



ÚDARÁS UCHTÁLA na hÉIREANN
THE ADOPTION AUTHORITY of IRELAND

Business Plan 2018

Staffing Resources 2018

The Adoption Authority of Ireland is currently allocated 26 posts to fulfil its functions as set out in the Adoption Act 2010. At start of 2018 the Authority has 5 vacancies. One vacancy at PO is at the 2nd stage of the recruitment process and vacancy should be filled in Q1. The Authority received sanction to fill 2 posts at CO level, competition for these posts commenced in January 2018. The Authority also received sanction to fill 2 vacancies at Social Worker level, the competition for these posts commenced in February 2018. Sanction was also received for a Research Officer on a 3-year contract; recruitment for this post is expected to begin in April 2018.

In the event that the Adoption (Information and Tracing) Bill progresses in 2018 the Authority expects that it will need to recruit more staff subject to commencement dates and enactment dates of the legislation and has provided in its pay budget for the recruitment of up to 8 additional staff at various grades. Formal requests for sanction for this increase in staffing will be submitted to DCYA as the need arises.

Financial Resources 2018

The Authority has been allocated a pay budget of €2.182m and a non-pay budget of €2.210m for 2018 by the Department of Children and Youth Affairs. The Authority is required to submit a profile of expenditure at the start of the year to the Department setting out on a monthly basis its cash requirements / expenditure for the year. The Authority drawdowns down its non-pay budget on a monthly basis from the Department. As part of this process it provides the Department with detailed analysis of its monthly expenditure. Additionally, the Authority reports monthly to the Finance Unit in the Department on any variance between profiled and actual expenditure.

Where the resources column contains the word 'General' this indicates routine work carried out by the staff of the Authority year after year. Resources for new projects or non-routine work have been included in the column. The resources indicated may be subject to change as the year progresses and information on proposed legislative changes becomes clearer.

Goal 1:

To achieve the highest standard in the regulation and operation of adoption services in Ireland.

Tasks	Actions	Date	Unit/Person(s) responsible	KPIs / Outputs	Resources	Corporate Plan Reference – Appendix One
Maintain the Register of Accredited Bodies and adhere to Schedule of Inspections of Accredited Bodies.	Publish executive summary of inspections on website. Complete inspection of one accredited body.	Q2/Q3 Q2	Corporate Services/Webteam Social Work Team/Corporate Services	Executive summary of inspections published on website following Board review and approval.	General	1.1
Reaccredit and re-register all accredited bodies providing adoption services.	Issue guidelines to any accredited bodies whose accreditation is due for renewal in 2018.	As required	Corporate Services/Board	Bodies will be re-accredited in timely manner.	General	1.3
Accredit new applicant agencies.	For new agencies seeking accreditation, issue guidelines on the accreditation process, assist them with their application and submit application to the Board in a timely manner.	As required	Corporate Services/Board	Agencies applying for accreditation for the first time will have their applications processed in a timely manner and will be issued with a decision as soon as possible. A notice will be published in Iris Oifigiúil in the prescribed form of every registration as per S134 of the Adoption Act 2010	General	1.3
Cancel registration of accredited bodies.	Work with accredited body to ensure that the cancellation process is carried out in line with legislative provisions. Audit files of accredited body in instances where legal transfer of files has not been completed at time of cancellation of accreditation.	As required Q1	Corporate Services/Board PSW	Agencies that have ceased providing services will be guided through correct process and their accreditation cancelled in a timely manner. A notice will be published in Iris Oifigiúil in the prescribed form of every cancellation of	General	This task was not in the original Corporate Plan.

Tasks	Actions	Date	Unit/Person(s) responsible	KPIs / Outputs	Resources	Corporate Plan Reference – Appendix One
				<p>registration as per S134 of the Adoption Act 2010</p> <p>Authority has up to date record of all relevant files.</p>		
Monitor self-reporting of accredited agencies and keep Board informed of status of accredited agencies.	<p>Deadlines for submission of reports monitored and accredited agencies contacted immediately if deadlines are not met.</p> <p>Monthly reports provided to the Board of the Authority on the status of accredited bodies and the timing of receipt of reports.</p>	<p>On going</p> <p>Monthly</p>	<p>Corporate Services/CEO</p> <p>Corporate Services/CEO</p>	<p>Submission of late reports minimised.</p> <p>Board of the Authority fully informed at all times of any issues arising in respect of the accredited bodies</p>	General	<p>1.1</p> <p>1.3</p>
<p>Review existing contingency plan which would be implemented in the event of the closure of HHAMA.</p> <p>To Note: Limitations to work AAI can take over. In the case of Vietnam, the Vietnamese authorities will not deal with a Central Authority only an accredited agency.</p>	<p>Joint meetings of HHAMA and AAI held on a regular basis to discuss contingency.</p> <p>Contingency plan scheduled for formal review every six months. Frequency will be increased if there are developments.</p> <p>Current difficulties in accessing the IT adoption systems of India and China, which are an integral part of the process, to be addressed in the event that Authority has to take over from HHAMA.</p>	<p>Ongoing</p> <p>Ongoing</p> <p>Q1</p>	CEO/HHAMA/ICA/SW/Board	Up to date plan in place to allow adoptions in progress to be completed, and on-going service implemented in place of HHAMA.	General	Extra: Not originally in Corporate Plan.
<p>Devolve mediation services for Philippines to HHAMA.</p> <p>Devolve mediation services for Thailand to HHAMA.</p>	<p>Philippine programme progressing.</p> <p>Possible visit to Philippines in 2018</p>	<p>Ongoing</p> <p>Q1</p>	<p>ICA/CEO/PO/HHAMA</p> <p>CEO/PO/Chair</p> <p>ICA/PO</p>	Philippine programme in place and working.	Visit to Philippines approx. €2700	2.4

