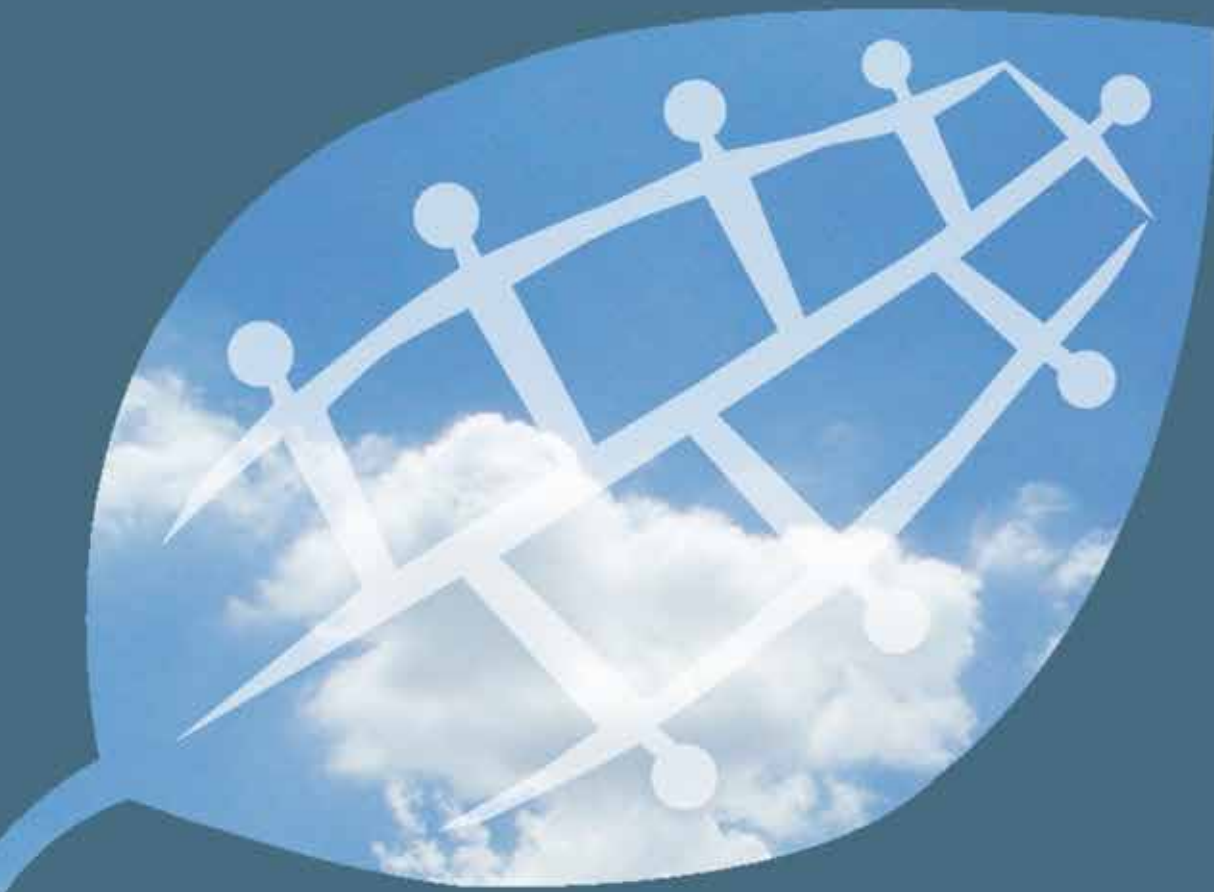




CARANUA

support for survivors of institutional abuse



Annual Report 2016



“

The Report of the Commission to Inquire into Child Abuse is the map of an Irish hell. It defines the contours of a dark hinterland of the State, a parallel country whose existence we have long known but never fully acknowledged. It is a land of pain and shame, of savage cruelty and callous indifference. The instinct to run away from it, repelled by its profoundly unsettling ugliness, is almost irresistible. We owe it, though, to those who have suffered there to acknowledge from now on that it is an inescapable part of Irish reality.

Irish Times, 21 May 2009

Contents

Chairperson’s Foreword	4
Section 1: Introduction	7
Section 2: About Caranua	
Introduction	9
Purpose, role and structure	9
Caranua aims and values	11
Services and criteria	13
Section 3: Our work in 2015	
Introduction	17
Key activities and outputs	
Raising awareness, attracting and supporting applicants	18
Enhancing services through partnership working	19
Building an effective organisation	20
Caranua Key Facts 2014-2016	22
Responding to applications	23
Response from Applicants	28
Section 4: Governance matters	
Introduction	31
Legislation and structure	31
Board meetings, expenses and policies	32
Financial and risk matters	35
Transparency, accountability and compliance	36
Staffing and related matters	38

Chairperson's Foreword

This is the fourth annual report of the Residential Institutions Statutory Fund, known as Caranua. The Fund provides supports to people who, as children, experienced abuse in institutions run by religious congregations on behalf of the State.

The year 2016 was a significant one in the short life of Caranua. A number of initiatives commenced in previous years came to fruition, and allowed the organisation to address a number of challenges that had prevented us from achieving the standards of performance to which it aspired.

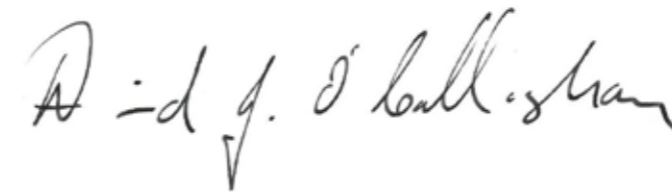
Changes were made to the criteria and the range of services that we can offer in June, following a review that began in the previous year. These changes have ensured that the Fund is sustainable and that the items we can pay for are of direct relevance to the needs and wellbeing of survivors. So far the response by applicants to the new rules is reassuringly positive.

Of course such changes cannot be successfully implemented without appropriate organisational resources, systems and processes and this year saw the final pieces of planned developments and improvements put in place, including the recruitment of a full management and staff team for the first time.

