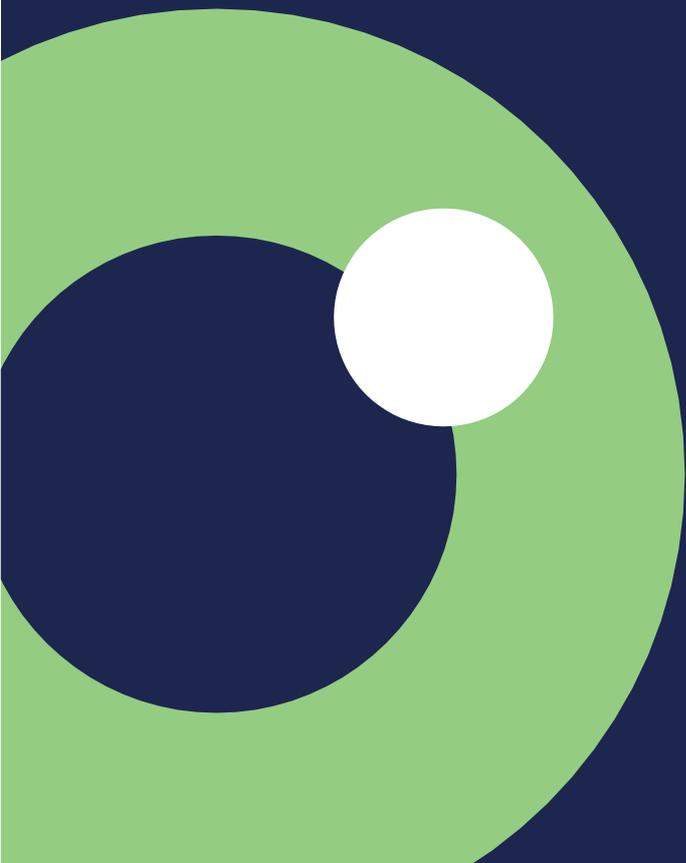




AN TÚDARÁS PÓILÍNEACHTA  
POLICING AUTHORITY

# Annual Report 2016



## Annual Report of the Policing Authority 2016

In accordance with section 62O.(1) of the Garda Síochána Act 2005 (as amended) and in compliance with the Code of Practice for the Governance of State Bodies.

### Table of Contents

Annual Report of the Policing Authority 2016.....	1
Chairperson’s Foreword.....	2
Chief Executive’s Review of the year .....	4
1. What the Policing Authority does.....	5
2 Progress against Strategic Objectives .....	7
3. Feature Article: A Code of Ethics for the Garda Síochána .....	11
4. Governance and Structure.....	13
5. Financial Information.....	22
Appendix 1 – Summary Financial Report 2016.....	24
Appendix 2 – Organisation Structure.....	25
Appendix 3 – Chairperson’s Statement of Internal Control.....	26
Appendix 4 – Energy Usage 2016 .....	28

## Our Vision

**Our vision** is of a society served by a professional, impartial, constantly improving police organisation which deserves and enjoys the trust and support of the people.

*“...a body to be known as An tÚdarás Póilíneachta or, in the English language, the Policing Authority for the purpose of overseeing the performance by the Garda Síochána of its functions relating to policing services.”*

*Policing Authority establishing legislation*

## Chairperson’s Foreword

I am pleased to present this first annual report of the Policing Authority in respect of the year 2016.

In its first year, the Authority’s oversight work has changed the context in which the Garda Síochána operates in a very fundamental way. As with all new organisations, our early work is about putting solid foundations in place which will be the building blocks for future years. In the case of the Policing Authority, these building blocks are required both in the Authority itself and in its engagement with the Garda Síochána.

Beginning with a team of just three on 1 January 2016, our Establishment Day, the Authority now has a small but growing team, has put in place sound governance, processes and procedures to manage its own work and has met its statutory deadlines for 2016. With the commencement from 1 January 2017 of all remaining sections of the Authority’s founding Act, it now has all of its statutory functions.

### **Building blocks for performance oversight**

In approaching our task, the Authority had a clear focus initially on gaining an understanding of the existing performance framework for the Garda Síochána and then putting in a foundation on which we plan to build in future years. This included a broader consultative approach to setting policing priorities which included Joint Policing Committees, and the inclusion of some high level but quite specific measurable performance targets in the Garda Síochána Policing Plan for the first time. This is one of the essential building blocks to enable the Authority to review Garda performance.

Performance oversight of any organisation must take account of comments and findings by third parties. In this regard, engagement with the Garda Síochána Inspectorate, the Garda Síochána Ombudsman Commission and the Central Statistics Office has been of enormous help to us. The Authority has built compliance by the Garda Síochána with third party reports – including Commissions of Inquiry – into its oversight work on an ongoing basis.

As recognised by the Oireachtas in the Garda Síochána Act, an essential performance building block for any profession is to have a Code of Ethics. The Authority is rightly proud of its achievement in establishing the first Code of Ethics for the Garda Síochána in our first year of operation and this is marked with a feature article in this Report.

From its first meeting, the Authority was determined to put in place the public facing parts of our work as soon as possible and this included working transparently, consulting on the Garda Code of Ethics, our Strategy Statement and the Policing Plan and engaging with Joint Policing Committee Chairs. Without doubt, however, the most significant context changer is that the Garda Commissioner and her senior colleagues are asked about the performance of the Garda Síochána in relation to policing matters month in and month out by Authority members, and five times in 2016 those engagements took place in public, were webcast and are archived for future viewing. Performing our functions in public is a new challenge for most Authority members and we are getting better at our task. However, quite apart from the value

of the content of the meetings, we consider that they are a most important symbol of the enhanced accountability framework and enhanced transparency put in place for the Garda organisation. And we consider that it is having an impact.

I acknowledge that the Authority's arrival and our way of working has put demands on the Garda organisation and, from time to time on the Department of Justice and Equality, as we elbow our way into established relationships and ways of working. We have met courtesy, assistance and support in both organisations and in many others that we turned to for help.

### **Policing Successes**

Police oversight is not an end in itself. It is about better outcomes for the people of Ireland, and, in that regard, 2016 saw notable policing successes and initiatives which deserve to be recognised – success against organised crime, the significant impact of operation Thor on burglaries and related crime, and the establishment of Victim Service offices in all Garda Divisions, to mention a few.

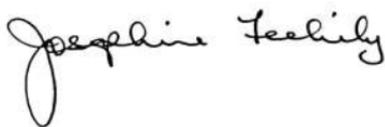
After many years of public expenditure constraint, 2016 also brought a most welcome Government commitment in financial, practical and staffing terms to a future well-resourced Garda organisation of 21,000 people, to include at least 20% civilian professionals, by 2021. The Authority looks forward to driving a “civilian by default” principle set by Government with a view to optimising the deployment of trained Gardaí in operational policing roles.

### **Effective Policing is crucially important**

Effective policing is a badge of statehood. It is enormously important for community safety, for the rule of law and for our democracy. That being the case, it is hugely beneficial that the Irish people continue to report respect and trust in the Garda Síochána.

The policy decision to establish a Policing Authority was made at a time of controversy regarding Garda performance and when public confidence in the management of the Garda Síochána had been at least dented. Against this background, the Authority began its work of overseeing the performance of the Garda Síochána in relation to policing services – a statutory remit which is very carefully delineated in law. Regrettably, at the time of writing, Garda performance is again the subject of public controversy. Notwithstanding the controversy, and indeed because of it, focus must not be diverted from the work of reforming policing services, modernising the Garda Síochána and improving Garda culture.