Tasks	Actions	Date	Unit/Person(s) responsible	KPIs / Outputs	Resources	Corporate Plan Reference – Appendix One
	Write to Thailand again (previously contacted in 2017) to seek approval for HHAMA operations in-country.			Acceptance by Thailand of HHAMA operation and proposal for transfer to go to Board for review and decision.		
Implement the Adoption Amendment Act 2017	Forms and guidelines have been revised and will be monitored to check for further changes. Procedures have been revised and new procedures will be developed as required. Disseminate revised forms and guidelines to users as required. Relevant sections of website updated. Relevant sections of operations manual updated.	Ongoing	DAU/ICA/SW DAU/ICA/I&T/Webteam	Revised and updated forms and guidelines made available to all users in timely manner. Delays in processing applications avoided due to out of date forms being submitted or out of date procedures being followed.	General	1.1
Review the Standardised Framework for Eligibility & Suitability.	The Authority will assist and support Tusla in this review as required by Tusla.	As required	CEO/PSW/DAU/ICA/Tusla	Processes in establishing eligibility and suitability of applicants in adoption matters will be consistent across all counties and will meet the standards required by the Authority as regulator in adoption standards.	General	1.1
Maintain the register of intercountry adoptions and Register of Gender Recognition intercountry adoptions.	Entries in the Registers entered accurately and in a timely manner.	As required	ICAU/PO/Board	Both Registers accurate and up to date.	General	
Hold/ Host Seminars & Forums	Arrange speakers, facilities and supporting documentation for each event.	Q2, Q4	Corporate Services/Board/ Social Work Team	Two seminars and four Forums organised to: - ensure standardisation and		1.2 3.1

Tasks	Actions	Date	Unit/Person(s) responsible	KPIs / Outputs	Resources	Corporate Plan Reference – Appendix One
	<p>Issue invitations and facilitate at events</p> <p>March/April 2018 – Seminar on implications of GDPR for adoption in planning stage.</p> <p>SW Fora planned as follows: 21 March 2018, Information and Tracing 17 April 2018, Social Workers and Medical Advisors Forum</p> <p>Two further Fora planned for Q4</p>	<p>As required</p> <p>Q1</p> <p>Q2</p> <p>Q4</p>	<p>CEO/Board</p> <p>Social Work Team/Corporate Services</p> <p>Social Work Team</p>	<p>consistency in practice provision;</p> <ul style="list-style-type: none"> - disseminate information about impending or new legislation, and; - support continuing professional development. <p>Professional stakeholders practicing with up-to-date information.</p> <p>Continuing Professional Development supported in adoption service practice.</p>		
<p>Consultation with stakeholders</p>	<p>Schedule one Board meeting outside Dublin in 2018 (Waterford).</p> <p>Map key stakeholders</p> <p>Contact all country specific support groups and convene one meeting per annum</p> <p>Follow up with participants in 2016 OCO workshop for feedback on the improvements made to facilities and our website for younger people</p>	<p>Q2</p> <p>Q2</p> <p>Q1</p> <p>Q2</p>	<p>CEO/Social Work Team/Corporate Services</p> <p>CEO/Manager Corporate Services</p> <p>CEO/SWT</p> <p>Social Work Team/Corporate Services</p>	<p>Opportunity provided to meet and engage with local adoption services personnel, community groups and representatives.</p> <p>Authority will have up to date database of all adoption related stakeholders.</p> <p>Authority can provide information and hear issues directly from the groups.</p>	<p>General</p>	<p>3.1.</p>

Tasks	Actions	Date	Unit/Person(s) responsible	KPIs / Outputs	Resources	Corporate Plan Reference – Appendix One
	ICA involved with Anglo Phone Conference and liaise with other Hague country counterparts.			<p>Opportunity to hear first-hand views of the work we have done and hear what other improvements might be suggested.</p> <p>Recognition that the Authority is demonstrating child-centeredness at hearings.</p> <p>Authority is informed of experiences and issues arising in other Hague countries.</p>		
Promote and develop website	Develop sections of the website	Ongoing	Corporate Services / Webteam	Website will provide accurate and up to date information in a user friendly manner.	Budget of 35k for maintenance and development	3.3.

Goal 2:

To apply informed and balanced decision-making in adoption services, in accordance with national and international law and evidence-based best practice.

Tasks	Actions	Date	Unit/Person(s) responsible	KPIs / Outputs	Resources	Corporate Plan Reference – Appendix One
<p>Make informed and timely decisions regarding:</p> <ul style="list-style-type: none"> - the granting of declarations of eligibility and suitability to adopt - the making of adoption orders - the recognition of intercountry adoption orders - Article 17 referrals 	<p>For delegated tasks, maintain turnaround and processing times.</p>	Ongoing	ICA/ DAU/ SW, Med Adv	Timely, equitable, transparent and quality decisions.	General	2.1 2.2
	<p>Be consistent with format of case sheets presented.</p>			Due process followed.		
	<p>Monitor current procedures for possible improvement.</p>	Q1	ICA/Board/Solicitor	Applications for RICA entries to be equitable, fair and transparent.		
<p>Provision of proper criteria in respect of decision-making on RICA entries. Proposal to be submitted to Board</p>	<p>Board cooperation necessary in respect of consistency of decisions.</p>					
<p>Clear & transparent guidance on the subjective aspects of Adoption Act to be given by Board.</p>	<p>Engage independent consultant to review the internal processing of Section 40 procedures, the function of which has been delegated by the Board</p>	Q2	CEO/PO			
<p>Engage independent consultant to review the internal processing of Section 40 procedures, the function of which has been delegated by the Board</p>	<p>Engage independent consultant to review the internal processing of Section 40 procedures, the function of which has been delegated by the Board</p>	Q2	CEO/Board/DAU/ICAU	In respect of this particular function the independent report will assist the Board in fulfilling their duty to supervise the discharge of delegated functions as required under the Code of Practice for the Governance of State Bodies.	Approx €2000	