Adequate resources, together with a levelling of the number of applications we receive provides us with the opportunity to focus more on the quality of our interventions for and on behalf of survivors, and on the overall impact of the organisation. This approach is supported by objectives in our strategic plan, adopted during the year, which also provides for the wind down of Caranua as the Fund it manages is spent.

The work completed in 2016 provides a strong basis for the successful implementation of our strategic plan to 2019. In 2017 the Minister for Education and Skills will appoint a new Board, we will relocate our office accommodation while consolidating our services and laying the ground for the wind-down of the organisation.

I look forward to overseeing the final phases of Caranua and, once again, I commend my fellow Board members and the Executive for the tremendous commitment and focus that they demonstrated in this work during the year.



DAVID J O'CALLAGHAN

Chairperson



Introduction

Caranua exists to improve the wellbeing of survivors. Survivors are individuals who as children experienced neglect and abuse while in the care of the Irish State, in institutions run by religious congregations. Caranua supports their well-being by managing a statutory Fund of €110 million pledged by religious congregations and providing support in the areas of health, education and housing, in response to applications from survivors.

Caranua opened for applications in 2014 and now has three full years experience of responding to applications from survivors. During that time we have worked with and through a range of specialist and mainstream services to reach potential applicants, have received applications from over 5,600 individuals and paid out €55 million for services and other supports.

This report relates our activities, challenges and achievements during 2016, against three broad interdependent objectives. These are: raising awareness and supporting applications, responding to applications and meeting the needs of survivors and building an effective organisation.

The remainder of the document is in three sections. Section two presents information on Caranua, describing its background, purpose and approach to working with survivors. Section three reports on our activities and outputs during the year and the final section focuses on governance matters, explaining our Board, staff, and decision making structures; and reporting on Board meetings, financial and risk matters and other relevant activities.

Financial information is not included with this report. Draft accounts for 2016 have been adopted by the Board and are subject to audit by the Comptroller and Auditor General. Once the accounts have been approved and laid before the Houses of the Oireachtas, they will be published separately.



About Caranua

2.1 Introduction

This section provides a context for the report of our activities and outputs in 2016. It begins by locating Caranua in the range of government initiatives for people who as children experienced neglect and abuse while in the care of the Irish State in religious-run institutions.

It goes on to set out the role and purpose of Caranua, our aims and values and our approach to supporting the needs of survivors. Finally it explains how the application process works and the changes that were made to our services and criteria in 2016. Information on applications and the people who apply to us is contained in Section Three of the report.

2.2 Purpose, role and structure

Caranua was set up by legislation and was originally called the Residential Institutions Statutory Fund Board. Caranua became its registered service name in October 2013. The purpose, role and functions of Caranua are set out in the Residential Institutions Statutory Fund Act. This provides for the creation of a Statutory Fund to be financed by religious congregations and a new agency to manage the Fund.

Eligibility to apply to the Fund is limited to those survivors who received financial awards through settlements, the Irish Courts or the Residential Institutions Redress Board. The range of services that Caranua can consider is limited to health, education and housing that are not readily available from public bodies.

The role of Caranua is to manage the Fund and devise an application process, decide the range of services that can be approved and the criteria for assessing and deciding on applications. All these decisions are made by the Board and the work with applicants is delegated to staff, through written orders of the Board. This work includes assessing individual needs and applications, support in making applications, decisions on applications and other interventions, and payments.

Just under 15,000 survivors are eligible to apply to Caranua. According to the Redress Board 60% of these are resident in Ireland, 33% in the United Kingdom and the remainder in other parts of the world, with clusters in Canada, Australia and the United States. At the time of their applications to the Redress Board, 70% were aged over 60 and almost one in five of these was aged over 80.

An important element of the Residential Institutions Statutory Fund Act is the coordination of activities with public bodies in Ireland and such bodies are obliged to appoint liaison officers, as requested by Caranua, for this purpose. This provision enhances the authority of Caranua in relation to public services in Ireland, a situation that does not apply to other jurisdictions where some of our applicants live.

Caranua operates under the aegis of the Department of Education and Skills and has a Board of nine people, appointed by the Minister for Education and Skills. Four Board members were former residents of institutions. Further information on the Caranua Board and staff is contained in Section Four of the report.

2.3 Caranua aims and values

Caranua has based its aims, values and service design on the views and needs of survivors, evidence on the effects of institutional abuse and what works in service delivery to address these. During our planning stages in 2013 we reviewed available research and individual testimonies from survivors on the effects of institutional abuse. We also consulted with survivors in Ireland and the UK, meeting around 200 individuals concerning their needs and how the Fund should operate, as well as survivor support groups, Irish Welfare and other relevant services.

Consultation and attention to feedback has continued to be a cornerstone of our work. We actively encourage applicants to give us feedback, directly and through our website and regular meetings are held in Ireland and the UK with survivor support groups and other relevant bodies.

Our aims and values are designed to inform and underpin all our activities and to ensure that we are flexible and open as possible in meeting needs. Our aims are to:

- Improve the wellbeing of survivors who are eligible for our services
- Ensure anyone using our services feels empowered, enabled and satisfied
- Build understanding of the effects of institutional abuse among policy makers, service providers and the public
- Help other service providers to recognise and respond effectively to the needs of survivors.

The values, which drive our responses to survivors are:

- **Survivors needs first:** We put the needs of survivors at the heart of everything we do
- **Compassion and respect:** We believe survivors are entitled to compassion, respect and dignity
- **Open and fair:** We will be open and fair in our dealings

- **Confidentiality:** We respect and promote the right to privacy and confidentiality of anyone in contact with us
- **Authenticity:** We will be honest about what we can and cannot do
- **Equality:** We are impartial and offer equal access to anyone using our services
- **Excellence:** Caranua strives to achieve excellence and high quality in everything we do and to make best use of the Fund
- **Partnership:** Caranua works on building and maintaining relationships with key stakeholders including survivor support groups and other voluntary and public bodies to ensure that survivors get services of real benefit and that we make best use of the Fund.

