<b>Reason for leaving CJI (if applicable – please tick)</b>	<b>Retirement:</b>	
	<b>Resignation:</b>	
	<b>Other (provide details)</b>	
<b>Address for correspondence inc. postcode:</b>		
<b>Email address:</b>		

**Part 2: To be completed by the applicant**

<b>Date if last day in CJI (if applicable)</b>	
<b>Date of last date in post in CJI (if applicable/different from above)</b>	
<b>Proposed starting date of outside appointment/new employment/self - employment.</b>	

**Part 3: To be completed by the applicant**

Details of Post/Posts held in last five years of employment with CJI inc. most recent/Current role

<b>Job Title</b>	<b>Dates</b>		<b>Grade</b>	<b>Brief description of duties/responsibilities</b>
	<b>From</b>	<b>To</b>		

NB: Complete Part 4 if you are proposing to join a company/organisation (either full time, part time; as a consultant). If you are proposing to set up an independent consultancy, proceed to Part 5. All applicants to complete Parts 6 and 7.

**Part 4 To be completed by the applicant (if applicable)**

Appointment with a company/organisation

<b>Company/Organisation Name:</b>	
<b>Nature of business:</b>	
<b>Full address inc. postcode:</b>	
<b>Name of contact in Company/Organisation</b>	

<b>Position</b>	
<b>Telephone number and email address</b>	
<b>Company's/Organisations parent company/group/</b>	
<b>CJI's relationship with company/organisation (please tick)_</b>	<b>Contractual:</b>
	<b>Non-contractual:</b>
	<b>None:</b>
	<b>Not known:</b>
<b>Job title/Role and description of proposed duties/responsibilities.</b>	
<b>Is the proposed appointment full or part time? (please tick)_</b>	<b>Full Time:</b>
	<b>Part Time</b>
<b>If Part Time please state how much time is likely to be involved?</b>	<b>_ days per week/month/year (delete as appropriate)</b>
<b>Will you be paid?</b>	<b>Salary:</b>
	<b>Retainer:</b>
	<b>Fee:</b>
	<b>Unpaid:</b>
<b>Did you apply for an advertised post?</b>	<b>Yes:</b>
	<b>No:</b>
<b>If no, please state how the post arose?</b>	
<b>Is the appointment likely to include any contact or dealings with (please state yes/no):</b>	<b>CJI:</b>
	<b>CJI's Sponsoring Department and/or Minister:</b>
	<b>Organisations within CJI's Inspection remit:</b>
	<b>Other oversight, inspection or regulatory bodies:</b>
	<b>Other Northern Ireland Government Departments/the Northern Ireland Civil Service (NICS) generally:</b>
<b>If yes, please give full details including any involvement you will have in business involving CJI, CJI's sponsoring Department or Minister, organisations in its Inspection remit, other oversight/inspection/regulatory bodies/other Northern Ireland Government Departments/the NICS in lobbying, providing advice or representing the interests of your new employer/in the course of your new appointment.</b>	

**Part 5: To be completed by the applicant (if applicable)****Self-employment/Freelance consultancies**

<b>State the nature of the proposed consultancy work:</b>	
<b>Give the name of the companies/organisations whose commissions you wish to accept and complete a separate answer to Parts 6 and 7 below in respect of each</b>	

**Part 6: To be completed by applicant****Dealings with prospective employer**

<b>Have you or those who you have been responsible for in the last two years with CJI:</b>	<b>Yes (please tick)</b>	<b>No (please tick)</b>
• <b>Dealt with the receipt of tenders or awarding of contracts between your prospective employer (inc. if applicable any parent company or subsidiary) and CJI?</b>		
• <b>Administered or monitored such contacts?</b>		
• <b>Advised professionally or technically on contracts before they were awarded?</b>		
• <b>Advised professionally or technically on contracts after they were awarded?</b>		
• <b>If you have answered yes to any of the questions above, please state how many contracts were involved?</b>		

For each contract please show:

<b>Nature of contract(s)</b>	<b>Value (exc VAT)*</b>	<b>Date awarded</b>	<b>Name of person responsible for letting the contract and the nature of your role</b>