Tasks	Actions	Date	Unit/Person(s) responsible	KPIs / Outputs	Resources	Corporate Plan Reference – Appendix One
				Recommendations, if any, in the report will be considered by the Executive and incorporated into internal procedures as required.		
All adoptions completed for those reaching 18.	<p>Tusla and AAI have early warning system in place to advise of children reaching 18.</p> <p>Closer attention to be given to such applications due to increase in complexity of background situations and change in profile of children available for adoption following enactment of legislation.</p> <p>Adoption process prioritised and Board of AAI advised on critical cases.</p> <p>An agreed set of criteria for Board review of such cases has been put in place between Tusla and AAI.</p> <p>High Court, through AAI legal advisors, informed of urgency of relevant cases.</p>	Ongoing	CEO linking with Head of Adoption Services, Tusla	<p>No adoption delayed.</p> <p>Partially dependent on Tusla process of assessment of applicants and resolution of any issues prior to adoption.</p>	General	2.1
Compiling statistical information and other records required for planning, development and provision of adoption services.	<p>Operational units provide statistics to CEO for CEO report to Board.</p> <p>Statistics updated on website on quarterly basis and published in Annual Report.</p> <p>Requests for statistics other than those published compiled on request if the information is available.</p>	<p>Monthly</p> <p>Quarterly/annually</p> <p>As requested</p>	<p>CEO/All units</p> <p>Corporate Services/all units</p> <p>Relevant unit depending on the statistics requested</p>	<p>Statistics provided to Board for information.</p> <p>Statistics available to the public and other Government Departments.</p> <p>Statistics database developed on foot of requests.</p>	General	2.2

Tasks	Actions	Date	Unit/Person(s) responsible	KPIs / Outputs	Resources	Corporate Plan Reference – Appendix One
Engaging with Hague Convention National Central Authorities in accordance with the Corporate Plan.	<p>Haiti programme open – monitoring of programme underway. Visit to Haiti scheduled for April 2018.</p> <p>Proposals on engagement with new Central Authorities to be submitted to the Department in advance of entering new negotiations with countries AAI has not already engaged with.</p> <p>Seek to establish possibility of ICA programme with South Africa and visit to Central Authority South Africa.</p>	<p>Ongoing</p> <p>Q2</p> <p>As required</p> <p>Q2/Q3</p>	<p>CEO/Board/PO</p> <p>CEO/Board/DCYA</p> <p>CEO/Board/DCYA</p>	<p>Joint Central Authority & Board agreement on new arrangements for an accredited body to work in each country.</p>	<p>Travel costs approx. 7,500</p> <p>Travel costs approx. €5,000</p>	<p>2.4</p> <p>On-going through each year of the Plan.</p>
Make informed and timely decisions regarding the release of identifying information to adult adoptees and birth parents.	<p>In conjunction with the Office of the Data Protection Commissioner seek clarity on potentially conflicting areas between GDPR and Adoption legislation.</p> <p>Maintain turnaround times in delegated decisions.</p> <p>Consultation between I&T unit, SW unit and accredited bodies to provide timely responses to requests.</p> <p>Comprehensive case sheets provided to the Board to allow them make decisions when required in a timely manner.</p> <p>Examine issue of legal access for AAI to Client Identity Services in the Department</p>	<p>Q1/Q2</p> <p>Ongoing</p> <p>Ongoing</p> <p>Ongoing</p> <p>Q1</p>	<p>I&T/SW/CEO/Board</p> <p>I&T/Social Work Team</p>	<p>Consultation with Office of Data Protection Commissioner new development for 2018</p> <p>Requests for information responded to in timely manner and within the parameters allowed in the absence of specific legislation.</p> <p>Timely decisions, clear and equitable process.</p>	<p>No cost or resource implications expected at this time. Will be reviewed quarterly.</p> <p>General</p>	<p>GDPR not on original Corp Plan</p> <p>2.3</p> <p>Ongoing since year 1 of Corporate Plan.</p>

Tasks	Actions	Date	Unit/Person(s) responsible	KPIs / Outputs	Resources	Corporate Plan Reference – Appendix One
	of Social Protection. Social workers require such access to provide tracing service.		Social Work Team/CEO/Solicitor/DCYA	DSP Legislation amended to include the Adoption Authority in schedule of bodies who may use CIS.		GDPR issue, not on original Corp Plan.
Continue to implement the FOI Acts	<p>Have key staff trained appropriately.</p> <p>Reminder briefings and updates to staff throughout the year.</p> <p>Operations Manual and Employee Handbook updated as required.</p> <p>Publish statistics.</p>	Ongoing	<p>Corp Services/All staff</p> <p>Head of Compliance</p> <p>Head of Compliance</p> <p>Corporate Services/Webteam</p>	<p>Requests dealt with in accordance with statutory provisions.</p> <p>Statistics published on website on a quarterly basis.</p>	Any external training required will be funded from training budget	5.3
Compliance with Data Protection Acts	Data Protection Officer dealing with Access Requests	As required	DPO/Head of Compliance and Resources	Requests dealt with in accordance with statutory provisions.	General	5.3
Preparation for Compliance with General Data Protection Regulations and implementation of same.	<p>Data Protection Officer to be provided with appropriate training for new Regulations.</p> <p>All staff updated on implications of new Regulations.</p> <p>Sub Committee established – heads of units and DPO</p> <p>Review Adoption Act 2010 in the context of GDPR and respond to DCYA request in letter of 9Oct2017.</p> <p>If required derogation to be sought.</p>	<p>Q1/Q2</p> <p>Ongoing</p> <p>January</p> <p>Q1/Q2</p>	<p>All Staff/Records Unit/CEO/DPO</p> <p>Head of Compliance/DPO</p> <p>CEO/Board/DCYA</p>	<p>Authority fully compliant Regulations when it comes into place in 2018</p> <p>Resources required in first 6 months of 2018 to meet compliance requirement:</p>	Budget €30K has been set aside to provide for training, consultants etc in relation to GDPR readiness.	<p>5.3</p> <p>Compliance with GDPR not on original Corporate Plan.</p>