2.4 Services and criteria

The Board is responsible for determining the range of “approved” services and the criteria for deciding applications. In deciding the range of services Caranua can support, the Board takes account of the experiences of survivors, the effects of childhood abuse, the expressed preferences of potential applicants, the fact that they are now ageing, and the availability of public services.

The first set of approved services and criteria were published in January 2014. On the basis of feedback from applicants and other stakeholders these were simplified in May 2014. The criteria were again reviewed in 2015, taking into account the views of applicants, survivor support groups and patterns of expenditure.

The review found that spending on housing was very high, that home owners were benefiting disproportionately and that many applicants wanted services that were not currently included. It was clear that if existing patterns of expenditure were to continue that the Fund would not be distributed fairly and would not be available for all the people who were eligible to benefit from it.

The key questions for the review were how to make the Fund sustainable and more responsive to the expressed needs and preferences of applicants. As a result of this review, the range of services was expanded and a limit on the value of services that an individual could receive was introduced. The changes came into effect on 1st June 2016 and applied to all applications received after that date.

The changes are in keeping with the broad aims of Caranua, the range of services indicated in the Residential Institutions Statutory Fund Act and the authority of the Board to determine criteria and the range of approved services under Section 9 of the Act; and were developed in consultation with officials in the Department of Education and Skills.

The services that Caranua can consider are described in Table 1 together with a rationale and purpose for each and the changes introduced in 2016.

Table 1: **Caranua services for applicants 2014-2016**

Service area	Aim	Services include
Health and wellbeing	To support survivors to be physically and mentally well and socially active and connected.	Health services (screening, GP, consultants, eyes, teeth, feet and ears), alternative therapies, clubs, classes, health promotion, family tracing, counselling, local travel to classes and medical appointments, interpreting services for people who are deaf or hard of hearing. Additions to this area from 2016 are: funeral costs, connecting with family and place and “telling your story”.
Housing supports	To enable survivors to stay at home, safe, secure and warm and to prevent institutionalisation in later life.	Personal care and support, necessary home improvements and adaptations, home security and alarms, minor repairs, disability aids and equipment. Additions to this area from 2016 are household goods, including furniture, white goods, electrical goods and soft furnishings.
Learning, development and education	To encourage further education, skills and self development.	Fees for courses and education support grants for accredited courses.

Criteria provide a framework for both making and deciding on applications. These are explained in our published application materials which are sent to each applicant in an application pack and are available on our website. Caranua

application materials are written in “plain English” and verified by NALA (the National Adult Literacy Association) to make them as accessible as possible. The broad criteria relate to evidence of need, the bonafides of suppliers, limits and the range of services that can be supported, as follows:

- Some services, such as home improvements and medical interventions, must be based on evidence of need and a recommendation from a professional
- All service providers must be approved by Caranua and must be qualified, registered and tax compliant
- All quotes must comply with our published requirements and receipts or invoices must be provided
- Only services that are approved in advance can be supported
- All costs must be reasonable and limits apply to some services
- Under the 2016 criteria, an upper value limit of €15,000/£12,000 applies.

Copies of the our application materials can be accessed on the Caranua website at: www.caranua.ie/attachments/Caranua_Application-Guidelines-

3.2 Key activities and outputs

Raising awareness, attracting and supporting applicants.

Legislation prevents our making direct contact with potential applicants and we are dependent on raising awareness through outreach, leaflets and posters, media and word of mouth to attract applications. Key activities and outputs were:

- **Attracting 585 new applicants**, increasing the total number of initial applications to **5,637**. The number of new applications has fallen since the high of 3,822 during 2014 and this has allowed us to reduce waiting times.
- **Improving our application materials** by radically revising our published application materials, introducing Easy to Read versions for people with intellectual disabilities and preparing short films on our application process with sign language interpretation for publication in early 2017.
- **Building awareness among other organisations** through ongoing contact with those which may know potential applicants and/or may be in a position to help them to make applications to us. These activities – in Ireland and the UK – range from attendance at conferences and seminars to more direct contact and collaboration with specific organisations. We focused in particular on prisons, residential settings and services for people who work with people who are homeless to which we provided briefings. We also received briefings from a number of services, increasing our own ability to make informed referrals.
- **Promoting awareness and support through outreach**, holding clinics where applicants can meet Advisors face to face, combined with a market place event where other survivor-related services are on site. Six of these clinics were held, advertised through local newspapers and organisations, in Dublin, Cork, Galway, Manchester, Limerick and Waterford attended by 550 people. Events were held in hotels in central locations, easily accessible by public transport and suited to the needs of people who are older and who

have disabilities. Sign language interpreting services were also available. One clinic was held in the Aislínn Centre in Dublin and monthly clinics, with sign language interpreting services, continued in the Deaf Village in Dublin.

- **Engaging with stakeholders**, particularly survivor support groups through ongoing contact, meetings and briefings. Four briefings were held during the year, two each in London and Dublin, attended by Right of Place, the Aislínn Education and Support Centre, Alliance Victim Support, SOCA UK, Irish Women Survivors Network, Compassion Matters, Connect and Towards Healing. These events provide opportunities for feedback to Caranua and information and support from Caranua on the application process and other issues.
- **Improving accountability and transparency** through our website where updates on applications and payments, Board minutes, information on outreach, other events and news are published regularly, together with information on research, parliamentary questions, and compliance with our internal standards. In keeping with the requirements of the Model Publication Scheme for FOI bodies we also publish information on compliance with FOI, Data Protection and other legislation. We established a dedicated email address for Oireachtas members, responding to 19 representations in respect of 15 applicants. In 2016 our website had **21,683 unique users** and 115,443 page views. 40% of visitors are returns. The most popular page was 'Contact Us', followed by the 'News' section.

Enhancing services through partnership working

Working in partnership with public services and adding value rather than duplicating the services they provide is an important element of our legislation and we expanded the range of other organisations that we worked with and through.

