

# ANNUAL REPORT 2020

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AN TÚDARÁS PÓILÍNEACHTA  
POLICING AUTHORITY

# Annual Report of the Policing Authority 2020

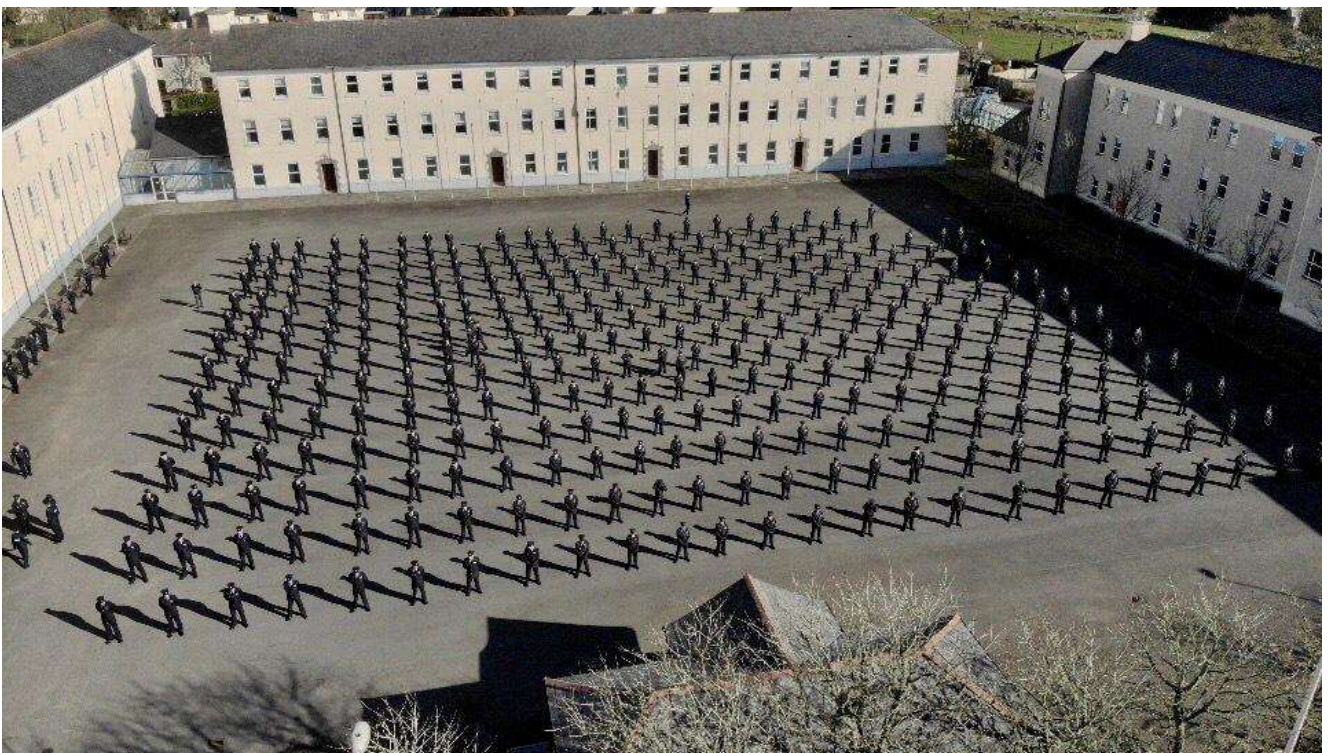
In accordance with section 62O (1) of the Garda Síochána Act 2005 (as amended) and in compliance with the Code of Practice for the Governance of State Bodies

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*“...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

That the health emergency, whose implications were slowly but surely becoming clearer as the foreword for the 2019 Annual Report was being written, would still be such a daunting reality in all our lives could scarcely have been foreseen by anyone. Yet, it has dominated almost every aspect of the life of the community since then. The Authority has outlined its work in respect of the policing of COVID-19 in its many reports to the Minister and in its two assessments of policing performance for 2020.

But COVID-19 cannot be absent from this Annual Report nor from these words. The Authority recognised from the outset that it must maintain and, where possible, strengthen its work of oversight of the Garda Síochána in these new circumstances. The exceptional powers given to Gardaí in the emergency legislation required a proportionate response in oversight terms. The Authority, in common with so many other public bodies, adapted its work practices to the new realities and offered to make some of its staff available to the common public service response to the pandemic.

Perhaps the most striking element of the Authority's work through the year was its outreach to the public, non-governmental and community bodies that work with vulnerable people and with those in need of support. The outcome of that work has been well rehearsed in the twelve reports on policing during COVID-19 that have already been submitted to the Minister for Justice. But it merits reflection here, if only for the record. The depth of appreciation throughout the community, by the great majority of people, for the work of the Garda Síochána has been of a remarkable character. The new tone of close engagement, of mutual respect, of understanding and of support was virtually universally lauded.

The Authority has also reflected, very properly, the experiences of those who have not been so positive. It is important that those voices be heard and that their validity be acknowledged. The two most recent reports in 2021 have reflected a drift from the previous warmth of appreciation and that will be a focus of particular attention in our future work. The challenge for the Commissioner and his colleagues will be to hold on to the positive achievements of 2020 and to arrest any departure from it, whatever the accumulated strains and pressures of what has been a very demanding year.

From its inception, the Authority has had a close interest in the implications for policing of the increasing diversity of the population of Ireland. This theme was a particular focus in 2020 and will continue to have a special significance in the work. It sees the challenge as a broad one with many facets. The complexity of the notion of diversity in all its manifestations - gender, race, ethnicity, demographic, social, economic, class etc. - is challenge enough in itself. But for policing and its oversight, there are two or three other dimensions.

It is vitally important that the Garda Síochána become as quickly as possible as representative of the entire community as can be achieved. This is no easy task and will take time. But it is a vital dimension. Too often,

the public discourse on diversity has a limited focus and, in terms of more recent changes in population composition, can have too narrow a focus on ethnic diversity. It is a much broader and a much deeper challenge for policing. And the nature of policing itself, the experience of policing that people have, the sensitivity to cultural difference, the openness to changing responses - these are all vitally important and can be more potent than many other types of intervention in attracting underrepresented groups to see the potential of a career in policing and to see our policing service, the Garda Síochána, as a place where they might want to work. The Authority will pay continuing keen attention to these issues.

Another focus of particular interest to the Authority was the reality of sexual crime and of domestic violence. As with diversity, the Garda Síochána has taken important initiatives but much work requires still to be done. Some very disturbing court cases, important research findings, important convictions, for example for coercive control, and the evidence of sustained violence against women have underlined the importance of this work for an oversight body.

The extension of Protective Services Units to all Garda Divisions in 2020 was a very important development with great potential for support for victims and for the prevention of these crimes. Similarly, the close analysis being undertaken by the Garda into the reasons for the low levels of successful detections in sexual crimes is very welcome. The Authority has long had an interest in detections and will maintain its close oversight, and continuing support, in this area.

The Authority's engagement with the Youth Diversion Programme, covered in previous reports, reflects its focus on the vulnerability of children. The shocking murder of a teenager early last year was a vivid and vicious reminder that unscrupulous gangs are no respecters of immature children. On the contrary, they see advantage in luring them into the way of crime. The COVID-19 reports have revealed the increasing extent to which children are being drawn into the world of drugs as users and as accomplices and exposing them, and their families, to the ever present danger of intimidation. The Authority will continue its close interest in this vitally important area of work. And it will also continue to monitor the implementation by the Garda Síochána of the recommendations in the Garda Inspectorate's report on Child Sexual Abuse. In this connection it has worked closely with the Implementation Group and will report regularly to the Minister when that Group's work is completed.

The Authority gave extensive attention to the Draft General Scheme of the Bill to give effect to the Government's decision to accept the recommendations of the Commission on the Future of Policing. That work, and its associated submissions to the Department, was confidential in nature. As these words are written the final draft Scheme is shortly to be submitted to the Government for approval at which point it will enter the Parliamentary process and have a more public dimension. The Authority will respond fully and constructively to the proposals in their final form.

The Authority also considered and made submissions on draft legislation in respect of Police Powers and on Digital Recording. The completion of the Homicide Review and of the review of the handling of DNA samples also took place at the end of 2020. Much good work has been done on both topics and the Authority will return to both at intervals to ensure that the progress initiated is pursued to its fullest potential. A similar approach will be taken to the review of the operation of the Adult Caution process which also concluded last year.

The authority welcomed, and maintained a close interest in, the Commissioner's decision to establish an Anti-Corruption Unit in the Garda Síochána. This is a very important initiative, first intimated early in his term of office. The emphasis on high standards, on dealing appropriately with unacceptable behaviours and on the central importance of the Code of Ethics are all to be supported and will be subject to continuing oversight.

As throughout its existence, the Authority has had a constant interest during 2020 in the wellbeing of those who work in the Garda Síochána. The COVID-19 pandemic has illustrated very clearly the risks that always attend policing. Very recent events, although outside the period under review, show starkly the dangers to which Gardaí are exposed. The violent attacks in recent weeks are rightly condemned but they remind us of the value of a policing service in democratic societies. It is because of that important role, because of the powers that the community invests in the Garda Síochána and because of the importance of the accountability that must always accompany such powers that the full potential of oversight will always be a guiding star for the Authority.

It remains but to express warm appreciation to colleagues on the Authority for their commitment, to offer particular thanks to those members who left the Authority at the end of 2020 and who, with the three colleagues who had left previously, were part of the foundation of the oversight work, and to welcome the four new members who joined last month. I also convey my thanks and appreciation to the Chief Executive and all the staff for their exceptional and professional work in this year of years.

**Bob Collins**

**31 March 2021**

## Chief Executive's Review of the Year

2020 was a year like no other, with challenges that no one could have foreseen. The Authority recognised early in the pandemic that the Garda Síochána would play a hugely significant role in the national response to the health emergency. We also recognised that oversight of policing and policing performance would assume even greater importance during this time.

When the country went into lock-down in mid-March, the Authority's work and oversight continued unabated, despite much of it moving to remote working. The significant increase in the powers conferred on the Garda Síochána to police the COVID-19 restrictions gave added impetus to our work. Timely, persistent and transparent oversight was and continues to be important in giving assurance that those powers are being used proportionately and in a manner consistent with the expectations of the community. As requested by the Minister for Justice, the Authority provided additional oversight of policing during 2020 and produced and published ten reports on COVID-19 policing performance.

Our oversight approach built on the work of previous years while also expanding and adapting to the new challenges presented. It has been a very full and demanding year with more Authority meetings than ever before, 63 senior Garda appointments, and a comprehensive programme of fieldwork and engagement to inform policing performance oversight across a range of topics. Some of the key work streams that emerged during 2020 included:

- A new approach to outreach and community and stakeholder engagement;
- The launch of a pilot project, harnessing technology to facilitate structured engagement and consultation on the Policing Priorities;
- Research and academic engagement in relation to children's rights;
- The development of active links with other oversight bodies at home and abroad;
- The continued oversight of the Garda Síochána's implementation of the recommendations in the review of the classification of homicides and the quality of homicide investigation which was published in 2020; and
- Considerable work in cooperation with the Public Appointments Service on the process for the selection and nomination to Government of two new Deputy Commissioners.

Our Statement of Strategy 2019-2021, sets out how the Authority will continue to exercise its core statutory function of overseeing policing performance and our corporate priorities for 2020 show how we achieve these goals. Working together with Authority and Committee Members, I am pleased to report that the Executive team has made exceptional progress in supporting the Authority's work and achieving the ambitious work programme set out in our 2020 Corporate Priorities.

Some of our main achievements during the year are noted below and the full status of achievements against our 2020 Corporate Priorities are included at Appendix 1.

At a glance:

- Twenty-one Authority meetings were held in 2020. Of the eleven which were held with the Garda Commissioner, five were made available to the public to view via live streaming to the internet and are available on the Authority's website.
- Selection competitions were undertaken and three panels of candidates were established for appointment to the ranks of Assistant Commissioner, Chief Superintendent and Superintendent respectively.

- A comprehensive programme of meetings with stakeholders, and with Garda Síochána units and specialist teams was carried out, reviewing the progress of all 27 initiatives in the 2020 Policing Plan.
- Two biannual assessments on Policing Performance were published.
- There was a deepened engagement with key stakeholders, Joint Policing Committees and the Garda Síochána through meetings, events and site visits.
- The Authority contributed to the Government programme for policing reform, through submissions made to the Department of Justice, including a submission on the Policing and Community Safety Bill included.
- The Authority monitored and supported the modernisation and reform of the Garda Síochána.
- An Academic event was held on the topic of children and trust and confidence in police
- Capacity of the Authority developed in the area of Human Rights, through a series of training sessions delivered to all staff by Dr Vicky Conway to whom I wish to express my personal thanks both for the training and for the engagement opportunity she provided to the organisation.
- A summary of the Authority's achievements in 2020 are shown in the Review of 2020 on page 1. As can be seen from the pie chart, 67% of the corporate priorities were fully completed, 10% were not completed, 9% were completed to the extent possible and 14% were not completed due to COVID-19. The status of achievements against the performance indicators in the Authority's 2020 Corporate Priorities is shown in further detail in Appendix 1.

Once again, a significant part of the Authority's assessment of policing performance was enriched by positive, open engagement by the many civil society organisations and statutory bodies that gave so generously of their time to enable the Authority to understand the public's experience of policing. I would like to thank them once again for their support and generosity and I look forward to that ongoing engagement in 2021 and beyond.

As is evident from this report, the Authority has continued to strive and achieve much and this has been possible only because of the dedication, commitment and professionalism of the Authority members and the Executive team. Once again I would like to thank my team for their continued professionalism, agility and ability to adapt to a changed working environment with no diminution of performance. This has enabled the organisation to continue to deliver external independent oversight of policing in Ireland. I would like to express my gratitude for the passion and commitment of the Authority Members who have continued to support and encourage the Executive team throughout 2020.

We also received excellent support from the Department of Justice, the Department of Public Expenditure and Reform, the Public Appointments Service and other agencies in the criminal justice system, of which I am very appreciative. In 2021, we will continue to fulfil our statutory functions, while playing a role in the evolution of a future Authority, as set out in the Government programme for policing reform.

**Helen Hall**  
**31 March 2021**



# 1. Policing Authority Review of 2020



## REVIEW OF 2020



**POLICING OF COVID-19**  
Scrutinised the use of emergency powers and policing response during restrictions while reaching out to a range of stakeholders including representatives of businesses, minority communities and victims to learn about their experiences of policing during this time.

**ANTI-CORRUPTION**  
Monitored the development of the new Anti-Corruption Unit and provided an opportunity for the Commissioner to communicate developments in anti-corruption initiatives, to promote high standards of policing and ensure public confidence.

**DNA SAMPLES**  
Considered the Garda Síochána Review of DNA Samples on a number of occasions. The Policing Authority continues to oversee the ongoing examination and recommendations arising from the review.

**POLICING AND COMMUNITY SAFETY BILL**  
Reflected on five years of oversight experience and insight, and provided views on proposed new legislative structures to ensure continued effective oversight of policing in the state.

**ADULT CAUTIONING SCHEME**  
Commissioned a review of the Garda Síochána's operation of the Scheme, highlighting key issues in governance and data quality and issuing recommendations for its more effective operation.

**CHILDREN & YOUTH**  
Continued to oversee and engage on outstanding issues from the review of Youth Diversion and the Garda Inspectorate report on handling Child Sexual Abuse cases. Hosted an event on the theme 'Children, young people and the police: building confidence and trust'.

### SENIOR GARDA APPOINTMENTS

**3**  
ASSISTANT COMMISSIONERS  
1 in an acting capacity

**10**  
CHIEF SUPERINTENDENTS

**45**  
SUPERINTENDENTS

**5**  
PRINCIPAL OFFICERS

### FIELDWORK & ENGAGEMENT

**70**  
POLICING PLAN ENGAGEMENTS

**48**  
STAKEHOLDERS

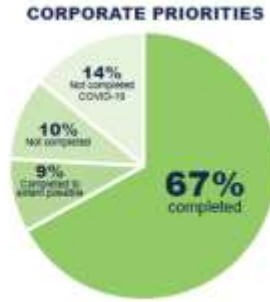
**25**  
JOINT POLICING COMMITTEES



### ORGANISATION INFORMATION

**36 EMPLOYEES**  
All working remotely

**€2.9M**  
Forecast spend



## 2. 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. The full range of functions is available on the Authority's website.

The principal functions of the Policing Authority are to:

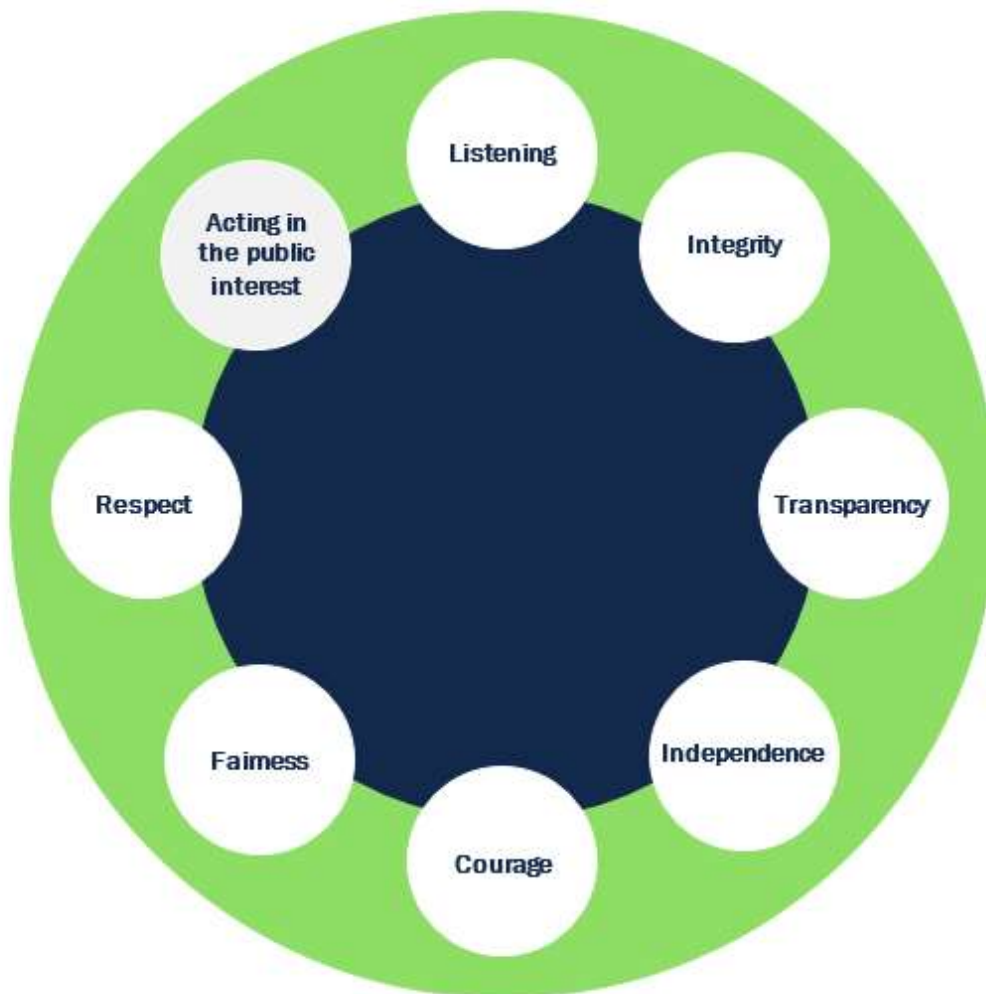
- Set priorities and performance targets for the Garda Síochána;
- Keep under review the performance by the Garda Síochána of its functions;
- Nominate persons for appointment by the Government to the posts of Garda Commissioner and Deputy Garda Commissioner, following a selection process undertaken 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 certain senior ranks and grades in the Garda Síochána;
- Monitor and assess measures taken by the Garda Síochána in relation to recommendations made in reports of the Garda Síochána Inspectorate;
- Provide information and advice to the Minister for Justice; 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 Síochána Act 2005, the Garda Commissioner is accountable to the Minister for Justice 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

### 3. Progress against Strategic Objectives

The Policing Authority Statement of Strategy 2019-2021 was presented to the Minister for Justice on 16 January 2019 and subsequently laid before the Oireachtas. It sets out the Authority's strategic objectives. The progress towards the achievement of those objectives is set out in this chapter.

The COVID-19 public health emergency, which developed in Ireland during in 2020, presented a new environment for policing and for policing oversight which could not have been predicted when the 2020 objectives below were being developed. Similarly to other organisations throughout the country, the Authority responded to the Government announcement on the 12 March 2020 by immediately putting its business continuity plan in place and moving to a home working environment from the following day, which continued for the rest of 2020. The Authority rose to the challenges of this new way of working and demonstrated a high level of agility and innovation to ensure that its oversight activities continued uninterrupted during the COVID-19 crisis.

The significant additional powers of enforcement for the Garda Síochána to ensure compliance with the measures that were introduced demanded strong focused oversight of policing performance. The Authority embraced this challenge with agility, flexibility and determination. It increased its level and depth of external engagement, particularly with groups representing the more vulnerable members of the community. The Authority produced a series of focused reports on policing during COVID-19 which have been made available to the public with a view to contributing to transparency in policing performance during this crucial time. The Authority listened to its stakeholders and also to those who are seldom heard and gave them a voice through these reports and, thanks to the openness of those who shared their experiences with us, the contents of the COVID-19 reports provide a richness which may be of value to the public, the Garda Síochána and policy makers and to the Authority itself.

During 2020, there was a strong focus on children, both through research conducted and a research seminar convened online. Addressing the theme of *'Children, young people and the police: building confidence and trust'* the Authority connected academics, researchers, and participants from relevant criminal justice agencies, to share knowledge, research and ideas were exchanged.

The Authority was awarded funding by the Public Service Innovation Fund 2020 to procure software that will facilitate structured engagement through public consultation on the Policing Priorities. A pilot was carried out in September 2020, using the Joint Policing Committees as a test audience.

Engagement also took place through active links with policing oversight bodies in other jurisdictions, including Northern Ireland, Scotland, Canada and Jamaica, on police oversight including principles of police accountability. From March 2020 and for the remainder of the year, the Policing Authority held its public meetings with the Garda Commissioner and his senior team remotely using zoom, as can be seen in the photo below. These public meetings were live streamed to the Authority's youtube channel and remain available to view on the Authority's website [www.policingauthority.ie](http://www.policingauthority.ie).

The Authority has become more dynamic, agile and innovative as an organisation during 2020 and has embraced a new approach to community engagement, all of which was brought about by the COVID-19 health emergency. Sometimes there is no substitute for face-to-face engagement and that has been one of the challenges in the year. As Ireland slowly emerges from the extraordinary circumstances and measures brought about by COVID-19, a key challenge for the Authority in 2021 will be to retain and build upon this dynamic approach so that the way in which the Authority approaches its oversight work in the future is

enhanced and strengthened.



The Policing Authority Statement of Strategy 2019-2021 sets out the Authority’s strategic objectives and key actions and performance indicators for the three-year period to the end of 2021. Progress towards the achievement of those objectives is set out below.

**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 2020
<p><b>An implemented effective performance measurement and accountability framework for the Garda Síochána</b></p>	<ul style="list-style-type: none"> <li>• Combined and extended engagement took place with stakeholders to inform oversight work, human rights and equality and assessment of Garda performance Policing Priorities for 2021 were set by the Authority having regard to the Garda Síochána statement of strategy.</li> <li>• Ongoing engagement took place with the Garda Síochána in relation to performance, including for example through:               <ul style="list-style-type: none"> <li>• Oversight of performance against the 2019 Policing Plan on a monthly basis;</li> <li>• Ten meetings of the Policing Strategy and Performance Committee;</li> <li>• Publication of bi-annual Assessments on Policing Performance;</li> <li>• Publication of ten reports on the Performance of the GS during COVID-19; and</li> <li>• The monthly Garda Commissioner’s Report to the Authority.</li> </ul> </li> </ul>

Objectives	Achievements in 2020
	<ul style="list-style-type: none"> <li>Feedback was provided regarding the Public Attitudes Survey and its transition to an online format due to Covid-19.</li> </ul>
<b>Modernisation and systematic improvement of the Garda Síochána</b>	<ul style="list-style-type: none"> <li>Actively participated in the Joint Working Group on Garda Resources.</li> <li>Held nine meetings of the Authority's Garda Síochána Organisation Development Committee, addressing the progress made in the Garda Síochána in relation to key themes of human resources, governance and infrastructure, to include Information &amp; Technology, Resources, and Culture.</li> <li>Monitored and assessed measures taken by the Garda Commissioner to embed the Code of Ethics throughout the organisation.</li> <li>Considered and provided feedback in relation to a range of Garda Síochána strategies including the Information &amp; Technology vision, the Diversity and Integration Strategy (including participation in the Garda Diversity Forum), the Equality, Diversity and Integration Strategy, the establishment of the Anti-Corruption Unit and the second Cultural Audit.</li> <li>Remotely conducted a series of site visits to Garda regions, divisions, districts and specialist units to review progress and assess the extent to which the key initiatives in the areas of HR and ICT were enabling organisational change and reform.</li> <li>The Authority's engagement on the Operating Model was a key project through the year.</li> <li>Engaged at national and divisional level to track progress on the roll-out of the Garda Síochána Operating Model.</li> </ul>

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

Objectives	Achievements in 2020
<b>Contribution to enhanced practices to support human rights and improvement of the culture of the Garda Síochána including through (a) ethical standards of conduct and practice, and (b) provisions to encourage and facilitate the reporting of wrongdoing</b>	<ul style="list-style-type: none"> <li>Oversaw and quality assured the steps taken by the Garda Commissioner to embed the Code of Ethics and engaged with the Garda Síochána on the roll out and embedding of the Code of Ethics.</li> <li>The Authority has continued to monitor the embedding of the Code of Ethics and previously expressed disappointment with the rates of members signing up to the Code. In the course of 2020 it emerged that the recording of those signing up to the Code was inaccurate and, throughout the year, the Garda Ethics and Culture Bureau undertook an audit to clarify how many members and staff had undertaken training and how many had subsequently signed the Code and according to the latest report 91% have attended training workshops and signed up.</li> </ul>

Objectives	Achievements in 2020
	<ul style="list-style-type: none"> <li>• Engaged with the Garda Síochána with regard to proposed reform of disciplinary systems.</li> <li>• Submission made to the consultation on the Youth Justice Strategy 2020-2026.</li> </ul>
<p><b>Well established, fully operational appointments system for all staff of the Garda Síochána that come within the Authority's appointment remit</b></p>	<ul style="list-style-type: none"> <li>• Continued to evolve the process for appointments to the senior ranks of the Garda Síochána in line with best practice and introduced Assessment Centres at final stage of the Assistant Commissioner Competition.</li> <li>• Selection competitions were undertaken and panels of candidates established for appointment to the ranks of Assistant Commissioner (March 2020), Superintendent (July 2020) and Superintendent (December 2020), with the latter two competitions moved online and delivered effectively, efficiently and on time.</li> <li>• During 2020 a total of 58 candidates were appointed to the senior ranks (3 Assistant Commissioners [including one acting position], 10 Chief Superintendents and 45 Superintendents).</li> <li>• Requested the Public Appointments Service to undertake a selection completion for the purpose of the Authority nominating persons to the position of Deputy Commissioner in the Garda Síochána.</li> <li>• Processed requests and approved grades and numbers for 255 new Garda staff positions. Five people were appointed to senior Garda staff positions at Principal Officer level.</li> </ul>
<p><b>Keep under review the arrangements for the recruitment, training and development of Garda members and Garda staff</b></p>	<ul style="list-style-type: none"> <li>• All non-essential training in the Garda College was suspended in March due to the redeployment of staff during COVID-19 and a revised programme of Foundation training was devised. There was considerable engagement with the GS in overseeing probationer training.</li> <li>• Ongoing oversight of the Garda e-learning system (LMS) and the new Digital Learning Hub.</li> <li>• Considerable engagement regarding the recruitment of an L&amp;D Director and the progress of the L&amp;D Expert Review Group.</li> <li>• Oversaw recruitment targets of Garda members and staff.</li> <li>• Engaged with the GS Senior Leadership Team regarding workforce planning.</li> <li>• Oversaw progress in Garda participation with Performance and Learning Framework.</li> </ul>

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

Objectives	Achievements in 2020
<p><b>Have effective working relationships with key stakeholders</b></p>	<ul style="list-style-type: none"> <li>• Developed and implemented the Authority’s Communications Work Plan 2020.</li> <li>• Engaged with key stakeholders to inform the Authority’s oversight work.</li> <li>• Undertook an expanded programme of engagement with a broad range of 48 stakeholder groups and organisations on their experience of policing during the health emergency to inform the Authority’s oversight of the use of police powers and policing in general during this time, reaching out in particular to groups representing the vulnerable members of our community and those who are seldom heard and giving them a voice.</li> <li>• Raised awareness of policing matters and the content of the Authority’s oversight work through the media and relevant publications.</li> <li>• Publication of a range of material on the Authority website in order to provide transparency on the Authority’s work to stakeholders and the public.</li> <li>• Online webinar event on the theme of ‘Children, young people and the police: building confidence and trust’ was held for academics, researchers, and participants from relevant criminal justice agencies.</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>• Developed new approach to engagement with Joint Policing Committees to mitigate against COVID-19 limitations.</li> <li>• Engaged with 27 Joint Policing Committees and Local Policing Fora.</li> <li>• Convened the Authority’s fifth annual consultation event with Chairpersons of Joint Policing Committees, Chief Executives of Local Authorities and representatives from the Garda Síochána to support the performance of JPC functions and to provide community input for the Authority’s work. This event, which took place remotely, had the highest attendance of any of the Authority’s previous Joint Policing Committee Chairpersons events.</li> </ul>
<p><b>Improve public awareness of policing matters</b></p>	<ul style="list-style-type: none"> <li>• Research commissioned by the Authority on ‘Victims’ Experiences with the Garda Síochána’ began in January 2020, and an Interim report was published in October 2020.</li> <li>• Provision of information to the public through engagement with the media including through press conferences and statements, interviews and timely responses to queries.</li> <li>• Of the 21 Authority meetings held in 2020, 11 were with the Garda Commissioner of which five were made available to the public to view via live streaming to the internet and are available on the Authority’s website.</li> </ul>



Objectives	Achievements in 2020
	<ul style="list-style-type: none"> <li>Produced ten reports on the Policing Response to COVID-19 in addition to two performance reports.</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 2020
<b>Be an effective organisation with a culture of high performance</b>	<ul style="list-style-type: none"> <li>The Authority rose to the challenges of the new way of working during the COVID-19 pandemic. The Authority placed a focus on staff well-being and enabled all staff and Authority members to maintain a high performance culture while working from home.</li> <li>Proactively managed human resources matters in the Authority including recruitment, retention, training and development and performance management.</li> <li>Prepared the groundwork for the move to a matrix management structure.</li> <li>Complied with governance, risk and reporting requirements in line with legislation and Codes of Practice.</li> </ul>
<b>Provide appropriate and timely reports to the Minister and advice on policing matters</b>	<ul style="list-style-type: none"> <li>Produced 10 reports on the Policing Response to COVID-19.</li> <li>Provided advice on resources required by the Garda Síochána as required under Section 62H(2)(b) of the Garda Síochána.</li> <li>Delivered two reports assessing performance of the Garda Síochána against the Policing Plan.</li> <li>Provided updates on the Authority's role to monitor and oversee the measures taken by the Garda Síochána to implement the recommendations contained in the Garda Inspectorate report 'Responding to Child Sexual Abuse'.</li> <li>Provided observations on the Department of Justice Strategy Statement 2020-2023.</li> <li>Developed Policing Priorities for 2021.</li> </ul>
<b>Transition arrangements to implement the agreed recommendations of the Commission on the Future of Policing</b>	<ul style="list-style-type: none"> <li>Provided observations and engaged with the Department of Justice on general schemes for the Codification of Policing Powers and the Policing and Community Safety Bill.</li> <li>Continued oversight of organisational reform of the Garda Síochána.</li> </ul>

In accordance with its Statement of Strategy and to reflect additional requests from the Minister, the Authority set its Corporate Priorities for 2020 at the start of the year to guide it in prioritising its work in 2020. The status of the achievement of these priorities at end 2020 is included for information at Appendix 1.



## 4. Feature Article: Oversight of Policing During COVID-19

2020 presented a new environment for policing and a new context for policing oversight which could not have been predicted in the previous year. The year saw a public health emergency evolve which required a policing response. With that saw the introduction of new infringements on people’s freedom of movement to prevent the spread of COVID-19, and powers of enforcement for the Garda Síochána to ensure compliance. Following the introduction of restrictions and issuance of new powers to the Garda Síochána, on 16 April 2020 the then Minister for Justice requested the Authority to report on our oversight activities and our assessment of the application of the COVID-19 Regulations by the Garda Síochána. Work had commenced prior to this request. The Authority recognised the potential implications that the public health emergency would have on the policing services and was agile in engaging with the Commissioner to identify key issues and ensure focused oversight of policing performance, particularly in the context of new and intrusive powers being introduced. This responsive oversight was formalised through the Ministerial request and introduced a series of focused reports on policing during COVID-19, providing information and advice to the Minister and transparency for the public in terms of Garda Síochána activity.



### Use of Powers

From the outset of the public health emergency, the Garda Síochána adopted the “the four E’s”, which are Engage, Explain, Encourage and Enforce. This graduated response was welcomed by the Authority as it afforded opportunity under the first three E’s for members of the public to be prompted to disperse, return to their homes or cease their journeys.

From 8 April 2020 the Garda Síochána were granted powers to be able to employ the final step to enforce the restrictions which were placed on the public, through Statutory Instrument (S.I.) 121 of 2020. These included the power to:

- Direct a person to comply with the Regulations;
- Arrest for failure to comply with such a direction;
- Demand a person’s name and address;

- Arrest for failure to comply with the demand for name and address; and
- Arrest for failure to comply with the Regulations.

The Authority engaged with the Garda Síochána to introduce reporting to the Authority on the use of new powers and COVID-19 specific policing activity. This tested the capabilities of the Garda Síochána to record and report data. It was a source of disappointment that the data recorded by the Garda Síochána did not capture the full breadth of powers granted to it to deal with the health emergency. In this context, the Garda Síochána were unable to report on the number of times they issued directions to people and where the person complied. Instead the Authority had to assess data relating to offences committed. Data was assessed, in as much as possible, to ensure there was no disproportionate use of powers in localised areas. The Authority also assessed the number of checkpoints carried out as a proxy for Garda Síochána engagement with the public. Assessment of use of powers relative to the degree of engagement demonstrated high levels of compliance by the public and relatively low use of powers by the Garda Síochána.

Over the following months the nature of enforcement during the pandemic shifted, as the country went through various stages of easing restrictions and tightening them once again. The use of powers became more concentrated on premises in the hospitality and retail sectors, which were again assessed in terms of the proportionality of enforcement.

### **Listening to seldom heard voices**

Through its Stakeholder Engagement Programme, the Policing Authority was already engaging with a diverse range of stakeholders, including NGOs, on an ongoing basis. This work is designed to listen to and hear the lived experience of policing and to gather views as to the quality and effectiveness of the policing service provided by the Garda Síochána. This work informs the Authority's oversight work and finds expression in the reports provided to Government and to the public on policing performance. The Authority increased its level of external engagement and its approach to engagement during the pandemic. This was a significant piece of work which was an extremely valuable and informative part of the Authority's oversight of policing during the pandemic.

From the outset of its oversight of policing during the pandemic, the Authority placed a strong emphasis on engaging with representative groups of different communities within our population to understand the impact and lived experience of policing during this time and to assess the degree of fairness and equity exercised in the use of powers. This was also important in validating the effectiveness of specific operations, such as the Garda Síochána response to domestic violence during lockdown. The Authority engaged with as many as 48 different groups often more than once, during the period as the experience of COVID-19 was not static as the various restrictions changed during the year. The groups including representatives of minorities, older people, children, victims of domestic violence, and business interests such as the hospitality sector. It also engaged with human rights bodies such as IHREC and ICCL. Multiple groups within different cohorts were engaged with to validate comments made and ensure a broad spectrum of views from within a given community were gathered. This element of work was vital in capturing the tone of policing during the pandemic, identifying concerns and, in many cases, highlighting good work by members of the Garda Síochána. The feedback generally reflected positive engagement by the Garda Síochána, particularly among communities which are marginalised and seldom heard. The work has provided a rich vein of experience which provides the perspective of the community as to the impact, effectiveness and success during this time. It has highlighted that these are not experienced evenly across our society and that in assessing policing performance the importance of hearing these voices endures beyond the lifetime of the pandemic. The

Authority will continue to engage in this work.

Despite the challenges to operating as normal, the Authority also engaged with Garda members and staff through attendance at checkpoints and PAF meetings at regional, divisional, district and unit levels, across the country. This feedback gathered from members and from observing interactions with the public was important in also informing and validating information provided to the Authority.

### **Emerging Oversight Issues**

The Public Health Emergency not only presented the Garda Síochána with new powers, but also new methods of policing and new organisational challenges. The Authority engaged with the Commissioner and the organisation as these issues arose. Chief among the concerns of the Authority was the introduction of anti-spit hoods. While introduced with the intent of offering protection to the workforce, the Authority expressed concern at their introduction and sought assurances that these would only be introduced for the duration of the pandemic. Given the severity of these devices the Authority placed an emphasis on usage being carefully and consistently monitored, agreeing a reporting template for members of the Garda Síochána to complete after each use of the device. The Authority reviewed these to ensure use was in line with policy and also examined wider trends in use. The Authority also made submission to the Garda evaluation of anti-spit hoods, and in doing so contacted the distributors of these devices to gather evidence of their efficacy in protecting members. It emerged that these devices had no proven effectiveness in preventing the spread of COVID-19 and their use remains a concern for the Authority.

The health and wellbeing of Garda members and staff was a priority for the Authority. Assaults by way of spitting or coughing at members were monitored and the Authority engaged with the Commissioner and senior leadership team on a wide range of issues to ensure members were being provided with adequate protection. This included engagement on issues such as PPE, priority testing, and health and safety measures.

With the increased policing effort came an additional strain on resources. The decision was taken by the Garda Síochána to release trainees from Templemore early to swell the ranks of the service and ensure sufficient capacity, particularly for community engagement. While this raised concerns for and about these trainee members, the Authority sought assurances that these members would not be put in inappropriate roles, that there would be adequate supervision and that their training for future service would not be interrupted.

A wide range of other activities and issues were covered in this area of oversight including policing of protests, presence of armed members at checkpoints, and assessing general trends in complaints related to the policing of the pandemic.

While not without its limitations, this body of work resulted in a comprehensive series of reports and more critically, a strong basis for engagement with the Garda Síochána, advice and information for the Minister and transparency for the benefit of public confidence in policing services.



## 5. Governance and Structure

### 1. Authority Members

The Authority's establishing legislation provides for a membership of a Chairperson and eight ordinary members, appointed for a 3 or 4 year term with the possibility of reappointment for a further term subject to a maximum of 8 years. The Chairperson and members of the Authority were selected for appointment by the Government following selection processes run under the Stateboards.ie process by the Public Appointments Service. 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.

There were eight members of the Authority throughout 2020. Bob Collins was appointed as Chairperson, with effect from 1 January 2020. Deborah Donnelly was appointed to the Authority, with effect from 1 January 2020, for a period of one year. Three members of the Authority, Dr Vicky Conway, Pat Costello and Judith Gillespie, completed their terms of office on 31 December 2020. On 22 December, the Minister for Justice reappointed the four ordinary members and the Chairperson for a period of three years or until the dissolution of the Authority, whichever is the sooner.

Members of the Authority were engaged on the basis of a commitment of 4 to 6 days per month and the Chairperson's formal commitment is on the basis of a minimum of 2.5 days per week. Details of the Authority Members are listed in Table 1, including their term of office and meetings attendance during 2020. Table 2 shows annual fees and travel and subsistence costs for Authority Members for 2020.

Table 1: Terms of office and 2020 meeting attendance of Authority Members			
Authority Member	Expiry of term	Authority Meetings attended	Committee and Representational Meetings <sup>1</sup>
Bob Collins	31/12/23	21	14
Vicky Conway	31/12/20	19	10
Pat Costello	31/12/20	20	9
Judith Gillespie	31/12/20	20	8
Valerie Judge	31/12/23	20	9
Paul Mageean	31/12/23	21	9
Moling Ryan	31/12/23	20	19
Deborah Donnelly	31/12/23	21	9

<sup>1</sup> A total of 27 Committee meetings were held. In addition, Members attended a number of working group meetings and represented the Authority at a number of other meetings and events throughout the year.

**Table 2: Annual Fees and travel and subsistence costs for Authority Members**

Authority Member	Annual Fees <sup>2</sup> paid in 2020 €	Costs reimbursed to Member in 2020 €	Costs paid directly to suppliers in 2020 €
Bob Collins	32,450	-	44
Vicky Conway <sup>3</sup>	-	-	-
Pat Costello	14,963	-	-
Judith Gillespie	14,963	480	178
Valerie Judge	14,963	-	-
Paul Mageean	14,963	1,724	642
Moling Ryan	14,963	-	-
Deborah Donnelly	14,963	-	201

## 2. Committees of the Authority

The Authority had a number of Committees in 2020 to oversee the governance and progress the work of the Authority in relation to its statutory priorities under Terms of Reference which set out their purpose, guided their work and set out the details of matters which are delegated to the Committee for decision. The Terms of Reference for each Committee and the approved minutes of their meetings in 2020 are published on the Policing Authority website.

Updates from Committees are 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 2020. 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. At the end of 2020 there were two external members of the Audit and Risk Committee, one external member of the Policing Strategy and Performance Committee and one external member of the Organisation Development Committee. The Garda Appointments Quality Assurance and Selection Governance Committee is chaired by an external member who is a senior independent recruitment expert and this Committee also includes a member of the Senior Executive team. An Authority Working Group was established to facilitate an agile response between meetings, to matters arising in the context of Authority's engagement with the Government's Policing Reform Programme. Details of each committee, together with membership and meetings in 2020 are set out In Table 3.

<sup>2</sup> Fees paid to Authority Members are approved by the Minister for Justice with the consent of the Minister for Public Expenditure and Reform.

<sup>3</sup> Dr. Vicky Conway was re-appointed to the Authority from 29 January 2019 until 31 December 2020. As a public servant Dr Conway was not in receipt of any fees under the 'One Person, One Salary' principle. Fees of €28,679 ordinarily payable to an Authority Member were paid directly to Dr. Conway's employer, Dublin City University, in respect of the duration of her reappointment in compensation for the opportunity cost of the time spent by Dr Conway on work for the Authority over the two year period.



<b>Table 3: Authority Committees 2020</b>		
<b>Committee</b>	<b>Membership</b>	<b>Meetings in 2020</b>
<b>Audit and Risk</b>	Moling Ryan (Chair)	6
	Ronan Nolan (External member)	6
	Melanie Pine (External member)	6
<b>Garda Appointments Quality Assurance and Selection Governance</b>	Bryan Andrews (Chair) (External member)	2
	Valerie Judge	2
	Moling Ryan	2
	Aileen Healy (Executive member)	2
<b>Garda Organisation Development</b>	Bob Collins (Chair) <sup>4</sup>	3
	Paul Mageean (Chair) <sup>5</sup>	9
	Pat Costello	9
	Valerie Judge	7
	Melanie Pine (External member)	8
	Moling Ryan <sup>6</sup>	2
<b>Policing Strategy and Performance</b>	Judith Gillespie (Chair)	8
	Moling Ryan	9
	Vicky Conway	10
	Ronan Nolan (External member)	9
	Deborah Donnelly <sup>7</sup>	9

### 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.

Membership of the senior management team is shown in Table 4.

<sup>4</sup> Bob Collins chaired two committee meetings and attended a third meeting which was chaired by the new committee chair.

<sup>5</sup> From 1 April, Mr. Paul Mageean was the committee chair.

<sup>6</sup> Dr Ryan attended two meetings on specific topics, as a non-member of this Committee.

<sup>7</sup> Deborah Donnelly was appointed to this committee after the January meeting had taken place.

Table 4: Senior Management Team 2020	
Role	Name
Chief Executive	Helen Hall
Head of Governance, Corporate Services and Appointments and Secretary to the Authority	Aileen Healy <sup>8</sup>
Head of Legal, Policy and Research	Cormac Keating <sup>9</sup>
Head of Policing Strategy and Performance	Margaret Tumelty

The Chief Executive's salary on 31 December 2020 was €162,920 on the salary scale for Assistant Secretary in the civil service, which is the amount approved by the Minister for Justice with the consent of the Minister for Public Expenditure and Reform. Travel and subsistence costs reimbursed to the Chief Executive arising from the performance of her duties amounted to €712 in 2020.

#### 4. How we work

##### Authority meetings

The Authority plans for a day long plenary meeting each month, except in the month of August. Each meeting includes a meeting with the Garda Commissioner and the senior Garda 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 holds additional or exceptional meetings on a needs basis, which may include meetings with the Garda Síochána. In addition to 11 scheduled meetings in 2020, 10 additional meetings were held in 2020 to deal with emerging issues.

Meetings with the Commissioner in public are generally held in a public venue and admittance to observe is available to the public and the media. Due to the health measures in place arising from the COVID-19 pandemic, meetings with the Commissioner in public were held online, with exception of the 26 February meeting. The meetings continued to be advertised in advance on the Authority's website and were live streamed via the Authority's website and available to broadcast by the media. Archived recordings are available to view on the Authority's YouTube channel.

In 2020, the Authority met a total of 21 times, meeting with the Garda Commissioner and his senior colleagues on 11 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. In 2020 the Garda Commissioner's monthly report to the Authority was published on the Garda Síochána and Authority websites.

The Authority makes provision for meeting in private at each monthly meeting without the Executive present and this was availed of on eleven occasions during 2020

<sup>8</sup> Aileen Healy departed the organisation on 24/07/20 and Aoife Clabby took over as Authority Secretary from that date.

<sup>9</sup> Cormac Keating started on the 17/02/20.

### 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;
- 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; and
- Publishing reports and other material on its website.

## **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 for Justice.

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

- The Garda Síochána Act 2005 as amended;
- 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);
- The Code of Ethics for the Garda Síochána, which has been adopted, where applicable, by the Authority;
- Public Financial Procedures;
- The Public Spending Code; and
- Such other legislation, government and public service policies and circulars as are applicable to civil service organisations.

### 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 2019-2021; and
- Corporate Governance Assurance (including Relationship and Support) Agreement with the Department of Justice and Equality.

These documents were revised as appropriate during 2020 to reflect any changes considered necessary. These documents are published 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 with associated responsibilities for the internal control environment.

### 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. It also commits Members and staff to abide by the Code of Ethics for the Garda Síochána.

### 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, where 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. The Code of Conduct also governs conflicts of interest in the context of selection competitions run by the Authority and other circumstances where conflicts of interest might arise. All members of the Authority complete an annual Ethics return in accordance with the requirements of the Ethics in Public Office Act.

### Standing Orders

The Authority's Standing Orders set out the procedures by which the Authority conducts its business.

### 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 external, independent review of the effectiveness of the Authority in 2020 was undertaken in accordance with the requirements of the Code of Practice for the Governance of State Bodies.

### Oversight by Parent Department

There is a Corporate Governance Assurance (including Relationship and Support) Agreement with the Department of Justice and Equality which clearly defines the terms of the Department's relationship with the Authority. It also 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. This agreement reflects and documents the extent to which the compliance requirements of the Code of Practice are suitably adapted to the circumstances (including the size and independence) of the Authority.

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.

Governance liaison meetings between senior management of the Department and senior management of the Authority take place 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 is 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 and Risk Committee, consisting of two members, who are external to the Authority, together with one Authority member, was established in July 2016 under an Audit and Risk Committee Charter and met on 6 occasions in 2020. The Committee provides independent advice to the Authority and the Accounting Officer, including in relation to the suitability and robustness of the organisation's internal control, internal audit, risk management and governance systems and procedures.

### Risk Management

The Authority has a comprehensive risk management policy and systems in place, including a detailed up to date risk register. The risk register includes a detailed assessment of the Authority's principal risks, and a description of the risks and internal controls and measures to mitigate risk. The Risk Register is maintained by the Authority's Chief Risk Officer and is updated on an ongoing basis to reflect new risks arising at all levels in the organisation and changes in controls to mitigate risks. The Risk Register is reviewed by the Audit and Risk Committee each quarter. The Authority reviews the full register at least once per annum. Risk management is a standing item on the Authority's monthly meeting agenda and a monthly Risk Management report is reviewed and specific risks discussed. Risk and measures to mitigate risk are addressed in the context of all significant Authority discussions and decisions. Procedures to manage risk are in place throughout the organisation are a standing agenda item at management, team, staff and project meetings.

### System of Internal Controls

Robust and effective internal controls systems and procedures are in place in the Authority to ensure compliance, as appropriate, with the relevant principles, requirements and guidelines of the Public Spending Code and to mitigate against risk. An annual review of the effectiveness of internal control systems has been undertaken by the Internal Audit provider to ensure all aspects of risk management and internal control for the year have been considered and to provide significant assurance regarding the adequacy of internal control systems to mitigate and/or manage key inherent risks.

### Internal Audit

An Internal Audit function for the Authority is outsourced to Crowleys DFK following a procurement process undertaken in late 2016, after which a three-year contract was awarded. An option to extend this contract for a period of one year, to 31 January 2021, was availed of in 2020. An Internal Audit Charter is in place. An Internal Audit Work Programme is in place and a number of internal audits were carried out in 2020 in line with the plan.

### Procurement

All procurement activity is guided by the Public Spending Code published by the Department of Public Expenditure and Reform and a Corporate Procurement Plan was in place for 2020. 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.

## Financial Reporting

All appropriate procedures for financial reporting were in place within the Authority in 2020, 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 and the Audit and Risk Committee 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 also has arrangements in place to ensure that it is in compliance with the following statutory provisions, where applicable:

### **Data Protection**

The Authority is in compliance with the General Data Protection Regulation (GDPR) and the Data Protection Act 2018. Arrangements are in place to ensure compliance with the GDPR which came into effect on 25 May 2018 and work continued throughout 2020 to ensure compliance with GDPR. These arrangements are managed by the Authority's Data Protection Officer who has received appropriate training and has a direct reporting line to the Chief Executive. The Data Protection Commissioner has been notified of the Authority's Data Protection Officer.

The Authority has a Data Protection Policy in place which includes a set of guidelines for staff based on the eight Data Protection Rules to ensure that the Authority is in compliance with the GDPR and the Data Protection Act 2018. In 2020 the Authority received three Subject Access Requests under the Data Protection legislation. In addition, one Subject Access Request decision from 2019 was appealed to the Data Protection Commission (DPC) in 2020 and the DPC sought details in relation to the matter from the Authority following which the matter was closed. Two data breaches were reported to the DPC in 2020.

### **Freedom of Information**

The Authority provides comprehensive information on its website in relation to its compliance with the Freedom of Information legislation. This includes a publication scheme that 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 routinely publishes agendas and minutes of all its meetings and committee meetings on its website. Its public

meetings with the Garda Commissioner are streamed live and available on our website. In 2020, the Authority received eight Freedom of Information requests details of which can be found on the disclosure log on the Authority's website.

### **Section 42 Irish Human Rights and Equality Commission Act 2014**

The Authority is committed to ongoing review of its policies and procedures so as to maintain compliance with the principles of human rights and specifically the obligations under Section 42 of the Irish Human Rights and Equality Commission Act 2014 ('the 2014 Act').

The Authority places a strong emphasis on the right to fair procedures, the right to privacy, equal access and equal treatment in all aspects of its functions and strives to ensure that we conduct all of our activities through the lens of human rights and equality. Our obligations in this regard are inherent in all of the objectives and activities set out in this Annual Report.

We continuously work to ensure that the dignity and welfare of all our staff is protected and a culture of participation and respect is encouraged having regard to these rights and principles. We continue to explore and implement reasonable accommodation and positive actions to ensure that our workplace, our work practices and communications are accessible to our diverse workforce and stakeholders. All internal policies and practices are kept under review to ensure compliance with best practice in those areas.

The Authority has regard to Section 42 in its procurement, research and delivery of its services. In 2020, the Policing Authority provided training for Authority members and staff in relation to the public sector duty under Section 42 of the 2014 Act to ensure awareness of the responsibilities that arise from Section 42.

The Authority's website, along with other published information, is designed with regard to the principles of clear and accessible communication. The website is designed with regard to compliance with accessibility principles including Website Accessibility Initiative (WAI) and Web Content Accessibility Guidelines 2.0 AAA.

The Authority has an Accessibility Officer who acts as liaison for the customer and the relevant section of the organisation.

The Authority has a statutory mandate to oversee the Garda Síochána in its functions relating to policing services. This includes the responsibility to provide assurance to communities of a culture in the Garda Síochána which embodies the highest ethical standards, embraces diversity and vindicates the human rights of each individual. The Authority strives, through its oversight activities and assessment of the performance of the Garda Síochána in the provision of policing services, towards continuous improvement in the embedding of these principles to meet the rightful expectations of Irish society to a policing service which meets the highest standards of human rights and equality.





### **Promoting Equality, Diversity and Inclusion**

The Authority is committed to promoting equality, diversity and inclusion and acknowledges that the key metrics of performance for State bodies are not only economic, but also include culture, diversity and inclusiveness together with the well-being of those employed, fostering greater engagement among staff and stakeholders and leading in turn to better outcomes for citizens and communities. Women and men working and governing as equals leads to outcomes that deliver positive benefits for Government and society.

While the appointment of Authority members is a matter for the Minister for Justice appropriate gender balance in relation to the Authority is set out in the Statute<sup>10</sup> which states that “in appointing the members of the Authority, the Government shall have regard to the objective of there being no fewer than 4 members who are women and no fewer than 4 members who are men”.

In 2020 of the eight Authority members half were women and half were men and the senior management team is made up of more than 50% women.

The Authority allocates the necessary funds to ensure that appropriate accommodation is made for staff with disabilities to enable them to participate fully in the workplace.

Diversity of views is promoted by inviting and welcoming a wide range of views from Authority members, committee members and staff.

An Independent External Evaluation of the Authority for 2020 confirmed the presence of diversity of perspectives, which supports the Authority’s deliberations and debate and promotes wider perspectives in its decision making process. Members are willing to constructively challenge both the Executive and also each other, to ensure that diversity of opinions and perspectives are real and encouraged. The Evaluation further confirmed the independence of judgement and contributions, and the favourable

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<sup>10</sup> Section 62C of the Garda Síochána Act 2005 as amended.

environment that exists within the Authority where everyone feels free to speak and, when necessary, dissent, which reflects well on the tone and climate at the Authority.

The Authority promotes diversity, equality and inclusion through its Stakeholder Engagement Programme, as discussed above, by listening to a diverse range of stakeholders, on an ongoing basis, to inform the Authority's oversight work. During 2020, the Authority placed a strong emphasis on engaging with groups representing different communities, including minority groups and those who are marginalised and seldom heard, to assess the degree of fairness and equity exercised in the use of police powers. We also engaged with Garda members and staff and their associations and unions.

### **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 Authority is committed to the Transparency International Integrity at Work programme.

The Act 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 has a Protected Disclosures Policy in place which sets out the procedures in place for reporting of wrongdoing in accordance with the requirements of the Protected Disclosures Act 2014 and training was provided in relation to making a protected disclosure. 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 on the Authority's website.

## 6. 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.

### 2020 Expenditure<sup>11</sup>

Gross expenditure from the Policing Authority Vote for 2020 amounted to €2.817 million. This included staff payroll of €2.087 million, representing 74% 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. The Authority's 2020 Account will be published by the C&AG in the Appropriation Accounts publication in September 2021.

The summary financial report to 31st December 2020 in Appendix 3 provides an analysis of the Vote position and related information for 2020. This report is subject to audit by the Comptroller and Audit General during 2021.

### 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:

- €8,000 under Vote 9 – Office of the Revenue Commissioners;
- €253,000 under Vote 13 - Office of Public Works in respect of rent and associated services for the Authority's offices;
- €5,000 under Vote 18 – National Shared Services in respect of HR and Payroll Shared Services; and
- €49,000 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 2020 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. In consultation with the Department of Public Expenditure and Reform and the Department of Justice, fees ordinarily payable to an Authority Member were paid directly to Dr Vicky Conway's employer, Dublin City University, in respect of the duration of her reappointment to the Authority in compensation for the opportunity cost of the time spent by Dr Conway on work for 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.

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<sup>11</sup> All financial data is subject to audit by the C&AG.

The total staff payroll cost for the Authority in 2020 was €2.087 million. The staff complement of the Authority was increased from 33 in January 2020 to a total of 36 at 31 December 2020.

The number of employees whose total employee benefits (including Employers PRSI but excluding employer pension costs) paid in 2020 fell within each of the following pay bands is shown in the following table:

Pay Band	No. of Employees
€60,000 - €70,000	1
€70,000 - €80,000	4
€80,000 - €90,000	3
€90,000 - €100,000	0
€100,000 - €110,000	2
€120,000 - €130,000	-
€130,000 - €140,000	-
€140,000 - €150,000	-
€150,000 - €160,000	-
€160,000 - €170,000	1
€170,000 - €180,000	0

The aggregate compensation for the senior management team of the Authority in 2020, comprising salaries and Employer's PRSI, was €441,930. In addition, total expenses of €1,056 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 and gifts in 2020 was €349.

### Consultancy Expenditure

A total of 29,871 of expenditure in 2020 related to external consultancy and adviser fees, categorised as follows:

- Legal €23,384
- Advisory €1,845

### Taxation


The Authority has complied with its obligations under tax law in 2020.

### 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 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. Payment timelines in 2020 were affected due to the COVID-19 pandemic while adapted payment processes to suit remote working were being put in place.

In 2020, arising from remote working arrangements during COVID-19, a total of 71 invoices incurred late payment penalties. The total penalties paid during 2020 resulting from late payments amounted to €3,671.56 (made up of €412.56 in interest and €3,259.00 in compensation). This amount represents 7.2% of the total value of invoices paid late, which was €50,976.39. The matter has now been resolved.

## Appendix 1 – Status of 2020 Corporate Priorities at 31 December 2020

		RAG Status <span style="background-color: green; color: white; padding: 2px;">On target against plan</span> <span style="background-color: orange; color: black; padding: 2px;">At risk - Intervention required</span> <span style="background-color: red; color: white; padding: 2px;">Significant issues - unlikely to</span>		
Deferred to 2021				
Priority	Performance Indicators <sup>(1)</sup>	Actions	Expected RAG status Q4	Update on Progress Q4
1) <b>Contribute to the Government programme on policing reform</b>	<ul style="list-style-type: none"> <li>Advise the Minister and Implementation Group as appropriate as the details of the Government decision on policing and oversight reform are developed</li> </ul>	<ul style="list-style-type: none"> <li>Advise the Minister and Implementation Group as appropriate as the details of the Government decision are developed</li> </ul>	<b>Completed</b>	Criminal Justice strategy comments submitted to DJ
	<ul style="list-style-type: none"> <li>Participate in the process to review the Garda Disciplinary Regulations</li> </ul>	<ul style="list-style-type: none"> <li>Engage with the GS, the Department of Justice and Equality and other stakeholders to keep the proposed revisions to the GS Disciplinary regulations and processes under review</li> </ul>	<b>Not completed due to factors outside PA control</b>	GS submitted document to the Department on 30 October. The PA has not had sight of this yet and is unlikely to before year end. While no progress has been made all relevant stakeholders have been engaged
	<ul style="list-style-type: none"> <li>Participate in transition arrangements with regard to Government proposals for new oversight arrangements</li> </ul>	<ul style="list-style-type: none"> <li>Advance proposals for change on an administrative basis where practicable</li> </ul>	<b>Completed to the extent possible</b>	The submission to the Department on the Policing and Community Safety Bill included comments on the proposed new oversight body's relationship with the proposed National office for Community Safety. However legal drafting continues and additional submissions are envisaged in 2021.

Priority	Performance Indicators <sup>(1)</sup>	Actions	Expected RAG status Q4	Update on Progress Q4
2) <b>Monitoring and assessment of Garda Síochána policing performance</b>	<ul style="list-style-type: none"> <li>Monthly evaluation of the 2020 Policing Plan by the Executive supported by site visits designed to evidence the achievement of the Plan</li> </ul>	<ul style="list-style-type: none"> <li>Review and update of monthly reporting to reflect the 2019 Policing Plan</li> <li>Maintain contact with the Garda Inspectorate</li> <li>Develop and implement an evidencing framework for the Policing Plan</li> <li>Enhance site visit protocols, including pre- and post-briefing materials</li> </ul>	Completed	A number of key evidencing meetings took place since the last update. Work is ongoing to assist the administrators in the subject areas develop briefin materials as required.
	<ul style="list-style-type: none"> <li>Production of a half year and full year report on Garda Síochána performance against the 2020 Policing Plan</li> </ul>	<ul style="list-style-type: none"> <li>Produce the full year report 2019</li> <li>Produce the mid year report 2020</li> <li>Produce fortnightly reports to the Minister on COVID-19 policing</li> </ul>	Completed	Both reports produced. Reports to the Minister on policing of COVID-19 continue
	<ul style="list-style-type: none"> <li>Determination of the format for the Garda Commissioner's Annual Report by 28 February 2020</li> </ul>	<ul style="list-style-type: none"> <li>Meeting with GS Office of Corporate Communications regarding plans for Annual Report</li> <li>Submit letter to the Commissioner outlining direction for Annual Report</li> </ul>	Completed	
	<ul style="list-style-type: none"> <li>Hold bi-annual meetings with the Assistant Commissioner for Security and Intelligence</li> </ul>	<ul style="list-style-type: none"> <li>One meeting with the AC Security and Intelligence before year end.</li> <li>Build organisation knowledge of the Security and Intelligence function and oversight of this as it relates to criminal intelligence and other areas under the Authority's remit.</li> </ul>	Completed	Meeting currently being organised by MT. Likely to achieve
	<ul style="list-style-type: none"> <li>Review the potential of the Commissioner's Monthly Report to further enhance the Authority's oversight</li> </ul>	<ul style="list-style-type: none"> <li>Keep the report under review and identify any matters that need to be included on a routine basis.</li> </ul>	Completed	This is an on-going task that continues into 2021. Actions required for 2020 will have been completed by end Dec.
	<ul style="list-style-type: none"> <li>Policing Priorities for 2021 submitted to the Minister by end September 2020</li> </ul>	<ul style="list-style-type: none"> <li>Consider the approach to the development of the Policing Priorities</li> <li>Undertake consultation on the Policing Priorities</li> <li>Submission of the Policing Priorities to the Minister</li> </ul>	Completed	Policing Priorities agreed and submitted to the Minister since the last update
	<ul style="list-style-type: none"> <li>2021 Policing Plan approved and submitted to the Minister by end December 2020</li> </ul>	<ul style="list-style-type: none"> <li>revised 2020 Policing Plan approved by May 2020</li> <li>Liaise with the Garda Síochána on the development of the Policing Plan 2020</li> <li>Support the PS&amp;P Committee and the Authority's development of targets for the Policing Plan 2020</li> <li>Hold Policing Plan workshop, if required</li> <li>Submission of the 2020 Policing Plan to the Minister</li> </ul>	Not completed due to factors outside PA control	With the Policing Plan unlikely to be submitted to the Minister by year end it is not possible to complete this action
	<ul style="list-style-type: none"> <li>Attendance at 4 regional and 10 divisional PAF meetings</li> </ul>	<ul style="list-style-type: none"> <li>Identify and document approach to attendance at PAF meetings</li> <li>Virtual attendance 6 regional and 10 divisional PAF meetings to support oversight</li> </ul>	Not completed due to COVID-19 restrictions	Target number of PAFs will not be achieved given the current context. Sufficient PAFs were attended to inform other areas of oversight

Priority	Performance Indicators <sup>(1)</sup>	Actions	Expected RAG status Q4	Update on Progress Q4
<b>3) Broaden and deepen the range of policing performance measures</b>	<ul style="list-style-type: none"> <li>Enhance the performance framework through the development of relevant performance measures, with reference to international best practice</li> </ul>	<ul style="list-style-type: none"> <li>Participate in the steering group and contribute to the completion of the DPER spending review</li> </ul>	<b>Completed</b>	Contributions were made to the spending review. The final paper was considered by the Authority and additional observations were provided to DPER for informing future work in this area.
	<ul style="list-style-type: none"> <li>Continue work to inform the Authority's understanding of 'standards setting' for policing in Ireland</li> </ul>	<ul style="list-style-type: none"> <li>Examine approach to standards setting by policing oversight bodies in other jurisdictions</li> <li>Research to identify key facets of agencies selected-powers, functions, supporting legislation</li> <li>Hold meetings with selection of agencies for qualitative input</li> <li>Prepare high level report for Authority consideration</li> <li>Comparative analysis of standards setting aspects of new legislation as it goes through legislative process</li> </ul>	<b>Not completed due to COVID-19 restrictions</b>	This work was de-prioritised to allow capacity to be diverted to COVID-19 reporting.
	<ul style="list-style-type: none"> <li>Develop the Authority's understanding of police powers</li> </ul>	<ul style="list-style-type: none"> <li>Prepare an initial submission in response to the request for observations outlining high level guiding principles which will be used by the Authority to frame its final submission.</li> <li>Prepare a more detailed second submission with Authority observations on the draft Policing Powers Bill.</li> </ul>	<b>Completed</b>	While the Authority paper was submitted to DoJE ongoing interaction with the Department is anticipated as the proposed Bill is being drafted.
	<ul style="list-style-type: none"> <li>Commission research on the Garda prosecution role</li> </ul>	<ul style="list-style-type: none"> <li>Seek sanction from D/PER to go to tender;</li> <li>Evaluate and award tender; Manage to completion and publish;</li> </ul>	<b>Not completed due to COVID-19 restrictions</b>	Project to be reconsidered as part of 2021 Corporate Strategy development in light of COVID, and establishment of High Level Review Group.
	<ul style="list-style-type: none"> <li>Targeted programme of engagement with stakeholder groups</li> </ul>	<ul style="list-style-type: none"> <li>Prepare 2020 Stakeholder engagement plan.</li> <li>Stakeholder plan to be enhanced in</li> </ul>	<b>Completed</b>	
	<ul style="list-style-type: none"> <li>Manage the ongoing work in relation to the review of adult cautions</li> </ul>	<ul style="list-style-type: none"> <li>Work with Crowe on the finalisation of the draft report.</li> <li>Publish the final report.</li> </ul>	<b>Not completed</b>	Following submissions and meetings with GS the revised report will be finished before end of 2020 but will not be published until January 2021.
	<ul style="list-style-type: none"> <li>Manage ongoing research to completion to better understand victims experiences of the Garda Síochána and publish</li> </ul>	<ul style="list-style-type: none"> <li>Monitor progress via regular monthly reporting and address issues arising as necessary;</li> <li>Review interim and final reports, and provide feedback in line with Authority standards;</li> <li>Publish and promote</li> </ul>	<b>Not completed due to COVID-19 restrictions</b>	Interim report published on website. Research Ethics Committee to sit 17th December to review. Phase 2 to commence January 2021.



Priority	Performance Indicators <sup>(1)</sup>	Actions	Expected RAG status Q4	Update on Progress Q4
4) <b>Implement and enhance system for Appointments in the Garda Síochána</b>	<ul style="list-style-type: none"> <li>Undertake selection competitions for Assistant Commissioner, Chief Superintendent and Superintendent</li> </ul>	<ul style="list-style-type: none"> <li>Make preparations for and undertake Assistant Commissioner competition</li> <li>Make preparations for and undertake Superintendent Competition</li> <li>Make preparations for and undertake Chief Superintendent Competition</li> </ul>	<b>Completed</b>	Chief Superintendent Competition Completed. Deputy Commissioner Competition ongoing.
	<ul style="list-style-type: none"> <li>Continue to evolve the selection process in line with best practice</li> </ul>	<ul style="list-style-type: none"> <li>Review the operation of testing used in 2019/2020 competitions and determine and pursue the development of new testing mechanisms as required.</li> <li>Review and update selection competition and appointment processes in line with best practice and in consultation with key stakeholders</li> </ul>	<b>Completed</b>	Budget requested and allocated for 2021 testing and for the development of new competency frameworks. RFT ready to advertise.
	<ul style="list-style-type: none"> <li>Oversee the reform of the promotions process for Garda Sergeants and Inspectors and provide input to the review of the new promotion regulations and proposed governance arrangements for Garda promotion competitions for these ranks</li> </ul>	<ul style="list-style-type: none"> <li>Engage with the GS and the Department to keep the development of new regulations and processes for promotion to Sergeant and Inspector in the GS under review</li> </ul>	<b>Completed</b>	Engagement is continuing and latest Authority comments on the Regulations have been submitted to the DoJ.
	<ul style="list-style-type: none"> <li>Oversee Garda recruitment, with particular regard to issues of diversity</li> </ul>	<ul style="list-style-type: none"> <li>Monitor developments with regard to Garda recruitment and the Garda Reserve Strategy and provide Authority input</li> <li>Oversee Garda recruitment in line with best practice and the needs of the Garda Síochána, with particular regard to issues of diversity</li> </ul>	<b>Completed</b>	Monitority is ongoing. Still awaiting a Workforce Plan.
5) <b>Monitoring and support the modernisation and reform of the Garda Síochána</b>	<ul style="list-style-type: none"> <li>Monthly evaluation and periodic reporting on the implementation of change in the Garda Síochána, with particular reference to the key areas of data quality and the implementation of the new Garda Síochána operational model</li> </ul>	<ul style="list-style-type: none"> <li>Engage with the GS Strategic Transformation Office and other GS representatives with regard to progress on reform initiatives and against the Policing Plan.</li> </ul>	<b>Completed</b>	A meeting with GS reps on the further roll-out of the Op Model was held on 23rd November. The Model is scheduled for consideration by ODC on 9th Dec and for Authority engagement with the Commissioner on 16th December.
	<ul style="list-style-type: none"> <li>Oversee the implementation of performance management in the Garda Síochána</li> </ul>	<ul style="list-style-type: none"> <li>Engage with the GS, monitor the development and roll-out of performance management and review documentation and reports on an ongoing basis to enhance the Authority's understanding and oversight of performance management in the GS</li> </ul>	<b>Completed</b>	Progress was stalled with regard to organisation roll-out. A review of the system identified issues, such as the system not functioning properly, the system not reflecting the current Org structure and issues with training. A visit by the Executive to review PALF in practice was postponed as a result of COVID.
	<ul style="list-style-type: none"> <li>Assess the Garda Síochána response to and the progress made in dealing with the issues arising from the Culture Audit and the findings of the 2020 Culture Audit:</li> </ul>	<ul style="list-style-type: none"> <li>Engage with GS Ethics and Culture on a quarterly basis and report findings to the Org Dev Committee</li> </ul>	<b>Completed</b>	Decision was taken not to hold final quarterly engagement due to later engagement in Q3 and sufficient information being provided by written submissions via the GAR.
	<ul style="list-style-type: none"> <li>Continue to assess progress in embedding of the Code of Ethics in the Garda Síochána</li> </ul>	<ul style="list-style-type: none"> <li>Engage with the Ethics and Culture Bureau on a quarterly basis and assess progress of members and staff signing the Code and associated initiatives designed to further embed the Code in the organisation.</li> </ul>	<b>Completed</b>	Decision was taken not to hold final quarterly engagement due to sufficient information being provided by written submissions via the GAR.
	<ul style="list-style-type: none"> <li>Continue to oversee the Garda Síochána review of policies and procedures in place to deal with protected disclosures</li> </ul>	<ul style="list-style-type: none"> <li>Continue to engage with the GS concerning receipt of the final report on the GS review of Protected Disclosures and keep the Authority apprised.</li> </ul>	<b>Not completed due to factors outside PA control</b>	Exec Dir Legal engaged during November. Review from GS is still outstanding and this corporate priority cannot progress until PA has received this review

Priority	Performance Indicators <sup>(1)</sup>	Actions	Expected RAG status Q4	Update on Progress Q4
6) Deepen the engagement with local joint policing structures	<ul style="list-style-type: none"> <li>Plan in place by end February 2020 setting out the nature and depth of the Authority's engagement with Joint Policing Committees (JPCs) and Public Participation Networks (PPNs) in 2020, to include presentations to JPCs and identification of case studies demonstrating good practice</li> </ul>	<ul style="list-style-type: none"> <li>Develop JPC engagement Plan</li> <li>Implement JPC engagement Plan</li> </ul>	Completed	
	<ul style="list-style-type: none"> <li>Identification of JPC training needs and arranging for training event(s) to be held in 2020</li> </ul>	<ul style="list-style-type: none"> <li>Identify JPC training needs</li> <li>Develop training</li> <li>Arrange training sessions</li> </ul>	Not completed due to COVID-19 restrictions	While training needs continue to be identified during engagements with JPCs the training has not been developed and will not be delivered. The training has been deferred to 2021.
	<ul style="list-style-type: none"> <li>Circulation of materials including templates to JPCs to improve consistency of information</li> </ul>	<ul style="list-style-type: none"> <li>Develop and provide templates to JPCs</li> </ul>	Completed to the extent possible	
	<ul style="list-style-type: none"> <li>Annual meeting of Chairpersons of JPCs held by 30 September 2020</li> </ul>	<ul style="list-style-type: none"> <li>Organise and hold annual meeting of Chairpersons by 30 September</li> </ul>	Completed	
	<ul style="list-style-type: none"> <li>Consider, in light of promised legislative proposals, what interim work might be helpful to assist the JPCs in assessing the delivery of the Local Policing Plan by June 2020</li> </ul>	<ul style="list-style-type: none"> <li>Identify assistance that can be provided to JPCs in assessment of Local Policing Plans</li> </ul>	Not completed due to COVID-19 restrictions	The focus in 2020 was providing assistance to JPCs as they navigated working during COVID. Areas of assistance with regards to Local Policing plans have been identified but have not been circulated.
	<ul style="list-style-type: none"> <li>Attendance by Authority personnel at a minimum of 25 joint and other local policing fora, regionally spread</li> </ul>	<ul style="list-style-type: none"> <li>Attend 25 joint and other local policing fora, regionally spread</li> </ul>	Completed	Expected to have engaged with 25 JPCs and 4 LPFs by year end

Priority	Performance Indicators <sup>(1)</sup>	Actions	Expected RAG status Q4	Update on Progress Q4
7) Develop the Authority's capacity to in the area of Human Rights	<ul style="list-style-type: none"> <li>Enhance the Authority's capacity to monitor and assess Garda Síochána compliance with its human rights obligations across all areas of operation</li> </ul>	<ul style="list-style-type: none"> <li>Identify and ensure relevant human rights training for Authority members and staff</li> <li>Engagement with other oversight bodies and with the GS concerning current arrangements and structures</li> </ul>	Completed	Training delivered in late 2019 by J Wadham and in 2020 by Dr Vicky Conway has been sufficient to provide high level knowledge for staff. A final internal training session will take place in December on the PA Human Rights Database
	<ul style="list-style-type: none"> <li>Finalise a Human Rights Framework for policing</li> </ul>	<ul style="list-style-type: none"> <li>Prepare a draft Human Rights Framework to allow for monitoring of Human Rights compliance by the Garda Síochána.</li> <li>Develop a database of relevant Human Rights articles and court rulings which are relevant to policing as part of a Human Rights mapping exercise.</li> </ul>	Completed	A draft framework and a database has been completed. These are living documents and will be subject to revision. Framework will be replaced with strategy and implementation plan in 2021
	<ul style="list-style-type: none"> <li>Engage a Human Rights Advisor/Expert</li> </ul>	<ul style="list-style-type: none"> <li>Engagement of a human rights expert to development of a human rights policing monitoring framework and ongoing monitoring role</li> </ul>	Completed to the extent possible	A human rights expert has been engaged to review the Code of Ethics from a human rights perspective. A new RFT will issue for further work. No single human rights advisor will be appointed.
	<ul style="list-style-type: none"> <li>Enhance the Authority's understanding of privacy and data protection in the context of technological advances in policing</li> </ul>	<ul style="list-style-type: none"> <li>Identify the policing issues where there may be privacy or data protection issues and prepare briefing for the Authority on the issues involved.</li> </ul>	Completed	The Executive met with the DPO for GS in December. Among the issues discussed were Staffing and resources of the Data Protection Office in GS, the Law Enforcement Directive and GDPR in GS, developments in Police Technology (body worn cameras, automatic number recognition, CCTV, facial recognition etc.), updates to the PULSE system; the collection of Ethnic identifiers, dealing with children's personal data, and international data transfers in the context of Brexit.
	<ul style="list-style-type: none"> <li>Provide Human Rights training for Authority Members and staff</li> </ul>	<ul style="list-style-type: none"> <li>Arrange training for Members and staff</li> </ul>	Completed	Training delivered in late 2019 by J Wadham and in 2020 by Dr Vicky Conway has been sufficient to provide high level knowledge for staff. A final internal training session will take place in December on the PA Human Rights Database

Priority	Performance Indicators <sup>(1)</sup>	Actions	Expected RAG status Q4	Update on Progress Q4
8) <b>Oversee significant policing issues as they arise</b>	<ul style="list-style-type: none"> <li>Track and evaluate progress by the Garda Síochána on the implementation of agreed actions across a range of areas of policing, to include but not limited to, child sexual abuse, roads policing, Youth Diversion Programme, homicide, public order policing, DNA samples and use of force</li> </ul>	<ul style="list-style-type: none"> <li>Support the Authority's ongoing oversight of issues relating to the Garda Inspectorate report on Child Sexual Abuse</li> <li>Support the Authority's ongoing oversight of issues relating to Roads Policing</li> <li>Support the Authority's ongoing oversight of issues relating to Youth Diversion</li> </ul>	<b>Completed to the extent possible</b>	
	<ul style="list-style-type: none"> <li>Responses to any Ministerial requests and third party reports as they arise</li> </ul>	<ul style="list-style-type: none"> <li>Report on oversight of COVID-19 policing</li> </ul>	<b>Completed</b>	
9) <b>Gain a deeper understanding of Garda Síochána training and education</b>	<ul style="list-style-type: none"> <li>Oversee the implementation of the Garda Síochána Learning and Development Strategy and proposals for changes in Garda recruit/probationer training programme</li> </ul>	<ul style="list-style-type: none"> <li>Monitor process of recruitment and appointment of Learning &amp; Development Director in the Garda Síochána</li> <li>Engage with the GS and other stakeholders with regard to the work of the expert group on Learning and Development to keep the developments under review</li> <li>Monitor progress of implementation of Training Strategy</li> <li>Focus on training of 193, 201 and 202 intakes</li> </ul>	<b>Not completed due to factors outside PA control</b>	L&D Director still not in place due to matters concerning the responsibilities of the role. GS Training strategy has not been finalised due to the absence a L&D Director to provide input.
	<ul style="list-style-type: none"> <li>Continue to present 3-weekly to Phase 3 trainees on the Garda Foundation Training Programme and to courses provided to newly promoted Garda Members and staff as capacity allows</li> </ul>	<ul style="list-style-type: none"> <li>Make arrangements for presentations to Phase 3 Garda recruits and coordinate the training</li> <li>schedule</li> <li>Review and update presentation and support material where required</li> <li>Continue to explore with the Garda College presenting to GS promotional training courses / CPD</li> </ul>	<b>Not completed due to COVID-19 restrictions</b>	
	<ul style="list-style-type: none"> <li>Assessment of the status of coverage of Garda driving training by 30 June 2020</li> </ul>	<ul style="list-style-type: none"> <li>Engage with GS Roads Policing Bureau in relation to policy and procedures for Garda Driver training</li> </ul>	<b>Not completed due to factors outside PA</b>	

Priority	Performance Indicators <sup>(1)</sup>	Actions	Expected RAG status Q4	Update on Progress Q4
10) Review Garda Síochána Corporate Governance arrangements	<ul style="list-style-type: none"> <li>Monitor and assess the efficacy of the structures and arrangements within the Garda Síochána that oversee performance, identify and manage risk and inform good practice in the delivery of policing in accordance with the Authority's statutory function to keep these matters under review, to include the Garda Audit Committee, Internal Audit, Professional Standards and Risk Management</li> </ul>	<ul style="list-style-type: none"> <li>Support the Authority's oversight of Internal Audit and PSU in the Garda Síochána by reviewing their Annual Work Plans and reports and issues of interest;</li> <li>Support the Authority in the appointment of the Chair and members of the GS Audit Committee</li> <li>Support the Authority in its review of the GS Audit Committee Annual report and engagement with the Chair of the Audit Committee</li> <li>Engage with the GS Risk Management Unit to keep risk management under review and support the Authority's monthly engagement with the Commissioner</li> </ul>	Completed	This is an on-going task that continues into 2021. Actions required for 2020 will have been completed by end Dec.
	<ul style="list-style-type: none"> <li>Oversee the implementation of the Garda Síochána Anti-corruption strategy</li> </ul>	<ul style="list-style-type: none"> <li>Keep the Authority apprised of requirements concerning the GRECO evaluation.</li> <li>Keep the Authority apprised on progress in the establishment of the Garda Síochána Anti-Corruption function.</li> </ul>	Completed	GRECO has been postponed until 2021 and GI report has yet to issue. Progress on ACU has been followed closely and there has been frequent engagement by the Authority and Executive. The ACU went live on 30 November.
11) Continue to gain an understanding of Garda Síochána resourcing, the manner in which resources are expended and the link with performance	<ul style="list-style-type: none"> <li>Participation in Joint Working Group on Garda Resources on a monthly basis to monitor the deployment and use of resources</li> </ul>	<ul style="list-style-type: none"> <li>Participate in the working group and any subgroups on reporting or monitoring</li> <li>Develop an approach to the review of the monthly reporting for the Reform and Resources group</li> <li>Oversee and contribute as appropriate to the review and implementation of the recommendations of the Garda Síochána Finance function</li> <li>Support the Authority in its oversight of GS resources.</li> </ul>	Completed	
	<ul style="list-style-type: none"> <li>Evaluation of progress and reporting by the Garda Síochána on workforce planning, recruitment, civilianisation and redeployment of Garda Members to front-line policing</li> </ul>	<ul style="list-style-type: none"> <li>Monitor and assess progress of workforce planning, civilianisation and redeployment through reports and multiagency meetings</li> <li>Support the work of the Organisational Development Committee in relation to workforce planning, civilianisation and redeployment</li> </ul>	Completed	No workforce plan has been received although it has been conveyed to the GS that no further business cases will be approved without a 2021 plan.
	<ul style="list-style-type: none"> <li>Respond promptly to requests from the Garda Síochána to the Authority for increases in the numbers and grades of Garda staff and make appointments in accordance with statutory functions</li> </ul>	<ul style="list-style-type: none"> <li>Administer and assess business cases for approval of Garda civilian staff and recommend for approval as appropriate</li> </ul>	Completed	The Authority has exceeded the cap of 500 new staff members in order to approve key roles in ICT and GSAS but no more new cases will be approved until a workforce plan has been received and there is a Government decision to extend the number of new positions beyond 500.
	<ul style="list-style-type: none"> <li>Provision of advice to the Minister on the adequacy of Garda Síochána Resources by 31 July 2020</li> </ul>	<ul style="list-style-type: none"> <li>Support the Authority in their assessment of Garda resources and the preparation of advice to the Minister</li> </ul>	Completed	

Priority	Performance Indicators <sup>(1)</sup>	Actions	Expected RAG status Q4	Update on Progress Q4
12) Integrate and consolidate the Authority's research capacity	<ul style="list-style-type: none"> <li>Establish a Research Advisory Group</li> </ul>	<ul style="list-style-type: none"> <li>Research the role, remit and composition of Research Advisory Groups in other similar agencies and bodies;</li> <li>Prepare high-level report for Authority consideration;</li> <li>Subject to Authority approval, select and appoint members in accordance with skills and competencies required.</li> </ul>	Completed	REC to sit 17th December to review victims research <b>in lieu of this action.</b>
	<ul style="list-style-type: none"> <li>2020 Research Plan in place by 31 January 2020</li> </ul>	<ul style="list-style-type: none"> <li>2020 Research Strategy and Plan developed and approved</li> </ul>	Completed	
	<ul style="list-style-type: none"> <li>Commission and undertake research that supports the Authority's work</li> </ul>	<ul style="list-style-type: none"> <li>Identify appropriate research topics in line with the 2020 Research Strategy Plan as approved;</li> <li>Commission or undertake in house as appropriate;</li> <li>Publish research.</li> </ul>	Completed to the extent possible	Research projects incorporating focus group work or interviews with GS or frontline staff are currently suspended resulting in amended timelines for this work
	<ul style="list-style-type: none"> <li>Manage and evaluate the bursary scheme on completion and publication of reports</li> </ul>	<ul style="list-style-type: none"> <li>Manage on ongoing basis until delivery</li> </ul>	Not completed due to COVID-19 restrictions	Draft final report received on UCC project, but will require some further editing, and is unlikely to complete before January. Revised UCD deadlines agreed for draft report end January 2021.
	<ul style="list-style-type: none"> <li>Continue process of academic engagement</li> </ul>	<ul style="list-style-type: none"> <li>Identify, develop and hold at least one engagement event on theme related to the work of the Authority;</li> </ul>	Completed	Report finalised and to be published to website week 7th december
13) Enhance external communication	<ul style="list-style-type: none"> <li>2020 Communications Action Plan to set out how the Authority will communicate, provide information, promote awareness of policing and listen to stakeholders, approved by the Authority at its January 2020 meeting and fully implemented</li> </ul>	<ul style="list-style-type: none"> <li>Development and approval of the 2020 Communications Action Plan</li> <li>Implementation of the 2020 Communications Workplan</li> </ul>	Completed	
	<ul style="list-style-type: none"> <li>Hold at least five meetings with the Garda Commissioner in public</li> </ul>	<ul style="list-style-type: none"> <li>Manage the facilities and logistics for the meetings of the Authority in public</li> <li>Manage the Communications for the Authority meetings in public</li> </ul>	Completed	This is an on-going task that continues into 2021. Actions required for 2020 will have been completed by end Dec.
	<ul style="list-style-type: none"> <li>Develop and hold 2 Public Conversation events on a range of policing matters</li> </ul>	<ul style="list-style-type: none"> <li>Identify, develop and hold a conversation in public on themes related to the work of the Authority (probably COVID towards end of year)</li> </ul>	Completed to the extent possible	The Academic Event took place - it was decided that a second event would not be feasible in the context of the diversion of resources to Oversight of COVID policing.
	<ul style="list-style-type: none"> <li>Promote the work of the Authority at a national event in 2020 e.g. National Ploughing Championships</li> </ul>	<ul style="list-style-type: none"> <li>Submit application to promotional stand at the event</li> <li>Make arrangements for a range of promotional activities and materials.</li> </ul>	Not completed due to COVID-19 restrictions	All major events that were intended to attend were cancelled in 2020. This action will defer to 2021.
	<ul style="list-style-type: none"> <li>Run an initiative to promote policing and oversight to inform young people</li> </ul>	<ul style="list-style-type: none"> <li>Identify, develop and run an initiative on a theme related to the work of the Authority, and relevant to young people;</li> </ul>	Not completed due to COVID-19 restrictions	Deferred in light of Covid-19 restrictions and capacity, but academic event on topic of children and trust and confidence in police held.

Priority	Performance Indicators <sup>(1)</sup>	Actions	Expected RAG status Q4	Update on Progress Q4
14) Maintain and enhance the organisation's governance and practice	<ul style="list-style-type: none"> <li>Authority in compliance with the Code of Practice for the Governance of State Bodies</li> </ul>	<ul style="list-style-type: none"> <li>Ongoing review of compliance with the Code of Practice and implementation of new requirements.</li> <li>Review and update of governance documents</li> </ul>	Completed	This is an on-going task that continues into 2021. Actions required for 2020 will have been completed by end Dec.
	<ul style="list-style-type: none"> <li>Authority's Annual Report submitted to the Minister by 31 March 2020</li> </ul>	<ul style="list-style-type: none"> <li>Preparation of the Authority's Annual Report 2019</li> <li>Publication of the Annual Report</li> </ul>	Completed	
	<ul style="list-style-type: none"> <li>Develop and commence implementation of a corporate knowledge action plan</li> </ul>	<ul style="list-style-type: none"> <li>Determine and assess the options available to enhance the Authority's Document</li> <li>Management Systems</li> <li>Liaise with DJE ICT and OGCIO with regard to roll out of civil service systems if applicable</li> </ul>	Not completed due to factors outside PA control	
	<ul style="list-style-type: none"> <li>Positive internal and external audit reports and implementation of agreed audit recommendations</li> </ul>	<ul style="list-style-type: none"> <li>Ensure compliance with an adequate system of internal controls</li> <li>Co-operation with internal and external auditors.</li> <li>Liaison and support of internal auditors and Audit Committee</li> </ul>	Completed	This is an on-going task that continues into 2021. Actions required for 2020 will have been completed by end Dec.
	<ul style="list-style-type: none"> <li>High performing organisation, supported by appropriate learning and development to build the capacity of the organisation, compliance with statutory and regulatory requirements and innovative solutions for delivery of effective oversight</li> </ul>	<ul style="list-style-type: none"> <li>Preparation of Training Plan and delivery of training according to staff needs</li> <li>Recruitment of staff in accordance with the skills and competencies required</li> </ul>	Completed	
	<ul style="list-style-type: none"> <li>Implement and monitor the ongoing operation of the Authority's Business Continuity Plan to maintain the Authority's functions and ensure the well-being of staff during the Covid 19 crisis</li> </ul>	<ul style="list-style-type: none"> <li>Keep the Authority's Business Continuity Plan (BCP) up to date and conduct a test of the plan. In the context of Covid 19, implement the BCP and monitor operation and adjust as required to meet the Authority business and communications needs, protect the security of data and to support effective working and staff-wellbeing</li> <li>Plan for revisions in working arrangements in line with public health requirements on an ongoing basis throughout the year.</li> </ul>	Completed	This is an on-going task that continues into 2021. Actions required for 2020 have been completed.

Priority	Performance Indicators <sup>(1)</sup>	Actions	Expected RAG status Q4	Update on Progress Q4
15) Gain an understanding of emerging areas in policing and crime	<ul style="list-style-type: none"> <li>Build an understanding of the issues to allow the Authority to engage meaningfully in oversight of emerging issues in policing and crime including technological advances in policing, economic crime</li> </ul>	<ul style="list-style-type: none"> <li>Engage with stakeholders including academics, oversight bodies in other countries, other criminal justice agencies;</li> <li>Attend conferences and seminars and monitor academic journals and other publications to keep abreast of relevant issues;</li> <li>Prepare briefing papers and tabular summaries for Authority information as required</li> </ul>	Completed	Ongoing review of relevant literature/publications continues in addition to monitoring conferences and webinars for the Authority as a whole.
16) Provide effective oversight of Covid 19 Policing	<ul style="list-style-type: none"> <li>Adapt the Authority's focus in an agile manner to provide effective and timely oversight of enhanced Garda Síochána powers in the context of Covid 19</li> </ul>	<ul style="list-style-type: none"> <li>Support the Authority in adapting the focus of oversight to cover new Garda powers</li> <li>Engage with stakeholders, including other statutory bodies, NGO's and JPCs) to inform that Authority's oversight of Covid 19 policing.</li> </ul>	Unplanned Covid related - Completed	
	<ul style="list-style-type: none"> <li>Report to the Minister on the Authority's oversight of Covid 19 policing</li> </ul>	<ul style="list-style-type: none"> <li>Quickly develop mechanisms for agile reporting of oversight activities and outcomes</li> <li>Prepare and publish fortnightly reports of oversight for the Minister and as required</li> </ul>	Unplanned Covid related - Completed	
	<ul style="list-style-type: none"> <li>Maintain close engagement with the Garda Commissioner and colleagues and provide advice and support as appropriate throughout the duration of Covid 19 restrictions</li> </ul>	<ul style="list-style-type: none"> <li>Engage with the Garda Commissioner and senior colleagues to keep abreast of the fast moving environment</li> <li>Engage with the GS to obtain reports of use of powers and other aspects of Covid 19 policing as required.</li> </ul>	Unplanned Covid related - Completed	



## Appendix 2 – Competition Statistics for Senior Garda Appointments 2020

Selection Competition: Assistant Commissioner 2020					
By rank	No. of Applicants	By gender	No. of Applicants	By Employing Organisation	No. of Applicants
Chief Superintendent	22	Male	18	Garda Síochána	22
Other ranks	1	Female	5	PSNI	1
<b>Total</b>	<b>23</b>	<b>Total</b>	<b>23</b>	<b>Total</b>	<b>23</b>
Selection Competition: Chief Superintendent 2020					
By rank	No. of Applicants	By gender	No. of Applicants	By Employing Organisation	No. of Applicants
Superintendent	56	Male	55	Garda Síochána	59
Other ranks	6	Female	7	PSNI	3
<b>Total</b>	<b>62</b>	<b>Total</b>	<b>62</b>	<b>Total</b>	<b>62</b>
Selection Competition: Superintendent 2020					
By rank	No. of Applicants	By gender	No. of Applicants	By Employing Organisation	No. of Applicants
Inspector	73	Male	67	Garda Síochána	71
Other ranks	3	Female	9	PSNI	5
<b>Total</b>	<b>76</b>	<b>Total</b>	<b>76</b>	<b>Total</b>	<b>76</b>

2020 Panels established and Appointments			
Rank	No. of candidates on panel	No. of candidates appointed (at 31/12/20)	Date of Expiry of Panel
Assistant Commissioner	3	3	23/03/21
Chief Superintendent	13	0	14/12/21
Superintendent	27	23	27/07/21

### Appendix 3 – Summary Financial Report 2020

A summary of expenditure in 2020<sup>12</sup> on the Authority's Vote is presented in the table below.

Financial Summary for Policing Authority Vote 2020		
Subhead	Estimate Provision	Expenditure
	€000	€000
<b>A (i) Salaries, Wages and Allowances</b>		
Salaries, etc.	2,213	2,087
Overtime	0	0
<b>Total A (i)</b>	<b>2,213</b>	<b>2,087</b>
<b>A (ii) Travel and Subsistence</b>		
1. Travel and Subsistence	48	7
2. Air Travel Emissions Offsetting Payment	2	0
<b>Total A (ii)</b>	<b>50</b>	<b>7</b>
<b>A (iii) Training and Development and Incidental Expense</b>		
1. Staff Training & Development	60	45
2. Public Relations and Advertising	65	-
3. Public Meetings	40	17
4. Publications, Reports, Periodicals etc.	20	9
5. Entertainment	10	5
6. Miscellaneous	335	228
7. Members Fees and Expenses	215	221
<b>Total A (iii)</b>	<b>745</b>	<b>525</b>
<b>A (iv) Postal and Telecommunications Services</b>		
Postal Services	11	-
Telecommunications	39	12
<b>Total A (iv)</b>	<b>50</b>	<b>12</b>
<b>A (v) Office Equipment and External IT Services</b>		
1. Computer, etc. (Current)	105	129
2. Office Machinery & Stationary	20	10
<b>Total A (v)</b>	<b>125</b>	<b>139</b>
<b>A (vi) Office Premises Expenses</b>		
1. Maintenance	39	27
2. Heat, Light & Fuel	36	15
3. Furniture & Fittings	55	3
<b>Total A (vi)</b>	<b>130</b>	<b>45</b>
<b>A (vii) Consultancy Services and Value for Money and Policy Reviews</b>	100	2
<b>Total Expenditure</b>	<b>3,413</b>	<b>2,817</b>
less		
<b>B. Appropriations-in-Aid.</b>		
Pension Levy	47	66
<b>Total A-in-A</b>	<b>47</b>	<b>66</b>
<b>Net Expenditure</b>	<b>3,366</b>	<b>2,751</b>

<sup>12</sup> Subject to audit by the Comptroller and Auditor General

## Appendix 4 – 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 since its establishment and continuing during 2020 to follow the requirements of the Code insofar as is appropriate to a small, non-commercial, independent 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 during its fifth year of operation. In this context, I note that a large proportion of the Authority’s expenditure in 2020 was pay related costs which were administered by the Payroll Shared Service Centre in the National Shared Services Office (NSSO) and are consequently subject to the internal control systems, including internal audit, in place in that organisation. Other HR, ICT and financial transaction processing services are undertaken on the Authority’s behalf by NSSO and the Department of Justice and Equality.

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.

During 2020, the Authority continually had regard to the operation of its risk management system to identify business risks and to evaluate their implications. The operation of the Risk Management system is overseen by the Audit and Risk Committee. Risk is a standing agenda item at monthly Authority meetings where the Risk Management report is reviewed, high risks and mitigation actions are monitored and risk is addressed in the context of all significant Authority decisions.

The Senior Management Team, Audit and Risk Committee, Internal Auditors and the Authority have paid close attention on an ongoing basis to the impact of COVID-19 on the Authority’s operations in general and the control environment in which the Authority operates. Initially the significant risks identified were those relating to business continuity and health and safety, in response to which the Authority took immediate and ongoing actions in response to the developing situation. Actions have included the following:

- Allocation of responsibility for business continuity to the designated Business Continuity Manager;
- Immediate introduction of a working from home policy for all staff;
- Roll-out of remote network access to all staff to facilitate working from home;
- Development and implementation of strict infection control measures in the Authority’s offices;
- Communication to all staff of guidelines/reminders on how to work from home safely and effectively, and with due regard to data protection and appropriate internal controls;
- Provision of the necessary equipment to enable home-working including intra-organisation communication;
- Implementation of a policy of frequent direct communication between managers and staff while working from home;

- An on-going focused approach of staff engagement and well-being throughout the pandemic.

With specific regard to internal controls during the COVID-19 emergency period:

- The work of the Audit and Risk Committee and internal audit oversight has continued without interruption and in particular the annual internal audit of controls took place as scheduled and paid particular attention to the impact of COVID-19;
- Key financial controls have been maintained, with adaptation of certain processes to suit remote working. Payment timelines were affected while adapted processes were being bedded down, but have since recovered. Close attention is being paid to this particular area by the Audit and Risk Committee, the internal auditors and staff in the finance area.
- In mitigation of the obvious risk of personnel loss during the period, HR and personnel functions have also been maintained, with successful recruitment and introduction of new personnel at both Authority and staff levels.
- All Authority Members and staff have continued to work from home during the emergency period, with office attendance by prior arrangement, on condition of provision of an appropriate COVID-health form and only in exceptional circumstances. A record of any such attendance is maintained on an on-going basis.
- The Authority held 21 Authority meetings in 2020, 11 of them with the Commissioner and 5 of those in public. From the 11 March 2020 all such meetings were held remotely, with the public meetings being live streamed.

The procedures for monitoring the effectiveness of internal controls include:

#### **Audit and Risk Committee**

The Audit and Risk Committee met on 6 occasions in 2020. The Annual Report of the Committee was presented to the Authority and is available to view on the Authority's website. I am satisfied that the Committee discharged its role appropriately during the year.

This Statement is reviewed by the Audit and Risk Committee and by the Authority to ensure that it accurately reflects the control system in operation during the reporting period. This assessment is supported by a review of the internal controls system, which was carried out by the Internal Audit provider in February 2021.

#### **Financial and Management controls**

Appropriate financial controls are in place and documented, including 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 Department's Accounting Officer of the adequacy of these systems and related internal controls. Further operational systems for the management of information by the Authority are in place or being developed in line with business activities and requirements.

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

A review of the effectiveness of the system of internal controls was conducted by Internal Audit in February 2021.

#### **Internal Audit**

An internal audit function for the Authority was established for the Authority in January 2017 following a procurement process to outsource the internal audit function. A contract was put in place with

Crowleys DFK in January 2017 for a period of three years under an Internal Audit Charter. The contract was extended for one year under the terms of the existing contract. Three internal audits were carried out in 2020. In addition a review of effectiveness and control was carried out in February 2021.

In reviewing the adequacy and effectiveness of the Internal Control system, reliance has been placed on:

- The Internal Audit risk based audit planning and work undertaken in 2020, and associated internal audit reports, in particular the annual review of internal controls undertaken in February 2021
- Management reports and reviews, including on the progress in implementing audit recommendations, corporate priorities and Authority actions;
- The Authority's Risk Register;
- The work undertaken by the Audit and Risk Committee;
- The report of the C&AG on their audit of the Appropriation Account; and
- Assurances from external organisations to which functions have been outsourced, including:
  - From the Secretary General, Department of Justice and Equality in relation to Financial Shared Services;
  - Department of Justice and Equality Internal Audit report on Financial Shared Services;
  - From the Department of Justice and Equality in relation to ICT; and
  - From the NSSO in relation to the provision of HR and Payroll Shared Services.

The internal control system, including this Statement of Internal Control, is reviewed by the Comptroller and Auditor General's Office as part of the audit of the Appropriation Account to confirm 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.



**Bob Collins**  
**Chairperson**  
**31 March 2021**

## Appendix 5 – Energy Usage 2020

### 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 by three over the year of 2020, with 36 members of staff in place at 31 December 2020.

The Authority remains committed to the all-of-Government plan for carbon abatement. The Authority was represented at the 2020 Public Sector Energy Forum and values all available opportunities to identify measures for improvements in energy efficiency and green initiatives.

All appropriate procedures for managing energy usage were in place within the Authority in 2020, including:

- The Authority has continued its efforts to minimise energy usage and has a number of initiatives in place including encouraging staff to use the stairs whenever possible and ensuring that all appropriate electrical equipment and all lighting and heating is switched off at close of business each day.
- Timers that have been fitted to water heaters and to the water boiler continue to help reduce energy consumption.
- A “Green Team” had previously been formed to explore and put in place improvements but due to COVID-19 has had limited opportunity during 2020 to drive further changes.
- All staff are now working remotely with office attendance only in exceptional circumstances. Due to the reduced occupancy of the Authority’s premises its energy requirements have been significantly reduced. Lighting is only used while a staff member is present in the office and then only in areas that are in use. A large reduction in the use of printers, photocopiers and computers has also contributed to a lower use of power in the office. There has been a reduced carbon footprint arising from reduced travel by staff who are working remotely.
- Due to the use of a shared building, specific details of energy savings at the Authority’s premises in 2020 are not currently available.
- 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.

**The Policing Authority can be contacted:**

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