Tasks	Actions	Date	Unit/Person(s) responsible	KPIs / Outputs	Resources	Corporate Plan Reference – Appendix One
	<p>Operations manual and Employee Handbook updated as necessary.</p> <p>All staff to assist in compilation of data held throughout the Authority.</p> <p>Retention, disposal and archiving policy to be established.</p> <p>Breach reporting policy and reporting procedure to be implemented.</p>	<p>Q1</p> <p>Q1</p> <p>Q2</p> <p>Q1</p>	<p>All Staff/GDPR Subcommittee</p> <p>GDPR subcommittee</p> <p>DPO/GDPR subcommittee/ Head of Compliance/Board</p> <p>GDPR Subcommittee/CEO/Board</p>			
<p>Establish a consolidated database to include all data stored on current databases as well as the Register of Intercountry Adoptions, Birth Father Register, Gender Recognition Register (ICA).</p>	<p>Engage ICT in DOH to assist in preparatory work to draw up specification for new consolidated database.</p> <p>Create a specification document for the consolidated database proposed and tender for provider. Database development.</p> <p>User testing and system training as required.</p>	<p>Q1</p> <p>Q1 – Q2</p> <p>Q2 – Q4</p> <p>Q3 – Q4</p>	<p>Corporate Service with all units</p> <p>Corporate Services</p> <p>Corporate Services/</p> <p>Corporate Services</p>	<p>Clear picture of what is required</p> <p>All relevant staff can use the system correctly and are aware of related matters such as General Data Protection Regulations.</p> <p>Speedy and accurate reporting can feed into decision making and planning across the organisation.</p>	<p>Once specification is agreed - tender for provider €30,000 (estimate)</p>	<p>2.2.5 & 5.3</p>
<p>Expand the use of Docuware document management software throughout sections as far as possible.</p>	<p>Complete the switch over from Fortis to Docuware in I&T section.</p> <p>Update Operations Manual accordingly.</p>	<p>Q1</p> <p>Q1</p>	<p>I&T/Corporate Services</p> <p>I&T/Head of Compliance</p>	<p>I&T tracing work enhanced with use of new software and added functionalities.</p>	<p>No extra costs at this time.</p>	<p>5.3</p>

Tasks	Actions	Date	Unit/Person(s) responsible	KPIs / Outputs	Resources	Corporate Plan Reference – Appendix One
	Expand use of Docuware to other sections, to include 'work flow' system.	Q2-Q4 and on-going	Corporate Services and all other sections	Increased efficiency in document management and security across all sections		
Docuware and database integration	Integrate Docuware with consolidated database Train all relevant staff in its use	Q4 As required	Corporate Services	Increased efficiency in data and document management across all sections.	No extra costs at this time	5.3
Scanning of ICA files as a first step in securing data.	May be included as part of consolidated database project above.	Q3 / Q4	ICA/Corporate Services	ICA data scanned and secure. Increased efficiency in accessing records and producing statistics	Costs included in €30k referred to above.	5.3
ICT risks monitored and addressed	ICT audit included as part of RAC work plan for 2018/2019. Included in risk register and reviewed at each RAC meeting	Quarterly	Head of Compliance and Resources/RAC	Risks identified and addressed appropriately	General	2.2.6

Goal 3:

To inform adoption policy and service delivery by reason of a practical understanding of the operations of the legislation through provision of a comprehensive information, research and communications framework.

Tasks	Actions	Date	Person(s) responsible	KPIs / Outputs	Resources	Corporate Plan Reference – Appendix One
Improve and develop website as primary source of information to the public	Keep website material current	Ongoing Q3 2018	All Social Work Team	Content is updated as required – statistics are published in timely manner Staff can continue to refer callers to the website in the knowledge that the	General	3.3

Tasks	Actions	Date	Person(s) responsible	KPIs / Outputs	Resources	Corporate Plan Reference – Appendix One
	<p>Review Post Adoption Services Directory. (Formally Reviewed Q3 2017).</p> <p>Send reminder to accredited bodies and other stakeholders about website and seek confirmation of accuracy and validity of their information. To be sent with the request for activity report.</p> <p>Internal Review of feedback from stakeholders.</p>	Twice yearly	WebTeam/Corporate Services	<p>information is accurate, up to date and easily understood</p> <p>Up-to-date Directory</p> <p>Stakeholders awareness of website enhanced.</p>		
Undertake research projects, promote research opportunities	<p>Continue provision of resource support for Research Subcommittee</p> <p>Report on Irish Adoption Research completed and submitted to Board</p> <p>Have job specification and sanction of for Research Officer contract in place through external HR DCYA</p> <p>Recruit Research Officer</p> <p>Collection and collation of oral histories (this item is deferred pending the recruitment of Research Officer and the work plan to be devised by RO and RSC/DCYA).</p>	<p>Ongoing</p> <p>Q1</p> <p>Q1</p> <p>Q2</p> <p>Deferred</p>	<p>Research subcommittee/ Social Work Team /Corporate Services</p> <p>Research subcommittee</p> <p>Research subcommittee/HR/DCYA</p> <p>HR/Research Sub Committee</p> <p>Research subcommittee/DCYA</p>	<p>Comprehensive report Irish adoption research available to inform further projects.</p> <p>AAI will have access to suitability qualified researcher to assist with oral history project and other projects 2018 – 2020. Proposed research projects and plans fulfil the Authority’s functions under Section 96 (d) and are in line with Ministerial priorities.</p>	New Research Officer if recruited €62K – has been budgeted for in pay allocation.	3.5

Tasks	Actions	Date	Person(s) responsible	KPIs / Outputs	Resources	Corporate Plan Reference – Appendix One
Development of library resource	<p>Enhance the physical material available in the library – books/journals etc.</p> <p>Subscribe to relevant sites for access to publications/studies and other relevant material required</p> <p>Set up a recording system to allow search and tracking of borrowed material.</p>	<p>Q2-Q3</p> <p>Q3</p> <p>Q2</p>	<p>Corporate Services/Social Work Team/Research Officer</p> <p>Corporate Services/Research Officer/RSC</p> <p>Corporate Services/Research Officer</p>	Fully operational library/resource centre available to staff and in due course accessible to researchers/students on limited basis.	Approx €8000	3.5
Clarity of communication with the public & stakeholders to include a corporate identity.	<p>Ongoing evaluation of current oral, written and electronic communication.</p> <p>On-going engagement with NALA and project commencing in conjunction with Ombudsman’s Office.</p> <p>Ensure consistent use of logo on website/presentation/ publications/ emails etc.</p>	<p>Ongoing</p> <p>Q1/Q2</p> <p>Ongoing</p>	<p>Corporate Services/all operational units/PO</p> <p>Corporate Services/CEO</p> <p>All</p>	Consistency in image, style of communications, language.	General	3.2 3.3
Support the Minister and DCYA in the development of adoption related policy and legislation through the provision of general advice on adoption matters.	<p>Continue to provide statistics and submissions as requested.</p> <p>Keep Department informed of any developments which may raise public policy issues.</p> <p>Keep Department informed of any issues arising in relation to non-routine legal matters.</p>	Ongoing	All/Board	Information provided in timely manner to the Minister and Department.	General	3.6