Key activities and outputs were:

- **Working with relevant public and voluntary services**, especially local authorities, public health and services for older people, in relation to individual applications, linking with services, advocating as necessary and, where possible, arranging assessments and other supports. Towards the end of the year the City and County Management Association provided Caranua with access to its list of approved contractors. We had ongoing contact with the HSE, advocating for applicants to Caranua to receive enhanced medical services. To progress responses to the needs of applicants, a high level group comprising national leads on relevant services was established to liaise with Caranua and two meetings were held with the group.
- **Exploring, piloting and deepening partnership working.** Following a pilot project whereby Caranua partnered with an approved housing body to carry out housing inspections and repairs on our behalf, Caranua and the Sustainable Energy Authority of Ireland (SEAI) finalised arrangements for a working partnership where necessary energy efficiency works for Caranua applicants in Ireland would be undertaken by SEAI, from early 2017.

Building an effective organisation

This was a seminal year when many improvements were implemented to operating systems, new policies were finalised and, most significantly, staff recruited. Until then, a core staff of five was supplemented by agency staff, leading inevitably to higher than average turnover of staff and all that implies for service delivery, internal controls and compliance.

Key activities and outputs in 2016 were:

- **Recruiting, supporting and developing the staff team** so that they are able to understand and respond to the needs of survivors, manage their work and self-care, and uphold the organisation values, through a programme of training, external group support, individual supervision, performance appraisal and staff meetings. Each staff member spent 10 days training during 2016. This included induction to Caranua and its systems and procedures, skills development and information on a range of issues related to understanding institutionalisation, effects of trauma and the needs of survivors, self care, and the range of services available to them from other agencies.
- **Strengthening our organisation** through the development of organisational policies, processes and standards. We contracted an external company to carry out the internal audit function. The first full year of reviews by Internal Audit were completed, covering the areas of Client Services, Corporate Governance, Risk Management, Human Resources, Claims Process and IT Systems.
- **Listening, learning, reviewing** organisational and service standards and practices in light of experience and feedback from applicants, staff and other stakeholders so that we can ensure that these are appropriate and effective. This is done on an on-going basis through case reviews, analysis of formal feedback, monitoring of organisation performance and facilitation of staff teams to reflect and review practices against values and other standards. Importantly during the year, a dedicated unit of two staff was established to embed a focus on quality and continuous improvements by providing information, support and training and undertaking monitoring of practice. The unit is also responsible for dealing with freedom of information requests, data protection and appeals.
- **Planning the future** through the completion of a strategic plan to the end of 2019, providing for the setting of targets for applications, spend and the wind-down of Caranua as a service and an organisation.

Key Facts 2014-16

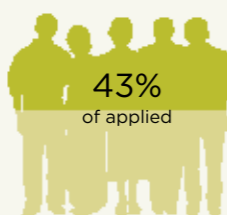
Applicants

5,637 Initial Applications received

Eligible for services
4,987



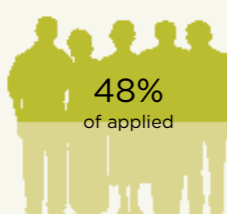
In Process
1,979



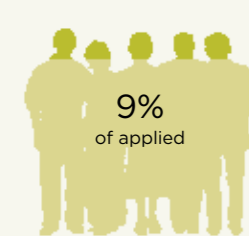
Applied for services
4,624



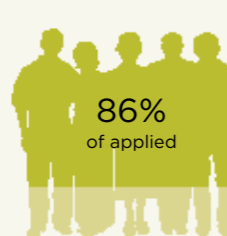
Completed
2,219



Waiting
426



Received Payments
3,981



Freephone



Telephone calls answered
94,599

Telephone calls made
69,252

Post  2015-16
49,494

Complaints
154

Appeals

Unsuccessful applications
591

Appeal Decisions
163

Caranua decisions overturned
10

Average number of calls for each application
30

Staff Advisors
12

Average number of applications for each advisor
165

Full time staff
24.6

Spend

Number of payments made
31,729

Average 8 payments each
Average value **€14,000**

€56.3 million
Spend on Applicants

€3.7 million
Spend on Administration

Responding to applications

This section reports on applications and related activities, the people who applied and how the Fund was spent. The information is drawn from our electronic information management system which is used to manage and record all work activities.

As previously discussed, new criteria came into effect on June 1st and applied to all applications made after this date. We also made contact with everyone who had applied under the 2014 criteria but had not returned a form, were waiting for assessment or had received services of a value that was lower than the new limit. Over 1,000 such applicants were contacted and 700 had opted to move over to the new criteria by the end of the year.

The length of time an application takes from assessment to completion varies depending on the situation of each applicant and the number and duration of interactions with them. For example, we require evidence of need through professional recommendations for some services such as medical interventions and housing adaptations. This involves Caranua in the commissioning of surveys or assessments. Other applications require no such assessment and are therefore quicker to process. The average number of calls in the course of an application is 30.

Once agreement is reached with an applicant on the services that Caranua will support and payment for those services are made, the application is complete. It is possible for someone whose application has been completed to make further applications. Since 2015, following a decision of the Board, we have given priority to new applicants over repeat applicants, except where there is an urgent need or a recurrent cost such as club membership or fees for an education course, which are processed immediately.

How many applicants?

By the end of 2016, we had received **5,637 initial applications**. Following receipt of an initial application we verify that applicants have received an award and confirm their identity and they are then eligible to apply for services. At the end of 2016, **4,987** (88%) were eligible to apply for services, 4% were not eligible and 8% were still in progress or had not completed the process. We also received over **1,141**

applications from people who had received assistance and whose applications had been completed.

Processing applications for services

Of the **4,987** new applicants eligible to apply for services **4,624 (93%)** had made applications by the end of 2016. An initial assessment of all applications is made when they are received and **priority** is given to applicants who are aged 70 or those who have urgent medical needs. People applying under the 2016 criteria do not need to send an application as they are automatically placed in a queue for assignment once they are eligible to apply.

Of the **new** applications received, **91% (4,198)** were in process (1979) or had been completed (2,219) and **9% (426)** were waiting at the end of 2016. Of the 1,141 **repeat** applications, six out of ten (57%) had been completed, 11% were in progress and 32% were waiting assignment.