I am fortunate in my colleagues on the Authority and the Executive team. We share a conviction that oversight and challenge are agents of change, that reform and transparency are essential confidence builders and we are driven by our ambition for the Garda Síochána to be the best policing service that it can for the benefit of the people of Ireland. As we progress in our second year and mature as an organisation, the Policing Authority will play its part.



**Josephine Feehily**  
**Chairperson**

**31 March 2017**

## Chief Executive's Review of the Year

The Authority was established on 1 January 2016 and it has been an eventful first year of operation.

A key immediate priority was to establish the office, recruit key management and staff and put in place systems and procedures to support the work of the Authority. We made an excellent start in this regard and by year end the senior management team and many of the governance and operation systems were in place.

Working together with the Authority and Committee Members, I am pleased to report that the Executive team has made exceptional progress in supporting the work of the Authority and in achieving all those objectives which had a statutory deadline for completion in 2016.

### At a Glance

- Functions commenced on 1 January with three staff members in place;
- Good progress was made recruiting staff in line with the sanction of 35. By year end, 15 staff were in place, with commencement dates confirmed for 5 further staff in January 2017;
- Thirteen meetings of the Authority were held during the year including five live-streamed meetings in public;
- The first meeting of the Authority with the Garda Commissioner in private was held on 28 January and in public on 25 April;
- Four Authority Committees were established to progress Authority work between monthly meetings;
- 32 Committee meetings were held;
- A meeting was held with nationwide Joint Policing Committee Chairs in July;
- Four public consultations – consulting on our 3-year Statement of Strategy, the Policing priorities and twice on the Code of Ethics;
- Review of the Garda Síochána Protected Disclosure procedures submitted to the Tánaiste in November 2016;
- €1,075,000 of expenditure during the year, comprising staff costs of €680,000; and
- A Code of Ethics for the Garda Síochána successfully established on 14 December 2016 in advance of the statutory deadline of 31 December 2016.

As is evident from this report, the Authority has achieved much since it was conferred with its statutory functions in January 2016 - this has been possible only because of the dedication, commitment and professionalism of the Authority members and the Executive team. We also received excellent support from the Department of Justice and Equality and the Department of Public Expenditure and Reform of which I am very appreciative. Based on the solid foundation that has now been laid, I look forward to building further towards the attainment of the Authority's objectives in 2017 and beyond.



**Helen Hall**  
**Chief Executive**

**31 March 2017**

## 1. What the Policing Authority does.

The Policing Authority is an independent agency established on 1 January 2016. Its key role is to oversee the performance by the Garda Síochána of its functions relating to policing services.

The Authority was established by the enactment of the Garda Síochána (Policing Authority and Miscellaneous Provisions) Act 2015 which amends the Garda Síochána Act 2005. The Act provides for an extensive range of functions for the Authority, some of which were previously the responsibility of Government or the Minister for Justice and Equality and is available on the Authority's website.

The principal functions of the Policing Authority are to:

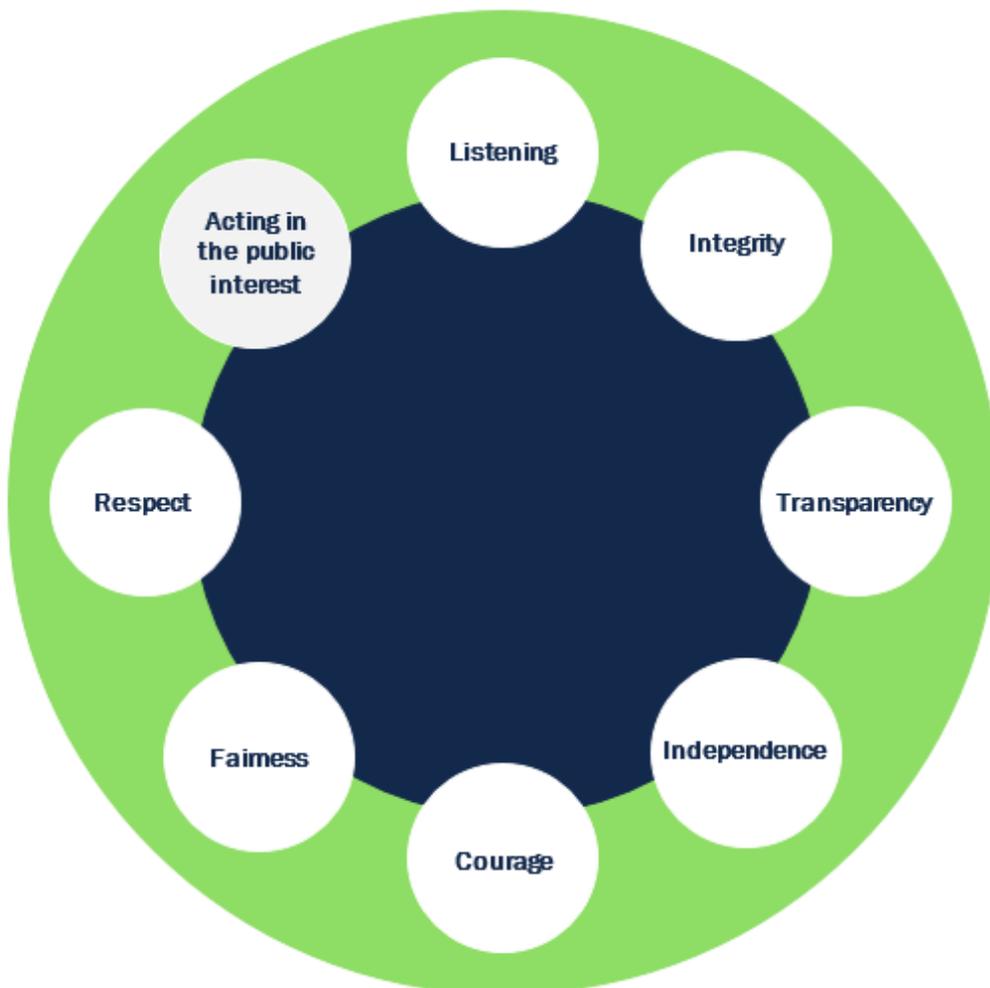
- Set priorities and performance targets for the Garda Síochána;
- Keep under review the performance by the Garda Síochána of its functions;
- Monitor and assess measures taken by the Garda Síochána in relation to recommendations made in a report of the Garda Síochána Inspectorate;
- Nominate persons for appointment by the Government to the posts of Garda Commissioner and Deputy Garda Commissioner, following a selection process undertaken by the Public Appointments Service;
- Undertake selection competitions for appointments to the ranks of Assistant Commissioner, Chief Superintendent and Superintendent in the Garda Síochána;
- Appoint and remove Assistant Commissioners, Chief Superintendents and Superintendents in certain senior ranks and grades in the Garda Síochána;
- Establish a Garda Code of Ethics within 12 months of the establishment of the Authority i.e. by end 2016;
- Provide information and advice to the Minister for Justice and Equality; and
- Promote the policing principles and public awareness of matters relating to policing services and support the continuous improvement of policing in the State.

While the Authority is responsible for oversight of the performance by the Garda Síochána of its policing services, under section 26(3) of the Garda Act 2005, the Garda Commissioner is accountable to the Minister for Justice and Equality for the performance of the Commissioner's functions and those of the Garda Síochána.

## Our Mission

**Our mission** is to drive excellent policing through valued and effective oversight and governance.

**Our values** are important to us. They *reflect* our core culture and identity and *guide* us in our approach to how we get things done.