Goal 4:

To plan and implement the changes required in organisation policies and operational procedures in line with emerging legislative changes

Tasks	Actions	Date	Person(s) responsible	KPIs / Outputs	Resources	Corporate Plan Reference – Appendix One
Preparation for Information and Tracing legislation.	Records Management/Project Manager engaged for 6-month contract.	Q1 & Q2	I&T/CEO/Records Unit	Comprehensive plan in place outlining volume and nature of records which will become remit of AAI, methodology on how to record, scan and preserve records.	Resources: €24K for Project Manager All other General	4.1 4.2 3.2 3.3
Information Sharing	<p>Continue to participate in Adoption Records Working Group (ARWG) with Tusla and DCYA.</p> <p>Continue to participate in The Register of Adoption Contact Enquiries (TRACE) sub – group with TUSLA and DCYA. NALA representative to attend TRACE sub group – February 2018.</p> <p>Continue to participate in sub group preparing public awareness/media campaign with Tusla and DCYA.</p>	Ongoing pending enactment of legislation	I&T/SWT/CEO/DCYA/Tusla	<p>All parties are kept up to date with progress on passing of Bill and enactment of various sections. All parties working in a coordinated manner to facilitate seamless transfer of functions when required.</p> <p>Mutual understanding of the implications for all parties of the transfer of responsibilities for records prior to enactment, insofar as this is possible until the final wording of the Bill is in place. Process for effects of implementation designed and agreed with Tusla.</p> <p>Functional, user-friendly application form available on enactment of legislation and easy to follow guidelines published.</p> <p>Process for effects of implementation designed and agreed with Tusla.</p> <p>AAI involved in decisions about the content of public messages ensuring that meaningful, consistent and accurate</p>		
		As required	CEO/I&T/Tusla			

Tasks	Actions	Date	Person(s) responsible	KPIs / Outputs	Resources	Corporate Plan Reference – Appendix One
	<p>Formal meeting with Accredited Bodies regarding Impact of enactment of I&T Bill.</p> <p>Information on Bill disseminated nationally</p>	<p>Ongoing pending enactment</p>	<p>I&T/CEO</p>	<p>messages about the new legislation is shared with the general public and in particular parties affected by adoption.</p> <p>Accredited Bodies fully appraised of potential changes to relationship with AAI and with Tusla and potential implications for their work.</p> <p>Seminars and Forums used to maintain information on effects of the Bill – website updated as necessary</p>		
<p>Preparation for Information and Tracing legislation</p> <p>Records and Organisation implications</p>	<p>Consult with staff on the possible implications of the Adoption (Information & Tracing) Bill as currently drafted.</p> <p>Prepare report to DCYA outlining potential revised staffing and reporting structure for AAI in the event that the legislation progresses, report to include:</p> <ul style="list-style-type: none"> -work that will no longer be in the remit of the AAI; -new responsibilities of AAI; -what staff will be affected by this and how; -what resources will be needed; -Costings in place in relation to all of the above. <p>Obtain professional advice and guidance to ensure AAI is fully informed of the standards required for storage and preservation of valuable records. Advise DCYA of same.</p>	<p>Q2/Q3</p> <p>Q3</p> <p>Q1 & Q2</p>	<p>HR/CEO/all staff</p> <p>CEO/HR</p> <p>CEO/Records Unit/Project Manager</p>	<p>All staff will be appraised of their roles and functions in the transition phase and following enactment of the legislation as it is currently drafted.</p> <p>AAI will have sufficient information to allow accurate costing of premises and internal infrastructure required.</p> <p>Specification for Place of Deposit in place and request lodged with OPW.</p>	<p>General budget of €500K has been set aside for all developments in relation to I&T legislation coming into place. This does not include costs for a place of deposit which is not possible to estimate at this time.</p>	<p>4.1</p> <p>4.2</p>

Tasks	Actions	Date	Person(s) responsible	KPIs / Outputs	Resources	Corporate Plan Reference – Appendix One
Implementation of Children First Act 2015	Staff to complete on line TUSLA certification for Children first.	Jan 2018	All staff/DLP	Authority in compliance with new legislation. Designate Liaison Person and HR have records to confirm completion of e learning programme.	General	4.1
	Child Safety Safeguarding statement updated.	Jan 2018	SW/Board			
	Operations Manual and Employee Handbook updated.	Feb 2018	SW/Head of Compliance and Resources			
	Deputy Designated Liaison Person to be appointed	Q1	SWT Authorised Liaison Person			
	Garda vetting kept up to date	As Required				
Update Business Plan	Review Business Plan Quarterly and provide update to DCYA.	Quarterly	CEO/Board/PO	Business Plan reflects reality of resources available and Authority responsibilities.	General	
Corporate Plan	Review Plan in February, June and September 2018	Q1, Q2, Q3	All Staff/CEO	Confirmation of tasks completed and goals achieved. Indication of tasks and goals to be included in revised Corporate Plan. New Corporate Plan submitted to Minister for approval in 2018. Compliance with Adoption Act 2010 and Code of Practice 2016.	External consultant to assist in development of Corporate Plan €15k	
	Engage external consultants to assist with preparation of new Corporate Plan 2019 - 2021	Q3	CEO/All Staff/Board			
	Submit to Board at October meeting for approval	Q3				
	Submit to DCYA following Board approval for Ministerial approval	Oct/Nov				

Goal 5:

To maintain an efficient, competent, accountable and learning organisation.

Tasks	Actions	Date	Person(s) responsible	KPIs / Outputs	Resources	Corporate Plan Reference – Appendix One
Develop HR function (Current resources do not allow for a full time HR function in AAI. Currently Head of Compliance and Resources and CO are the HR Unit each working on HR matters one day a week).	Fill all current vacancies to ensure full staff complement in 2018	Q1	HR	AAI will have full staff complement	Approx €16k for consultancy services General	5.5
	Draw up succession plan	Ongoing	HR/CEO	AAI will have a schedule of planned departures from AAI and can make preparations for replacement of staff.		
	Engage HR consultants on a day rate basis for ad hoc HR advisory requirements	Q1	HR	HR consultant available to assist in recruitment and any other HR issues as they arise.		
	Have functional database to allow accurate recording of personnel data as required under Civil and Public Service Regulations and Employment Law Regulations (SAGE)	Ongoing	HR	AAI will be compliant with all relevant legislation. HR unit will be conversant with issues which may arise for staff and be in a position to deal with them promptly and effectively.		
AAI Superannuation Scheme and Payroll Matters	Engage Actuary to establish Superannuation liability for 2017 accounts.	Jan 2018	HR/Head of Compliance and Resources	Pension liability established for 2017 accounts.	Actuary costs €3,000 approx General	5.5
	Engage with DCYA to establish who is providing what payroll administrative support for the Authority and where	Jan 2018		Workflow in place and SLA if necessary with relevant parties.		
		Q1/Q2				

Tasks	Actions	Date	Person(s) responsible	KPIs / Outputs	Resources	Corporate Plan Reference – Appendix One
	<p>information can be sourced for C&AG Audits.</p> <p>Amend HR procedures manual as required.</p> <p>Pension Information sessions to be scheduled for staff.</p> <p>Single Pension Scheme Statements to be provided to relevant staff.</p>	<p>Q1</p> <p>Q3</p>		<p>Staff fully informed of their benefits and entitlements.</p> <p>Compliance with DPER regulations</p>		
<p>Training plan in place for all staff for 2018</p>	<p>Plan drawn up by HR Team, communicated to all staff.</p> <p>Carry out survey of staff to establish database of staff qualifications and experience.</p>	<p>Q2</p> <p>Q3</p>	<p>Head of Compliance and Resources/HR Team</p>	<p>Generic training made available for all staff on basic IT.</p> <p>Requests made under Performance Review process addressed.</p> <p>Staff will be trained at appropriate levels to be able to carry out their functions and ensure AAI compliance with legislation such as data protection, health and safety.</p> <p>AAI will have a picture of skill on hand which can be used to facilitate staff mobility and maintain corporate knowledge.</p>	<p>General</p>	<p>5.4</p>
<p>Maintain a learning environment</p>	<p>In house workshops and seminars arranged and staff encouraged to attend or participate</p>	<p>Ongoing</p>	<p>HR/Corp Serv</p> <p>HR/All staff</p>	<p>Staff with the appropriate qualifications which they are using to carry out their role in the AAI will be supported by the organisation and will continue to update their professional training.</p>	<p>Training as required will be resourced from training budget</p>	<p>5.4 & 3.7.3</p>

Tasks	Actions	Date	Person(s) responsible	KPIs / Outputs	Resources	Corporate Plan Reference – Appendix One
	<p>Support professional memberships/CPD for relevant staff</p> <p>Record kept of AAI attendance and participation in outside events.</p> <p>Lunch and Learn Events</p>	<p>Every alternate month</p>	<p>HR</p> <p>Nominated coordinator/Corp Serv</p>			
<p>Filling of PO Vacancy/Board Secretary role.</p>	<p>Second phase of recruitment competition to be completed in January 2018.</p> <p>Offer of appointment issued to successful candidate January/February 2018.</p> <p>PO appointed as Board Secretary at first meeting after taking up post.</p>	<p>Q1</p>	<p>CEO/HR/Board</p>	<p>Vacancy filled in March 2018</p> <p>Board Secretary formally appointed in compliance with Code of Practice for the Governance of State Bodies.</p>	<p>Costs included in pay allocation</p>	<p>5.5</p>
<p>Ensure full value for money in discharge of allocated resources</p>	<p>AAI staff involved in expenditure are trained in correct procurement procedures and legislation.</p> <p>Information on same is disseminated to all staff.</p>	<p>Ongoing</p> <p>Q1</p>	<p>Corp Serv/SMT/Finance</p> <p>CEO/Finance/Board.</p>	<p>AAI will be in compliance with procurement legislation and will be recognised as an organisation which ensures full value for money.</p>	<p>General</p>	<p>5.6</p>

Tasks	Actions	Date	Person(s) responsible	KPIs / Outputs	Resources	Corporate Plan Reference – Appendix One
	<p>Procurement Plan in place in compliance with 2016 Code of Practice</p> <p>Finance procedures manual review and update.</p> <p>Variance Reports to DCYA monthly to secure drawdown of allocation.</p> <p>Management Accounts / Variance Analysis reports to Audit & Risk Committee and subsequently Board.</p> <p>Independent External Audit annually and audit opinion in Annual Report</p> <p>Preparation of Annual Accounts</p>	<p>March 2018</p> <p>Monthly</p> <p>As per Board/RAC schedule</p> <p>Q1</p>	<p>Finance</p> <p>Finance/CEO</p> <p>Finance/CEO</p> <p>C&AG/Finance/CEO</p> <p>Finance</p>	<p>Staff involved in finance matters aware of deadlines and correct procedures.</p> <p>Cooperation with Department on budget monitoring, Authority has appropriate funding to meet monthly expenditure.</p> <p>Board and RAC have full information and oversight of expenditure.</p> <p>Reassurance for Board the Authority is compliant with relevant financial policies and procedures.</p> <p>Compliance with financial policies and procedures.</p>		
<p>Maintain highest standards in data confidentiality and data integrity</p>	<p>Staff trained and informed on standards required in respect of Data Protection, Records management, confidentiality and data integrity</p>	<p>Ongoing</p>	<p>All staff</p>	<p>Full compliance with GDPR</p> <p>Full compliance with FOI legislation</p> <p>Full confidentiality and practice in the management, security and archiving of all data</p>	<p>Training as required will be resourced from training budget</p>	<p>5.3</p>