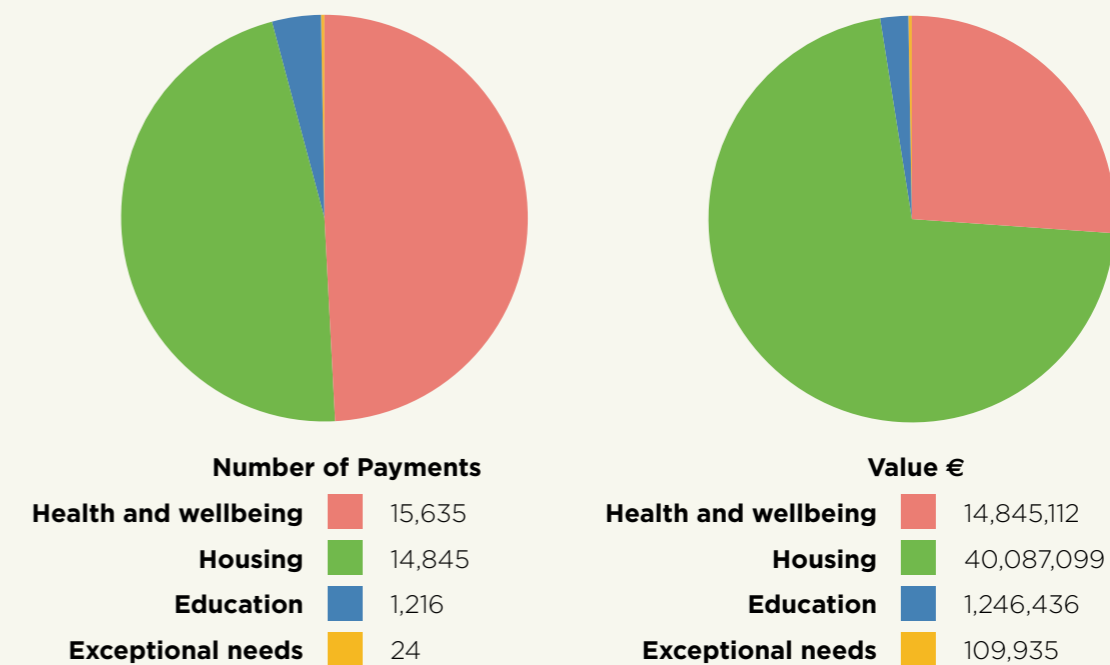
As previously discussed, new criteria came into effect on June 1st and applied to all applications made after this date. We also made contact with everyone who has applied under the 2014 criteria but was waiting for assessment or had received services of a value that was lower than the new limit. Over 1,000 such applicants were contacted and 700 had opted to move over to the new criteria by the end of the year.

Payments and expenditure

By the end of 2016, **3,981** individual applicants had received payments for services. The total number of payments made was **31,729** and expenditure was **€56,288,582**. Payments are usually made within 20 days of approval. The majority (64%) of payments are made to suppliers rather than to applicants and the most chosen method of payment is cheque. Cheques are issued by a third party, to protect applicant confidentiality and ensure no connection can be made to Caranua. The average number of payments for each applicant is eight and the average value of payments is €14,000.

The number and spend for each of our service areas is presented here and it is important to note that the information for 2016 is subject to audit. The Residential

Table 2: **Payments and spend by service area to end 2016**



Institutions Statutory Fund Act provides for all criteria to be set aside where there are exceptional needs and this has been done in a small number of situations.

As in previous years, the highest area of spend is **housing**. This is not surprising, given the items that are paid for - such as accessible bathrooms, adaptations, heating systems, insulation, replacement doors and windows - are high cost. In supporting these items we aim to ensure that applicants can be at home safe, secure and warm so that they will not be admitted to institutions later in their lives.

We encourage applicants to think about the future and how appropriate their homes will be as they age. We support accessible bathrooms for anyone aged 65 or older and, where needed, pay for disability aids, adaptations and home help where these are not readily available from public bodies. Sometimes an applicant will have needs that require specialist assistance and we are then able to bring in the skills of social workers or occupational therapists to assess those needs and put in place a plan that we can then make a contribution to. From June we were able to pay for household goods such as furniture and white goods which are popular, particularly for those applicants who rent rather than own their homes.

Payments in the category of **health and wellbeing** are generally for lower cost items such as eye-glasses, hearing aids, club memberships, alternative therapies, medicines, private consultancies and psychotherapy and counselling, as well as dental treatment, surgery and other procedures that are necessary but not readily available from public providers. Social isolation can be a major challenge, particularly for older applicants who are house-bound or living in remote areas and we try to ensure that they engage with local social and other activities and are connected with befriending and other services. We have been successful in securing home and nursing care through the health authorities and sometimes paying for these when they are not readily available.

Education accounts for a small proportion of payments. This reflects the age, experiences and interests of applicants - which are generally focused on activities and items other than education. Many have had negative experiences in school and have no interest in returning to similar situations but others have with Caranua assistance been able to complete third level or other training courses.

Unsuccessful applications and appeals

It is not possible to approve applications for services that do not fit with our criteria or meet other conditions. Where an application is unsuccessful, it is open to applicants to appeal to an independent Appeals Officer who is appointed by the Minister. We have approved about 32,000 payments and have deemed **591 applications as unsuccessful**. In such cases we write to the applicant explaining the reason for the decision and how they can appeal it. To the end of 2016 **264 appeals** had been lodged. The Appeals Officer had made **decisions on 163** of these and **overturned 10 (6%)** of Caranua decisions.

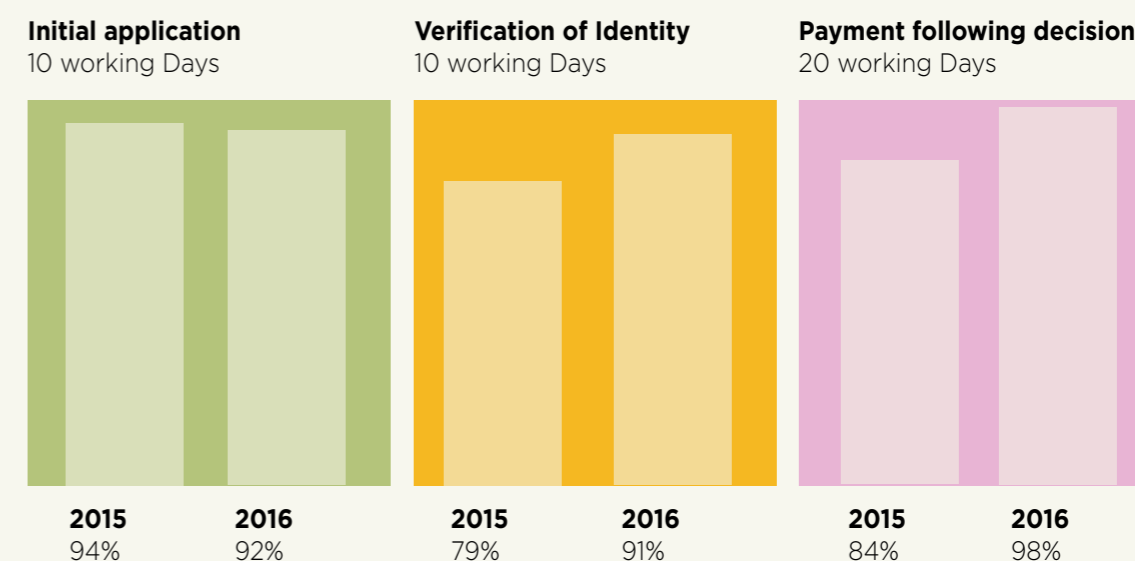
Freephone and post

Caranua operates a freephone service for callers from Ireland and the UK, operated by two staff. Calls to and from these lines are separate to activities on our other telephone lines. To the end of 2016 **149,937** calls had been made to the freephone and **26,743** items of post were received during the year.

Service standards and satisfaction

The Caranua Customer Charter sets out our service standards, including those for responding to applications, and making payments following decisions on applications.

Table 3: **Caranua compliance with time standards 2015 and 2016**



Our Customer Services Charter sets out our commitments to applicants and other stakeholders and our expectations of them. It includes “unacceptable actions” which can give rise to the imposition of restrictions on contact with an individual in specified circumstances. Such impositions are imposed rarely and are decided by the Chief Executive and four restrictions have been imposed since 2014. In all cases contact was restricted for a defined period to written communication only.

Our complaints procedure aims to address any complaints as close as possible to the point of the problem (stage 1). Where this is not possible, they are referred to a manager (stage 2) and where this is not successful, the matter is referred to an internal investigator (stage 3). Of the **154** formal complaints received since 2014, two thirds are resolved at stage 1, one third at stage 2, with just **5** going to stage 3. It is open to someone to make a complaint about Caranua to the Ombudsman and 12 such complaints have been made, 10 of them in 2016.

Some positive feedback from people who use our services

“

I felt very alone but thanks to your advice, I've a structure in place.

“

Many thanks for all of your help in making the application. The new bathroom and bed are making life much easier.

“

Thank you for your help. You've restored my faith that there are some good people intent on helping survivors. Much appreciated.

“

Thank you for all your kindness and help with my applications. I am delighted with everything and I look forward to enjoying the comfort of my home for many years to come.

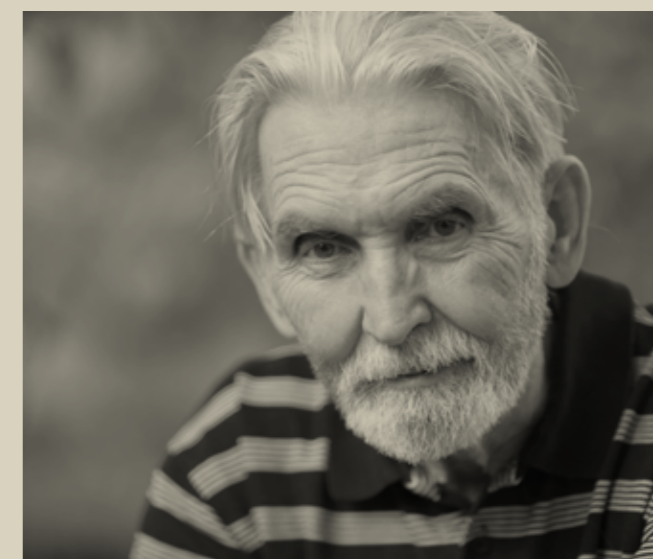
“

Words cannot express how grateful I am for all your help in enabling me to get my new glasses, bed and chair, which will make a huge difference to my daily life.



“

I'm extremely grateful to Caranua for all the help they've given me. My life is all the better and more comfortable for your help to me, I'm also very grateful to my adviser for the delicate way she handled this, for her patience with me, her encouragement to me along the way.



“

Many thanks for all of your help with my support for medical and house grants. I'll have a very nice warm house this coming winter.

“

I am very grateful for everything I have been given over the last few years and I know it has changed my life forever.

“

Thank you for all of your guidance, assistance and consideration of my situation.

Governance matters

4.1 Introduction

As an independent state body, Caranua is subject to the requirements of its founding legislation, other legislation and regulations, including Freedom of Information and the Code of Practice for the Governance of State Boards. As an organisation, it is committed to working in a way that is professional, open, transparent and accountable. This section provides information on governance related activities and outputs in 2016, including compliance.