## Our values

## 2 Progress against Strategic Objectives

The Policing Authority Strategy Statement 2016-2018 was presented to the Tánaiste and Minister for Justice and Equality on 14 July 2016 and subsequently laid before the Oireachtas. It sets out the Authority's strategic objectives, and key actions and performance indicators for a three-year period. Progress towards the achievement of those objectives is set out in this chapter.

### Desired Outcome 1- Continuous improvement of policing in Ireland and public resources being used by the Garda Síochána in an efficient and effective way

Objectives	Achievements in 2016
<p><b>An implemented effective performance measurement and accountability framework for the Garda Síochána</b></p>	<ul style="list-style-type: none"> <li>• Garda Síochána Strategy Statement for 2016-2018 was approved by the Authority and submitted to the Minister for consent on 14 July 2016;</li> <li>• Policing priorities for 2017 were established by the Authority following a consultation process and were communicated to the Garda Commissioner and published in September 2016;</li> <li>• Policing plan for 2017 was approved by the Authority in January and laid before the Oireachtas in early January 2017;</li> <li>• Ongoing engagement with the Garda Síochána in relation to performance and accountability, including for example:               <ul style="list-style-type: none"> <li>▪ Agreeing a basic performance reporting framework for the Policing Plan;</li> <li>▪ Agreeing a format for a monthly Garda Commissioners Report to the Authority; and</li> <li>▪ Ongoing engagement with the Garda Síochána to monitor performance against the 2016 Policing Plan on a monthly basis.</li> </ul> </li> </ul>
<p><b>Modernisation and systematic improvement of the Garda Síochána</b></p>	<ul style="list-style-type: none"> <li>• Engagement with the Garda Síochána in relation to monitoring implementation of modernisation initiatives designed to address recommendations of third party reports to improve performance;</li> <li>• Ongoing engagement with the Garda Síochána to monitor performance against the Modernisation and Renewal Programme targets for 2016;</li> <li>• Questioning of the Garda Commissioner and senior management team in private and public meetings in relation to the implementation of recommendations made in the O'Higgins report;</li> <li>• Request to Garda Síochána to undertake the culture audit recommended by the Garda Inspectorate.</li> </ul>

Objectives	Achievements in 2016
<b>Good governance arrangements and structures within the Garda Síochána</b>	<ul style="list-style-type: none"> <li>• Garda Síochána Audit Committee members appointed as required;</li> <li>• Submission made to the Department in July 2016 on the structures within the Garda Síochána.</li> </ul>

**Desired Outcome 2 - A culture of high performance and strong ethical values throughout the Garda Síochána**

Objectives	Achievements in 2016
<b>Establish a Code of Ethics that includes (a) standards of conduct and practice for members; and (b) provisions to encourage and facilitate the reporting by members and Garda staff of wrongdoing in the Garda Síochána</b>	<ul style="list-style-type: none"> <li>• Garda Síochána Code of Ethics established and approved by the Authority in December 2016 and launched in January 2017. There is a feature article on the Code of Ethics on Page 11;</li> <li>• Publication of a review of the Protected Disclosure Policy in the Garda Síochána and recommendations for amendment.</li> </ul>
<b>Well established, fully operational appointments system for all staff of the Garda Síochána that come within the Authority's appointment remit</b>	<ul style="list-style-type: none"> <li>• Submissions to the Department in relation to promotions in the Garda Síochána;</li> <li>• Engaged with the Department in relation to the drafting of the regulations for appointments to certain senior ranks to be made the Authority;</li> <li>• Pending the finalisation of the regulations and commencement of the Authority's appointments function in January 2017, advanced preparations for the conduct of selection competitions for senior Garda ranks. (First competition advertised in January 2017);</li> <li>• Processes and procedures in place for approving the numbers and grades of civilian staff and making senior civilian appointments;</li> <li>• Engaged with the Garda Síochána in relation to plans for civilianisation and redeployment of Gardaí to front line service.</li> </ul>
<b>Keep under review the arrangements for the recruitment, training and development of Garda members and Garda staff</b>	<ul style="list-style-type: none"> <li>• Initial engagement with the Garda Síochána regarding the embedding of the Code of Ethics in Garda training at all levels.</li> </ul>

**Desired Outcome 3 - Strong public awareness and engagement regarding policing matters**

Objectives	Achievements in 2016
<p><b>Have effective working relationships with key stakeholders</b></p>	<ul style="list-style-type: none"> <li>• Processes and procedures in place for communication with key stakeholders, media and the public through public meetings, consultation and other engagement;</li> <li>• Constructive engagement with Garda Síochána Ombudsman Commission, the Garda Inspectorate, and the Department;</li> <li>• Publication of range of material on the Authority website;</li> <li>• Engagements with the Northern Ireland Policing Board.</li> </ul>
<p><b>Communities engage actively with the Garda Síochána through the Joint Policing Committees in a way that facilitates crime prevention and improved safety and quality of life for citizens</b></p>	<ul style="list-style-type: none"> <li>• Initial engagement with Joint Policing Committee Chairs and CEO's of Local Authorities in relation to the Code of Ethics and the 2017 Policing Priorities;</li> <li>• Authority members and staff attended, as observers or speakers, at a number of meetings of the Joint Policing Committees.</li> </ul>
<p><b>Improve public awareness of policing matters</b></p>	<ul style="list-style-type: none"> <li>• Five meetings of the Authority with the Garda Commissioner were held in public with meetings live streamed and recordings available to view on line;</li> <li>• Public consultations on the Code of Ethics and Strategy Statement conducted through publication on the Authority's website;</li> <li>• Consultation events on Code of Ethics and Policing Priorities;</li> <li>• Publication of Authority documents, agendas, minutes and other documents on the Authority's website;</li> <li>• Provision of information to the public through engagement with the media including press conferences, press statements and interviews.</li> </ul>

**Desired Outcome 4 - The Authority being a high performance, innovative, responsive and respected organisation focussed on its vision and mission**

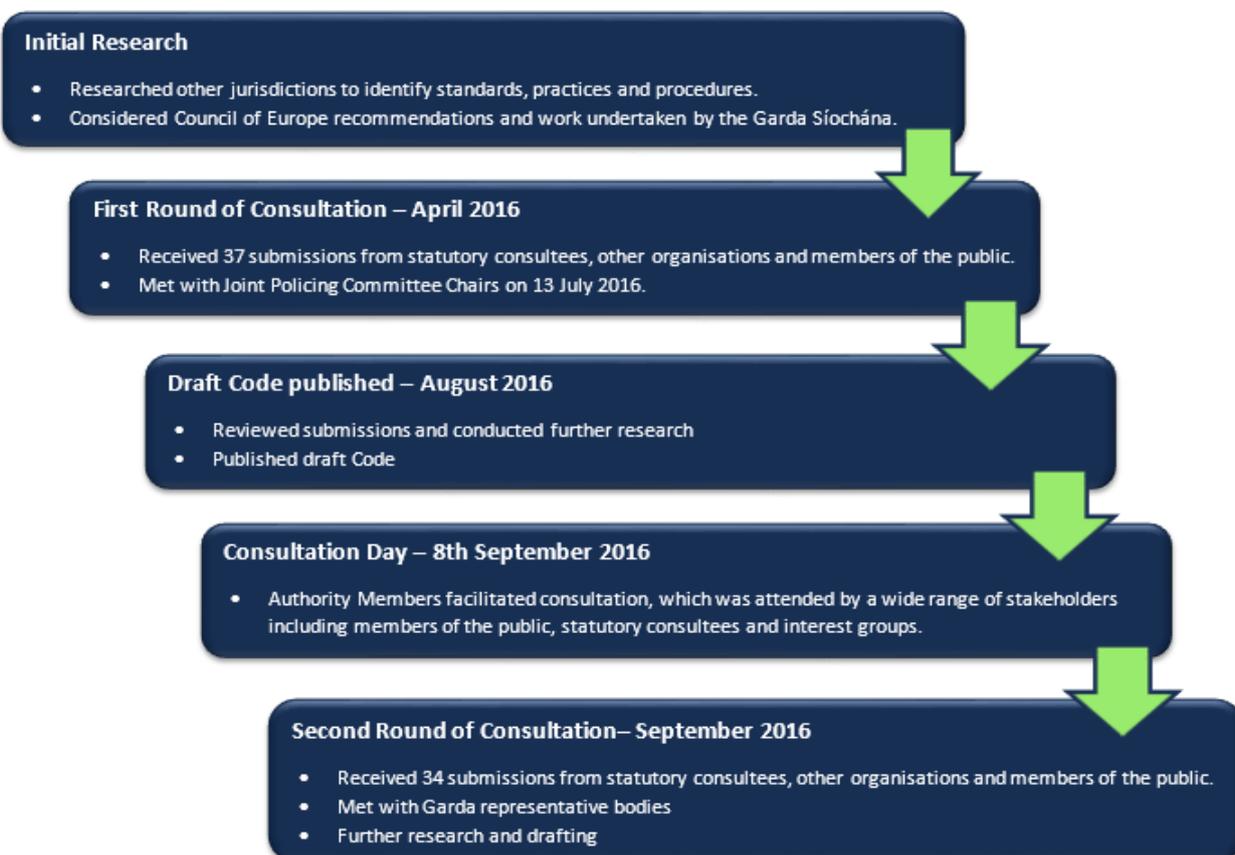
Objectives	Achievements in 2016
<p><b>Be an effective organisation with a culture of high performance</b></p>	<ul style="list-style-type: none"> <li>• Developed the Authority's organisation structure to support the activities of the Authority, identified staffing requirements and engaged in recruitment and induction for initial roles;</li> <li>• CEO and appropriately skilled and experienced Senior Management Team in place with a staff complement of 15 by year end, with a further 5 staff recruited to join in early 2017;</li> <li>• Implemented staff Performance Management and Development System (PMDS) and put training and development initiatives in place;</li> </ul>

Objectives	Achievements in 2016
	<ul style="list-style-type: none"> <li>• Adopted a Code of Conduct and Standing Orders in February 2016;</li> <li>• Committees were established under defined Terms of Reference to progress the main work areas of Ethics, Appointments and Policing Strategy and Performance. Work programmes for each Committee were completed in 2016 with the exception of those statutory functions for Garda appointments which were commenced in 2017.;</li> <li>• Strategy Statement 2016-18, Governance Framework, Relationship and Support Agreement with the Department of Justice and Equality put in place and published;</li> <li>• All statutory deadlines met for first year of operation;</li> <li>• 13 meetings of the Authority were held, with five in public, with very high attendance by Authority Members;</li> <li>• Engagement with key stakeholder groups on a range of issues including the Authority’s Statement of Strategy, the Garda Síochána Code of Ethics and 2017 Policing Priorities;</li> <li>• Preparations made for conduct of a self-assessment effectiveness review of the Authority to be held in Quarter 1 2017;</li> <li>• Systems and procedures established for procurement, internal control and financial management;</li> <li>• Audit and Risk Committee established;</li> <li>• Procurement process completed for outsourcing provision of the Authority’s Internal Audit function.</li> </ul>
<p><b>Provide appropriate and timely reports to the Minister and advice on policing matters.</b></p>	<ul style="list-style-type: none"> <li>• The Authority’s Statement of Strategy 2016-18 was submitted to the Minister within 6 months of establishment of the Authority;</li> <li>• Submissions and advice provided to the Minister in a timely manner and action taken on statutory ministerial requests, including: <ul style="list-style-type: none"> <li>• Review of the policies and procedures in place in the Garda Síochána to deal with whistle blowers and whistleblowing;</li> <li>• Project to examine the dispersement and use of resources available to the Garda Síochána in the delivery of policing services to local communities;</li> <li>• Consideration of the O’Higgins report;</li> <li>• Response to consultation on Section 42 inquiries;</li> <li>• Oversight of the implementation by the Garda Síochána of the Garda Inspectorate Report “Changing Policing in Ireland”;</li> <li>• Oversight of the Garda Síochána’s identification of posts suitable for redeployment in line with the Government policy of “Civilian by default”.</li> </ul> </li> </ul>

### 3. Feature Article: A Code of Ethics for the Garda Síochána

Having a Code of Ethics to guide and inspire is a badge of most professions whose members are required to exercise judgement. The Garda Síochána Act 2005, provided for the establishment of a Code of Ethics for the Garda Síochána and when the Policing Authority was established, it was asked by the Act to establish the Code within 12 months i.e. by 31 December 2016. The Authority considered this to be one of its most important functions and established a Committee of the Authority to develop the Code. We are very proud to report that this deadline was met and the Code was launched on 27th January 2017.

The process of development was an iterative one, as shown below. The level of engagement from civil society and other organisations was high and the final product was markedly different from where we started, in large measure due to the value of the process and the quality of the contributions. The final approach chosen by the Authority was to set out guiding principles to inform and guide the actions of everyone who works in the Garda Síochána at every level. This approach is not without its critics. However, after very detailed research and consideration, and taking account of the contributions received, a Code which seeks to inspire and secure commitment was chosen over a Code with a focus on control or punishment. We thought it was important to emphasise that a Code of Ethics is very different to a set of legal requirements. The Code acknowledges that there is an element of judgement involved in decision making and it is important that this judgement is guided by a set of principles and standards (a sort of moral compass if you like), rather than a set of rules. This is all the more important in a service like policing where, appropriately and of necessity, staff have extensive discretion in dealings with the public. It is all the more important to have a published set of values and principles to underpin the use of that discretion and inform decision making.



## The Ethical Standards and Commitments

The Code sets out nine ethical standards, which are shown below. Each one is supported by one or more commitments. These commitments are key messages for the reader and contain elements which, by being thought provoking, may challenge the reader to reflect on his or her own behaviour and that of colleagues.

<b>Ethical Standards</b>	<b>Example Commitment</b>
<b>Duty to Uphold the Law</b>	I will uphold and obey the law and fulfil my responsibilities in a fair and impartial way.
<b>Honesty and Integrity</b>	The public, my colleagues, the courts and other organisations expect and rely on me to tell the truth. By acting with honesty and integrity, I gain and maintain their trust.
<b>Respect and Equality</b>	I will treat everyone with respect and fairness, and stand up against discrimination and unfair treatment.
<b>Authority and Responsibility</b>	I will support my colleagues to the best of my ability as they carry out their duties and responsibilities.
<b>Police Powers</b>	When it is necessary to use police powers to achieve an objective, I will make sure that my actions are in accordance with the law and proportionate.
<b>Information and Privacy</b>	I will recognise and respect every person's right to privacy. I will interfere with this right only when it is lawful and necessary to achieve a legitimate objective.
<b>Transparency and Communications</b>	I will make sure that I communicate information in a manner that is respectful, easy to understand and sensitive to the circumstances.
<b>Speaking up and Reporting Wrongdoing</b>	Everyone who works for the Garda Síochána is responsible for challenging and reporting wrongdoing.
<b>Leadership</b>	I will aim to behave in a manner which brings credit on the Garda Síochána and myself thereby promoting public confidence in policing.

## Embedding the Code of Ethics

Establishing the Code, although important, is only the first step. The Authority attaches particular importance and urgency to the work necessary to embed the Code in all aspects of Garda work. The Ethics Committee will continue its work in 2017 to drive and oversee the work in the Garda Síochána of embedding the Code.

The Authority will also use opportunities in performing its own functions to give the Code significance. For example, we have built the Code into the competency framework for selection competitions for senior Garda ranks and have advised candidates that the competition is governed by the Code. In our oversight work, we will be focussing on training and we will be asking how the Code is being built into the curriculum. We have also adopted the Code as a guiding document for Authority staff.

One last thing to bear in mind - this Code is also for members of the public so that they can better understand the type of behaviour they are entitled to expect from their police service.

## 4. Governance and Structure

### 1. Authority Members

Membership of the Authority consists of a chairperson and eight ordinary members. Under the legislation, Authority members are appointed for a term of either 3 or 4 years, and may be reappointed for a further term subject to a maximum of 8 years.

Members of the Oireachtas or Local Authorities, serving members of the Garda Síochána, GSOC or the Garda Inspectorate are not eligible to be members of the Authority.

The Chairperson and Members of the Authority were selected for appointment by the Government following selection processes run by the Public Appointments Service. The Chairperson is engaged on a full time basis for 2016 and 2017 and the other members are engaged on the basis of a commitment of 4-6 days a month.

The Authority Members are listed in the table below with information about their term of office, Authority meetings attended during 2016 and any fees and expenses paid to them for 2016 arising from the performance of their duties.

Authority Member	Expiry of term	Meetings attended <sup>1</sup>	Committee and Representational Meetings <sup>2</sup>	Annual Fee 2016 <sup>3</sup> €	2016 Expenses €
<b>Josephine Feehily (Chairperson)</b>	31/12/2019	13	22	64,900	2,142
<b>Noel Brett</b>	31/12/2019	12	13	14,963	-
<b>Bob Collins</b>	31/12/2019	13	17	14,963	-
<b>Vicky Conway<sup>4</sup></b>	31/12/2018	13	26	-	99
<b>Pat Costello</b>	31/12/2018	13	17	14,963	-
<b>Judith Gillespie</b>	31/12/2019	13	26	14,963	4,687
<b>Valerie Judge</b>	31/12/2018	11	11	14,963	505
<b>Maureen Lynott</b>	31/12/2019	12	17	14,963	434
<b>Moling Ryan</b>	31/12/2018	13	11	14,963	-

### 2. Committees of the Authority

The Authority established a number of Committees in 2016 to oversee the governance and progress the work of the Authority in relation to its statutory priorities. Each Committee was established

<sup>1</sup> Thirteen Authority meetings were held in 2016.

<sup>2</sup> A total of 32 Committee meetings were held. In addition, Members represented the Authority at a number of other meetings and events throughout the year.

<sup>3</sup> Fees paid to Authority Members are approved by the Minister for Justice and Equality with the consent of the Minister for Public Expenditure and Reform.

<sup>4</sup> As a public servant, one Member is not in receipt of any fees under the 'One Person, One Salary' principle.

under terms of reference which set out their purpose, guides their work and sets out the details of matters which are delegated to the Committee for decision. These terms of reference are subject to amendment in the context of the evolving work programme of the Authority. The Terms of Reference for each Committee and the approved minutes of their meetings in 2016 are available on the Policing Authority website.

Update from Committees is a standing agenda item at each Authority meeting, where the Chair of each Committee provides a verbal update on the Committee's work to the Authority. Papers setting out matters for the decision or approval by the Authority arising from the work of Committees are submitted for consideration at Authority meetings.

Each Committee is provided with a secretarial resource and the Committee Chair keeps the Chief Executive informed of any work which may require additional resources.

Four committees were in place in 2016. All members of the Authority are members of at least one committee with the exception of the Chairperson who, while not a member of any Committee, may attend committee meetings from time to time. In addition, there are two external members of the Audit and Risk Committee. Details of each committee, together with membership and meetings in 2016 are set out below:

<b>Committee</b>	<b>Membership</b>	<b>Meetings in 2016</b>
<b>Appointments</b>	Valerie Judge (Chair) Maureen Lynott Moling Ryan	<b>7</b>
<b>Audit and Risk</b>	Moling Ryan (Chair) Melanie Pine (External member) Ronan Nolan (External member)	<b>3</b>
<b>Code of Ethics</b>	Pat Costello (Chair) Bob Collins Vicky Conway Judith Gillespie	<b>13</b>
<b>Policing Strategy and Performance</b>	Judith Gillespie (Chair) Noel Brett Vicky Conway Maureen Lynott	<b>9</b>

### **3. Executive Team**

The role of the Executive, led by the Chief Executive, is to implement the policies and decisions of the Authority. In addition, the role of the senior management team is to keep the Authority informed through its regular meetings of relevant developments (including any material risks) and to support the Authority's work by providing the relevant support, information and expertise in relation to governance and policy development at both Authority and Committee level.

The role and responsibilities of the Chief Executive are set out in legislation and in the Authority's Governance Framework. In addition, the Chief Executive is the Accounting Officer for the Authority's Vote and this responsibility is separate to the governance responsibilities of the Authority members.

The senior management team are listed below:

Role	Name
Chief Executive	Helen Hall
Head of Governance and Corporate Services	Aileen Healy
Head of Legal, Policy and Research	Catherine Pierse
Head of Policing Strategy and Performance	Margaret Tumelty

The Chief Executive's salary in 2016 was €125,761 on the salary scale for Assistant Secretary in the civil service, which is the amount approved by the Minister for Justice and Equality with the consent of the Minister for Public Expenditure and Reform. Expenses paid to the Chief Executive arising from the performance of her duties amounted to €798 in 2016.

#### **4. How we work**

##### Authority meetings

The Authority plans for an ordinary day long plenary meeting each month, except in the month of August. Each meeting includes a meeting with the Garda Commissioner and her senior team. The Authority is required by the Act to hold no less than four meetings in public with the Garda Commissioner annually. The schedule of meetings for the year is published in advance, including indicating which meetings will be held in public with the Commissioner. From time to time, the Authority will hold additional or exceptional meetings on a needs basis, which may include meetings with the Garda Síochána.

Meetings with the Commissioner in public are held in a public venue and admittance to observe is available to the public and the media. These meetings are advertised in advance on the Authority's website. They are live streamed via the Authority's website, are available to broadcast by the media and archived recordings are available to view on the Authority's YouTube channel.

In 2016, the Authority met a total of 13 times, meeting with the Garda Commissioner and/or her senior team on 12 of these occasions, of which five were held in public.

The Authority publishes the draft agenda for meetings on its website one week in advance and approved minutes are also published on the website. From January 2017, the Garda Commissioner's monthly report to the Authority is published on the Garda Síochána website and may also be viewed on the Authority's website.

The Authority makes provision for a private session at each monthly meeting without management present and this was availed of on at least two occasions during 2016.

### Transparency and consultation with stakeholders

In keeping with the high value placed by the Authority on openness and transparency the Authority is committed to communicating and engaging with stakeholders throughout its day to day operations by:

- publishing agendas and minutes of meetings on the Authority's website; and
- holding meetings in public, by holding consultations with stakeholders and with the public and by engaging directly with key stakeholders such as joint policing committees and civil society.

## **5. Governance Arrangements**

The Policing Authority is established as a statutorily independent body. In the exercise of its statutory functions, the Authority is wholly independent and as a publicly funded body it is appropriately accountable to the Oireachtas and the Minister.

The overall Governance and Control Framework within the Authority is guided by:

- the Garda Síochána Act 2005;
- the Code of Practice for the Governance of State bodies, which has been adopted by the Authority;
- the Corporate Governance Standard for the Civil Service, with which the Authority is required to comply in light of its funding by an Exchequer Vote;
- the recommendations of the Report of the Working Group on the Accountability of Secretaries General and Accounting Officers (the Mullarkey Report); and
- Public Financial Procedures.

### Governance Framework

The governance arrangements in place in the Authority are set out in detail in the Authority's Governance Framework document. This is supported by a suite of other governance documents including:

- Code of Conduct for members and staff;
- Standing Orders;
- Scheme of delegations and matters reserved to the Authority;
- Strategy Statement 2016-18; and
- Governance Framework - Relationship and Support Agreement with the Department of Justice and Equality.

These documents are available on the Authority's website.

## Responsibilities

The Authority is responsible for:

- leading and directing the Authority's activities;
- compliance with all applicable statutory obligations;
- holding the CEO and senior management to account for the effective performance of their responsibilities;
- matters relating to audit, governance and risk management;
- ensuring that there are effective systems of internal control in place and implemented;
- the preparation and adoption of a strategic plan; and
- the preparation of this annual report of the Authority.

The Chief Executive is responsible to the Authority for the performance of her duties and for providing it with such information in relation to the performance of those functions as the Authority may from time to time require.

The Authority operates under a financial provision voted by the Dáil annually, for which the Chief Executive is the Accounting Officer.

## Code of Conduct

The Policing Authority Code of Conduct sets out the standards of principle and practice which govern the conduct of Members and staff of the Policing Authority. The purpose of the Code is to:

- Establish an agreed set of ethical principles for Members and staff of the Authority;
- Prevent the development or acceptance of unethical practices; and
- Promote and maintain confidence and trust in Members.

By setting out the key principles to which members and staff should adhere, namely:

- Acting in the Public interest;
- Integrity and Independence;
- Transparency;
- Confidentiality;
- Participation; and
- Fairness.

The Code underscores the Authority's commitment to the highest standards of business conduct and has been prepared to assist Authority Members and staff in understanding their duties, rights and obligations.

### Conflicts of Interest

Procedures are in place to ensure that the members and staff of the Authority comply with the provisions of the Ethics in Public Office Act, 1995 and the Standards in Public Office Act, 2001, were applicable. In addition, in accordance with the Policing Authority Code of Conduct for Members and Staff, the members of the Authority register their interests in other undertakings with the Secretary on their appointment.

### Standing Orders

The Authority's Standing Orders set out the procedures by which the Authority conducts its business and are available on the Authority's website.

### Scheme of Delegations

The Authority has agreed a scheme of delegations for the Authority. This sets out:

- Delegated authority to approve expenditure below agreed thresholds to the Chairperson and Chief Executive;
- Matters relating to governance which are reserved to the Authority; and
- The statutory functions of the Authority and the extent to which these have been delegated to a Committee of the Authority, the Chief Executive or are reserved to the Authority.

### Performance Evaluation

An evaluation of the performance in 2016 of the Authority and its Committees undertaken in March 2017. This evaluation was conducted by means of self-assessment exercise based on the model self-assessment questionnaire set out in the Code of Practice for the Governance of State Bodies, to which a number of additional questions were added to reflect the Authority's unique circumstances. A facilitated workshop was held to discuss the themes arising from the self-assessment process and to identify areas for improvement.

### Oversight by Parent Department

There is a Governance Framework - Relationship and Support Agreement with the Department of Justice and Equality which describes the key roles, responsibilities and supports which underpin the relationship between the Authority on the one hand and the Department, the Minister and the Oireachtas on the other.

A number of the functions of the Policing Authority set out in the Act, require the Authority to either consult, advise or inform the Minister or the Government on various matters.

Liaison meetings between senior management of the Department and of the Authority take place on at least on a quarterly basis to monitor performance and consider items of common interest in relation to the Authority's remit. As part of the new policing accountability and oversight arrangements, there will be at least one meeting each year of the Department, the Garda Síochána

and the Authority with a view to discussing and reviewing matters arising in relation to policing services and the various responsibilities of each organisation.

#### Audit and Risk Committee

An Audit Committee, consisting of two members external to the Authority together with one Authority member, was established in July 2016. The Committee provides independent advice to the Authority and the Accounting Officer including on the suitability and robustness of the organisation's internal control, internal audit, risk management and governance systems and procedures.

#### Risk Management

The Authority identified and carried out a high-level assessment of its principal risks as part of its strategic planning in 2016. Risk and measures to mitigate risk are addressed in the context of all significant Authority decisions. Arrangements are being put in place for the establishment of a formal risk register and risk management system to ensure that risks are identified and assessed and necessary mitigating actions are, where resources allow, put in place.

#### Internal Audit

Arrangements were put in place in late 2016 to outsource the provision of an Internal Audit function and the function was put in place in January 2017 under an Internal Audit Charter.

#### Procurement

All procurement activity is guided by the Public Spending Code published by the Department of Public Expenditure and Reform. The Authority has policies and procedures in place for the procurement of goods and services. Formal sanction is sought from the Department of Public Expenditure and Reform for all expenditure above an agreed threshold. A corporate procurement plan was not in place in 2016 due to the early stage of establishment of the Authority and the uncertainty regarding procurement requirements.

#### Financial Reporting

All appropriate procedures for financial reporting were in place within the Authority in 2016, including:

- An annual budget against which expenditure was monitored by the Authority, by reference to the achievement of the Authority's statutory remit throughout the year;
- A financial overview provided by the Chief Executive to Authority Members on a monthly basis;
- Formal reports on actual expenditure against budgets are submitted to the Department of Justice and Equality and the Department of Public Expenditure and Reform on a monthly basis and are reported to the Authority each month;

- The Authority is represented at the Justice Sector Vote Financial Management Committee meetings to monitor and review expenditure for the Vote Group, discuss any common financial issues and to review significant items of new expenditure;
- The Annual Appropriation Account is prepared and submitted for audit to the Comptroller and Auditor General; and
- Relevant and timely reports containing Financial and non-Financial information are provided to Senior Management.

### Compliance with Legislation

The Authority was established under the Garda Síochána Act 2005 and operates in accordance with the provisions of that Act. It has also the following steps to ensure that it is in compliance with the following statutory provisions, where applicable.

### Data Protection

The Authority is registered as a Data Controller with the Office of the Data Protection Commissioner as required by law. The Data Protection policy of the Authority consists of a set of guidelines for staff based on the 8 Data Protection Rules to ensure that the Data Protection Acts 1988 and 2003 are complied with.

### Freedom of Information

Within the required six months of existence, as an FOI body under the Freedom of Information Act 2014, the Authority provided comprehensive information on its website in relation to its compliance with the Freedom on Information legislation. This included preparing a publication scheme, which provides information about the functions of the Authority and what material it makes publically available. The Authority made a decision early in its existence to provide for maximum transparency in relation to its work and has published agendas for its meetings in advance and also published minutes of all its meetings and committee meetings on its websites. Its public meetings with the Garda Commissioner are streamed live and available on its website. In the context of such transparency, the Authority has only received one FOI request during 2016.

### Protected Disclosures Act 2014

The Policing Authority is committed to fostering an environment where everyone who works at the Authority feels able to “speak-up”. By speaking-up, workers can improve the organisation and help to ensure that high standards are maintained. The Authority is committed to ensuring that any concerns raised by staff members are carefully listened to, so that prompt action can be taken to address problems.

The provides for certain legal protections to workers where they raise concerns regarding potential wrongdoing in the workplace. It sets out what is a protected disclosure and certain of the legal safeguards in place to protect workers who make protected disclosures. In accordance with the Act,

the Authority developed a Protected Disclosures Policy which sets out the procedures in place for reporting of wrongdoing in accordance with the requirements of the Protected Disclosures Act 2014. The Policy sets out the principles underpinning the development and maintenance of an ethical culture in the organisation and the operational details of how protected disclosures may be made by staff and members of the Authority.

Procedures are in place for the making of protected disclosures in accordance with section 21(1) of the Protected Disclosures Act 2014. The annual report required under section 22(1) of the Act has been published.

## 5. Financial Information

The Authority, in carrying out its mandate, is directly funded by the Exchequer in the form of an annual allocation of Voted Expenditure.

The Chief Executive is the Accounting Officer for the Authority's Vote and, in that capacity, is accountable to the Oireachtas in respect of all funds voted to the Authority for the provision of services.

The Accounting Officer must prepare, on an annual basis, an account of expenditure and receipts, known as the Appropriation Account and present this account for audit to the Comptroller and Auditor General.

### 2016 Expenditure

Actual expenditure from the Policing Authority Vote for 2016 amounted to €1,075,000. Of the total net sum expended. Staff costs amounted to €680,000, representing 63% of total expenditure.

The Financial statements of the Authority take the form of the Annual Appropriation Account which is submitted by the Accounting Officer for audit by the Comptroller and Auditor General and will be published by the C&AG in the Appropriation Accounts publication in September 2017.

The summary financial report to 31 December 2016 in Appendix 1 provides an analysis of the Vote position and related information for 2016.

### Apportioned Costs

In addition to costs directly incurred by the Authority, costs incurred by other Departments and offices must be considered in order to present an overall picture of the cost of operating the Authority.

The following apportioned costs were incurred elsewhere on behalf of the Authority:

- €206,730 under Vote 10 - Office of Public Works in respect of rent for the Authority's offices
- €32,000 under Vote 24 – Department of Justice and Equality in respect of Financial Shared Services

### Fees, Salaries and Expenses

The annual fee payable to Members of the Policing Authority for 2016 is in accordance with the rate approved by the Minister for Public Expenditure and Reform. In accordance with Department of Public Expenditure and Reform guidelines no fees were paid to public servants serving on the Authority.

Government pay guidelines on the pay of CEOs and State Body employees are complied with in full. All employees of the Authority are civil servants and are remunerated in accordance with the civil service salary scales appropriate to their grade and service.

The total staff payroll cost for the Authority in 2016 was €679,795. The staff complement of the Authority was increased from three in January 2016 to a total of fifteen at 31 December 2016.

The number of employees whose total employee benefits (including Employers PRSI but excluding employer pension costs) paid in 2016 fell within each of the following pay bands is shown in the following table:

Pay Band	No. of Employees
€60,000 - €70,000	-
€70,000 - €80,000	-
€80,000 - €90,000	2
€100,000 - €110,000	-
€120,000 - €130,000	-
€130,000 - €140,000	1

The aggregate compensation for the senior management team of the Authority in 2016, comprising salaries, was €355,650. In addition, total expenses of €850 were paid in relation to travel for the senior management team in the performance of official duties.

Travel expenses are paid to Authority Members and staff as appropriate and in accordance with the Authority's Travel Policy. Total expenditure in relation to hospitality in 2016 was €1,435.

### **Consultancy Expenditure**

A total of € 15,669 of expenditure in 2016 related to external consultancy/adviser fees, categorised as follows:

- Legal €14,459
- Advisory € 1,210

### **Taxation**

The Authority has complied with its obligations under tax law in 2016.

### **Prompt Payment of Accounts Act 1997**

It is the policy of the Policing Authority to fully comply with the terms of the Prompt Payments of Accounts Act 1997. The Authority has procedures in place to ensure that all invoices are paid within the statutory time limit. While the procedures have been designed to ensure compliance with the Act, they only provide reasonable and not absolute assurance against material non-compliance with the Act.

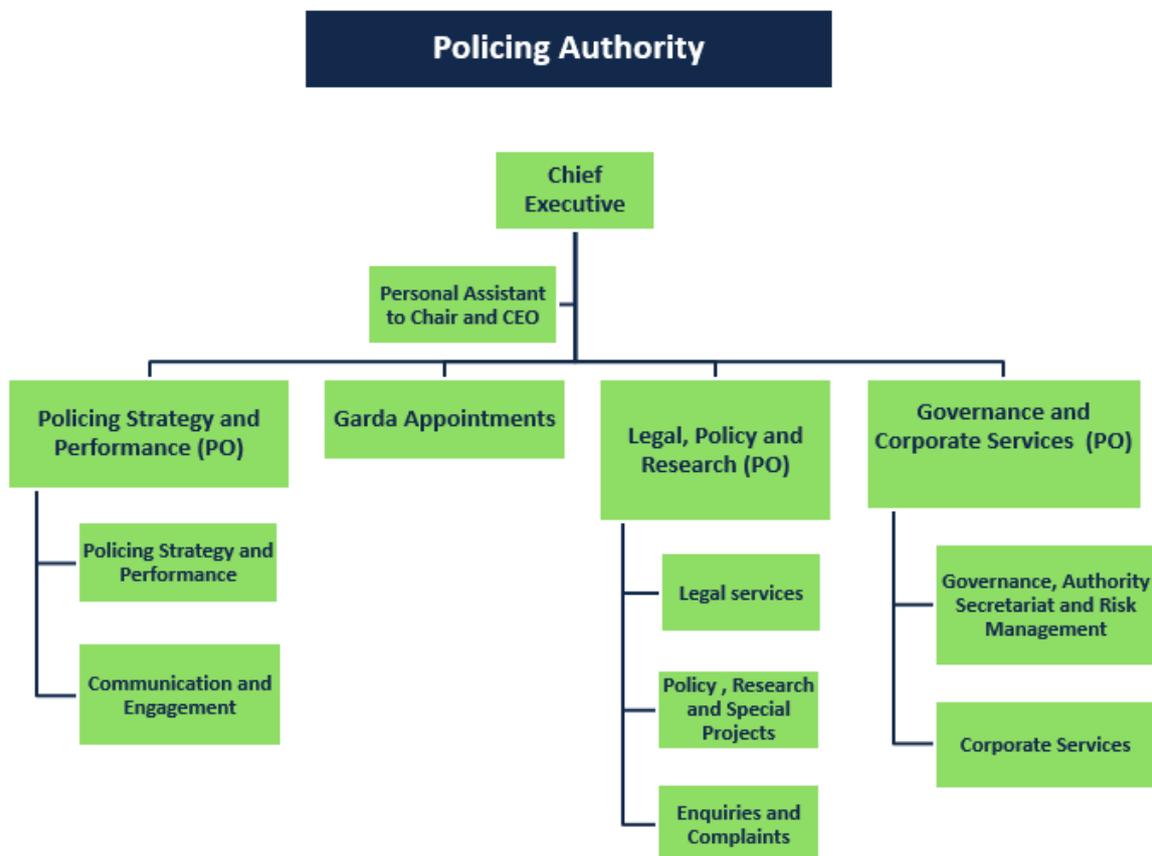
In 2016 in total one invoice incurred late payment penalties. The value of all invoices that were paid late amounted to €1,500. The total interest paid during 2016 resulting from late payments amounted to €81.22.

## Appendix 1 – Summary Financial Report 2016

A summary of expenditure in 2016 on the Authority's Vote is presented in the table below.

Financial Summary for Policing Authority Vote 2016		
Subhead	Estimate Provision	2016 Expenditure
	€000	€000
<b>A.1. (i) Salaries, Wages and Allowances</b>		
Salaries, etc.	1,700	680
Overtime	0	0
<b>Total A.1. (i)</b>	<b>1,700</b>	<b>680</b>
<b>A.2. (ii) Travel and Subsistence</b>		
1. Travel and Subsistence	50	14
2. Air Travel Emissions Offsetting Payment	0	0
<b>Total A.2. (ii)</b>	<b>50</b>	<b>14</b>
<b>A.2. (iii) Training and Development and Incidental Expenses</b>		
1. Staff Training & Development	60	14
2. Public Relations and Advertising	55	1
3. Public Meetings	40	28
4. Publications, Reports, Periodicals etc.	20	4
5. Entertainment	10	11
6. Miscellaneous	285	20
7. Members Fees and Expenses	215	186
<b>Total A.2. (iii)</b>	<b>685</b>	<b>264</b>
<b>A.2. (iv) Postal and Telecommunications Services</b>		
Postal Services	10	1
Telecommunications	40	7
<b>Total A.2. (iv)</b>	<b>50</b>	<b>8</b>
<b>A.2. (v) Office Equipment and External IT Services</b>		
1. (i) Computer, etc.(Current)	105	85
(ii) Computer (Capital)	0	0
2. Office Machinery & Stationery	20	14
<b>Total A.2. (v)</b>	<b>125</b>	<b>98</b>
<b>A.2. (vi) Office Premises Expenses</b>		
1. Maintenance	19	9
2. Heat, Light & Fuel	36	22
3. Furniture & Fittings	25	9
<b>Total A.2. (vi)</b>	<b>80</b>	<b>41</b>
<b>A.2. (vii) Consultancy Services and Value for Money and Policy Reviews</b>		
	10	1
<b>Total Expenditure</b>	<b>2,700</b>	<b>1,106</b>
less		
<b>B. Appropriations-in-Aid.</b>		
1. Miscellaneous	0	0
2. Pension Levy	60	31
<b>Total A-in-A</b>	<b>60</b>	<b>31</b>
<b>Net Expenditure</b>	<b>2,640</b>	<b>1,075</b>

## Appendix 2 – Organisation Structure



### Appendix 3 – Chairperson’s Statement of Internal Control

I acknowledge the Authority’s responsibility for the system of internal control.

Any such system of internal control can provide only reasonable and not absolute assurance against material error. In considering the effectiveness of internal controls the Authority has regard, among other things, to the requirements of the Code of Practice for the Governance of State Bodies and has made every effort in the course of its establishment during 2016 to follow the requirements of the Code insofar as is appropriate to a small, non-commercial agency.

The procedures that have been put in place, designed to provide effective internal control, have been tailored to reflect the size and complexity of the organisation and reflect the evolving nature of the Authority in its first year of operation. In this context, I note that a large proportion of the Authority’s expenditure in 2016 were pay related costs which are administered by the Payroll Shared Service Centre through the Department of Justice and Equality payroll and are consequently subject to the internal control systems, including internal audit, in place in those organisations.

The Authority has taken steps to ensure that an appropriate control environment is in place by:

- Clearly defining management responsibilities;
- Formalising a clear separation between the functions and powers of the authority and the Executive;
- Setting regular reporting requirements concerning financial, risk and governance matters;
- Establishing an audit and risk committee;
- Establishing and publishing Codes of Conduct for members and staff of the Authority;
- Ensuring that staff are appropriately skilled and experienced; and
- Seeking to establish a strong culture and values which encourage high standards of ethical behaviour across the organisation.

The Authority identified and carried out a high level assessment of the principal risks as part of its strategic planning in 2016. Risk is addressed in the context of all significant Authority decisions. A formal risk management system, including a risk register was not in place in 2016, however arrangements are being made to establish a formal risk management system in 2017;

The procedures for monitoring the effectiveness of internal controls include:

- Audit and Risk Committee.

An Audit and Risk Committee was established during 2016 and met on 2 occasions. In addition, the Committee held a workshop on developing a risk management system which was also attended by other Authority members and senior management. I am satisfied that the Committee discharged its role appropriately in the inaugural year.

This Statement is reviewed by the Audit and Risk Committee and the Authority to ensure that it accurately reflects the control system in operation during the reporting period.

- Financial and Management controls

Appropriate financial controls are in place and documented including documented financial procedures, separation of duties, appropriate supervision, authorisation and approval limits, accounting processes, control over physical assets and management review.

Appropriate budget and monitoring systems are in place based on financial records maintained by the Financial Shared Services in the Department of Justice and Equality under a Shared Service Agreement. Assurance has been received from the Accounting Officer of the Department in relation to the adequacy of these systems and related internal controls.

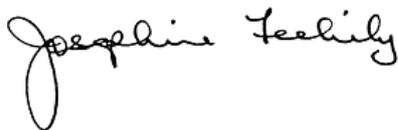
The Authority is compliant with relevant current procurement rules and guidelines as set out by the Office of Government Procurement.

Further operational systems for the management of information by the Authority are being developed in line with business activities and requirements.

- Internal Audit.

An internal audit function for the Authority was not in place during 2016 due to the low level of expenditure and staff resources during the establishment phase of the organisation. A procurement process was undertaken in late 2016 to outsource the internal audit function and a contract put in place with Crowleys DFK in January 2017. Since then an Internal Audit Charter has been put in place, a review of effectiveness and control was completed in March 2017 and further engagement is underway to put a 3-year internal audit work programme in place.

The internal control system, including this Statement of Internal Control, is reviewed by the Comptroller and Auditor General's Office as part of their audit of the Appropriation Account to confirm that that it reflects the Authority's compliance with the requirements of Paragraph 1.9 (iv) of the Code of Practice for the Governance of State Bodies and is consistent with the information of which they are aware from their audit work.



**Josephine Feehily**  
**Chairperson**

**31 March 2017.**

## **Appendix 4 – Energy Usage 2016**

### Managing Energy Usage

The Policing Authority is located on one floor of a five-story building at 90 King Street North, Smithfield, Dublin 7. The number of employees increased gradually over the year of 2016, with just 15 members of staff in place at the close of 2016.

The energy consumption of the Authority is included in the annual report provided by the Department of Justice and Equality to the Sustainable Energy Authority of Ireland.

### Actions undertaken in 2016

The Policing Authority has continued its efforts to minimise energy usage by ensuring that all electrical equipment and lighting are switched off at close of business each day.

The Policing Authority took part in the “Step Up” campaign to encourage staff to use the stairs instead of the lift.

## Contacting the Policing Authority

The Policing Authority can be contacted:

By post:           The Policing Authority  
                      4th Floor  
                      90 King Street North  
                      Dublin 7  
                      D07 N7CV

By phone:          +353 1 858 9090

By email:          [info@policingauthority.ie](mailto:info@policingauthority.ie)

On the web:       [www.policingauthority.ie](http://www.policingauthority.ie)