Tasks	Actions	Date	Person(s) responsible	KPIs / Outputs	Resources	Corporate Plan Reference – Appendix One
Ensure full compliance with the Code of Practice for the Governance of State Bodies	<p>Compliance checklist monitored quarterly and any issues notified to RAC/Board as required.</p> <p>Internal Audit plan to include annual compliance checks against the Code</p> <p>Submit revised Code of Governance to Minister</p>	<p>Quarterly</p> <p>Q1</p>	<p>Head of Compliance and Resources/PO/CEO/Chair</p>	<p>Ongoing compliance with 2016 Code.</p> <p>Code of Governance/ Annual Report/Business Plan/Corporate Plan/ Oversight Agreement combined to provide for Performance Delivery Agreement between AAI and DCYA.</p>	<p>General</p>	<p>5.1.1</p>
Preparation of Financial Statements	<p>AAI accountants prepare financial statements for transmission to C&AG.</p> <p>Draft unaudited accounts provided to DCYA</p> <p>Financial Statements submitted to RAC/Board</p> <p>Authority engages with OCAG for on-site audit.</p> <p>Financial Statement and Management Letter (if applicable) submitted to Risk and Audit Committee/Board and</p>	<p>Before end March</p> <p>Before end February</p> <p>Q1</p> <p>As advised by OCAG approx. Q2</p> <p>After Audit approx. Q3</p>	<p>Head of Compliance and Resources/Accountants</p> <p>Head of Compliance and Resources/Accountants/Board</p> <p>Head of Compliance and Resources/Accountants</p> <p>Head of Compliance and Resources/Accountants</p> <p>Head of Compliance and Resources/Accountant/Board.</p>	<p>Draft Unaudited Annual Accounts provided to DCYA within 2 months of the financial year (as per Code of Practice of State Bodies 2016</p> <p>The accounts prepared by the Chief Executive Officer and approved by the Board are submitted to the Comptroller and Auditor General for audit not later than 3 months after the end of the financial year to which the accounts relate. (as per S112 of the Adoption Act 2010)</p> <p>Within one month of the Comptroller and Auditor General issuing an audit certificate for the accounts of the Authority, a copy of the accounts, and the report of the Comptroller and Auditor General on the accounts will be</p>	<p>General</p>	<p>5.6</p>

Tasks	Actions	Date	Person(s) responsible	KPIs / Outputs	Resources	Corporate Plan Reference – Appendix One
	signed off by CEO and Chair			presented to the Minister. (as per S112 of the Adoption Act 2010) If required by the Minister, the Authority will furnish to the Minister the information the Minister may require in respect of any balance sheet, account or report of the Authority. (as per S112 of the Adoption Act 2010)		
Preparation of Annual Report	Information for Annual Report collated Draft Report submitted to Board at April Meeting Draft Report submitted to Minister/DCYA May On approval of Minister Annual Report published on website	March/April April May TBC	CEO/PO PO/Board/CEO CEO CEO/Corporate Services	Annual Report submitted to the Minister within legislative deadlines as per S117 of the Adoption Act 2010 Annual Report published on time and containing all information required under Adoption Act 2010 and Code of Practice for the Governance of State Bodies and any other relevant legislation	General	
Official Languages Acts	Prepare Official Language Act 2003- Language Scheme Translate required documents and publish on website where required.	Q1/Q2 Ongoing	Corporate Services Corporate Services	Authority compliant with Official Languages Act and Customer Service Principles	€17,300 allocated for translation, will be increased if required.	Not in corporate Plan originally

Appendix One – Corporate Plan Task List

GOAL	“To achieve the highest standard in the regulation and operation of adoption services in Ireland.”
1.1	To support and oversee the development of comprehensive, high quality and integrated adoption services with our key statutory and non-statutory partners.
1.1.1	Develop national standards in adoption services initiated through establishment of sub-committee of Board
1.1.2	
1.1.3	Marriage Act Forms to be reviewed and redesigned as appropriate.
1.1.4	Family Relations Bill Forms to be reviewed and redesigned as appropriate.
1.1.5	Make forms available and disseminate for users
1.1.6	Finalise Inspectorate Report template
1.1.7	Prepare Schedule of Inspections of Accredited Bodies -
1.1.8	Monthly spot check by Board for quality control.
1.1.9	Review of frameworks for information and tracing, domestic and inter-country adoption (details in Business Plan)
1.2	To engage effectively with service users and their advocates, service providers, policy makers and the Government to bring about continuous quality improvements in our adoption services.
1.2.1	Prepare Stakeholder Mapping
1.2.2	CEO schedule for engagement with all stakeholders
1.2.3	Annual plan for forums and conferences for stakeholders (Dec each year)
1.2.4	Stakeholder participation in new website design
1.2.5	Go live and promote use of new website
1.2.6	Stakeholder consultation on implications of legislative changes. – as required.
1.2.7	Stakeholder Survey
1.2.8	CEO reports to Board monthly on stakeholder communications.
1.3	Reaccredit and register against approved regulations, all agencies providing adoption services.
1.3.1	Draw up protocol / procedure on the reaccreditation process
1.3.2	Implement reaccreditation process
1.3.3	Alarm system in place for monitoring self-reporting

1.3.4	Monthly Report to Board on reaccreditation process
GOAL	<i>“To apply informed and balanced decision-making in adoption services, in accordance with national and international law and evidence-based best practice.”</i>
2.1	Make informed and timely decisions regarding 1) the granting of declarations of eligibility and the suitability to adopt 2) the making of adoption orders 3) the recognition of intercountry adoption orders 4) Article 17 referrals.
2.1.1	Clear and concise documentation presented to Board
2.1.2	Operations manual updated as required and adhered to.
2.1.3	Maintain effective communication with CFA
2.1.4	Delegated decisions made within 6 weeks.
2.2	Maintain all Registers.
2.2.1	Timely and accurate processing of register applications, entries and extracts, within 6 weeks.
2.2.2	Inform GRO in the case of domestic adoptions within a week of being granted.
2.2.3	NACPR Documents registered and matches acknowledged within 2 weeks
2.2.4	Statistics Reports collated and presented to Board on monthly basis
2.2.5	Develop integrated Document Management System / Database
2.2.6	Check list of ward review to RAC – Quarterly – REPLACED BY NEW RISK REGISTER 2017
2.3	Make informed and timely decisions regarding the release of identifying information to adult adoptees and birth parents.
2.3.1	Define identifying information and present to Board
2.3.2	Request for release of birth certs forwarded to Board within 6 weeks of receipt of report
2.4	Maintain constructive relationships with all partners and develop national and international relationships that promote the highest possible standards in adoption and adoption related services.
2.4.1	Arrange well prepared and comprehensive strategic field visits to countries of origin to strengthen existing relationships and programs and explore the possibility of developing new ones.
2.4.2	Convene meeting prior to all visits
2.4.3	Debrief Report to Board & Executive following visit
2.4.4	Participate in Anglo-phone Teleconference quarterly
GOAL	<i>“To inform adoption policy and service delivery by reason of a practical understanding of the operations of the legislation through provision of a comprehensive information, research and communications framework.</i>
3.1	Engage proactively with all stakeholders
3.1.1	Stakeholder Survey (per task 1.2.7 above)

3.1.2	Forums and conferences (per task 1.2.3 above)
3.1.3	Structured engagement format agreed with Department
3.1.4	Structured engagement format agreed with Tusla
3.1.5	Structured engagement plan with support groups
3.1.6	Structured engagement plan with Accredited Bodies
3.1.7	Board on circuit
3.1.8	Incorporate all proposed new steps into Business Plan
3.2	Develop and maintain an effective Communications Strategy
3.2.1	Develop Communications Plan with communication strategies and procedures documented and agreed.
3.2.2	Staff to adhere to customer service charter
3.2.3	Structured engagement process followed (as per 3.1 above)
3.3	Use website as a prime source of information for all stakeholders and the public at large.
3.3.1	Redesign and launch new website
3.3.2	Update website to ensure timely release of all new information
3.3.3	Link phone queries with FAQ on Website or information gaps
3.3.4	Appointment of webmaster and at least 2 people fully trained on website maintenance.
3.3.5	Prepare Statistics Reports for Quarterly Report
3.3.6	Maintain phone call log and forward to Webmaster
3.4	Maintain statistical information and planning/development aspects of service provision.
3.4.1	Prepare requirements specification for new database
3.4.2	Review collated data
3.4.3	Satisfy current Annual Report requirements
3.5	Continue to undertake and promote research opportunities and research capacity.
3.5.1	ICGP Research to be published in Qtr 1 2016
3.5.2	Structured follow-on from research carried out and compile the post adoption services directory in Qtr 3 2016
3.5.3	New research proposals made to CEO
3.5.4	Present publications to Board for sign off as required
3.6	Support Government Departments in the development of adoption related policy and legislation.
3.6.1	Respond to requests from Department

3.6.2	Structured engagement format with Department (as per task 3.1.3 above)
3.6.3	Convene expert groups within Authority to compile feedback to Government as required
3.6.4	Board is informed of all issues arising from legislation and policy
3.6.5	Board submit recommendations for changes to policy and legislation to Department
3.6.6	Preparation of Annual Reports
3.7	Promote informed and considered analysis and debate on adoption issues.
3.7.1	Ensure press book is circulated every week
3.7.2	Staff to be informed and invited to attend adoption related events
3.7.3	Record kept of AAI attendance and participation in outside events
GOAL	“To plan and implement the changes required in organisation policies and operational procedures in line with emerging legislative changes”
4.1	Be prepared and be able to adapt to 1) Children and Family relationships Act 2015 2) Children’s Referendum Act 2015, 3) Information and Tracing Bill 2015, all areas of AAI work affected.
4.1.1	Incorporate the changes from the CFR Act and the Marriage Act legislation into the Adoption Act 2010
4.1.2	Prepare internal guidance notes for the CFR Act and the Marriage Act Legislation
4.1.3	Prepare internal guidance notes for the relevant legislation
4.1.4	Prepare external guidance notes for the CFR Act and Marriage Act
4.1.5	Prepare external guidance notes for relevant legislation
4.1.6	Impact Report on existing resources from changes in legislation – as required
4.1.7	Implementation checklist to Board monthly in CEO Report
4.1.8	Incorporate changed requirements into Business Plan
4.2	Be prepared for any potential changes in statutory function of the Authority through any further legislative changes.
4.2.1	As per 4.1 (and all related tasks) as required
GOAL	“To maintain an efficient, competent, accountable and learning organisation.”
5.1	Ensure full compliance with Code of Practice for the Governance of State Bodies.
5.1.1	Communicate compliance requirements to relevant units - initial and then ongoing.
5.1.2	Internal Audit Plan to include annual compliance checks against the Code
5.1.3	Any non-compliance with Code identified and reported to RAC and Board
5.2	Maintain robust Risk Management Framework.
5.2.1	Maintain Risk Management Framework and Risk Policy and review annually

5.2.2	Maintain Risk Register
5.2.3	Internal Audit Plan to schedule audits and assessments of Risk which have been agreed with RAC
5.2.4	Internal Auditor to audit Risk in Authority (per Internal Audit Plan) and report to RAC
5.2.5	Annual Report from RAC to Board
5.3	Maintain highest standards in data confidentiality and data integrity.
5.3.1	Establish document classification policy
5.3.2	Brief and train staff on implementation of new policy
5.3.3	IT security being revised and to be adopted
5.3.4	IT policy to be drafted, agreed and implemented
5.3.5	Internal Audit Plan to include data integrity and confidentiality assessments
5.4	Authority to maintain a learning environment where competencies and training requirements are fully met.
5.4.1	Training and development plans to be collated
5.4.2	Maintain full staff complement as required
5.4.3	Identify specialist skills and competencies required for the Authority and create / maintain on-going skills log
5.4.4	Ensure full compliance with PMDS
5.4.5	Compliance with Children First guidelines is monitored on on-going basis
5.5	Maintain Succession Plan
5.5.1	Prepare a Succession Plan for the Authority and review and revise as required on an annual basis
5.6	Ensure full value for money in discharge of allocated resources.
5.6.1	Conduct Value for money audits through Internal Audit Plan
5.6.2	Procurement Policy adhered to and reviewed annually and subject to Internal Audit check
5.6.3	Variance Analysis Reports sent to Department monthly
5.6.4	Variance Analysis Reports presented to Board monthly from Qtr 2 2016
5.6.5	Annual Internal Financial Controls Report to Board
5.7	The Authority maintains, and actively engages with, an independent Internal Audit Function
5.7.1	Internal Audit Charter approved and implemented and reviewed annually
5.7.2	Internal Audit Plan approved by RAC and implemented and revised as required annually
5.7.3	Annual Report from RAC to Board to include report on Internal Audit function