*\*It is very important to state the value of the contract(s).*

<b>Have you ever had any official, including non-contractual dealings with your prospective employer, other than those detailed above (please tick):</b>	<b>Yes:</b>	<b>No:</b>
<b>If yes, please give details including the frequency of the contact (continue on a blank sheet if required)</b>		
<b>Have you been involved in decisions during your last two years with CJI (other than those about contracts) which might affect CJI's business or its engagement with its sponsoring Department/bodies within its Inspection remit?</b>		
<b>If yes, please give details</b>		

**Part 7: To be completed by the applicant****Dealings with other companies**

Please give the following information about any other companies/organisations you have dealt with in the last two years of your employment with CJI.

<b>Name of company/organisation</b>	<b>The nature of the dealings you have had with the company/organisation</b>	<b>Is the company a competitor of your proposed employer</b>	
		<b>Yes</b>	<b>No</b>

<b>Are any of the above competitors of your proposed employer or perceived to be a competitor of your proposed employer?</b>	<b>Yes</b>	<b>No</b>

<b>(please tick)</b>		
<b>Through your current/previous CJI role and duties have you had access to commercially sensitive information about any competitors of your prospective employer? (please tick)</b>	<b>Yes</b>	<b>No</b>
<b>If yes, please give full details of the information. It would be helpful if you can also give the address of competitors and the name of a contact in each if known.</b>		

**Part 8 Policy, Regulatory and Other Matters**

	<b>Yes</b>	<b>No</b>
<b>Have you been involved in the development of administration of any CJI policy or in policy decisions that have affected or could affect your prospective employer or its competitors? (please tick)</b>		
<b>If yes, please give full details</b>		
<b>Have you been involved in any other work such as regulatory decisions/recommendations which have affected or could affect your prospective employer or its competitors (please tick)</b>		
<b>If yes, please give full details</b>		
<b>Please state if you are aware of any other factors which could affect the perception of your appointment/employment or impact CJI once it has been taken up or announced.</b>		

Please satisfy yourself that you have included all available details and then sign and date the form:

Signed:

Name:

Date:

**Part 9: To be completed by the CJI Line Manager and/or Chief Executive/Chief Inspector (as appropriate)**

Please deal with this promptly and answer the following questions in as much detail as possible as your answers will make a valuable contribution to CJI's evaluation of the application. Please attached additional sheets if necessary.

*In making a decision on this application CJI has to be satisfied that it could rebut criticism of the appointment, employment or self-employment, however unjustified, that the applicant had been influenced in their official dealings with the company/organisation by hopes or offers of employment/appointment, or in the course of their CJI duties had been given access to information which the prospective employer's competitors might regard as being commercially sensitive.*

*It is in the applicant's best interest to deal promptly with this application form.*

*When you have completed forward to the Chief Inspector and copy to CJI's Business and Communications Manager.*

<b>With the above factors in mind are you able to confirm the information in Parts 1 to 8 are accurate and complete? (please tick)</b>	<b>Yes</b>
	<b>No</b>
<b>If 'No' please give your reasons</b>	

If the applicant's answer to Part 6, shows previous involvement in official dealings with the company/organisation, please indicate how much influence they have had in decisions affecting the prospective employer or its competitors, please indicate how much influence they had in decisions affecting them. Also, could the appointment/employment/self-employment be perceived as a reward?

Referring to Part 7, did the applicant have access to information which could be regarded as being commercially valuable or sensitive?

If yes, competitors should normally be consulted about the application. In your view could competitors/other organisations justifiably object to the appointment/employment/self-employment and what grounds, if any, would there be for overruling their objections?

Has the applicant had access to policy or other CJI information, knowledge of which could give the prospective employer/organisation an unfair advantage? If so, please explain how and to what extent this knowledge might benefit the prospective employer. What steps, if any, could be taken to safeguard the appointment/self-employment/employment against criticism?

Have you any reservations about their application being approved? Please explain in full. Your contribution is important in helping CJI reach and defend its decision.

CJI Declaration and Management of Outside Interests Policy 101225 v2

Please sign below providing the requested information.

Signature:

Name (in capitals):

Job Title and Grade:

Contact telephone number:

Contact email address:

Date: