Foreword

This revised Governance Framework was prepared in line with the principles and requirements set out in the *Corporate Governance Standard for the Civil Service* (2016). It takes into account the particular context of the Property Registration Authority (PRA) and also our Statement of Strategy for the period 2019-2021. The inaugural PRA Governance Framework was published in 2016 together with an associated action plan, also agreed at that time by the Management Board, which has assisted in addressing any identified omissions in our structures and procedures.

With effect from 1st January 2018 responsibility and oversight for the PRA passed to the Department of Housing, Planning and Local Government, providing the impetus to update our Governance Framework document to reflect this and other recent innovations in our authorising and operational environments. This second iteration, therefore, reflects ongoing enhancements to our organisational governance structures and also recent legislative changes, including, not least, the Data Protection Act 2018 and the Data Sharing and Governance Act 2019.

The effective operation of governance procedures is essential for proper management and control within the PRA. Consequently, this framework, in practice, provides an action learning opportunity for the organisation and can also build credibility with our external stakeholders. In addition, the adherence to well documented work practices and controls enables our staff to confidently perform their duties with integrity in an ethical, open and transparent manner.

Good governance is not the sole concern of designated senior managers, but must be pervasive throughout an organisation. The objective of our Governance Framework, therefore, is to provide a key support to all staff of the PRA in pursuit of best practice based on sound overarching principles. I welcome this second iteration of the PRA Governance Framework and the opportunity it provides to reflect on and review, update and enhance our procedures and knowledge of governance requirements.

Liz Pope
Chief Executive Officer
June 2019
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Chapter 1. Corporate Governance in the PRA – an Overview

**Relevant Governance Principles:**
- Good governance supports a culture and ethos which ensures behaviour with integrity, a strong commitment to ethical values, and a respect for the rule of law.
- Good governance helps to define priorities and outcomes in terms of sustainable economic and societal benefits and to determine the policies and interventions necessary to optimise the achievement of these priorities and outcomes. It means implementing good practices in transparency, reporting, communications, audit and scrutiny to deliver effective accountability.

**The Corporate Governance Standard for the Civil Service requires that the following core elements are reflected in the PRA Governance Framework:**
- Mission, core values, behaviours and culture of the PRA
- Organisation Structure
- Strategic planning, decision making and performance management
- Internal communications arrangements
- Engagement with external stakeholders
- Review of effectiveness of the governance Framework

In addition, the PRA should ensure that its Governance Framework reflects the core values and behaviours of the civil service and that it is aligned with its Statement of Strategy.

1.1 Introduction

This document sets out the framework of Corporate Governance within the Property Registration Authority (PRA), as required under the Corporate Governance Standard for the Civil Service. Underpinning this document are the high level principles outlined in Appendix 1 which are representative of international best practice for civil service organisations. Corporate governance measures must be applied within an authorising environment which includes constitutional and statutory provisions and comply in particular with requirements under the Ministers and Secretaries Acts 1924 to 2013, the Civil Service Regulation Acts 1956 to 2005, the Public Service Management Act 1997 and the comptroller and Auditor General Acts 1866 to 1998.

This is the second Iteration of the PRA Corporate Governance Framework, the first iteration of which was published in April 2016. This Framework continues to be a living document, evolving in line with best practice and prevailing circumstances. For example, a major change in the organisation’s authorising regime took effect from 1 January 2018, where under a transfer of functions order, the PRA moved from being under the aegis of the Department of Justice and Equality to the Department of Housing, Planning and Local Government. This document reflects this and other governance related innovations which have taken place since 2016.

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1 This Standard is to be used by each Department and Office to guide the development of their individual Governance Frameworks and is available [here](#)

2 *International Framework: Good Governance in the Public Sector (IFAC, CIFPA2014)*
1.2 Governance Effectiveness Review
Following publication of the original framework, an action plan overseen by the PRA Management Board was progressed. The ongoing implementation, review and improvement of the PRA’s Governance Framework is a priority at both Management Board and Authority level. This iterative process is reflective, firstly, of adherence to the overall central civil service coordinated approach to certain core governance elements, which must be in place, and secondly, a pragmatic approach in terms of the organisation’s own particular mandate, responsibilities and evolving circumstances.

An updated action plan will now follow, encompassing residual and emerging governance related gaps or issues surfaced, together with associated actions, key performance indicators and assigned responsible senior managers to ensure the ongoing effectiveness and completeness of the PRA’s overall governance infrastructure.

1.3 Good Governance in the PRA
Good governance facilitates clear lines of accountability, responsibility and reporting and is central to the successful operation of all Government Departments and Offices. It is vitally important for the effective discharge of their statutory and policy obligations. Good governance ensures that a framework of structures, policies and processes is in place to deliver on these obligations and it allows for an objective assessment of management and organisational performance. Corporate governance measures in the PRA are applied within an established authorising regime comprising in part constitutional and legislative enactments, policies and authoritative guidance. In this regard a list of key reference documents, including relevant statutes is provided in Appendix 4.

1.4 Mission and Vision
As a civil service body under the aegis of the Department of Housing, Planning and Local Government, the PRA is responsible for providing a State guaranteed register of title to land. In accordance with section 10 of the Registration of Deeds and Title Act, 2006 the functions of the Authority are to:

- Manage and control the Registry of Deeds and the Land Registry;
- Promote and extend the registration of ownership of land;
- Deal with applications under Part 111 of the Landlord and Tenant (Ground Rents) (No. 2) Act 1978;
- Undertake or commission, or collaborate or assist in, research projects and activities relating to the registration of ownership of land, including the compilation of statistical data.
The PRA’s mission is articulated in its Statement of Strategy, as safeguarding property rights and transactions in Ireland with an associated vision of a secure and fully electronic property registration system, contributing to economic and social development.

### 1.5 Values

The values most commonly associated with the Civil Service have been enumerated as honesty, impartiality, respect for the law, and respect for persons, diligence, responsiveness and accountability. The PRA is fully committed to such public service values as further expounded in *The Civil Service Renewal Plan* which describes the values of the Civil Service as encompassing:

- A deep-rooted public service ethos of independence;
- Integrity, impartiality, equality, fairness and respect;
- A culture of accountability, efficiency and value for money;
- The highest standards of professionalism, leadership and rigour.

The values adopted and set out by the Authority in its Statement of Strategy, and which underpin its high level goals and actions, are as follows:

- Integrity;
- Accountability;
- Innovation;
- Professionalism;
- Staff Development.

Through compliance with good governance and other mechanisms, such as performance management (PMDS), ongoing learning and development interventions including, induction/on-boarding of new recruits; risk management, counter fraud policy and quality assurance, the PRA endeavours to ensure that its espoused values become, in reality, the actual lived-in values of the entire organisation.

### 1.6 Standards, Behaviours and Ethics

#### 1.6.1 Code of Standards and Behaviour for civil servants

The Standards in Public Office Commission (SIPO) produces the Civil Service Code of Standards and Behaviour, which sets out the standards required of all Civil Servants in the discharge of their duties and forms part of their conditions of employment. This Code is published on the PRA staff intranet (OPRA) and is provided to all new employees.

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3 *Statement of Strategy 2019-2021 Integrity and Innovation*
4 *Introduction to the Irish Civil Service (Government of Ireland 2008)*
recruits, who must certify in writing that they have read and understood its contents. In addition, attention is
drawn to the Code’s provisions in induction and ongoing developmental training sessions.

1.6.2 Ethics and Statements of Interests
SIPO also publishes guidelines under the Ethics in Public Office Acts, 1995 and 2001 (the Ethics Acts) for prescribed
public servants as well as office holders (i.e., Ministers, Ministers of State, etc.). These guidelines provide
information on the disclosure of interests and on the steps that public servants need to take in order to comply
with the requirements of the legislation. A person who occupies a prescribed position under the Ethics Acts must
complete and furnish a statement of interests, i.e. of any interest held by the person, or by their spouse or civil
partner, child or child of spouse, which could materially influence the person in, or in relation to, the performance
of their official functions. If they have no interests to declare, a Nil Statement must be furnished. All officers who
are serving at Principal Officer (or equivalent) and upwards in the PRA are required by the HR Unit to complete a
statement of interests annually. All such statements must be submitted to the Secretary General, Department of
Housing, Planning and Local Government by 31st January each year.

1.6.3 PRA Code of Ethics and Behaviours Framework
The PRA developed its own Code of Ethics in 2017 which deals inter alia with ethical decision making and handling
ethical dilemmas. Further to the revision of this Governance Framework and to align with the values of the
Statement of Strategy 2019-2021, the PRA’s Code of Ethics of 2017 will accordingly be updated.

A Behaviours Framework for the PRA was devised in 2019 and sets out desired behaviours for all staff, including
senior and line managers under each of the five values outlined in the Statement of Strategy. Unacceptable
behaviours are also clarified. This Behaviours Framework promotes not just mere compliance – doing things right,
but also encourages ethical behaviour – doing the right thing and thereby contributes to setting the ethical tone in
the organisation.

1.7 Public Sector Duty
Section 42 of the Irish Human Rights and Equality Commission Act places a positive duty on public sector bodies in
the performance of their functions and daily work to have regard to the need to:

1. eliminate discrimination;
2. promote equality of opportunity and treatment of its staff and the persons to whom it provides services;
   and
3. protect the human rights of its members, staff and the persons to whom it provides services.

The PRA has treated this provision as an opportunity to embed human rights and equality considerations into the
totality of its functions as employer and service provider. The Public Sector Duty was taken into consideration in

the preparation of the most recent Statement of Strategy. In annual reports clear and accessible information is now provided on PRA achievements in this regard, which have included revision of the customer complaints policy, diversity and inclusion initiatives and raising workforce awareness of this new statutory obligation.

1.8 Strategic Planning and Performance Management

The Authority’s Strategic Planning process is carried out pursuant to the Public Services Management Act, 1997, according to which each Department and Office must publish a strategy statement, every three years or within six months of the appointment of a new Minister, which sets out key objectives, outputs and strategies to be achieved. The Department of the Taoiseach issued guidelines on the preparation of such statements in 2011.8 Guidance on Integrated Strategic Business Planning was also published by the Department of Public Expenditure and Reform in 2015.9

In accordance with the Registration of Deeds and Title Act, 2006, Section 18, (the Act) the Authority, with assistance from members of the Management Board, on a three year basis, prepares a Strategic Plan which is approved by the Minister for Housing, Planning and Local Government (the Minister) and laid before the Houses of the Oireachtas. In accordance with the Act, each Strategic Plan shall:

a) set out the key objectives, outputs and related strategies of the Authority, including its use of resources;

b) comply with any directions issued from time to time by the Minister in relation to the form and manner of the plan’s preparation; and

c) have regard to the need to ensure the most beneficial and efficient use of the Authority’s resources.

In line with its obligation under the Public Sector Duty as outlined in Para 1.6, the PRA, in preparing strategic plans assesses and identifies the human rights and equality issues that are relevant to its functions as policy influencer, employer and service provider. The relevant policies and practices in place, or planned to address these issues, are also outlined.

1.8.1 Strategic Planning Process

Section 18 of the Registration of Deeds and Title Act 2006 requires the PRA to submit a Strategic Plan to the Minister within 6 months before each third anniversary of the establishment day. The current Strategic Plan of the PRA was launched in November 2018, and is entitled Statement of Strategy 2019-2021: Integrity and Innovation. Detailed work on this plan was undertaken by a Working Group comprising members of the Authority and the Management Board.

Under this Statement of Strategy six key goals were adopted by the Authority as follows:

9 Integrated Strategic Business Planning DoF Guideline 06 January 2015.
Corporate Governance in the PRA

1. Maintain the integrity and reliability of the register;
2. Promote and drive the extension of the register;
3. Delivery of excellent customer services;
4. A workforce valued for its professionalism and integrity;
5. Optimise the potential of information held in the register;
6. Increase registration capacity through ICT innovation.

1.8.2 Annual Report

In accordance with Section 19 of the 2006 Act, the Authority, not later than 30 June in each year, must make a report to the Minister on the performance of its functions and on its activities during the preceding year. The Annual Report outlines the main achievements and developments during the year to advance the Authority’s objectives, as set out in its Statement of Strategy. Material for the Annual Report is provided by each division in the Authority. The preparation of the Annual Report is managed by the Corporate Services Unit and overseen by a Publications Working Group. It is published in both Irish and English on the PRA’s website www.prai.ie

1.8.3 Business Planning Process

The Management Board is responsible for the annual Business Planning Process within the Authority. This process is the basis by which the strategic goals set out in the Statement of Strategy are reflected in the overall Corporate Business Plan, which in turn is informed by and encompasses the various Divisional Business Plans. These local business plans, the responsibility of Divisional Managers, detail the work carried out in each Division and Unit. These include all casework units and also support functions such as HR, ICT, Corporate Services, Spatial Data Management, Quality Management and Compliance and Financial Control. These plans encompass divisional risk registers and workforce planning options being deployed at local level to identify and fill skills and knowledge gaps. Actual performance is reviewed against targets on a half-yearly basis. The Management Board oversees a series of annual business planning meetings in the PRA’s main offices in Dublin, Waterford and Roscommon attended by divisional and line managers. At the annual planning meeting these managers report on current year results and the operational targets being set for the following year. This planning framework provides an opportunity for Management Board members to not only to monitor progress, but also reinforce overall organisational priorities, risks and values to local and frontline managers and to listen to their concerns.

1.8.4 Workforce Planning

Strategic Workforce Planning (SWFP) is fully embedded in the PRA and is aligned with the business planning process. To date all five iterations of SWFP as requested by the Department of Public Expenditure and Reform were duly completed and submitted. An evidence basis is used in identifying and deciding to fill knowledge and skills gaps. Workforce segmentation facilitates prioritisation and clarifies actual requirements. SWFP has been key in developing the strategic HR business partner role in the PRA. Workforce data gathering and analysis has facilitated the emergence of a greater emphasis in the HR function and at division level on staff mobility, talent management and succession planning.
1.8.5  ICT Strategy

The current strategy document is ‘ICT Strategy 2017-2020’ and builds on previous strategies going back to the 1990s when ICT was placed at the forefront of modernisation in the Registries. It is based on consolidating the ICT infrastructure and applications delivered by the previous strategies and setting a new agenda for the now enlarged ICT function, taking into consideration the changing technological environment. It focuses on providing improved business applications for staff and comprehensive online services for customers.

1.8.6  Performance Management

Another key element of the Governance Framework within the PRA is the management and continuous improvement of staff performance through the Performance Management and Development System (PMDS).

Active management of performance is an ongoing process throughout the year. The key elements of PMDS, i.e. setting work and learning goals, selecting competencies, formal reviews of performance and upward feedback, are all fundamental aspects of managing performance in the PRA. Goal Setting under PMDS is aligned with the PRA annual business planning process.

It is the responsibility of each and every member of staff to ensure that their goal setting form is current and complete. ePMDS enables all employees and managers to complete, revise and submit their forms online.

Managers at all levels are responsible for ensuring full adherence to the PMDS process, including the preparation of performance improvement plans, when required. Underperformance issues are dealt with under guidelines published by the Department of Public Expenditure and Reform.

It is the responsibility of the HR Unit to audit goals set for individual staff members and to ensure compliance with requirements. In the PRA participation in PMDS by staff generally exceeds 95% of the entire workforce. The HR Unit pro-actively monitors and reports to DPER on participation rates. Requests for training received by line managers through upward feedback from staff are forwarded to the Learning and Development Unit for assessment and implementation. The Management Board collectively, and its members individually, are responsible for ensuring the effective operation of performance management across the Authority as a whole.

1.8.7  Learning and Development Strategy

Organisational Learning is prioritised as a component part of the HR Strategy. As such, it provides a roadmap for talent management in the PRA by giving full visibility to the functions, skills requirements and learning opportunities available through continuing professional development, mobility, secondment etc. The aims of organisational learning in the PRA support the achievement of the organisation’s strategic goals and are in line with objectives contained in the Staff Mobility Policy and One Learning Framework for the Civil Service. The approach to organisational learning has been developed following consultation with Staff Representatives and agreed by members of the Management Board.
1.9 Stakeholder Engagement

The PRA has a multi-stakeholder base in common with all public sector bodies. Stakeholders in both the internal operational and external authorising environment of the PRA may be categorised under a range of headings. Figure 1 shows one such segmentation. Constitutional, governance and statutory stakeholders are dealt with throughout this Governance Framework. The following section will deal with issues relating specifically to core stakeholders, both internal and external. A list of relevant stakeholder forums and committees and their terms of reference is included in Appendix 5.

Figure 1 - PRA Stakeholder Groupings Sample

1.10 Internal Communications

A report on the implementation of recommendations to enhance internal communications was drawn up by the PRA’s Working Together Forum in November 2017. This report contains a series of recommendations and was informed by focus group sessions and the findings of the PRA internal Staff Climate Survey 2016. A subsequent Action Plan was prepared and approved by the Management Board, and the recommendations are progressively being implemented.

1.10.1 Staff Engagement

The Management Board recognises the importance of communicating effectively and cascading information to staff at all levels. An emphasis is placed, therefore, on the critical role of team meetings as an integral part of this
responsibility. To this end, all internal forums receive briefings on Authority and Management Board meetings and other key organisational developments. Minutes relating to all meetings of the Management Board and other relevant forums are published on the staff intranet (OPRA) and thereby made accessible to the entire workforce.

1.10.2 Working Together Forum

The Working Together forum comprises representatives of Staff, Unions and Management. The overarching aim of this Forum is to foster staff engagement and promote collaborative and participative approaches to problem solving in the PRA. Underpinning this aim is an acknowledgement that as civil servants, we together share the responsibility to collaboratively ensure that civil service reform and renewal, and the actions to achieve it, are implemented. This forum has been instrumental in devising staff climate surveys, revision of the PRA Dress Code and drawing up recommendations on improving internal communications. Industrial relations matters are dealt with in other forums, including Departmental Council.

The main objectives of Working Together outlined in its Statement of Intent of April 2017 are to:

- build effective internal communications that keep all staff fully informed of organisational developments, including those relating to the merger;
- facilitate meaningful voice for forum partners and opportunity for open constructive feedback;
- enhance organisational capability to respond to employee views;
- foster trust and inculcate mutual respect among all forum partners, irrespective of pay stream or function;
- support workforce well-being and morale by reflecting on, learning from and acting on engagement initiatives;
- reinforce the purpose of the organisation and improve the customer experience;
- assist in developing greater organisational agility, responsiveness and value for money;
- participate effectively in civil service renewal.

1.10.3 Diversity and Inclusion Committee

The Diversity and Inclusion Committee was established under the auspices of HR and Learning and Development Units in part fulfilment of the obligations of the PRA as a public body under section 42 of the Irish Human Rights and Equality Commission Act, 2014 and following feedback from diversity workshops rolled out to all staff during 2016/2017. The overarching aim of the Diversity Committee is to promote inclusiveness and embrace all aspects of diversity in the workforce and to facilitate the emergence of supportive networks to enable all staff to bring their whole selves to work. Membership is inclusive of the entire workforce with a balanced representation in respect of location, function, age and gender. This Committee has been involved inter alia in participation in Dublin Pride Festival and in drafting PRA strategies on Mental Health and on Gender Inclusion.
The PRA, in facilitating the establishment of this committee, acknowledges that a diverse workforce, that feels comfortable communicating varying points of view, creates a workplace environment conducive to the emergence of a larger pool of creativity, skills and experiences. In drawing from that enlarged pool, the PRA will be enabled to meet more effectively its strategic objectives and to deliver the best possible service to all citizens.

1.10.4 Conciliation and Arbitration Scheme: Departmental Council
The purpose the scheme of conciliation and arbitration is to provide means, acceptable both to the State and to its employees, for dealing with claims and proposals relating to the conditions of service of civil servants and to secure the fullest co-operation between the State, as employer, and civil servants, as employees, for the better discharge of public business. In line with the scheme a Departmental Council, consisting of representatives of Staff, Management and unions meets on quarterly basis.\(^\text{10}\)

1.10.5 Intranet: OPRA
An internal Intranet page (OPRA), is updated on an ongoing basis and is an information rich resource for staff. This facility displays details of key updates and social items of interest and also contains links to important knowledge reference points for staff in the completion of their duties, including \textit{inter alia} policy documents, Practice Directions, Office Notices and relevant DPER circulars and publications. The decisions of the Management Board are published on the intranet in summary form and also details and minutes of the main PRA committees and forums.

1.11 Engagement with External Stakeholders
1.11.1 Engagement with the Customer and other Stakeholders
The PRA carries out approximately 3 million online transactions annually and has a significant and increasingly varied customer base. This customer base for PRA services is shown in Figure 2. The PRA is fully committed to providing a professional, efficient and courteous service to all its customers in accordance with the 12 Principles of Quality Customer Service for Customers and Clients of the Public Service as drawn up by the QCS Working Group in 2010.\(^\text{11}\)

A Customer Charter and the PRA Policy on Customer Complaints and Disengagement 2018-2020 are both published on the PRA.ie website. The Customer Charter sets out the standard of service the PRA aims to provide, including service delivery targets for its main services. In addition, the Authority complies with the Official

\(^{10}\) The Operation of Department Councils, Letter dated 19 July 2012, issued by DPER

Languages Act 2003 and can accommodate persons who wish to conduct their business through the medium of Irish. Details of the PRA Irish language scheme are also available on [www.prai.ie](http://www.prai.ie).

**Figure 2 - PRA Customer Base**

From time to time customers are consulted by way of online surveys, the findings of which are published online. The last such survey was undertaken in October/November 2017.

### 1.11.2 Customer Support Unit

The Customer Support Unit (CSU), located in Waterford, provides a first point of contact for customers who telephone the PRA. The staff in the Unit have been trained to provide, in so far as is possible, a responsive and direct service for those customers who have queries, without the need to further transfer the calls to other staff in the PRA. Obviously, some queries, which might be more complex or case specific, will have to be transferred to other staff with more specialist skills or casework experience, but in excess of 75% of the calls are dealt with directly by the CSU. This Unit also manages an online mailbox to deal with general email queries.

### 1.11.3 Customer Focus Group

The PRA Customer Focus Group, which meets quarterly, is representative of the PRA’s main stakeholders. Membership includes Law Society of Ireland (LSI), legal executives, financial institutions, local authorities, surveyors, architects, Irish Farmers’ Association (IFA) and senior managers in the PRA. Meetings of this group provide a continuing opportunity for consultation on a range of issues and the dissemination of information on any changes planned or being introduced.
1.11.4 Project Engagement
The PRA have successfully implemented a wide range of initiatives since it commenced its modernisation program in 1999. Throughout this time there has always been a strong emphasis on customer involvement. All change implementations are overseen by an appropriate steering group which includes, inter alia, significant representation from external stakeholders including the legal and banking professions. In the context of the Registry of Deeds Archives Digitisation Project, external stakeholders represented include archivists, historians, conservators, genealogists, digitisation experts and relevant public officials from Ireland and Northern Ireland.

1.11.5 Public Outreach
A growing area of activity in recent years has been the involvement of staff from the PRA in participating in seminars, conferences and training courses for key stakeholder groups. PRA officials regularly make presentations on a range of topics at seminars and training courses for solicitors, bar associations and other stakeholders. There is also engagement in relation to all aspects of registration with third level institutions, in particular Waterford Institute of Technology, Dublin Institute of Technology and the Institute of Public Administration. In addition, the PRA maintains a presence, where appropriate, at trade events and appropriate conferences. These events include the National Ploughing Championships, the Ideal Home Show and the annual Public Service Innovation Conference. Such participation and public outreach enables the PRA to increase its profile and raise public awareness of its services.

1.11.6 Engagement with other Government Bodies
The PRA engages with a wide spectrum of public sector bodies with the objective of using this organisation’s resources to provide assistance and support in the timely delivery of major infrastructural and other State projects. The use of Spatial Data has allowed the PRA to assist Government Departments, Local Authorities and State Agencies including Irish Water, ESB, Bórd na Móna, Coillte etc. in the identification of the registered owners of properties affected by proposed initiatives and project management of property folio updates and first registrations. We have also been able to assist other Government Departments to comply with statutory requirements in relation to the identification and regularisation of titles of State owned properties. The PRA is also a member of the National Mapping Agreement Users Group.

1.11.7 Provision of Information to Members of the Oireachtas
In accordance with D/PER Circular 25/2016 – Protocol for the Provision of Information to Members of the Oireachtas by State Bodies under the aegis of Government Departments, the PRA is obliged to:

- Provide and maintain a dedicated email address for Oireachtas members;
- Put in place formal feedback processes to obtain feedback from Oireachtas members;
- Comply with target deadlines and standards in terms of acknowledgements and responses to queries;
- Designate a person at senior management level within the PRA with responsibility for ensuring the timely provision of information to members of the Oireachtas;
• Report annually (in the Chairperson’s Comprehensive Report to the Minister) on compliance with standards set out in Circular 25/2016;

• Seek, where appropriate, to publish the response to queries from members of the Oireachtas on the PRA’s website.

The Department of Housing, Planning and Local Government has assigned accountability to a member of its Management Board for ensuring that the standards set for the provision of information to members of the Oireachtas are met by all bodies under its aegis, including the PRA. The Department publishes a report annually on its website regarding compliance with those standards.

1.11.8 Social Media

The PRA increasingly engages with external stakeholders through social media and has accounts on Twitter, Facebook, LinkedIn and YouTube. A Social Media Policy is currently in place for such outreach. The PRA fully recognises that the opportunities that come with social media can also create risks and a strong governance standard is therefore critical. To this end, it is intended to recruit a dedicated media and communications specialist, review the current social media policy and establish a robust Social Media governance model to support the policy and also mitigate potential risks including reputational damage and cyber threats. It is planned that this model will incorporate *inter alia* guidelines on branding, content style, processes for updates and approval, a continuity plan and educational resources to guide staff in representing the PRA appropriately.

Recent Irish case law has confirmed that an organisation can be vicariously liable for injury caused by misuse or abuse of social media channels by its employees. Consequently, any such inappropriate use of social and digital media by PRA employees which can also negatively impact organisational reputation is taken very seriously. The PRA Social Media Usage Policy for staff provides guidance and direction for staff when utilising online social media platforms. This document complements a number of other PRA/Civil Service policies, including, but not limited to the Civil Service Code of Standards and Behaviour, Civil Service Disciplinary Code and Dignity at Work.

1.12 Foreign Delegations

The PRA hosts meetings with delegations from abroad when requested. To date, these delegations have included officials from counterpart organisations responsible for property registration or land administration in countries such as Iceland, China, Azerbaijan, Cayman Islands, Scotland and the UK.

1.13 International Affiliations

The PRA is also fully committed to participating in a number of relevant international bodies to ensure that the organisation’s policies and priorities are represented on important issues which have an impact on land registration and land administration generally. Participation also provides the opportunity to keep up to date with international developments and trends in land administration, property fraud, eConveyancing etc. In addition
dialogue and communication with relevant international bodies also provides an important platform for sharing ideas and understanding progress being achieved both within the EU and the wider international community.

1.13.1 World Bank Doing Business Rankings

The aim of these rankings is to provide an objective basis for understanding and improving the regulatory environment for business globally. Property registration is one of the criteria and is benchmarked across 189 economies. The methodology used entails measuring the time, cost and number of procedures to transfer property in a capital city between two companies. In addition, the quality of land administration is measured using four dimensions: reliability of land administration, transparency of information; geographic coverage and land dispute resolution.

As well as quantitative data, feedback provided by government officials, academics, practitioners (Solicitors) and reviewers is also used for assessment. In April each year, relevant data must be provided by the PRA in response to the World Bank questionnaire on property registration.

The Management Board and the Authority members are mindful of and share Government concerns regarding external perceptions of Ireland and the role of the public sector, as a whole, in progressing economic development and job creation. Therefore, as part of business planning, importance is attached to minimising the number of days taken to register simple sales. Particular priority is thereby given to achieving the targets set out in the Customer Charter. Careful oversight of monthly returns by the Management Board facilitates evidence based decision making on re-allocation of resources in this regard.

1.13.2 European Land Registry Association (ELRA)

ELRA, founded in 2004, is recognised by the European Commission and the European Parliament as the association representing land registries in the European Union. The membership has since grown to 32 organisations representing the land registries of twenty five European countries. The association's primary purpose is to support the development and understanding of the role of land registration in real property and capital markets in EU member states. The association believes that land registries are a fundamental pillar of legal certainty and is committed to ensuring the incorporation of this principal into Community law.

ELRA seeks to promote mutual knowledge of the different land registry systems in member states and provides a very useful forum for discussion and information exchange on developments in land registry systems across Europe. It also has a significant role in keeping members informed on relevant developments at EU level. The PRA is an active participant of this Association, engaging as part of the ELRA network in various projects funded by the European Commission to encourage efficiencies in cross border registration and provide legal and potential IT solutions for future access to standardised registry information through the eJustice portal.

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12 World Bank Doing Business Rankings
13 A special study of five cities in Ireland (Dublin, Cork, Galway, Limerick and Waterford) is being undertaken in 2018/2019
14 European Land Registry Association
1.13.3 United Nations Economic Commission for Europe (UNECE) - Working Party on Land Administration (WPLA) 15

The Working Party was established in 1999 with the overall goals of promotion and improvement of land administration and land management in the UNECE region. The Working Party aims to support security of tenure, improve and create more effective land registries and promote sustainable land use policies. It provides a neutral platform for knowledge-sharing and discussion between governments and other land stakeholders, developing best practice in land registration, land consolidation and informal settlement management. To help countries develop better land registry and cadastre systems, it advises on policy formulation, promotes best practice and improved data collection.

The WPLA, of which the PRA is an active participant, has developed into an effective network of land administration officials in Europe and North America. It operates by sending independent experts to the ECE countries to provide policy advice and recommendations in relation to national programmes on land market development and real estate registration.

1.13.4 Five Registers

The Five Registers Forum, comprising Registrars and Chief Executives of the Land Registries of England and Wales, Scotland, Northern Ireland, Ireland and the Isle of Man, meets twice a year. Issues of common interest are discussed and information exchanged on a wide range of matters pertinent to property registration.

1.13.5 INSPIRE 16

The INSPIRE Directive of the European Parliament was transposed into Irish law through Statutory Instrument No. 382 of 2010. This Directive aims to create a European Union spatial data infrastructure (SDI) for the purposes of EU environmental policies and policies or activities which may have an impact on the environment. This will be based on member states SDIs and ultimately will enable the sharing of environmental spatial information among public sector organisations, facilitate public access to spatial information across Europe and assist in policy-making across boundaries. The Land Registry (PRA) is the Legally Mandated Organisation (LMO) in Ireland for the Annex 1 Cadastral Parcels Theme 17 and, as such, is obliged to provide discovery, viewing and downloading services through INSPIRE and Irish SDI geo-portals.

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15 Working Party on Land Administration
16 Inspire
17 Cadastral parcels are lands that are registered in the Land Registry, excluding multi-storey registrations.
Chapter 2. Roles & Assignment of Responsibilities: Minister, Department, Authority, Senior Management and all staff

**Relevant Governance Principle:**
- Good governance helps to define priorities and outcomes in terms of sustainable economic and societal benefits and to determine the policies and interventions necessary to optimise the achievement of these priorities and outcomes. It means implementing good practices in transparency, reporting, communications, audit and scrutiny to deliver effective accountability.

**The Corporate Governance Standard for the Civil Service requires that the following core elements are reflected in the PRA Governance Framework:**
- An overview of the relationship with the Minister for Housing, Planning and Local Government
- An overview of the governance role of the Authority
- An overview of senior management governance roles and responsibilities, including those relating to the chief Executive and Accounting Officer, those senior officials who exercise a senior management role within the PRA and the role for all staff
- How responsibility is assigned to officers of the PRA for the performance of the functions under the Public Service Management Act 1997.

### 2.1 Parent Department and Minister

The PRA is a civil service body established pursuant to the Registration of Deeds and Title Act 2006 (the Act). Ministerial responsibility for the Authority was transferred from the Minister for Justice and Equality to the Minister for Housing, Planning and Local Government with effect from 1\textsuperscript{st} January 2018.\textsuperscript{18} The functions under the following legislation were accordingly vested in the Minister for Housing, Planning and Local Government (the Minister):

- Registration of Titles Act 1964;
- Landlord and Tenant (Ground Rents) (No. 2) Act 1978;
- Registration of Deeds and Title Act 2006.

As a public body operating under the aegis of the Department of Housing, Planning and Local Government (the Department) and the Act, the Authority is independent in the performance of its duties and has its own legal, operational, internal management and governance structures. From a corporate governance perspective, the Authority is obliged to comply with the Code of Practice for the Governance of State Bodies\textsuperscript{19}, and it is statutorily

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\textsuperscript{18} SI 574/2017

\textsuperscript{19} Revised Code of Practice for the Governance of State Bodies
obliged to comply with reporting requirements set out in the Act. The Department is responsible for overseeing such compliance.

The Minister is accountable to the Oireachtas for the performance of bodies under the aegis of their Department, including the PRA. The Minister is also responsible for bringing matters requiring action to the attention of Government. In addition, the Minister also has responsibility for setting the strategic overview and direction, and the policy framework, within which each of the Housing, Planning and Local Government bodies operate.

2.2 Role of the Minister

The role of the Minister, as set out in the Act, includes the following provisions:

- It is the role of the Authority to keep the Minister informed of progress in relation to the registration of ownership of land and to assist the Minister in the development of policy in relation to such registration [Section 10];
- It is the role of the Minister to appoint the members of the Property Registration Authority and to designate one of the members as Chairperson. One of the members appointed shall be a representative of the Minister [Section 11];
- Subject to the approval of the Minister, the Authority may, from time to time, appoint such and so many advisory committees and such and so many consultants or advisers, as it may consider necessary, to assist it in the performance of its functions [Section 17];
- The Minister may, from time to time, as occasion requires, issue to the Authority such general directives in writing in relation to policy concerning registration of deeds or ownership of land, or any other function of the Authority, as they consider necessary. However, it should be noted that nothing in the Act is to be construed as enabling the Minister to exercise any power or control in relation to any particular case with which the authority is or may be concerned [Section 20];
- It is the role of the Minister to fix the fees to be charged by the PRA for registration and other services [Section 21].

It should be noted that the roles and responsibilities assigned to the Ministers of State at the Department may include areas directly or indirectly relevant to the PRA. The PRA therefore is also cognisant of its obligations to provide information and assistance to the Ministers of State, where required.

2.3 Departmental Oversight

The Department in its Statement of Strategy\textsuperscript{20} states that it:

“...is committed to working within a network of associated Agencies, local authorities, other Government Departments and public bodies to deliver on the objectives of Government”.

\textsuperscript{20} Department of Housing, Planning and Local Government - Statement of Strategy 2017-2020
Roles & Assignment of Responsibilities

As parent Department, it is responsible for oversight of the PRA. However, appropriate distance and autonomy is allowed to the PRA to manage its operational business, whilst also holding it to account. The role and responsibilities of both the Department and its bodies are set out in more detail in the Governance Framework for the Department\textsuperscript{21} which states \textit{inter alia} that:

“The relationship between Government Departments and bodies under their aegis is determined primarily by: the underpinning legislation establishing the body [in this case, the Registration of Deeds and Title Act 2006]; and the requirements set out in the Code of Practice for the Governance of State Bodies\textsuperscript{22}.”

The Framework also acknowledges that:

“...the Department must also respect the position of bodies which have independent regulatory or appellate functions, and the corporate governance responsibilities of the Boards/executives of individual bodies.”

The main point of contact for the PRA in working with the Department is the relevant line Division (Tailte Éireann Governance Unit), led by an assigned Assistant Secretary. The role for the line Division includes building and maintaining effective corporate governance, as well as regular liaison and communication concerning legislative, strategic and operational matters. This business unit is also required to confirm that the body is compliant with a wide range of other matters which lie outside of the Code of Practice. The business line division will also work with the PRA and provide input into the finalisation of the PRA’s annual reports and financial statements.

Further information on the expected roles and responsibilities of parent Departments and Bodies are set out in the Corporate Governance Standard for the Civil Service\textsuperscript{23}, in particular Section 5 – Bodies under the aegis of the Department.

\subsection*{2.3.1 Oversight & Performance Delivery Agreement}

The service level agreements (SLAs) entered into by the Department and its bodies aim to define, roles, responsibilities and lines of accountability of the Department and the Body, including agreed performance targets. A formal SLA, incorporating a performance agreement based on strategic priorities, targets and performance indicators is in place between the PRA and the Department. Under this Oversight and Performance Delivery Agreement, the PRA undertakes to return timely, relevant and appropriately detailed performance information to allow for monitoring of this Service Level Agreement. This may include performance information for inclusion in the Revised Estimates for Public Services volume, in line with the indicators and timeframe agreed with the Department.

\footnotesize{\textsuperscript{21} Department of Housing, Planning, and Local Government - Governance Framework
\textsuperscript{22} Revised Code of Practice for the Governance of State Bodies
\textsuperscript{23} Corporate Governance Standard}
The following arrangements and commitments are covered in the Oversight and Performance Delivery Agreement:

- Legal framework for the PRA under the Department;
- Purpose and responsibilities of the PRA;
- Role of PRA within the Housing, Planning and Local Government sectors;
- Roles and Responsibilities for key stakeholders: the Department, CEO (including as Accounting Officer), the Authority and its Chairperson;
- Specific corporate functions: internal audit, Audit and Risk Committee accountability to the Oireachtas;
- Corporate governance requirements: adherence to the Code of Practice for the Governance of State Bodies, statements of strategy, annual reports, appropriation accounts, reports to the Minister, protected disclosures and provision of information to Members of the Oireachtas;
- Monitoring of governance obligations;
- Performance Delivery Agreement: mutual commitments of both parties, inputs (staffing and financial), outputs/targets (categorised under PRA strategic goals), potential risk factors and monitoring arrangements.

The PRA will also arrange to provide briefing material and views on relevant strategic issues and initiatives identified by the Department, as well as providing timely and quality responses to the range of structured information requests that are submitted through the Department (including for replies to parliamentary questions and representations from Members of the Oireachtas). Similarly, the views, input and support of the Department are important to the development and implementation of PRA strategy and will be sought by the PRA, where appropriate. This exchange of information and views are supported by the creation and nurturing of effective relationships and points of contact between the PRA and the Department.

2.4 Authority

The Property Registration Authority (PRA) was established on 4 November 2006 under the provisions of the Registration of Deeds and Title Act 2006 (replacing the Registrar of Deeds and Titles as the “registering authority” in relation to property registration in Ireland). As a statutory body, its members are appointed by the Minister and are representative of the main users and consumers of property registration services. Whilst operationally independent, the PRA is accountable to the Minister, who is ultimately responsible to the Oireachtas for the actions and performance of the PRA.

The functions of the Authority, as set out in Section 10 of the Act, are as follows:

a) to manage and control the Registry of Deeds and the Land Registry;

b) to promote and extend the registration of ownership of land;
Roles & Assignment of Responsibilities

c) to deal with applications under Part III of the Landlord and Tenant (Ground Rents) (No. 2) Act 1978;

d) to undertake or commission, or collaborate or assist in, research projects and activities relating to the registration of ownership of land, including the compilation of statistical data needed for the proper planning, development and provision of services related to such registration;

e) to perform any additional functions conferred on it;

f) to keep the Minister informed of progress in relation to the registration of ownership of land and to assist him or her in the development of policy in relation to such registration.

In carrying out its functions the Authority shall have regard to:

- the resources of the Property Registration Authority for the purposes of such performance and the need to secure the most beneficial, effective and efficient use of such resources;

- any policy or objective of the Government, insofar as it may affect or relate to a function of the Authority;

- any direction by the Minister.

2.4.1 Meetings of the Authority

The members of Authority meet not less than once in each three month period, retain full and effective control over the Property Registration Authority and monitor the executive management and performance by reference to the Strategic Plan of the Authority.

2.4.2 Appointments to the Authority

Arrangements for appointment to the Authority, similar to that of all State Boards, (commercial and non-commercial) are set out in the Guidelines on Appointments to State Boards 2014. According to the Guidelines, all vacancies (subject to limited and specified exceptions including the role of the Chair) are advertised openly on the State Boards portal (www.stateboards.ie), operated by the Public Appointments Service (PAS). Applications are then processed by way of a transparent assessment system designed and implemented by the PAS to support the Minister in making appointments to State Boards under their remit. Appointments meet specific and detailed criteria determined in consultation with key stakeholders (such as the current Chair of the State Board concerned and the Public Appointments Service) as necessary for the effective performance of the relevant role(s).

2.4.3 Subcommittees of the Authority

Subject to the approval of the Minister, the Authority may from time to time appoint such and so many advisory committees and such and so many consultants or advisers as it may consider necessary to assist it in the performance of its functions.

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24 Appointments to State Boards
2.4.4 Matters specifically reserved for the Authority
The Authority has a formal schedule of matters specifically reserved to it for decision to ensure that the direction and control of the PRA is undertaken in accordance with its statutory remit.

2.4.5 Authorisations
In accordance with Section 26 of the Act, the functions of the Authority may be performed by any member or members of staff who is or are authorised to do so. All authorisations pursuant to this provision must be formally adopted by the Authority. A list of current authorisations of the PRA pursuant to the provisions of the Registration of Deeds and Title Act 2006 -2014 is given in Appendix 3.

2.5 Registration of Deeds and Title Rules Committee
The Registration of Deeds and Title Rules Committee performs certain statutory functions and, with the agreement of the Minister, has the power to make general rules [Sections 126 and 74 of the 1964 Act].

Membership of the Committee comprises:

1. Chairperson: A High court Judge assigned by the President of the High Court;
2. Secretary: Chief Executive of the Authority
3. Chairperson of the Authority;
4. A practising Barrister nominated by the Bar Council;
5. A practising solicitor nominated by the Law Society.

The Secretary of the Committee must summon a meeting at least once a year to consider practice, procedure and administration under the Acts of 1964 and 2006 and the operation and effect of those acts. The Committee reports to the Minister on the amendments it considers should be made to the existing Land Registration Rules.

2.6 The Roles of the Chief Executive
The Chief Executive Officer (CEO) has several designated statutory roles, in the main under the 2006 Act, but also under the Public Service Management Act 1997, Comptroller and Auditor General (Amendment) Act 1993 and more recently the Lobbying Act 2015. In accordance with Section 22 of the 2006 Act, as Head of the Office they are responsible for implementing the decisions of the Authority and for managing and controlling generally its staff, administration and business. Under Section 23 of the Act, the CEO is the Accounting Officer for the Property Registration Authority and, as such, carries all of the responsibilities of that role. The CEO reports to the Authority in relation to the performance of these functions, whilst in tandem being personally accountable to the Dáil Committee of Public Accounts. Finally, the CEO is duty bound to ensure that the ethical tone is set and cascaded from the top in accordance with the PRA’s code of ethics and that a culture of integrity permeates throughout the entire organisation.
2.6.1 Accounting Officer Role

The Comptroller and Auditor General (Amendment) Act, 1993 defined the term Accounting Officer in legislation for the first time. The Accounting Officer is described in this Act as the "Officer referred to in Section 22 of the Exchequer and Audit Departments Act, 1866 to whom the duty of preparing the Appropriation Accounts of a Department is assigned..."

The constitution provides that Dáil Éireann votes funds annually for Government Departments and certain offices, including the PRA, to spend on the provision of public services. After the end of the year, the PRA must prepare an account of its expenditure and receipts under its Vote, called the Appropriation Account. This Account must be signed by the Accounting Officer who is responsible for having it prepared and presented for audit to the Comptroller and Auditor General (C&AG) before 1 April of the year following that to which it relates.

The key feature of the Accounting Officer role is the personal responsibility of the most senior official for:

- the regularity and propriety of the transactions in the accounts for which they are answerable;
- the control of assets held by the Authority;
- economy and efficiency in the use of the Authority’s resources;
- systems, practices and procedures used to evaluate the effectiveness of its operations.

Accounting Officers cannot be familiar with every financial transaction on the accounts and for that reason there is a particular responsibility to ensure that the financial management and control systems in place in the PRA are adequate to enable the discharge of this accountability. Such systems are outlined in detail in Chapter 5.

2.6.2 The Accounting Officer and the Public Accounts Committee

Accountability is exercised through rigorous examination of the manner in which Accounting Officers have discharged their responsibilities. This is achieved by way of independent audit, examinations by the C&AG and scrutiny by the Dáil Committee of Public Accounts (PAC).

The Accounting Officer appears before the PAC in their own right, rather than as a representative of the Minister, as part of the Minister’s constitutional responsibility. The duties of the Accounting Officer appearing before the PAC are, thus, outside the normal system of civil service delegation where, in general, civil servants act in the name of the Minister.

Under section 19 of the 1993 Act, Accounting Officers are required to give evidence to the PAC on:

a) the regularity and propriety of the transactions recorded or required to be recorded in any account subject to audit by the Comptroller and Auditor General which they or the Department concerned is required by or under statute to prepare;

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25 Comptroller and Auditor General (Amendment) Act, 1993
26 Articles 11, 21, 28 and 33 Bunreacht na hÉireann

22
b) the economy and efficiency of the Department in the use of its resources;

c) the systems, procedures and practices employed by the Department for the purpose of evaluating the effectiveness of its operations;

d) any matter affecting the Department/Office referred to in a special report of the C&AG under Section 11(2) or in any other report of the C&AG [in so far as it relates to a matter specified in paragraph (a), (b) or (c)] that is laid before Dáil Éireann.

The 1993 Act broadened the statutory duties of Accounting Officers to cover economy and efficiency in the use of resources and the systems, practices and procedures to evaluate effectiveness of the operations of Departments and Offices. Since then, the C&AG has been devoting considerable resources to carrying out Value for Money examinations which result in stand-alone reports dealing with these issues.

The 1993 Act also provides a statutory basis for the accepted convention that Accounting Officers should not express an opinion on the merits of any policy when giving evidence to the PAC. This provision is the same as that imposed on civil servants generally in appearing before Oireachtas Committees. Likewise, under its Standing Orders the PAC may not enquire into the merits of a policy or policies of the Government or a member of the Government or the merits of the objectives of such policies.

2.6.3 Principles and Conventions

Apart from the statutory provisions, Accounting Officers operate within established principles and conventions that are derived mainly from the Constitution and from the institutional and financial relationships that have been developed between the Oireachtas and the Government over the years. The reports and recommendations of the PAC are one of the main sources of these principles. These principles and conventions are outlined in the Department of Finance Guidance document *Public Financial Procedures* which is brought to the attention of each Accounting Officer upon appointment.

In addition to the preparation of the Appropriation Accounts, the main responsibilities of Accounting Officers as laid down in this guide are as follows:

- The safeguarding of public funds and property under their control;
- Ensuring that all relevant financial considerations are taken into account and, where necessary, brought to the attention of the Minister where they concern the preparation and implementation of policy proposals relating to expenditure or income for which they are Accounting Officer;
- Economy and efficiency in the administration of the Department/Office. This includes ensuring that there are adequate financial management systems in place to support proper administration;

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*Public Financial Procedures Booklet*
Roles & Assignment of Responsibilities

- The adequacy of arrangements within the Department/Office to ensure the correctness of all payments under their control and the prompt and efficient recovery and bringing to account of all receipts connected with the Vote, or with any fund for which the Department is responsible;
- Ensuring that Department of Finance sanction for expenditure has been obtained and for the maintenance of a central record of both delegated and specific sanctions;
- Responsibilities for internal audit, including reviewing the internal audit function to ensure there is the desired quality of assurance on the adequacy, reliability and efficiency of the Department’s/Office’s internal control system.

2.6.4 Lobbying Act

Lobbying activities are a legitimate means of access to parliamentary, government and municipal institutions. Such activities can contribute to informed decision-making by elected and appointed public officials. The Lobbying Act 2015 together with its associated code of conduct, regulations and guidelines aims to ensure that lobbying activities are conducted in accordance with public expectations of transparency and that decisions are made in the public interest. The 2015 Act does not aim to prevent or inhibit lobbying activity, but to support engagement of public bodies with all stakeholder organisations. Under this act, Interactions between lobbying bodies and Designated Public Officials (DPO) must be reported by the lobbyists. Such lobbyists include inter alia any representative or advocacy body, or professional paid lobbyist. Interactions can be casual, either oral or written and may occur in social settings or even on social media.

The Standards in Public Office Commission (SIPO) acts as regulator for lobbying has published guidelines for persons carrying on lobbying activities. The Code seeks to provide guidance to lobbyists on how to carry on lobbying activities in an ethical and transparent way. It seeks to ensure that lobbying is conducted with honesty, integrity, and respect for the institutions and people being lobbied. Anyone carrying on lobbying activities, including employers, third parties, representative or advocacy bodies and individuals alike, must have regard to the Code when communicating with public bodies and public officials.

In the PRA the CEO is a DPO under the 2015 act. SIPO has also published guidance for DPOs, in which it recommends they check the Lobbying Register on a periodic basis to ensure that their name is associated with the correct lobbying activities and that the information recorded is factually correct. SIPO guidance recommends that best practice lies inter alia in self-identifying as a DPO and always maintaining accurate records. Whilst the Lobbying Act 2015 governs communications with DPOs, the principles of the SIPO code of conduct apply to all communications with persons in public office, irrespective of whether it is prescribed for the purposes of the 2015 Act. The PRA adheres to the guidance from SIPO and is a member of Transparency International Ireland’s Integrity.

28 www.lobbying.ie/help-resources/information-for-lobbyists/guidelines-for-people-carrying-on-lobbying-activities/
Roles & Assignment of Responsibilities

25

at Work Programme. Where a lobbying body falls short in its reporting obligations under the 2015 Act, the PRA will no longer interact with that body.

2.7 Assignment of Management Roles and Responsibilities

In accordance with Section 22 of the Registration of Deeds and Titles Act 2006, the Chief Executive is appointed by the Minister on the recommendation of the Chief Executive of the Public appointments Service. The CEO is responsible for implementing the decisions of the Authority. In accordance with the Act the functions of the CEO include managing and controlling generally the staff, administration and business of the PRA.

The assignment of responsibility for the performance of functions by individual officers is made on the basis of the personal (or team) work objectives identified under or associated with the Statement of Strategy, Strategic Workforce Plan and PRA corporate and business plans. The CEO, as Head of the Office, assigns specific responsibilities to managers at other levels, in line with the provisions of the Public Service Management Act, 1997. These managers are then expected to both fulfil such assigned roles and act in role. Assignments can be amended on an ongoing basis by the CEO.

Under Action 21 of the Civil Service Renewal Plan, all Government Departments and Offices are obliged to publish a Framework of Assignments. The aim is to improve public accountability by clarifying the responsibilities and accountabilities of senior managers so that ‘who does what and how they are held accountable’ is clear. This Framework covers such assignments of responsibilities made under the 1997 Act. The relevant information in relation to the PRA is regularly updated and is available at http://whodoeswhat.gov.ie/root/pra/.

2.8 PRA Structure and Functional Areas

For the purposes of day to day management the PRA is split into 3 main functional areas dispersed across three locations Dublin, Waterford and Roscommon - casework processing and attendant quality management, spatial data management and support functions. Under these main headings there are a number of units as outlined in Table 1.

2.9 Organisational Governance Structure

The organisational governance structure, which is subject to change and adaptation as required over time, in response to changing circumstances and priorities, is shown in figure 3 below. It reflects current assignments and responsibilities and provides clear lines of accountability, responsibility and reporting.
# Table 1 – PRA Structure and Functional Areas

## PRA Structure and Functional Areas

<table>
<thead>
<tr>
<th>A. Registration Function</th>
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<tbody>
<tr>
<td><strong>1. Registration of Title</strong></td>
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<tr>
<td>a) Registered land</td>
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<tr>
<td>• All property transactions including sales, leases, voluntary transfers, mortgages and their release in respect of commercial property, farms, dwelling houses and state lands</td>
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<tr>
<td>• Mapping function</td>
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<tr>
<td>b) First Registrations</td>
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<tr>
<td>• Possessory Cases (Adverse Possession)</td>
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<td>• Documentary Title</td>
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<tr>
<td>• Mapping function</td>
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<tr>
<td><strong>2. Registration of Deeds</strong></td>
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<tr>
<td>All applications to register deeds where the property is not registered on the Land Register</td>
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<td><strong>3. Ground Rents</strong></td>
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<td>All applications by consent or arbitration under the Landlord and Tenant (Ground Rents) (No. 2) Act 1978.</td>
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<tr>
<td><strong>4. Quality Control</strong></td>
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<tr>
<td>o Internal Case Review</td>
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<td>o External Priority Customer Case Review</td>
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<tr>
<th>B. Spatial Data Management Function</th>
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<tbody>
<tr>
<td>OSI Updates Unit</td>
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<td>Mapping Standards Oversight</td>
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<td>Spatial Information Unit</td>
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<td>Special Mapping Projects</td>
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<tr>
<th>C. Support Functions</th>
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<tbody>
<tr>
<td>• Human Resources</td>
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<tr>
<td>• Learning and Development</td>
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<tr>
<td>• Quality Management</td>
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<tr>
<td>• Customer Services</td>
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<tr>
<td>• Corporate Services</td>
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<tr>
<td>• ICT</td>
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<tr>
<td>• Finance, Procurement, Data analytics</td>
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<tr>
<td>• Governance and Risk Management</td>
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<tr>
<td>• Compliance</td>
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<tr>
<td>• Internal Audit</td>
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<tr>
<td>• Registry of Deed Archives Services</td>
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<tr>
<td>• Authority Secretariat</td>
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Figure 3 - Organisational Governance Structure and functional Overview

Organisational Governance Structure and Functional Overview

Minister for Housing, Planning and Local Government

Audit & Risk Committee

Property Registration Authority

Registration of Deeds & Title Rules Committee

Internal Audit Function (Independent)

Chief Executive (Accounting Officer)

Compliance Function

Deputy Registrar (Head of Operations)

- Casework and Business Planning (Non Examiner)
- Quality Management
- Corporate Governance; Risk Management
- Compliance
- Corporate Services
- Finance/ Procurement
- Human Resources
- ICT
- Mapping/ Spatial Data
- Data and Information Management
- Inter-agency collaborative projects
- International Representation

Deputy Registrar (Legal)

- Legal Standards in Casework Processing
- Quality and Process Assurance
- Legal Aspects of Mapping Standards
- Authority led registration initiatives
- Legal drafting and interpretation of Rules

Deputy Registrar (Legal)

- Examiner Casework operations & productivity
- Counter Fraud Function
- Compensation Claims
- Court Cases

Management Board (see chapter 3)
Chapter 3. Management Board & Other Governance Structures

Relevant Governance Principle:
Good governance means developing the PRA’s organisational capacity, including the capability of the leadership team, management and staff.

Corporate Governance Standard for the Civil Service requires that the following core elements are reflected in the PRA Governance Framework:
- The purpose, role and terms of reference of the PRA Management Board; and
- An overview of other management structures in place to assist in governance of the organisation.

3.1 Management Board Purpose
The purpose of the Management Board (MB) of the PRA is to provide for shared participation and responsibility for the operational success of the entire organisation in meeting its strategic goals. This includes accountability for the effective management of the organisation and ensuring it has the capacity to fulfil this role by developing the capability of the leadership team, management and staff. The MB must also ensure that appropriate management structures, including corporate governance structures, are in place and working effectively. Furthermore, the members, in setting the ethical tone for the organisation, must ensure that their deliberations, actions and behaviours are fully consistent with the values articulated in the Statement of Strategy.\(^\text{10}\)

3.2 Membership/Composition
The MB is chaired by the Chief Executive Officer (CEO). The PRA strives to have a balance of skills and experience on the MB appropriate to fulfilling its responsibilities. To this end, the membership comprises those officers at Principal Officer and above who hold responsibility for the following or equivalent functions in the PRA:

- Head of Operations;
- Deputy Registrars (Legal Services);
- Corporate Services;
- Casework Management;
- Quality and Compliance;
- Human Resources;
- Information and Communications Technology;
- Registration Mapping;
- Spatial Data Management;
- Financial Control.

\(^{10}\) Statement of Strategy 2019-2021 Integrity and Innovation
Other managers may be required to attend meetings when matters relevant to their areas of responsibility are under consideration. Members of the Authority or external experts may also be invited to attend for particular agenda items.

3.3 Conduct of Meetings
Meetings are convened by the CEO and are held at regular intervals, at least fortnightly or as the CEO deems necessary. In the absence of a CEO, the role of convening and/or chairing of meetings will be assumed by a Deputy Registrar. All members are expected to attend meetings, except where this is unavoidable.

To form a quorum, there must be at least half the members of the Board, plus one, in attendance. Where emergencies arise, the quorum need not apply and decisions will be made by those members, at least three, attending in person, or by video conference. Where necessary, decisions may also be made incorporeally by email, telephone, Skype or other electronic means.

Members of the MB may submit items for inclusion on the agenda prior to meetings. Prioritisation of agenda items is assigned by the CEO.

3.4 Shared Participation and Responsibility
The principle of shared participation and responsibility applies to decisions made by the MB. The role of members includes engaging proactively on the MB and using their experience to challenge and critically examine items under discussion. It is expected of members that, in providing leadership and strategic direction, they do not focus solely on their own functions.

3.5 Ethical Tone and Decision Making
Members are expected to adhere to and model the behaviours expected and delineated in the PRA Behaviours Framework, thereby setting the ethical tone from the highest levels in the organisation.

Two key principles articulated in the PRA Code of Ethics are particularly relevant to the MB deliberations and relate to striving to maintain ethical decision making through:

- respect for alternative views and mitigating unconscious bias;
- acting with openness, transparency and accountability for all their actions.

The Code adopts a framework for making ethical decisions and, to mitigate against any risk of groupthink, recommends that alternative viewpoints should be heard and considered.
3.6 Roles

The role of the CEO in respect of the MB includes:

a) Scheduling, convening and chairing regular meetings;

b) Ensuring that members monitor, and have oversight of all relevant matters that relate to the efficient and effective delivery of PRA services;

c) Ensuring the MB considers any matters that threaten the propriety or value for money with which the PRA carries out its business;

d) Ensuring the MB considers any significant issues which may impact on the organisation’s medium term capacity and capability or significant risks to delivery on its goals, together with details of mitigating actions proposed or taken;

e) Updating the members on matters pertaining to Authority meetings, progress on merger with the Valuation and OSI and external stakeholder engagement.

The role of all members of the MB encompasses both corporate and functional responsibilities and includes the following:

a) Regular attendance and active participation at meetings;

b) Specific responsibilities arising from their individual roles as Board members, including implementation of actions as agreed at previous meetings;

c) Setting the ethical tone for the PRA by promoting civil service values and demonstrating the specific values of the PRA in their approach to work and interpersonal relationships and modelling desired behaviours in line with the PRA Behaviours Framework;

d) Participating proactively and not focusing only on their own functions by providing leadership and strategic direction, and driving and overseeing the implementation of strategies;

e) Showing leadership, contributing to the management of the PRA, as a whole, and actively supporting colleagues in meeting organisational objectives;

f) Using their experience to challenge and critically examine items under discussion;

g) Notifying the MB of any matters that threaten the propriety or value for money with which the PRA carries out its business;

h) Notifying the MB of any significant issues which may impact on the PRA’s medium term capacity and capability or significant risks to delivery of its goals, together with details of mitigating actions proposed or taken;

i) Acting with probity and maintaining appropriate confidentiality as to matters discussed.

These roles are complementary to, and do not conflict with, the existing statutory roles of the CEO/Accounting Officer.
3.7 Matters for the consideration by the MB

Matters appropriate for consideration by the MB, include, but are not limited to:

a) Implementation of Government Policy;
b) Achievement of the strategic goals as set out in the PRA Statement of Strategy;
c) Operational strategies, as appropriate, to best implement the goals;
d) Monitoring performance against targets;
e) The Business Plans as agreed with all Divisional Managers;
f) Risk management, including counter fraud and cyber security issues;
g) Discussion of major strategic challenges confronting the PRA and strategies affecting the long term interests of the PRA (including technological developments, financial and Human Resource allocation, Human Resources strategies);
h) Workforce Planning;
i) Ensuring the integrity of the Register is forefront;
j) Ensuring that cross-cutting and longer term issues are fully accounted for in resource planning, policy formulation and advice;
k) Developing services to meet customer demand;
l) Developing future strategy in collaboration with the Authority;
m) Budget allocation and performance;
n) Ensuring effective communication throughout the organisation including dissemination of information on the role and decisions of the MB, where appropriate, driving engagement with staff and communication with external stakeholders;
o) Considering and debating major policy issues and wider external issues of significance;
p) High-level consideration of significant management and investment decisions made;
q) Ensuring Strategic Human Resources and Organisational Capacity and Capability Reviews are conducted periodically;
r) Ensuring that all opportunities are examined that will exploit and embrace technology and innovation to transform how services are delivered;
s) Appropriate Governance arrangements and clarity on roles and responsibilities;
t) Participation at national and international fora.

3.7.1 Reports and Updates: Standing Items

The categories of information under which reports and updates must be made at meetings of the MB, either as Standing Items or ad hoc items and the regularity of consideration of such information, together with the senior responsible officer are outlined in Table 2.
<table>
<thead>
<tr>
<th>Category</th>
<th>Information</th>
<th>Agenda Item type</th>
<th>Regularity of reporting</th>
<th>Senior Responsible Officer(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Authority</td>
<td>Updates on matters arising from meetings of the Authority</td>
<td>Standing Item</td>
<td>Following every Authority meeting</td>
<td>CEO</td>
</tr>
<tr>
<td></td>
<td>Preparatory collation of information for Authority meetings</td>
<td>Standing Item</td>
<td>When agenda is finalised by Chairman of the Authority</td>
<td>CEO</td>
</tr>
<tr>
<td>Strategy</td>
<td>Development of future strategy</td>
<td>Standing Item</td>
<td>Annual MB seminars</td>
<td>CEO</td>
</tr>
<tr>
<td>Casework Performance</td>
<td>Metrics on casework returns and workflows</td>
<td>Standing Item</td>
<td>Monthly</td>
<td>Financial Controller; Casework and Corporate Services Manager.</td>
</tr>
<tr>
<td></td>
<td>First Registration Arrears Clearance</td>
<td>Standing Item</td>
<td>Monthly</td>
<td>Deputy Registrar (Legal)</td>
</tr>
<tr>
<td></td>
<td>Ad hoc casework reviews incl. aged analysis and productivity levels</td>
<td>Ad hoc Item</td>
<td>As required</td>
<td>Casework and Corporate Services Manager</td>
</tr>
<tr>
<td>Quality Management Framework</td>
<td>Quality Management Oversight Reports</td>
<td>Standing Item</td>
<td>Quarterly</td>
<td>Head of Quality and Compliance</td>
</tr>
<tr>
<td>Budgetary Issues</td>
<td>Major Estimates issues and new budget requests</td>
<td>Standing Item</td>
<td>Annually, or as required</td>
<td>Financial Controller</td>
</tr>
<tr>
<td>Compensation Claims</td>
<td>Potential Liabilities</td>
<td>Standing Item</td>
<td>Quarterly</td>
<td>Financial Controller</td>
</tr>
<tr>
<td>Expenditure</td>
<td>Progress of Spending against profile</td>
<td>Standing Item</td>
<td>Quarterly</td>
<td>Financial Controller</td>
</tr>
<tr>
<td>ICT Budget</td>
<td>Oversight of ICT expenditure and planning</td>
<td>Standing Item</td>
<td>Annual</td>
<td>Chief Information Officer</td>
</tr>
<tr>
<td>Major ICT Projects</td>
<td>Progress Report</td>
<td>Standing Item</td>
<td>As required</td>
<td>Chief Information Officer</td>
</tr>
<tr>
<td>Risk Management</td>
<td>Evaluation and review of Risk Register</td>
<td>Standing Item</td>
<td>Quarterly prior to Audit Committee meetings</td>
<td>Financial Controller</td>
</tr>
<tr>
<td>Counter fraud</td>
<td>Report on counter fraud strategy implementation issues</td>
<td>Standing Item</td>
<td>Quarterly</td>
<td>Head of Quality and Compliance</td>
</tr>
<tr>
<td></td>
<td>Website passing off</td>
<td></td>
<td>Twice yearly</td>
<td></td>
</tr>
<tr>
<td>Compliance</td>
<td>Report on completion of annual Compliance Templates</td>
<td>Standing Item</td>
<td>Annual</td>
<td>Head of Quality and Compliance</td>
</tr>
<tr>
<td>Critical Events</td>
<td>Critical Event updates</td>
<td>Standing Item</td>
<td>Every meeting for duration of critical events</td>
<td>Casework and Corporate Services Manager/DR/Head of Operations</td>
</tr>
<tr>
<td>Data Protection</td>
<td>Report on data protection</td>
<td>Standing Item</td>
<td>Quarterly</td>
<td>Head of Quality and Compliance</td>
</tr>
<tr>
<td>Mapping Developments</td>
<td>Strategic Mapping Developments and oversight of standards/quality management</td>
<td>Ad Hoc Item</td>
<td>As required</td>
<td>Head of Mapping</td>
</tr>
<tr>
<td></td>
<td>OSI Updates Progress Report</td>
<td>Standing Item</td>
<td>As required</td>
<td>Head of Mapping</td>
</tr>
<tr>
<td></td>
<td>Spatial information Management progress Report</td>
<td>Standing Item</td>
<td>As required</td>
<td>Head of Mapping</td>
</tr>
</tbody>
</table>
### Management Board & Other Governance Structure

#### Business Planning
- **Co-ordination of business planning and reviews**  
  - **Standing Item**  
  - **Twice yearly**  
  - Casework and Corporate Services Manager

#### Publications
- **Draft Annual Report**  
  - **Standing Item**  
  - Annual and as required prior to publication  
  - Casework and Corporate Services Manager

#### Policy
- **Strategic Publications /Policies**  
  - **Ad hoc Item**  
  - As required  
  - Casework and Corporate Services Manager / Head of Operations or other senior responsible officer or project lead

#### Non-ICT Projects
- **Progress of major projects against timeframe and budget**  
  - **Standing Item**  
  - As required  
  - Head of Operations /Head of Quality and Compliance

#### HR Updates
- **Strategic Workforce Action Plan updates**  
  - **Standing Item**  
  - Twice yearly  
  - HR Manager
- **HR data on Sick absences**  
  - **Standing Item**  
  - Twice yearly  
  - HR Manager
- **L&D Update**  
  - **Standing Item**  
  - Twice yearly  
  - HR Manager
- **Performance Management participation updates**  
  - **Standing Item**  
  - Twice yearly  
  - HR Manager

#### General
- **Ad hoc updates on developments of strategic interest**  
  - **Ad hoc item**  
  - Occasional  
  - Senior Responsible Officer

### 3.8 Secretarial Support
The MB has appointed a Secretary to assist the Chair and members with preparing the agendas and monitoring and scheduling of standing items, circulating papers, keeping accurate minutes of proceedings, publishing agreed information on the staff intranet (OPRA) and tracking and updating Action Items. The Secretary also monitors the compliance of the MB with its Terms of Reference and advises the Chair of any issues arising.

### 3.9 Relationship with the Chairman and Members of the Authority
The MB, through the CEO, reports formally to the Chairman and the members of the Authority on an ongoing basis and, in particular, at each meeting of the Authority. The CEO’s Report to the Authority consists of the following standing items:

- Financial Situation;
- Workflow Situation;
- Information and Communications Technology;
- HR Updates;
- Legislative Developments;
- Other Developments.

Other members report periodically to the Authority on areas under their responsibility, as required.
3.10 Relationship with our Parent Department

A formal SLA (known as the Oversight and Performance Delivery Agreement) is in place between the PRA and its parent Department (see para 2.3.1). The MB undertakes to return timely, relevant and appropriately detailed performance information to allow for monitoring of this agreement. This may include performance information for inclusion in the Revised Estimates for Public Services volume, in line with the indicators and timeframe agreed with the Department.

In addition to the provision of agreed performance information, the MB will also arrange to provide briefing material and views on relevant strategic issues and initiatives identified by the Department. Similarly, the views and input of the Department will be sought by the Management Board of the PRA, where appropriate. This exchange of information and views is supported by the creation and nurturing of effective relationships and points of contact between the PRA and the Department.

The MB is also committed to the provision of timely and quality responses to the range of structured information requests that are submitted through the Department. This includes parliamentary questions and representations from members of the Oireachtas.

3.11 Internal Ad Hoc Working Groups and Management Committees

Committees may be established in an oversight capacity or to examine key strategic issues facing the PRA and make their findings known to the MB. Such Committees shall consist of selected member(s) of the MB, together with other officers of the PRA as considered appropriate.

Each such committee must have clear terms of reference, including the scope of any decision making and reporting requirements to the Board. There are six MB Standing Committees with an oversight role in existence at end May 2019 as follows:

1. ICT Steering Committee;
2. Learning and Development Oversight Committee;
3. Budgetary Committee;
4. Publications Committee;
6. eRegistration Project Board

There are twelve additional informal organisation committees/forums at end May 2019 as follows:

External Stakeholder Forum

1. Customer Focus Group;
2. Registry of Deeds Archives Digitisation Strategic Steering Group
Internal Forums

3. Casework Managers’ Forum;
4. Legal Services - Assistant Principal Forum;
5. Legal Services - Examiners of Titles Forum;
6. Support Function Managers’ Forum;
7. Mapping Managers’ Forum;
8. Heads of Function Forum;
9. Counter Fraud Forum;

Staff Engagement Forums

10. Working Together Forum;
11. Diversity and Inclusion Committee;

It is the role of the MB to ensure that each committee has clear Terms of Reference which identify and set out the purpose, structure, formal reporting lines and reporting frequency. Terms of Reference and accountability/reporting structures of all standing committees and ad hoc groups are outlined in Appendix 5.

3.12 Project Management

Project teams are established in the PRA, as required. The Head of Quality and Compliance monitors organisational adherence to appropriate project management structures, principles, discipline and best practice, in particular in relation to major change entailing management of risks and stakeholder consultation. They also oversee delivery of projects and action plans and report to the Management Board and Authority, as required.

3.13 Governance across Organisational Boundaries

On occasion, staff of the PRA may participate in external committees or working groups that facilitate formulation of wider policy perspectives and strategies. Examples of such cross organisational or whole of government projects relate to issues including electronic signatures, eConveyancing, merger, data protection, fraud, HR, data sharing and governance etc. Although the operation of such work may come within the remit of individual ministers, the requirement for adherence to interdependent, collegiate and integrated approaches is acknowledged.

3.14 MB Performance and Evaluation

A mechanism for annual performance evaluation of the MB is in use and all MB members are expected to be open to self-reflection and constructive feedback on their individual performance. Such self-reflective evaluation is carried out by individual completion of a relevant questionnaire by all MB members to assess compliance with governance requirements and the general performance and effectiveness of the Board. The HR Manager collates
the responses and leads discussion on the key issues arising from the responses. The main focus is on areas which require improvement and corrective action.

In evaluating overall Management Board performance, priority will be given to the following issues incorporating both internal and external perspectives:

- PRA strategies and risk assessments;
- Compliance with Governance standards;
- Outcomes of previous MB evaluations;
- Effectiveness of Terms of Reference;
- Enhancing MB processes, quality of participation and discussion, group engagement, dynamics and relationships;
- Potential MB development needs and improving individual and team effectiveness;
- Highlighting best practice, as it relates to Management Boards;
- Views of stakeholders in the PRA’s authorising environment, including the Authority and parent Department, on corporate governance performance;
- Views expressed in Staff surveys;
- Current and emerging factors in the external environment.

A sample questionnaire is provided in Appendix 6. This draws, inter alia, on certain recommendations of the Wright Report\(^\text{31}\) and the Toland Report\(^\text{32}\) on organisation structures and embedding clear lines of ownership of issues, responsibility and accountability. It has been devised in-house in the PRA and tailored, as appropriate for a civil service executive Management Board setting, from the Audit Committee Institute checklist for assessment of non-executive boards generally\(^\text{33}\). To make the process most effective the MB may opt to adapt any such questionnaire on a regular basis, as required. On completion of the evaluation of the MB, an Action Plan to implement new processes or procedures is then put in place.

### 3.15 Leadership and Organisational Capacity

According to the OECD, effective leadership is a critical component of good public governance\(^\text{34}\). In a recent study on leadership in the civil service, the lowest scoring for all senior managers related to human capital development\(^\text{35}\). Part of the overarching purpose of the MB is to ensure the organisation has the capacity to fulfil its role by developing its own capability and that of the entire workforce. A focus on staff development, therefore,

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\(^\text{33}\) Audit Committee Institute


can be seen as a leadership strength which ensures that the right talent is in place for succession planning purposes and to achieve the longer term strategic objectives of the organisation.

3.15.1 Leadership

Each individual member of the Management Board has a specific responsibility to show leadership, to contribute to the management of the Authority as a whole and to actively support colleagues in meeting their objectives. The Management Board must therefore set the tone for effective governance from the top, while showing example to staff of good governance behaviours and demonstrating a commitment to achieving Government objectives through an accountable process (see also para 3.5). Leadership, of course, is an activity pertaining to the entire workforce, all of whom share the responsibility of ensuring that civil service reform and renewal, and the actions to achieve it are implemented.

3.15.2 Organisational Capacity

The MB ensures that there are plans in place to achieve the goals established in the Statement of Strategy. To that end, there are a number of key operational strategies in place including a Workforce Action Plan (PRA 5th Iteration in 2018), HR Strategy 2019-2021, and Staff Mobility Policy. These strategies support the development of new skills and behaviours, continuous personal and professional development and ensure that staff can access the appropriate mix of learning and development opportunities, which include sponsored, pre-funded and refunded organisation-relevant educational courses.

Workforce planning is based on the premise that an organisation operates most effectively when the right people with the right knowledge, skills and competencies are deployed appropriately. It promotes effective succession planning and talent management. Strategic Workforce Planning in the PRA is the primary responsibility of the HR Manager. In carrying out this role, the HR Manager works closely with the other members of the Management Board and Divisional Managers.

The development of agile and robust public service organisations and of public servants’ skills, capacity and effectiveness is a major goal under the framework of Our Public Services 2020. A key pillar under the People Strategy for the Civil Service 2017-2020 is to build, support and value managers as people developers. Furthermore, under Action 17 thereof, support is to be given to the strengthening of professional expertise within corporate functions including HR, ICT and Financial Management. As part of its strategic workforce planning, the PRA has taken on board the underlying imperatives, and is working towards shared achievement of the key objectives, of the public service reform agenda.

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Chapter 4. Governance of Data, Quality Management and Counter Fraud Framework

4.1 Introduction

The Civil Service Governance Standard of 2016 published by DPER envisaged that the key areas of governance would be further developed over time as the Government agendas and needs of departments and their stakeholders evolved. In this context legislation is a significant driver of governance innovations and of the range of organisational administrative and internal controls now in place, many are of recent provenance due to such legislative change and evolving governance imperatives. The PRA endeavours to ensure that it has effective compliance arrangements, appropriate to its mandate, in relation to all existing and any emergent governance requirements. Therefore, the focus of this new chapter is on outlining such arrangements, and their interaction within the PRA, under the following main headings:

I. Governance of Data;
II. Quality Management;
III. Counter Fraud Framework.

4.2 Governance of Data

Since the publication of the PRA’s first Governance Framework in 2016, governance of data has emerged as a new and increasingly significant imperative for all organisations, both in the private and public spheres. Indeed, in 2018 and 2019, the categories of data fraud or theft and cyberattacks appeared for the first time in the top 5 global risks in terms of likelihood published by the World Economic Forum. Separate from governance of IT, governance of data relates to the execution and enforcement of authority over data and data–related assets. It may be defined

as the overall management of the availability, usability, integrity and security of data used in an organisation. In practice it concerns the exercise of decision making and authority for data–related matters and entails *inter alia* appropriate protocols and guidelines to enhance overall accountability supported by organisation appropriate management of data assets.

The PRA recognises that the benefits of effective governance of data can include –

- retaining essential trust of all key stakeholders;
- providing evidence of compliance with legal and regulatory compliance;
- enabling appropriate avenues to data share and innovate;
- ensuring appropriate use of data assets;
- developing clarity and transparency in terms of responsibility and accountability;
- minimising potential of adverse or unintended consequences.

### 4.2.1 Pillars of Data Governance

To fully understand all the dimensions involved in governance of data, a matrix encompassing four discrete pillars can inform and set parameters for senior management consideration of this topic. A typical matrix is shown in figure 4.

![Figure 3 – Four Pillars of Data Governance](image)

The first pillar *Master data management* pertains to the overall management of the totality of records and data both born digital and paper based in an organisation. The second pillar *Data quality*, in terms of this organisation, is all-encompassing and includes the full spectrum of issues from online data security and physical safety of records/archives to the fundamental principle of ensuring integrity of the land register. In the context of the PRA the third pillar *data stewardship*, on the one hand relates *inter alia* to our duty in the public interest to protect, conserve and make accessible our historical archives. In addition, the PRA is also the custodian of publicly valuable ownership data sets. In this sense it is becoming increasingly important to maintain a balance between leveraging opportunities arising from such data holdings and protecting and securing personal and sensitive data. The fourth pillar *new use cases* can be said to relate to the initial and continuing release by the PRA of data to third parties and decision making procedures and criteria in this regard.
4.2.2 Public v Open Register

The PRA operates and controls a public register having specific public search rights pursuant to its own governing legislation. It is, therefore, a statutory register with a degree of public access and not a fully open register. The PRA’s primary purpose is to safeguard legal title to land. Therefore, it must be borne in mind that public access to our data, however limited, can allow other secondary uses which may, or may not be in the public interest including, for example, potential facilitation of identity crime. It can also enable uses that are legitimate, but unrelated to the raison d’etre of the register. Digital public registers can also be accessed for unauthorised purposes including aggressive data mining or profiling for commercial purposes. There is an inherent risk in maintaining any public register which arises from difficulty in prevention of unethical use by private commercial sector interests. In this regard, the global data landscape is constantly changing and evolving which results in the ongoing emergence and proliferation of new and unanticipated threats. The PRA will continue to stay abreast and remain fully cognisant of external threats and vigilant in overseeing the security and integrity of its data. In this context the terms and conditions of the PRA Landdirect.ie service were updated in May 2019.

4.2.3 ICT Governance and Data Security

The core business of the PRA is the maintenance and dissemination of information relating to the registration of property and deeds in Ireland. The PRA is a unique source for much of the information that it holds and its customer base, drawn mainly from the legal, law searching and financial services professions and public authorities is very heavily dependent on the availability, reliability and integrity of such information. The land register itself, including the spatial component, exists only in electronic format which means ICT governance and security are of critical importance.

ICT governance is informed by the ICT strategy documents, Arrangements for Digital and ICT-related Expenditure in the Civil and Public Service issued by the Department of Public Expenditure and Reform and various ICT usage policy documents, many of which must be signed by all staff. The alignment of ICT projects and operations to business requirements is the responsibility of the PRA’s Chief Information Officer who is also a member of the Management Board, with oversight provided by the ICT Steering Committee.

In order to meet the expectations of its customers, and to fulfil its legal and statutory obligations the PRA has a well-developed information security policy and access control regime in place which accords with best industry practice and which provides appropriate safeguards. Network and system security is not, of course, a static exercise. It is by its nature a ‘work in progress’ and it is, therefore, essential that the security policies, measures, activities, services and products are kept constantly under review as new threats come to light.

In recognition of this evolving landscape, the information security policy is underpinned by the following mechanisms:

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40 DPER Circular 02/16 Arrangements for Digital and ICT-related Expenditure in the Civil and Public Service
Use of 'best-of-breed' security procedures and security technology;

Deployment of technical staff, to a dedicated ICT security section within the ICT Unit; trained to the required level reporting to an Information Security Manager who, in turn; reports to the ICT Manager on security matters. External expertise is also engaged, where appropriate;

An ongoing programme of training and development for technical staff on security and related issues, relevant to the PRA’s technical and infrastructural environment;

An ongoing programme of information and awareness for the staff of the PRA;

A comprehensive electronic data backup policy and regime;

A quadruple protection regime for the Register comprising:

- Inbuilt redundancy in the hardware platform on which it is hosted
- Daily backups;
- Replication of all data/changes to the Register in real time to mirrored hardware in the Disaster Recovery site in the Waterford office; and
- Maintenance of a standby Register in the Waterford office through Oracle Data Guard.

4.2.4 ‘New Use’ Cases

The personal data contained in the register is collected for explicit legitimate purposes and must not be further processed in a way that is incompatible with those purposes. Balancing the requirements of data privacy on the one hand and transparency and freedom of information requires carefully considered internal governance mechanisms and controls. All requests for bulk data will be assessed on a case by case basis. In considering new use cases for PRA data sets including applications for bulk downloads or data extracts, spatial or textual, or other novel or unusual requests for release of PRA data, the following criteria will be taken into consideration in decision making:

- the function of the register,
- our mission to safeguard property rights and transactions,
- maintaining the integrity of the register,
- the purpose for which the request is being made,
- whether the purpose is for primary uses falling within the purposes of the register itself or for secondary uses by parties with a legitimate public interest, albeit not anticipated by or derived from the purposes of the register,
- the risks to the lawful interests of the data subject,
- the reasonable expectations of registered owners
- historical sensitivity attaching to ownership of land in Ireland (as advised by Data Protection Commission)
the fact that the PRA will have no further role in controlling the use of the data, if it were to leave its holding in bulk data,

- long term repercussions of releasing data,
- public interest factors, \(^{42}\)
- public policy considerations,
- personal data privacy and the risk of encroachment of any individual’s data protection rights
- reasonable expectations of Registered Owners in relation to how their personal data is processed,
- freedom of information considerations,
- Public Sector Duty obligations,
- all relevant and interacting legislative enactments including the Data Sharing and Governance Act 2019
- advices obtained from the Data Protection Commission.

This chapter will now look at some of these issues in further detail. Provisions which would seek to expand access to information will be considered first, followed by data privacy requirements.

### 4.2.5 Data Sharing and Governance Act, 2019

The Data Sharing and Governance Act 2019 \(^{43}\) creates a framework to support public sector bodies in sharing information including personal data for legitimate and clearly specified purposes which is compliant with data protection legislation. Data sharing carried out under the act will be subject to data sharing agreements. A schedule to the act specifically excludes data sharing with listed commercial public sector bodies and their subsidiaries. Exclusions to data sharing include investigation of offences, Criminal Assets Bureau functions and protecting the security of the State. A Data Governance Board is to be established under this act to formalise a long-term governance structure for the public service.

The act provides for the designation by the Minister of a database as a base registry to act as an authoritative source in respect of information that is frequently used by public bodies in the performance of their functions. It is not, however, anticipated that the PRA land register is capable of such designation. Neither is it envisaged that the PRA will share data other than purely title data.

### 4.2.6 Open Data

It is Government policy to encourage the release of all *appropriate* high value government data as Open Data by default.\(^ {44}\) The concept of open data relates to making data held by public bodies available and easily accessible online for reuse and redistribution and is aligned to the Re-use of Public Service Information (PSI) Directive and Regulations. However, data protection legislation applies to the publication of such data sets. Personal data should, therefore, be effectively anonymised and/aggregated in an irreversible manner which does not allow an individual to be re-identified, singled-out or inferred. There is also a right to the protection of confidential

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\(^{42}\) These can include inter alia transparency, commerce and free flow of information, openness and freedom of information on the one hand and on the other hand data privacy, accountability and trust in government, public safety and security and identity crime.


\(^{44}\) Open Data Strategy 2017-2022
commercial data which should likewise be protected. Four stakeholder groupings, who derive benefit from publication of open datasets for re-use, have been identified in relation to publication:

- Public Bodies;
- Businesses;
- Researchers;
- Citizens and Civil Society.

The PRA satisfies the **Open Data** initiative in two ways, namely,

1. The PRA INSPIRE freehold and leasehold boundary data is available to view and download via GeoPortal.ie, which is hosted by Ordnance Survey Ireland. The PRA makes these datasets available twice yearly, January and July. The datasets are structured in such a way that the Folio number cannot be derived, however, a unique identifier is assigned to each freehold and leasehold land parcel/plan which is searchable on the PRA portal [www.landdirect.ie](http://www.landdirect.ie) in order to facilitate a link to the Folio.

2. The PRA has developed a version of [www.landdirect.ie](http://www.landdirect.ie) to meet the needs of the citizen. There are many functions available therein which are free of charge.

### 4.2.7 Freedom of Information Requests

The Freedom of Information Act 2014 (FOI) seeks to enable members of the public to obtain access to information in the possession of public bodies to the greatest extent possible, consistent with the public interest and the right to privacy. Under FOI, the PRA may refuse to grant a request for a record that is publicly available for inspection or a copy of which is available either for a fee or free of charge e.g. copy folios/ maps of the Register. In addition, the PRA shall refuse to grant an FOI request where non-disclosure is authorised by any enactment in certain circumstances e.g. access to instruments (documents relating to completed dealings) completed under Rule 159 of Land Registry Rules [Section 41(1) (b) of the 2014 Act]. All other PRA records are open to requests under the Act. The PRA is compliant with Section 8 of the Act and has made its FOI Publication Scheme readily accessible and prominently published in the FOI section of its website.

### 4.2.8 Data Privacy

The General Data Protection Regulation (GDPR) came into force as of the 25th May 2018, replacing the existing data protection framework under the previous EU Directive. Section 60 of the Data Protection Act 2018, implementing the provisions of the GDPR, deals with restrictions on the obligations of data controllers and the rights of data subjects. This section includes reference to the keeping of public registers for reasons of general public interest, whether such registers are accessible to the public on a general or restricted basis. The PRA’s Land Register contains personal data and is accessible to the public through its portal Landdirect.ie. Any person may view ownership details and also obtain a copy folio/map on payment of the appropriate fee. In addition, the PRA is obliged by statute to put the public on notice that a dealing (i.e. an application for registration) is pending on a folio. Therefore, this information is available to view on Landdirect.ie. However, the deeds, documents and

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45 The INSPIRE directive is described in chapter 1
correspondence lodged in pending applications (dealings) are not publicly accessible records and are therefore subject to the Data Protection legislation.

Rule 159 of the Land Registry Rules defines the categories of persons who are entitled to inspect specific types of instruments (documents related to completed dealings) and also apply for copies. Staff may apply for such instruments for official purposes only.

Aside from the Land Register and registration documentation, and in common with all public sector organisations, the PRA also holds personal data within many of its administrative records, including for example general correspondence with its service users and employee information.

There are 7 principles underlying the GDPR rules which must be borne in mind by the PRA as data controller/processor:

1. **Lawfulness, Fairness and transparency**: Obtain and process personal data information lawfully, fairly and transparently.
2. **Purpose Limitation**: Personal data must be collected for specified, explicit and legitimate purposes and not processed in ways incompatible with these purposes.
3. **Ensure personal data is adequate, relevant and limited.**
4. **Keep personal data accurate and up to date.**
5. **Storage Limitation**: Keep personal data in a form for no longer than necessary.
6. **Integrity and confidentiality**: Keep personal data safe and secure including protection against unauthorised access
7. **Accountability**: The data controller shall be responsible for, and be able to demonstrate compliance with the above principles

The PRA has designated its Head of Quality and Compliance in the role of Data Protection Officer and has also established a Data Protection Unit to review the processing of personal data within the organisation. An action plan to ensure data protection compliance was developed. A new data protection and breach management policy has been put in place and numerous office notices updated to comply with the new regulation. One key step was the creation of the Data Protection Network, comprising representatives from across the organisation, who identified all PRA processes involving the personal data of staff and customers. This information was used by the PRA in compiling the Record of Processing Activities (RoPA). Ongoing information and awareness raising includes the following activities:

- presentations and workshops for all staff on data protection and prevention of data breaches;
- promotion of Data Protection Impact Assessments (DPIAs) for existing and new procedures in the PRA;
communication of revised practice directions and office notices;

- briefing of key stakeholders on data protection issues, where appropriate;

- data protection information posters for internal use;

- notifications and updates in monthly PRA staff bulletins.

The PRA acknowledges the risks inherent in its custodianship role of personal data, through its Corporate and Divisional Risk Registers. It is also cognisant of the typology of breaches possible and mitigates against their occurrence and impact. A **confidentiality** breach can occur where there is an unauthorised or accidental disclosure of, or access to, personal data. An **availability** breach can occur where there is an accidental or unauthorised loss of access to, or destruction of, personal data. A third category, an **integrity** breach can occur where there is an unauthorised or accidental alteration of personal data.

Various safeguards are in place to guard against cyber-attacks and/or physical destruction of the data held. The PRA also endeavours to ensure full compliance with data protection legislation through its internal policies and procedures and by appropriate training, supervision, quality and process assurance, regular review and audit. Furthermore, an enhanced awareness of the importance of taking into consideration the potential impacts on a data subject when their personal data is breached is being inculcated throughout the entire workforce.

### 4.2.9 Records Management

The Freedom of Information and National Archives Acts vest authority with regard to records management in the Department of Public Expenditure and Reform. The National Archives has an oversight and guiding role and is mandated to preserve the records of Government Departments and agencies. The Public Service Records Management Plan, approved by Government in 2017, is being implemented by the National Archives in partnership with the Office of the Government Information Officer (OGCIO). One of its main aims, in the longer term, is to develop capacity and capability within the public service with regard to records management and, increasingly, electronic records management.

The PRA recognises that best practice in records management is required in order to ensure organisational compliance with legislative, regulatory and audit requirements, and public expectations. The PRA has four main streams of records:

1. The Land Register, including the spatial component, held in electronic format and the legal records pertaining to the Registry of Deeds held in either paper or electronic format.

2. Legal documents (instruments) directly related to its core registration function (Land Registry, Ground Rents);

3. Correspondence associated with ancillary registration services, including applications for copy documents;
4. Records related to support functions of the PRA including letters, email and administrative material concerning Oireachtas oversight, Authority matters, Freedom of Information requests, data requests, customer complaints, HR issues, financial, contractual and procurement issues etc.

In terms of the management of records associated with the third and fourth streams above (effectively, all records outside of the formal registration process), the current system was created in-house in 1997 in preparation for the implementation of the Freedom of Information Act 1998. Under the current system, staff are required to “print-to-file” important records. This system is now under review to ensure that the PRA has an effective system for creating, identifying, classifying, storing, retrieving and disposing of such records and fully complying with legal obligations under the National Archives Act 1986.

As well as such legal obligations, an effective records management system is required to support business processes and to facilitate business continuity. It is also important in the context of accountability, transparency and in meeting the enhanced levels of compliance, structure and practice required under the General Data Protection Regulation. In reviewing its records management, the PRA will take best practice into account in that regardless of form or structure, records should possess the characteristics of authenticity, reliability, integrity and usability in order to fully meet business requirements. It is intended that any new Electronic Records Management System will allow for secure and efficient creation, distribution, use, maintenance, retention and disposition of records which embody these characteristics. It should also properly align all registration and non-registration records, as well as integrating all records regardless of whether in hard-copy or electronic format.

The PRA is committed to ensuring that it has a fit-for-purpose records management system. To this end, it has taken the following measures:

- Engagement and meetings with National Archives to discuss adherence to the legislation and retention schedules / policies;
- Further roll out of MS Sharepoint to divisions in the PRA, to facilitate improved management and filing of documents and enhanced knowledge management generally.

The records management capacity and capability in the PRA has been enhanced by the recruitment of a specialist Records Manager. Emphasis is now being placed on the enhancement of records management procedures and also ensuring that every individual staff member recognises the significance of adhering to records management policies, guidelines, procedures and standards. This will be achieved through appropriate training and awareness sessions.

4.2.10 Archives Management

The PRA is fully cognisant of its custodian role in relation to the globally significant archive held in the Registry of Deeds. This repository is of immense historical, cultural and genealogical importance to the State, particularly in view of the destruction of the Public Records Office and loss of historic documentation during the bombardment of the Four Courts in 1922. It is imperative that Registry of Deeds archival material continues to be protected and preserved to the highest professional archival standards. As part of its accountability to society, the PRA is also committed to ensuring that the information contained in these records, dating back to 1708, ultimately will be made more accessible, and preferably online. To this end a dedicated, professionally qualified Archives Manager has been appointed to develop policies and procedures to ensure the continued physical conservation and preservation of this unique repository and bring forward proposals for its promotion as a positive influence on shaping collective historical memory and national identity and on the potential for publication online of suitable information content and development of online services.

4.3 Quality Management

4.3.1 State Guarantee of Title

The core business of the PRA involves examining legal documents and related maps submitted as applications for registration, interpreting the legal effect of such documents and recording their legal impact on the registers and maps. Since the Irish land register is a publicly accessible record, any person may inspect the folios and maps, on payment of the prescribed fees.

The title shown on the folio is guaranteed by the State. Compensation provisions may therefore apply where a person suffers loss as result of an error, fraud or forgery arising from an entry or omission in the register or map [Section 120 of the 1964 Act].

4.3.2 Integrity of the Register

One of the key strategic goals of the PRA is to maintain the integrity and reliability of the register. To this end there is in place a range of measures to safeguard the register and its maps. These include *inter alia* the obligation on case workers to adhere strictly to Practice Directions and Office Notices, the requirement on managers to ensure that staff are aware of correct practice, a comprehensive learning and development regime, a clearly defined rejection and query policy, a Process Assurance Group, in-line Quality controls and Quality Review Units. Collectively, these arrangements, which are reviewed on an ongoing basis, represent the key internal controls governing casework operations.

4.3.3 Quality Management Framework

A Quality Management Review Group was established in 2018 and external consultants were engaged to review the PRA’s management of quality and to make recommendations for its improvement. This report has informed the development of an action plan agreed by the Management Board. An important aspect of this process is the
establishment of an overall Quality Management Framework in terms of the structures for oversight, reporting, monitoring and implementation of appropriate quality practices and procedures to facilitate quality improvement in the organisation. Consideration will also be given to the appointment of a dedicated Quality Manager.

4.4 Counter Fraud Framework

Security of title is the cornerstone of the services which the PRA provides and the PRA is committed to protecting the integrity of the registers and optimising the funding to be returned to the Exchequer by minimising its exposure to, and losses from, fraud, whilst also protecting property owners from any potential losses. The PRA has always been aware of the possibility of property fraud and as such has been working internally and with other Land Registry organisations to monitor developments and develop safeguards. However, it is accepted that it is likely that the PRA is now more exposed to fraud than in the past.

Property is usually the most valuable asset people own. It can be sold and mortgaged to raise money and can therefore be an attractive target for fraudsters. Evidence from similar jurisdictions indicates that property fraud, though generally beginning with small-scale attempts at fraud, has the potential to quickly evolve into wide-scale sophisticated attempts at property fraud that involve identity theft. Those seeking to carry out fraud may seek to impersonate another person in a conveyancing transaction, including registered/unregistered owners, buyers, sellers, borrowers, lenders or conveyancers. While the likelihood of being a victim of property fraud is still low, the impact can be huge.

The PRA recognises it has a responsibility to respond to this risk by embedding effective standards for countering fraud and has implemented a Counter Fraud Framework. At the core of this framework, is the PRA’s desire to safeguard property rights of registered owners and protect public funds as well as its assets, such as valuable datasets, with which it has been entrusted.

The Counter Fraud Framework has been developed to ensure the PRA has an appropriate set of policies and procedures in place to ensure the risk of fraud is mitigated through effective best practice, prevention, detection, and response and deterrent measures. It comprises a wide range of interrelated policies and procedures including codes of standards and behaviours, protected disclosures arrangements and disciplinary procedures. It also incorporates policies and procedures that are specifically targeted at countering fraud. The Framework clarifies roles and responsibilities of all staff in fraud risk management and ensures that a clear path exists through which issues of concern can be raised, whether fraud is suspected or known to have occurred. It provides assurance to staff that they will be protected from any negative personal consequences arising from the reporting, in good faith, of any fraud or suspected fraud.

The key elements of the framework are:

- Counter Fraud Strategy;
The way the PRA is seen to prevent, detect and respond to fraud has the potential to deter prospective fraudsters. The PRA intends to send a strong signal externally that it is proactively taking steps to prevent and detect fraud against the registers with the introduction of a Property Alert Service. At a basic level, this service will notify users, who are signed up, of certain activity on a property they request to be monitored. Subscribers can subsequently judge whether or not the activity is unexpected or suspicious and seek further advice, for example, from a solicitor.

While no system or strategy can eradicate fraud completely, the overall aim is to reduce exposure to risk of property fraud on the Land Register, which carries a State guarantee, while at the same time protecting the interests of our customers. Timely notifications about activity on a property could potentially provide customers with sufficient information to identify attempted fraud, enabling them to take swift action. In cases where, for whatever reason, it may be too late to prevent the fraud from occurring, the provision of an early detection mechanism should help increase the chances of successful criminal proceedings.

4.5 Protected Disclosures

The Protected Disclosures Act 2014, which commenced on the 15th July 2014, provides for the protection of persons from the taking of action against them, in respect of the making of certain disclosures, in the public interest and for connected purposes. Put simply, a protected disclosure is a disclosure of information in one of the manners prescribed by the Act by a worker that, in their reasonable belief shows or tends to show one or more relevant wrongdoings (which came of the attention of the worker in connection with their employment). In accordance with Section 21 (1) of this Act, the PRA has its own policy in place with regard to the making of protected disclosures by staff who are, or were employed by it, and for dealing with such disclosures. This policy was last reviewed and updated in 2018.

The PRA recognises the importance of developing an ethical workplace and the valuable contribution of those who raise concerns about wrongdoing. The PRA has joined the Integrity at Work (IAW) programme, an initiative designed by Transparency International Ireland and has signed the IAW pledge to support staff to raise concerns of wrongdoing and to respond to those concerns. In this regard the PRA is committed to ensuring that all staff are informed and trained appropriately and are supported to do the right thing at all times.
Chapter 5. Risk Management, Compliance, Audit and Assurance

5.1 Risk Management

Risk may be defined as the possibility of the Authority failing to achieve its objectives, as set out in its Statement of Strategy, due to any internal or external event. The PRA implements a Risk Management policy in line with guidance provided by the Department of Public Expenditure and Reform (DPER). In addition, the Code of Practice for the Governance of State Bodies 2016 requires an external review of the effectiveness of the risk management framework on a periodic basis. On both counts the PRA is fully compliant with all governance obligations.

5.1.1 Risk Management Programme

Risk management is a process of clearly defined steps which support better decision-making by contributing a greater insight into risks and their impacts. An effective risk management system therefore:

1. Identifies risk;
2. Decides on appropriate responses;
3. Provides assurance that the responses chosen are effective.

The key elements of the risk management programme within the Authority are:

- Identification and assessment of the risks at strategic and operational levels;
- An evaluation of the likelihood of the risk occurring;

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- Ensuring that comprehensive controls are in place to prevent, detect and recover from any incidents;
- Monitoring and reporting to the Management Board in terms of the divisional risk registers and to the Authority in respect of the overall corporate risk register;
- Putting in place an effective communication, learning and awareness campaign to ensure that risk management is embedded in PRA employees’ everyday responsibilities.

5.1.2 Internal Audit Report March 2018

An Internal Audit Report by Mazars on the PRA Risk Management Framework was completed in March 2018, the results of which indicated that reasonable assurance can be placed on the adequacy of the risk management arrangements in place to support the PRA’s annual statement on the system of Internal controls in relation to risk management processes. The opportunities for improvement identified were of low priority and all are being progressed with consideration of desired maturity levels of the PRA risk framework.

This audit report outlined the essential risk management requirements as follows:

‘An adequate and robust Risk Management Framework is essential to ensure that any risks that may impact on the PRA achieving its objectives are identified and effectively managed to an appropriate level in line with the PRA’s Risk appetite’

In this context, risk management maturity levels can be considered along a continuum from a risk function which can be categorised as ad hoc or immature to one which is mature, disciplined, and focused on continuous improvement. This model allows external reviewers to rate the maturity level of an organisation as initial, repeatable, managed or optimising. The Management Board of the PRA has set its own desired future state for risk management and endeavours to pro-actively enhance risk management arrangements over time to achieve a target maturity level of ‘managed’, which it considers as organisationally appropriate in line with its defined overall risk appetite.

5.1.3 Risk Register

The PRA maintains its own centralised records about its corporate risks in a risk database or register which is compiled by the Financial Controller, agreed by the Management Board and approved by the Authority. This register is the primary tool for risk tracking, containing the overall system of risks and the status of any risk mitigation actions.

The details contained in the risk register pertaining to each individual risk include:

1. A description of the risk;
2. Business area responsible for managing the risk;
3. The relevant strategy impacted;
4. The likelihood of the risk occurring;
5. The impact of the risk;
6. The control effectiveness;
7. The overall risk rating;
8. The consequences of the risk;
9. Measures to address the risk;
10. Additional action necessary;
11. The Owner of the risk.

5.1.4 Review of Risk Management Practices

In accordance with DPER Guidelines and in the context of the Internal Audit Plan, the PRA’s Risk Management processes are reviewed and assessed against best practice on an ongoing basis. At time of writing, the PRA risk Policy is under review and when revised during 2019 will address short, medium term and long term objectives, and a process will be set in place to review it annually on a formal basis. Roles and responsibilities will be fully described, with a particular emphasis on coordinating risk processes. Documentation supporting the risk management framework is being reviewed and aligned. The content of the risk register is continuously enhanced, in the established process of quarterly review by the Management Board initially and approval by the Authority.

In 2018 following internal audit recommendations Divisional Risk Registers were revised and completed for all functions both support and casework in the PRA. Compilation of these divisional risk registers is now fully embedded in the annual business plan templates and forms part of an ongoing process to enhance the awareness of risk management across the organisation. Formal risk management training was also provided for certain managers.

These localised risk registers are now aligned with the overall corporate risk register and also include similar shared corporate risk items such as cyber security, data breaches and fraud, together with other operational risks such as quality of casework, responsiveness and outputs.

Risk appetite statements aligned with a revised organisational risk appetite will be developed in respect of casework divisions and support function areas during 2019. In particular, there will be a focus on risk appetite in relation to completion of First Registration arrears of casework requiring examination of title.

5.2 Compliance Framework

5.2.1 Purpose

As advised in the Corporate Governance Standard for the Civil Service, the PRA is developing a Compliance Framework as a component of this revised Governance Framework. A Compliance Framework has a significant role to play in:
- Underpinning the effective implementation of the governance principles set out in an overall Governance Framework;
- Providing satisfactory evidence of such compliance,
- Managing risk;
- Providing appropriate assurances as sought by the Accounting Officer /Chief Executive;
- Embedding a compliance culture.

The provision of such assurances to the Accounting Officer that the PRA is compliant with its statutory and governance obligations, including oversight by the Oireachtas, is an important activity that demonstrates the accountability of the PRA and underpins the legitimacy of its activities.

The new PRA Compliance Framework provides an overview of each compliance assurance activity in the organisation and identifies who within the PRA is responsible for each activity. It exists as a separate framework to focus on and provide greater detail of the subset of governance standards where compliance is required either by statute, on foot of Government decisions, or as a result of significant administrative or external commitments.

The PRA Compliance Framework is a significant element in the overall management of risk. It provides evidence that the organisation has the requisite systems and procedures in place to fully meet each of its compliance obligations and having regard to the Risk Management Guidance from DPER. Furthermore, it will assist PRA staff to identify and address any issues that have the potential to result in any degree of failure, however minor, in those systems and procedures. Any such risks identified can then be mitigated locally, or if appropriate, placed on the relevant divisional or corporate risk register. This will ensure that all real risks are assessed, as to their likelihood and impact, and that the requisite controls and all mitigating actions are formally put in place.

The Head of Quality and Compliance has been assigned responsibility for assessing compliance for all functional areas in the PRA on an annual basis.

### 5.2.2 Key Compliance Requirements

The work to document the PRA compliance Framework initially involved identifying the key compliance requirements arising for the organisation and categorising these as falling under the following headings:

- a) Statutory
- b) Government Decisions
- c) Administrative & Policy initiatives

To this end Appendix 4 comprises a full list of relevant legislation, policy documents and internal PRA documents. This includes the following categories of legislation:
• Primary legislation, including parent act\(^{48}\) and relevant sectoral legislation
• Secondary Legislation, including statutory instruments such as Land Registration Rules
• Enabling legislation such as acts transposing EU Directives into Irish law
• EU Regulations, which are directly applicable in Irish law, such as the General Data Protection Regulation (GDPR).

The Template in Table 3 is an indicative listing of certain obligations under these three headings. The Responsible Officer indicated for each of the obligations listed, is in turn required to document compliance with their detailed obligations.

<table>
<thead>
<tr>
<th>A</th>
<th>Statutory Requirements or Established Compliance Obligations</th>
<th>Responsible Officer</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Functions under the Ministers and Secretaries Acts 1924-2013</td>
<td>CEO</td>
</tr>
<tr>
<td>2</td>
<td>GDPR and data Protection Act</td>
<td>Head of Quality and compliance</td>
</tr>
<tr>
<td>3</td>
<td>Freedom of Information Act</td>
<td>Casework and Customer Service Manager</td>
</tr>
<tr>
<td>4</td>
<td>Ethics/standards in Public office obligations</td>
<td>HR Manager</td>
</tr>
<tr>
<td>5</td>
<td>National Archives Act</td>
<td>Casework and Corporate Services Manager</td>
</tr>
<tr>
<td>7</td>
<td>Official Languages Act</td>
<td>Casework and Corporate Services Manager</td>
</tr>
<tr>
<td>8</td>
<td>Employment Law and Civil Service HR legislative Provisions</td>
<td>HR Manager</td>
</tr>
<tr>
<td>9</td>
<td>Compliance with Disability legislation</td>
<td>HR Manager</td>
</tr>
<tr>
<td>10</td>
<td>Appropriation Accounts</td>
<td>Accounting Officer</td>
</tr>
<tr>
<td>11</td>
<td>Compliance with Public Financial Procedures</td>
<td>Financial Controller</td>
</tr>
<tr>
<td>13</td>
<td>Submission of Annual Report to Minister</td>
<td>Secretary to the Authority</td>
</tr>
<tr>
<td>14</td>
<td>Other functions under the Public Service Management Act</td>
<td>HR Manager</td>
</tr>
<tr>
<td>15</td>
<td>Health and Safety</td>
<td>HR Manager</td>
</tr>
<tr>
<td>17</td>
<td>Compliance with Procurement Directives</td>
<td>Financial Controller</td>
</tr>
<tr>
<td>18</td>
<td>Protected Disclosures</td>
<td>HR Manager</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>B</th>
<th>Government Decisions</th>
<th>Responsible Officer</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Appointments to the Authority</td>
<td>Secretary to the Authority</td>
</tr>
<tr>
<td>3</td>
<td>Guidelines on preparation of Strategy Statements</td>
<td>Head of Operations</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>C</th>
<th>Administrative &amp; Policy Initiative</th>
<th>Responsible Officer</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Review of Legislation in Accordance with Statutory or Government Commitments</td>
<td>DR (Legal)</td>
</tr>
<tr>
<td>2</td>
<td>Arrangements for Digital and ICT-related Expenditure in the Civil and Public Service DPER Circular 02/16</td>
<td>Chief Information Officer</td>
</tr>
<tr>
<td>3</td>
<td>Effective Planning process</td>
<td>Head of Operations</td>
</tr>
</tbody>
</table>

\(^{48}\) Registration of Deeds and Title Act 2006
For each of the sample obligations outlined above, a more detailed Compliance report has been developed for completion. These reports outline the people, systems and procedures in place to meet the PRA’s obligations. They also set out the Responsible Officer within the PRA for those systems and for providing assurance to the Chief Executive, the Management Board and Authority that the obligations have been met. An example of such report is reproduced in Figure 5.

**Figure 4 - Compliance Report Template**

<table>
<thead>
<tr>
<th>Property Registration Authority Compliance Status Report</th>
</tr>
</thead>
<tbody>
<tr>
<td>Date</td>
</tr>
<tr>
<td>Compliance with</td>
</tr>
<tr>
<td>Responsible Officer(s)</td>
</tr>
<tr>
<td>For Staff:</td>
</tr>
<tr>
<td>For Authority Members:</td>
</tr>
<tr>
<td>Compliance Obligation</td>
</tr>
<tr>
<td>Source obligation</td>
</tr>
<tr>
<td>Who is the auditor/enforcer/controller?</td>
</tr>
<tr>
<td>Process (How is assurance provided to the Chief Executive?)</td>
</tr>
<tr>
<td>Who is involved in the process?</td>
</tr>
<tr>
<td>Lead officials:</td>
</tr>
<tr>
<td>Input from:</td>
</tr>
<tr>
<td>Is the responsible Officer happy that participants in the Process are aware of compliance obligations, respond as required and have captured requirements in section level procedures?</td>
</tr>
<tr>
<td>Green</td>
</tr>
<tr>
<td>Yes</td>
</tr>
<tr>
<td>When was the last audit of these procedures?</td>
</tr>
<tr>
<td>Date:</td>
</tr>
<tr>
<td>Have all recommendations from that audit been implemented?</td>
</tr>
<tr>
<td>Yes</td>
</tr>
<tr>
<td>Brief description of any issues with compliance procedures</td>
</tr>
</tbody>
</table>

55
5.3 Financial Control Environment

The key elements of the financial control environment in operation within the Property Registration Authority are as follows:

- A system of delegation and accountability;
- Proper authority for the making of payments (e.g. Department of Public Expenditure sanction);
- Segregation of duties, particularly where the processing of transactions is involved;
- Careful selection of officers with responsibility for money, including ensuring that they have the skills commensurate with their responsibilities and that they are appropriately monitored;
- Documentary and physical controls to safeguard assets;
- Information and reporting arrangements to Management Board, Authority, Parent Department and Department of Public Expenditure and Reform;
- Documented financial policies and procedures, including ensuring that they are available throughout the Department/Office;
- Systems to ensure budgetary control;
- Systems to review and evaluate controls, including Internal Audit and Audit Committee.

5.3.1 Financial Management and Procurement Unit

The role of the Finance and Procurement Unit is to assist with the overall management of the financial and procurement affairs of the Authority. This includes:

- embedding a system of financial delegation;
- segregation of duties and accountability;
- monitoring, analysing and reporting on expenditure against agreed budgets;
- managing the receipt of fees collected on behalf of and paid over to the Exchequer on an ongoing basis;
- preparing accounts at the end of each financial year for audit by the Comptroller and Auditor General;
- ensuring that the Department’s procurement policy, procedures, practices and templates comply with EU law and National Guidelines;
- providing support and advice as and when required to staff and to ensure procurement is compliant with EU law and National Guidelines.
5.3.2 Procurement

A further key element of internal control is that of adherence with procurement guidelines. The Property Registration Authority adheres to strict procurement guidelines in all matters pertaining to the purchase of goods and services.

Different procurement procedures apply depending on what is being procured and the value of a contract. Contracts must not be artificially split in order to avoid a formal compliant procurement process. Different EU thresholds apply depending on the nature of the contract being procured. These thresholds are revised every two years by the EU Commission. Summary procedures for each procurement threshold are set out in Table 4.

<table>
<thead>
<tr>
<th>Value of contract (excl. VAT)</th>
<th>Procurement Procedure</th>
</tr>
</thead>
<tbody>
<tr>
<td>Up to €500</td>
<td>Purchase directly</td>
</tr>
<tr>
<td>Over €500 and less than €5,000</td>
<td>Issue a Request for Quotation (RFQ) to one or more suppliers (check to see if the OGP can procure directly or have an existing suitable contract/framework agreement in place)</td>
</tr>
<tr>
<td>Between €5,000 and €25,000</td>
<td>Issue a RFQ to a minimum of three suppliers (check to see if the OGP can procure directly or have an existing suitable contract/framework agreement)</td>
</tr>
<tr>
<td>Over €25,000 to EU threshold €135,000</td>
<td>In accordance with DPER Circular 10/14 issue a formal RFT on eTenders (check to see if the OGP can procure directly or have an existing suitable framework agreement).</td>
</tr>
<tr>
<td>Over EU threshold €135,000</td>
<td>Issue a formal RFT pursuant to a Notice in the Official Journal of the EU via the website: <a href="http://www.etenders.gov.ie">www.etenders.gov.ie</a></td>
</tr>
</tbody>
</table>

5.3.3 Fees

Under section 21(2) of the Registration of Deeds and Title Act 2006, fees which are set by the Minister, shall not be fixed at a level calculated to produce an amount which is less than that sufficient to discharge the salaries, remuneration and other expenses payable under and incidental to the working of the 2006 Act. Fees received in respect of Land Registry and Registry of Deeds services are remitted weekly to the Exchequer. In 2018 fees amounting to in total €67M were collected and remitted. The current Fees Orders in use date from 2012/2013.49

5.4 Assurance underpinning Statement of Internal Financial Control and related processes

5.4.1 Annual Appropriation Account

After the end of the year the Accounting Officer must prepare an account of their expenditure and receipts (any moneys received as appropriations-in-aid during the year), known as the Appropriation Account. The Accounting

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49 Land Registration (Fees) Order 2012 S.I. 380/2012
Land Registration (Fees) (Amendment) Order 2013 S.I 21/2013
Officer of the PRA is responsible for having the Appropriation Account for Vote 23, for which they are responsible, prepared and presented for audit to the Comptroller and Auditor General (the C&AG) by 1 April of the year following that to which it relates. The C&AG then audits each Appropriation Account, testing whether the receipts and expenditure recorded are supported by documentation, whether the expenditure was applied for the purposes intended by the Oireachtas and whether the transactions recorded conform with the authority for them. The C&AG then lays the Account before the Dáil, together with their certificate that it properly records the receipts and expenditure of the Department or Office concerned (if they consider that the Account does not in fact do so: they may qualify their certificate.)

As part of this process, the Accounting Officer is required to sign a Statement of Internal Financial Control (SIFC) which accompanies the Appropriation Account.

5.4.2 Statement of Internal Financial Control (SIFC)

In the role as Accounting Officer, the CEO of the Property Registration Authority must also sign, on an annual basis, the Statement of Internal Financial Control. This statement, which is a preface to the Appropriation Account, is a written acknowledgement on the part of the Accounting Officer of the role they have in ensuring that an effective system of internal financial control is in place within the Office.

The SIFC must contain confirmation that the control environment contains the following elements:

- **Financial Control Environment** - financial responsibilities have been assigned at management level with corresponding accountability;

- **Administrative Controls and Management Reporting** –a framework of administrative procedures and regular management reporting is in place, including segregation of duties and a system of delegation and accountability;

- **Internal Audit and Audit Committee** –that the PRA has an internal audit function with appropriately trained personnel, which operates in accordance with an approved written charter. Confirmation that an Audit Committee is in place to oversee the work of the Internal Audit function;

- **Risk Management Function** –the PRA has implemented a risk management system which identifies and reports key risks and the management actions being taken to address and, to the extent possible, to mitigate those risks;

- **Ongoing monitoring and review** –the PRA has formal procedures have been established for monitoring control processes and control deficiencies are communicated to those responsible for taking corrective action.

The Statement concludes with a confirmation on the part of the Accounting Officer that the PRA has procedures to monitor the effectiveness of its risk management and control procedures. Internal control weaknesses identified during the year must be disclosed.
5.4.3 Sources of Assurance underpinning the SIFC

Maintenance of the system of internal financial controls is a continuous process and the system and its effectiveness should be kept under on-going review. It is important to note that any such system of internal financial control can provide only reasonable and not absolute assurance that assets are safeguarded, transactions authorised and properly recorded, and that material errors or irregularities are either prevented or would be detected in a timely manner.

In signing the SIFC, the Accounting Officer must place reliance on available evidence. Assurance is attained from a number of sources as is set out in Figure 6. However, the key elements of assurance in the PRA context are as follows:

- Letter of assurance from Accounting Officer in the National Shared Services Office;
- Letter of assurance from Accounting Officer in Department of Justice and Equality in respect of Financial Shared Services;
- Statement of Internal Financial Control Questionnaires;
- Outcomes from the Risk Management function;
- Internal Audit findings from the relevant year;
- Audit Committee Annual Report;
- C&AG’s Management letter and reports;
- Compliance report and assurances;
- Any other matters brought to the attention of the Accounting Officer from other sources.

5.4.4 Assurances from National Shared Services Office

Payroll and Human Resources are provided to the PRA on a shared service basis by the National Shared Service Office (NSSO). The Accounting Officer of NSSO is responsible for the operation of controls within the Shared Services Centre.

The Accounting Officer for NSSO has put in place an audit process to provide independent assurance on the operation of controls within the Shared Services Centre. This assurance is a combination of internal audit work performed by the Internal Audit Unit of NSSO and audits performed by firms of accountants that are designed to report to user departments and their auditors on the controls within shared services.

The Accounting Officer for NSSO provides the PRA Accounting Officer with an annual letter of assurance outlining progress in implementing the audit assurance process and the results of the audit on the design, existence and operation of internal controls in NSSO.
5.4.5 Assurances from Financial Shared Services Centre

Financial and accounting services are provided to the PRA on a shared service basis by the Department of Justice and Equality Financial Shared Services (FSS). The following specific assurances are provided by the Accounting Officer of Department of Justice and Equality to the Accounting Officer of the PRA on an annual basis:

1. All financial transactions performed in the FSS, on direction of the PRA, are processed in line with the Public Financial Procedures.

2. The FSS endeavours to process all payments within the agreed time frame thereby reducing any prompt payments liability to the PRA. The monthly Key Performance Indicator reports under the relevant section of the Service level Agreement sets out the compliance rates.

3. Formal procedures have been established for reporting significant control failures and ensuring appropriate corrective action. Any such failures are brought to the attention of the PRA.

4. An adequate internal control environment is in place, which includes, segregation of duties, quality assurance procedures, regular internal audit reviews by both internal and external auditors and that all such reports are made available to all relevant parties. There is an Audit Committee in place in the Department.

5. Any significant changes in the FSS which would impact on the quality of service provided to the client organisation are communicated to the appropriate authority without delay.

6. There is a Risk Management framework in place and all major risks are communicated to the appropriate level within the Department itself and where appropriate communicated to the client organisation. There is a Risk Committee in place in the Department.

7. Appropriate systems are in place aimed at ensuring the security of the ICT systems, backup and disaster recovery facilities.

The Accounting Officer of the PRA therefore places reliance on the assurances from the Accounting Officer of the Department of Justice and Equality that the appropriate controls are exercised in the provision of shared services to the PRA.

5.4.6 Internal Financial Control Questionnaires

As part of the annual assurance process, the Accounting Officer engages the use of the Internal Audit Function to assist the PRA in reviewing its internal financial controls through a series of questionnaires which are completed by management and reviewed on an independent basis. This process seeks to ensure that the necessary policies and procedures are being adhered to the fullest extent possible. The outcome of this review provides evidence and assurances to the Accounting Officer in the signing of the annual statement.

5.4.7 Risk Management Process

As set out in Section 5.1 the PRA has implemented a risk management system. The Accounting Officer, in signing the SIFC, reviews the risk register and related mitigating actions, and may highlight key risks in the Statement.
5.4.8 Internal Audit Findings
The Internal Audit function is described in detail in 5.5. The primary role of the Internal Audit function is to provide the Accounting Officer with reasonable assurance as to the adequacy of the PRA’s internal control system. To that end, significant reliance is therefore placed upon the level of assurance provided from the audits performed by the Internal Audit function.

A review of Internal Financial Controls is conducted by the Internal Audit on an annual basis.

5.4.9 Annual Report of the Audit Committee
The Accounting Officer places reliance on the work carried out by the Audit and Risk Committee who act as an independent source of advice. The Annual Report of the Audit Committee is addressed to the Accounting Officer and the members of the Authority and summarises the work of the Committee for the year.

5.4.10 C&AG’s Management Letter and Reports
Audits performed by the Comptroller and Auditor General represent independent scrutiny of the effectiveness of the financial control environment including financial reporting, internal control, risk management and VFM. Control improvements are highlighted in Statutory Audit Reports and the annual Management Letter addressed to the Accounting Officer.

5.4.11 Compliance Function
A key role attaching to the compliance function is the provision of appropriate assurances to the Accounting Officer/Chief Executive that the PRA is compliant with its obligations whether arising by statute, on foot of Government decision or as a result of significant administrative or external commitments (See Para 5.2).
PRA Assurance Framework

Minister / DHPLG / Dáil

PAC

Authority

Chief Executive / Accounting Officer

Key Sources of Assurance

Central Guidance (DPER)
Ethics legislative framework, Civil Service Governance Standard; Code of Practice for the governance of State Bodies (2016) Risk Management Guidelines, Public Spending Code, DPER guidance and policy

Internal Audit
Independent opinion on the adequacy of and compliance with internal control; monitoring compliance with audit recommendations.

Compliance Framework
 Provision of evidence that PRA has requisite systems and procedures in place to fully meet its compliance obligations

Risk Management
Outcomes from risk assessment and evaluation as documented in Corporate and Divisional Risk Registers; monitoring the risk registers; Formal review of Corporate Risk Registers

Internal Management
Day to day management & delivery of services; Strategic and Business Plans; Performance Management; Casework legal standards, processes and procedures; Customer service, engagement and complaints processes; Quality Management assurance; ICT oversight; Financial Management; Procurement; staff engagement

Audit and Risk Committee
Provides independent assurance on the adequacy and effectiveness of the governance arrangements, including risk management and the control environment

C&AG External Audit
Independent scrutiny of the effectiveness of the financial control environment including financial reporting, internal control, risk management and VFM; Control improvements highlighted in Statutory Audit Reports and other auditor reports

Other (External agencies)
H&S reports; Ombudsman, DPC reports etc.

Other internal
- Project teams/working Groups/Business Process improvement Functions/Special Projects etc.
- Service Level Agreement obligations
- MOUs/Protocols etc.

Management Board
Receive /provide reports on operations, performance metrics and risk management to inform executive responsibility, key decisions

Figure 5 - PRA Assurance Framework
5.5 Internal Audit Function and Audit and Risk Committee

5.5.1 Role of Internal Audit

The primary role of the Internal Audit Function is to give assurance to the Chief Executive as Accounting Officer and to the Audit and Risk Committee on the adequacy and effectiveness of the PRA’s system of internal controls. The Internal Audit Function discharges this responsibility by critically and objectively examining on a risk focused basis the:

- adequacy and reliability of systems (including the relevant technology) and procedures;
- compliance with management controls;
- compliance with corporate objectives and strategies;
- compliance with laws and regulations;
- reliability and integrity of management information;
- arrangements for the acquisition, custody and disposal of assets and for verifying their existence.

and by identifying deficiencies or weaknesses in systems and making appropriate recommendations.

Comprehensive records are maintained to demonstrate that audit work has been performed to best practice standards. Internal Audit is responsible for ensuring the confidentiality and safekeeping of all records and information accessed in the course of internal audit work. If, during the course of its work, the internal audit function discovers evidence of fraud, it may bring this to the attention of the Chief Executive, as Accounting Officer, and the Audit Committee. The internal audit function may also, at the request of Chief Executive as Accounting Officer and with the agreement of the Audit and Risk Committee, engage in specific fraud investigation work.

5.5.2 Charter for Internal Audit

The internal audit function has a formal charter, including terms of reference, which has been approved by the Authority. The charter deals with inter alia the independence of the audit function, its reporting responsibilities, and proposed audit methodologies.

5.5.3 Internal Audit Methodology

The Internal Audit Function carries out audit work in accordance with standards and guidelines issued by Department of Public Expenditure and Reform and has regard to best practice of organisations such as the Institute of Internal Auditors.

In carrying out its duties, internal audit works constructively with management and staff. During the course of an audit, management and staff are required to co-operate fully with internal audit team’s requirements. Internal Audit notifies line management at least two weeks prior to the commencement of an audit. In the course of each
audit, the audit team discuss its findings with the line management concerned. Usually, an exit meeting is held with the appropriate Head of Division.

Draft internal audit reports are subsequently issued to management for response. Management do not amend draft internal audit reports or cause them to be amended. Management are afforded an opportunity to address findings. Where Internal Audit and management fail to reach agreement on issues/recommendations considered to be of material importance by Internal Audit, the final audit report reflects the positions of both.

The attention of the Chief Executive as Accounting Officer and the Audit Committee is drawn specifically to these issues/recommendations, so that appropriate action may be taken by senior management.

5.5.4 Audit and Risk Committee

The PA Audit and Risk Committee -

1. operates under a written charter, updated on a regular basis;
2. has significant external representation (at least 2 members), including, in the normal course, representatives from the private sector with appropriate expertise;
3. prepares an annual report to the Accounting Officer reviewing its operations;
4. invites the Comptroller and Auditor General, or his nominee, to meet the Committee at least once a year.

The key functions of this Committee are to -

- act as a source of independent advice to the Chief Executive, as Accounting Officer and members of the Property Registration Authority;
- oversee the Internal Audit Function and advise the Chief Executive as Accounting Officer and the members of the Property Registration Authority in relation to the operation and development of that function;
- assess whether appropriate action is taken to deal with key issues identified by the Internal Audit Function and by external audit;
- examine and monitor the implementation of the PRA’s risk management strategy;
- review and advise on the programme of work for Internal Audit within the PRA;
- facilitate improvements in internal audit and internal control through the exchange of information;
- approve and periodically review a Charter for Internal Audit which clearly defines the purpose, authority, role, responsibility and reporting relationships with the Audit and Risk Committee, Internal Audit Function and relevant management of the Property Registration Authority;
• assess the results of completed internal audit reports and advise the Chief Executive as Accounting Officer and the members of the Property Registration Authority of its conclusions thereon;
• review the results of external audits;
• request special reports from internal audit as considered appropriate;
• foster the development of best practice in the Internal Audit Function;
• review the external audit management letter and the organisational response;
• in the event that the Audit and Risk Committee receives a protected disclosure, it will refer the protected disclosures made to it to the Chief Executive, as Accounting Officer, and/or to the Chairperson of the Authority;
• confirm that all functions outlined in the written charter have been carried out;
• evaluate its own performance on a regular basis.

5.5.5 Delivery of Internal Audit Function
The PRA relies upon an external delivery model for the provision of Internal Audit Services. Amongst the key areas which are regularly subject to internal audit reviews are:

1. Financial Control;
2. Compliance with Corporate Governance requirements;
3. Casework; compliance with procedures;
4. Cyber Security;
5. Human Resources: compliance with legislation and DPER circulars;

Audit reports and their recommendations, when implemented, play an invaluable role in enhancing the overall control environment within the PRA. The Internal Audit function is the ‘third line of defence’ within the PRA’s overall Risk Management Framework. Sitting outside the risk management processes of the first two lines of defence, the role of the Internal Audit function is to ensure that the first two lines are operating effectively and advise how they could be improved. Tasked by, and reporting to the Accounting Officer / Audit and Risk Committee, it provides an evaluation, through a risk-based approach, on the effectiveness of governance, risk management, and internal control. It can also give assurance to external auditors that appropriate controls and processes are in place and are operating effectively.
### Appendix 1 - Governance Principles

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Good governance supports a culture and ethos which ensures behaviour with integrity, a strong commitment to ethical values, and respect for the rule of law.</td>
</tr>
<tr>
<td>2.</td>
<td>Good governance helps to define priorities and outcomes in terms of sustainable economic and societal benefits and to determine the policies and interventions necessary to optimise the achievement of these priorities and outcomes. It means implementing good practices in transparency, reporting, communications, audit and scrutiny to deliver effective accountability.</td>
</tr>
<tr>
<td>3.</td>
<td>Good Governance means developing the Department’s capacity, including the capability of the leadership team, management and staff.</td>
</tr>
<tr>
<td>4.</td>
<td>Good governance means managing risks and performance through robust internal control systems and effective performance management practice.</td>
</tr>
<tr>
<td>5.</td>
<td>Good governance ensures openness, effective public consultation processes and comprehensive engagement with domestic and international stakeholders.</td>
</tr>
</tbody>
</table>

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50 International Framework: Good Governance in the Public Sector (IFAC, CIFPA 2014)
## Appendix 2 - Ongoing Governance and Ancillary Activity

### Annual Governance Events Calendar

<table>
<thead>
<tr>
<th>Month</th>
<th>Event</th>
<th>Participants</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>January/February</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>PMDS Goal Setting</td>
<td>All staff</td>
</tr>
<tr>
<td></td>
<td>Oversight Agreement agreed with DHPLG</td>
<td>CEO and MB</td>
</tr>
<tr>
<td></td>
<td>Evaluation of Management Board</td>
<td>MB members</td>
</tr>
<tr>
<td></td>
<td>Submission of Statements of Interest under Ethics Acts</td>
<td>Principal Officers and above</td>
</tr>
<tr>
<td><strong>March/April</strong></td>
<td>Appropriations Account submitted to Comptroller and Auditor General</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Compliance Statement submitted</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Statement by the Accounting Officer in Internal Financial Control</td>
<td></td>
</tr>
<tr>
<td></td>
<td>World Bank Submission on Property Registration in Ireland</td>
<td></td>
</tr>
<tr>
<td><strong>May/June</strong></td>
<td>Oversight Agreement review with DHPLG</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Annual Report submitted to Minister</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Business Plan mid-year reviews</td>
<td>All job holders and their managers</td>
</tr>
<tr>
<td></td>
<td>PMDS Interim Reviews</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Learning &amp; Development review</td>
<td></td>
</tr>
<tr>
<td><strong>September</strong></td>
<td>Management Board Strategy offsite meetings</td>
<td>MB members</td>
</tr>
<tr>
<td></td>
<td>Manager offsite Business Awareness Days</td>
<td>POs, APs, HEOs and equivalents and MB Members</td>
</tr>
<tr>
<td><strong>November/December</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Oversight Agreement review with DHPLG</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Business Plan annual reviews</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Annual Review of Governance Standard</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Compliance Statement to DHPLG</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Presentation of Business Plans for coming year</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Learning &amp; Development review</td>
<td></td>
</tr>
<tr>
<td></td>
<td>PMDS Annual Reviews</td>
<td>All job holders and their managers</td>
</tr>
</tbody>
</table>
### Ongoing Governance Activity

<table>
<thead>
<tr>
<th>Role/Function</th>
<th>Forum</th>
<th>To be Convened</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Direction and Control of the PRA</strong></td>
<td>Authority meetings</td>
<td>At minimum, 6 times per year</td>
</tr>
<tr>
<td>LR Rules</td>
<td>Rules committee</td>
<td>Annual Meeting</td>
</tr>
<tr>
<td>Internal Audit</td>
<td>Audit &amp; Risk Committee</td>
<td>Quarterly</td>
</tr>
<tr>
<td><strong>Departmental Oversight</strong></td>
<td>Performance and Accountability meetings with DHPLG</td>
<td>Twice yearly (at least)</td>
</tr>
<tr>
<td></td>
<td>Meeting of CEOs and Chairpersons of agencies with Secretary General and Management Board of DHPLG</td>
<td>Annual Meeting</td>
</tr>
<tr>
<td><strong>Executive Responsibility</strong></td>
<td>Management Board</td>
<td>Fortnightly, at minimum or as convened by CEO</td>
</tr>
<tr>
<td><strong>Operational Oversight</strong></td>
<td>Heads of Functions</td>
<td>Quarterly, or as convened by Head of Operations</td>
</tr>
<tr>
<td></td>
<td>Casework Managers Forum</td>
<td>As convened</td>
</tr>
<tr>
<td></td>
<td>Mapping Managers</td>
<td>As convened</td>
</tr>
<tr>
<td></td>
<td>Legal Services Division Managers</td>
<td>As convened</td>
</tr>
<tr>
<td></td>
<td>Support Function Managers</td>
<td>Quarterly</td>
</tr>
<tr>
<td><strong>ICT Oversight</strong></td>
<td>ICT Steering Committee</td>
<td>Annually, or as required</td>
</tr>
<tr>
<td><strong>Budgetary Oversight</strong></td>
<td>Budgetary Committee</td>
<td>Quarterly, or as convened by Financial Controller</td>
</tr>
<tr>
<td><strong>Learning &amp; Development Oversight</strong></td>
<td>L&amp;D Oversight Committee</td>
<td>Quarterly</td>
</tr>
<tr>
<td><strong>Conciliation and Arbitration Scheme</strong></td>
<td>Departmental Council</td>
<td>Quarterly</td>
</tr>
<tr>
<td><strong>Staff Engagement</strong></td>
<td><em>Working Together Forum</em></td>
<td>Quarterly</td>
</tr>
<tr>
<td></td>
<td><em>Diversity Committee</em></td>
<td>Quarterly</td>
</tr>
<tr>
<td>International Affiliations</td>
<td>- ELRA</td>
<td>As convened</td>
</tr>
<tr>
<td></td>
<td>- WPLA</td>
<td></td>
</tr>
<tr>
<td></td>
<td>- 5 Registers Forum (England &amp; Wales, Scotland, Ireland, Northern Ireland &amp; Isle of Man)</td>
<td></td>
</tr>
<tr>
<td><strong>Customer Engagement</strong></td>
<td>Customer Focus Group</td>
<td>Quarterly</td>
</tr>
<tr>
<td><strong>Safety, Health and Welfare</strong></td>
<td>Local Committees</td>
<td>Quarterly</td>
</tr>
</tbody>
</table>
Appendix 3 - Current Authorisations of the PRA pursuant to the provisions of the Registration of Deeds and Title Act 2006-2014

<table>
<thead>
<tr>
<th>No.</th>
<th>Date</th>
<th>Authorisation</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>04/11/2006</td>
<td>Authorisations HR Matters (item one)</td>
<td>[part [S 22(7)] rescinded and replaced 21.1.2011 – part of this was subsequently replaced and rescinded (on 2nd April 2012 (re HR Manager) and remainder 18th October 2012 (Re DRs)]</td>
</tr>
<tr>
<td>2.</td>
<td>04/11/2006</td>
<td>Authorisations Contract Matters - (item three)</td>
<td>for CEO to enter contracts on behalf of the Authority to the value of not more than €1M in value [also see Authorisation of 27th April 2012 – appointment of Interim CEO]</td>
</tr>
<tr>
<td>3.</td>
<td>25/04/2007</td>
<td>Authorisations Human Resource Matters</td>
<td>(appointment, performance and discipline of staff) [For the HR Manager and Deputy Registrars - individuals not named]</td>
</tr>
<tr>
<td>4.</td>
<td>21/01/2011</td>
<td>Authorisation pursuant to Section 22(8) of the 2006 Act</td>
<td>for staff while the post of Chief Executive is vacant</td>
</tr>
<tr>
<td>5.</td>
<td>22/07/2011</td>
<td>Authorisation for the exercise and performance of the duties of the HR Manager until otherwise directed</td>
<td>[for Enda McElvaney Divisional Manager, HR]</td>
</tr>
<tr>
<td>6.</td>
<td>02/04/2012</td>
<td>Authorisation for HR Matter [S. 22(7)]</td>
<td>for Aileen McHugh HR Manager (rescinds and replaces part of Authorisation of 21st Jan 2011 re the HR Manager. Also see Authorisation of 4th November 2006)</td>
</tr>
<tr>
<td>7.</td>
<td>27/04/2012</td>
<td>Authorisation for Frank Treacy Deputy Registrar to perform the functions of the CEO w.e.f. 30 April 2012 while the post of CEO is vacant</td>
<td></td>
</tr>
<tr>
<td>8.</td>
<td>18/10/2012</td>
<td>Authorisation for HR Matters [(S. 22(7) of the 2006 Act for DRs)</td>
<td>(rescinds and replaces the remainder of the Authorisation of 21st January 2012. Also see Authorisation of 4th November 2006)</td>
</tr>
<tr>
<td>9.</td>
<td>18/10/2012</td>
<td>Authorisation for Human Resource Matters (suspending authorities)</td>
<td>[rescinds and replaces the Authorisations for HR matters (suspending authorities) of the 21st January 2011] (Also see Authorisation of 8th September 2016)</td>
</tr>
<tr>
<td>10.</td>
<td>18/10/2012</td>
<td>Authorisation for Contract Matters (value under €200,000)</td>
<td>(rescinds and replaces the Authorisation for Contract Matters of the 21st January 2011)</td>
</tr>
<tr>
<td>11.</td>
<td>12/06/2014</td>
<td>Authorisations for Property Registration Matters</td>
<td>(rescinds and replaces the Authorisation as to Registration Matters of 21st January 2011)</td>
</tr>
<tr>
<td></td>
<td>Date</td>
<td>Authorisation Description</td>
<td>Notes</td>
</tr>
<tr>
<td>---</td>
<td>------------</td>
<td>------------------------------------------------------------------------------------------</td>
<td>----------------------------------------------------------------------</td>
</tr>
<tr>
<td>13.</td>
<td>08/09/2016</td>
<td>Authorisation for Liz Pope, Deputy Registrar to perform the functions of interim CEO and interim Accounting Officer pending finalisation of her formal appointment as CEO</td>
<td></td>
</tr>
<tr>
<td>15.</td>
<td>15/06/2017</td>
<td>Authorisation for HR Matters - [(S. 22(7) of the 2006 Act)] for DRs</td>
<td>(rescinds and replaces the Authorisation of 18th October 2012)</td>
</tr>
<tr>
<td>16.</td>
<td>15/06/2017</td>
<td>Authorisation for Contract Matters (value under €200,000) [(S. 22(7) of the 2006 Act)]</td>
<td>(rescinds and replaces the Authorisation for Contract Matters of the 18th October 2012)</td>
</tr>
<tr>
<td>17.</td>
<td>07/12/2017</td>
<td>Authorisation for HR Matters [S. 22(7)].</td>
<td>for Jean Murray HR Manager (rescinds and replaces the Authorisation of 2nd April 2012)</td>
</tr>
</tbody>
</table>
Appendix 4 - Key Reference Documents

Relevant Legislation

Property Registration

- Registration of Title Act 1964 No.16/1964
- Land Registry and Registry of Deeds (Hours of Business) Order 1964 No.164/1964
- Land Registry and Registry of Deeds (Hours of Business) (Amendment) Order 1967 No.75/1967
- Land Registry and Registry of Deeds (Hours of Business) (Amendment) Order 1973 No.358/1973
- Landlord and Tenant (Ground Rents) (No. 2) Act 1978 No.219/1978
- Registration of Deeds and Title Act 2006 No. 2/2006
- Registry of Deed Fees Order 2008 S.I.51/2008
- Land and Conveyancing Law Reform Act 2009 No.27/2009
- Land Registration (Fees) Order 2012 S.I.380/2012
- Land Registration (Fees) (Amendment) Order 2013 S.I.21/2013
- Land and Conveyancing Law Reform Act 2013 No.30/2013
- Property Registration authority (Transfer of Departmental Administration and Ministerial functions) Order 2017 S.I 574/2017

Rules

- Registry of Deeds Rules (No. 2) 2009 S.I.457/2009
- Land Registration Rules 2012 S.I.483/2012
- Land Registration Rules 2013 S.I. 389/2013

Civil Service

- Civil Service Regulations Acts 1956 to 2006 No.46/1956
- Comptroller and Auditor General (Amendment) Act, 1993 No.8/1993
- Ministers and Secretaries Acts 1924 to 2011
- Payment of Wages Act, 1991 No. /1991
- Prompt Payments of Accounts Act 1997 No.31 / 1997
- Public Service Management Act, 1997 No.27/1997
- Public Service Management (Recruitment and Appointments) Act 2004 No.33/2004
- Public Service Management (Recruitment and Appointments)(Amendment)
Appendix 4

- Act 2013
- Public Service Management (Sick Leave) Regulations 2014
- Public Service Management (Sick Leave) (Amendment) Regulations 2015

Data Protection
- Data Protection Acts 1988 and 2003
- Data Protection Act 2018
- General Data Protection Regulation (GDPR)

Data Sharing
- Data Sharing and Governance Act 2018

Equality
- Employment Equality Act 1977
- Employment Equality Act 1998
- Equality Act 2004
- Equal Status Acts 2000 to 2012
- Disability Act 2005
- Gender Recognition Act 2015

Lobbying
- Regulation of Lobbying Act 2015
- Regulation of Lobbying Act 2015 (Designation of Public Officials) Regulations 2015

Miscellaneous
- Comptroller and Auditor General (Amendment) Act, 1993
- National Archives Act 1986
- Official Languages Act 2003
- Ombudsman Acts 1980 to 2012
- Organisation of Working time Act 1997
- Safety, Health and Welfare at Work Act 2005
- Workplace Relations Act 2015

Ethics
- Official Secrets Act 1963
• Prevention of Corruption (Amendment) Act 2001  
  No.27/2001
• Criminal Justice (Corruption Offences) Act 2018  
  No.9/2018

**Freedom of Information**
• Freedom of Information Acts 1997- 2014  
  No.30/2014
• Freedom of Information Act 2014 (Fees) (No. 2) Regulations 2014  
  S.I.531/2014

**Protected Disclosures**
• Protected Disclosures Act 2014  
  No.14/2014
• Protected Disclosures Act 2014 (Disclosure to Prescribed Persons) Order 2015  
  S.I.448/2015

**Relevant Policy Documents**

**Data Management**
• Open Data Strategy 2017-2022  
• Public Service Data Strategy 2019-2023  

**Ethics**
• Civil Service Codes of Conduct 2008 Standards in Public Office Commission  
• Introduction to the Irish Civil Service (Government of Ireland 2008)  
• Guidance for Designated Public Officials on Lobbying (January 2016)  
  https://www.lobbying.ie/help-resources/information-for-public-bodies/guidance-for-designated-public-officials/

**Financial Procedures and Risk Management**
• The Role and Responsibilities of Accounting Officers September 2011 published by Government Accounting Section, Department of Public Expenditure and Reform  
• Statement of Internal Financial Control  
Appendix 4


FOI

- PRA FOI Publication Scheme: http://www.prai.ie/

Governance


Lobbying

Appendix 4

Protected Disclosures
- Draft guidance for public bodies on the performance of their functions under section 21(1) of the Protected Disclosures Act 2014
- Draft of Sample Protected Disclosures Procedures
- PRA Protected Disclosures Policy December 2018 (as revised)

PMDS

Public Sector Reform

ICT

Conciliation and Arbitration Scheme
- Date: 01/06/50 01/06/1950 G: - Scheme of Conciliation and Arbitration for the Civil Service SCHEME OF CONCILIATION AND ARBITRATION FOR THE CIVIL SERVICE - http://circulars.gov.ie/pdf/letter/finance/1950/1.pdf
Appendix 4


Strategic Plans
- PRA Statement of Strategy 2019-2021 Integrity and Innovation

Workforce Planning
- A Workforce Planning Framework for the Civil Service and Non-Commercial State Bodies: Guidelines 2015-2017, Workforce Planning Unit, Civil Service Directorate, Department of Public Expenditure and Reform

Internal Documents
- Irish Language Scheme
- PRA Staff Mobility Policy (revised 2018)
- Learning and Development Strategy
- Report by sub-committee of the Authority on the Functions of the PRA (2013)
- Report on the Staff Climate Survey (2012)
- Social Media Usage Policy 2016
- Staff Climate Survey findings 2017, 2019
- Customer Survey findings 2018
- Safety Statement
- Workforce Action Plan 1st Iteration, August 2012
- Workforce Action Plan 2nd Iteration, November 2013
- Workforce Action Plan 3rd Iteration, April 2015
- Workforce Action Plan 4th Iteration, April 2016
- Workforce Action Plan 5th Iteration, July 2018
• PRA Code of Ethics
• Living our Values: PRA Behaviours Framework 2019
Appendix 5 - PRA Committees

Standing/Oversight Committees (6)

1. ICT Steering Committee
2. Learning and Development Oversight committee
3. Budgetary Committee
4. Publications Committee
5. Health and Safety Committee
6. eRegistration Project board

As at May 2019 there are 12 additional formal organisational committees:

External Stakeholder Forum

1. Customer Focus Group
2. Registry of Deeds Archives Digitisation Strategic Steering Group

Internal Forums

3. Casework Managers’ Forum
4. Legal Services - Assistant Principal Forum
5. Legal Services - Examiners of Titles Forum
6. Support Function Managers’ Forum
7. Mapping Managers’ Forum
8. Heads of Function Forum
9. Counter Fraud Forum

Staff Engagement Forums

10. Working Together Forum
11. Diversity Committee
12. Departmental Council
### Standing/Oversight Committees

<table>
<thead>
<tr>
<th>Committee Name</th>
<th>1. ICT Steering Committee</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Main Objective /role</strong></td>
<td>To determine medium term ICT project plan and ensure alignment with business requirements</td>
</tr>
<tr>
<td><strong>Reporting to</strong></td>
<td>Management Board</td>
</tr>
<tr>
<td><strong>Reporting Frequency</strong></td>
<td>At least annually</td>
</tr>
</tbody>
</table>
| **Composition /Membership** | o CEO  
o Chief Information Officer  
o ICT Infrastructure Manager  
o ICT Software Development Manager  
o Financial Controller  
o Head of Operations  
o HR Manager  
o Contracts and Procurement Manager  
o Head of Mapping  
o Legal DRs  
o Customer Services and Casework Manager  
o Divisional Manager X 1 |
| **Chair**            | CEO                                                                                      |
| **Convenor**         | CEO                                                                                      |
| **Secretary**        | n/a                                                                                      |
| **Modus operandi**   |                                                                                          |
| **Meeting frequency**| At least annually                                                                        |
| **Attendance**       |                                                                                          |
| **Quorum**           |                                                                                          |
| **Minute taking**    |                                                                                          |
### Appendix 5

## Standing/Oversight Committees

<table>
<thead>
<tr>
<th>Committee Name</th>
<th>2. Learning and Development Oversight Committee</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Main Objective /role</strong></td>
<td>To ensure appropriate controls and oversight in the implementation of the Learning and Development Strategy</td>
</tr>
<tr>
<td><strong>Reporting to</strong></td>
<td>Management Board</td>
</tr>
<tr>
<td><strong>Reporting Frequency</strong></td>
<td>Quarterly</td>
</tr>
</tbody>
</table>
| **Composition /Membership** | o HR Manager  
 o Asst. HR Manager  
 o Contracts and Procurement Manager  
 o Senior Mapping Manager  
 o Divisional Manager x 1  
 o HEO L&D Unit  
 o EO L&D Unit  
 o Local legal Trainers (Dublin, Waterford, Roscommon)  
 o Local Mapping X 1 |
| **Chair** | HR Manager |
| **Convenor** | HR Manager |
| **Secretary** | n/a |
| **Modus operandi** |  
 **Meeting frequency** | At least quarterly |
| **Attendance** | Compulsory |
| **Quorum** |  |
| **Minute taking** | EO HR Unit |
Standing/Oversight Committees

<table>
<thead>
<tr>
<th>Committee Name</th>
<th>3. Budgetary Committee</th>
</tr>
</thead>
</table>
| Main Objective /role | o To monitor spending against budget profile, across pay and non-pay subheads, on an ongoing basis.  
o To consider applications for new expenditure above a certain threshold. |
| Reporting to | Management Board |
| Reporting Frequency | Monthly Expenditure Reports to Management Board, Authority, Parent Department and DPER |
| Composition /Membership | o Financial Controller  
o DR Corporate Affairs  
o HR Manager  
o ICT Manager  
o Customer Services and Casework Manager  
o Procurement Officer  
o Accommodation Manager, Corporate Services |
| Chair | Financial Controller |
| Convenor | Financial Controller |
| Secretary | Finance Unit |
| Modus operandi | |
| Meeting frequency | At Least Quarterly |
| Attendance | |
| Quorum | |
| Minute taking | Yes |
## Standing/Oversight Committees

<table>
<thead>
<tr>
<th>Committee Name</th>
<th>4. Publications Committee</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Main Objective /role</strong></td>
<td>To oversee the drafting process for all external PRA publications, including the annual report.</td>
</tr>
</tbody>
</table>
| **Reporting to** | 1. Management Board  
2. Authority (for statutory publications) |
| **Reporting Frequency** | At final draft stage of key publications, and as required. |
| **Composition /Membership** | o Casework and Customer Service Manager  
o HR Manager  
o Head of Mapping  
o Corporate Services Unit  
o ICT  
o Finance Unit |
| **Chair** | AP Customer Services Unit |
| **Convenor** | Casework and Customer Services Manager |
| **Secretary** | HEO Corporate Services |
| **Modus operandi** | |
| **Meeting frequency** | First meeting in January to take stock of publications on hand and set out plan for Annual Report. Then as required to complete Annual Report in May. Also, as required for other key publications as they arise. |
| **Attendance** | Compulsory |
| **Quorum** | Four attendees, including Chair and Secretary |
| **Minute taking** | Action points – minutes taken by Secretary |
### Standing/Oversight Committees

<table>
<thead>
<tr>
<th>Committee Name</th>
<th>5. Health and Safety Committee</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Main Objective /role</strong></td>
<td>To oversee implementation of Health &amp; Safety policies as set out in the PRA Safety Statement, monitor adherence to all relevant legislation and statutory regulations and to provide a forum for the safety representatives to raise staff concerns</td>
</tr>
<tr>
<td><strong>Reporting to</strong></td>
<td>Management Board</td>
</tr>
<tr>
<td><strong>Reporting Frequency</strong></td>
<td></td>
</tr>
</tbody>
</table>
| **Composition /Membership** | ○ HR Manager/Asst. HR Manager  
○ Other Management representatives  
○ Safety Representatives |
| **Chair** | HR Manager/Divisional Manager |
| **Convenor** | HR Manager/Asst. HR Manager |
| **Secretary** | Corporate Services staff member |
| **Modus operandi** | |
| **Meeting frequency** | |
| **Attendance** | Compulsory |
| **Quorum** | |
| **Minute taking** | ○ Secretary  
○ Feedback reports from Safety Reps in each building and actions to be taken |
### Standing/Oversight Committees

<table>
<thead>
<tr>
<th>Committee Name</th>
<th>6. eRegistration Project Board</th>
</tr>
</thead>
</table>
| **Main Objective /role** | 1) To pursue a fully electronic registration system not reliant on paper/wet signatures.  
2) To increase customer use of existing eRegistration services. |
| **Reporting to** | Management Board |
| **Reporting Frequency** |  |
| **Composition /Membership** | CEO  
Chief Information Officer  
Head of Operations  
Head of Mapping  
Legal Officer  
Financial Controller  
Casework and Corporate Services Manager |
| **Chair** | CEO |
| **Convenor** |  |
| **Secretary** |  |
| **Modus operandi** |  |
| **Meeting frequency** |  |
| **Attendance** | required |
| **Quorum** | 4 |
| **Minute taking** |  |
## External Stakeholder Forums

<table>
<thead>
<tr>
<th>Committee Name</th>
<th>1. Customer Focus Group</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Main Objective /role</strong></td>
<td>To keep customer groups informed of PRA development, as well as to obtain and use customer feedback to enhance services.</td>
</tr>
<tr>
<td><strong>Reporting to</strong></td>
<td>Management Board</td>
</tr>
<tr>
<td><strong>Reporting Frequency</strong></td>
<td>Quarterly</td>
</tr>
</tbody>
</table>
| **Composition /Membership** | o Casework and Corporate Services Manager  
o Head of Operations  
o Deputy Registrar  
o Head of Mapping  
o Registry of Deeds  
o Examiner of Titles  
o ICT  
o Corporate Services Unit  
o Law Society  
o Irish Institute of Legal Executives  
o Solicitors / Law Searchers  
o Surveyors  
o Local Authorities  
o Institute of Professional Auctioneers and Valuers  
o Banking and Payments Federation Ireland  
o Irish Farmers’ Association  
o Other bodies as appropriate |
| **Chair** | Anne Heneghan |
| **Convenor** | Aidan Timmins |
| **Secretary** | Anne Pickett |
| **Modus operandi** |  
**Meeting frequency** | Quarterly (February, May, September, December)  
**Attendance** | Requested  
**Quorum** | Six attendees  
**Minute taking** | Action points – minutes taken by Secretary |
# External Stakeholder Forums

<table>
<thead>
<tr>
<th>Committee Name</th>
<th>2. Registry of Deeds Archives Digitisation Strategy Steering Group</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Main Objective /role</strong></td>
<td>To provide best practice guidance and oversight in relation to the design, development and initiation of a digitisation strategy for Registry of Deeds Archives.</td>
</tr>
<tr>
<td><strong>Reporting to</strong></td>
<td>Management Board</td>
</tr>
<tr>
<td><strong>Reporting Frequency</strong></td>
<td>At least twice a year</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Composition /Membership</strong></th>
<th>Internal:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Compliance Manager</td>
<td>Head of Operations</td>
</tr>
<tr>
<td>Archives Manager</td>
<td>Records Manager</td>
</tr>
<tr>
<td>ICT</td>
<td>Corporate Services Unit</td>
</tr>
<tr>
<td>Financial Controller</td>
<td>Communications Officer</td>
</tr>
<tr>
<td>HR Manager</td>
<td>Authority Nominees</td>
</tr>
<tr>
<td><strong>External:</strong></td>
<td></td>
</tr>
<tr>
<td>Representative/Nominee of:</td>
<td>National Archives of Ireland</td>
</tr>
<tr>
<td>Public Record Office of Northern Ireland</td>
<td>Digital Repository of Ireland</td>
</tr>
<tr>
<td>Irish Manuscripts Commission</td>
<td>Registry of Deeds Northern Ireland</td>
</tr>
<tr>
<td>Accredited Genealogists Ireland</td>
<td>Professional Conservator</td>
</tr>
<tr>
<td>Digital Humanities Professional</td>
<td>Federation of Local History Societies</td>
</tr>
<tr>
<td>Association of Professional Historians Ireland</td>
<td>Solicitors/Law Searcher Representative</td>
</tr>
<tr>
<td>Heritage Council of Ireland</td>
<td>National Cultural Institutions Digitisation Sub-Committee</td>
</tr>
<tr>
<td>Department Culture Heritage and Gaeltacht</td>
<td>Department of Housing, Planning &amp; Local Government</td>
</tr>
<tr>
<td>Department of the Taoiseach</td>
<td>Department of Foreign Affairs</td>
</tr>
<tr>
<td>Representatives of other organisations/stakeholders to be added as appropriate</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Chair</strong></th>
<th>Archives Manager</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Convenor</strong></td>
<td>ROD Archives staff member</td>
</tr>
<tr>
<td><strong>Secretary</strong></td>
<td>ROD Archives staff member</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Modus operandi</strong></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Meeting frequency</strong></td>
<td>4 times per annum</td>
</tr>
<tr>
<td><strong>Attendance</strong></td>
<td>Requested</td>
</tr>
<tr>
<td><strong>Quorum</strong></td>
<td>10</td>
</tr>
<tr>
<td><strong>Minute taking</strong></td>
<td>Action points – minutes taken by Secretary</td>
</tr>
</tbody>
</table>
### Internal Forums

<table>
<thead>
<tr>
<th>Committee Name</th>
<th>3. Casework Managers Forum</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Main Objective /role</strong></td>
<td>To oversee implementation of business plans in casework areas and to monitor relevant metrics including KPIs, intake, outputs and productivity</td>
</tr>
<tr>
<td><strong>Reporting to</strong></td>
<td>Management Board</td>
</tr>
<tr>
<td><strong>Reporting Frequency</strong></td>
<td>After each meeting</td>
</tr>
<tr>
<td><strong>Composition /Membership</strong></td>
<td></td>
</tr>
<tr>
<td>o Head of Operations</td>
<td></td>
</tr>
<tr>
<td>o Deputy Registrar Legal</td>
<td></td>
</tr>
<tr>
<td>o HR Manager</td>
<td></td>
</tr>
<tr>
<td>o All Divisional Managers</td>
<td></td>
</tr>
<tr>
<td><strong>Chair</strong></td>
<td>Casework and Customer Service Manager</td>
</tr>
<tr>
<td><strong>Convenor</strong></td>
<td>Head of Operations</td>
</tr>
<tr>
<td><strong>Secretary</strong></td>
<td>Rotating</td>
</tr>
<tr>
<td><strong>Modus operandi</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Meeting frequency</strong></td>
<td>Every two months (minimum)</td>
</tr>
<tr>
<td><strong>Attendance</strong></td>
<td>Compulsory</td>
</tr>
<tr>
<td><strong>Quorum</strong></td>
<td>80%</td>
</tr>
<tr>
<td><strong>Minute taking</strong></td>
<td>Yes, by rota. Briefing notes extracted from minutes published on intranet</td>
</tr>
</tbody>
</table>
## Internal Forums

<table>
<thead>
<tr>
<th>Committee Name</th>
<th>4. Legal Services – Assistant Principal Forum</th>
</tr>
</thead>
</table>
| **Main Objective /role** | - To discuss implementation of business plans in LSU and to issues relating to achievement of KPIs and increasing productivity  
- To input to policy on innovative ways of working  
- To discuss and share best practice  
- To cascade information on organisational issues |
| **Reporting to** | Examiner of Titles |
| **Reporting Frequency** | Every two months |
| **Composition /Membership** | All APs in LSU |
| **Chair** | Examiner of Titles |
| **Convenor** | Chair |
| **Secretary** | HEO LSU |
| **Modus operandi** |  |
| **Meeting frequency** | Every two months |
| **Attendance** | Compulsory |
| **Quorum** |  |
| **Minute taking** | Yes |
# Internal Forums

<table>
<thead>
<tr>
<th>Committee Name</th>
<th>5. Legal Services – Examiner of Titles Forum</th>
</tr>
</thead>
</table>
| **Main Objective /role** | o To discuss implementation of business plans in LSU and to issues relating to achievement of KPIs and increasing productivity  
o To input to policy on innovative ways of working  
o To discuss and share best practice  
o To cascade information on organisational issues |
| **Reporting to** | Examiner of Titles |
| **Reporting Frequency** | Every two months |
| **Composition /Membership** | All Examiners and Chief Examiners of titles in the LSU  
Attendance by Deputy Registrar(s) as required |
| **Chair** | Chief Examiner of Titles |
| **Convenor** | Chair |
| **Secretary** | AP LSU |
| **Modus operandi** | |
| **Meeting frequency** | Every two months |
| **Attendance** | Compulsory |
| **Quorum** | |
| **Minute taking** | Yes |
## Internal Forums

<table>
<thead>
<tr>
<th>Committee Name</th>
<th>6. Support Managers’ Forums</th>
</tr>
</thead>
</table>
| **Main Objective /role** | o To update support function managers on key corporate issues  
o To share knowledge, experiences and developments on support function issues  
o To discuss issues of mutual interest |
| **Reporting to** | Management Board |
| **Reporting Frequency** | As required |
| **Composition /Membership** | APs in:  
o CCSU  
o HR  
o Corporate Services  
o ICT  
o Finance  
o Procurement & Informatics  and  
o Secretary to the Authority |
| **Chair** | Head of Operations |
| **Convenor** | Casework and Customer Service Manager |
| **Secretary** | Rotating |

### Modus operandi

| **Meeting frequency** | Quarterly |
| **Attendance** | Recommended |
| **Quorum** | 80% |
| **Minute taking** | Yes, by rota. Briefing notes extracted from minutes published on OPRA |
## Internal Forums

<table>
<thead>
<tr>
<th>Committee Name</th>
<th>7. Mapping Managers’ Forum</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Main Objective /role</strong></td>
<td>To discuss;</td>
</tr>
<tr>
<td></td>
<td>o HR Update</td>
</tr>
<tr>
<td></td>
<td>o New technological developments in mapping</td>
</tr>
<tr>
<td></td>
<td>o Functionality within the PRA mapping system (DMaps)</td>
</tr>
<tr>
<td></td>
<td>o Training needs and training guides.</td>
</tr>
<tr>
<td></td>
<td>o Standards, Errors, Quality and Best Practice.</td>
</tr>
<tr>
<td></td>
<td>o Reports from Case Processing teams.</td>
</tr>
<tr>
<td></td>
<td>o Report from OSI Update team</td>
</tr>
<tr>
<td></td>
<td>o Report from Priority Customer Cases team</td>
</tr>
<tr>
<td></td>
<td>o Report from Internal Reviews team</td>
</tr>
<tr>
<td></td>
<td>o Report from Spatial Information Unit.</td>
</tr>
<tr>
<td></td>
<td>o To share knowledge, experiences and developments.</td>
</tr>
<tr>
<td></td>
<td>o To foster staff engagement and promote collaborative and participative approaches to problem solving in the mapping areas.</td>
</tr>
</tbody>
</table>

| Reporting to | Management Board |
| Reporting Frequency | Quarterly and as required |
| Composition /Membership | o Head of Mapping |
| | o Senior Mapping Managers (x3) |
| | o Regional Mapping Directors (x13) |
| Chair | Head of Mapping |
| Convenor | Head of Mapping |
| Secretary | Senior Mapping Manager |

### Modus operandi

| Meeting frequency | Quarterly |
| Attendance | Compulsory |
| Quorum | Eight attendees including the Chairperson & Secretary |
| Minute taking | Rotating |
# Internal Forums

<table>
<thead>
<tr>
<th>Committee Name</th>
<th>8. Heads of Function Forum</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Main Objective /role</strong></td>
<td>To share updates on developments in each functional area of responsibility and facilitate cross functional collaborative problem solving and decision making</td>
</tr>
<tr>
<td><strong>Reporting to</strong></td>
<td>Management Board</td>
</tr>
<tr>
<td><strong>Reporting Frequency</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Composition /Membership</strong></td>
<td></td>
</tr>
<tr>
<td>o Head of Operations</td>
<td></td>
</tr>
<tr>
<td>o Chief Information Officer</td>
<td></td>
</tr>
<tr>
<td>o Financial Controller</td>
<td></td>
</tr>
<tr>
<td>o HR Manager</td>
<td></td>
</tr>
<tr>
<td>o Head of Mapping</td>
<td></td>
</tr>
<tr>
<td>o Casework and Customer Services Manager</td>
<td></td>
</tr>
<tr>
<td><strong>Chair</strong></td>
<td>Head of Operations</td>
</tr>
<tr>
<td><strong>Convenor</strong></td>
<td>Head of Operations</td>
</tr>
<tr>
<td><strong>Secretary</strong></td>
<td>Rotating</td>
</tr>
<tr>
<td><strong>Modus operandi</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Meeting frequency</strong></td>
<td>Quarterly</td>
</tr>
<tr>
<td><strong>Attendance</strong></td>
<td>Compulsory</td>
</tr>
<tr>
<td><strong>Quorum</strong></td>
<td>Four members</td>
</tr>
<tr>
<td><strong>Minute taking</strong></td>
<td>Rotating</td>
</tr>
</tbody>
</table>
## Internal Forums

<table>
<thead>
<tr>
<th>Committee Name</th>
<th>9. Counter Fraud Committee</th>
</tr>
</thead>
</table>
| **Main Objective /role** | 1. To monitor suspicious activity noted in casework and referred to it by the Deputy Registrar, in consultation with the Chair, and to develop appropriate informal procedures and/or assist where a formal investigation is required;  
2. To develop organisational capability and expertise in handling suspected fraud incidents;  
3. To make recommendations in relation to counter fraud measures which would mitigate the risks of fraud occurring in the registration process;  
4. To assist the Compliance Officer in raising staff awareness of counter fraud policies and procedures. |
| **Reporting to** | Management Board |
| **Reporting Frequency** | At least twice a year |
| **Composition /Membership** |  
- Divisional Managers from Casework, Quality Assurance and Customer Services areas  
- Examiner of Title  
- LSU staff member  
- L&D representative |
| **Chair** | Deputy Registrar (Legal) |
| **Convenor** | Deputy Registrar (Legal) |
| **Secretary** | L&D Representative |
| **Modus operandi** |  
- **Meeting frequency**: At least every two months  
- **Attendance**: Compulsory  
- **Quorum**: Four members  
- **Minute taking**: Yes |
Staff Engagement Forums

<table>
<thead>
<tr>
<th>Committee Name</th>
<th>10. Working Together Forum</th>
</tr>
</thead>
<tbody>
<tr>
<td>Main Objective /role</td>
<td>To foster staff engagement and promote collaborative and participative approaches to problem solving in the PRA</td>
</tr>
<tr>
<td>Reporting to</td>
<td>Management Board</td>
</tr>
<tr>
<td>Reporting Frequency</td>
<td></td>
</tr>
<tr>
<td>Composition /Membership</td>
<td></td>
</tr>
<tr>
<td>Chair</td>
<td>Rotating</td>
</tr>
<tr>
<td>Convenor</td>
<td>HR Manager</td>
</tr>
<tr>
<td>Secretary</td>
<td>L&amp;D Unit Staff Member</td>
</tr>
<tr>
<td>Modus operandi</td>
<td></td>
</tr>
<tr>
<td>Meeting frequency</td>
<td>At least quarterly</td>
</tr>
<tr>
<td>Attendance</td>
<td></td>
</tr>
<tr>
<td>Quorum</td>
<td></td>
</tr>
<tr>
<td>Minute taking</td>
<td>Yes</td>
</tr>
</tbody>
</table>
## Staff Engagement Forums

<table>
<thead>
<tr>
<th>Committee Name</th>
<th>11. Diversity Committee</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Main Objective /role</strong></td>
<td>To promote inclusiveness and embrace all aspects of diversity in the workforce and to facilitate the emergence of supportive networks.</td>
</tr>
<tr>
<td></td>
<td>4 sub-committees:</td>
</tr>
<tr>
<td></td>
<td>- Disability</td>
</tr>
<tr>
<td></td>
<td>- Mental Health</td>
</tr>
<tr>
<td></td>
<td>- LGBT+</td>
</tr>
<tr>
<td></td>
<td>- Promotion of Diversity</td>
</tr>
<tr>
<td><strong>Reporting to</strong></td>
<td>Management Board</td>
</tr>
<tr>
<td><strong>Reporting Frequency</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Composition /Membership</strong></td>
<td></td>
</tr>
<tr>
<td></td>
<td>- HR Manager</td>
</tr>
<tr>
<td></td>
<td>- Asst. HR Manager</td>
</tr>
<tr>
<td></td>
<td>- L&amp;D Representatives</td>
</tr>
<tr>
<td></td>
<td>- Corporate Services representative</td>
</tr>
<tr>
<td></td>
<td>- Location and grade representatives/volunteers</td>
</tr>
<tr>
<td></td>
<td>- Diversity advocates</td>
</tr>
<tr>
<td><strong>Chair</strong></td>
<td>HR Manager</td>
</tr>
<tr>
<td><strong>Convenor</strong></td>
<td>HR Manager</td>
</tr>
<tr>
<td><strong>Secretary</strong></td>
<td>Corporate Services Unit Staff Member</td>
</tr>
<tr>
<td><strong>Modus operandi</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Meeting frequency</strong></td>
<td>At least quarterly</td>
</tr>
<tr>
<td><strong>Attendance</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Quorum</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Minute taking</strong></td>
<td>Yes</td>
</tr>
</tbody>
</table>
## Staff Engagement Forums

<table>
<thead>
<tr>
<th>Committee Name</th>
<th>12. Departmental Council</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Main Objective /role</strong></td>
<td>As part of the general scheme of conciliation and arbitration the main objective is to provide means acceptable both to the State and to its employees for dealing with claims and proposals relating to the conditions of service of civil servants and to secure the fullest co-operation between the State, as employer, and civil servants, as employees, for the better discharge of public business.</td>
</tr>
</tbody>
</table>
| **Reporting to** | o Management side to Management Board  
 o Staff side to relevant Association Membership |
| **Reporting Frequency** | Quarterly |
| **Composition /Membership** | o Head of Operations  
 o HR Manager  
 o Asst. HR Manager  
 o Staff representatives from each recognised union /association in the PRA  
 o Union Officials: PSEU, CPSU, IMPACT (Legal), IMPACT (Technical), IMPACT (FUGE) |
| **Chair** | Neutral Principal Officer |
| **Convenor** | o Secretary Staff side  
 o Secretary Management side |
| **Secretary** | HR Staff Member |
| **Modus operandi** | |
| **Meeting frequency** | At least quarterly (not less frequently than every 2 months??) |
| **Attendance** | |
| **Quorum** | |
| **Minute taking** | Yes |
### Appendix 6 - PRA Annual Assessment of Management Board Effectiveness

<table>
<thead>
<tr>
<th>A. Creating an Effective Management Board</th>
<th>More satisfied - Less satisfied</th>
<th>What could the Management Board do better or differently?</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Are you satisfied that the Management Board has clearly documented its role and responsibilities in the PRA Corporate Governance Standard?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. Are you satisfied that Management Board members both individually and collectively understand what is expected of them?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. Are you satisfied with the succession plans in place?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4. Are you satisfied that Management Board members, as a whole, have sufficient skills experience, time and resources to undertake their duties?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5. Are you satisfied with the level of secretarial support at the Management Board’s disposal?</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

---

## B. Running an Effective Board

<table>
<thead>
<tr>
<th></th>
<th>More satisfied - Less satisfied</th>
<th>What could the Management Board do better or differently?</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1.</strong> Are you satisfied that the Management Board has in place a set of objectives that seek to enhance its effectiveness?</td>
<td>1 2 3 4 5</td>
<td></td>
</tr>
<tr>
<td><strong>2.</strong> Are you satisfied with the Chair’s leadership style (e.g. are they decisive, open-minded and courteous; do they set a good example, allow members to contribute and hold members to high standards; do they relate well to other members/attendees, deal effectively with dissent and work constructively towards consensus)?</td>
<td>1 2 3 4 5</td>
<td></td>
</tr>
<tr>
<td><strong>3.</strong> Are you satisfied that the Management Board’s workload is dealt with effectively?</td>
<td>1 2 3 4 5</td>
<td></td>
</tr>
<tr>
<td><strong>4.</strong> Are you satisfied that Management Board members work together constructively as a team?</td>
<td>1 2 3 4 5</td>
<td></td>
</tr>
<tr>
<td><strong>5.</strong> Are you satisfied that Management Board meetings are conducted in a manner which encourages open discussion, healthy debate and allows each board member to clearly add value to discussion and decisions?</td>
<td>1 2 3 4 5</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Question</td>
<td></td>
</tr>
<tr>
<td>---</td>
<td>--------------------------------------------------------------------------</td>
<td>---</td>
</tr>
<tr>
<td>6.</td>
<td>Are Management Board meetings conducted in an atmosphere of creative tension?</td>
<td></td>
</tr>
<tr>
<td>7.</td>
<td>Are you satisfied that the Management Board’s schedule of matters/ table of action items is up to date and regularly reviewed?</td>
<td></td>
</tr>
<tr>
<td>8.</td>
<td>Are you satisfied that the Management Board’s meeting arrangements (e.g. frequency, timing, duration, venue and format) enhance its effectiveness?</td>
<td></td>
</tr>
<tr>
<td>9.</td>
<td>Are you satisfied that the Management Board’s meeting agenda has sufficient input from all Board members?</td>
<td></td>
</tr>
<tr>
<td>10.</td>
<td>Are you satisfied that Management Board meetings allow sufficient time for discussion of substantive matters?</td>
<td></td>
</tr>
<tr>
<td>11.</td>
<td>Are you satisfied that Management Board meeting agendas and related background information are circulated in a timely manner to enable full and proper consideration to be given to the important issues?</td>
<td></td>
</tr>
</tbody>
</table>
12. Are you satisfied that the Management Board’s meeting minutes are clear, accurate, consistent, complete and timely?

13. Are you satisfied that outstanding actions arising from the Management Board meetings are properly followed up?

14. Are you satisfied that the Management Board has adequate and appropriate secretarial support?

15. What is your view in respect of the wider publishing of the Management Board minutes in the PRA?
## C. Professional Development

<table>
<thead>
<tr>
<th></th>
<th>More satisfied - Less satisfied</th>
<th>What could the Management Board do better or differently?</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Are you satisfied with timelines and appropriateness of ongoing professional development received by the Management Board?</td>
<td><img src="image" alt="Rating Options" /></td>
</tr>
<tr>
<td>2.</td>
<td>Are you satisfied with the Executive coaching programme delivery?</td>
<td><img src="image" alt="Rating Options" /></td>
</tr>
<tr>
<td>3.</td>
<td>Are you satisfied that all Management Board members are afforded equal opportunity to attend formal courses and conferences?</td>
<td><img src="image" alt="Rating Options" /></td>
</tr>
</tbody>
</table>
### D. Strategic Foresight

<table>
<thead>
<tr>
<th>Question</th>
<th>More satisfied - Less satisfied</th>
<th>What could the Management Board do better or differently?</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Are you satisfied that the Management board devotes significant time to determining the emerging issues that could affect the organisation in the future?</td>
<td>[ ] [ ] [ ] [ ] [ ]</td>
<td></td>
</tr>
<tr>
<td>2. Are you satisfied that the Management Board has a good understanding of the organisation’s key drivers of performance?</td>
<td>[ ] [ ] [ ] [ ] [ ]</td>
<td></td>
</tr>
<tr>
<td>3. Are you satisfied that the majority of the Management Board’s time is spent on issues relating to the strategic direction and not day-to-day management responsibilities?</td>
<td>[ ] [ ] [ ] [ ] [ ]</td>
<td></td>
</tr>
<tr>
<td>4. Are you satisfied that the PRA’s organisational purpose (mission) and vision has been defined and clearly communicated to all levels within the organisation?</td>
<td>[ ] [ ] [ ] [ ] [ ]</td>
<td></td>
</tr>
<tr>
<td>E. Stewardship</td>
<td>More satisfied - Less satisfied</td>
<td>What could the Management Board do better or differently?</td>
</tr>
<tr>
<td>--------------------------------------------------------------------------------</td>
<td>---------------------------------</td>
<td>----------------------------------------------------------</td>
</tr>
<tr>
<td>1. Are you satisfied that the Management Board understands and fulfils its stewardship role?</td>
<td>[ ] [ ] [ ] [ ] [ ]</td>
<td></td>
</tr>
<tr>
<td>2. Are you satisfied that the Organisation’s risk management processes provide a full understanding of the high risk issues that could impact the organisation?</td>
<td>[ ] [ ] [ ] [ ] [ ]</td>
<td></td>
</tr>
<tr>
<td>3. Are you satisfied that the Management Board appreciates the details of the control assurance framework including reporting scope and timelines?</td>
<td>[ ] [ ] [ ] [ ] [ ]</td>
<td></td>
</tr>
</tbody>
</table>
### F. Performance Evaluation

<table>
<thead>
<tr>
<th></th>
<th>More satisfied - Less satisfied</th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Are you satisfied that our existing range of financial and non-financial performance measures are broad enough to monitor organisational performance?</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Are you satisfied that our existing performance measures are linked to the organisation’s strategy?</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Are you satisfied that the organisation’s performance is adequately benchmarked against its peers?</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Are you satisfied that the Management Board has in place an appropriate process for regular board, committee and individual board member evaluation?</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Are you satisfied that all actions arising from performance evaluation are followed up?</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>Are you satisfied that the Management Board performance assessment process enhances Management Board effectiveness?</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

What could the Management Board do better or differently?
G. Managing Management

<table>
<thead>
<tr>
<th></th>
<th>More satisfied - Less satisfied</th>
<th>What could the Management Board do better or differently?</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Are you satisfied that the Management Board is appropriately engaged in succession planning?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. Are you satisfied that there is appropriate assignment of functions in place and that they are regularly reviewed?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. Are you satisfied that bad news is communicated to the Management Board as it arises?</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
### H. Value Creation

<table>
<thead>
<tr>
<th>Question</th>
<th>More satisfied - Less satisfied</th>
<th>What could the Management Board do better or differently?</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Are you satisfied that the Management Board has clearly identified the organisation's major stakeholders and the 'value' each requires?</td>
<td><img src="image" alt="Rating Options" /></td>
<td></td>
</tr>
<tr>
<td>2. Are you satisfied that there are systems in place to allow the Management Board to measure whether the organisation is creating or destroying major stakeholder 'value'?</td>
<td><img src="image" alt="Rating Options" /></td>
<td></td>
</tr>
<tr>
<td>3. Are financial and non-financial value drivers in place to focus on the enhancement of value?</td>
<td><img src="image" alt="Rating Options" /></td>
<td></td>
</tr>
<tr>
<td>4. Is our existing decision making process (including the present structure of management proposals) adequate to properly assess whether proposals create major stakeholder value?</td>
<td><img src="image" alt="Rating Options" /></td>
<td></td>
</tr>
<tr>
<td>5. Is the PRA creating major stakeholder value?</td>
<td><img src="image" alt="Rating Options" /></td>
<td></td>
</tr>
<tr>
<td>6. Does the Management Board have adequate mechanisms for communicating with major stakeholders?</td>
<td><img src="image" alt="Rating Options" /></td>
<td></td>
</tr>
</tbody>
</table>
# I. Corporate Culture

<table>
<thead>
<tr>
<th></th>
<th>More satisfied - Less satisfied</th>
<th>What could the Management Board do better or differently?</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Are you satisfied that the Management Board’s comprehension of the organisation’s purpose, vision and strategic plan is reflected in actions taken?</td>
<td>![1] ![2] ![3] ![4] ![5]</td>
<td></td>
</tr>
<tr>
<td>3. Are you satisfied that the Management Board members are accessible to staff?</td>
<td>![1] ![2] ![3] ![4] ![5]</td>
<td></td>
</tr>
</tbody>
</table>