4.2 Legislation and structure

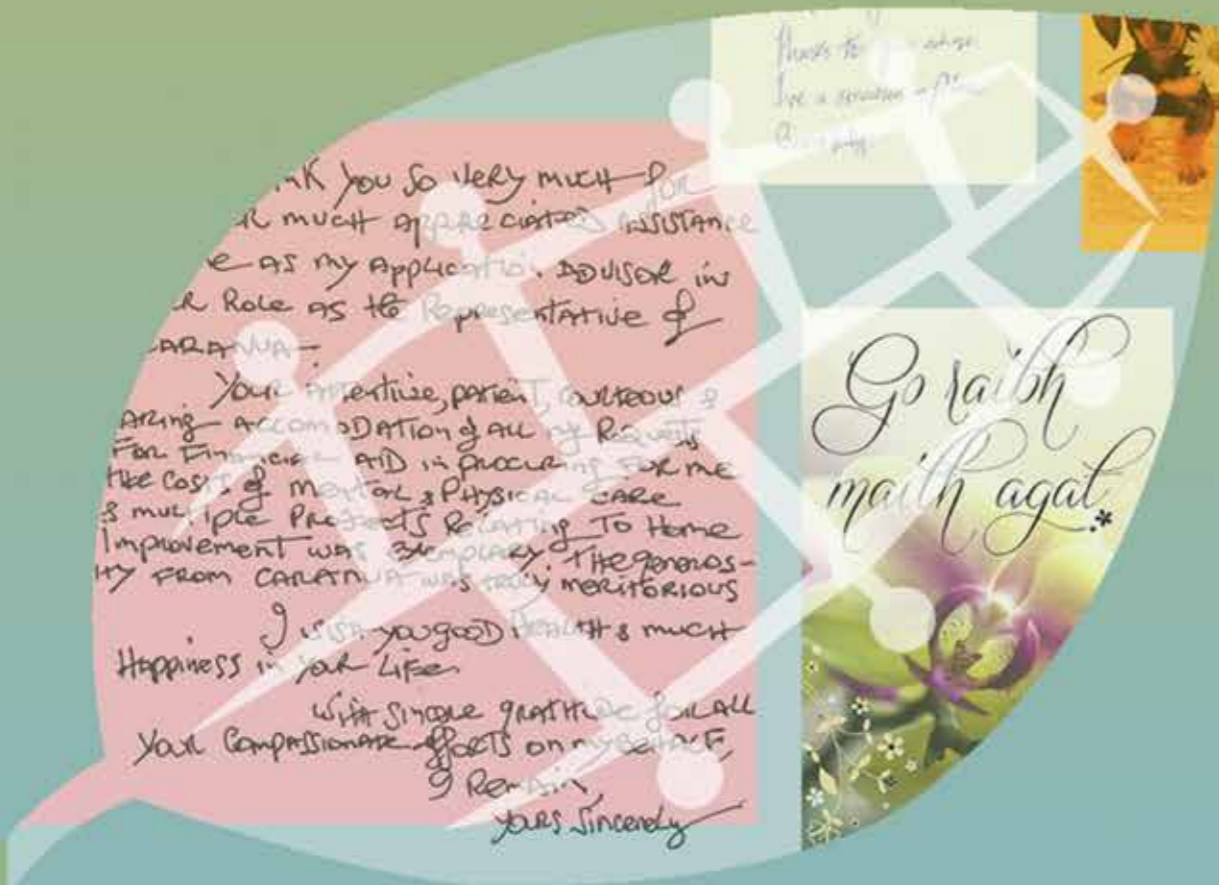
The Residential Institutions Statutory Fund Act, 2012 sets out the governance and management structure of Caranua and the roles and functions of the Board and Chief Executive Officer, the relationships with the Minister for Education and Skills and accountability to committees of the Oireachtas.

The **Minister** appoints the Chair and other eight members of the Board (four of whom must be survivors), approves the appointment of the Chief Executive, staff grades and numbers, all significant contracts and the criteria and services proposed by the Board.

The role of the **Board** is to set strategy, hold the executive to account for the effective performance of their duties and be responsible for determining the range of services that Caranua will support, any financial limits that may apply, and deciding criteria for applications.

The Act also outlines arrangements relating to inviting, publicising and determining approved services and the criteria for decisions on applications. Decisions to approve or refuse applications has been delegated to the Chief Executive Officer, Director of Services and Applicant Advisors within strict financial limits.

While it is an independent body, Caranua has a strong relationship with officials in the Department of Education and Skills, particularly the Residential Institutions



Redress Unit, which has oversight of initiatives for survivors of Irish institutions. The relationship with the Department of Education and Skills is subject to a three year Performance Delivery Agreement.

The **Chief Executive Officer (CEO)** is not a member of the Board but attends all Board meetings. The CEO is responsible for implementing strategy as agreed by the Board, leading and managing the organisation and its day to day operation. The CEO is accountable to the Public Accounts and other Oireachtas committees. The Chief Executive Officer salary for 2016 was €85,454 with €2,941 paid for vouched travel and subsistence.

4.3 Board meetings, expenses and policies

Board membership is unremunerated and no member receives payment. Travel expenses, where they apply, are made at the rates approved by the Department of Public Expenditure and Reform. The Board met six times during 2016 and attendance, together with travel and subsistence payments made to each Board member is presented in Table 8. Three Board members are resident in the United Kingdom.

Sub committee

There is one standing sub committee of the Board, the Audit and Risk committee, which has three members and reports to each Board meeting. Members of the committee are Damian Casey (Chair), Katherine Finn and Tom Daly. The committee held 3 meetings in 2016 and reviewed its terms of reference on 6th October 2016 in light of the revised Code of Practice for the Governance of State Bodies.

The Audit and Risk committee oversees all financial and risk matters, including the internal audit function, which is carried out on a contract basis by an external service provider. During 2016, a number of internal audits were completed

including: HR systems, application processes and systems, ICT systems, payment systems.

A temporary sub committee was established in 2016 to review the criteria and range of services. This was chaired by Damian Casey and other members were Frances Harrington and Rosemary Adaser. The sub committee met three times and presented its recommendations to the Board at its meeting in April.

Other meetings

Two meetings were held between Caranua and the Department of Education and Skills in relation to the Performance Delivery Agreement and other operational issues. One meeting was held between the Chair, CEO and the Minister for Education and Skills.

Board policies

The Board adopted a number of policies during the year, including Protected Disclosures (Whistleblowing) and Risk Management. In addition each Board member received a copy of the new Code of Practice for the Governance of State Bodies published in September, together with associated Code documents.

Table 4: **Attendance and expenses Board meetings 2016**

Board Member	Meetings attended of 6	%	Travel and Subsistence €
Mr David O'Callaghan	6	100	1,260
Ms Rosemary Adaser	6	100	1,053
Mr Damian Casey	5	83	0
Mr Austin Currie	6	100	15
Mr Tom Daly	6	100	389
Ms Katherine Finn	6	100	866
Ms Frances Harrington	6	100	1,384
Mr David Lane	6	100	1,478
Ms Phyllis Morgan	5	83	693
Total vouched travel and subsistence			7,147
Directly paid travel, accommodation and related costs			18,337
TOTAL Board expenditure			25,484

4.4 Financial and risk matters

Religious congregations provide the financial resources for the Fund that Caranua manages. The congregations submit payments to the Department of Education and Skills for deposit in a special account managed by the NTMA. At the end of 2016, €96.2m had been paid into the account, leaving a balance of €13.8m, which is expected to be received in the coming twelve months.

The Board investment strategy was reviewed in 2016 and a decision taken to continue a low risk approach. To date, over €0.3m has been earned in interest. However, as current interest rates have fallen below 0%, there is no scope to continue achieving any return in the foreseeable future.

The Residential Institutions Statutory Fund Act (Section 30) determines that all administrative, staff, overheads, expenses and all other costs, including those of the Appeals Officer are paid from the Fund. To the end of 2016 €5,499,682 had been spent on such costs (broadly termed administrative) and it is estimated that they will account for 10.5% of Fund expenditure over its lifetime.

Annual and quarterly reports on expenditure, prepared by our accountants, are presented to the Audit & Risk Committee and Board for approval. Annual accounts are subject to audit by the Office of the Comptroller & Auditor General (C&AG).

Once approved the audited accounts are laid before the Houses of the Oireachtas, following which they are published. Audited Financial Statements for previous years are available at: www.caranua.ie/governance_and_compliance/financial_statements.

4.5 Transparency, accountability and compliance

Caranua is committed to being an open, transparent and accountable organisation and to ensuring that we comply fully with the spirit as well as the letter of regulations and laws such as Data Protection and Freedom of Information, and with requests for information from elected representatives, through Parliamentary Questions and direct contact. At the same time, we aim to protect the right of everyone who contacts us to privacy and confidentiality and all our policies and procedures are designed to support the achievement of this.

Freedom of Information requests

Caranua aims to be as open and transparent as possible and will provide information where possible, without need for recourse to request information under the Freedom of Information Acts. Personal information held on any one in contact with Caranua is available on request. When we receive Freedom of Information (FOI) requests they are responded to promptly. We review each request and where it is possible the information requested is added to our website, either in our Frequently Asked Questions or Compliance sections.

Over the two years that we have received FOI requests, the number has increased significantly, from five in 2015 to 30 in 2016. Requests came from 28 unique individuals. Five of these made two separate requests, with one person making five separate requests. Requests related to expenditure on consultants, staff and Board expenses, the cost of outreach events, the number of complaints received and the range and number of payments to applicants.

Data Protection breaches

We are committed to protecting the right of everyone who contacts us to privacy and confidentiality but sometimes errors are made. There were nine personal data breaches in 2016 and three in 2015. In all cases the Office of

the Data Protection Commissioner was informed, as was the individual whose confidentiality was inadvertently breached. Typical breaches were due to either human or administrative error, usually where information on one person was sent inadvertently in an envelope addressed to another person. A number of breaches related to information being emailed to the wrong person, largely due to the auto-filling of addresses. To prevent this from re-occurring, the auto-fill facility was removed from computers.

Parliamentary Questions and Oireachtas committees

Caranua receives representations on behalf of applicants from elected representatives and the organisation is the subject of regular written and oral parliamentary questions. Responsibility for responding to Parliamentary Questions is that of the Department of Education and Skills, with input from Caranua.

Any questions related to Caranua and replies to them are regularly posted on our website at www.caranua.ie/news-index.aspx?tag=pqs. In 2016, 31 Parliamentary Questions relating to Caranua were raised by 17 elected representatives. The majority of these asked one question. Three representatives asked seven, four and three respectively. Questions were related to: expenditure; accounts; the scheduled Ministerial review of eligibility to apply to Caranua; and complaints.

As in previous years, Caranua wrote to the Oireachtas Committee on Education and Skills suggesting that it make a presentation to it on our work and enclosing a copy of our Annual Report. In December 2016 the Oireachtas Committee of Public Accounts wrote to Caranua inviting Caranua to appear before it in 2017, and requested further information on staff pay grades and the expenses of Board and staff members. Caranua responded with the requested information and welcomed the invitation to present to the committee.

Judicial review

A judicial review was initiated against Caranua in November 2016 by McGeehin Toale Solicitors and settled through the payment of legal fees of €17,500, following legal advice and decision by the Board.

4.6 Staffing and related matters

Under Section 17 of the Act, the Board appoints, with the consent of the Minister and the Minister for Public Expenditure and Reform, the number of staff as it may from time to time determine. Staff appointments are at civil service grades and pay rates.

During 2016, sanction was received for a complement of 24.6 full time equivalent staff, which included the filling of posts that were vacant or filled by agency staff. An external provider was used to manage the recruitment process and successful candidates were appointed on specified purpose contracts.

Table 5: **Staff positions in and grades December 2016**

No	Position	Grade
1	Chief Executive Officer	Principal Officer
1	Director of Services	Assistant Principal Officer
12	Application Advisor	Executive Officer
1	Director of Finance & Administration	Assistant Principal Officer
1	Head of Administration	Higher Executive Officer
5	Administrative Assistant	Clerical Officer
2	Quality, Compliance and Information Officer	Executive Officer
1	Head of Communications & Engagement	Higher Executive Officer



How to contact us

- PO Box 12477 Dublin 1
- Freephone 1800 212477 (from Ireland)
Freephone 0808 234 1303 (from UK)
Charges may apply from some mobile networks
- From anywhere +353 1 8742277
Please note that we are unable to provide a freephone number outside Ireland and the United Kingdom, but if you call us we can call you back to reduce the cost of the call to you.
- Email: apply@caranua.ie

For more information

See our website www.caranua.ie